

Introduction

Background

The importance of integrating domestic water supply, hygiene practice and sanitation with community organisation, institutional management and other demands on water resources is well accepted. There is, however, a lack of guidance for professionals on how to achieve this integration. Many of the books that deal with water supply and sanitation concentrate on a particular subject and, although they may refer to related subjects, provide little help on how to combine them in a project.

To provide a solution to this problem, the Water, Engineering & Development Centre (WEDC) at Loughborough University and the British Geological Survey (BGS), with support from the Commonwealth Science Council (CSC) and funding from the British Department for International Development (DFID), have developed these Guidelines and Manual to help governments in the process of planning and designing integrated rural water supply and sanitation programmes.

The purpose

The purpose is to improve the methodology and practice for the development of sustainable rural water supply and sanitation **programmes**. Although the Guidelines and Manual are intended for use for rural programmes, the approach can be adapted for peri-urban programmes.

Organisations such as the FAO, UNDP, and the World Bank have written books and guidelines to support policy and strategy development, and there are several books available on project development. The level that has been neglected is the support of programme development.

Intended users

The Guidelines are to help planners and managers in national government departments to formulate programmes that organise and co-ordinate the activities of government departments, external support agencies, NGOs, and others working in domestic water supply and sanitation in the programme area. They can also be used by external consultants, and NGOs who could use the relevant parts for their own programmes.

Definition of programme

There is much confusion in development circles between a 'project' and a 'programme', with the words often being used interchangeably. In a study of the literature various different definitions of programme were considered. A number of key words come out of these definitions: coherent, sector, geographical area, co-ordination, approach, activities, time, inter-related, procedure, framework.

The study also revealed opposing interpretations of the term 'programme'. On one side, a programme is a set of projects (sub-projects), each with its specific area, targets and time limits for control, which add up to bigger areas and targets and overall time limits. In other words, a programme is just a bigger more complex type of project, with the emphasis on implementation. On the other side, a programme is a coherent framework or co-ordinated approach to activities ranging from specific projects to policy development. The latter definition was considered the more appropriate for these Guidelines.

The Guidelines and Manual should help users to plan and design a programme, defined as:

a coherent framework of procedures and activities for co-ordinating and regulating projects within the water and sanitation sector in a defined geographical area.

Approach

Ownership

It has been realised that for many rural areas, successful operation and maintenance of water supply points by communities requires the communities themselves to 'own' them. This concept of ownership has been adapted to apply to the 'product' of the Guidelines and Manual. The Guidelines themselves are only a tool. The resulting product — the programme — must be 'owned' by the people who have used the tool to design it.

To try to achieve this ownership, the approach of the Guidelines is to question. As far as possible, the answers should come from the users. The Guidelines make suggestions as to what sort of information is needed, where to find it and how to use it, but the decisions have to be made by the planners and managers using the Guidelines.

Integration

Integration of the various components of rural water supply and sanitation is essential. It is one of the fundamental goals of the Guidelines. To provide users with the information that will enable them to achieve integration, relationships between each of the major components is highlighted. A decision in one area is cross-referenced to another area. There are also complex inter-relationships between the components of the programme and the social, health, technical, economic, financial, institutional and environmental information that needs to be considered for each.

The Guidelines and Manual allow the users to take account of social, geographical and hydrogeological differences within the administrative areas by identifying such differences and suggesting location-specific variations for the programme.

Document development

In June 1995, 36 governments endorsed a proposed project entitled 'Sustainable Rural Water Supply and Sanitation using Integrated Water Resource Management Principles' prepared by the Commonwealth Science Council. This evolved into a research and development project, 'Integrated Framework for Rural Water Supply and Sanitation in Groundwater Dependent Areas', which began in August 1996. The output from the project is these Guidelines and Manual.

This third edition contains broadly the same information as the first two editions but it is presented in a more useable format. The Manual part of the book is now provided electronically. This is because the Manual contains a large number of tables and charts that are meant to be completed during the design programme. Providing the information in electronic format allows the tables and charts to be 'live'. They can be extracted from the text and edited and used during the data gathering and analysis process. This not only makes the document as a whole more user friendly but reduces its size, making it easier to navigate. A complete copy of the Guidelines is also provided on the disc so that the whole document can be viewed electronically and selected parts printed as required.

Participation in development

As far as possible, the developers consulted with potential users. This was done in several ways:

workshops, presentations and papers with discussion at international conferences, and pilot studies of the concept and the draft with host government departments. The main events were:

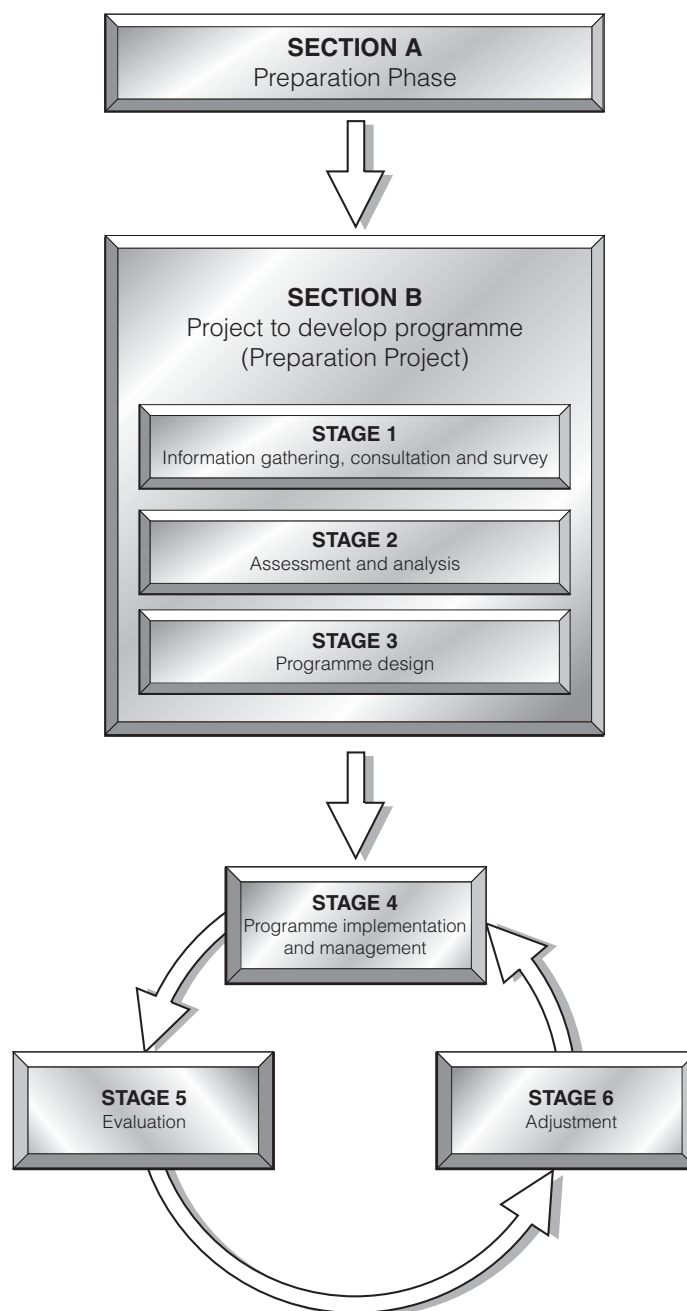
- workshops at conferences
 - 22nd WEDC Conference in New Delhi, September 1996
 - 23rd WEDC Conference in Durban, South Africa, September 1997
- poster presentation at the Community Water Supply & Sanitation Conference, World Bank, May 1998
- pilot studies of draft
 - 1st Pilot Study to test the concept with the National Co-ordination Unit in Zimbabwe, July and August, 1997
 - 2nd Pilot Study to field test draft guidelines by observed use by a government team, through the Water Sector Reform Support Unit in Zambia, June, July and August, and November, 1998

The final draft was also reviewed by, amongst others, representatives of two international development organisations.

How to use the Guidelines and Manual

Overview of the Programme Planning Process

The Guidelines are based on a standard programme cycle, as shown below. They help with Section A: Preparation Phase, and with Section B: Project to Develop Programme, which covers the first three stages of the cycle.



The Guidelines in a programme cycle

Section A: Preparation Phase

Section A covers the steps to establish a project to carry out the exercise of preparing a programme. It is assumed that an instruction has been given by central government to undertake the exercise, so the steps start from there. This preparation project may take about six months to complete, depending on the size and complexity of the programme area.

The output of Section A will be a costed proposal for a project to develop a programme.

Section B: Project to Develop a Programme (Preparation Project)

Stage 1: Information gathering, consultation and survey

Information gathering is necessary to understand the whole context of the proposed programme. Although the users may be very familiar with their working situation, it can still be very useful for them to step out of their day-to-day work and take a fresh look at the context. The type of information to gather includes social, economic and health, both quantitative and qualitative, as well as the technical issues of water resources and supply and sanitation.

It is essential that the views of people at all levels are taken into account. This includes the beneficiaries' views of their own problems and needs, and their ideas of possible solutions. The information-gathering process addresses this by looking at each different level — central, provincial or regional, district and village. As far as possible, participatory methods should be used.

Stage 2: Assessment and analysis

The information gathered is then assessed and analysed before being presented in a **participatory planning workshop**. Representatives from the various different levels and areas of expertise should be involved in this workshop, including representatives from community level. The workshop uses participatory methods such as problem identification and problem tree analysis to set objectives and activities in each of the areas, and SWOT analysis to look at the institutions in the sector. The outputs from the planning workshop are then reviewed by the sector professionals to ensure that all the activities necessary to achieve those objectives have been considered.

Stage 3: Design

This stage covers the preparation of broad objectives, detailed specific objectives, activities, a budget and a timeframe. The Guidelines help in the outline design of activities but stop at that point. Detailed design is assumed to be part of programme implementation.

The design of the Programme in Stage 3 includes not only the specific components of a water and sanitation programme, but also prepares the systems that will be needed for implementation and management in Stage 4 and evaluation in Stage 5.

Implementation

The actual running of the programme — Stages 4, 5 and 6 — are not part of these Guidelines and Manual.

Structure and organisation

As implied by the title, this document is arranged in two parts, the Guidelines and a supporting Manual.

The **Guidelines** (this book) consist of:

- flowcharts outlining the steps in the process; with
- introductions to each of the steps highlighting key points; and
- checklists.

The **Manual** (the accompanying CD):

- explains how to carry out the steps in the Guidelines;
- provides additional information and details;
- provides forms and tables for the user to use for surveys and analysis of information. Most of the forms are hyperlinked to MS Word versions which users can open and edit electronically; and
- refers to other publications for further guidance.

The Guidelines and the Manual are cross-referenced by a decimal numbering system: the basic numbers shown in the flowcharts are prefixed by G in the Guidelines and M in the Manual. These are summarised in Table 1.

The Guidelines and Manual are presented in a number of levels:

Sections: There are two sections: A for Preparation Phase and B for the Project to Develop the Programme.

Stages: Section B is divided into three Stages, based on the first three stages of a standard programme cycle (see Figure 1). These are 1, 2 and 3 in the decimal numbered referencing system.

The stages are divided into the main activities and processes. In the decimal numbered referencing system, these are 1.1, 2.1, 2.2, 2.3, etc.

The activities and processes are further sub-divided into tasks, pieces of information, issues to consider, lists and forms. In the decimal numbered referencing system, these are 2.1.1, 2.1.2, 2.3.1, etc.

Table 1: Cross-referencing system of the Guidelines and Manual

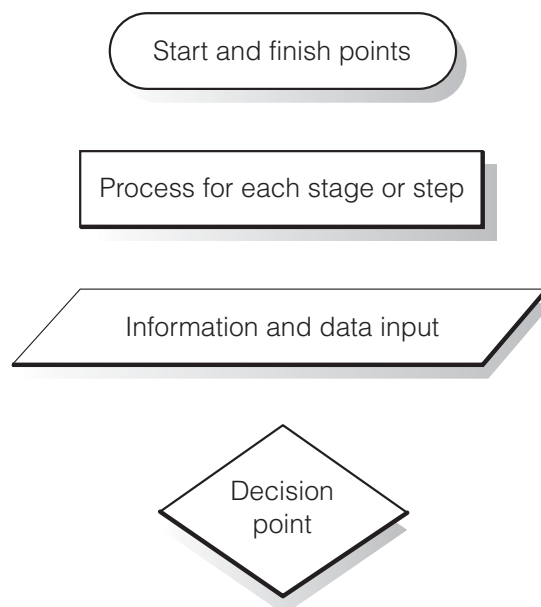
	Section A			Section B		
	Flowchart	Guidelines	Manual	Flowchart	Guidelines	Manual
Cross-reference numbering*	A1	GA1	MA1	1	G1	M1
	A2	GA2	MA2	2	G2	M2
	A3	GA3	MA3	2.1	G2.1	M2.1
					G2.1.1	M2.1.1
	Tables and Forms are numbered according to the section and level in which they are located.					

* There is not always a corresponding reference number in the Manual for a number in the Guidelines: e.g. G1.3.3 does not have a corresponding M1.3.3.

Flowcharts

The flowcharts are like road maps of the process. They show you where you are, where you want to go, and how to get there. Like maps, the flowcharts have various scales. Some present the overview of a whole stage at small scale, others show the steps and sub-steps within a stage at large scale.

The various shapes used in the flowcharts are based on standard flowchart symbols, which have different meanings. The ones used in the Guidelines are:



The process boxes are numbered with the cross-reference numbering system so that you can easily go to the description of that stage or step in either the Guidelines or the Manual. For example, in the Flowchart of Stage 2 (in Section G2), 2.3 Planning Workshop refers to G2.3 and M2.3 for summary and detailed descriptions respectively.

Using the Guidelines and Manual

The Guidelines and Manual are designed to assist a team of government staff to plan and design a programme. They provide the team with support, advice and further information about the various subjects and issues involved in the various stages of information gathering, assessment, analysis and design.

The suggested team should be composed of representatives and specialists of the various ministries and departments involved in the water, sanitation and hygiene promotions sector, from district level up through regional level to central government level as appropriate.

Copies of the Guidelines and Manual should be given to each member of the team. The members of the team should be assigned responsibility for particular steps and sub-steps according to their discipline, specialist knowledge, skills and competence.

The stages and steps in the Guidelines and Manual are intended to be followed in roughly the order presented. In some of the steps, the sub-steps can be done at the same time by the relevant team members. In other steps, the sub-steps should be done sequentially in the order presented. The context shows whether this is necessary. The order of decision-making can be important. In some places, it will be necessary to make a decision on one step before another can be developed.

The Guidelines and Manual allow for a Briefing Workshop (G1.2 and M1.2) to start the Preparation Project. This is to allow the members of the team to get to know each other, to understand the Guidelines and the assignment, and to provide training on the participatory processes, if necessary. It is also suggested that regular meetings of the Core Team and others should be held to plan the work, assign individual tasks and monitor progress. Guidance on these meetings is not provided, as they are considered to be standard management practice.

Finally

The most important thing to remember when using these Guidelines and Manual is that they are just that — guidelines. They provide suggestions of what is considered necessary for planning in the opinion of the authors. You, the users, are the ones who have to make decisions and be responsible for the results. You should take or leave what is suggested here, as you think appropriate. You may need to include additional information or take special factors into account. You may have a different way of doing things that can be equally good or probably better. You are the ones who understand your own context and how methods may or may not work.

Be open, however, to alternative ways of doing things that may not be familiar to you. Discuss and debate with your team and with other people with an interest in the rural water supply and sanitation sector. In particular, involve the people with the most interest, the communities, householders, women, children and men who will be using the water and sanitation services and resources and who are directly responsible for their health and hygiene.