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80 AP

1. not beyond scope IRC;
This kind of "coordinating" work is IRC's function
in the international community

Appraisal Study on the Relevance, Need
and Feasibility of an Action Plan on
~~"Extension and~~ Community Participation in
Water and Sanitation
in Developing Countries"

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1. SUMMARY AND RECOMMENDATIONS

1.1 RECOMMENDATIONS

The recommendations of this report are mainly contained in the draft plan of action described in section 4. They include action at the national and international level. Figure 2 shows the suggested phasing and interrelationships of the recommended activities and section 4 discusses the rationale for them. Briefly the recommendations include:

INTERNATIONAL LEVEL

- 1) A report be compiled on evaluation studies underway or being planned by different agencies (Who is doing What).
- 2) A second report on evaluation studies be prepared that provides guidelines on how to evaluate water and sanitation projects. The report would discuss criteria for evaluation, methods and procedures, and the design of perception studies for evaluation by the community.
- 3) A state-of-the-art report be prepared on community participation synthesising present knowledge and experience and paying attention to costs and criteria for assessing benefits.
- 4) Selected Latin American manuals for community participation be translated, edited and made available to African and Asian national planners.
- 5) A practical guidelines document on community participation methods be prepared.

A project
Regional

"we know, we'll tell you approach"

MEETINGS

- 6) An international meeting of international and donor agencies and selected national agencies be held to select and support pilot projects in which field manuals, evaluation methods, and training programmes for community participation would be tested.

- 7) Regional Training Workshops be held on manual design, field procedures and preparation of educational and training material for community participation. Technical personnel from national water supply, sanitation and health education agencies would attend.

NATIONAL LEVEL

- 8) National reports be prepared on water and sanitation programmes, policies and socio-economic contexts. These are needed to provide baseline data for the design of national community participation strategies. The present 'Rapid Assessments' and National Plans development (WHO/UNDP) is already responding to this need.
- 9) National agencies design field procedures (including field manuals) for community participation in national water supply and sanitation programmes in accordance with national policy.
- 10) National agencies undertake pilot projects (with external support) to test and evaluate field procedures and educational material for community participation.

*COP component
in nat. plans*

*R+D
projects*

1.2 SUMMARY OF FINDINGS

Agency policies for rural water supply have shifted dramatically within the last year or so. The evolutionary process is obviously a longer one than 1-2 years but the present stance adopted by the key international agencies is significantly different from that of 2-4 years ago. The new directions the changing policies have taken are towards

- a) increased resources for rural water and sanitation
- b) evaluation studies of past projects, and including evaluation components in new projects
- c) greater emphasis on sanitation and primary health care
- d) acceptance of the importance of community participation
- e) increased communication and cooperation between agencies at a technical as well as a policy level

The greater priority being accorded rural water and sanitation (RWS)

within agency programmes is a reflection of the wider acceptance among senior agency personnel that RWS is a key component in economic and social development. That this is also a political awareness is shown by the U.N. declaration of 1981-1990 as the International Drinking Water and Sanitation Decade.

The higher profile shown by RWS in future agency programmes has led to renewed concern that many schemes are reported as unsuccessful. Equipment breaks down and is not repaired; communities are unable, or disinclined, to maintain government installed schemes; poor personal hygiene and sanitation rob improved water systems of whatever health benefits they might bring. Agencies are realising that, not only have they been helping to install many unsuccessful RWS schemes, but that they have little systematic understanding of what went wrong.

The key word now is therefore 'evaluation'. As this report indicates, evaluation has been largely neglected in past agency approaches. It was often left to busy field staff to do as an optional extra and was not systematically recorded and filed. It looks as though much agency experience in RWS has been lost because it is not retrievable from agency files, or because evaluation was never explicitly undertaken. Agencies are therefore now considering how to evaluate their past record, and how to ensure that evaluation is a routine and integral part of future projects. In addition, some agencies have undertaken specific evaluation projects, either individually or jointly (section 5).

As part of this more reflective approach to RWS, agencies are reassessing the role of community participation and the degree to which their routine procedures enable local involvement in RWS to take place. It is here that the evolution in agency policy seems the most 'dramatic'. The role of community participation in making RWS schemes more acceptable to local people, and thus more likely to be maintained and used, has changed from being a luxury to a necessity - or from a question-mark to accepted dogma. Community participation has become enshrined as one of the main selection criteria for projects in some recent project proposals (section 2.4).

This review of agency activities has also found that international agencies, particularly within the U.N. system, have increased their degree of

communication at the technical level as well as the policy level. Some of this cooperation is specifically taking place over the need to evaluate past experience. A new mechanism has been set up to facilitate inter-agency liaison which can be regarded as one of the lessons learned from the former Ad-Hoc Working Group on Rural Potable Water Supply and Sanitation (section 2.5). At the same time, there remains much ignorance within agencies about what other agencies are doing - particularly outside of the U.N. system. More exchange of information on an agency to agency basis increases the workload of every agency. A centralised information system seems more appropriate.

1.3 CONCLUSIONS

1. Over the next few months and years, agencies involved in domestic water supply and sanitation are going to be concerned with
 - increased numbers of projects
 - more evaluation, especially of perceived benefits and user acceptance
 - greater input in the design, implementation and evaluation of projects by local people.

2. The strategies these agencies have adopted so far is to
 - increase their budget and manpower resources for domestic water supply and sanitation
 - begin to undertake global 'state-of-the-art' evaluations as well as to scrutinise agency files and hire consultants to provide evaluations of projects in specific countries
 - incorporate the principle of community participation into agency projects and programmes, and to demand a greater degree of local involvement than ever before
 - increase the sharing of information between agencies through newly devised consultative mechanisms and undertake more joint projects under the aegis of inter-agency steering committees.

3. The needs and gaps that the new policies are exposing include
 - how to do evaluation studies, especially those in which local perceptions are taken into account
 - the definition of suitable criteria for evaluating the success of projects
 - how to design a community participation process suitable for all, or any specific, national setting

- how to translate a community participation policy into practical guides or manuals usable at the local and national headquarters levels
- how to design a health education 'package' that includes water use, personal hygiene and sanitation
- the lack of enough suitable social scientists to help in the design and implementation of these new policies at all levels (including within the international agencies themselves).

1.4 ABOUT THIS REPORT

This report has been written in response to a request from IRC (International Reference Centre for Community Water Supply) to

"Make an appraisal study on the relevance; need and feasibility of an action plan on Extension and Community Participation in Water Supply and Sanitation in Developing Countries".

The strategy adopted was to interview the key staff members and consultants of some of the main international agencies involved in the support of rural water and sanitation schemes in developing countries. These agencies include WHO, PAHO, IBRD, UNICEF, UNDP, ILO, and IRC. National overseas development agencies were not included in this initial survey except US/AID and UK/ODM.

The review and recommendations included here are the result of these interviews (see section 6) as well as an examination of recent literature on community participation and evaluation studies. Much of the literature reviewed is not published. It was obtained in mimeographed draft from the authors or consists of agency documents, such as internal memos, project proposals and field mission reports. These are referenced at the end of each section of the report or as footnotes.

The review of agency activities discovered that several major evaluation exercises were underway and it was decided to appraise these in some detail. Section 5 of this report thus serves as a pilot survey of agency evaluation projects that it is recommended should be extended to include other agencies. The evaluation studies are reviewed in section 5 according to a common format

- background description
- project design outline

- degree of focus on community participation
- evaluation
- references

In addition to the review of specific agency projects in section 5, recent changes in agency policies are discussed in section 2. Section 3 draws out of the documentation a list of the working hypotheses about community participation presently current in agency thinking. The 'advanced' state of agency thinking about the role of community participation in rural water and sanitation schemes is not matched by their ability to implement their new policies. It is towards these needs and gaps that the draft plan of action has been designed (section 4).

2. REVIEW OF AGENCY POLICIES AND ACTIVITIES

Over the past 1-2 years, the policies of most agencies active in the rural water and sanitation field (RWS) have significantly shifted in direction. In some cases, agencies are now advocating approaches that in 1972-3 they said could not be done. These changes are discussed under the following headings:

- Increased commitment to RWS
- Evaluation of RWS projects
- Integration of Water Supply with Sanitation and Health
- Development of Community Participation
- Increased cooperation between agencies

2.1 INCREASED COMMITMENT TO RURAL WATER AND SANITATION

The target of clean water and adequate sanitation for all by 1990 adopted by the U.N. Water Conference in March 1977 implies that the current level of annual investment has to be increased by the following factors.¹

	Water Supply	Sewage/ Excreta Disposal
Urban	1.2 times	2.1 times
Rural	3.9 times	4.0 times

The increased investment required to extend the same levels of service as in the past to all the populations of developing countries will need more support from international agencies and national governments alike. In the five years 1971-75, it is estimated that three-quarters of the investment in RWS was from the developing countries themselves.

International agencies are increasing their commitment to RWS in affording it more priority in their programming and in increasing the level of their financial support to RWS projects. UNDP, for example, is becoming active in

1. WHO/UNDP, Co-operative Action for Drinking Water Supply and Sanitation. Draft dated 29 June 1978.

RWS after having done relatively little in the field. It is committing funds in the order of U.S. \$1 million to RWS collaborative projects with IBRD and WHO. UNICEF is seeking to rapidly increase its input to national programmes for RWS from the present level of U.S. \$15-20 million to about \$50 million. Similarly US/AID is considering an expanded RWS programme of U.S. \$2½ billion in the next decade.

This stepping-up of activity in the RWS field has to be seen in the context of the U.N. Water Conference held in March 1977 and the Resolutions adopted by the Conference (and subsequently endorsed by the U.N. General Assembly). The Resolutions include:

- target of clean water and sanitation for all by 1990
- 1981-1990 designated the International Drinking Water Supply and Sanitation Decade
- 1977-1980 declared the preparatory phase
- U.N. system to cooperate with countries to prepare plans for Decade
- all external agencies requested to cooperate

In accordance with the Resolutions, agencies are planning for much greater activity in RWS over the next decade, and are currently undertaking preparatory projects. A major activity is the preparation of national plans for implementing RWS projects over the decade. Although the national plans will be made by national governments, the U.N. system is providing technical assistance. For example, WHO in cooperation with the World Bank, is helping national governments to undertake 'rapid assessments' of

- the countries' preparedness to accelerate RWS projects
- the likely constraints on such an accelerated programme
- the actions necessary before national plans can be prepared for the 1981-90 Decade
- the need for external assistance to prepare the national plans

2.2 EVALUATION OF RURAL WATER AND SANITATION PROJECTS

In the past, RWS projects have been implemented with little attention paid to evaluation and monitoring of their progress and ultimate success or failure. Evaluations have generally consisted of brief field reports made by busy project personnel or, more recently, by special field missions visiting a country for a few days or weeks. The US/AID findings (from a survey of their own

project files) that only 13 projects out of 91 had received any specific evaluation, is probably indicative of a general state of affairs. US/AID's study also illustrates the paucity of information available in RWS project files about many of the socio-economic variables that are critical to evaluation of the role of community participation, future planning, and even whether the project installations are working or not (see section 5.7).

UNICEF, who have been heavily involved in RWS projects for many years, do not routinely do specific evaluation studies or monitoring of their projects. They operate on a decentralised system with each field officer in charge of what evaluations will, or will not, be done. The role of community participation has therefore not been systematically evaluated in UNICEF projects. A few specific evaluation studies have been done in the past and currently projects in India are being evaluated.

Similarly the U.K. Overseas Development Ministry (ODM) leave project evaluation to the discretion of their field officers and the only major evaluation activity in RWS they have supported so far has been the study done by Richard Feacham in Lesotho (and recently duplicated by US/AID!).

This general neglect of evaluation studies, despite an awareness that all was not well in RWS development, has recently shifted towards emphasising evaluation as a priority activity. The escalation of funding and projects expected over the next decade has sensitised agencies to the need to take stock of what has been done, and to learn from the experience, before investing further in RWS.

Several major evaluation projects are being undertaken by different agencies, including OECD, UNICEF, WHO, IBRD, IRC, US/AID, and CIDA (see section 5). The methods adopted vary from abstracting statistics from project files to in-depth social studies in villages. Most evaluations however, are based on the findings of short term field missions which combine interviews with government officials and village observations. This 'explosion' of evaluation projects is likely to lead to

- recommendations that evaluation and monitoring components be included in project designs
- recognition that field evaluation methods need to be further developed
- increased emphasis on collecting socio-economic data before projects

are designed and implemented

- better understanding of the role that can be played by community participation and education in making RWS projects successful.

2.3 INTEGRATION OF WATER SUPPLY WITH SANITATION AND HEALTH EDUCATION

Rural water development is becoming better integrated with sanitation projects and the promotion of health education. In the past, agencies have tended to implement rural water schemes with more enthusiasm and success than sanitation projects. Sanitation has been widely recognised as the Cinderella of the two. This state of affairs has probably come about because the engineering and technology-dominated approaches of the past had relatively more success (and prestige) in installing water supplies than latrines. The successful adoption of improved excreta-disposal methods requires more careful attention to social values and personal behaviour, than has characterised the design of RWS projects in the past.

Some agencies such as US/AID, have used the promise of more convenient water supplies as the bait for requiring that latrines be built. However, such linkage between water and sanitation has met with mixed success. In some projects, few latrines are actually built and in others, where they are built, they are not used. Even if latrines are built and used, it is not clear that, without better personal hygiene practices such as hand-washing, significant improvement in health will be achieved.

The necessary integration of all three - water, sanitation and hygiene - is now being translated more effectively into agency programmes. Engineers and health education specialists within the same agency (e.g. WHO) are beginning to talk to one another more, although there is still a long way to go.

At agency policy level, much more is being said about integrating water with sanitation. The OECD evaluation project is concerned only with water (section 5.1) but other studies such as the UNICEF/WHO JCHP project (5.2) and the IBRD Appropriate Technology Project (5.4) have considered water supply in a wider sanitation and health context. The IBRD Appropriate Technology Project in particular has focussed on sanitation aspects. Two major reports on sanitation have been prepared by the Ross Institute of Tropical Hygiene in London (Health Aspects of Excreta and Sullage Management; and Alternative

Sanitation Technologies for the Urban Poor in Africa). A state-of-the-art review and annotated bibliography in sanitation has recently been published by IDRC (Low-Cost Technology Options for Sanitation).

There is thus considerably more activity going on now in sanitation development for poor communities, and better integration of both water and sanitation projects with primary health care programmes is not far down the road. This evolution in agency's approaches to water is accompanied by (and may partly stem from) another shift in emphasis - from exclusive concern with rural water supply to the inclusion of urban poor and squatter communities. In poor urban settlements the need to provide excreta disposal systems is more urgent than in sparsely populated rural areas.

2.4 DEVELOPMENT OF COMMUNITY PARTICIPATION

Another feature of evolving agency policies is the growing emphasis on community participation in RWS projects. Many of the evaluation projects described in section 5 of this report pay special attention to the role of community participation. Observation during short field visits, village case studies, and structured questionnaires are being used to document community involvement. An annotated bibliography has been prepared on Extension and Community Participation in Community Water Supply and Sanitation as part of an IRC project to develop guidelines and plans for furthering community participation (section 5.6).

So far the projects concerned with evaluating community participation are descriptive and general in their findings. Lists of tentative 'do's' and 'don'ts' are suggested without specifying the impact of one type of approach over another. This failure stems partly from the difficulty of experimental design - in finding villages with contrasting experience of community participation but which are similar in other respects.

Agency policies and activities have changed recently not only in the greater attention paid to the role of community participation (and thus to social aspects in general), but also in their greater willingness to assume that local involvement is critical to the success of RWS schemes without needing to have it demonstrated. This shifting of the burden of proof parallels a similar acceptance that RWS schemes bring health benefits, which nonetheless

are difficult and expensive to demonstrate. Both are part of a general trend in international agencies to somewhat redress the previous imbalance between social, economic and technical approaches in RWS programmes. Economic and engineering aspects are not being downplayed as much as social aspects are being first introduced and increasingly being given new emphasis.

A third, and very significant, aspect of changing policies with respect to community participation, is the incorporation of local perceptions and participation as criteria for the selection and funding of RWS schemes. For example, the joint UNDP-IBRD project to develop Demonstration Projects for Low Cost Water and Sanitation Projects includes among its selection criteria that RWS schemes:

"be responsive to community needs as perceived by its inhabitants;
be designed and implemented with active community participation"

(Project Document p. 1)

In addition the project document states that

"Institutional and technical models will be designed to ensure that project designs will be responsive to community needs as perceived by the inhabitants. This will require participation by the population in:

- (a) Establishment of service levels
- (b) Evaluation of alternatives
- (c) Development of institutional arrangements.

To facilitate community participation, local consultants in developing countries will be trained and employed to design projects with the participation of community representatives."

(Project Document p. 3)

Similarly, the WHO project (funded by UNDP) to develop Drinking Water Supply and Sanitation Programmes has a clear mandate for community participation:

"Special emphasis will be laid on the study of social aspects relating to people's perceived needs and means of ensuring their continued interest and support to the programme. This should involve close cooperation with the governments in the development of the programme in a manner that accepts the premise that the rural poor must be:

- consulted as to their real needs (for safe water and sanitary excreta disposal)
- given information and education on ways in which they can solve problems and meet needs
- allowed to develop institutions and to control the resources, both their own and those placed at their disposal
- aware that they will be responsible for the operation and maintenance...

Many of the principles enumerated here are known to be fundamental for the success of development projects that involve people's participation in solving local problems."

(Project Document p. 3)

The salient parts of these two IBRD and WHO project documents (starting late 1978) have been quoted to underline the very real turnabout in agency thinking about local participation. Not only are the new RWS projects that are being developed specifying that it must be demonstrated that communities have been involved in decisions, but the degree of local involvement promoted is much greater than before. Communities are now considered able to evaluate alternatives, decide on the level of service they want and the way it will be run at the local level. The systems are to be designed with the local people's perceived needs rather than only the view of the outside "experts" being taken into account.

This evolution in agency policy is most advanced within the U.N. system (especially WHO, UNDP and ILO) and the World Bank. UNICEF strongly favours community participation but operates under the constraint of a very large stockpile of standardised RWS equipment components which are necessary to respond rapidly to emergency situations.

typical ILO!

ILO also supports local participation in its collaborative labour-intensive public works programme with UNDP. However concern is expressed in ILO that self-help projects can be used by national governments to avoid paying wages for work that should receive remuneration. *terrible policy.*

In general, however, all agencies visited expressed strong support of increased community involvement in RWS. Their project documents now reflect

this new emphasis at the policy level. Implementation, however, will require more social scientists to be involved in project design work at all levels, and the training of many local 'promoters'. These changes will probably take longer than the five years or so that it has taken for the agency policies to alter.

2.5 INCREASED COOPERATION BETWEEN AGENCIES

The improved liaison between agencies that was sought for in the creation of the Ad Hoc Group on Rural Potable Water Supply and Sanitation has been revitalised within the last year. A Cooperative Action Plan has been prepared jointly by UNDP and WHO.¹ The plan is in line with the resolution of the UN Water Conference that external sources of technical and financial resources be requested to cooperate.

Technical cooperation is being carried out through several collaborative projects (Figure 1) including:

WHO-IBRD National Rapid Assessments

- country by country assessment of the water and sanitation situation and the actions required to prepare national plans for the 1981-90 Decade Programme. At the end of April 1978, 23 countries had been completed and 16 were in progress, with 30 other countries having requested assessment assistance.

UNDP-WHO Development of Drinking Water Supply and Sanitation Programmes

- starting September 1978 for 18 months
- designed to stimulate coordinated national planning in RWS with particular emphasis on the study of social aspects relating to consumer acceptance and community participation. The project will assist national governments to update existing information; to identify needs and constraints; formulate short and long term RWS programmes; undertake necessary evaluation studies, and develop appropriate institutional structures.

1. UNDP/WHO, 1978, Cooperative Action for Drinking Water Supply and Sanitation draft no. 2, 29 June 1978. 12 p.

? prep. for GWS 20.6?

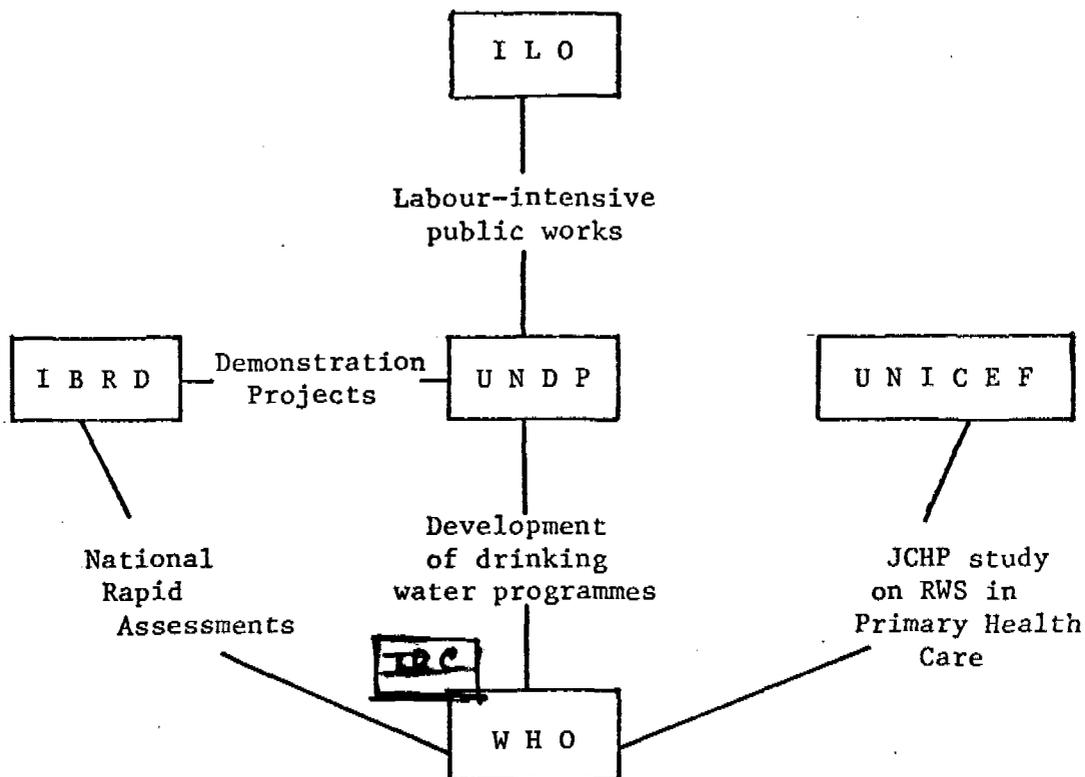


Figure 1. Cooperative Action between U.N. Agencies

UNDP-IBRD Demonstration Projects for Low Cost Water and Sanitation Techniques

- includes a rural water component in some countries
- designed to evolve labour intensive technologies in public works programmes that result in community participation, lower costs, use of appropriate technology and creation of employment

The umbrella structure for these projects and general cooperative action between the agencies consists of:

At the Country Level: The local UNDP representative will act as the coordinating officer for the UN system with the technical support of other agencies.

: Information bases on country needs and external resources will be centralised.

At the International Level:

- (a) Steering Committee for each project consisting of UNDP, IBRD, WHO, UNICEF, ILO as well as interagency bodies approved by ECOSOC.
 - the committee will regularly review individual programmes, review policy and prepare material for the Consultative Meetings.
- (b) Consultative Meetings will be called on an ad hoc basis to review information and country needs. They will include UNDP, IBRD, WHO, UNICEF, ILO and ODA's and funding institutions.
 - the meetings will be convened by the Administrator of UNDP.
- (c) WHO (Global Promotion and Cooperation Unit) **+ IRC!?**
 - this unit headed by Dr. Subramanyan will act as the liaison centre and clearing house between Consultative Meetings. The unit will collect data from developing countries on progress, needs and constraints in RWS, and information from the ODA's and funding institutions on their criteria, policies and procedures. This information will be exchanged between relevant groups to further the development of both national RWS plans and a project funding 'pipeline' to accelerate action for the Decade.

*Interagency
Coordination*

Outside the UN system, increased information exchange is being developed between some agencies - for example, between US/AID, PAHO and IBRD through the mechanism of the US/AID Working Group on Potable Water Supply. Other agencies, such as UK ODM and CIDA seem to be more isolated in their policy

development and programming.

The leading edge of cooperative action is within the UN system. Among the ODA's, US/AID is taking the lead in developing a network between itself and other relevant agencies. The degree of cooperation is likely to intensify, both at technical and policy levels over the Decade programme between agencies already looking for better coordination. It is to be hoped that the ODA's programmes will also be more effectively coordinated at the country level through the Decade actions.

3. SUMMARY OF HYPOTHESES ABOUT COMMUNITY PARTICIPATION IN RURAL WATER AND SANITATION

These ideas, which are set out here as hypotheses, are drawn from many of the documents reviewed for this report. Some of them are repeated in many documents. Together they can be regarded as our present collective wisdom about how to go about using community participation to develop a successful RWS project. The list is not exhaustive and includes ideas about different degrees of local involvement. Neither is the list specific to countries or societies. It is 'global' in scope and needs translation into more specific statements if it is to be used as a guide for RWS planning.

Projects are more likely to succeed when:

- the initiative has come from the community and the time lag between local initiative and government response is not too long
- the costs and benefits of alternative levels of service have been explained to the community
- the level of service, technology and detailed siting of installations are chosen in cooperation with the community
- the community is relatively homogeneous
- the people understand the benefits of clean water and its relationship to good hygiene
- there is previous successful experience of community property and community action
- collective action is valued and given priority
- a water committee of local people helps to run the project
- a villager is trained and paid to be the mechanic
- tariff structures and payments are set up with local agreement
- a local users group helps to set management policies
- time is made available for the promotion process in each community within the scheduling of RWS programmes and the planners recognise that community involvement is likely to make the project longer
- communication with the villages is not left to the promoter alone but becomes part of the role of everyone working on the project
- local people perceive direct benefits to themselves from the RWS scheme and are highly motivated
- the timing of work on the project fits in with the local agricultural

- calendar and work cycle as well as social calendars
- special attention is given to the education and involvement of the women, who play a major role in food preparation, water use and child care.
 - the RWS project, including the participation aspects are designed after social baseline data has been collected, including customs, benefits, water use, personal hygiene habits and social patterns
 - participation is not limited to manual labour or cash payment but extends as far as possible into project planning, installation, operation, maintenance, baseline research and evaluation
 - the community is allowed to select the leaders and committee members
 - large community meetings are held before leaders are identified, or chosen for the project, and are held regularly throughout the development of the project
 - the cooperation of traditional influential leaders in the community are sought at the outset
 - the creation of new leaders in competing roles and tasks is avoided
 - the whole community is reached and ultimately involved (through village meetings, informal networks or house to house visits) rather than relying on special interest groups (including political ones)
 - women are trained to work as promoters or even as mechanics (they are less likely to leave the village when trained and more likely to respond to social pressure from other women to do the job properly)
 - management decisions, like how to deal with non-payers, be left to the community rather than imposed from above
 - participation meetings are scheduled when the majority, especially the women, are free to attend
 - different media are used to educate the community and reinforce each other's message (pamphlets, posters, songs, films, plays, radio)
 - attention be paid to the concerns of the community about physical space arrangements and their needs for both privacy and social interaction
 - the promoter(s) are from the village and are selected by the community for training
 - the promoters are paid
 - the community has some leverage with the promoters and the mechanic (e.g. pays part of their salary)
 - special budgets are set up to enable the community to commemorate important events in the project (e.g. inauguration of supply) with ceremonies or fiestas

- technical experts or professionals involved in the planning and installation of the project make call-back visits to the communities to show their (and their agency and central governments) continued interest in the scheme and how the community is faring
- specific tasks for community work groups are well-defined and realistic before community participation is specifically sought for them.
- the community makes a financial contribution to the scheme but decides themselves how this is to be arranged (e.g. to take account of the poor sections)
- self-help labour is contributed only by the specific beneficiaries of the scheme and all others are paid wages
- the community is shown how to do self-surveys to gather baseline data and to evaluate progress (e.g. as school projects)

4. DRAFT ACTION PLAN

4.1 INTRODUCTION

The Action Plan is aimed primarily at the national level, through a process of international support and regional training. Most of the manpower and budget allocation would be expended in developing countries in training, support costs to national agencies for designing community participation components, and in implementing them in a series of pilot projects.

The rationale for this approach reflects a current concern among international and donor agency personnel. It is that successful community participation methods depend so closely on the local socio-economic setting and national organisational and political framework, that no single ideal model exists.

At the same time, community participation strategies, if they are to be successfully carried out on a large scale (that is, as a routine part of a national programme instead of in a special pilot scheme) must be spelled out in considerable detail so that a large number of people can carry them out. This has been a key factor in the success with which manuals have been used by community promoters in Latin America.

Much of the written material on community participation is aimed at a highly generalised, policy level which cannot be taken by most field level workers and transformed into action in the villages. Thus there is a need to translate the statement

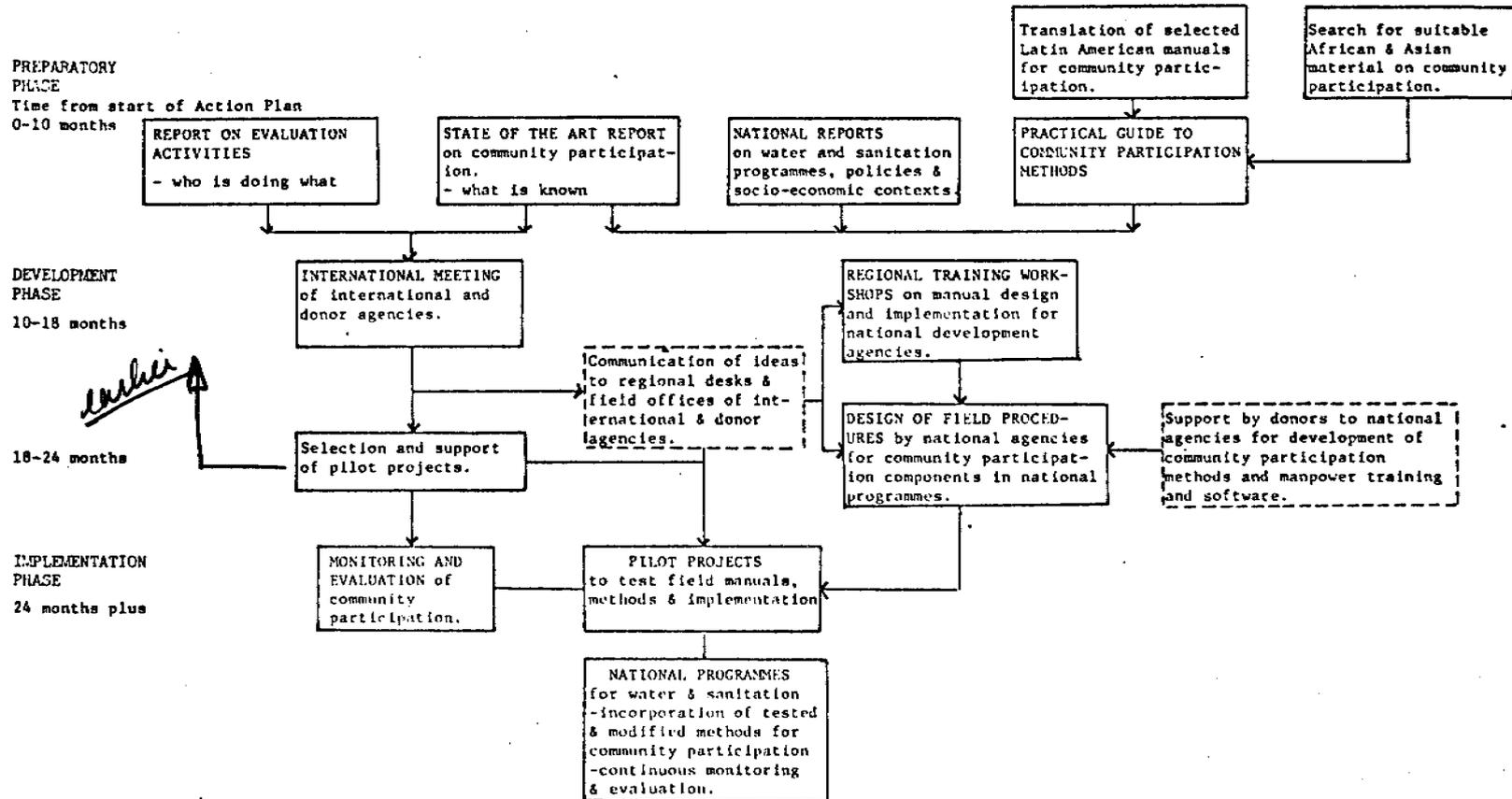
"the attitudes and practices of the community in relation to sanitation must be understood"

into clear directions about how to go about doing this - what questions to ask, what observations to make, and when and where.

This Action Plan is designed to put those directions into national water and sanitation programmes through support (information, training and finance) to national development agencies to design, test and implement community participation strategies.

Figure 2.

**DRAFT ACTION PLAN FOR DEVELOPMENT OF NATIONAL STRATEGIES
FOR COMMUNITY PARTICIPATION IN WATER SUPPLY
AND SANITATION**



The output of the Action Plan is thus

- the incorporation of community participation in national water and sanitation programmes
- the monitoring and evaluation of community participation and the implementation of any needed changes
- information exchange between ^{national} international and donor agencies about current evaluation activities for water and sanitation projects, with particular emphasis on the role of community participation.

Overall, the Action Plan seeks to meet three needs that are expressed by development agency personnel, both at international and national organisations. These are:

- Who is doing what?
- What is known?
- How to do it?

Who Is Doing What?

As is documented elsewhere in this report, many evaluation activities are now underway or planned, but they are often designed and implemented independently of one another. Furthermore, people carrying out one evaluation project in one agency are only vaguely aware of another similar activity in another agency. A need for improved information exchange is apparent; for what evaluations are being done, the methods being used, and the findings. A more extensive search for evaluation activities than was possible for this appraisal needs to be conducted and the results disseminated.

What Is Known?

More documentary material is available about the role of community participation in the success and failure of water and sanitation projects than about 'who is doing what' or 'how to do it'. However, it is felt that the Action Plan can contribute in this area in two ways:

- 1) by providing a documented synthesis of what is presently known or hypothesised about community participation.

- 2) by trying to provide data on the costs of community participation. Examples of these data (time, \$costs, manpower needs) are less fully dealt with in current literature.

How To Do It?

As has been discussed, this is the most neglected question and the most urgent need to be filled before national programmes can incorporate more community participation. The thrust of this Action Plan is therefore directed to responding to this question.

Phasing

The Action Plan is divided into three phases. The first, Preparatory Phase, consists of the preparation of written reports which are necessary inputs to the second, or Developmental Phase. The first phase will be largely a desk activity to be carried out by consultants. It should be completed in 1979. The four main outputs of this phase are:

- Report on evaluation activities
- State of the art report on community participation
- National reports on water and sanitation programmes
- Practical Guide to Community Participation Methods.

The national reports may not have to be commissioned separately as the necessary information may be available from the WHO Rapid Assessments of National Rural Water and Sanitation Situation currently underway as a preparatory activity for the International Drinking Water Decade. They may also be available for some countries in other recent assessments (e.g. IBRD Sector Reports).

The Developmental Phase is envisaged as taking 14 months and is organisationally the most complex. Information exchange between international and donor agencies would be facilitated through an International Meeting held early in the second phase (December 1979?). A series of Regional Training Workshops (held early in 1980?) would make available information on practical methods of community participation to the national development agency staff who will ultimately be responsible

for implementing them with national programmes.

The international and regional-national developmental activities are linked through communication and support mechanisms (see flow chart).

The sooner the better!

The Implementation Phase is expected to begin in two years (early 1981) as the first pilot projects get underway in which the newly developed community participation components can be tried out. The pilot projects will need to be monitored and evaluated as an integral part of the project design, and donor agency support will probably be required for this.

The Implementation Phase has a somewhat indefinite duration as suitable pilot projects and the completion of detailed plans for community participation by national agencies will come on line at different times in different countries. Within each country it is hoped that the experience of testing community participation strategies in one or more pilot projects will lead to their revision and incorporation into the routine planning and implementation of water and sanitation schemes by national governments.

4.2 DESCRIPTION OF DRAFT ACTION PLAN

(see flow chart)

4.2.1 Preparatory Phase. 0-10 months from start of Action Plan.

The preparatory phase consists of five activities, each providing written inputs to the workshops.

a) Report on evaluation activities

A comprehensive review of international agency activities (U.N., bilateral, non-governmental) and, as far as possible, national agency activities, in the field of evaluating success and failure in rural water and sanitation projects with special reference to community participation.

This review would be more comprehensive than the one in this report (section 5) and would include as many agencies as possible. The review should be carried out by a consultant who will need to visit the agencies concerned.

Rationale. This review of 'who is doing what' is necessary because many agencies are engaged in evaluating their own agency policies and progress so far, largely as an in-house process. They are usually unaware of other agency evaluations except in the most general way and except for certain liaison efforts between individual agencies.

The usefulness of such a comprehensive review that is factual, up to date, concise and clearly structured has been frequently expressed by agency personnel interviewed for this appraisal.

A review of evaluation activities can be combined with a review of progress and new development in community participation strategies because the two are usually linked. That is, present evaluation activities have been found to include consideration of community participation as one key component. Furthermore, current agency evaluations are placing community participation in the context of sanitation and health care programmes as well as rural water schemes.

b) State of the art report on community participation

This paper would draw on and systematise the considerable documentary material now available. It would thus develop the summary of what

is known that is included as section 3 in this report.

The document should be written by a consultant already familiar with much of the material and should aim at a synthesis of what has already been written. It should not try to develop new ideas as much as to structure the present state of consensus about what is known, what is uncertain, and what is unknown.

Rationale. From the review of agency evaluation projects and the consultants' reports commissioned by IRC, there is a wealth of 'wisdom' about the 'do's and don'ts' of community participation. This wisdom is characterised by great overlap between agencies and consultants' findings; and by a high level of generality. Thus the key role of community participation is widely acknowledged but is usually expressed at a level too generalised to be useful for further implementation and action.

The need is for a document that is highly structured, clearly referenced to written sources and geographical area, and with a summary or overview that can be easily assimilated by agency and national government personnel who are policy makers rather than specialists in community participation.

The report should also contain as much data on the costs of community participation as possible. These data on time requirements, manpower needs and dollar costs are much harder to obtain than general statements about the benefits of community participation. The costs however are real and act as constraints on implementing community participation, so they need to be spelled out.

c) Translation of selected Latin American national agency manuals for community participation

Some of the best practical advice for carrying out community participation in rural water and sanitation schemes is available only in Spanish. It is contained in various national water and sanitation agency manuals for village promoters in Latin America. One good example is the Colombian manual.

The best manuals and other educational materials (posters, educational comics, etc.) should be selected with the advice of PAHO (David Donaldson) who have many of them on file, supplemented by a search for recent material in the national agencies in Latin

America. They should be translated by a translator contracted specifically for the task as agency personnel, such as those in PAHO, do not have time to do it.

Rationale. The greatest and most successful experience of community participation has been in Latin America. Yet because of the language barrier, this detailed experience and practical suggestions for how to carry out village promotion is not available to African and Asian water and sanitation agencies. There is thus a real need for information transfer in this area and translation of the raw material from Spanish to English is a necessary first step.

d) Guide to community participation methods

This document would synthesise the translated material from the Latin American village promotion manuals together with any suitable and well documented data from other countries. It would use the best examples of each promotion phase to illustrate alternative strategies, educational materials, etc. that have had known success.

It should clearly place the Latin American material in its Latin American context (socio-economic and organisational setting of the communities and the policial-administrative structure of the relevant national agencies) so that readers in Africa and Asia can evaluate its relevance and feasibility for their own countries.

Thus the document should be a description (with much illustrative material from the original manuals) of how community participation has worked in Latin America and elsewhere and it should not try to present itself as a single model for a global strategy.

Rationale. There is a general awareness among national agency personnel in African (and Asian?) countries that community participation has been developed farthest in Latin America, but no details on how this is carried out are available in English to them.

The advantage of using translation of the original manuals in such a document is that it enables agency staff unfamiliar with them to:

- see the detailed attention required to e.g. questionnaire

- design, poster layout and organisation of project 'milestone' ceremonies at the village level.
- evaluate, and adapt, the materials for use in their own country and programme contexts.

The need for such a document has been expressed by agency personnel in Africa and by PAHO staff. It is here intended primarily as an input to the Regional Training Workshops, but its general need may well indicate a wider distribution internationally.

e) National Reports on Water and Sanitation Programmes

For each country or region participating in the design of Manuals for Promoting Community Participation and Education, a local consultant or national agency should be asked to prepare a background statement describing

- national agency programmes, policies, manpower
- village selection criteria for development projects
- community organisation, local political and socio-economic settings
- present experience with community participation and education
- national, regional, local administrative structure and linkages for projects
- particular local advantages and constraints for implementing more community participation

Rationale. The transfer of Latin American experience and the evaluation of its applicability to other countries must be discussed in the context of specific national rural development programmes and socio-economic settings.

The preparation of these statements for each country involved in the Regional Workshops is therefore a necessary input to the design and writing of "How to" manuals on community participation that are specific enough to be useful at a country level. This is the key difficulty with present documentation on community participation - it is too generalised to be evaluated for, or applied to, specific programmes elsewhere.

4.2.2 Development Phase. 10-18 months from start of Action Plan

a) International Meeting to review current activities in evaluating and developing community participation

The two main written inputs to this meeting would be:

- the report on evaluation activities - who is doing what
- the state of the art review of what is known

Additional documents on individual agency activities would be requested from participants.

The participants would be drawn primarily from development agencies in rural water and sanitation, particularly from those units concerned with evaluation of projects and agency implementation policy.

The objectives of the meeting would be to:

- present the findings of the two review documents and permit discussion of them and additional information exchange among those most closely concerned with evaluation with international and donor agencies.
- identify gaps and needs in present agency evaluation programmes and policies and encourage action to fill these gaps.
- identify suitable candidates for pilot projects to test the community participation methods and encourage support for the activity within the terms of their agreements with national governments.
- provide input in the form of agency experience, present policies and agency constraints, to the Regional Training Workshops.
- initiate an information and communication process that will be continued internally within (and between) agencies to regional desks and regional field offices. By this means, international and bilateral donor agency staff in the field offices can participate in the Regional Workshops and combine their local regional knowledge and sensitivity to agency policies and

constraints in their input to designing and implementing manuals and practical programmes.

It is envisaged that most agencies would pay their own staff's expenses to attend the meeting and that it should logically be held close to agency headquarters; that is, in the U.S.A. or Europe.

b) Regional Training Workshops

The three main written inputs prepared for these workshops would be:

- State-of-the-art report on community participation
- Guide to community participation methods
- National reports on water and sanitation programmes

The objective of the workshops would be to:

- expose participants from national agencies to the detailed methods available for implementing community participation. The emphasis would be on techniques, software, educational materials and manuals, as well as training requirements for community level workers.
- aid participants to select alternative methods suitable for incorporation into their own national programmes and to begin to design their own manuals and participation 'packages'.
- encourage the sharing of experience and ideas among participants in a practical workshop atmosphere before they return to their countries to carry out the design of a community participation component for a pilot project.

The output of the Workshops would be the development of community participation components by national agency staff (with consultant assistance if necessary) for testing in pilot projects initially.

The Workshops would be held in Africa and Asia and would probably number 4-6.

At least one consultant would be required for each Workshop to organise the meeting, arrange for written inputs to be made and circulated, design and staff the training sessions, and provide follow-up support for the development of the manuals and participation components by the national participants once they are back in their home countries.

4.2.3 Implementation Phase. 24 months + ³ from start of Action Plan.

a) Pilot Projects.

Pilot projects, in which the community participation components developed at the national level would be tested, would be selected by donor agencies and national governments.

It will be necessary for donor agencies to agree to support the activity with the terms of their project agreement so that the requirements for the community participation component are met. These are likely to include

- greater lead time before technology is selected and/or installed for community education and discussion
- financial support for local community workers (promoters) to conduct community participation
- training and familiarisation of the community workers in the new methods developed
- a monitoring and evaluation component for the community participation methods

b) National Programmes

The main output of the action plan is to develop appropriate types of community participation into national water and sanitation programmes. The results of the pilot project evaluations may lead to modifications in the approaches and methods ultimately adopted within the national programme. In any case, local modifications within the country may be necessary, and a continuous monitoring component should be part of the national programme to enable changes to be made as their need appears.

5. EVALUATION PROJECTS

5.1 OECD PROJECT ON RURAL DRINKING WATER SCHEMES.

5.1.1 Background.

This project is part of the OECD's Development Centre research activities in rural development. Nicolas Imboden was the main consultant for the project and the author of the main report "Planning and Design of Rural Drinking Water Projects: a research framework to analyse experiences with rural drinking water schemes" (Sept. 1977).

The present status of the project is not known - whether or not field evaluation beyond the initial sample of 10 case studies using the methods and questionnaires developed, is taking place as follow-up activity.

5.1.2 Project Design

The project objective is to design a research framework for evaluating national and local experience in rural water schemes.

The design chosen is a questionnaire approach aimed at three organisational levels:

- a) national policy level
- b) project or regional programme level
- c) village level

In-depth case studies are explicitly rejected for a comparative data base on a larger number of cases in as many countries as possible. A minimum of thirty project level studies are recommended, together with the appropriate number of national and village studies.

The national level questionnaires are intended to be completed primarily through desk reviews at OECD and other international agencies, with missing information being sought in the relevant countries.

The project level questionnaires are designed to be completed by interviewing the project management personnel.

The village level questionnaires are to be completed by a field worker or local informant on the basis of interviews with village and local government officials, group discussions with villagers, and direct observation. The villages selected should be representative of all the villages in the project area which have received new water schemes. A

certain number of questions are asked in both the project and village level questionnaires to compare the differences between intent and what was carried out.

For various practical reasons discussed in the report, the selection of projects to evaluate was limited to externally funded ones in rural villages (not squatter settlements). Furthermore the focus was specifically on water improvement schemes rather than sanitation or primary health care.

5.1.3 Community Participation

The project level and community level questionnaires are designed to obtain information about community participation. The research framework includes several hypotheses about the role of participation as a criterion in the success of rural water projects, and the results of the questionnaires should provide some tests or measures. However no results are yet available. The relevant hypotheses include:

- a water committee and strong local authority facilitate the execution of water projects
- a local water board is necessary for the maintenance and operation of the system
- projects for which the initiative has come from the village have a greater chance of success
- community involvement in water supply has greater success where direct precedences of community owned property exists
- a combination of self help and technical supervision increases the chances of a project's success

5.1.4 Evaluation

Imboden's report itself provides some evaluation of the OECD project. The research design was based on the two-part premise that relevant experiences of rural water development exist already in the aid agencies and that sufficient documentation about externally funded projects could be drawn from agency files. The first assumption would appear to be justified - there is accumulated experience within several different agencies. However, this experience, other than technical specifications, is little documented. Thus questions about administration and organisation,

community participation, and even investment criteria cannot be answered by a search of agency files. Furthermore, the data search required manpower that could not easily be spared by the agencies.

Part of the difficulty stemmed from limiting the projects to be evaluated to ones that had been in operation for 3-5 years. This reduced the potential population size as well as limiting the amount of documentation still available. For these reasons, only 10 projects had been evaluated using the questionnaires, by the end of 1977, and so far no comparative or summary evaluation of this material has been published (as far as I know: this should be verified).

The OECD experience in asking agencies to search their files for evaluating rural water project is a salutary one in that it points out the need for the main burden of evaluation be done in the field, and by people who are not overworked trying to also do something else.

5.1.5 References

Imboden, N., 1977, Planning and Design of Rural Drinking Water Projects; a research framework to analyse experiences with rural drinking water schemes; Experiences in Rural Development Occasional Paper No.2; OECD Development Centre, Sept. 1977, CD/R (77)22. Paris.

5.2 UNICEF/WHO JOINT COMMITTEE ON HEALTH POLICY

Study on Water Supply and Sanitation as a Component of Primary Health Care

5.2.1 Background

The study developed from recommendations made by the 21st Session of the UNICEF-WHO Joint Committee on Health Policy (April 1977) regarding the importance of water and sanitation as key factors in health and community development.

Two consultants were contracted: Adolfo Mascarenhas and Allison Howell, who prepared a draft report for submission to the Meeting of Temporary Advisors at WHO Headquarters in Geneva, 20-27 June 1978. The Temporary Advisors included national representatives involved in the case studies (see below) and Regional Representatives of UNICEF and WHO. In the light of comments from the meeting, the report is being redrafted under the supervision of Mr. Bob Davies, WHO. It will be submitted to the UNICEF-WHO Joint Committee on Health Policy in January 1979 and will be forwarded, together with the JCMP recommendations, to the UNICEF Executive Board in May 1979. The final document will be issued in English/French/Spanish.

5.2.2 Project Design

The study has two main activities:

1. A search and synthesis of documentary materials, both published and contained in agency files (primarily UNICEF AND WHO). This to be done by the two main Consultants during 1978.
2. Commissioned national case studies. These studies were carried out by individuals and national institutions in the countries collaborating with the help of UNICEF and WHO Regional and County Staff members. Twelve countries were included in the initial design and \$3,000 and two and a half months allocated for study. By July 1978 case studies had been received from 9 countries: Bangladesh, Bolivia, Columbia, Ghana, India, Iran, Nepal, the Phillipines, and Roumania. These are reportedly variable in quality (1 was not allowed

to see them).

The national case studies used a common protocol finalised in September 1977. The analysis was made at three levels:

- a) National policy level
- b) Project, or regional programme level
- c) Local or community level

For each of these three levels the protocol provides specific questionnaires to be completed. The local

level questionnaire is designed to be conducted at several communities (rural and peri-urban) so as to form a representative sample of actual field conditions.

Although reference is not made to the OECD study design (Imboden 1977) it is apparent that the UNICEF -WHO JCHP protocol is based on the one prepared by Imboden, with additional questions about sanitation and health.

5.2.3 Community Participation

The study design protocol (reference 1) places considerable emphasis on obtaining information about community participation in projects, both at the project and local levels.

The information to be gathered includes:

- existence of community organisations
- activities of local committees in preplanning, construction and operation and maintenance phases.
- who initiated the project
- financial participation of local population
- links between community organisation and higher levels of authority.

More than a quarter of the draft consultants' report (Reference 3) is concerned with community participation. They outline:

- the main factors influencing participations
- problems in carrying it out
- key do's and don'ts
- education and communication, particularly health education.

5.2.4 Evaluation

The national case studies questionnaire design is well conceived and had the studies been able to be properly executed they would have provided valuable evaluation information at national policy, project and community levels. However the reported \$3,000 budget and two and a half months timetable given to participating national bodies is totally unrealistic in view of the type of information they were asked to obtain. If the case studies are indeed poor in quality, inadequate resources must play a major role, and the exercise would appear to have missed a significant opportunity in evaluation.

In the consultants' draft report (June 1978) the case study material is referred to only by way of illustrating points. There is no systematic analysis of results or comparative framework of national differences offered. The draft report, despite some specific recommendations to UNICEF/WHO and national governments, has a strong academic flavour. It discusses:

- the close relationship between water, sanitation and primary health care.
- the global situation for water supply and sanitation
- recent activities in UNICEF/WHO
- general problems in developing water supply and sanitation
- national policy and planning: practices plus possibilities.
- local participation
- health education and training
- technology

These areas are discussed at a general level only and tend to support what is already known and widely acknowledged rather than to provide many new insights. The section on local participation is the most detailed and original. The report's main contribution is to accord almost equal attention to sanitation as to water, and to place both firmly in the context of primary health care. This is a significant advance on the earlier concern focussed on water supply.

5.2.5 References

1. UNICEF/WHO JCHP National case study design Protocol: final version dated September 20, 1977.
2. JCHP study on Water Supply and Sanitation as a component of PHC: Proposal for Outline: Geneva February 15, 1978.
3. Consultants Draft Report for JCHP study: "Water Supply and Sanitation Components of Primary Health Care"; Adolfo Mascarenhas and Allison Howell; for submission to Meeting of Temporary Advisers, WHO, Geneva June 20-27, 1978.
4. UNICEF/WHO JCHP Study: Bibliography

5.3 IBRD STUDY OF RURAL WATER SUPPLY AND SANITATION PROGRAMMES IN EIGHT DEVELOPING COUNTRIES

5.3.1 Background

The study was commissioned in 1976 as part of the World Bank's activities for the International Ad Hoc Group on Rural Water Supply and Sanitation. Charles S. Pineo was the consultant and author of the report issued in September 1978 by the Energy, Water and Telecommunications Department of IBRD.

5.3.2 Project Design

The study is called an 'observation investigation' and consisted of eight country visits, each of approximately ten days' duration, by the consultant. In each country the consultant:

- a) talked with key staff in the principal water supply and sanitation agency headquarters and renewed agency data and reports
- b) visited regional and field offices of the agencies to observe how programmes were carried out
- c) visited 4-6 villages where projects had been, or were being, carried out, accompanied by national agency personnel.
- d) had final talks with agency headquarters staff to discuss field visits.

The country reports are structured under the following topics:

- a) history of the national programme
- b) administration of national programme
- c) community level promotion and community participation
- d) technology and design
- e) selection of communities for projects
- f) house connections, water rates and financing
- g) materials, equipment and construction
- h) operation and maintenance
- i) excreta disposal

The eight countries visited were:

Latin America

- Peru
- Colombia
- Dominican Republic

Africa

- Kenya
- Upper Volta

Asia

- Korea
- Malaysia
- Bangladesh

5.3.3 Community Participation

For each of the eight countries visited, one section of the report is devoted to promotion and community involvement. Except for the Latin American countries, the section is usually short since community participation outside Latin America has not been well developed in projects so far. The reports are descriptive rather than evaluative. They present the prevailing state of affairs without elaborating on specific features of community involvement that contribute to the success or future of projects. However, one of the overall conclusions to the study is that community participation in design, construction, operation and maintenance is a key criterion for successful projects.

5.3.4 Evaluation

The approach adopted in this study contrasts with that used in the OECD project or the UNICEF/WHO JCHP study. It relies on all field visits being made by one experienced consultant rather than the design of a questionnaire or protocol that must be responded to by national agency personnel.

The advantages of the short field visit approach to evaluation, as evidenced by the IBRD report are:

- a) up to date statistical data on programming, financing etc.
- b) relatively short time for completion of study
- c) comparative evaluation based on first-hand observations of a single (standard) investigator.
- d) (leading to) an overview of the criteria for project success and failure

Much of the success of this approach to evaluation depends on the consultant selected since the comparative analysis is a personal rather than a statistical one.

The areas covered by the IBRD study are similar to the OECD and UNICEF/WHO JCHP projects but less detailed. However the IBRD study focuses clearly on rural water projects, despite short sections on excreta disposal, and it does not set rural water and sanitation in a primary health care context.

5.3.5 References

IBRD, September 1978, Observations of Rural Water Supply and Sanitation Programs in Eight Developing Countries; Energy, Water and Telecommunications Department, P.U. Report No. PUN 42,58p.

5.4 IBRD PROJECT ON APPROPRIATE TECHNOLOGY FOR WATER SUPPLY AND WASTE DISPOSAL IN DEVELOPING COUNTRIES

5.4.1 Background

This is a \$6 million research and evaluation project within the Energy, Water and Telecommunications Department of the World Bank. It is headed by John Kalbermatten and is designed to last two years (late 1976-1978). The objective of the research is to identify appropriate technology for water supply and waste disposal services at an affordable cost for rural and urban poor communities. Many consultants have been hired to prepare technology assessments, bibliographic searches, country reports and local case studies. Where possible, consultants are hired to work in their own countries.

5.4.2 Project design

Initially 26 countries were scheduled for study but these have been reduced to 20. Of these, 12 are being studied at a detailed field level. The countries included are:

- 1) Japan, Taiwan and Korea
- 2) Indonesia, Malaysia, Vietnam, India, and China
- 3) Afghanistan, Egypt and Sudan
- 4) Botswana, Ghana, Nigeria, Tanzania and Zambia
- 5) Colombia, Guatemala, El Salvador and Nicaragua

The technological choices being evaluated include:

- water service levels of 10-50 litres per capita per day from a range of hardware designs
- low cost waste disposal technologies (other than water borne sewerage)
- waste treatment methods
- waste reuse methods for water and excreta

The first phase of the project was a detailed bibliographic search of literature on low-cost waste disposal technologies using key word indexing undertaken jointly with IDRC (reference 1).

The second phase included field evaluations of existing sanitation technologies which are documented in local case study reports. For example, in Korea, Taiwan and Japan, 10 communities were studied in detail

In addition, extensive reports have been prepared on sanitation. Two of these have been carried out by the Ross Institute of Tropical Hygiene:

- Health Aspects of Excreta and Sullage Management
- Alternative Sanitation Technologies for the Urban Poor in Africa

The final output of the project will be books and field manuals designed to aid decision-makers in developing countries, development agencies and consultant organisations to evaluate alternative technologies both technically and economically.

5.4.3 Community Participation

The role of community participation is a key theme in this project, perhaps because the focus is on improving sanitation which is generally recognised to critically depend on community involvement and user education. It is not given extensive treatment in the major reports available so far (references 1,2, and 3) but is emphasised strongly in the case studies, particularly those for Latin America (references 4,6, 8,9,) and two of the overview statements (references 10 and 11). Several of the case studies document closely the process of community involvement that took place in specific communities and allow a more general evaluation of the 'do's and don'ts' (reference 11).

5.4.4 Evaluation

The IBRD Appropriate Technology project presents a more diverse and comprehensive approach to evaluation than most of the activities being carried out by other agencies. It includes:

- 1) state-of-the-art 'global' overview reports
- 2) national 'statistical' reports
- 3) local evaluations using standard questionnaires and short field visits
- 4) detailed community case studies using consultants (often anthropologists) who have previously worked in the villages.

At present these different levels of activity are not integrated in the written output but already papers synthesising the understanding gained so far are emerging (e.g. references 10, 11 and 12).

The project focusses more heavily on the sanitation, and thus also on the health aspects of rural water and sanitation, than most of the other evaluation activities reviewed in this report. It therefore helps to redress the balance away from a prime concern with water schemes.

Other projects have attempted to design a systematic, and often uniform, approach to the problem of evaluation. This IBRD project has had a more eclectic design which has paid off in the form of written material already produced within the two year project duration.

5.4.5 References

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5.5 IRC/ROSS INSTITUTE PROJECT ON METHODS FOR EVALUATING VILLAGE WATER SUPPLY SOURCES

5.5.1 Background

The project was started in 1976 to develop a handbook for evaluating rural water supply projects. A draft of the handbook was prepared in April 1978 and is presently being reviewed. The work was undertaken by Richard Feachem of the Ross Institute, London, in collaboration with four other authors and with the support of the International Reference Centre for Community Water Supply (IRC).

5.5.2 Project design

The project's main objectives are to provide a methodological framework for evaluating water supply schemes, and thus, to convince decision-makers and specialists that it is worth doing such evaluations before new schemes are constructed or old ones are rehabilitated.

The handbook is directed at a broad range of readership in government departments, educational establishments, and international and donor agencies. It is designed to be understood by non-specialists and field-level personnel.

The handbook is divided into sections on how to measure and evaluate the following components of water schemes:

- technology
- costs
- water use
- water quality
- health problems and health benefits
- local organisational capacity
- effectiveness of education/extension component
- distribution of benefits
- administration - planning, construction, operation, maintenance
- financing - revenue policy and ability to pay
- economic benefits

Each section includes:

- a rationale for studying the component
- a description of the component
- suggestions for field evaluation methods and research design
- manpower requirements for doing the evaluation
- policy implications
- suggestions for further reading

The first chapter in the handbook provides a rationale for doing evaluation studies together with suggestions for mounting an evaluation project in the field. Three levels of analysis are proposed:

- 1) the study area: is the most general level and corresponds to the region covered by the water supply programme.
- 2) technical field survey: is the principal level of analysis and includes as many villages within the study area as possible (both with and without improved water supplies). It emphasises technical evaluation or information which can be obtained fairly readily through short term observation or survey investigations.
- 3) detailed village survey: is the in-depth approach to collect data such as household water use, people's attitudes and local organisational capacity. It is carried out on a sample of the villages selected for technical field survey.

5.5.3 Community Participation

There is no one section of the handbook concerned with how to evaluate community participation as a factor in the success or failure of water supply schemes. Instead, several sections deal with part of the topic; for example, the sections on local level organisation, education and extension activities, ability to pay and revenue collection. Specific suggestions are made for questions to ask in these areas and guidance given on how to go about the evaluations in a village setting.

5.5.4 Evaluation

This handbook is a very useful document which achieves in large measure its stated objectives. It is clearly written, without unnecessary jargon, and contains practical advice as well as substantive information on each component. Many good tables are included together with specimen pages to show how to set out questionnaires, observation and measurements.

In view of the current interest in community participation, it is a pity that it is not made more of a focus in the handbook. It points out the need for a similar treatment for evaluating the pros and cons of different approaches to involving communities in rural water development.

The project has produced a handbook that goes farther than other books available in its practical usefulness to someone in the field without other references to hand. It would be even better if it could go farther in this direction. The authors stress the importance of in the field evaluation design and implementation rather than questionnaires designed and issued from either international or national agency headquarters. Their approach thus contrasts with that of the OECD project or the UNICEF/WHO Joint Project (sections 5.1 and 5.2).

The handbook deals specifically with water supply rather than sanitation but much of its advice can be applied to evaluation of sanitation programmes as well, and the health problems and benefits of water are given detailed treatment.

5.5.5 References

Cairncross, S., Carruthers, I., Feachem, R., Curtis, D., and Bradley, D., 1978, Evaluation for Village Water Supply Planning; (draft).

5.6 IRC PROJECT ON EXTENSION AND COMMUNITY PARTICIPATION IN WATER SUPPLY AND SANITATION

5.6.1 Background

This project is in its initial phases and is being designed to

- review current work and programmes
- to develop guidelines for improved extension based on community participation
- to formulate an action plan for furthering international efforts in this field

IRC is also supporting a Slow Sand Filtration Project for community water supply in which considerable attention has been given to the problems of extension work, and the improvement of community participation through the extension process. Some of the work done under the Slow Sand Filtration Project is thus directly related to the Extension and Community Participation Project.

This report can be considered as part of the development phase for this project.

5.6.2 Project design

The preparatory stages of the project are designed to answer the following questions:

- 1) What is known from the literature?
- 2) What evaluation studies are underway or planned?
- 3) Which international, bilateral and non-governmental agencies and institutions are involved in evaluation studies?
- 4) Where are the gaps and overlaps?
- 5) How may the programmes be strengthened and the gaps filled?

An annotated bibliography on "Extension and Community Participation in Community Water Supply and Sanitation" has been prepared by C. van Wijk-Sijbesma (reference 1) in some 85 references and is indexed by key words. Most of the references are in English and are within the last few years.

A related IRC activity is the development of an extension component for

the Slow Sand Filtration Project. An outline, or set of guidelines (reference 2) for the component has been prepared by Alastair White (IDS, University of Sussex). The report is written at a general level (that is, not directed towards specific social settings or countries) and includes

- choosing an appropriate level of community participation
- methods and techniques
- training of extension agents
- evaluation of extension work

The report's relevance goes beyond the single technology of slow sand filtration and provides a general guideline for carrying out extension work in rural water projects.

In a revised draft of White's report, prepared by Hermione Lovel (reference 3), checklists are provided for evaluating the extension programme as well as checklists that the extension workers can use themselves in the field to obtain relevant community information. Some of these checklists are in preliminary draft only and are incomplete.

The literature survey (reference 1) and the Outline for Community Education and Participation Component of the Slow Sand Filtration Project (references 2 and 3) were presented at an international meeting of National Health Service Agencies involved in the Project in Voorburg (The Hague, Netherlands) on 29 May-2 June 1978. The report of that meeting (reference 4) made some general recommendations to further community involvement:

- 1) to include community education and participation as a component in all water supply and sanitation programmes, in the context of national primary health care plans.
- 2) to establish formal collaboration between national water supply agencies and national health service agencies from the local level up to the national headquarters.
- 3) to use the Slow Sand Filtration Project to test and demonstrate the value of (1) and (2).
- 4) to continue the literature survey on community participation.

The report of the meeting provides some outline of the different roles and

tasks to be carried out by the extension workers, the community and national agencies. It also includes brief accounts of community participation in selected countries (those involved in the Slow Sand Filtration Project).

5.6.3 Community Participation

This project is distinguished from others in that its prime focus is the development and evaluation of community participation as part of the extension programme associated with rural water and sanitation schemes. Thus the whole of the previous section (5.6.2) relates to community participation. *ok!*

White's report (reference 2) includes a section on different definitions and types of community involvement from merely financial contributions up to community decisions about the type of system to be installed and local control of operation and maintenance. The report, and the project generally, appears to start with the assumption that more community participation will increase the success rate of water and sanitation projects. *ok! right approach for making progress!*

5.6.4 Evaluation

Indeed So far the project has sought to provide background material, preparatory to the design and implementation of an international action plan so that it is perhaps unfair to comment on its academic, generalist slant. In providing checklists, the White-Lovel reports move towards a more practically useful document but the checklists are incomplete and appear to be ad hoc rather than well-structured. The documentation produced so far in this project provides an overview of the rationale for more community participation and general 'do's and don'ts'. The White report is thus a clearly written and comprehensive general overview. *- task IRC!*

What the reports cited here fail to do is to specify any criteria by which community participation may be tested in terms of its impact on improving economic, social or health benefits. The project is oriented neither at the national nor the field level and does not provide the handbook approach to community participation that the IRC/Ross Institute Project does for evaluation (section 5.5).

The purpose of this report therefore is to suggest ways in which the preparatory phase of the IRC project can be developed into more action-oriented later phases.

5.6.5 References

1. van Wijk-Sijbesma, C., 1978, Bibliography on Extension and Community Participation in Community Water Supply and Sanitation (draft).
2. White, A., 1978, Outline for the Extension Component of the Slow Sand Filtration Project, (draft March 1978).
3. Lovel, H., 1978, revised draft of White report (reference 2). (draft dated February 1978).
4. IRC-WHO, 1978, Community Education and Participation in the Slow Sand Filtration Project; Report of an International Meeting held in Voorburg (The Hague), Netherlands 29 May-2 June 1978 (draft July 1978).

5.7 US/AID STUDIES DIVISION EVALUATION OF RURAL WATER SUPPLY PROJECTS

5.7.1 Background

In 1978 US/AID Studies Division, Bureau for Program and Policy Coordination, developed a programme to evaluate rural water supply projects in order to improve AID policy and programming in this field. The agency is currently considering a very expanded commitment of \$2½ billion to assist potable water development over the next decade. Evaluating potable water projects has therefore been chosen as one of five major evaluation activities in the agency. The evaluation is being coordinated by Daniel Dworkin of the Studies Division.

5.7.2 Project Design

The Studies Division are presently undertaking the following activities:

- 1) Preparation of an inventory of AID Rural Water Projects from agency files and evaluating the quality and type of data available.
- 2) Surveying the literature and canvassing expert opinions including other agencies to develop a set of 'do's and don'ts' - or what works and what doesn't work.
- 3) Undertaking field visits to selected projects in Latin America, Asia and Africa to evaluate the reasons for success and failure. These country visits will take about three weeks per country and will involve interviews with national water agency personnel as well as field observation in rural communities. The field evaluations will be undertaken by AID staff and outside consultants during 1979, and will pay particular attention to questions of community participation, and organisation at all levels.
- 4) Preparing guidelines and other material (manuals, questionnaires, training films) along semi-standardised lines for evaluating rural water projects and fostering the integration of evaluation into normal project development procedures.

The Studies Division have established a Working Group on Rural Water Supply of experts both within the agency and outside. Members include PAHO and IBRD. The Working Group had its first meeting in November 1978 and a report was distributed on 16 December 1978. This was a preparatory workshop for organizing field work to evaluate successful and unsuccessful projects. A consultant report to identify key issues was prepared for the workshop by

Ian Burton (reference 1). The workshop considered the reasons for success and failure in rural water supply projects grouped into the following categories:

- 1) Country commitment
- 2) Country goals and plans
- 3) Institutional settings
- 4) Role of external assistance
- 5) Associated inputs
- 6) Community involvement
- 7) Technology
- 8) Benefits

5.7.3 Community Participation

Community involvement was one of the topics discussed at the workshop and is a prime focus for evaluation by the Studies Division project. It is expected that the field visits will also focus on evaluation of community participation. US/AID experience seems to parallel the more general finding that community involvement in rural water projects has been most practised and most advanced in Latin America; and much less so, in Asian and African projects.

The Studies Division are currently considering the design of a research project to develop perception methods for eliciting local knowledge and attitudes and for evaluating rural water schemes at the village level. This would be designed and tested by consultants in the field in 1979 before being considered as a component in normal project design procedures.

Within the agency, the importance of community involvement at an early stage in the design of rural water projects, is increasingly recognised and steps are being taken to facilitate this.

5.7.4 Evaluation

The Studies Division is a newly formed and small unit within the Bureau for Program and Policy Coordination in AID which is seeking to establish good working relations with the many bureaus, regional offices and other units within the organisation. It is staffed largely by social scientists who are themselves already convinced of the need to improve community involvement and extension

services in rural water projects. They are engaged on a course of gentle evangelism with other units in AID for their part at the same time as learning of the problems and organisational complexities that make the changes they suggest difficult to implement.

The evaluation activity based on a computer search of AID projects on file has been a very worthwhile exercise in showing what data can, and cannot, be expected to be retrieved from agency project files. For example, it shows (reference 3) that there is a low probability of finding information on

- ratio of average monthly water fee to average monthly income
- future demand and future supply possibilities
- actual operation of supply - hours, output per source
- number of operational units - sources, standpipes, individual connections
- average length of down periods
- nature of repair activities.

In addition, much socioeconomic and health data are available only if a special evaluation has been conducted. They found that for the 91 current projects on rural water retrieved from the data search, only 13 had had specific evaluation studies carried out on them. This research by AID into their own files carries general implications for the limited usefulness of conducting evaluations through agency files.

The literature search and workshop exercise to develop lists of do's and don'ts did not produce new insights but rather enabled them to be related specific to AID activities and procedures. This does allow more specific recommendations to be made to the agency itself that are more likely to be implemented.

The field level evaluations are only in the initial planning stages and cannot be evaluated here. However, the commitment to expanded rural water development as well as more careful evaluation and greater community involvement are all significant and encouraging directions taken by AID.

5.7.5 References

1. Burton, I., 1978, Rural Water Supply in Developing Countries: Issues (preliminary draft Sept. 1978). Consultant Report for Studies Division US/AID).
2. US/AID, 1978, Rural Water Supply: A Studies Division Workplan.
3. Practical Concepts Inc., 1978, Patterns in Potable Water Projects: An Analysis of AID's Automated Data. Report prepared for Studies Division, US/AID, October 16, 1978.
4. US/AID, 1978, Potable Water: Results of AID Workshop Report dated 12 December 1978.

5.8 UNICEF FIELD EVALUATIONS OF WATER SCHEMES

5.8.1 Background

UNICEF do not require specific evaluations of UNICEF-assisted projects other than the brief reports filed by field officers. It is left to the initiative of individual field officers whether any evaluation is done and what type of data are collected. It is not known whether the field officer reports on file would contain enough useful information to compile data from them evaluating UNICEF-assisted RWS projects. An initial survey of UNICEF files to determine this was part of the consultants' task in the UNICEF/WHO JCHP project (section 5.2).

UNICEF have conducted a few specific evaluations studies of RWS schemes. Robert Wignot was hired as a consultant for three months in 1974 to report on the condition of UNICEF-assisted demonstration rural water supplies in Kenya (reference 1). More recently a major evaluation is being undertaken of UNICEF-assisted RWS schemes in India, starting with the Tamil Nadu project. These schemes are all part of the Indian government's programme for rural drinking water in its Fifth Five-Year Plan.

5.8.2 Project design

Field evaluations of UNICEF RWS schemes in India are being conducted on three levels

- (a) field survey missions
- (b) evaluation studies carried out by local institutions
- (c) continuous project monitoring

(a) A field survey mission consisting of an interdisciplinary team visited nine states for about one week each between January-April 1978. The mission included discussions with officers responsible for rural water at the State level and visits to 'problem villages' as well as communities which had successfully received UNICEF assisted schemes. Data were obtained on the institutional arrangements for RWS, planning procedures, and actual performance of the project installations including problems of operation and maintenance.

(b) The UNICEF assistance programme for RWS in India includes a specific evaluation component which is designed in two phases. Phase I of the evaluation

(1974-1976) was to overview the programme and collect data on what had been achieved - numbers of installations etc. It was also to indicate the areas that required more careful study, but avoided more difficult issues, such as acceptance of the improved water supplies by the villagers, impact on health, community participation and education. A report was submitted on Phase I in May 1976.

Phase II (1977-1980) is designed to study these issues and to provide information on them at three stages

- (a) baseline - prior to installation of RWS
- (b) one year later
- (c) at end of Fifth Plan (1980)

It is expected that the data will be collected from two sites in selected states having a rural water supply drilling programme. The sites will be selected to represent different socio-political and administrative conditions and the availability of a competent local institution to do the studies. The data collected at each site at different seasons for evaluation will include:

- history of incidence of water related diseases
- technical data on water availability and quality
- technical data on RWS installations
- sample surveys of local populations including knowledge, attitudes and behaviour in relation to RWS

These evaluations will be carried out by national agency and research institution personnel.

(c) Phase I of the evaluation study in Tamil Nadu pointed out the need for an improved routine monitoring information system in RWS. The findings were reinforced by a pilot study carried out by the Maharashtra State government in 1975 of its rural water supply information system. The routine monitoring system is therefore being improved with respect to

- collecting only data that are useful for assessment and implementation
- designing data forms that are simple enough for the least trained field staff
- implementing a system for distilling information as it flows to higher decision-making levels to avoid present information overload.

The present status of the monitoring system is not known. Although the survey mission reported that funds for monitoring had been allocated to the States by the central government for the creation of units for data collection, few of the units had been established by April 1978.

5.8.3 Community participation

The UNICEF evaluations are general ones rather than specifically directed towards evaluating community participation. However, in the evaluation of the Indian RWS programme, inadequate community participation emerged as a major problem. Villagers perceive a need for improved water supplies but are not involved in either the planning or installation of the supplies. This leads to an expectation on their part that the water supply is a gift from the government, and that the government is therefore responsible for operating and maintaining the supply as well as installing it. The paternalistic policies of the state governments encourage such a passive attitude.

The UNICEF survey mission recommended that villagers should have the alternatives explained to them and be given an opportunity to express their choice. It did not indicate how this should be done. The ways in which local participation is to be implemented is beyond the scope of evaluation studies such as are discussed here. However the more specific the recommendations can be made, the more likely it is that steps will be taken to implement them. In the field of community participation, most evaluations, such as these, stop at a fairly high level of generality.

5.8.4 Evaluation

The reports of the field missions to India and Kenya underline the usefulness of field evaluation and the scarcity of data about whether schemes are working, and whether they are being effectively used. A one week field visit cannot gather the data needed for a proper evaluation but it can highlight the major issues relevant to specific projects.

For example, the interim report of the UNICEF survey mission (reference defined the major problem areas as

- (1) Unrealistic targets set by the Central government for the States
- (2) Inadequate information flowing from the rural communities to the State and Centre levels for rational planning

- (3) Too little local participation leading to expectations that the government will pay for everything
- (4) Inordinate time delays in bureaucratic inefficiency
- (5) Design criteria based on guesstimates and excessive design periods (up to 30 years)
- (6) Lack of trained mechanics and village workers.

These findings need to be followed up with specific actions to improve the situation, and some of the actions are dependent upon more detailed evaluation and monitoring. The three level approach to evaluation adopted by UNICEF in India has therefore considerable potential in both identifying issues, and in seeing that the evaluation findings reach an appropriate level within the national government, for remedial action.

UNICEF's experience in RWS evaluation is much more limited than its activities in implementation, but it does suggest that evaluation studies are most useful when

- their recommendations are directed at specific projects/organisations
- evaluation studies are related to regular monitoring components
- evaluations are conducted in the field
- evaluation is an integral component of all projects.

5.8.5 References

1. Wignot, R.E., 1974, Report on the Condition of UNICEF-assisted demonstration rural water supplies in Kenya; UNICEF Regional Office, Nairobi, Dec. 1974.
2. Besa, A.A., 1976, Report on field visit to Tamil Nadu; 18-22 October 1976, UNICEF NY files.
3. Ramaswamy, P., 1976, Evaluation of Rural Water Supply - Phase II; UNICEF Interoffice memorandum dated 7 December 1976.
4. UNICEF, 1978, Rural Drinking Water Survey Mission; Interim Report. April 1978

6. VISITS AND MEETINGS

INTERVIEWS

20 May 1978	Anne U. White	Consultant, Appropriate Technology Project IBRD Toronto
25 June 1978	John Kalbermatten	Energy, Water & Telecommunications IBRD Washington, D.C.
26 June 1978	Mary Elmendorf	Appropriate Technology Project IBRD Washington, D.C.
26 June 1978	Victor Wehman	Development Support Bureau US/AID Washington, D.C.
26 June 1978	Nilo Vallejo	Health Services PAHO Washington, D.C.
26 June 1978	Patricia Buckle	Appropriate Technology Project IBRD Washington, D.C.
27 June 1978	Jim Berna	UNDP New York
27 June 1978	Björn Berendstrom	Project Support, Communications Services, UNICEF New York
13 July 1978	Paul Kerkhoven	IRC Voorburg, The Hague
14 July 1978	Bob Davies	UNICEF-WHO JCHP Project WHO Geneva
14 July 1978	D.V. Subrahmanyam	Global Promotion and Cooperation Unit WHO Geneva
14 July 1978	Emilio Costa	ILO Geneva
17 July 1978	Allison Howell	UNICEF-WHO JCHP Project Consultant to UNICEF Geneva
19 July 1978	Richard Feachem	Ross Institute London
19 July 1978	Brian Bennel	ODM London

MEETINGS ATTENDED

26 June 1978	Advisory Group on Rural Water Supply	US/AID Bureau for Program and Policy Coordination
16-18 November 1978	Working Group on Rural Water Supply (US/AID, PAHO, IBRD)	US/AID Bureau for Program and Policy Coordination