

Section A:
Preparation Phase

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Objective of Section A

To produce:

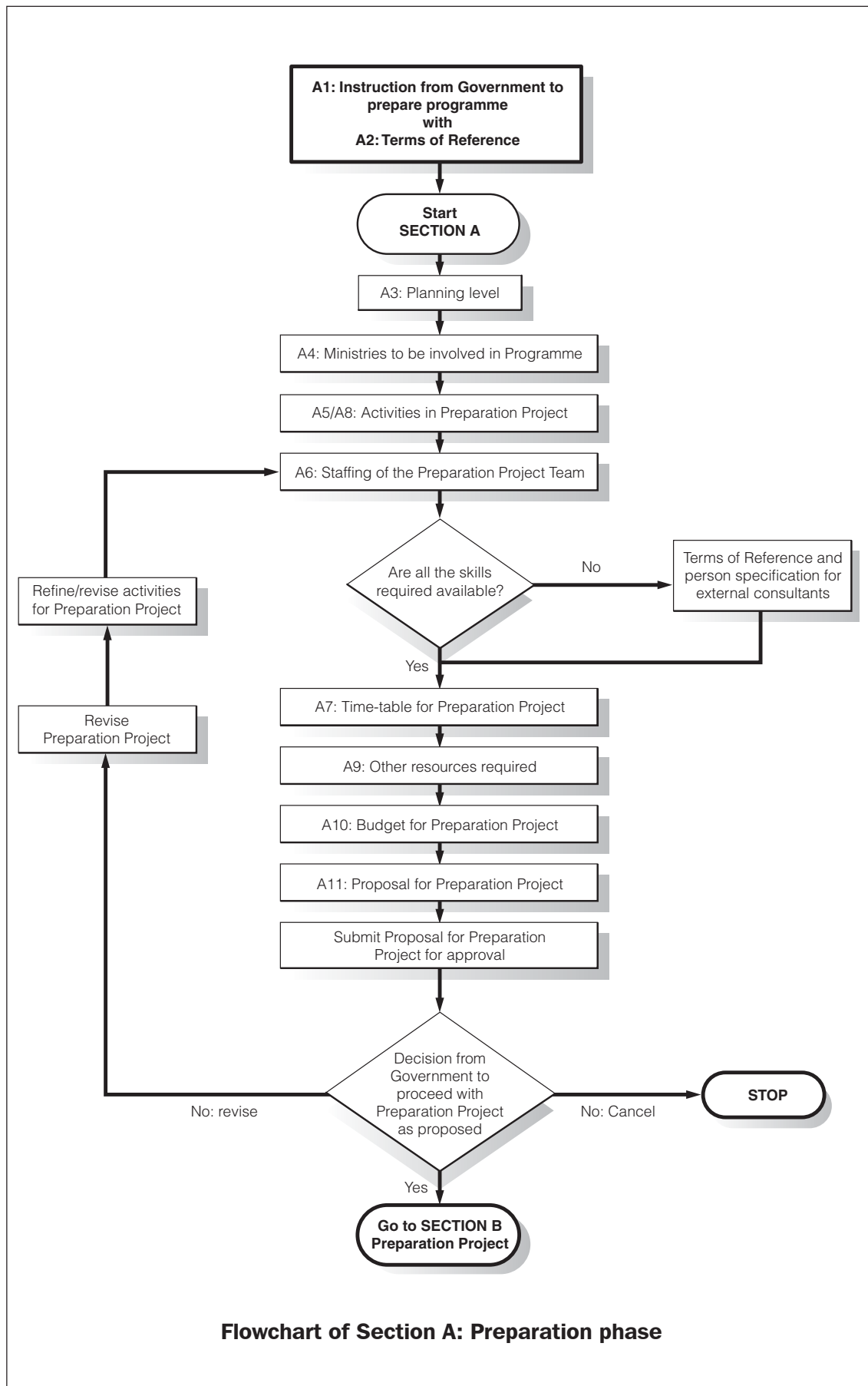
a proposal for a project to prepare an integrated water and sanitation sector programme for a specific area, including the resources required for the project, a budget, a timetable and a plan

based on:

an instruction with terms of reference from the government, and consideration of the programme area.

This section provides guidance on the various steps necessary for a small team of government staff to develop a project (the 'Preparation Project') to plan and design a water supply and sanitation sector programme, including hygiene promotion, water resource management and institutional strengthening, for a particular area. It includes:

- **Terms of Reference** – these may be pre-set by the instructing authority (e.g. a minister or senior government official), or the instructing authority may request draft ToR to be prepared for it to issue. The Guidelines suggest the issues that should be covered by the ToR. Even if the ToR are pre-set, it may be worth considering the range of issues suggested here during the development of the Preparation Project. It may be possible to negotiate changes to the ToR. In any case, use of this step may help to ensure that the Preparation Project has the scope to address the range of issues in the sector.
- **The planning level** – looks at the important decision concerning which administrative level — central, regional, or possibly district — should be responsible for organising, managing and undertaking the Preparation Project.
- **The Planning Team** – suggests the types of skills and experience necessary for the Core Team which will undertake the Preparation Project, and the associated ministries and departments that may be involved. It also suggests other people and skills that may be needed for different parts of the preparation project.
- **Preparation of a timetable** – provides information on the activities and factors to be considered in estimating the time required for the Preparation Project, and a format for developing a Gant chart (bar chart) for this.
- **Estimating resources** – gives suggestions on the resources required for the Preparation Project (apart from people).
- **Estimating costs** – provides formats for producing a budget based on the people, other resources and time required.
- **Proposal for the Preparation Project** – suggests the format and subjects to be covered in the formal submission requesting authorisation and funding to undertake the Preparation Project.





Guidelines

GA1 Instruction to Prepare Programme

The instruction from the government or commissioning ministry should include detailed Terms of Reference to make clear exactly what is required and to guide the Planning Team in its work. The instruction should be something like:

prepare a project, including a plan and budget, for planning and designing a rural water supply and sanitation sector programme proposal, and submit the project plan and budget for approval before proceeding with the programme planning and design. The programme proposal should include the items listed in the Terms of Reference.

GA2 Terms of Reference

Table GA2.1 gives a suggested list of the items that should be specified in the ToR. There may be others depending on the local circumstances.

Table GA2.1: Items to be specified in the Terms of Reference

Item
Geographical area to be covered
Groups to be covered: <ul style="list-style-type: none"> ▪ social groups ▪ ethnic groups ▪ settlement sizes ▪ rural ▪ peri-urban ▪ institutions
Programme components: <ul style="list-style-type: none"> ▪ water supply ▪ water resource management ▪ hygiene promotion ▪ sanitation ▪ community management ▪ institutional strengthening/capacity building
Time-scale of programme
Department and person responsible
Other ministries and departments with responsibilities or involvement in the sector at various administrative levels
Implementing agencies: <ul style="list-style-type: none"> ▪ regional and district government department ▪ NGOs ▪ CBOs ▪ Private sector companies
Coverage: <ul style="list-style-type: none"> ▪ targets for water supply – coverage and operation ▪ targets for sanitation ▪ rehabilitation of water supplies ▪ hygiene promotion
Maintenance systems for water supply
Arrangements for cost sharing: <ul style="list-style-type: none"> ▪ capital costs ▪ recurrent operation and maintenance costs

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GA3 Planning level

It is important to make the right decision about which administrative level will be responsible for the Preparation Project for planning and designing the programme. The administrative level is the level at which the Core Team is managed and to which it is responsible. Should the Preparation Project be organised and managed centrally or regionally?

This is probably one of the first decisions that will have to be made, but it needs careful consideration because it is likely to have far-reaching consequences. It may even affect the subsequent success or failure of the programme.

Usually there are two possible levels, central or regional. In some places, a third possible level to consider may be the district. A combination of these levels is also possible, and may represent the best way to benefit from the advantages of each. The advantages and disadvantages of each level are shown in Table GA3.1.

Table GA3.1: Advantages and disadvantages of different administrative levels

Level	Advantages	Disadvantages
Central	<ul style="list-style-type: none"> specialist skills and knowledge may be readily available staff are likely to have access to offices, information and data at central level 	<ul style="list-style-type: none"> may be out of touch with problems and issues in the programme area
Regional	<ul style="list-style-type: none"> promotes a sense of ownership of the programme by the people who will be implementing it should know of the problems and issues in the programme area 	<ul style="list-style-type: none"> may lack authority for planning programme
District	<ul style="list-style-type: none"> detailed knowledge of the area 	<ul style="list-style-type: none"> may lack authority for planning programme may lack the skills and experience necessary for programme planning and design

The methodology proposed in these Guidelines is for staff from all the levels to work together. A Core Team of staff with appropriate skills and experience from the various levels can be assembled to implement the Preparation Project (MA6). The skills and experience of this team may need to be supplemented by the use of consultants.

GA4 Ministries to be involved in programme

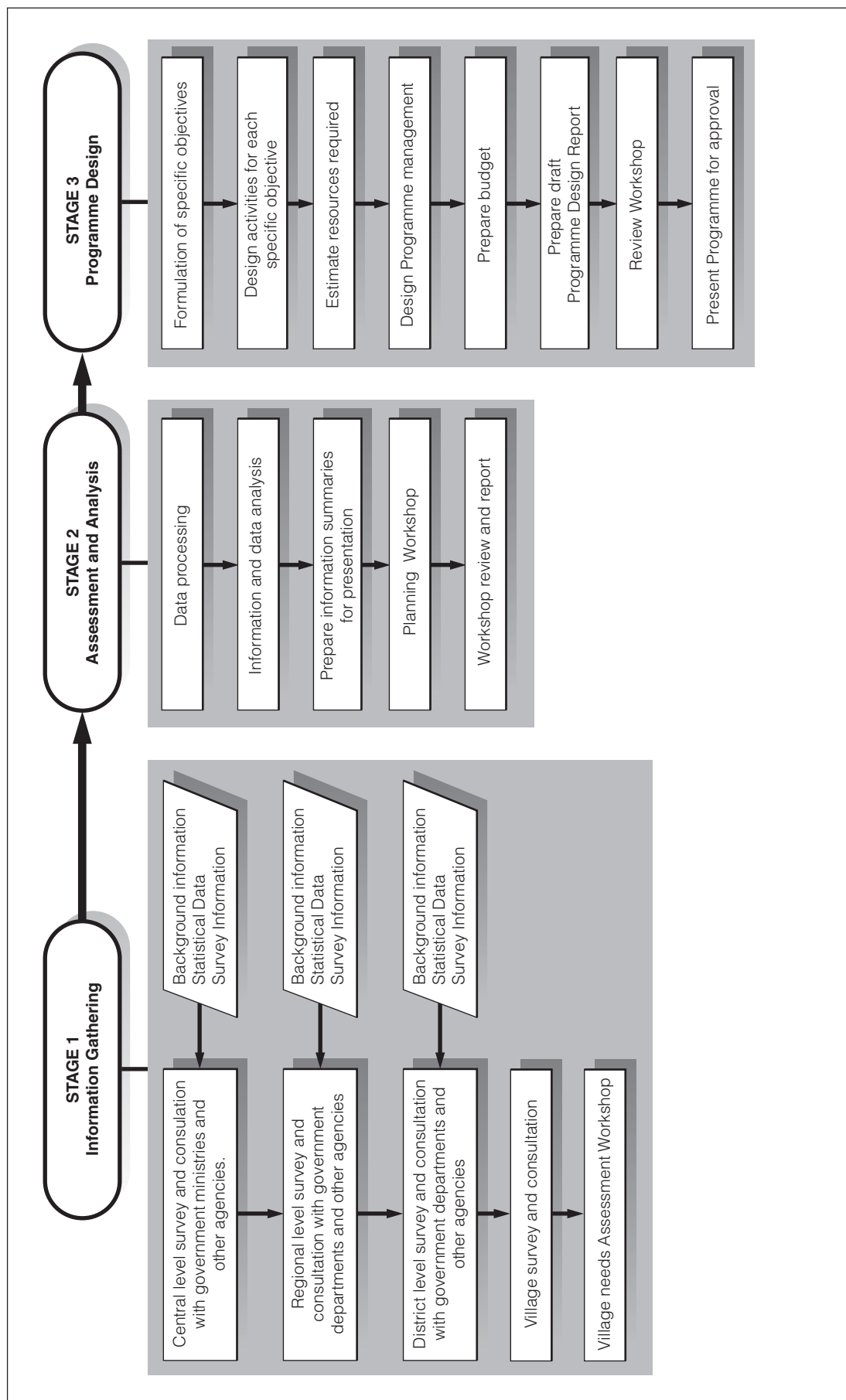
A number of different ministries and departments may be involved in the sector, either directly with explicit responsibilities, or indirectly where they are carrying out a particular role. The ministries could include:

- Planning
- Water resources
- Finance
- Local government
- Women's affairs
- Rural development
- Agriculture
- Power and energy
- Public works
- Health
- Education

The various possible roles and activities are given in the Manual (MA4), with suggestions as to which ministry or department may be undertaking them. It is important to identify all those involved in the sector to see how they can contribute to the planning and design of the programme.



GA5 Stages and steps in Preparation Project



GA6 Staffing of the Preparation Project team

To carry out the programme Preparation Project, it is necessary to form a Planning Team. This team should be formed at the level appropriate to the programme, i.e. it may be at central, regional or district level. A special consideration is:

- Do the necessary skills and expertise exist at the level chosen, or will it be necessary to bring expertise in from a different level?

It may also be necessary to have people of the same professional discipline from more than one level. For example, a planner working at central level may have a very different perspective than a planner working at regional or district level, so it may be worth having planners from both levels on the team.

As far as possible the team should consist of people who will be implementing and managing the operation stage of the programme. The Manual suggests people who should be considered to participate in the planning and design of the programme (MA6). Three degrees of participation are possible:

- member of the Core Team, leading and responsible for the Preparation Project;
- co-opted for specific assignments during the Preparation Project where additional skills are required (e.g. specialised government staff, consultants, staff from other organisations such as NGOs); and
- consulted during the process of the preparation project.

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GA7 Estimating time

The time needed for most activities will depend on the resources — especially people — that are available. Some activities will need a certain period of time irrespective of the number of people, e.g. the planning workshop. Others will depend on various factors. In particular, the time needed for the village-level consultations and surveys will vary according to the number of villages that should be surveyed to be representative of the area. If the area is more complex socially, ethnically or geographically then more villages will have to be covered.

The factors to consider for estimating the time needed for each activity are given in Table MA7.1 in the Manual (MA7).

GA7.1 Preparation of timetable

To be able to plan, budget for and monitor the project it is necessary to prepare a timetable. This is best done in the form of a bar chart or Gant chart. A form for this, with the activities listed, is given in the Manual (Form MA7.1).

GA8 Planning activities for Preparation Project: Summary

The Manual (MA8) provides forms for summarising the detailed planning of the various activities. This summary should help in estimating the budget needed for the Preparation Project. The outline of the various activities is given in Flowchart GA5, and fuller explanations are in the Manual.

GA9 Estimating other resources

The various items needed to support the Project need to be allowed for and costed. The following lists suggest the items likely to be needed. Some items will be needed for the whole period, others for part of the period.

It may be possible to 'borrow' some things without cost from government departments, but others may have to be paid for. Estimating forms are given in the Manual (MA9 and MA11).

Office space

It is advisable to have an office especially for the Project Preparation. This will help the team to concentrate and should help in team-building if it is separate from the members' normal workplaces.

The area should be large enough to accommodate the team members, the administrative support staff, additional temporary team members and the storage of documents and information.

A venue for the Planning Workshop, with accommodation for up to 50 people, will also be necessary.

Transport

This will be needed for:

- information gathering at all levels
- surveys and consultation at central level
- surveys and consultation at regional level
- surveys and consultation at district level
- village level survey and consultation

Administrative support

- office administrator
- secretary
- computer operator
- driver
- caretaker
- etc.

Office equipment, consumables and running costs

- furniture
- computers
- printers
- photocopier
- telephones
- filing cabinets
- office rent
- electricity and telephone charges
- paper
- etc.

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GA10 Estimating costs

To prepare a budget for the Preparation Project, you will have to estimate the costs of each of the activities in terms of:

- staff salaries and costs
- transport and travel allowances
- equipment and other resources
- fees for maps, searches, etc.

To assist with this process, example forms (Forms MA10 and MA10.1) giving a method for building up the costs are provided for each of these headings in the Manual (MA10). Your government may have its own procedure for estimating costs, so you should decide whether to follow your government system or to use these estimating sheets.

The objective is to show clearly how costs are estimated, and the costs of each part of the Preparation Project. This should make them easier to justify if there are any questions about the cost of the Preparation Project, or if there is any change to the Project.

GA11 Proposal for Preparation Project

In order to get approval to proceed with the Preparation Project, it will probably be necessary to submit a proposal, based on the Terms of Reference, explaining the Project and its methodology, plan and cost.

The proposal should show how each of the items in the Terms of Reference will be addressed, adding detail and information, particularly if any variation from the ToR has been found necessary. Thus the proposal should include:

Table GA11.1: Things to be covered in the proposal

Item in ToR	Proposal	Variations from ToR
Geographical area to be covered	Confirm with description (and map)	any additional or reduced area, with justification
Target user groups to be covered: <ul style="list-style-type: none"> social groups ethnic groups settlement sizes 	Confirm with description	any additional groups, or groups to be excluded, with justification
Programme components: <ul style="list-style-type: none"> water supply water management hygiene education sanitation institutional strengthening 	Confirm with description	any additional components, or components to be excluded or only partially covered, with justification
Department responsible	Confirm	
Other ministries and departments with responsibilities or involvement in the sector	Confirm ministries and departments	any other departments that should be included, or any specified in the ToR that are not willing to take part in the Preparation Project
Implementing agencies	Confirm implementing agencies	any others that should be included, or any specified in the ToR that are not willing to take part in the Preparation Project
Coverage: <ul style="list-style-type: none"> targets for water supply targets for sanitation rehabilitation of water supplies hygiene promotion 	Confirm	note any proposed changes, with reasons
Maintenance systems for water supply	Confirm	note any proposed changes, with reasons
Arrangements for cost sharing: <ul style="list-style-type: none"> capital costs recurrent maintenance costs 	Confirm	note any proposed changes, with reasons
	Methodology for Preparation Project	
	Activities	
	Time-scale for Preparation Project, including bar chart	
	Staffing and resources required	
	Budget	

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