



Rural Water Supply and  
Sanitation Project in  
Western Nepal Phase II

2015

# BASELINE REPORT FOR RWSSP-WN PHASE II



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## Contents

1	EXECUTIVE SUMMARY .....	1
2	INTRODUCTION TO BASELINE .....	4
2.1	Background to Baseline .....	4
2.2	Introducing Results and Indicators .....	4
2.3	Methodology, Scope and Limitations .....	6
3	BASELINE FINDINGS .....	8
3.1	Demographic Overview of Districts .....	8
3.2	Carry over from Phase I .....	12
3.2	Overall objective indicators .....	16
	Indicator 1: Incidence of diarrhea in under-5 children reduced.....	16
	Indicator 2: Under 5 child mortality reduced .....	16
	Indicator 3: Incidence of water and sanitation related diseases reduced.....	17
	Indicator 4: Improved capacity of the local governance to provide effective WASH service delivery.....	18
	Indicator 5: Decreasing disparity between the worst- and best-served VDCs with regards to sanitation and water supply coverage .....	19
3.3	Project purpose indicators.....	21
	Indicator 1: 150,000 previously unserved people benefit from access to improved water supply. ....	21
	Indicator 2: All water supply schemes supported by the project provide functional, improved and safe water supply services. ....	22
	Indicator 3: No one practices open defecation (all districts declared ODF) .....	22
	Indicator 4: All ODF districts have developed post-ODF strategy and ensured access to post-ODF support to their VDCs.....	22
	Indicator 5: More than 220,000 people benefit from the capacity building activities.....	24
	Indicator 6: District s' WASH programmes capable to provide support to VDCs, WUSCs and other community groups on a responsive basis in scheme planning, implementation and O&M, showing consistently improving the annual performance. ....	24
	Result 1: Sanitation and hygiene .....	25
	Result 2: Water supply .....	28
	Result 3: Strengthened institutional capacity.....	36
4	CONCLUSIONS AND RECOMMENDATIONS.....	41
4.1	Data sources and definitions of indicators .....	41
4.2	For monitoring and reporting .....	41
4.3	For next workplan .....	42
	Annex 1. Overall objective indicator 4.....	44

## List of tables

Table 1: Population and population density in 14 districts in 2011. ....	9
Table 2: Average HH size and sex ratio in 14 districts in 2011 .....	11
Table 3: Socio economic indicators for the 14 project districts in 2011.....	12
Table 4: Number of schemes by status of the scheme, as per completion phase survey and verification survey.....	13
Table 5: Number of drinking water supply schemes and their status by district, March-April 2014..	13
Table 6 Water supply scheme beneficiaries by district, March-April 2014 .....	14
Table 7: Water supply scheme types by district, March-April 2014 .....	14
Table 8: Status of phase I institutional and public toilet schemes, March-April 2014 .....	15
Table 9: Phase I latrines saniscore, March-April 2014.....	15
Table 10: Incidence of diarrhoea in under-5 children, 2011 and 2006.....	16
Table 11: Under 5 mortality and Infant mortality in 2011 and 2006.....	17
Table 12: Prevalence of water and sanitation related diseases in 9 Phase I districts in fiscal years 2066/2067 and 2068/2069) .....	17
Table 13: Results of the Performance Measures assessment for FY 2012/2013. ....	18
Table 14: Number of VDCs in each water coverage class.....	20
Table 15: Categories of beneficiaries included in the target of 100 00/150 000. ....	21
Table 16: District ODF status by start of Phase II.....	23
Table 17: VDC level ODF status at the end of FY 2069/2070, or June/July 2013 .....	26
Table 18: Phase I supported public latrines with hand washing facility, March/April 2014. ....	27
Table 19: Phase I supported public latrines that are disabled, gender and child friendly, March/April 2014. ....	27
Table 20: Registration status of Phase I gravity and lift scheme WUSCs, March/April 2014. ....	30
Table 21: Status of O&M Plan and its implementation in Phase I gravity and lift schemes, March/April 2014. ....	30
Table 22: Water tariff collection in Phase I gravity and lift schemes, March/April 2014. ....	31
Table 23: VMW trained and working status in Phase I schemes, March/April 2014. ....	32
Table 24: Phase I gravity and lift scheme population and WUSC members by caste and ethnicity, March/April 2014.....	32
Table 25: Phase I gravity and lift scheme WUSC members by sex, March/April 2014.....	32
Table 26: Functionality status of Phase I schemes, March/April 2014.....	33
Table 27: Phase I schemes with leakages in transmission and distribution pipelines.....	34
Table 28: D-WASH-CC Terms of Reference compliance, Feb/March 2014.....	38
Table 29: V-WASH-CC Terms of Reference compliance, Feb/March 2014.....	39
Table 30: Performance indicators applied for the districts .....	40
Table 31: Phase I gravity and lift scheme WUSCs' capacity gaps, March/April 2014. ....	43

## List of figures

Figure 1: Geographic and Administrative regions of Nepal and RWSSP-WN project area.....	8
Figure 2: Population in 14 project districts in 1991, 2001 and 2011 .....	10
Figure 3: Percentage of VDCs in each water coverage class.....	20
Figure 4: Different water supply scenarios in rural communities. Cases 3 and 4 represent unserved households.....	35
Figure 5: Categories of households that benefit from water supply schemes.....	36

## Abbreviations

DC	Distribution Chamber
DDF	District Development Fund
DoLIDAR	Department of Local Infrastructure Development and Agricultural Roads
DSWASHP	District Strategic WASH Plan
D-WASH-CC	District WASH Coordination Committees
DWSS	Department of Water Supply and Sewerage
GCD	Gender, child and disabled (friendly)
GESI	Gender and Social Responsiveness
HDI	Human Development Index
HH	Household
IC	Interruption Chamber
LGCDP	Local Governance and Community Development Program
MCPM	Minimum Conditions and Performance Measures
MFA	Ministry for Foreign Affairs
MICS	Nepal Multiple Indicator Cluster Survey
MIS	Monitoring Information System
MoF	Ministry of Finance
MoFALD	Ministry of Federal Affairs and Local Development
NDHS	Nepal Demographic and Health Survey
NMIP	National Management Information Project
O&M	Operation and Maintenance
ODF	Open Defecation Free
QARQ	Quantity, Access, Reliability, Quality
RWSSP-WN II	Rural Water Supply and Sanitation Project in Western Nepal Phase II
TA	Technical Assistance
TBC	Total Behaviour Change
TOR	Terms of Reference
TS	Total Sanitation
UNICEF	United Nations Children's Fund
VDC	Village Development Committee
VMW	Village Maintenance Worker
V-WASH-CC	Village WASH Coordination Committees
V-WASH-P	Village WASH Plan
WASH	Water supply, Sanitation and Hygiene
WSS	Water Supply Scheme
WUSC	Water User and Sanitation Committee

## 1 EXECUTIVE SUMMARY

Rural Water Supply and Sanitation Project in Western Nepal Phase II (RWSSP-WN II) is a 5-year completion phase of the RWSSP-WN project. The Phase II of the project started in September 2013 and is anticipated to run until November 2018. RWSSP-WN Phase I took place 2008 – 2013. This baseline report describes the situation at the beginning of the Phase II of the project. The report is meant to serve as a reference point against which the project progress and achievements can be monitored and measured. Data for the baseline has been compiled from secondary and primary sources to cover the project indicators in three levels: overall objective, purpose and results.

The project approach and objectives relating to hygiene and sanitation, water supply and WASH governance have remained mostly unchanged in the Phase II of the project. The key aspects of the approach include 'Holistic WASH' (sanitation, hygiene and water as mutually inclusive), principles of Gender and Social Inclusiveness (GESI), ownership at user groups and village and district levels, funding through and alignment with the government system and improved WASH sector coordination. There has been some changes in the project principles. Firstly, the Phase II gives more emphasis on reaching the previously unserved populations (people with no access to improved water supply). Secondly, the Phase II is paying increasing attention to functionality and sustainability of water supply, i.e. high quality of construction and the Water Users and Sanitation Committees' (WUSCs) capacities to maintain the schemes. Thirdly, phasing out of the project is addressed by embedding project planning, management and implementation into the existing district, Village Development Committees (VDC) and community level structures.

The report utilizes primary data collected by enumerators in March and April 2014. The objective of the verification survey was to verify the Phase I handing over data and related MIS monitoring data, and complement it in parts that it was found to be missing. This dataset provides the reference point against which the Phase II achievements concerning the carry over schemes from Phase I can be assessed. Secondary data sources such as Census data, Nepal Demographic and Health Survey (NDHS), National Management Information Project, the Ministry of Federal Affairs and Local Development (MoFALD) assessments and data maintained by district and village health posts is used to answer the project overall objective level indicators.

### Overall objective indicators

The **overall objective** of the Phase II is "improved health and fulfilment of the equal right to water and sanitation for the inhabitants of the Project area". **Project impact on the health** situation in the project villages and scaling up to the district and region levels is measured through three health indicators. Data records of VDC and ward level health facilities and District health offices, as well as the National Demographic and Health Survey is utilized. In 2011, incidence of diarrhea in under-5 children was reported as 15.7% in Western Development Region, which is about 2 percentage points higher compared to the national figure (13.8%). Under-5 mortality stands at 57/1000 live births in the region, as compared to 54/1000 nationally.

Project achievements in contributing towards **improved capacity of the local governance to provide WASH services** are assessed by utilizing the nation-wide assessment of the Minimum Conditions and Performance Measures (MCPM) as a proxy for this indicator. All 14 project districts fulfilled the minimum conditions and passed the performance measures in the 2012/2013 assessment. Five project districts, Baglung, Palpa, Myagdi, Argakhanchi and Nawalparasi, scored above 75 out of maximum 100 points, ranking among the top 15 districts. Three project districts, Syangja, Mustang and Tanahun, received less than 65 points, ranking 40 and below in the comparison of all 75 districts.

The project aims to **bridge the gap in access to improved water supply** and support the Government of Nepal's goal to provide all the Nepalese people access to drinking water facilities by 2017. In the overall objective level, the project impact on decreasing disparity between the worst- and best-served VDCs in accessing improved water supply is monitored by following the development in the water supply coverage in the core districts. About half (49%) of the VDCs have water supply coverage below 90%, indicating that lot of work is yet to be done to reach universal water supply coverage in Nepal. Altogether 47 VDCs (about 9%) have water supply coverage between 34% (which is the lowest coverage rate) and 70%. The lowest water supply coverage is in Myagdi, where 19 VDCs (46%) have water supply coverage below 70%. The NMIP 2014 report shows that the **national water supply coverage is 83.6% and sanitation coverage is 70.3%.**

### **Project purpose indicators**

The **project purpose** is “the poorest and excluded households’ rights of access to safe and sustainable domestic water, good health and hygiene ensured through a decentralized governance system with improved effectiveness of rural water supply and sanitation services”. The purpose level indicators relate directly to the three result areas: water supply, sanitation & hygiene and capacity building.

**Indicator 1** measures the **number of previously unserved people benefitting from access to improved water supply**. The target is set to 150,000 (or 100,000 if the budget remains as in the original Project Document), which includes the new beneficiaries in the Phase II as well as beneficiaries of Phase I carry-over schemes that are completed in Phase II (30,225 persons). Third category – beneficiaries of completed Phase I schemes that require investments in Phase II – was added, once it was revealed that some of the Phase I completed schemes are in poor condition or not functioning: The Phase II envisions to leave behind only fully completed and functional schemes. This is assessed under the **Indicator 2**, which counts the schemes that provide functional, improved and safe water supply, and concern piped water schemes (gravity and lift) of both phases.

**Indicators 3 and 4** measure district level achievement in **reaching ODF status and supporting post-ODF activities**. At the beginning of the Phase II, 4 project districts – Tanahun, Myagdi, Parbat and Pyuthan – had been declared as ODF. Field reports from these districts, however, raise some concern on the sustainability of the ODF achievements. It has been found out that people resume to open defecation, for example, when temporary toilets exceed their intended life-cycle and are abandoned, or when permanent household and public toilets are abandoned due to lack of maintenance, or new houses are built without toilets. All four districts had also developed their post-ODF strategies by September 2013, and 2 districts (Pyuthan and Tanahun), had their first ward level Total Sanitation declarations by that time, thus demonstrating support to VDCs.

Indicators 5 and 6 measure the **project support to capacity building and achievements in strengthening the institutional capacities in the WASH sector**. The Phase II targets at reaching more than 220,000 participants by DDF and TA funded capacity building events and programmes. To scale up the capacity building activities, trainers in districts and VDCs are trained to create behaviour change in sanitation practices and enhance skills and knowledge in scheme management in the community level. Beneficiaries of capacity building activities other than training, such as participants in planning, monitoring and public hearing sessions will also be counted. In the Phase I, the D-WASH-CCs were activated and D-WASH-units were established in all 9 districts with varying success.

### **Result level indicators**

Result 1 is “**Access to sanitation and hygiene for all achieved and sustained in the project working districts**”. At the beginning of the Phase I, only 3 VDCs had declared Open Defecation Free in the 9 working districts; by July 2013, this had increased to 417 VDCs, or 53% out of 791 VDCs and municipalities (Result Indicator 1.1). The population in the ODF declared VDCs was 2,001,646, making

up approximately 45% of the total population in 14 districts. Phase II continues to support the construction of institutional toilets, with target of 200 disabled and gender-friendly toilets with access to hand washing (RI 1.2). During the Phase I, 306 latrines were completed, out of which 61% have a hand washing facility and 23% are found disabled and gender friendly. Maintenance of the institutional latrines has proven problematic; 76% of latrines built in Phase I have room for improvement in terms of cleanliness or physical condition. With increased basic sanitation coverage to build on, growing amount of effort will be paid on post-ODF support in the Phase II. The baseline situation is that 2 wards had declared Total Sanitation, and the Phase II target is to top this by 300 wards (RI 1.3).

Result 2 is **“Access to safe, functional and inclusive water supply services for all achieved and sustained in the project working VDCs”**. The Phase II is committed to leave behind schemes that provide functional, improved and safe water supply services. Water Safety Plans are used as a practical tool to promote water quality, and also include considerations on potential threats to the physical structures and source depletion. Long-term functionality results from functional WUSCs that prepare and implement O&M plans and pay water tariffs etc. The respective indicators concerning number of Water Safety Plans (RI 2.1.) and institutional capacity of WUSCs (RI 2.2) are applied to Phase I & II gravity and lift schemes. The target is 600 WUSCs, including the Phase I WUSCs (367). The Baseline for WSPs is 0, as no WUSC-level WSPs were formulated during the Phase I. Overall 72% of Phase I WUSCs are registered. Only in one district, Myagdi, all WUSCs are registered, whereas in Parbat less than one third of the WUSCs are registered. Nearly half (49%) of WUSCs confirmed that they have some kind of O&M plan, and 37% confirmed that they are implementing it. About half (51%) of the phase I scheme WUSCs were collecting a water tariff. In majority of the schemes (71%), the monthly water tariff per household is NPR 50 or less. Village Maintenance Worker (VMW) was reported to be working in 78% of the schemes. Women’s representation in WUSCs stands at 40%, which is short of the project target (50%), but above the Nepal government’s target of 33%.

The project aim is to provide Service Level 1 in quantity, access, reliability and quality (RI 2.3). Initially, this indicator was meant to apply only to Phase II schemes, but once it was found that some Phase I schemes are not meeting their potential service level, it was extended to the Phase I schemes as well. In average, 89% - 95% of water supply structures such as tap stands, reservoir tanks and interruption and distribution chambers constructed during the Phase I were found to be functional. RI 2.4 monitors the project achievements in targeting the unreached pockets by measuring the schemes serving these hardship areas. In addition, the Phase II is targeting to support 200 schools or institutional locations in terms of safe and functional water supply (RI 2.5).

Result 3 is **“Strengthened institutional capacity of government bodies to plan, coordinate, support and monitor the WUSCs and other community groups in the implementation, operation and maintenance of domestic water, sanitation and hygiene programmes in a self-sustainable manner”**. Preparation of District Strategic WASH Plans, which are meant to be used as operational planning tools in the districts, was started in 9 districts in the Phase I. At the beginning of the Phase II, two districts, Kapilvastu and Pyuthan, had published and were using their D-WASH-Plans. In Gulmi and 4 sanitation districts, D-WASH-Plan preparation will start from the beginning in the Phase II (RI 3.1). Similarly, 54 VDC had formulated their V-WASH-Plans in the Phase I, which were used for the selection of the Phase I schemes. Target for Phase II is to develop 120 V-WASH-Plans, including updating of Phase I plans (RI 3.2). Indicators 3.3 and 3.4 assess D-WASH-CCs’ and V-WASH-CCs’ compliance with their terms of reference, which was first assessed during the Phase II Inception workshops in February/March 2014. In average, the D-WASH-CCs comply with 50% of the items listed in their ToR; the least active D-WASH-CCs were found in Baglung, Parbat and Kapilvastu, who carry out only 25-35% of their tasks. The V-WASH-CCs are found to comply in average with 54% of their tasks. In Myagdi, the V-WASH-CCs reported that they comply with 80 to 90 percent of items listed in their TOR. On the other hand, in Baglung and Rupandehi the V-WASH-CCs complied with only 30 and 40% of the items.



## 2 INTRODUCTION TO BASELINE

### 2.1 Background to Baseline

Rural Water Supply and Sanitation Project in Western Nepal Phase II (RWSSP-WN II) is a 5-year completion phase of the RWSSP-WN project. The Phase II of the project started in September 2013 and is anticipated to run until November 2018. RWSSP-WN Phase I took place 2008 – 2013. The project approach is to use sanitation and hygiene as the entry point to safe water supply. The three project components focus on 1) Sanitation & Hygiene, 2) Rural Water Supply and 3) Capacity Development. Phase II works in all nine Phase I project districts (Banglung, Myagdi, Parbat, Syangja, Tanahun, Pyuthan, Kapilvastu, Rupandehi and Nawalparasi) and in one new district (Gulmi) which was approved as a core district in 2014. In addition, four “non-core districts” (Rolpa, Mustang, Argakhanchi and Palpa) were approved for sanitation-only support during the first year of Phase II.

Total budget of Phase II is MEUR 21.9, with 63% contribution from Government of Finland and remaining contributed by the Government of Nepal (27%), District and Village Development Committees (4%) and water users (7%). The Competent Authorities of the project are the Ministry of Finance (MoF), representing the Government of Nepal and the Ministry for Foreign Affairs (MFA), representing the Government of Finland and represented by the Embassy of Finland in Nepal. Within GoN, RWSSP-WN Phase II is managed in the Department of Local Infrastructure Development and Agricultural Roads (DoLIDAR) under the Ministry of Federal Affairs and Local Development (MoFALD).

This baseline report describes the situation at the beginning of the Phase II of the project. The report is meant to serve as a reference point against which the project progress and achievements can be monitored and measured. Data for the baseline has been compiled from secondary and primary sources to cover the project indicators in three levels: overall objective, purpose and results. Primary data collected during the first year of the Phase II, September 2013 – June 2014, is used to set the baseline for the result and purpose level indicators. Secondary data such as censuses and national health services is only available in periods of several years; in such cases data closest to the start of the phase II is presented here.

### 2.2 Introducing Results and Indicators

The project approach and objectives relating to hygiene and sanitation, water supply and WASH governance have remained mostly unchanged in the Phase II of the project. The key aspects of the approach include ‘Holistic WASH’ (sanitation, hygiene and water as mutually inclusive) and having sanitation as entry point, principles of Gender and Social Inclusiveness (GESI), ownership at user groups and village and district levels, funding through and alignment with the government system and improved WASH sector coordination. There has however been some changes in the project principles. Firstly, the Phase II gives more emphasis on reaching the previously unserved populations (people with no access to <sup>1</sup>improved water supply). Secondly, the Phase II is paying increasing attention to functionality and sustainability of water supply, i.e. high quality of construction and the Water Users and Sanitation Committees’ (WUSCs) capacities to maintain the schemes. Thirdly, phasing out of the project is addressed by embedding project planning, management and implementation into the existing district, Village Development Committees (VDC) and community level structures.

The Phase II original results were re-worded in the inception phase without losing the original spirit, and this is also reflected in result level indicators. New indicators have been added in order to better capture the project approach. Some of the indicators have been re-worded to make them more

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<sup>1</sup> Scheme is defined as improved and functional when it has the Service Level 1 for quantity, access, reliability and water quality.



specific. Refer to Inception report Annex 1 (10.6.2014) for full record of indicator changes and reasoning.

The **overall objective** of the Phase II is “improved health and fulfilment of the equal right to water and sanitation for the inhabitants of the Project area”. Consequently, the indicators of the objective measure regional, district and VDC level changes in health of the inhabitants, local government capacity to provide WASH services, as well as progress towards more equal access to water and sanitation. The indicators on local governance and equal access were added in Phase II inception phase in order to capture changes resulting from projects’ efforts to build the capacity of the local level government stakeholders and target the unserved populations and thus promoting the rights of all to water and sanitation.

The **project purpose** is “the poorest and excluded households’ rights of access to safe and sustainable domestic water, good health and hygiene ensured through a decentralized governance system with improved effectiveness of rural water supply and sanitation services”. The purpose level indicators relate directly to the three result areas: water supply, sanitation & hygiene and capacity building. The indicators used here measure access to improved water supply, quality of water supply services, practice of open defecation (ODF), implementation of post-ODF strategies, benefit from capacity building and capabilities of district WASH programmes. Targets are set for all indicators. Most of the purpose level indicators were changed, reworded or shifted under individual result-areas during the Inception phase. Health related indicators appear on the overall objective level and are therefore not included in the purpose level.

Result level indicators will be continuously updated through the Monitoring Information System (MIS). Result 1 and 2 were reworded in the Phase II Inception phase keeping in line with the proposed post-2015 targets without altering the original spirit of the result area.

**Result 1** is reworded as “Access to sanitation and hygiene for all achieved and sustained in the project working districts”. Subsequently, the indicators measure the two phases of the sanitation challenge, firstly achieving the Open Defecation Free status (indicator 1.1) including support to institutional toilets (1.2), and secondly achievements towards Total Sanitation (1.3) and post-ODF support (1.4). The project support is given to the District and VDC wide sanitation movement. By default, the sanitation achievements concern all households in the project VDCs and thus the indicators also cover entire VDCs and districts (in the purpose level).

**Result 2** is reworded as “Access to safe, functional and inclusive water supply services for all achieved and sustained in the project working VDCs”. The indicators focus on project supported schemes, capturing changes in the scheme/WUSC level. The five indicators measure water safety, capacity of WUSCs, functionality of water supply, schemes providing improved water supply, reaching the unreached and gender, child and disabled-friendly water supply in schools and other institutional locations. The first three indicators (water safety, WUSCs’ capacity and Service Level) target also the Phase I schemes/WUSCs. Also indicator 5 concerns the Phase I schemes. These changes were made in the second year of the Phase II, when it became evident that there are Phase I schemes that do not meet the service level standards. The beneficiaries counted under the indicator 4 (unreached).

**Result 3** has remained unchanged in the Phase II: “Strengthened institutional capacity of government bodies to plan, coordinate, support and monitor the WUSCs and other community groups in the implementation, operation and maintenance of domestic water, sanitation and hygiene programmes in a self-sustainable manner”. The indicators here capture changes in two levels of governance, namely the district and village development committees. The first two indicators concern use and update of village and district level WASH plans, whereas the third and fourth indicators concern the

planning practices. The fifth Result 3 indicator assesses the results of the district performance evaluation measures and the sixth indicator captures the studies and practical guidelines.

The set of indicators applied for the non-core districts is narrower than what is applied for the core districts. Because the activities in the non-core districts are limited to sanitation, only the Result 1 and limited number of Result 3 indicators will be applied. In the purpose level, the sanitation and capacity building indicators (3 – 6) are applied for non-core districts. All overall objective level indicators are relevant to non-core districts.

## 2.3 Methodology, Scope and Limitations

The report utilizes both primary and secondary data sources. Primary data collected by enumerators and project staff in the field is used to provide information on result level indicators, and to some degree also purpose level indicators. Secondary data sources such as census data and data maintained by district and village health posts is used to answer the project objective level indicators. The Monitoring Concept Note will be part of the Completion Strategy to clarify how the monitoring and relating reporting and data management flows in the project, and to what extent these systems are something that could continue as part of the districts WASH programmes.

### Primary data sources

The point of entry into the baseline consists of the primary data collected during the last months of the Phase I, at the end of the FY2069/2070 (June/July 2013 or earlier). The Phase I continued to mid-September but the activities that were continued in the districts after June/July were not captured in the Phase I Completion Report.

During the first year of the Phase II the project mobilized technical enumerators to collect data on the status of the RWSSP-WN Phase I schemes and their WUSCS. The objective of the *verification survey* was to verify the Phase I handing over data and related MIS monitoring data, and complement it in parts that it was found to be missing. This dataset provides the reference point against which the Phase II achievements concerning the carry over schemes from Phase I can be assessed. It also assisted the district teams to identify the schemes and WUSCs that had to be included into the districts' annual workplans or otherwise be paid attention to. This, in turn, was linked into Phase I VDC Phase out strategy that was particularly urgent in those districts where there was a lot of pressure to select a completely new set of VDCs.

The data collection for the technical verification took place between March and April 2014. Some districts had made progress with their schemes in the meanwhile and therefore, the data originating from verification survey is not representing the situation at the immediate start of Phase II. More specifically, the technical enumerators:

- Verified the status and Phase I handing over MIS data of each RWSSP-WN Phase I scheme in all VDCs by using the formats developed for the purpose;
- Had meetings with the V-WASH-CCs raising discussion about the present water supply and sanitation coverage in the VDC, post ODF and post construction support. The leading question was whether there was still work to be supported by RWSSP-WN II over the coming year or whether the Project can phase out from the VDC within the year. Attention was paid to the unserved clusters in the VDC in line with the HRBA strategy;
- Documented the status of the scheme with the GPS geotagged photos, including one group photo of the WUSC members who contributed to the data verification;

- Visited each household in one ward per one VDC to verify the environmental sanitation and hygiene situation, with GPS geotagged photo from each showing the house and its sanitation facilities to extent possible.

## Secondary data sources

The key secondary data sources are explained below. This list is not exhaustive, and the use of other secondary data sources (i.e. MoFALD assessments) are explained under the respective indicators.

**National Management Information Project (NMIP)**, operated by the Department of Water Supply and Sewerage (DWSS) since 2003, provides data on the nation-wide water supply and sanitation coverage. Data on water supply coverage and Water and sanitation status is filled by the district offices, approved by District WASH Coordination Committees (D-WASH-CC) and then fed to the national information system. The NMIP database is known to have limitations, yet it provides the most comprehensive estimates of water supply status in Nepal. Water coverage data from **District Strategic Wash Plans** of 9 districts (which at least partly build on NMIP data) was also utilized.

The main source for secondary data on demographic and social aspects is provided by the **National Population and Housing Census 2011** by Central Bureau of Statistics. The whole operation of the 2011 census took five years from 2008/09 to 2012/13, including preparatory works, data collection in 2011, data processing and tabulation. The data from 2011, 2001 and 1991 censuses is used in the descriptions of the districts and their demographic features, and used as a reference point for setting the context for the sanitation and water supply coverage at large, and related inequities.<sup>2</sup>

**Nepal Demographic and Health Survey (NDHS)** is conducted every 5 years with latest survey from 2011.<sup>3</sup> The 2011 NDHS provides estimates of key population and health indicators for the country as a whole, urban and rural areas separately, for five Development regions and 13 eco-development regions/subregions. Given the lack of district level data, the baseline report utilizes the 'Western Development Region' data. This region consists of 16 districts, out of which 12 are RWSSP-WN project districts. For some indicators, the development region data is further divided into three sub-regions as follows: Western Terai (Kapilvastu, Rupandehi and Nawalparasi), Western Hill (Myagdi, Baglung, Gulmi, Parbat, Syangja, Tanahu, Palpa, Argakhanchi, Lamjun, Gorkha and Kaski) and Western Mountain (Manang and Mustang of the Western Development regions and the mountain districts of Mid Western and Far Western development regions). Household sample size of the 2011 survey is 10,826, including 12,674 women and 4,121 men.

**Nepal Multiple Indicator Cluster Survey 2010 (Final Report 2012)**<sup>4</sup> (MICS) was carried out in 2010 by the Central Bureau of Statistics. Financial and technical support was provided by the United Nations Children's Fund (UNICEF). MICS is an international household survey programme developed by UNICEF. The Nepal MICS was conducted as part of the fourth global round of MICS surveys. It provides up-to-date information on the situation of children and women, and measures key indicators that allow countries to monitor progress towards the Millennium Development Goals and other internationally agreed-upon commitments. This was done for a specified sub-regions in the Mid- and Far-Western regions of the country. These regions are inhabited by the most vulnerable populations, those affected by Nepal's decade-long conflict, prone to natural disasters and disease outbreaks, and

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<sup>2</sup> <http://cbs.gov.np/wp-content/uploads/2012/11/National%20Report.pdf>

<sup>3</sup> <http://dhsprogram.com/pubs/pdf/FR257/FR257%5B13April2012%5D.pdf>

<sup>4</sup> <http://cbs.gov.np/wp-content/uploads/2012/07/NMICS-2010-Preliminary-Report.pdf>

suffering from chronic food shortage. For RWSSP-WN II two districts are in the Mid-Western development region, namely Pyuthan and Rolpa. These are treated as separate cases.

For the working VDC-level (“core VDCs”) the (sub) **Health Post data** is the key secondary data source for any health related data. Yet, as noted by the health impact study conducted in the Phase I, recording systems of health institutions are found to be poor. Thus the VDC and district level data collected from VDC health posts and district health offices may not provide a true picture of the overall health situation in districts (Phase I completion report). The shortcomings with the quality, representativeness and accuracy are well known – for instance, if the health-post-in-charge fails to stay in his/her duty station, the people will obviously attend to other (sub) health posts, the most serious cases going for a district headquarters medical facilities, both private and public. Also changes such as increased awareness may lower the level at which diseases like diarrhea or water-borne diseases get reported at the health facility. In the districts declared ODF the overall district health data is relevant.

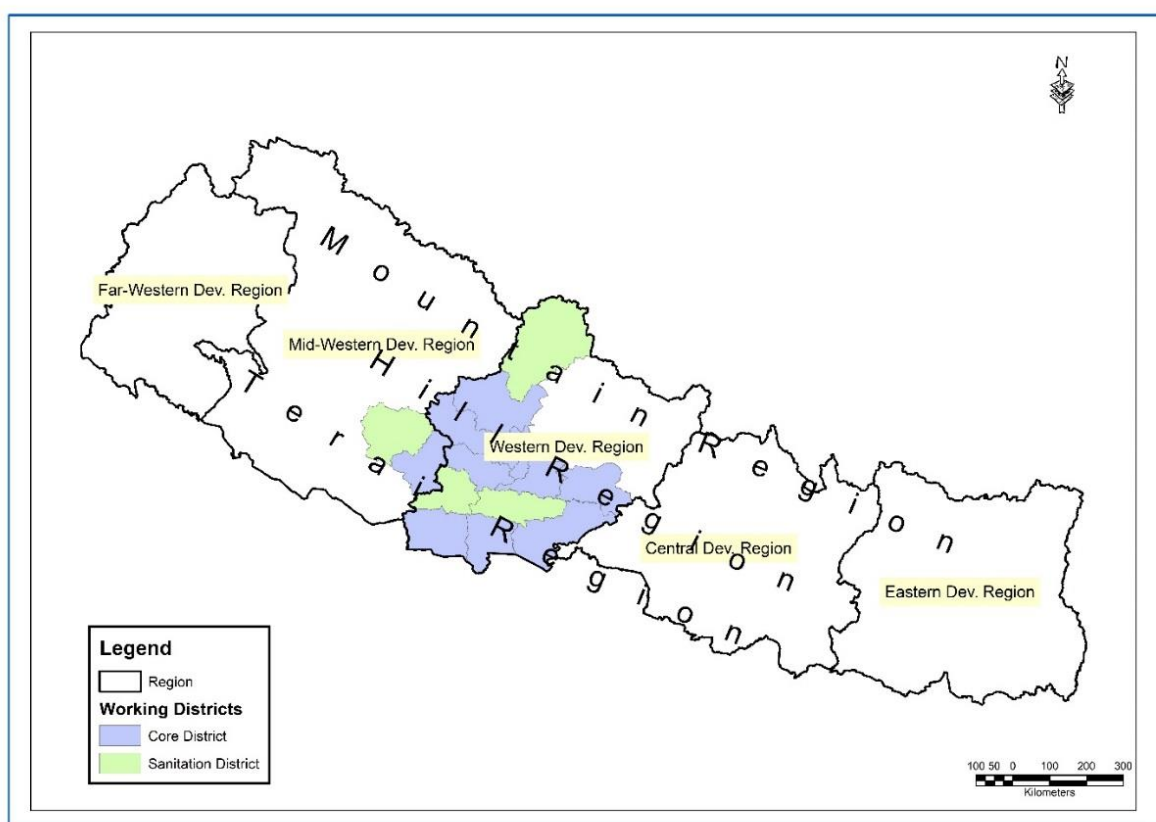


Figure 1: Geographic and Administrative regions of Nepal and RWSSP-WN project area.

### 3 BASELINE FINDINGS

#### 3.1 Demographic Overview of Districts

##### Physical and administrative regions and RWSSP-WN project location in Nepal

Geographically, Nepal is divided into three East-West ecological zones: Mountain region (the Northern Range; altitudes above 3000 meters and up to 8848 meters), Hill region (Mid Range; between 700 and 3000 meters altitude) and Terai (the Southern Range). The climate zones follow the altitudinal belts, ranging from Tropical zone in south (below 1000m) to Alpine zone in north (above 4000m). Snowline

stands at about 5000m, above which there is no human habitation or seasonal use. Summer monsoon between June and September brings most of the annual rainfall, and dry season prevails from October to June. Winter monsoon brings short rainfalls between January and March.

There are five north-south administrative Development Regions: Eastern, Central, Western, Mid-Western and Far-Western Development Regions (Figure 1). The regions have altogether 75 administrative districts, which are divided into Village Development Committees (VDCs, total 3625) in rural areas and Municipalities (130) in urban areas (MoFALD, 6.1.2015). In 2014, the number VDCs was reduced from 3915 and number of Municipalities was increased from 58 as a result of government restructuring. An area can be declared as a municipality if it has a minimum of 20,000 inhabitants (10,000 in hilly and mountainous area) and basic infrastructure such as drinking water, electricity, roads and communication (Self-Governance Act 1999).

RWSSP-WN Phase II works in 14 districts in Western and Mid-Western Development Regions (Figure 1). Ten of the districts are located in the Hill Region (Baglung, Myagdi, Parbat, Syangja, Tanahun, Gulmi, Palpa, Argakhanchi and Rolpa), 3 in Terai Region (Kapilvastu, Rupandehi and Nawalparasi), and 1 non-core district located in the Mountain Region (Mustang). In the beginning of the phase 1, there were 791 VDCs and municipalities in the working districts. As a result of merging of VDCs into municipalities, the number of VDCs and municipalities was reduced to 713 by the end of 2014.

### Demographic characteristics

Population of Nepal as of the 2011 census stands at about 26.5 million. The population in 14 RWSSP-WN working districts is about 4.4 million. The variation between different districts is very high, as presented in the Table 1. In all three Terai districts the population exceeds half a million, with Rupandehi having the highest population of nearly 0.9 million. Mustang district, located in the Mountain region, has a population below 14 000. The population in the hill districts ranges between 200 000 and 320 000. Respectively, population densities are highest in the Terai districts and lowest in Mustang and Myagdi (Census 2011, referred in District and VDC Profile of Nepal, 2014).

Table 1: Population and population density in 14 districts in 2011.

Districts	Population (2011)	Population density
Arghakhanchi*	197,632	166
Baglung	268,613	151
Gulmi**	280,160	244
Kapilbastu	571,936	329
Mustang*	13,452	4
Myagdi	113,641	49
Nawalparasi	643,508	298
Palpa*	261,180	190
Parbat	146,590	297
Pyuthan	228,102	174
Rolpa*	224,506	119
Rupandehi	880,196	647
Tanahu	323,288	209
Syangja	289,148	248
<b>Total/average</b>	<b>4,441,952</b>	<b>223</b>
<b>Nepal total/average</b>	<b>26,494,505</b>	<b>180</b>

\*Non-core districts (Sanitation only), since the Phase II

\*\*Gulmi became RWSSP-WN working district in the Phase II.

Source: Census 2011, referred in District and VDC Profile of Nepal, 2014.

Average annual population growth rate in 14 districts over the last 20 years is 1.2%. Population growth is highest in the Terai districts, with growth rates between 1.6% and 2%. The population increment in 20 years, as compared to 1991 census data, ranges between 32% and 41% in the three Terai districts (census 2011 and 1991; Figure 2). In absolute numbers, the increment has been about 200 000 in Nawalparasi and Kapilvastu and 358 000 in Rupandehi. The high growth is attributed to migration and natural population growth.

There is a clear population shift towards Terai and Kathmandu valley originating from the mountain and hill districts. In the hill districts, the population increment compared to 1991 ranges between 2 and 23 percentage or 3100 and 55 000 in absolute numbers. In Mustang district the trend is declining, with about 6% or 840 person decline in 20 years (Census 2011 and Census 1991, ref. in District and VDC Profile of Nepal, 2014).

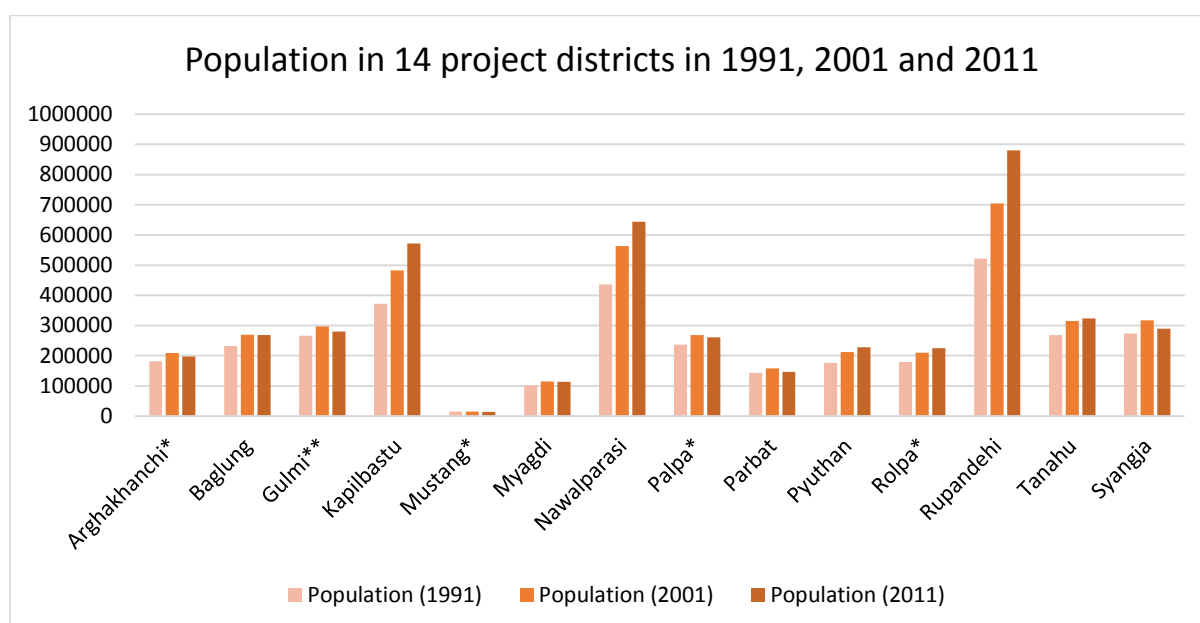


Figure 2: Population in 14 project districts in 1991, 2001 and 2011

\*Non-core districts (Sanitation only), since the Phase II.

\*\*Gulmi became RWSSP-WN working district in the Phase II.

Source: Census 1991, 2001 and 2011, ref. in District and VDC Profile of Nepal, 2014 and Census 2011.

Average household size in the 14 districts is 4.6 persons. Largest households are found in Kapilvastu and other Terai districts and in Rolpa (Table 2). Sex ratio of the 14 districts displays that in average there are 85 males per 100 females, which is higher deviation than the national average ratio of 94. In seven hill districts the sex ratio is below 80 and the lowest ratio is found in Gulmi district. The proportion of female headed households in Nepal is 26%, showing 11 percentage point increase since 2001 (census 2011).

Table 2: Average HH size and sex ratio in 14 districts in 2011

Districts	Average HH size	Sex ratio
Arghakhanchi*	4.2	77.5
Baglung	4.4	78.3
Gulmi**	4.3	76.0
Kapilbastu	6.3	99.7
Mustang*	4.0	111.5
Myagdi	4.1	82.6
Nawalparasi	5.0	89.4
Palpa*	4.4	79.7
Parbat	4.1	80.3
Pyuthan	4.8	78.1
Rolpa*	5.1	84.9
Rupandehi	5.4	96.5
Tanahu	4.1	79.7
Syangja	4.2	77.0
<b>Total/average</b>	<b>4.6</b>	<b>85.1</b>
Nepal total/average	4.9	94.2

Source: Census 2011, referred in District and VDC Profile of Nepal, 2014

\*Non-core districts (Sanitation only), since the Phase II

\*\*Gulmi became RWSSP-WN working district in the Phase II.

## Social characteristics

Table 3 presents basic socio-economic indicators for the 14 project districts with comparison to the national figures. When comparing the national and project district values, it can be concluded that the project districts rank lower in per capita income and life expectancy, but on the contrary the literature rates in the project districts are higher than the national average. The overall Human Development Index (HDI) is slightly lower in project districts (0.439) than what is the national figure (0.490).

As shown in the Table 3, the Per Capita Income (Purchasing power parity; the value of all final goods and services produced in a given year, divided by the average population) in the project districts is in average 952 USD. Districts with lowest income levels are Rolpa, Phyutan and Gulmi, whereas Mustang and Syangja have income levels that are higher than the national average (1160 USD). Also the densely populated Terai districts of Nawalparasi and Rupandehi have relatively high income levels.

The average life expectancy at birth is approximately 68 years, which is one year shorter than the national average. The life expectancy is lowest in Pyuthan and Mustang districts – around 65 years. Overall literacy rate in Nepal has increased from 54% in 2001 to 66% in 2011.

The average literacy rate in the 14 project districts is higher than the national average, standing at 71%. Kapilvastu has remarkably lower literacy rate (55%) than the other project districts. Women's literacy rates (63%) are significantly lower than men's (80%) in all project districts (Census 2011).

Nepal Demographic and Health Survey (NDHS) from 2011 provides data on school attendance ratio in Development region and subregion levels. The net attendance ratio (population in school going age that is attending school, max 100) for primary school (6-10 years) in the Western Development Region is 90.9; ratio for men (91.5) is slightly higher than ratio for women (90.1). The net attendance ratio for



secondary school (11-15 years) is 63.4 in Western Development Region, with slightly higher attendance by women (64.4) than men (62.3).

*Table 3: Socio economic indicators for the 14 project districts in 2011.*

Districts	Per Capita Income (PPP \$) *	Average life expectancy at birth (years)*	Literacy Rate (%)**			HDI (Geometric Mean)*
			Total	Male	Female	
Arghakhanchi	909	68.6	72.6	81.8	65.8	0.482
Baglung	868	68.8	71.9	80.6	65.3	0.478
Gulmi	752	68.1	72.6	81.7	65.9	0.464
Kapilbastu	990	67.6	54.9	64.9	45.0	0.432
Mustang	1922	65.0	66.2	75.4	55.8	0.508
Myagdi	1028	70.1	71.9	81.1	64.5	0.490
Nawalparasi	1157	67.8	70.8	79.9	62.8	0.493
Palpa	985	68.3	76.2	84.9	69.5	0.500
Parbat	1013	70.6	73.9	83.4	66.4	0.510
Pyuthan	681	64.3	67.0	78.2	58.6	0.413
Rolpa	643	66.3	NA	NA	NA	0.395
Rupandehi	1123	68.3	69.8	79.2	60.8	0.498
Syangja	1215	69.7	76.6	86.1	69.6	0.527
Tanahu	NA	NA	74.8	83.7	67.9	NA
<b>Total/average</b>	<b>952</b>	<b>67.9</b>	<b>70.7</b>	<b>80.1</b>	<b>62.9</b>	<b>0.439</b>
Nepal total/average	1160	68.8	65.9	75.1	57.4	0.490

\*District and VDC Profile of Nepal – 2014/2015, data from 2011.

\*\* Census 2011.

### 3.2. Carry over from Phase I

RWSSP-WN Phase II of the project has the responsibility to complete the ongoing or planned Phase I schemes and provide post-construction support to these schemes. Data on the Phase I schemes was collected in two occasions, firstly during the completion of the Phase I in June-July 2013 (refer to Phase I Completion report), and secondly, by the verification study that was carried out in the inception phase of the Phase II in March-April 2014.

The verification study findings show that the total number of the schemes in Phase I (March-April 2014) was 458 completed schemes and 26 ongoing schemes, altogether 484 (Table 4). The figures reported in the Phase I completion report (July 2013) are slightly different: number of completed schemes 446, ongoing 45, altogether 491. Explanation for this is that during the 'transition period' between July 2013 and March 2014, 12 carry-over schemes were completed.

During the verification survey it was also found that seven schemes that were reported as ongoing in Kapilvastu at the end Phase I were in fact not started yet. The 12 carry over schemes that were completed during the transition period will be included in the Phase II progress reports.

*Table 4: Number of schemes by status of the scheme, as per completion phase survey and verification survey.*

	Phase I (completion study 15 June – 15 July 2013)	Transition period (15 July 2013 – March 2014)	Phase II (verification study March – April 2014)
<b>Completed</b>	446	Plus 12 carry over schemes completed	458
<b>Carry over</b>	45	Minus 12 carry over schemes that were completed & Minus 7 reported schemes that were not existent.	26
<b>Total</b>	<b>491</b>		<b>484</b>

Source: Phase I Completion report, verification survey (March/April 2014).

The total number of drinking water supply schemes in different districts ranges between 17 and 86, Rupandehi having the smallest number of schemes and Parbat having the highest number of schemes. The ongoing carry over schemes, as discovered by the verification study, are located in 5 districts (Table 5): Kapilvastu (11 schemes), Nawalparasi, Parbat and Rupandehi (4 schemes each) and Baglung (3 schemes). Out of the 7 schemes that were reported by not yet started in Kapilvastu, five had an agreement signed whereas two did not have an agreement yet. All seven schemes are tube well type.

*Table 5: Number of drinking water supply schemes and their status by district, March-April 2014*

District	Agreement and Scheme not Done	Agreement Done, Scheme not Done	Completed	Ongoing	Grand Total
Baglung			32	3	35
Kapilvastu*	2	5	50	11	68
Myagdi			69		69
Nawalparasi			31	4	35
Parbat			82	4	86
Pyuthan			50		50
Rupandehi			13	4	17
Syangja			68		68
Tanahun			63		63
<b>Grand Total</b>	<b>2</b>	<b>5</b>	<b>458</b>	<b>26</b>	<b>491</b>

\* Including 7 schemes that were not found by the verification survey, although reported in Phase I Completion Report: Table 9, Annex 14 and 15.

Source: verification survey (March/April 2014).

According to the verification survey (March-April 2014), the beneficiary population of completed drinking water supply schemes is 165,012, whereas number of beneficiaries in ongoing schemes is 29,159, altogether 194,171 people (Table 6). In addition, 1066 people are to benefit from the Kapilvastu schemes that are yet to be started.

*Table 6 Water supply scheme beneficiaries by district, March-April 2014*

District	Agreement and Scheme not Done	Agreement Done, Scheme not Done	Completed	Ongoing	Grand Total
Baglung			9,116	5,527	14,643
Kapilvastu	330	736	37,112	12,342	50,520
Myagdi			15,847		15,847
Nawalparasi			8,772	5,019	13,791
Parbat			19,092	3,596	22,688
Pyuthan			14,300		14,300
Rupandehi			10,718	2,675	13,393
Syangja			30,271		30,271
Tanahun			19,784		19,784
<b>Grand Total</b>	<b>330</b>	<b>736</b>	<b>165,012</b>	<b>29,159</b>	<b>195,237</b>

Source: verification survey (March/April 2014).

Gravity scheme is the most common scheme type and they are supported in all other districts except Kapilvastu. Out of 491 schemes, total of 316 are gravity type (Table 7). Lift schemes amount to 51 schemes, including electrical and solar technologies. Lift schemes are supported in all other districts except Baglung and Myagdi. Source improvement schemes amount to 44 schemes in 5 districts, over half of them located in Parbat district. Altogether 72 tube and dug wells are supported in the three Terai districts. Rain water harvesting has been supported in lesser extent, with only 8 schemes located in 4 districts. Out of 491 Phase I scheme, 87% are new schemes and 13% are rehabilitation schemes.

*Table 7: Water supply scheme types by district, March-April 2014*

Row Labels	Gravity	Electric al Lift	Solar Lift	Rain water harvest	Source Improv ement	Tube well	Dug well	Grand Total
Baglung	31			3	1			35
Kapilvastu		11	4			53		68
Myagdi	57				12			69
Nawalparasi	13	1	6				15	35
Parbat	60	3			23			86
Pyuthan	47	1		1	1			50
Rupandehi	5	5	3			4		17
Syangja	60	6		2				68
Tanahun	43	6	5	2	7			63
<b>Grand Total</b>	<b>316</b>	<b>33</b>	<b>18</b>	<b>8</b>	<b>44</b>	<b>57</b>	<b>15</b>	<b>491</b>

Source: verification survey (March/April 2014).

The Phase I Completion Report lists 330 institutional and public latrine schemes that have been supported in the Phase I. The status of the latrine schemes as confirmed by the verification survey is given in the Table 8. Out of the 330 schemes reported in Phase I, one scheme supposedly located in Kapilvastu was not found and 22 schemes were still on-going (under preparation or implementation, not completed). Altogether 306 public latrines were physically completed. Kapilvastu has the highest number of completed and on-going latrines (67 latrines altogether) where as in other Terai districts the support to public and institutional latrines has been less.

*Table 8: Status of phase I institutional and public toilet schemes, March-April 2014*

District	Completed	On-Going	No Data	Scheme Not Found	Grand Total
Baglung	20				20
Kapilvastu	54	12		1	67
Myagdi	49				49
Nawalparasi	14	2			16
Parbat	51				51
Pyuthan	17	3			20
Rupandehi	32	1			33
Syangja	46	3	1		50
Tanahun	23	1			24
<b>Grand Total</b>	<b>306</b>	<b>22</b>	<b>1</b>	<b>1</b>	<b>330</b>

Source: verification survey (March/April 2014).

The use and condition of the Phase I public latrines was assessed using the Saniscore method. The assessment covered 316 out of the total 330 latrines. Explanation of the scores are:

- 0: Not completed/not used = damaged beyond use
- 1: Completed but not used/less use or extremely dirty/recently completed not in use yet
- 2: Completed, used but dirty
- 3: Completed, used but could be cleaner/some damage
- 4: Completed, clean but less used
- 5: Completed, used, clean and has water – perfect case

The survey results show that 83% of the toilets constructed in Phase I are currently in use (Table 9). However, only 11% of the latrines demonstrate the perfect situation – they are used, clean and have water. Majority of the toilets, 76%, have room for improvement in terms of cleanliness or physical condition. This includes 27 toilets (9%) that were found to be not in use either because they had not been completed or they had been damaged beyond use.

*Table 9: Phase I latrines saniscore, March-April 2014*

District/Score	0		1		2		3		4		5		Total
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	
Baglung	3	15	2	10	1	5	9	45	4	20	1	5	20
Kapilvastu	10	15	7	11	12	18	17	26	15	23	5	8	66
Myagdi	2	4	7	15	9	19	16	33	4	8	10	21	48
Nawalparasi	2	13	1	6	0	0	10	63	1	6	2	13	16
Parbat	1	2	7	16	9	20	8	18	12	27	7	16	44
Pyuthan	3	19	0	0	0	0	7	44	1	6	5	31	16
Rupandehi	0	0	0	0	9	27	21	64	3	9	0	0	33
Syangja	4	8	0	0	4	8	37	76	2	4	2	4	49
Tanahun	2	8	2	8	6	25	10	42	0	0	4	17	24
<b>Grand Total</b>	<b>27</b>	<b>9</b>	<b>26</b>	<b>8</b>	<b>50</b>	<b>16</b>	<b>135</b>	<b>43</b>	<b>42</b>	<b>13</b>	<b>36</b>	<b>11</b>	<b>316</b>

Source: verification survey (March/April 2014).

## 3.2 Overall objective indicators

### Indicator 1: Incidence of diarrhea in under-5 children reduced

**Incidence of diarrhea in under-5 children is reported as 15.7%** in Western Development Region in 2011. In Western Terai, the incidence is 17.9% and in Western Hill the incidence is 14.1%. Two of the project districts (Pyuthan and Rolpa) are located in the Mid-Western Development Region, where the prevalence is 14.6% for the entire region and 14.1 for the hill region. Prevalence is counted as the proportion of children that suffered from diarrhea in the last two weeks preceding the survey (NDHS 2011). In 2006, the incidence was reported as 12.6% in the Western Development Region and 10.2 in Mid-western Development Region, showing over 3-4 percentage point increase between the two comparison years. When interpreting the prevalence rates, it should be taken into consideration that prevalence of diarrhea varies seasonally. The field data collection of the two surveys took place between February and June 2011 and February and August 2006. The period of high diarrhea prevalence is April to August. Results from the NMICS 2010 survey for Mid-Western Region are also shown in the table as a reference.

*Table 10: Incidence of diarrhoea in under-5 children, 2011 and 2006.*

Data from NDHS 2011:	2011 (%)	2006 (%)
Western Development Region	15.7	12.6
Western Terai	17.9	12.8
Western Hill	14.1	12.6
Mid-western Development Region	14.6	10.2
Mid-western hill	14.1	10.9
<b>National</b>	<b>13.8</b>	<b>12.0</b>
<b>Data from NMICS 2010 (for ref.):</b>	<b>2010 (%)</b>	
Mid-Western Region (NMCS 2010)	12.7	
Mid-Western Hills	11.3	

Source: NDHS 2011 and 2006; Nepal Multiple Indicator Cluster Survey 2010.

Data on management of diarrheal diseases in under 5 children is recorded by the VDC health posts and outreach clinics. This data is collected throughout the year, and should therefore not be affected by the seasonal effect. However, only cases where the patient seeks treatment from a health worker/facility are recorded. Accessibility of the health posts, number of outreach clinics and awareness on different diseases, among other things, have an effect on treatment seeking behavior. Overall, the real prevalence (including those who do not seek treatment) is bound to be higher. The VDC health posts record diarrhea patients in 3 categories based on level of dehydration (no, medium, serious dehydration; in some districts diarrhea with blood is recorded separately).

### Indicator 2: Under 5 child mortality reduced

Under 5 child mortality in the Western Development Region is reported as **57 per 1000 live births** in 2011 (NDHS 2011, reflecting 5 year period from 2006 – 2010 preceding the survey). This means that one in 18 children dies before their fifth birthday. Infant mortality in the Western Development Region is 53 deaths per 1000 live birth, indicating that 93% of deaths among children under five occur during the first year of life. In Mid-western Development Region, the rates are higher, at 73/1000 and 58/1000 respectively (Rolpa and Pyuthan)

Under-5 mortality has reduced since 2006 (reflecting years 2001-2005), when the rates were 73 and 122 for Western and Mid-western regions. The reduction has been significant in Mid-western region, which in 2006 had the highest mortality rates of all 5 regions; in 2011 the highest rate is recorded in

Far-western development region. It should be noted that the accuracy of the mortality estimates is affected by various errors, such as underreporting of births and deaths of children.

*Table 11: Under 5 mortality and Infant mortality in 2011 and 2006*

	Under-5 mortality		Infant mortality (under 1 year)	
	NDHS 2011 (2006-2010)	NDHS 2006 (2001-2005)	NDHS 2011 (2006-2010)	NDHS 2006 (2001-2005)
<b>National</b>	<b>54/1000</b>	<b>61/1000</b>	<b>46/1000</b>	<b>48/1000</b>
Western Dev. Region	57/1000	73/1000	53/1000	56/1000
Mid-western Dev. Region	73/1000	122/1000	58/1000	97/1000

Source: NDHS 2011 and 2006.

### Indicator 3: Incidence of water and sanitation related diseases reduced

VDC health posts and other health agencies maintain records of patients seeking treatment to following waterborne diseases: typhoid, amoebic dysentery, bacillary dysentery, non-infectious diarrhea, cholera, intestinal worm and jaundice. The limitations regarding VDC health facility data have been discussed under Indicator 1. The NDHS does not capture data on water and sanitation related diseases, except for prevalence of diarrhea in under 5 children.

Prevalence of 6 types of water and sanitation related diseases in 9 phase I project districts from 2009 to 2012 is shown in Table 12.

*Table 12: Prevalence of water and sanitation related diseases in 9 Phase I districts in fiscal years 2066/2067 and 2068/2069)*

District Name	Fiscal Year	Enteric Fever (Typhoid)	Amoebic Dysentery	Bacillary Dysentery	Intestinal worm	Jaundice	Non-infectious Diarrhea	Total
<b>Syangja</b>	66/67	12463	8628	3476	9256	1105	7244	<b>42172</b>
	68/69	11298	6497	2082	5663	760	6777	<b>33077</b>
<b>Tanahun</b>	66/67	4879	4913	2352	7534	777	6510	<b>26965</b>
	68/69	5655	3949	1596	6056	498	5510	<b>23264</b>
<b>Myagdi</b>	66/67	2309	4348	2451	8028	237	12542	<b>29915</b>
	68/69	1850	3099	1541	3806	241	4595	<b>15132</b>
<b>Baglung</b>	66/67	7774	8143	7750	11350	4055	7045	<b>46117</b>
	68/69	11915	6855	6660	7558	1740	6647	<b>41375</b>
<b>Parbat</b>	66/67	7780	5526	6260	8817	2640	7640	<b>38663</b>
	68/69	5351	4736	3684	4506	1980	5071	<b>25328</b>
<b>Nawalparasi</b>	66/67	7394	8804	4284	10999	629	22255	<b>54365</b>
	68/69	8553	9676	4527	12660	735	21570	<b>57721</b>
<b>Rupandehi</b>	66/67	8978	20639	7876	12064	647		<b>50204</b>
	68/69	12434	32046	10461	18547	1432		<b>74920</b>
<b>Pyuthan</b>	66/67	6006	5597	2425	6831	701	10117	<b>31677</b>
	68/69	5336	3738	1708	3594	251	7696	<b>22323</b>
<b>Kapilvastu</b>	66/67	3685	14397	21268	6800	14289	14395	<b>74834</b>
	68/69	10871	24478	14435	15301	2423	14914	<b>82422</b>

Source: RWSSP-WN Phase I Completion Report, Annex 5

#### Indicator 4: Improved capacity of the local governance to provide effective WASH service delivery

Indicator 4 measures the capacity of the local governance. It is assumed that if the local government performance is good overall, the local government (district) should be in the position to provide effective WASH service delivery as well. As a proxy, we use the nation-wide assessment of 'Minimum Conditions and Performance Measures' (MCPMs) of local bodies of Nepal. It is conducted annually since FY 2007/2008 (DDC level) and 2008/2009 (VDC level) with funding from Local Governance and Community Development Program (LGCDP) and MOFALD. The assessment covers all DDCs, VDCs and Municipalities. The assessment consists of 'minimum conditions' indicators that measure the level to which the local bodies observe the laws which are compulsory for them. 'Performance measure' indicators are designed to create incentives for local governments to improve their performance particularly in service delivery and efficiency.

All 14 project districts fulfilled the minimum conditions in 2069/70 assessment (corresponding to 2012/2013). Out of the 75 districts in Nepal, 8 did not meet the minimum conditions. The assessment is done based on 9 indicators measuring the level to which the DDC obliges with the Local Self Governance Act in activities such as planning, reporting, financial management and audits, personnel management.

Table 13: Results of the Performance Measures assessment for FY 2012/2013.

Rank *	District/ score by functionality area	Planning and budget manage- ment	Resource mobilizati on and financial manage- ment	Budget disbursem ent, expenditur e & activity implement -tation	Monitoring evaluation, communic ation and transpa- rency	Organi- zation manageme nt and job description	Total
8	Baglung	15	16	10	21	16	78
9	Palpa	13	16	10	23	16	78
12	Myagdi	11	19	11	20	15	76
13	Arghakhanchi	11	16	13	21	15	76
14	Nawalparasi	15	16	12	18	14	75
20	Parbat	13	10	13	21	14	71
21	Rupandehi	13	10	15	17	16	71
23	Kapilvastu	14	12	6	23	15	70
24	Rolpa	13	14	12	20	11	70
29	Pyuthan	13	16	12	16	12	69
33	Gulmi	7	16	13	19	13	68
40	Tanahun	12	12	11	19	10	64
42	Mustang	9	12	7	21	14	63
46	Syangja	11	13	6	18	14	62
	<b>Average score</b>	<b>12.1</b>	<b>14.1</b>	<b>10.8</b>	<b>19.8</b>	<b>13.9</b>	<b>70.8</b>

\*Rank among 75 districts

Source: MoFALD 2014

The performance measures consist of a total of 46 indicators covering five functionality areas. Score by each functionality area and the total score is presented for all 14 project districts in the Table 13. A



full table showing score for each indicator by all 14 districts is presented in Annex 1. All project districts received the minimum score from each 5 areas (altogether 40) and thus passed the performance measures. Five project districts, Baglung, Palpa, Myagdi, Argakhanchi and Nawalparasi, scored above 75 out of maximum 100 points, ranking among the top 15 districts. None of the 14 district however scored above 80, which was the requisite score to receive the maximum additional grant of 20%. Three project districts, Syangja, Mustang and Tanahun, ranked below 40 in the comparison of all 75 districts.

Indicator 25 (Annex 1) assesses the district's efforts in the development and management of drinking water and sanitation sector based on four variables: existence of WASH plans, budget allocation for WASH, progress towards ODF (min. 10% of VDCs declared ODF) and sustainability of ODF. All project districts fulfilled these 4 sub-criteria and received the maximum score of 2 points. For the 9 Phase I districts, this result is certainly reinforced by the presence of RWSSP-WN Phase I. The contents or extent of the WASH plans are not further defined, but it is known that none of the districts had a Districts Strategic WASH plan in place at the time of the assessment. District Development Plans (assessed under indicator 4) were in place in only one district, Pyuthan.

#### Indicator 5: Decreasing disparity between the worst- and best-served VDCs with regards to sanitation and water supply coverage

An overview of the nationwide water and sanitation coverage is provided by the 2014 NMIP update (Nationwide Coverage and Functionality Status of Water Supply and Sanitation in Nepal, 2014). The 2014 report builds on the survey from 2008, with updated information of public and private sector at 36 042 wards of 58 municipalities and 3815 VDCs. The update is based on data collection by the technicians of District/Division Offices to complement the 2008 data; no new survey has been carried out for the 2014 update. The water and sanitation coverage data presented in the report shows the situation for the last fiscal year.

The update report shows that the **national water supply coverage is 83.6%** and **sanitation coverage is 70.3%**. Both water supply and sanitation coverage have increased since 2010, when they were reported at 80.4% and 43% respectively. The report does not offer district or development region-wise data. Water supply coverage is understood as meeting the minimal need of the consumers, regardless whether it's in desired quantity and quality. Sanitation coverage is understood as the use of sanitarily clean permanent toilet (permanent substructure up to plinth level) with no exposure of excreta and no access of any vectors.

Data on water supply coverage in nine project districts is provided in the District Strategic WASH Plans (D-WASH-P). The D-WASH-Plans are utilizing secondary data from NIMP/DWSS (for district level data) as well as data from D-WASH-CCs and in some cases also from V-WASH-CC (VDC level data). Data is mainly from years 2011 – 2013 (depending on timing of D-WASH-Plan preparation and availability of data in each district). Reliability of the water supply coverage data is often disputed and there can be major discrepancies between different data sources. Even in a given D-WASH-Plan, the average district water supply coverage does not match with the VDC level data, because of different data sources.

The VDC-level data extracted from the D-WASH-Plans was analyzed by classifying the VDCs on seven water supply coverage classes. Given that the minimum water supply coverage rate in a VDC is 34%, the classes start from 30 – 39% coverage and are divided in every 10 percentage point. Data is available for 9 Phase I districts, consisting of 539 VDCs. As shown in Figure 3, about half (51%) of the VDCs have water supply coverage of 90% or more – meaning that in 51% of VDCs 90-100% of households have access to improved water supply, regardless of whether it is of desired quality and quantity. In 42 VDCs all households are reported to have access to improved water (water supply coverage 100%). Achievements by the RWSSP-WN Phase I are expected to be reflected in these figures. As mentioned,

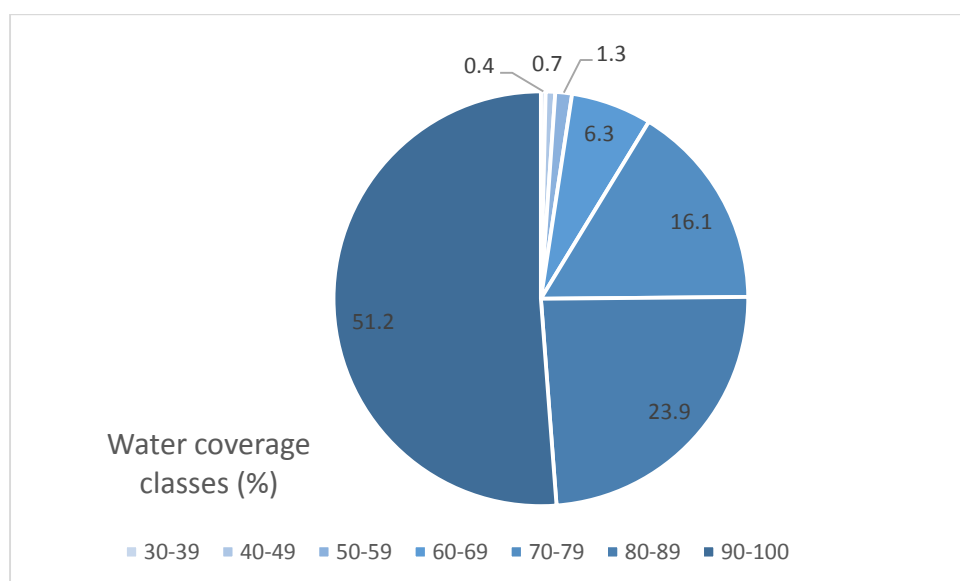


Figure 3: Percentage of VDCs in each water coverage class

Source: District Strategic WASH Plans (9 districts)

VDC classification by nine project district, as well as district average waters supply coverage rate is presented in Table 14. Particularly Myagdi district stands out having lower rates of water supply coverage: 19 VDCs (46%) have water supply coverage below 70%. Also Nawalparasi, Tanahun, Kapilvastu, Baglung and Syangja still have VDCs with less than 70% water supply coverage; altogether 47 VDCs have water supply coverage below 70%. On the other hand, In Pyuthan, all VDCs are reported to have water supply coverage between 90 and 100%. The cases of three Terai districts – Nawalparasi, Kapilvastu and Rupandehi – are interesting because while the D-WASH-Plans report the district coverage to be between 82% and 94%, previously collected District MIS data showed that the three districts have nearly 100% coverage.

Table 14: Number of VDCs in each water coverage class

Water coverage %	30-39 (%)	40-49 (%)	50-59 (%)	60-69 (%)	70-79 (%)	80-89 (%)	90-100 (%)	Total no. of VDCs	District average (%)
Baglung	0	0	0	4	6	8	43	61	88
Kapilvastu	0	0	0	4	16	35	23	78	84
Myagdi	1	2	5	11	7	3	12	41	78
Nawalparasi	1	1	1	10	16	20	25	74	82
Parbat	0	0	0	0	7	11	37	55	90
Pyuthan	0	0	0	0	0	0	49	49	97
Rupandehi	0	0	0	0	0	16	55	71	94
Syangja	0	0	0	3	17	27	16	63	84
Tanahun	0	1	1	2	18	9	16	47	82
<b>Total</b>	<b>2</b>	<b>4</b>	<b>7</b>	<b>34</b>	<b>87</b>	<b>129</b>	<b>276</b>	<b>539</b>	
<b>%</b>	<b>0.4</b>	<b>0.7</b>	<b>1.3</b>	<b>6.3</b>	<b>16.1</b>	<b>23.9</b>	<b>51.2</b>	<b>100.0</b>	

Source: District Strategic WASH Plans (9 districts)

Sanitation coverage in the 14 project districts, in terms of VDCs ODF status, is discussed in more detail under result indicator 1.1. For ODF declared VDCs and districts, the sanitation coverage is taken as 100% by default. In the beginning of the Phase II, lowest VDC ODF rates were in Palpa (9% of VDCs declared ODF), Kapilvastu (17%), Rolpa (18%), Gulmi (20%) and Rupandehi (21%). The target is that at the end of the phase II, all will have access to sanitation facilities, thus eliminating disparity with regard to access sanitation.

### 3.3 Project purpose indicators

Indicator 1: 150,000 previously unserved people benefit from access to improved water supply.

**Baseline:** 0

**Target:** 150,000 (100,000 if the budget remains as in the original Project Document)

The number is increased from 100,000 to 150,000 if the investment budget for water supply is increased by EUR 2 million, keeping the unit cost EUR 40 per capita as the reference unit. All water supply schemes that receive investment funds from RWSSP-WN Phase II, are counted under this indicator. The categories of beneficiaries are shown in Table 15, and consist of 1) New Phase II beneficiaries, 2) beneficiaries of Phase I carry over schemes that will be completed during Phase II, and 3) people who benefited from access to water supply in Phase I schemes, but which require investments also in Phase II. The third category of beneficiaries was added when it was revealed that some of the Phase I completed schemes are in poor condition or not functioning; the Phase II envisions to leave only fully completed and functional schemes behind it.

Previously unserved means no previous access to improved water supply. Generally, improved water supply refers to water supply schemes that have Service Level 1 in terms of quantity, access, reliability and quality (see Result 2.3 for full definition). In practice, the word “improved” can be ambiguous: improved compared to what? While the project should not deliver anything less than the Service Level 1, in reality in the most hardship areas where rainwater harvesting and point source improvements are the only options, reaching the Service Level 1 is not possible. Due to these limitations, all beneficiaries are counted under this indicator, as long as the new system provides water supply that is improved to the previous conditions. This problematique is further elaborated under Indicator 2.4.

*Table 15: Categories of beneficiaries included in the target of 100 00/150 000.*

Beneficiaries in Phase II that are included in 150 000 target	Number	Percentage
New Phase II beneficiaries	To be updated	To be updated
Beneficiaries from Phase I carry over schemes completed in Phase II	30,225 (estimated)	20.15% (estimated)
Beneficiaries from Phase I completed schemes that have been improved in Phase II	To be updated	To be updated
<b>Total target</b>	<b>150,000</b>	<b>100%</b>

Indicator 2: All water supply schemes supported by the project provide functional, improved and safe water supply services.

This indicator relates to Phase I and Phase II gravity flow and lift water supply schemes (piped water systems) that are operated and managed by WUSCs.

**Baseline:** 0 for Phase II, 0 for Phase I (out of total 367 gravity flow and lift water supply schemes) as none of the Phase I schemes have water safety plans.

**Target:** 100% (of Phase I and II supported gravity and lift schemes)

This indicator links to the Result 2.1 and 2.2 indicators on water safety and WUSC status. If the Result 2.1 and 2.2 indicators are realized, then this indicator is fulfilled. Functionality results from functional WUSCs that are implementing their O&M and Water Safety Plans, pay water tariffs etc. and this is a precondition for improved and safe water supply in community managed water supply schemes.

During the Phase I, a Handbook on Community-wide Water Safety Planning was prepared and launched together with DoLIDAR. Nonetheless, none of the Phase I schemes have been found to have Water Safety Plans in place. The concept of Water safety plan is further elaborated under the Indicator Result 2.1. The target in Phase II is to facilitate the preparation WSPs in all 367 WUSC managed gravity and lift schemes implemented in the Phase I, as well as Phase II schemes.

The findings of verification survey of Phase I schemes on the capacity of WUSCs is discussed in detail under the Indicator Result 2.2.

Indicator 3: No one practices open defecation (all districts declared ODF)

Indicator 4: All ODF districts have developed post-ODF strategy and ensured access to post-ODF support to their VDCs

**Indicator 3 baseline:** 4 out of 14 districts (29%) were ODF by September 2013.

**Indicator 3 target:** 100% (all 14 districts)

**Indicator 4 baseline:** 4 out of 14 districts had developed post-ODF strategies by September 2013 and 2 out of 14 districts demonstrated post-ODF support to their VDCs.

**Indicator 4 target:** 100% (all 14 districts)

**Indicator 3** measures district level achievement in reaching ODF situation and is based on the status awarded by the responsible government body (i.e. D-WASH-CC). It is noted that reaching ODF is a joint effort by numerous sector stakeholders, and RWSSP-WN is one of the actors contributing towards this goal.

Open Defecation Free (ODF), as defined in the Sanitation and Hygiene Master Plan of the Government of Nepal, means that 'no faeces are openly exposed to the air'. According to the Master Plan, collection of faeces in a direct pit with no lid is considered as a form of OD, whereas a pit with a fly proof lid qualifies for ODF. The Master Plan sets the following criteria for ODF situation: 1) There is no OD in the designated area at any given time; 2) All households have access to improved sanitation facilities (meaning facilities that hygienically separates human excreta from human contact) with full use, operation and maintenance; and 3) All the schools, institutions or offices within the designated areas must have toilet facilities. Given the above definition and criteria of the ODF, it is not obligatory for households to have fully permanent toilets in order for district to declare ODF. The Master Plan does however suggest that toilets should have permanent structures at least up to the plinth/floor level.

At the beginning of the Phase II, 4 project districts – Tanahun, Myagdi, Parbat and Pyuthan – had been declared as ODF districts. This is taken as the baseline for the Phase II. Table 16 below summarizes the districts' ODF status at the baseline time (FY00 for 10 districts and FY01 or FY02 for districts that were added later)

Field visits and reports from the ODF declared districts raise some concern on the sustainability of the ODF achievements. It has been shown that Open Defecation does continue, although in a smaller scale compared to earlier situation, in the ODF declared areas. People resume to open defecation, for example, when temporary toilets exceed their intended life-cycle and are abandoned, or when permanent household and public toilets are abandoned due to lack of maintenance, or new houses are built without toilets. Addressing the remaining OD practice should be included in the post-ODF strategies and WASH planning.

**Indicator 4** measures the status and implementation of Post-ODF strategy and activities of the districts. At the beginning of the Phase II, 4 project districts had published post-ODF strategies. In two districts, Pyuthan (Swargdawari VDC) and Tanahun (Thaprek VDC), one ward in each had been declared TBC by the beginning of the phase II, thus demonstrating some level of post-ODF support to VDCs. There's however no prove that post-ODF support would have reached all VDCs - i.e. that all V-WASH-CCs would have developed VDC-wide post-ODF strategies as part of the updated VDC sanitation strategy or V-WASH-plan by the beginning of the Phase II.

Table 16: District ODF status by start of Phase II.

Districts	Districts declared ODF at the beginning of Phase II (FY00)		Declaration date	FY00 Districts with post-ODF strategy	FY 00 Districts with post-ODF support to VDCs
	ODF	Baseline FY*			
Argakhanchi	no	FY02	29 <sup>th</sup> November 2014	no	no
Baglung	no	FY00	30 <sup>th</sup> January 2014	no	no
Gulmi	no	FY01	NA	no	no
Kapilvastu	no	FY00	NA	no	no
Mustang	no	FY00	29 <sup>th</sup> November 2013	no	no
Myagdi	YES	FY00	9 <sup>th</sup> October 2012	YES	no
Nawalparasi	no	FY00	NA	no	no
Palpa	no	FY01	NA	no	no
Parbat	YES	FY00	29 <sup>th</sup> March 2013	YES	no
Pyuthan	YES	FY00	13 <sup>th</sup> April 2013	YES	YES
Rolpa	no	FY01	NA	no	no
Rupandehi	no	FY00	NA	no	no
Syangja	no	FY00	NA	no	no
Tanahun	YES	FY00	18 <sup>th</sup> July 2012	YES	YES
<b>Total</b>	4 districts			2 districts	0 districts

\*Gulmi and 4 sanitation districts became RWSSP-WN project districts later during the first and second financial years.

Source: RWSSP-WN Project MIS and DWSS.

Indicator 5: More than 220,000 people benefit from the capacity building activities (R1, R2, R3)

**Baseline:** 0

**Target:** 220,000

All capacity building events that receive funds from RWSSP-WN Phase II, are counted under this indicator. The indicator counts participants in both District Development Fund (DDF) and Technical Assistance (TA) funded capacity building events and programmes, but not the participants in mass events. Target of 220,000 can include the same person participating in different training events and programmes. In other words, for instance WUSC members are expected to participate in a number of training sessions on various topics, and their participation is counted again each time. This figure counts “participant equivalents” rather than new participants in the capacity building events.

The direct beneficiaries include staff of District and Village Development Committees, members of D-WASH-CCs and V-WASH-CCs, WUSC members and scheme beneficiaries, volunteers in the sanitation movement, teachers, district WASH-unit staff and support persons etc. Beneficiaries of capacity building activities other than training, such as those who benefit from health promoters house visits, are also counted under this indicator. Participants in planning, monitoring and public hearing sessions are counted as recorded in the scheme monitoring book and V-WASH-CC’s register book. D-WASH-CC meetings where RWSSP-WN II representative is presenting are also counted.

According to the Phase I completion report, approximately 45,000 people were trained during the Phase I. Altogether 2,379 people received training organized by PSU, mainly consisting of training to trainers provided to DDC/DTO, district WASH unit staff and service providers on topics such as VDC WASH plan preparation, lead TBC facilitators training, training in design estimate, financial management, procurement, nutrition, GESI and water quality. Majority of the training participants, altogether 42,951, received the training by the districts. These trainings were mainly targeted for the community people to enhance their skills and knowledge and to create behavioral change.

Indicator 6: District s’ WASH programmes capable to provide support to VDCs, WUSCs and other community groups on a responsive basis in scheme planning, implementation and O&M, showing consistently improving the annual performance.

**Baseline:** 0 (no annual performance evaluation have been done; these will be conducted from FY02 onwards)

**Target:** 100% of the core districts.

This indicator reflects the outcome from the Result level indicators “DDCs and D-WASH-CCs practicing coordinated planning, implementation and monitoring of WASH activities at district level with adequate staff and plans, tools, skills and linkages” and similar for VDCs and V-WASH-CCs. This reflects the achievements done under all three result areas and as such, represents a purpose-level indicator. This indicator is fulfilled if Result 3 indicators 3.3, 3.4 and 3.5, measuring DDC’s and VDC’s planning practices and results of the district’s annual performance evaluation, show an increasingly positive trend.

D-WASH-CCs that bring together WASH stakeholders to plan and coordinate district WASH activities, were activated in the Phase I. To emphasize the importance of hygiene for health, RWSSP-WN program districts activated the committees in 2009 and renamed them as DWASHCC. The National Sanitation and Hygiene Master Plan in 2011 endorsed the new name and also emphasized the important role the coordination committee play in the WASH sector (Phase I Completion report). How committed and active the D-WASH-CCs are and the level of leadership varies between districts and in time.



During the Phase I of the project, district WASH units were established under the DDC/DTO in all nine districts to serve as the WASH line section under DDC. At the end of the Phase I (as of 15 July 2013), there was altogether 53 staff placements in all nine D-WASH-units, the average staff number being 6, including the staff from DDC/DTO and outsourced service persons. In all districts, the number of staff was short of the proposed 9 (Phase I Completion report). The lowest staff placement was in Baglung, with only 2 staff members, whereas the highest was in Tanahun and Syangja with 8 members in both. The staffing situation had however undergone changes – especially in those districts where most of the Phase I staff was outsourced – by the time the Phase II was established in the districts. Altogether in five districts, the number of staff was reduced by the fielding of the Phase II in mid-January 2014. On the other hand, in four districts the number of human resources had increased or remained the same. In terms of sustainability of the unit, the DDCs which made provision of dedicated full time staff are found to be more effective.

## Result 1: Sanitation and hygiene

**Result 1 (Component 1): Access to sanitation and hygiene for all achieved and sustained in the project working districts.**

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### *Indicator Result 1.1 # of VDCs declared ODF*

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**Baseline:** 417 VDCs/municipalities (53 %) out of 791 VDCs/municipalities (before restructuring).  
363 VDC/municipalities (51%) out of 713 (after restructuring in 2014)

**Target:** 100% (all VDCs/municipalities in 14 districts, ultimate target district ODF)

Merging of VDCs into municipalities in 2014 has changed the total number of VDCs/municipalities, as well as the number of ODF/non-ODF VDCs. Previously there were altogether 791 VDCs and municipalities in the 14 project districts, out of which 417 had declared ODF. After the restructuring at the end of 2014, the number of VDCs and municipalities was reduced to 713, out of which 363 are ODF. In case when newly formed municipalities consist of both ODF and non-ODF VDCs, the status of the municipality is taken as non-ODF. Table 17 shows the VDC ODF status by each project district before the restructuring. At the start of the Phase II, ODF status was lowest in Palpa (only 6 VDCs or 9% of VDCs), followed by Kapilvastu, Rolpa, Gulmi and Rupandehi. Notice that for Argakhanchi the baseline is taken as the beginning of the FY02, when it was approved as a project non-core district. The population in 417 ODF declared VDCs and municipalities was 2,001,646, making up approximately 45% of the total population in 14 districts (4,410,739; District MIS).

The reporting will consist of two types of VDCs: those that have received direct project support from the DDF investment funds, and those VDCs that are declared within the project districts where the RWSSP-WN contribution is channelled through D-WASH-CCs joint efforts and through minor support for ODF celebrations only.

In the beginning of the RWSSP-WN I in 2008, only 3 VDCs had declared ODF in the 9 phase I districts. The sanitation campaign, as measured by the ODF declarations, was significantly accelerated throughout the Phase I. Concerns regarding the sustainability of the past ODF achievements was raised under the Purpose level indicator 3.



Table 17: VDC level ODF status at the end of FY 2069/2070, or June/July 2013

Districts	FY 00 Number of VDCs by ODF status		FY 00 % of VDCs ODF	Total number of VDCs
	Yes	No		
Argakhanchi*	19	23	45	42
Baglung	60		100	60
Gulmi	16	63	20	79
Kapilvastu	13	65	17	78
Mustang	16		100	16
Myagdi	41		100	41
Nawalparasi	22	52	30	74
Palpa	6	60	9	66
Parbat	55		100	55
Pyuthan	49		100	49
Rolpa	9	42	18	51
Rupandehi	15	56	21	71
Syangja	62		100	62
Tanahu	47		100	47
<b>Total</b>	<b>417</b>	<b>374</b>	<b>53</b>	<b>791</b>

\*Baseline value as of beginning of the FY02, when Argakhanchi was approved as a non-core district of the RWSSP-WN. (6 yes and 36 no in FY00), Source: RWSSP-WN Project MIS.

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*Indicator Result 1.2 # of institutions/schools/public places supported by the project fund in Phase II with disabled and gender-friendly toilets and access to hand washing.*

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**Baseline:** 0

**Target:** 100%, 200 public/school/institutional latrines.

The indicator applies to Phase II latrines only. Phase II will not attempt to upgrade institutional latrines constructed in Phase I to meet these standards (except in some exceptions)

The features of Child, Gender and Differently-abled latrines are given in the Sanitation and Hygiene Master Plan (p. vi), and the specific features that were observed by the verification survey enumerators are as follows:

- *Child friendly features:* “include water taps, knobs and latches of toilet doors and windows at suitable heights and convenience for children at different ages.” The enumerators assessed this by observing the suitable height of water taps and latches.
- *Gender friendly features:* “the location of the toilet should be appropriately selected in a safe and secure place and the door, windows and ventilation should safeguard privacy. In addition to water, in schools and other public institutions, the toilet should have facilities for maintaining menstrual hygiene management. For example, a bucket with cover/ lid inside the toilet or an incinerator attached just outside the toilet is essential.” The enumerators observed whether there is a separate toilet for male and female, but the privacy aspects or menstrual hygiene management facilities were not assessed.

- *Differently-abled friendly toilet:* “should include a ramp up to toilet, sufficient space for a wheelchair in the passage, hand railing in the passage and, within the toilet cubicles, appropriate types of seating arrangements and support on the toilet.” This was assessed by observing whether there is a ramp for wheelchair access and whether the toilet is located in easily accessible place (i.e. not in a slope).

Access to hand washing facility implies that water is available inside or close to/within the visibility of the toilet.

The condition of 304 out of 306 completed Phase I public and institutional latrines was assessed by the Field Verification survey. As shown in Tables 18 and 19, 61 % of the latrines have a hand washing facility and 23 % are found Gender, child and disabled (GCD) friendly.

*Table 18: Phase I supported public latrines with hand washing facility, March/April 2014.*

District	No (no.)	Yes (no.)	Yes %	Grand Total
Baglung	17	3	15	20
Kapilvastu	5	49	91	54
Myagdi	20	29	59	49
Nawalparasi	3	11	79	14
Parbat	38	11	22	49
Pyuthan	3	14	82	17
Rupandehi	15	17	53	32
Syangja	11	35	76	46
Tanahun	8	15	65	23
<b>Grand Total</b>	<b>120</b>	<b>184</b>	<b>61</b>	<b>304</b>

Source: Verification survey, March/April 2014.

*Table 19: Phase I supported public latrines that are disabled, gender and child friendly, March/April 2014.*

District	No (no.)	Yes (no.)	Yes %	Grand Total
Baglung	18	2	10	20
Kapilvastu	12	42	78	54
Myagdi	32	17	35	49
Nawalparasi	11	3	21	14
Parbat	47	2	4	49
Pyuthan	17	0	0	17
Rupandehi	32	0	0	32
Syangja	45	1	2	46
Tanahun	20	3	13	23
<b>Grand Total</b>	<b>234</b>	<b>70</b>	<b>23</b>	<b>304</b>

Source: Verification survey, March/April 2014.

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*Indicator Result 1.3 # of Wards declared for having achieved total sanitation (wards within which each household complies with at least four out of five main TBC criteria as listed in the National Sanitation and Hygiene Master Plan)*

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**Baseline:** 0 for Phase II.

**Target:** 100%, (target 300 wards in Phase II).

In phase I, 2 wards had declared Total Sanitation; 1 in Swargdawari VDC of Pyuthan district and 1 in Thaprek VDC of Tanahun district. The five key hygiene and sanitation behaviours as defined in the National Sanitation and Hygiene Master plan are listed below. Each household will have to comply with at least four of these criteria in order for the ward to be declared Total Sanitation.

- Use of toilets
- Practice of hand washing with soap or cleaning agent at critical times
- Safe handling and treatment of drinking water (e.g. Point of use treatment) at household level
- Maintenance of personal hygiene (regular nail cutting, bathing, cloth washing, daily combing, tooth brushing etc.)
- Proper solid and liquid management in and out of the home

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*Indicator Result 1.4 # of VDCs implementing post-ODF strategy with institutionalized post-ODF support mechanisms accessible to all within a VDC.*

---

**Baseline:** 0

**Target:** 100%, 100 core VDCs, including Phase I core VDCs.

Those VDCs where the V-WASH-CCs have developed VDC-wide post-ODF strategy as part of the updated VDC Sanitation Strategy or V-WASH Plan and are taking those activities up in their annual workplans and related budgets are counted under this indicator. The updated and new V-WASH Plans will all pay attention to post-ODF strategies. This will be also a topic in the annual VDC-wide monitoring that is an important part of the VDC phase out strategies and hence, Phase II Completion Strategy.

With increased basic sanitation coverage to build on, growing amount of effort will be paid on post-ODF support in the Phase II. In the Phase I, ODF campaigning remained as the main focus until the end of the phase, and less effort was paid on post-ODF work. Thus the baseline situation for the Phase II in terms of systematic and strategic post-ODF support to VDCs is to start from the beginning.

## Result 2: Water supply

**Result 2 (Component 2): Access to safe, functional and inclusive water supply services for all achieved and sustained in the project working VDCs**

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*Indicator Result 2.1 Safe water: # of water supply schemes supported by the Project fund in the Phase I and Phase II apply a Water Safety Plan with CCA/DRR component.*

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**Baseline:** 0

**Target:** 100%, 600 gravity and lift schemes, including Phase I schemes (altogether 367 gravity and lift schemes).

The scheme will have to fulfil the following conditions in order to be counted: 1) WUSC is trained in WSP; 2) WUSC has prepared a WSP for their scheme, and 3) Action items from WSP have been applied in practice at the time of monitoring. This indicator applies to both Phase I and Phase II gravity and lift schemes.

Water Safety Plans will be prepared in the WUSC level and the respective WUSCs will be responsible for implementing them. The plans will help the WUSCs in maintaining and/or restoring safe water within their scheme. Measures to minimize contamination at source, during treatment process, storage, distribution and handling of drinking water are identified in the WSPs. CCA/DRR integration includes, for example, plans for source conservation and protection including catchment protection, improving water storage through measures such as recharge ponds and contour trenches, and identification of potential areas that are likely to be affected or damaged by possible disasters and preparing necessary protection measures for the same. Water Safety Planning templates will be launched in all working VDCs to be utilized for the preparation, implementation and monitoring of WSP status.

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*Indicator Result 2.2. Institutional capacity: # of WUSCs supported by the Project fund in the Phase I and Phase II are inclusive and capacitated to provide sustainable services. WUSC defined as functional fulfils the following criteria:*

- a) WUSC is registered and has statute.*
  - b) O&M plan made and applied*
  - c) Adequate water tariff defined and collected*
  - d) VMW trained and working as needed*
  - e) WUSC has proportional representation of caste/ethnic/social groups and 50% women.*
- 

**Baseline:** 0%

**Target:** 100%, 600 WUSCs, including Phase I WUSCs (altogether 367 gravity and lift schemes).

Continued sustainable access to water supply services depend on the ability of the WUSC to keep the facility functional. In the Phase II there are results indicators that apply also to Phase I WUSCs in this regard. However, these indicators apply only to gravity schemes and lift schemes, as these schemes serve clusters of households and require active WUSCs to operate and maintain them. Smaller water supply schemes that serve individual households or groups, often operated by Water User Groups that are recorded in their respective VDCs, are not included in this indicator. Such schemes mainly include dug and tube wells and rain water harvesting systems. The gravity and lift scheme will be counted if all 5 conditions respond positive during the final, post-construction phase monitoring.

## **2.2 a) WUSC is registered and has statute.**

In compliance with the Water Resource Act, the WUSCs of gravity and lift schemes are required to register under the Water Resource Committee of each District. Only registered WUSCs are recognized

as legal institutions that have legal rights over the water resource. Table 20 shows WUSC registration status of all Phase I gravity and lift schemes (367) by district. Overall 72% of Phase I WUSCs are registered. Only in one district, Myagdi, all WUSCs are registered, whereas in Parbat only 29% of WUSCs are registered. In altogether 59 WUSCs registration was in process during the verification study whereas 37 WUSCs were not registered nor the registration was being processed. In most of the schemes, the verification study was not able to observe whether the WUSCs had a statute or not; Data is available for 183 cases out of total 367 schemes/WUSCs.

*Table 20: Registration status of Phase I gravity and lift scheme WUSCs, March/April 2014.*

District	Registered		Total WUSCs observed	Have statute		Total WUSCs observed
	Count	%		Yes	%	
Baglung	27	87	31			0
Kapilvastu	7	47	15	7	64	11
Myagdi	57	100	57	3	100	3
Nawalparasi	15	75	20	5	63	8
Parbat	18	29	63	8	16	49
Pyuthan	39	81	48	24	69	35
Rupandehi	12	92	13	8	67	12
Syangja	37	56	66	12	43	28
Tanahun	53	98	54	36	97	37
<b>Grand Total</b>	<b>265</b>	<b>72</b>	<b>367</b>	<b>103</b>	<b>56</b>	<b>183</b>

Source: Verification study, March/April 2014.

## 2.2 b) O&M plan made and applied

Data on Operation and Maintenance (O&M) plan and implementation was collected from 278 and 269 schemes out of total 367 gravity and lift schemes. Out of the WUSCs that were observed and interviewed, 49% confirmed that they have some type of O&M plan and 37% confirmed they are implementing it. Table 21 elaborates the situation by districts. In Practice, 'Yes' means that operation and maintenance plan related items were observed in the WUSC register book. These O&M plans are not as comprehensive as what is intended in the Phase II.

*Table 21: Status of O&M Plan and its implementation in Phase I gravity and lift schemes, March/April 2014.*

District	O&M Plan made			Total	O&M Plan implemented			Total
	No	Yes	Yes %		No	Yes	Yes %	
Baglung	1	0	0	1	0	0	0	0
Kapilvastu	1	0	0	1	1	0	0	1
Myagdi	29	21	42	50	44	6	12	50
Nawalparasi	4	13	76	17	12	4	25	16
Parbat	39	20	34	59	41	18	31	59
Pyuthan	24	22	48	46	19	21	53	40
Rupandehi	13	0	0	13	13	0	0	13
Syangja	14	32	70	46	18	28	61	46
Tanahun	16	29	64	45	17	27	61	44
<b>Grand Total</b>	<b>141</b>	<b>137</b>	<b>49</b>	<b>278</b>	<b>165</b>	<b>104</b>	<b>39</b>	<b>269</b>

Source: Verification study, March/April 2014.

O&M plan & tariff templates will be launched in all working VDCs to support the institutionalization of the operation and maintenance practices of the WUSCs, improve the transparency of O&M funds/tariff collection, and serve the monitoring purposes.

## 2.2 c) Adequate water tariff defined and collected.

This indicator consists of two parts, firstly, status of water tariff collection (yes or no), and secondly, whether the tariff has been defined based on the water tariff calculation model to ensure that it is adequate for O&M and cost recovery (yes or no).

According to the survey, 51% of the phase I scheme WUSCs were collecting a water tariff. In majority of the schemes (71%), the monthly water tariff per household is NPR 50 or less. The verification survey only collected data on size of the collected water tariff, but no data was collected on how it was defined. The RWSSP-WN Phase II has a defined method of calculating water tariff rate that is adequate for day-to-day operating cost of the scheme; this should be the minimum level of collected water tariff. There is also an option for more advanced WUSCs to calculate a water tariff that accumulates sufficient fund for the replacement of the scheme when it has surpassed its design period (project cost recovery).

Table 22: Water tariff collection in Phase I gravity and lift schemes, March/April 2014.

District	Water tariff NPR, HH/month (or other)				Yes		No	Grand Total
	>51	51-100	101-200	>200	count	%		
Baglung					0	0	31	31
Kapilvastu				14	14	93	1	15
Myagdi	42	1			43	75	14	57
Nawalparasi	7	3		2	12	60	8	20
Parbat	8	2	2	4	16	25	47	63
Pyuthan	25		2	0	27	56	21	48
Rupandehi	6	2			8	62	5	13
Syangja	25	4	3	3	35	53	31	66
Tanahun	19	3	7	2	31	57	23	54
<b>Total</b>	<b>132</b>	<b>15</b>	<b>14</b>	<b>25</b>	<b>186</b>	<b>51</b>	<b>181</b>	<b>367</b>

Source: Verification study, March/April 2014.

## 2.2 d) VMW trained and working as needed

Data on whether Village Maintenance Worker (VMW) has been trained and whether (s)he is working regularly was collected from 353 and 200 schemes out of total 367 gravity and lift schemes. The verification study shows that in altogether **113 schemes** both of these conditions are fulfilled. According to the survey findings, in 161 schemes (46%) at least one maintenance worker has been trained and in 156 schemes (78%) at least one VMW is working regularly. There are several schemes where no VMW was reported to be trained but that did have a regularly working maintenance worker, and vice versa. VMW training and working status by district is shown in the Table 23. Notice that the number of trained VMWs is more than 161, as there are schemes where more than one VMW has been trained.

Table 23: VMW trained and working status in Phase I schemes, March/April 2014.

District	VMW trained				VMW working regularly			
	No	Yes	Yes %	Grand Total	No	Yes	Yes %	Grand Total
Baglung	30	1	3	31	3	7	70	80
Kapilvastu		1	100	1		1	100	101
Myagdi	12	45	79	57	3	12	80	95
Nawalparasi	7	13	65	20	3	11	79	93
Parbat	45	18	29	63	21	20	49	90
Pyuthan	27	21	44	48	1	20	95	116
Rupandehi	9	4	31	13	3	8	73	84
Syangja	34	32	48	66	3	40	93	136
Tanahun	28	26	48	54	7	37	84	128
<b>Grand Total</b>	<b>192</b>	<b>161</b>	<b>46</b>	<b>353</b>	<b>44</b>	<b>156</b>	<b>78</b>	<b>278</b>

Source: Verification study, March/April 2014.

## 2.2 e) WUSC has proportional representation of caste/ethnic/social groups and 50% women.

As shown in Table 24, WUSC members have a well proportionate representation of different caste and ethnic groups. Adibasi/Janati population have a slightly higher representation and Dalit population slightly lower representation than their actual proportion among the users. The proportion of religious minorities and Terai disadvantaged is minimal among the beneficiary/user population. Women's representation is 40%, which is short of the project target (50%), but above the Nepal government's target of 33% (Table 25).

Table 24: Phase I gravity and lift scheme population and WUSC members by caste and ethnicity, March/April 2014..

	User population %	WUSC members %
Adibasi/Janjati	44.8	46.1
Dalit	19	16.1
Religious minorities	0.7	0.3
Terai Disadvantaged	1.7	1.3
Others	33.8	36.2
Total	100	100

Source: Verification study, March/April 2014.

Table 25: Phase I gravity and lift scheme WUSC members by sex, March/April 2014.

	male		female		Total
	count	%	count	%	
<b>WUSC members</b>	1765	60	1166	40	2931

Source: Verification study, March/April 2014.



*Indicator Result 2.3 Improved services: # of water supply schemes supported by the Project fund in Phase II provide improved water supply services for previously unserved households in the programme VDCs. (Previously unserved means no access to improved water supply). Scheme defined as improved and functional when it has the Service Level 1 for quantity, access, reliability and water quality.*

**Baseline:** 0

**Target:** 100% (230 new Phase II schemes, extended to also Phase I schemes)

This indicator aims at service level 1 in quantity, access, reliability and water quality (QARQ). The minimum QARQ standards set by the Government of Nepal are: quantity 45 lpcd (litres per capita per day), accessibility (round trip fetching time up to 15 minutes), reliability (year around) and water quality. With regard to water quality, the focus will be on bacteriological quality. Proving the National Drinking Water Quality standards would be excessively costly and laborious as it would require certified laboratory to test for all water quality indicators several times over.

Initially, this indicator was meant to apply only to Phase II schemes, as it implies investments to new schemes rather than rehabilitation of Phase I schemes. However, during the FY02, it was found out that some Phase I schemes are not meeting the required service level standards, and thus will require further investments in the Phase II.

Table 26: Functionality status of Phase I schemes, March/April 2014

District		Baglung	Kapilvastu	Myagdi	Nawalparasi	Parbat	Pyuthan	Rupandehi	Syangja	Tanahun	Grand Total
No. of schemes assessed		13	13	27	29	46	48	12	68	61	317
No. of Intakes		33	NA	18	32	52	58	7	106	71	377
Functional intakes	no.	32	NA	4	30	49	55	7	101	70	348
	%	97	NA	22	94	94	95	100	95	99	92
No. of RVT		29	NA	7	35	50	59	7	153	86	426
Functional RVT	no.	28	NA	7	35	49	55	7	149	86	416
	%	97	NA	100	100	98	93	100	97	100	98
No. of Taps		149	315	265	158	299	390	747	1009	568	3900
Functional taps	no.	149	227	146	156	266	328	737	906	568	3483
	%	100	72	55	99	89	84	99	90	100	89
No. of IC		2	NA	NA	6	1	3	NA	1	7	20
Functional IC	no.	2	NA	NA	6	1	2	NA	1	7	19
	%	100	NA	NA	100	100	67	NA	100	100	95
No. of DC		2	NA	1	4	8	4	NA	13	1	33
Functional DC	no.	2	NA	1	4	8	3	NA	12	1	31
	%	100	NA	100	100	100	75	NA	92	100	94

Source: Verification survey March/April 2014

The verification study assessed the functionality of 317 Phase I schemes by observing the following scheme structures: Intake, Reservoir Tank (RVT), Taps, Interruption Chamber (IC) and Distribution Chamber (DC). Table 26 portrays the functionality situation in 9 Phase I districts. In average, 92% of intakes were found to be functional. The survey findings for Myagdi should be reconfirmed, as it seems extraordinary that only 22% of intakes would be functional, as reported by the verification survey. Reservoir tanks, Interruption chambers and Distribution chambers are found functional in 98, 95 and 94 percent of cases. Tap stand structures are most likely to be damaged: 89 percent of the inspected taps were found functional. Aside from Myagdi, Phyutan also stands out having the higher rates of unfunctional taps (16%) and reservoir tanks (93%). The verification survey also assessed the condition of transmission and distribution pipelines in 273 and 252 schemes respectively. As shown in Table 27, 8% of schemes were found to have leakages in the transmission lines, whereas 6% of schemes had leakages in distribution lines.

Table 27: Phase I schemes with leakages in transmission and distribution pipelines

District	Transmission line leakage			Total	Distribution pipeline leakage			Total
	No	Yes	Yes %		No	Yes	Yes %	
Baglung	7	5	42	12	7	5	42	12
Kapilvastu	NA	NA	NA	NA	NA	NA	NA	NA
Myagdi	24	3	11	27	25	0	0	25
Nawalparasi	19		0	19	19	0	0	19
Parbat	37	4	10	41	34	4	11	38
Pyuthan	43	5	10	48	44	2	4	46
Rupandehi	10	1	9	11	7	1	13	8
Syangja	63	1	2	64	64	1	2	65
Tanahun	49	2	4	51	38	1	3	39
<b>Grand Total</b>	<b>252</b>	<b>21</b>	<b>8</b>	<b>273</b>	<b>238</b>	<b>14</b>	<b>6</b>	<b>252</b>

Source: Verification survey March/April 2014

When reporting this indicator, the different technologies and local context should be taken into account, acknowledging that the new system is providing improved services compared to the situation without the scheme although fulfilment of all criteria maybe unlikely for example in case of water harvesting systems or lift water schemes in water scarce environment. At the time of writing this report, it is evident that there is a need to address these aspects in the Phase I schemes as well.

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*Indicator Result 2.4 Reaching the unreached: # of water supply schemes supported by the Project fund in the Phase II reaching the unreached (previously unserved by improved water supply supported by interventions external to VDC).*

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**Baseline:** 0

**Target:** 100% (target 100 hardship schemes in areas that have never been benefiting before)

The primary target group for the RWSSP-WN II are those households, who have not had access to improved water supply previously. In reality, the water supply status in villages and in the area of one feasible water supply scheme often vary between different households. In order to capture data on how well the project succeeds in targeting the unreached pockets, it is useful to report previously

unreached beneficiary households separately from those households who benefit from service improvement.

The following sketch (Figure 4) illustrates different scenarios in the rural communities. Cases 3 and 4 are understood as previously unserved, meaning that their service level is below 1. Case 4 also presents an unreached community, as they have not received external support for their water supply system, or alternatively, the design period of the system has passed. Such communities will be prioritized for water supply projects. Case 3 is not defined as unreached, as they have received external support previously and the design period of their scheme has not passed. Cases 1 and 2 present previously served communities with service level 1. Such communities are not within the project target group, regardless of whether or not they have received external support in establishing their water supply system.

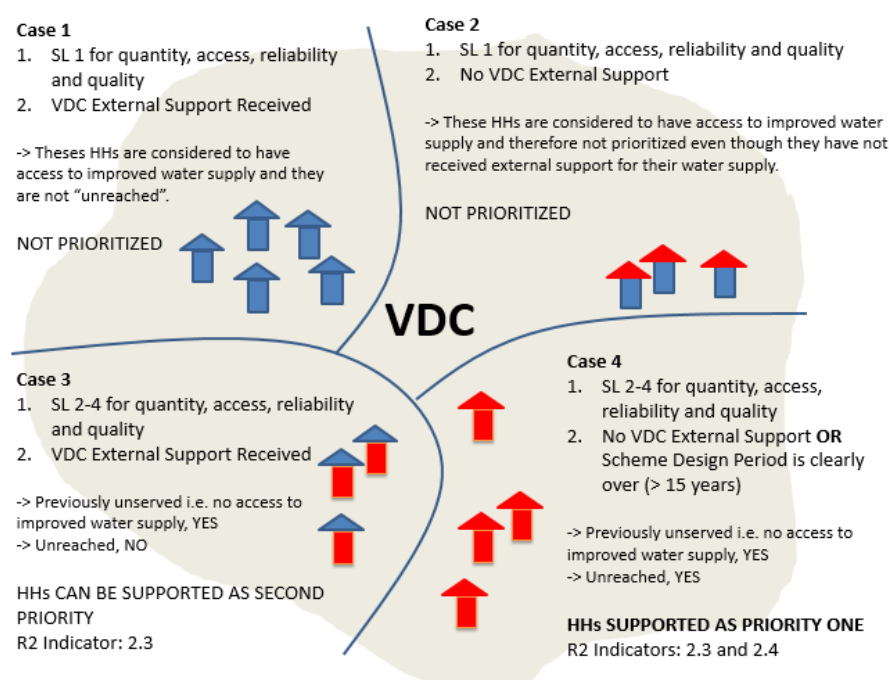


Figure 4: Different water supply scenarios in rural communities. Cases 3 and 4 represent unserved households.

The different water supply scenarios and possible scheme combinations are explained in the Figure 5. As explained earlier, there are two types of unreached households: Firstly, households that have not been previously supported by external water supply intervention that provided complete water systems (Category A). Cases where the community has received small support by VDC, for example provision of pipes or materials, are still counted as unreached. Also communities that have carried out self-help improvements in intakes or in terms of random structures are taken as unreached. Secondly, households whose water supply scheme has exceeded its design period (15-20 years) are understood as unreached (Category B). In principle, pure service level improvement schemes will not be supported as stand-alone schemes, but these households can be included as beneficiaries in schemes that are extended to serve the unreached.

Data on which categories the beneficiary households of a given scheme belong will be collected during the Feasibility study and included in the Scheme card, and also crosschecked during the first monitoring visit. Only the unreached households under categories A and B are counted under this indicator.

## Categories of HHs and WSS Prioritization

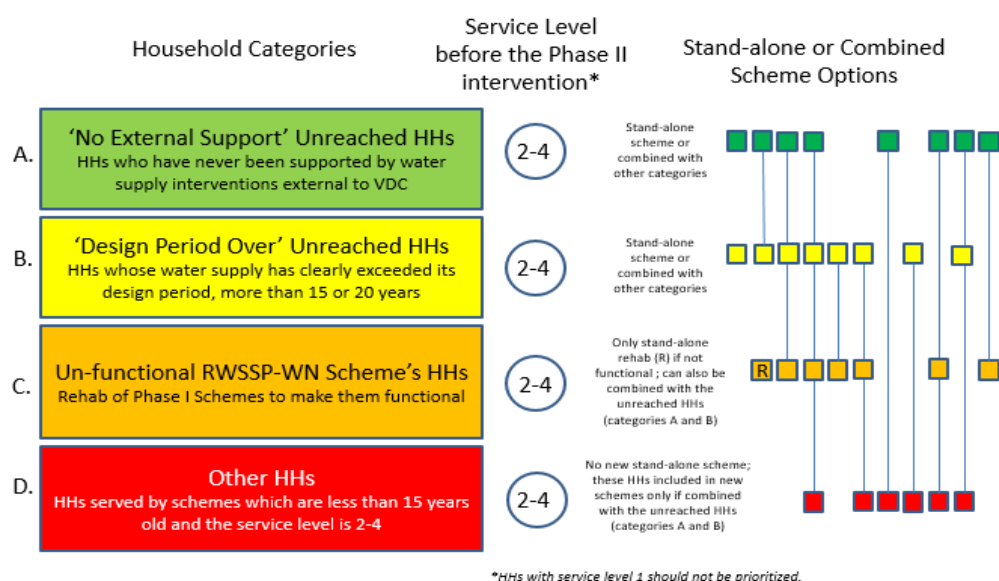


Figure 5: Categories of households that benefit from water supply schemes.

*Indicator result 2.5 Institutional water supply: # of schools and institutional/public locations supported by the project fund in Phase II that have safe and functional water supply with accessible water points to all users.*

**Baseline:** 0%

**Target:** 100% (target 200 schools/institutional facilities served; most of these are included into the scheme numbers reported under 2.3 and 2.4, this indicator counting the institutional beneficiaries separately).

For reporting purposes, the users of the school/institutional tap are reported separately, and only counted towards to the target of 150,000 beneficiaries if the water supply system is only serving the school. I.e. it is assumed that the students are also covered by counting the population in the households if the school benefits from a water supply system serving an entire community.

The monitoring framework of the Nepal Country Strategy by the MFA/GoF includes an indicator on number of schools benefiting from improved water supply and sanitation. This data can be extracted from the project monitoring system, given that the school water supply and toilets are reported separately from institutional and public facilities.

### Result 3: Strengthened institutional capacity

**Result 3 (Component 3): Strengthened institutional capacity of government bodies to plan, coordinate, support and monitor the WUSCs and other community groups in the implementation, operation and maintenance of domestic water, sanitation and hygiene programmes in a self-sustainable manner.**

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*Indicator Result 3.1 # of districts have D-WASH Plan that is used and periodically updated*

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**Baseline:** 2 districts, Kapilvastu and Pyuthan

**Target:** 14 districts, 100% are in use

The D-WASH Plans counted under this indicator should be used as operational planning tools in the districts and hence they need to be updated; this is important should these plans guide all WASH sector actors in the districts.

D-WASH Plan of Kapilvastu and Pyuthan were finalized and published by the beginning of the Phase II. The D-WASH-Plans were also used for the selection of Phase II new VDCs in these two districts. The D-WASH Plans of seven other Phase I districts were in different phases: in all districts the NMIP data collection had been finalized and in most districts also the WASH situation analysis had been carried out (Completion Report Annex 27).

In Gulmi and 4 sanitation districts, the preparation of D-WASH Plans will start from the beginning in the Phase II.

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*Indicator Result 3.2 # of VDCs have V-WASH Plan that is used and periodically updated*

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**Baseline:** 0 in Phase II. 54 VDCs and 2 wards formulated VDC/ward-level WASH plans in the Phase I.

**Target:** 120 Plans (including update of Phase I V-WASH-Plans; 100% are in use)

VDC WASH plans were launched in the Phase I in order to achieve harmonized, effective and coordinated fund utilization and implementation of WASH projects. During the Phase I, VDC WASH-plans were prepared in 54 project VDCs following the planning steps of Local Self Governance Act of Nepal. In addition, 2 wards of Ramgram municipality had prepared their WASH plans. The plans were used for the selection of the schemes, based on their priority lists.

There is an increasing interest in a number of VDCs to prepare V-WASH Plan, whether or not any programme is present. This is in line with the district-wide programmatic thinking and the ideal situation whereby individual V-WASH Plans would feed the updated information into District Strategic WASH Plans (DSWASHPs), hence keeping also these up-to-date to give true guidance for the planning purposes.

At the start of Phase II a number of new V-WASH Plans are in progress and in some districts the project has committed to support all interested VDCs in the core districts, regardless of whether they are selected project VDCs. This means that the ultimate total number of V-WASH Plans cannot be known at the time of preparation of this baseline. Yet, these are annually counted, and followed up during the VDC-wide annual monitoring visits. Target "100%" mean that all V-WASH Plans in the project working VDCs, are also used and updated, whatever the final total number may be. The final number must make a difference in between those V-WASH Plans where the project scheme investment is included ('core VDC' or VDC where the project is supporting water supply investments) and in between the V-WASH Plans that were only supported for the preparation but where the project does not have presence otherwise.

*Indicator Result 3.3 # of DDCs practicing coordinated and inclusive planning through D-WASH CC as per the D-WASH-CC Terms of Reference.*

**Baseline:** 0%. All 14 districts have established D-WASH-CC, but none of the districts is conducting all tasks that are defined in the Terms of Reference (ToR).

**Target:** 100% (all districts comply with 90% of the items listed in their Terms of Reference)

The D-WASH-CCs' Terms of Reference is taken from the National Sanitation and Hygiene Master Plan. It is meant to reflect the scope and activeness of individual D-WASH-CCs. The TOR is marked "done – not-done" for each item in TOR, while the assessment situation itself gives an opportunity to reflect the status and specific capacity building needs of each D-WASH-CC on more qualitative basis. With this indicator, the qualitative items and achievements are also highlighted in the forthcoming annual progress reports.

The assessment of the D-WASH-CCs compliance with their Terms of Reference was carried out during the inception workshops held in February and March 2014. While all nine Phase I districts have established D-WASH-CC, none of the districts was conducting all tasks that are defined in their TOR. As shown in Table 28, in average, the D-WASH-CCs comply with 50% of the items listed in their ToR. According to the assessment, Pyuthan, Rupandehi, Nawalparasi and Tanahun have the most active D-WASH-CCs, whereas in Baglung, Parbat and Kapilvastu the D-WASH-CCs carry out 25-35% of their tasks.

Task areas with the weakest performance are: 1) Encouraging VDCs and municipalities to formulate and implement their own Master Plan for sanitation and support then (2 Districts agreed), 2) Establish and manage a district level basket fund for sanitation (2), 3) Regularly organize seminars and conferences to review the performance of the local bodies in sanitation promotion (2). Also GESI issues seem to lack behind, as only two D-WASH-CCs reported that they had identified the issues of gender, inclusion and participation through proper planning and financial mechanism by considering socio-economic situation, geographical condition and ethnic diversity specifically for addressing the support need of poor and socially disadvantaged.

D-WASH-CC's compliance with the TOR has not been assessed in Gulmi and 4 sanitation districts, thus no baseline data for these districts is available.

*Table 28: D-WASH-CC Terms of Reference compliance, Feb/March 2014.*

District	Number of roles and responsibilities fulfilled (out of 20)	Percentage
Myagdi	10	50
Baglung	5	25
Syangja	10	50
Pyuthan	14	70
Rupandehi	13	65
Nawalparasi	13	65
Kapilvastu	7	35
Tanahun	12	60
Parbat	5	25
<b>Average</b>	<b>10</b>	<b>50</b>

Source: Inception Report, 2014. See Inception report Table 3/p. 60 for full table

*Indicator Result 3.4 # of VDCs practicing coordinated and inclusive planning through V-WASH-CC as per the V-WASH-CC Terms of Reference.*

**Baseline:** 0% for Phase II. All 54 Phase I VDCs have V-WASH-CC. In one district (Myagdi), the VDCs comply with in average 9 out of 10 items listed in their TOR. Also one VDC in Kapilvastu (Kopuwa) is found to conduct all tasks that are defined in the ToR.

**Target:** 100% (all core VDCs comply with 90% of the items listed in their Terms of Reference, assumed 110 VDCs)

Similarly to the D-WASH-CCs, also V-WASH-CCs' Terms of Reference is taken from the National Sanitation and Hygiene Master Plan. It is meant to reflect the scope and activeness of individual V-WASH-CCs. The TOR is marked "done – not-done" for each item in TOR, while the assessment situation itself during the annual VDC-wide monitoring visits gives an opportunity to reflect the status and specific capacity building needs of each V-WASH-CC on more qualitative basis. With this indicator, the qualitative items and achievements are also highlighted in the forthcoming annual progress reports.

During the Inception workshops in February and March 2014, altogether 38 V-WASH-CCs of 7 districts (excluding Parbat and Tanahun) carried out a self-assessment to find out to what extent they are complying with their TORs. As shown in Table 29, the V-WASH-CCs are found to comply with 54% of their tasks in average. In Myagdi, the V-WASH-CCs reported that they comply with, in average, 8 to 9 items listed in their TOR. The only task that they were not carrying out was the preparation of a short term and long term plan for launching sanitation and hygiene promotional activities along with budget, joint plan of action and responsibilities. In fact, only 11 out of total of 38 V-WASH-CCs were conducting this activity. In addition, one V-WASH-CC in Kapilvastu (Kopuwa), reported that they comply with all 10 items listed in their TOR. On the other hand, in Baglung and Rupandehi the V-WASH-CCs complied with only 30 and 40% of the items.

*Table 29: V-WASH-CC Terms of Reference compliance, Feb/March 2014*

District	No. of roles and responsibilities fulfilled (out of 10)	Percentage
Myagdi	9	90
Baglung	3	30
Syangja	5	50
Pyuthan	5	50
Rupandehi	4	40
Nawalparasi	6	60
Kapilvastu	6	60
	5.4	54

Source: Inception Report, 2014. See Inception report Table 4/p. 62 for full table

*Indicator Result 3.5 Annual performance evaluation done in each district and its D-WASH Unit as per the performance indicators signed in the MOUs in between DDCs and DoLIDAR*

**Baseline:** 0% (no performance evaluations done)



**Target:** 100% (all 14 districts)

The MoUs signed in between the DDCs and DoLIDAR for the RWSSP-WN Phase II have a set of performance indicators that will be evaluated every year starting from the FY02. These indicators (listed in Table 30), capture various aspects of rural WASH service delivery by the local government. This indicator measures whether these evaluations have been done or not, the result from the evaluations contributing to the purpose-level indicator. The Annual Progress Reports will reflect the outcome on more qualitative basis as each indicator entails a number of individual activities, events and transactions. The first Performance evaluations will be carried out in FY02. The evaluations will be conducted in all 14 project districts.

*Table 30: Performance indicators applied for the districts*

SN	Parameter	Indicator	Total Score
1	Annual Planning v/s Achievement (20)	Percentage of annual plan activities are physically completed in the last fiscal year (Number of Water Supply schemes)	10
		Percentage of actual capital development expenditure against capital development budget in the last fiscal year	10
2	Contribution of DDC in D WASH Fund (20)	DDC has contributed its fund in last fiscal year as per Annual Work Plan	15
		Expenditure of released fund in the same fiscal year	5
3	Monitoring and Reporting (15)	Monitoring of scheme and other activities in project VDCs by DMC/DWASH Unit.	10
		All the required reports submitted regularly	5
	Monitoring Task Force monitored VDC annually in all project VDCs	Monitoring Task force monitored overall WASH implementation status of Project VDCs at field annually.	5
4	DMC Meeting (10)	Regularity of DMC Meeting	5
5	Utilization of District WASH Fund (15)	Proper utilization of District WASH Fund in specified headings	15
6	Institutional Capacity (20)	DWASH Plan Finalization and Implementation	5
		VWASH Plans Formulation and Implementation	5
		DWASH Unit with enough human resources from GoN/DDC own sources	10
	<b>Total:</b>		<b>100</b>

Source: DDC-DoLIDAR-RWSSP-WN II Memorandums of Understanding. (see the Phase II Inception report for full table).

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*Indicator Result 3.6 Studies relating to service delivery, sustainability and related mechanisms made and together with studies made in Phase I processed towards practical guidelines.*

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**Baseline:** 0 (Phase II only)

**Target:** Set annually, aiming at total 50 products, ten each year.

This indicator takes account of all studies, guidelines and operational tools developed in phase II and as approved in the Supervisory Board meetings. Since the quality counts, the numerical target set is annually revisited and the number reported for this indicator described in further detail in the progress reports. For the baseline purpose the starting point is “zero”. Yet, to avoid “reinventing the wheel”, attention is paid to studies, manuals and other relevant work done by the RWSSP-WN Phase I,

RVWRMP, UNICEF and other relevant sector stakeholders. For instance, RWSSP-WN Phase I produced a large number of studies, guidelines and manuals, all with their own merits. Selected Phase I items are also processed towards user-friendly field and action oriented items. Re-prints of such as WSP Guideline and Recharge Ponds manuals are made. The lessons learned and other recommendations made by the various studies, reviews and evaluations are also considered. In each (semi) annual progress report selected documents are taken for closer review with regards to how the lessons learned and recommendations have been taken into account. Such documents as Phase I Completion Report, Phase I Mid-Term Review and Phase I financial audit recommendations are the first ones to be reviewed.

## 4 CONCLUSIONS AND RECOMMENDATIONS

### 4.1. Data sources and definitions of indicators

The process of the baseline preparation was useful for confirming the availability of data from secondary sources as well as through the project monitoring system to cover different indicators in the future progress reporting. In a nutshell, district-wide secondary data is found to be available for four out of five overall-objective indicators. Data on under-5 mortality is only available on development region level (by NDHS conducted every 5 years). Given that the project works in 12 out of 16 districts in the Western Development region, its contribution are likely to be reflected in the region-level statistics. Limitations related to the secondary data have been discussed in the main text, under the methodology chapter and/or under each indicator.

Purpose and result level indicators rely on project monitoring reports, capacity-building and event reports and other monitoring documents. The availability of data on these indicators depends on active field monitoring and information. Monitoring data sources and flows of data from ward and VDC level to districts, DoLIDAR and PSU are explained in detail in the Monitoring concept note that is under preparation.

In order to gain clear and unequivocal information that gives reliable information on project progress, the indicators must be well defined and measurable. The definitions of three key terms are expressed here, as their use can be ambiguous unless clearly defined.

- Improved water supply refers to those schemes that have a Service Level 1 in quantity, access, reliability and water quality. The minimum QARQ standards set by the Government of Nepal are: quantity 45 lpcd (litres per capita per day), accessibility (round trip fetching time up to 15 minutes), reliability (year around) and water quality. With regard to water quality, the focus will be on bacteriological quality.
- Unserved population refers to those whose drinking water system does not reach the Service Level 1.
- Unreached population refers to 1) households that have not been previously supported by external water supply intervention that provide complete water systems. Cases where the community has received small support by VDC, for example provision of pipes or materials, are still counted as unreached. Also communities that have carried out self-help improvements in intakes or in terms of random structures are taken as unreached, and 2) households whose water supply scheme has exceeded its design period (15-20 years).

### 4.2. For monitoring and reporting

Reliable and systematic information collection, reporting and analysis for monitoring purposes is vital for a successful projects; it enables us to monitor the course of the project, improve practices and activities in areas that need the most attention and plan and (re)direct resources as needed.

Monitoring is also essential for the accountability of the project, to show liability for the resources used and the results obtained. The main areas that are recognized to need immediate attention in the coming year are:

- Systematic monitoring routines have been established in the Step-by-step guideline of the project. Participatory monitoring, as envisioned in the Step-by-step, serves both the project information needs and contributes to the capacity building and awareness raising of the beneficiaries. Participatory monitoring in the form of community meetings etc. are also essential for building accountability and transparency within the communities. The practice needs constant “monitoring of the monitoring”.
- Project achievements in bridging the gap in water supply coverage and contributing to the Government of Nepal target to provide water facilities to all Nepalese depend on how well the project succeeds in targeting the correct beneficiaries. The households’ water supply statuses in the villages are often very complex, as is the variability of possible solutions to provide water for the unreached. To capture data on how the project succeeds in this, the number of previously unreached households among the total beneficiaries has to be counted and reported separately. This will be done during the feasibility study, as well as during the first monitoring visit; Step-by-step manual and Monitoring formats have been re-edited accordingly. This Baseline report recommends to launch the concept to D-WASH-As and PSU staff, follow up how it’s been implemented in feasibility studies and monitoring, and pay attention in the monitoring visits. Giving corresponding weight to this issue when selecting new schemes.
- The status and capacities of the WUSCs and users are the key determining factors for the sustainability of the water supply facilities in the long run. Respectively, implementation of WUSC capacity building as envisioned and carrying out public audits involving the user community form the basis for ensuring functionality of the water supply systems. Thus, it is purposeful to monitor closely the indicator 2.2 that measures the capacities of the WUSCs, and take necessary corrective actions if it is found that a) no information on these indicators is provided in the scheme cards, or b) the WUSCs are failing to meet the criteria set in the indicator.
- Reporting and monitoring of capacity building activities, counting beneficiaries in different capacity building events and measuring the outcomes of the capacity building is challenging. Ultimately the expected results and impacts after the training counts, not just the number of people in various events.
- Eventually monitoring of water supply and sanitation indicators should be taken up by the district stakeholders independently from any project support. In the sanitation sector, many V-WASH-CCs have already engaged in monitoring of ODF and post-ODF situation. Major gaps however remain particularly in the monitoring of rural water supply by VDC and District level stakeholders.

### 4.3. For next workplan

#### **Sanitation and hygiene**

The project phase II has a responsibility to promote maintenance of institutional, public and school latrines build in both phases in order to have these facilities sustained after the completion of the project. The assessment of the condition of the Phase I public latrines shows that 76% of latrines have room for improvement in terms of cleanliness or physical condition. All districts are found to have several toilets in this condition, but particularly Kapilvastu, Myagdi and Parbat are found to have a high concentration of latrines in poor condition.

## Water supply coverage

The project aims to bridge the gap in water supply coverage and contribute to the Government of Nepal target to provide water facilities to all Nepalese by 2017. The District Strategic WASH-Plans, despite the data issues, give indication on current disparities in coverage. As discussed under the Overall objective indicator 5, about half of all VDCs in nine project districts have water supply coverage below 90%, which means that there is still lot of work to do to provide improved waters supply for all Nepalese. In 47 VDCs, water supply coverage is reported to be below 70%. Particularly Myagdi stands out as having lower rates of coverage – in 19 VDCs in Myagdi, less than 70% of households have access to improved water. The project must succeed in targeting these VDCs for water supply interventions in order to contribute to reduction of disparities in water supply coverage.

The Phase II is committed to leave behind schemes that provide functional, improved and safe water supply. This concerns both Phase I and Phase II piped water system (gravity and lift) schemes. Functionality results from functional WUSCs that implement their O&M plans and Water Safety Plans and pay water tariffs etc. The capacity gaps of the Phase I WUSCs are shown in the table 31 Notice that except for the WUSC registration data, capacity data was not collected from all relevant WUSCs, thus the numbers presented in the table are evidently smaller than the what the capacity gaps in reality are. However, based on the findings, particularly Parbat stands out with more than 40 Phase I WUSCs with major capacity gaps in terms of registration, maintenance work and O&M plan and water tariff collection. Also in Syangja, there are nearly 30 WUSCs that have not been registered. In addition to Parbat, also in Syangja, Baglung, Tanahun and Pyuthan there are over 20 Phase I WUSCs in each district that are not collecting water tariffs and do not have trained VMWs. These Phase I WUSCs will require increasing efforts in future in capacitating them to maintain their schemes functional.

Table 31: Phase I gravity and lift scheme WUSCs' capacity gaps, March/April 2014.

District	WUSCs not registered	WUSCs without statute	WUSC without O&M Plan	WUSCs not collection water tariff	VMW not trained
Baglung	4	NA	1	31	30
Kapilvastu	8	4	1	1	
Myagdi	0	0	29	14	12
Nawalparasi	5	3	4	8	7
Parbat	45	41	39	47	45
Pyuthan	9	11	24	21	27
Rupandehi	1	4	13	5	9
Syangja	29	16	14	31	34
Tanahun	1	1	16	23	28
<b>Grand Total</b>	<b>102</b>	<b>80</b>	<b>141</b>	<b>181</b>	<b>192</b>
<b>No. of WUSCs observed</b>	<b>367</b>	<b>183</b>	<b>278</b>	<b>367</b>	<b>353</b>

## Annex 1. Overall objective indicator 4

Full results of the Performance Measures assessment for FY 2012/2013 for 14 project districts (MoFALD 2014).

Indicator no.	Indicator group	Indicator/Name of the district	Tanahun	Mustang	Myagdi	Parbat	Baglung	Syangja	Gulmi	Palpa	Nawalparasi	Rupandehi	Kapilvastu	Arghakhanchi	Pyuthan	Rolpa	Total	Average
1	Planning and budget management	Prioritization of projects and basis of selection (3)	2	3	3	3	3	3	3	3	3	3	3	3	3	3	41	2.9
2		Budget estimate for the project and allocation of budget (2)	2	0	2	2	2	0	0	0	2	0	1	2	2	2	17	1.2
3		Operation and maintenance of projects (2)	0	0	2	2	2	2	0	2	2	2	2	2	0	2	20	1.4
4		Periodic District Development Plan (1)	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	0.1
5		District Transport Master Plan (DTMP) (2)	2	2	2	2	2	0	0	2	2	2	2	2	2	2	24	1.7
6		Environment and Energy Management (2)	2	0	0	0	2	2	2	2	2	2	2	0	2	2	20	1.4
7		Participatory plan implementation and cross cutting sectors (2)	2	2	0	2	2	2	0	2	2	2	2	0	2	0	20	1.4
8		Targeted Group Development Program (2)	2	2	2	2	2	2	2	2	2	2	2	2	1	2	27	1.9
9	Resource mobilization and financial management	Resource Projections (2)	2	2	2	2	2	2	2	2	2	2	2	2	2	2	28	2
10		Projection and collection of internal income (4)	4	4	4	0	4	4	4	4	4	0	0	2	4	2	40	2.9
11		Distribution of Internal resources (2)	2	0	2	2	2	0	2	1	2	1	2	1	2	2	21	1.5
12		Establishment of special funds and its implementation (1)	0	0	0	0	0	0	1	1	1	1	1	1	0	1	7	0.5
13		Project contract and budget expenditure (3)	0	0	2	2	2	2	0	2	0	2	2	2	2	2	20	1.4
14		Quality of financial transactions (2)	0	0	0	0	0	0	1	0	0	0	0	0	1	0	2	0.1
15		Donation/financial assistance (1)	1	0	1	1	1	1	1	1	1	1	1	1	1	1	13	0.9
16		Financial audit and unstated amount (3)	0	0	3	0	2	0	0	0	0	0	0	3	0	0	8	0.6
17		Settlement of unstated amount (3)	0	2	2	0	0	2	2	2	2	0	0	0	0	0	12	0.9
18		Procurement management (3)	2	3	3	3	3	2	2	2	3	3	3	3	3	3	38	2.7
19		Refundable/deposit account operations (1)	1	1	0	0	0	0	1	1	1	0	1	1	1	1	9	0.6
20	Budget disbursement,	Expenditure against annual allocation (3)	2	0	3	3	0	0	3	0	3	2	0	3	2	3	24	1.7
21		Expenditure on targeted group development program (3)	3	2	3	3	3	0	3	3	3	3	2	3	3	3	37	2.6
22		Administrative expenditure (3)	0	0	0	0	0	0	0	0	0	3	0	0	0	0	3	0.2
23		Agriculture and Livestock Development Program Budget (2)	2	0	0	2	2	2	2	2	2	2	2	2	2	2	24	1.7

**Rural Water Supply and Sanitation Project in Western Nepal Phase II**  
**Baseline Report**

<b>24</b>	Monitoring, evaluation, communication and transparency	Status on formation of user's committee (3)	2	3	3	3	3	2	3	3	2	3	0	3	3	2	<b>35</b>	2.5
<b>25</b>		Management of drinking water and sanitation Sector (2)	2	2	2	2	2	2	2	2	2	2	2	2	2	2	<b>28</b>	2
<b>26</b>		Project Information Board (2)	0	2	2	2	2	0	0	2	0	2	2	2	0	0	<b>16</b>	1.1
<b>27</b>		Website and its management (3)	3	3	3	3	3	3	3	3	3	3	3	3	3	3	<b>42</b>	3
<b>28</b>		Public hearing (2)	0	1	0	1	0	1	1	1	1	0	1	0	0	2	<b>9</b>	0.6
<b>29</b>		Social Audits (2)	2	0	0	0	2	0	0	2	0	0	2	2	0	0	<b>10</b>	0.7
<b>30</b>		Public audits and budget release for user's committee (2)	2	2	2	2	2	2	2	2	2	2	2	0	2	2	<b>26</b>	1.9
<b>31</b>		Gender responsive budget (2)	2	2	2	2	2	2	2	2	2	2	2	2	0	2	<b>26</b>	1.9
<b>32</b>		Monitoring, evaluation and reporting (3)	3	3	3	3	3	3	3	3	3	3	3	3	3	3	<b>42</b>	3
<b>33</b>		Project completion and settlement (2)	2	2	2	2	2	2	2	2	2	2	2	2	2	2	<b>28</b>	2
<b>34</b>		Impact evaluations of projects and activities (2)	0	0	0	0	0	2	0	0	0	0	0	2	0	0	<b>4</b>	0.3
<b>35</b>		Social Security/Protection Program (3)	2	3	3	3	2	0	3	3	2	0	3	2	3	3	<b>32</b>	2.3
<b>36</b>		Vital registration and its record management (2)	2	2	2	2	2	2	2	2	2	2	2	2	2	2	<b>28</b>	2
<b>37</b>		District Poverty Monitoring and Analysis System (DPMAS) (1)	1	1	1	1	1	1	1	1	1	1	1	1	1	1	<b>14</b>	1
<b>38</b>	Organization management and job description	Organization development study, reward and punishment (3)	2	2	2	2	3	3	3	3	3	3	3	3	0	3	<b>35</b>	2.5
<b>39</b>		Property details (2)	1	2	2	1	2	0	1	1	1	2	1	1	2	0	<b>17</b>	1.2
<b>40</b>		VDC's MCPM measurement (2)	2	2	2	2	2	2	2	2	2	2	2	2	2	2	<b>28</b>	2
<b>41</b>		Staff meeting (1)	0	1	1	1	1	1	1	1	1	1	1	1	1	1	<b>13</b>	0.9
<b>42</b>		Establishment of inquiry desk and nodal officer (2)	0	2	2	2	2	2	0	2	2	2	2	2	0	0	<b>20</b>	1.4
<b>43</b>		Capacity development plan (1)	0	0	1	1	1	0	0	1	0	1	1	1	1	0	<b>8</b>	0.6
<b>44</b>		Social mobilization in the VDC (2)	2	2	2	2	2	2	2	2	2	2	2	2	2	2	<b>28</b>	2
<b>45</b>		Local body unified (Samyuckta) committee (1)	0	0	0	0	0	1	1	1	0	0	0	0	1	0	<b>4</b>	0.3
<b>46</b>		NGO coordination of and mobilization (3)	3	3	3	3	3	3	3	3	3	3	3	3	3	3	<b>42</b>	3
<b>Total</b>		<b>Max score 100</b>	<b>64</b>	<b>63</b>	<b>76</b>	<b>71</b>	<b>78</b>	<b>62</b>	<b>68</b>	<b>8</b>	<b>7</b>	<b>7</b>	<b>7</b>	<b>7</b>	<b>6</b>	<b>7</b>		
<b>Rank</b>		<b>Ranking among 75 districts</b>	<b>40</b>	<b>42</b>	<b>12</b>	<b>20</b>	<b>8</b>	<b>46</b>	<b>33</b>	<b>9</b>	<b>1</b>	<b>2</b>	<b>2</b>	<b>1</b>	<b>2</b>	<b>2</b>		