



**Water, Sanitation and Hygiene for all –  
Tanzania, Malawi and Ghana**

**AACES design – May 2011**

## Executive summary

Under the AACES program, WaterAid will work across three regions in Sub-Saharan Africa: Southern Africa through its work in Malawi; Eastern Africa through its work in Tanzania; and West Africa through its work in Ghana. WaterAid Australia will be working in partnership with WaterAid Tanzania, WaterAid Malawi and WaterAid Ghana, and their respective local partners to help some of Africa's poorest people overcome poverty through improving access to safe water, hygiene and sanitation (WASH). Funding required for this project is AU\$8,843,187m over a five year period from July 2011 to June 2016.

The primary objective of WaterAid's AACES project is to improve access to water, sanitation and hygiene in underserved communities and schools in rural and urban areas of Tanzania, Malawi and Ghana. This will be undertaken through a combination of service delivery, capacity building, and policy and influencing activities. Service delivery activities include: the construction and rehabilitation of water supply facilities and services; the construction of sanitation facilities; and the coordination of hygiene promotion activities and materials. Capacity building activities include: training and mentoring of implementing partners, community members, community organisations, committees, government departments, schools and pupils; and, the forming and support of community WASH committees and school clubs. Policy and influencing activities include: engaging in policy dialogue with Governments, NGOs, AusAID and other institutional donors; and undertaking research and documenting WASH learnings and evidence.

The specific objectives of the project are as follows:

1. Marginalised people, especially women and girls in underserved communities and schools in Tanzania, Malawi and Ghana have increased access to sustainable, accessible, appropriate and affordable water, sanitation and hygiene facilities and services.
2. Communities and community organisations have strengthened capacity to effectively participate in decision-making related to the design, delivery, maintenance and monitoring of water, hygiene and sanitation services and facilities.
3. Partner organisations, institutions, governments, service providers and other WaterAid programs have increased capacity to effectively deliver safe water, improved hygiene and sanitation which is sustainable, accessible, appropriate and affordable.
4. WASH knowledge base increased and used for evidence based policy inputs through the undertaking and documenting of research, best practice and learnings.
5. Increased investment and prioritisation of WASH at district, national and regional levels.
6. WASH integrated and prioritised in the plans and actions of organisations involved in poverty reduction programs.

There are numerous challenges critical to the success of the project. These include the participation of key stakeholders, especially the most marginalised; the sustainability of WASH facilities and

services; the capacity of the WASH sector to engage, prioritise and deliver WASH services; and the availability and capacity of local partners and service providers. WaterAid has planned a number of activities and strategies to respond to these issues, including: the use of participatory and strengths based approaches to ensure the meaningful engagement of key stakeholders; research activities to identify marginalised people and their needs; gender and age specific focus groups, and consultations with Disabled Persons Organisations (DPOs) to inform on WASH design to ensure sustainable access and appropriateness of facilities and services; research activities on sector budget requirements to ensure long-term and adequate funds are known and available to continue the support and provision of WASH services; and the strengthening and support of governments, community members, community organisations and implementing partners to increase their capacity to deliver sustainable WASH.

### Outline of the design process

WaterAid Australia forms part of the WaterAid global alliance through which work in 19 of the poorest countries in Africa is undertaken. WaterAid's global strategy aims to:

- promote and secure poor people's rights and access to safe water, improved hygiene and sanitation;
- support governments and service providers in developing their capacity to deliver safe water, improved hygiene and sanitation; and
- advocate for the essential role of safe water, improved hygiene and sanitation in human development.

WaterAid's strategic plans in Australia and in Africa are aligned with the organisation's global strategy. Subsequently, under AACES, project activities contribute to achieving the broader strategic aims of the organisation as well as those at the individual country and Africa regional level.

While the strategic plans of WaterAid Australia, Tanzania, Malawi and Ghana all feature broad common objectives aligned with the organisation's global aims, there are specific strengths and focuses of each which the AACES project design has been built upon.

WaterAid Australia is the WaterAid member directly responsible for country programs in South East Asia and the Pacific region, however, a key priority for the organisation remains and is articulated in the organisation's 2012 -2015 strategic plan, to contribute to, and shape WaterAid's country programs in Sub-Saharan Africa, as the region furthest off-track from meeting the water and sanitation MDGs. WaterAid Australia has previously supported water and sanitation projects in a number of African countries including Tanzania, Ghana, Mozambique and Ethiopia, and is currently supporting WASH projects in Ethiopia, Malawi and Mozambique through AusAID's Civil Society Water, Sanitation and Hygiene Fund, as well as in South Asia and Timor-Leste. It also manages a large AusAID grant for a WASH program in Nepal. WaterAid Australia has led the development of the AACES project design which has been informed by its WASH experience in Africa; previous experience working with WaterAid Malawi, Tanzania and Ghana; management of AusAID programs in Africa and other regions; as well as its direct implementation experience of AusAID funded and other programs in South-East Asia, Timor-Leste and the Pacific.

WaterAid Australia will continue to be directly involved with and influence the AACES program in Tanzania, Malawi and Ghana in the future through establishing linkages with its other programs and work including some funded by AusAID. Under the Civil Society WASH fund for example, WaterAid Australia has been contracted by AusAID to lead on an initiative (Civil Society Learning Fund) to improve the quality and effectiveness of participating civil society organisations' current and future WASH programs through peer learning and an increased WASH evidence-base. WaterAid Australia has directly facilitated three international learning events, including one in Africa, and is in the process of documenting the learnings and case studies from 11 different organisations across 21 countries undertaking WASH projects, including six different INGOs from six countries in Africa. Once finalised, WaterAid Australia will disseminate the documented learnings with the WaterAid AACES country programs and partners at a WaterAid Australia lead AACES start-up workshop in mid-2011. WaterAid Australia will also explore the possibility of replicating the Learning Fund events for other AACES NGOs and organisations in Africa involved in WASH, including AusAID, mid-way through the AACES program. WaterAid's AACES program will also link with WaterAid Australia's AusAID funded gender research undertaken in partnership with the International Women's Development Agency (IWDA) in Timor. The gender research has focused on working effectively with women and men in water, sanitation and hygiene programs and learnings will be disseminated to WaterAid and its AACES partners at an equity and inclusion focused workshop led by WaterAid Australia's equity & inclusion focal point. WaterAid Australia will also explore the possibility of replicating the IWDA research partnership in an Africa context as part of the AACES program activities.

In Tanzania where school WASH has been a focus for WaterAid and significant research has been undertaken, the AACES project activities will use the existing knowledge and relationships with schools in the project areas, Government and NGOs to undertake school WASH activities. A mapping of school water supply, sanitation and hygiene in 16 districts (2,697 schools) was carried out jointly by WaterAid, UNICEF and SNV in 2009 with AusAID funding and the AACES project design has been largely informed by the results and analysis of this research. The purpose of the survey was to establish baseline data on school water, sanitation and hygiene in the selected representative districts, compare the results with the national figures on coverage and justify the magnitude of the problem. The school mapping undertaken includes analysis of gender needs. The research considered whether there were separate facilities for girls and boys; whether a presence of water for hand-washing inside latrines existed; whether latrines were private (latrines with doors); and whether there were facilities for the disposal of sanitary pads. WaterAid Tanzania will also work closely with WaterAid Malawi on their own AACES project school WASH design, sharing the learnings on further planned school WASH gender research; experiences of school WASH implementation; technologies, especially girl-friendly WASH designs (see Annex 9); hygiene promotion; and policy dialogue activities.

In Malawi, where WaterAid has established itself as a lead agency in the water, sanitation and hygiene sector and has over 10 years experience in the AACES project areas, existing experience and lessons from the rehabilitation of a piped water scheme project in rural Malawi has informed the AACES project design for its gravity piped water scheme rehabilitation activities in a neighboring district. WaterAid Malawi's country strategy identifies the increasing need to focus and expand its work to urban areas which are growing rapidly; the school sanitation component of the AACES project in Malawi will build on its recent urban project work through addressing the sanitation needs of schools in Lilongwe. The proposed project in Malawi includes a component of work in the same

district as the Civil Society WASH Fund supported project, thus allowing both WaterAid and AusAID to build on its work and reinforce and strengthen the outcomes emerging from both projects. WaterAid in Malawi's AACES design also builds upon its ongoing policy, research and advocacy work at both the national and district council level including that of a DFID funded initiative. The AACES project design builds upon Malawi's existing policy, research and advocacy work in the areas of strengthening of sector coordination and development; analysis of sector financing; influencing sector budget allocations; and lobbying for fiscal decentralisation.

In Ghana, the AACES project design has capitalised both on WaterAid and its implementing partner's experience in urban and rural WASH delivery as well as that of its new partner CIKOD in the areas of strengths-based approaches and endogenous development. A key component of the AACES Ghana project is the utilisation of CIKOD's knowledge of endogenous approaches to enrich the approaches of WaterAid Ghana and its project partners. Endogenous development training and asset mapping exercises with communities and implementing partners are planned to enhance the delivery of WASH under the AACES project. This training may extend to other WaterAid NGOs involved in the AACES program over the course of the project. The design of the AACES project in Ghana also builds upon the commitment of the Ghana Government to WASH and achieving MDGs.

Cross-regional learning is a feature of WaterAid's regional strategies in Africa and numerous activities are planned in this area to further inform design over the course of the project. As well as the cross learning described above between WaterAid Australia and its AACES partners in Africa, capacity building at the Africa regional level is also planned. This will be promoted through collaborations with other WaterAid country programs, including those managing other AusAID WASH programs, and participating AACES NGOs as well as through partnerships with regional organisations such as CREPA, the Institute of Engineers in West Africa and Google for water point mapping in East Africa.

As described above, the identification of activities for this project is based upon the detailed knowledge, strengths and experience of WaterAid and its local partners in project areas. At the core of the AACES designs however are the specific needs of project communities and especially those of marginalised people, particularly women, children, the elderly, girls and people with a disability. These needs have been identified through community consultations, situation and gender analyses, baseline studies, evaluations, focus groups, equity & inclusion research and sector analysis across the three countries where WaterAid's AACES project will work, and shaped the design of the project accordingly.

Project designs have been further developed in consultation with a range of key stakeholders including communities, partners, local Government and national WASH sector working groups ensuring planned project activities and intended outcomes address the priorities of all stakeholders. Additionally, five day AACES design workshops were held in each country and included participants from the project communities, implementing partners and members of local Government. During the AACES design workshops three common overarching themes emerged across all of the project designs which project activities and outcomes fell under. These were: sustainable access; influencing and scale; and capacity building. Discussions were held about setting a separate theme for equity &

inclusion, and gender but it was agreed that these themes should cut across all planned activities and outcomes in order to ensure they are embedded across all aspects of the AACES project work.

Through the AACES project design process, the capacity of the WaterAid country programs involved as well as that of its partners was strengthened. In addition to the consultations and baseline research undertaken with communities and project partners which informed a significant part of the project design, the AACES project specific design workshops undertaken in each of the participating countries and the regional AusAID design workshops in Nairobi were very valuable in developing the capacity of WaterAid and partner participants. In particular, capacity was strengthened in the areas of project design methodologies, project approaches (eg. strengths based approaches [SBA] and the “Mtumba” sanitation approach), as well as in the thematic areas of gender, child protection, environment, equity & inclusion, and M&E. Relationships and collaborations were also strengthened with AusAID, participating AACES NGOs and their respective partners. An example of this is the participation of WaterAid Tanzania staff in Oxfam’s own AACES design workshop in Pretoria to share and learn about development approaches to sanitation. In both Malawi and Tanzania, WaterAid staff met with other participating AACES NGOs to discuss possible points of collaboration and information sharing.

Some of the key lessons learnt during the design process relate to the use of collaborative and participatory approaches to project design beyond those with project communities. For example, the inclusion of WaterAid, its implementing partners and a member of local Government from Malawi in the AusAID AACES design workshop in Nairobi provided an extremely valuable forum for learning across the organisation, as well as with other organisations in the same sector, the same country or region. It also provided an opportunity for a range of project stakeholders to engage with and learn about the AACES program concept and AusAID’s policy priorities and work in Africa. WaterAid values this experience and intends to ensure adequate budget to replicate similar forums is included in future project designs to ensure the involvement of a range of project stakeholders. Budget has been allocated for an AACES “start-up” workshop later in the year which will bring together the participating WaterAid organisations and their respective project stakeholders once more.

### **Situation Analysis**

Tanzania:

In Tanzania, the inadequate availability of WASH facilities in schools has seriously affected the attendance and comfort of school children, particularly girls and children with a disability. The drop-out rate is high at about 33%, with significantly higher rates of drop-out recorded for girls. The reasons for poor retention are many but international research suggests that inadequate water supply, sanitation and hygiene play a role. This is particularly true for menstruating girls, who may not feel comfortable to manage menstruation in schools without facilities<sup>1</sup>.

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<sup>1</sup> Marni Sommer (2010) ‘Where the education and women’s bodies collide: The social and health impact of girls’ experiences of menstruation and schooling in Tanzania’ in the Journal of Adolescence 33 (2010) 521-529

A mapping of school water supply, sanitation and hygiene in 16 districts (2,697 schools) was carried out jointly by WaterAid, UNICEF and SNV in 2009 which included analysis on the WASH situation for boys and girls. The results showed that the provision of water supply, sanitation and hygiene in pre, primary and secondary schools is dismal. 6% of the schools surveyed did not have latrines at all and only 11% of the schools met the "minimum" standards. The facilities that exist are frequently a barrier to those children most in need of education; 96% of schools do not have facilities that are suitable or accessible to children with disabilities and 52% of girls' latrines did not have doors providing dignity and privacy. Additionally, only 1% of the schools surveyed had soap and 92% of schools did not have functional hand-washing facilities with water.

There is considerable momentum in the water and sanitation sector to improve the state of WASH in schools in Tanzania. A Memorandum of Understanding has been signed between four key ministries for a coordinated approach to sanitation and hygiene, including school WASH. As a result, a "national school WASH technical group" has been established which is co-chaired by the Ministry of Education and Ministry of Health. The National Water Sector Development Program (NWSDP) has also been recently restructured to include a component to be funded by the African Development Bank, which will provide a small number of schools in 10 regions with hand-washing facilities and latrines. This component is the first step towards national scale up of school WASH. The AACES project aims to address the sanitation gap, particularly for girls and children with a disability, in the five rural districts of Chamwino, Bahi, Nzega, Mbulu and Iramba, directly benefiting 6,750 pupils in year one, and more than 50,000 by the end of year five. It is hoped that the AACES project experiences of direct implementation will influence the development of the NWSDP program.

Malawi:

In Lilongwe, Malawi's capital, WaterAid has been implementing a water and sanitation program in some of the poorest areas of the city, with funding from the European Investment Bank and in collaboration with the Lilongwe Water Board. This work covers community provision, but it does not provide for institutional sanitation. A survey undertaken of schools in the implementation area shows that none are provided with the appropriate number of latrines for pupils. Similarly to the experiences described above of school children in Tanzania, this impacts negatively on pupils' health, hygiene practices, attendance and completion of school courses and grades. This is true especially for girls, who require more privacy particularly when menstruating. The AACES project will address the immediate sanitation gap in 55 targeted schools in Lilongwe ensuring designs meet the needs of girls and children with disabilities, and can be replicated easily and affordably.

In addition to its urban work in Lilongwe, WaterAid Malawi is also undertaking activities in two rural and poor districts in the central region of the country, Ntchisi and Nkhota Kota, in an area that was once largely served by a large gravity-fed water supply scheme built in the mid-1980s. The water supply system, which was originally built to serve 32,000 people, has now fallen into disrepair and subsequently limited water supply to nearby communities. Population growth since the system was constructed also means that the demand for water has increased. The current population of the area is over 42,000, of whom approximately 16,000 have intermittent access to water. In addition to the water shortages in these districts, a sanitation mapping survey, which WaterAid supported Nkhota Kota District to carry-out, showed that only 32% of inhabitants had access to a latrine of any kind and less than 10% had access to a facility that was deemed to be sanitary. Further research

undertaken about the impact of water and sanitation shortages in these areas indicate that communities are faced with a number of resulting issues. Water is still mainly collected by women and children and they are often forced to walk long distances to collect water, and from unsafe sources. This impacts adversely on their health, education, economic conditions and progress towards gender equality. The two District Governments receive very limited funds for water and sanitation and have been seeking support to rehabilitate and extend the Mwanambo Piped Water Scheme system for several years. WaterAid has provided some interim funding to return a small number of installations to use previously. Under the AACES project 14,000 people of Ntchisi and Nkhota Kota districts will now directly benefit and a further 42,532 people living within the areas will positively impacted.

Ghana:

The AACES project in Ghana will focus its efforts on communities in the districts of Akuapim North (Kabu Sonkwenya, Ketenkeren, Bukor Kope, Bragoji, Onyawonso, Boadeaso, Krutiase and Ashilenu communities), Accra Metropolitan Assembly (Sabon Zongo community) and Dangme West (communities currently being determined). Research and mapping activities, including gender analysis, have been undertaken in Sabon Zongo and are being planned for Akuapim North and Dangme districts to identify target communities, their WASH situation and the WASH situation for women and men, and boys and girls.

The communities in all three districts have very limited access to water and poor access to sanitation. In Sabon Zongo community, few households are connected to the city water supply and fewer households have toilets. Community members, particularly women must walk long distances to collect water.

In the Dangme West district, in addition to the limited access to water, the water that is available is mostly contaminated with iron. The district population here is currently estimated at 107,532 with an average growth rate of 2.1%. In spite of its proximity to the national capital it is basically a rural district with a poor state of socio-economic and infrastructure development.

The recent launch of the Sanitation and Water for All Compact (a global framework for action on WASH) and the Government of Ghana's commitment of US\$350m to the WASH sector has provided solid grounds for acceleration of civil society work and direct influencing, particularly in the areas of increased and better targeting of WASH funding, while holding government and duty-bearers accountable for their stewardship. However, the outcome of a sector assessment conducted by WaterAid in Ghana revealed the slow pace towards attaining the Ghana Government's WASH targets. Analysis of the current water and sanitation situation in the Dangme West district indicates that more effort is needed to meet the 85% water coverage target by 2015. Data from National Community Water and Sanitation (NCWS) shows that nearly 40% of the Dangme West population lack potable water supply and it is estimated that this figure will increase substantially in view of the rapid movement of people from the city into the peripheral districts.

Sanitation coverage in Dangme West is also very poor, estimated at just 10%. While the District Assembly and other development partners are undertaking activities to address water and sanitation in this area, considerably more household latrines are needed to meet the sanitation needs of the people in this district.



## **Objectives**

WaterAid's proposed AACES activities will directly contribute to outcomes in the water and sanitation sector, which relate specially to target 7C of MDG 7. Additionally, as water related diseases (specifically diarrhoea) are the second largest cause of child deaths globally and now the largest cause of child death in Africa (Lancet 2010; 375:1969-87), this project also contributes to the achievement of MDG 4 on child health outcomes.

Overall project objectives are described below in line with the AACES program objectives:

### ***AACES program objective 1: Marginalised people have sustainable access to the services<sup>2</sup> they require***

WaterAid's mission is to prioritise support to those who currently lack access to basic water and sanitation services, focusing on the poorest and most marginalised groups. Under the AACES project, WaterAid aims to increase access to sustainable, accessible, appropriate and affordable water, sanitation and hygiene facilities and services for underserved communities and schools in Tanzania, Malawi and Ghana. The project aims to reach the marginalised, especially poor people, women, girls, children and people with disabilities.

In addition to increasing access to WASH facilities and services, WaterAid's AACES project will also contribute to the sustainability of WASH services. The project aims to support and strengthen the capacity of communities and community organisations to effectively participate in decision-making processes related the design, delivery, maintenance and monitoring of water, hygiene and sanitation services and facilities. It also strives to strengthen the capacity of partner organisations, institutions, governments, service providers and other WaterAid programs to effectively deliver safe water, improved hygiene and sanitation.

### ***AACES program objective 2: AusAID policy and programs in Africa are strengthened particularly in their ability to target and serve the needs of marginalised people.***

Under the AACES program, WaterAid will work collaboratively with participating AACES NGOs and across the organisation to strengthen its own WASH programs and that of others. It aims to undertake research and document evidence on WASH to contribute to influencing, policy engagement and learning, and advocate for more and improved investment in safe water, improved hygiene and sanitation at district, national and regional levels in Africa. The project also strives to engage with organisations involved in poverty eradication including with AusAID, to ensure the integration and prioritisation of safe water, improved hygiene and sanitation in their plans, actions and policies.

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<sup>2</sup> For this program there is particular interest in services provided for food security, maternal and child health and water and sanitation. However provision of other services as required by people should also be included as the outcomes for this objective.

### ***AACES program objective 3: Increased opportunity for the Australian public to be informed about development issues<sup>3</sup> in Africa***

Under the AACES program WaterAid aims to reach a wider cross section of the Australian community and deepen their understanding of WASH issues in Africa. WaterAid intends undertake its own activities as well as work with participating AACES ANGOs, to engage with the Australian public and highlight the development challenges and issues for WASH in Africa.

#### **Project Strategy**

WaterAid's AACES project will be implemented in three countries which cut across three regions in Africa. While each project community has differing WASH needs and focuses, some commonalities exist between the countries and projects which provide an opportunity for shared learning, influence and approaches. All projects compliment the wider WASH access and influencing work of WaterAid at the national, regional and global levels. Additionally, the communities and locations we will work in are considered areas of focus in WaterAid's regional and country strategic plans.

WaterAid Tanzania, Malawi and Ghana have a number of existing partnerships with local organisations, mostly local NGOs, who under the AACES program will be supported to work with communities in the construction, operation and maintenance of water and sanitation facilities, as well as the adoption of appropriate hygiene behaviours.

While WaterAid's comparative advantage is its strong technical base in water and sanitation engineering and management, nearly 30 years of experience in developing countries it shown that it is necessary to adapt its strong technical base to include a significant focus on the use of appropriate technology, community development methodologies and cultural considerations.

WaterAid has devoted increasing attention and resources to policy and advocacy work, in recognition that, if its vision of water and sanitation for all is to be achieved, then a considerable scale up of WaterAid's direct service delivery will be needed. Under the AACES project, WaterAid will support the field testing of innovative and successful WASH methodologies and then advocate for them to be adopted by national governments, large donors and other sector actors, so they can be brought up to scale to meet the WASH MDGs.

WaterAid's AACES work aims to address women's immediate practical needs for water, sanitation and improved hygiene. For long term change – to have a sustainable impact on health and poverty – the program will address discrimination against women and promote their control over their own lives and scarce resources. This means empowering women to claim their rights, and working with men and women to challenge existing gender inequalities, age-based discrimination and social relations. WaterAid has undertaken gender analysis in Malawi, Tanzania and Ghana to ensure gender issues are considered in all aspects of projects from design, implementation, operations and maintenance and monitoring and evaluation. In this program WaterAid will endeavour to ensure

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<sup>3</sup> Some further consideration about central messages to be undertaken as part of implementation phase.

female participation and work to influence partners and local district assemblies to mainstream gender.

The AACES project will draw on WaterAid's extensive experience of developing techniques and approaches tailored to diverse situations, to ensure that access to water and sanitation has as positive and sustainable an impact as possible. By targeting districts with the lowest WASH access rates and the underserved communities within them, WaterAid and its partners will contribute towards achievement of the MDG target through the provision of equitable and sustainable access to WASH services and increased capacity of the local poor communities, partners and government structures. Additionally, the AACES project will target national policy and governance weaknesses to not only maximise the impact of the actions, but to support long-term sustainability and use this action as leverage to promote replication in other districts.

The action will ensure improved functionality, increased coverage and equitable access to WASH services for household consumption and livelihood activities to the poorest, underserved communities. This will result in reduction in the prevalence of WASH related disease, infant and maternal mortality and morbidity. Improvements in health and environment are expected to generate increased economic and educational opportunity in the target communities. The action will have a particularly positive impact on women, children and vulnerable groups. Freed from the burden of walking long distances to collect water, women will be able to participate in economic activities, generating increased household income. Improved health and reduced time spent collecting water has also been shown to increase educational attendance levels. Additionally, active and empowered WASH user committees and advocacy groups, will be able to engage in government planning and budgeting processes, demand accountability and influence more effectively the local government and service provider's operational plans resulting in improved and equitable WASH services for the target communities. Strengthened local governments will have improved ability to respond to the challenges more effectively; improved WASH management systems will inform planning and resource allocation in a more equitable and sustainable manner.

At sector level through the WASH networks, lessons learnt through experience, monitoring and research across all three countries will be documented and disseminated to the wider WASH sector and AusAID to influence adoption and scaling up of best practice. In the longer term, the capacity building and sector co-ordination activities will ensure that communities, partners and institutional stakeholders will be better equipped to plan and manage WASH projects and overcome the institutional obstacles to effective, pro-poor service delivery in Tanzania, Malawi and Ghana.

Across the project, AACES activities will be undertaken in areas where WaterAid has extensive experience, knowledge and has worked previously with existing partners. The AACES projects build upon and compliment the work of WaterAid's existing programs and draw lessons from these to inform its work. Across all three countries, WaterAid will work with partners to influence policy and deliver safe water, improved hygiene and sanitation services that are appropriate, integrated, sustainable, informed and transferable.

In Malawi, a recent AusAID-funded WASH project has been undertaken in the same region where the proposed rehabilitation of a gravity-fed water system and sanitation activities are planned. In addition to the direct lessons drawn from this project, WaterAid Malawi also recently participated in

a learning workshop to share experiences of sustainability in WASH with other organisations across Africa who had also been funded under the same AusAID grant. The outputs of this workshop will be a learning tool on sustainable WASH which WaterAid will share across all countries in the proposed AACES project, and with other country programs and organisations as appropriate. Lessons learnt about sustainability in WASH as a result of participation at such workshops, as well as those drawn from global and regional organisational learning, forms a key element of WaterAid's AACES project strategy.

WaterAid Tanzania's recent experience of undertaking a joint school WASH mapping exercise has provided detailed information on the conditions of water and sanitation in schools and the experience of school children, including specifically of girl students which has been critical to the design and targeting of their school WASH activities. This has especially influenced the design to focus on girls and children with a disability, for whom lack of adequate WASH facilities are a barrier to school attendance and therefore to education.

WaterAid in Ghana has been working in partnership with local NGOs over the past 25 years to support poor communities in implementing community managed WASH promotion projects. As with the other countries in the proposed AACES project, this has provided extensive experience to draw upon in project design. In particular, WaterAid in Ghana intends to use the AACES project to pilot endogenous and strengths-based approaches to greater engage communities in identifying solutions to their WASH needs. The WaterAid AACES project in Ghana is also working in urban areas which are a focus of the Ghana Country Program strategy and has drawn from its experience and knowledge of working in these communities to address gaps in services and tailor appropriate project activities.

### **Major activities**

#### ***AACES program objective 1: Marginalised people have sustainable access to the services<sup>4</sup> they require***

The WaterAid AACES project objectives which relate to the above AACES objective are as follows:

1. Marginalised people, especially women and girls in underserved communities and schools in Tanzania, Malawi and Ghana have increased access to sustainable, accessible, appropriate and affordable water, sanitation and hygiene facilities and services.
2. Communities and community organisations have strengthened capacity to effectively participate in decision-making related to the design, delivery, maintenance and monitoring of water, hygiene and sanitation services and facilities.

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<sup>4</sup> For this program there is particular interest in services provided for food security, maternal and child health and water and sanitation. However provision of other services as required by people should also be included as the outcomes for this objective.

3. Partner organisations, institutions, governments, service providers and other WaterAid programs have increased capacity to effectively deliver safe water, improved hygiene and sanitation which is sustainable, accessible, appropriate and affordable.
4. WASH knowledge base increased and used for evidence based policy inputs through the undertaking and documenting of research, best practice and learnings.

Activities under these objectives will be delivered using the key strategies detailed in the above section. Across the project, the planned activities fall into three main themes: Sustainable access; capacity building; and policy and influence. Gender, and equity and inclusion are crosscutting issues and embedded across all project activities. The major activities planned within the three key thematic areas over the course of the project are detailed below:

### **Sustainable Access:**

#### **Tanzania**

- Carry out construction of appropriate and inclusive WASH and menstrual hygiene management facilities.
- Identify and enter agreements with implementing partners including those with specialities on vulnerable pupils.
- Conduct schools needs assessment and identify vulnerable pupils and their needs, prepare designs BOQ and cost, engage high learning institutions for conduct of operational research.
- Print and disseminate SWASH guidelines at district, ward and village level.
- Undertake hygiene promotion campaigns at schools.

#### **Malawi**

- Rehabilitate Mwansambo gravity fed system
- Construct new water supply intake structure
- Rehabilitate seven water tanks and construct two additional reinforced concrete tanks
- Rehabilitate and construct 21.5 km of pipes
- Rehabilitate over 235 communal water points and install new water points.
- Construct a water treatment plant.
- Carry out regular bacteriological and chemical quality water testing.
- Design appropriate WASH facilities for diverse users.
- Identify the needs of community members with physical disabilities.
- Facilitate citizens engagement with duty bearers.
- Undertake focus group discussions during community engagements.
- Application of CLTS (Community Led Total Sanitation<sup>5</sup>) and construction of latrines in rural project areas.

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<sup>5</sup> Community Led Total Sanitation (CLTS) is a participatory methodology for mobilising communities to completely eliminate open defecation. Communities are facilitated to conduct their own appraisal and analysis and take their own action to become open defecation free. CLTS focuses on the behavioural change needed to ensure real and sustainable sanitation improvements by investing in community mobilisation instead of hardware, and shifting the focus from toilet construction for individual households to the creation of “open defecation-free” villages.

- Hygiene promotion activities in project target areas
- Design and construction of appropriate school WASH facilities in Lilongwe

#### **Ghana**

- Institutional and community asset mapping activities of project areas
- Construction of WASH facilities in schools and two districts.
- Strengths based approach trainings
- Application of CLTS and construction of latrines in rural project areas.
- Hygiene promotion activities in schools and communities

#### **Capacity building**

#### **Tanzania**

- Capacity building activities for teachers and LGA staff to monitor and manage school WASH facilities.

#### **Malawi**

- WASH committees are formed with female decision makers.
- Training in participatory methodologies for Government Extension workers and partner staff.
- Train local artisans to design, produce, and sell cement sanitation platforms and through demand creation among local communities
- Training of women and community members on maintenance of WASH facilities

#### **Ghana**

- Training in SBA of all partners including target communities and key staff of the three LGAs.
- Joint partner baseline and community entry activities in target communities.
- Participatory community WASH reviews and monitoring forums.
- Participatory assessment of community assets/resources and jointly facilitate the implementation of community WASH action plans.
- Organise joint partner review, reflection and learning platforms.
- Train health teachers to facilitate school health clubs - combine with school hygiene clubs.
- Training on Citizen-Government engagement processes for community leaders and institutions in 67 communities.

***AACES program objective 2: AusAID policy and programs in Africa are strengthened particularly in their ability to target and serve the needs of marginalised people.***

The WaterAid AACES project objectives which relate to the above objective are as follows:

5. Increased investment and prioritisation of WASH at district, national and regional levels.

6. WASH integrated and prioritised in the plans and actions of organisations involved in poverty eradication.

WaterAid Australia plays a lead role in the WASH Reference Group which is a group of 25 ANGOs, academic institutions and Australian water industry representatives. The WASH Reference Group interacts regularly with the Infrastructure and Water and Sanitation Section within the Program Enabling Division of AusAID, in particular providing input into the development of AusAID's new "Water, Sanitation and Hygiene Strategy", and has participated in Peer Reviews for the various components of AusAID's \$300million Water and Sanitation Initiative. WaterAid in Australia will continue its influencing work through its leadership role and participation in the WASH reference group as well as through its involvement with the ACFID Africa Working Group which liaises regularly with the Africa Section within AusAID

### **Policy, research and advocacy**

Influencing policy through undertaking research and other activities, is a key strategy of the WaterAid AACES project.

In Ghana and Tanzania, there has been recent reform in the WASH sector but this commitment is not supported with the necessary resources to deliver on the increased WASH targets and plans. Under AACES, WaterAid projects will use scale, research, advocacy and partnerships as key strategies to influence, better inform and support governments across all three countries and beyond to deliver on WASH.

A key strategy of WaterAid's AACES project's influencing work is to increase the evidence base on sustainable and equitable WASH as a tool for influencing, engaging with, and informing a range of policy makers and program funders including AusAID. Subsequently, numerous research activities are planned under WaterAid's AACES activities, including on the appropriate design of sanitation facilities for people with special needs such as menstruating girls and persons with a disability and sector financing requirements of WASH. WaterAid will engage with AusAID in Accra, Malawi, Nairobi and Pretoria, and in Australia to influence its policy and funding priorities, and existing work, especially in the areas of WASH and disability and gender.

#### **Tanzania**

- Research on establishing the costs of inclusive WASH facilities.
- Research on menstrual hygiene management and the impact on girls, pupils-pit ratios.
- Lobby Parliament and Ministries and Development Partners on several issues which require government approval and influence, such as adoption of proposed pupil-pit ratio and immediate finalisation of SWASH strategy and guidelines.
- Generate evidence based technical information on hardware and inclusive design of WASH facilities suitable for schools.
- Piloting designs and appropriate technologies.
- Collaboration with other AACES NGOs.

#### **Malawi**

- WASH policy, research and advocacy activities at the national and district level.
- Analysis of sector financing in Malawi
- Advocacy for influencing improvement of sector financing
- Lobbying for fiscal decentralization
- Supporting coordination of the sector
- Production and dissemination of WASH case studies
- Research and develop evidence-based technical information on WASH.
- Production of video documentaries on WASH to record baseline, progress and project impacts
- Collaboration with other AACES NGOs

### **Ghana**

- Collaboration with other AACES NGOs
- Production and dissemination of Case Studies.
- Generate evidence-based technical information on WASH.

### ***AACES program objective 3: Increased opportunity for the Australian public to be informed about development issues<sup>6</sup> in Africa***

Under this objective WaterAid plans to undertake its own activities to engage with the Australian public but additionally will work together with other participating AACES NGOs on joint communication pieces highlighting the development issues of the sector, countries and regions it's working in.

While WaterAid has some specific activities planned under this objective, it is envisaged that further activity concepts and opportunities will emerge and develop over the course of the project period.

Some of the planned activities WaterAid will undertake under this objective include the production of short videos and photo stories from the field which will be shared with WaterAid Australia's existing members and supporters, as well as being available to a wider Australian audience via the WaterAid website and perhaps youtube and WaterAid's facebook pages. WaterAid's existing communication channels will be utilised, especially those of WaterAid's policy and campaigning department, to communicate with the Australian public about the challenges faced in WASH in the countries we are working in through the AACES program. WaterAid Australia will also work through its existing Australian schools program and that of Yarra Valley Water's (Live It Learn It) to highlight issues in WASH, particularly concerning school pupils in Malawi, Tanzania and Ghana. These messages will also be delivered via WASH observation days, such as World Water Day and World Toilet Day as well as photography and art exhibitions.

### **Monitoring and evaluation**

In order to know whether the project is on course to produce the intended outcomes a continuous plan for monitoring and self assessment will be in place. Monitoring, evaluation and reporting will be mainstreamed in all aspects of the project management and implementation. Implementation is designed around participatory approaches to ensure engagement, ownership and sustainability, and

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<sup>6</sup> Some further consideration about central messages to be undertaken as part of implementation phase.



a range of partners at different levels to achieve the variety of planned outputs. M&E is therefore also designed to be participatory and to involve the same range of partners.

This section describes the proposed M&E in general terms. However, because AACES project activities and partners vary significantly between Ghana, Tanzania and Malawi, the detailed roles, responsibilities and indicators are presented separately for each of the three countries in Annexes 4, 5 & 6. All data across the three countries is disaggregated by gender, age and disability.

*Baseline.* At the commencement of the program, a *baseline study* on WASH coverage and practice will be conducted in the project areas, to provide initial information for planning and for measuring performance. Tools such as community mapping and focus groups will allow target groups to be directly involved in this and subsequent M&E exercises and will provide facilitated opportunities for such groups to assess their own situation. Where appropriate, projects will facilitate assessment by specific sub-groups such as girl students.

*Activity measurables and performance indicators* will be embedded within the work plan for each site and the overall project. Plans will remain flexible in order to allow the projects to be continually reviewed and adapted to contextual changes. M&E data will be disaggregated (by gender, disability and ethnic group), so that indicators can be used to assess differences in outputs and outcomes for different target groups. Existing tools such as household and community report cards, participatory appraisal exercises, semi-structured interviews, local reflection days and others will be adapted for use by each country team.

*Reviews and reports* will be undertaken by major stakeholders. Since project implementation will be the responsibility of local partner organisations and communities, they will have the role of collecting different types of information (e.g. communities and schools will maintain records of the functionality and use of facilities, while partner organisations will review objectives related to influencing and district-level capacity). The detailed roles and responsibilities vary between projects and are presented in Annex 4, 5 & 6. Quarterly partner monitoring and support visits will be carried out by WaterAid staff to assess progress against plans, identify gaps and provide guidance in program design, data collection, analysis and reporting, documentation of best practices and program management. These visits will include output verification, to check beneficiary numbers and to assess external and internal challenges that may have slowed down project implementation. Concurrent reflection days will allow WaterAid to interact with project users and community institutions to give and receive feedback on progress.

*Annual review meetings of partners* in each country (partner round table meetings) will be used to analyse data, compare results against objectives and re-adjust forthcoming work plans accordingly. They will also serve to identify and promote new innovation and research areas as well as sharing learning and best practices. These mechanisms will also allow projects to identify and respond to emerging implementation issues including social and political changes that may affect the overall project outcomes. WaterAid Australia will play a particular role in ensuring that project staff and partners are drawing appropriate conclusions from these reviews and are using them effectively to improve their planning.

*Weaknesses in M&E* tend to be fairly context-specific. However, regular partner meetings and the sharing of approaches and experience with other WaterAid projects in country and between the

countries will assist in overcoming difficulties such as the effective maintenance of district-level information (e.g. databases), inconsistent monitoring at community level and sometimes inadequate resources and skills for regular monitoring activities. A tendency to focus only on output level monitoring will be addressed through the initial design of M&E; beginning with our country-level design workshops we have emphasized the monitoring of outcomes. It is also important that the key people responsible for M&E use and present the data effectively so that others can benefit from it and understand its importance.

*Sharing findings and lessons.* The budget makes provision for networking, sharing experiences and identifying good practice and lessons. Case studies and best practices will be recorded and disseminated as widely as possible. This will include the use of different media to express the views and feelings of marginalised people and key informants.

Feedback from the project will be incorporated into WaterAid's organisational reviews and will impact and strengthen WaterAid's wider programs of work. This will be particularly relevant in terms of facilitating and sharing learning between AACES program partners. We are particularly interested in looking for opportunities to examine cross-sector links (such as those between WASH, education and health) in AACES forums.

*External evaluations* will be commissioned at both the mid-term and conclusion of this project. An independent team of evaluators with specialised technical expertise will be used to evaluate progress against the overall outcomes. The evaluation will use participatory methodology and be carried out with full participation of all stakeholders. The mid-term evaluation will indicate progress and will be a basis for project review. The final evaluation will assess the overall outcomes of the project against the intended outcomes. It will also include an assessment of impact, and recommendations for future work and best practices that have the potential for replication.

## Risks

A number of potential risks have been identified in the implementation of the WaterAid AACES project and the achievement of project objectives. Details about the management strategies for these possible risks are included in Annex 7 'Risk Matrix'.

Some risks identified are common across the AACES project in Tanzania, Malawi and Ghana and others are more activity or context specific. As the focus of the project in all three countries is on sustainable access there are a number of risks which could potentially inhibit the achievement of this important project objective. This includes the risk of poor or inappropriate design of WASH services if project users (particularly women, girls and people with a disability) are not engaged in a meaningful way; insufficient training and involvement of users to maintain services; and changes in government policy or staff which may impede the ongoing support and prioritisation of WASH services beyond the project.

As the project runs for a five year period, retention of key staff from WaterAid and our partners, and retention of key relationships with Government has been identified as a possible risk across the three countries.

The choice of a new partner is a possible risk for the AACES project in Ghana where WaterAid is engaging the Centre of Indigenous Knowledge and Organizational Development (CIKOD), a Ghana based NGO specialising in endogenous and strengths-based development approaches to strengthen

its AACES project activities. While WaterAid in Ghana will work with its existing partners on the implementation of the AACES project, CIKOD will undertake capacity building activities and lead on strengths based and endogenous development approaches. While the use of this approach in delivering WASH services is expected to contribute very positively to the AACES project in Ghana, as it is a new partnership and pilot approach for WaterAid Ghana, it has been identified as a possible risk.

The existence of conflicting approaches in project areas, especially where CLTS is being used has been identified as a potential risk to the achievement of project outcomes. Previous experience has demonstrated that where the delivery of sanitation is undertaken using a subsidy approach (for example where latrines are provided to communities rather than by communities as with CLTS) in nearby areas to where the CLTS methodology is being used, that communities are less likely to mobilise and draw upon their own strengths and resources to improve their sanitation conditions.

In Malawi, environmental impacts such as drought and irrigation have been highlighted as possible risks to the provision of adequate and safe water through the rehabilitation of the gravity fed scheme.

In the School WASH project in Tanzania, where ensuring that respective LGAs and national governments replicate WASH services in other communities is one of the project goals, the inadequate scaling up and replication of SWASH interventions by LGAs and Central Government is a determined risk.

Further risks to achieving the project objectives common across the three countries include the financial management and reporting capacity of partners, currency fluctuations, political interference in project implementation, and partners not being able to deliver program interventions as planned.

### **Sustainability and Transition/Exit strategy**

At the end of the project, WaterAid anticipates that the WASH services and facilities which are in place as a result of the project will be sustained. Strategies to achieve this and the transition and exit strategy for the project include:

- Developing the confidence and skills of local partners and communities to implement and manage the water and sanitation projects, and also to build their confidence and abilities to engage in policy and to practice dialogues with their respective government bodies.
- Capacity building of men women - training will be provided to local communities, especially women who are often the primary users of water facilities, so that they can carry out operation and maintenance work themselves. This ensures that communities can sustain their projects after the AACES project ends its support, with possibilities to extend or replicate their projects in the future.
- Sustainable technologies - the use of sustainable technologies contributes to the access and long term sustainability of WASH projects. Under the AACES project, WaterAid will use technologies that are low cost, appropriate to the local financial and geographical conditions and within the technical capacity of the benefiting community to operate and maintain. We

will endeavour to use technologies which include locally sourced materials and spare parts which can be easily purchased and transported.

- Working with local governments to demonstrate and advocate for suitable and sustainable models for successful water and sanitation service delivery
- Working with the local NGO partners on its organisational development including funding diversification, systems and procedures, equipment and staff skills, so that it is better able to continue with similar work at the end of the project period.
- Supporting or (where necessary) setting up local structures from the conceptualisation onwards to build ownership, skills, procedures and plans for long-term viability of project outputs.
- Supporting existing School Management Committees and Parent-Teacher Associations to set up School Sanitation Clubs, involving pupils. These will be linked to the District Education Offices to provide a maintenance budget and contacts with other schools.
- Planning and monitoring support to the district governments, to assist the implementation of the District Sector Investment Plans, which should help bring in funding for additional activities and the institutionalisation of databases and mapping for monitoring water and sanitation provision.
- Supporting business planning for the gravity-fed scheme (which must operate at “break-even” in the long term, using revenues collected from users to offset operation and maintenance costs).
- A logical structure for the gravity-fed water scheme is already in place, comprising water point committees, section committees that look after sections of the system pipework, and an overall scheme board that manages the larger elements including mainline pipes, intakes and tanks. The capacity of all these structures will be supported as work progresses
- Environmental sustainability will be supported through regular monitoring, work with forest management bodies for conservation of soil and vegetation, and the promotion of ecological sanitation where appropriate to control pollution.
- The building of a longer term relationship between rights holders and duty bearers will be fostered through citizens’ action initiatives, which should lead to constructive dialogue between them; and consequently to support becoming available when required from district government to communities.
- At a national level our influencing work will promote the importance of such citizens’ links and the readiness of those in central government to listen to the views and needs of districts and communities.

## AusAID Policy Requirements

WaterAid Australia is a full member of ACFID and a signatory to ACFID's Code of Conduct and in 2009 achieved full NGO accreditation with AusAID. As such, WaterAid Australia has formal Child Protection, Environment and Equity & Inclusion policies, which have been informed by and aligned with AusAID's own policies and are applied within all programs supported by WaterAid Australia.

### **Child Protection:**

WaterAid recognises that children have a right to be protected from all forms of physical or mental violence, injury or abuse, neglect or negligent treatment, maltreatment or exploitation, including sexual abuse as enshrined in Article 19 of the United Nations Convention on the Rights of the Child (UNCRC). WaterAid's Global Policy Commitments to Child Protection were formally adopted in 2008. This policy aims to reduce risks of child abuse and ensure WaterAid representatives and partners understand issues of child protection and are aware of the problem of child abuse.

WaterAid has a Child Protection Good Practice Toolkit which each Country Program modifies to suit the country context and the national legal framework. The implementation of the Policy and Good Practice Toolkit has been rolled out across WaterAid's Country Programs and includes a reporting procedure. All Country Programs have appointed a child protection responsible officer and are in the process of undertaking child protection training for staff. WaterAid Australia supported a WaterAid Malawi staff member to participate in AusAID's recent Child Protection training in Nairobi. They will subsequently present a session on Child Protection issues and policy requirements to other WaterAid staff and partners at the AACES "start-up" workshops.

### **Environment:**

WaterAid follows appropriate environment standards in all of its program work. Attention is taken to protect water resources through careful analysis of water supply in relation to demand, and protection of watersheds and groundwater resources. WaterAid has a water quality policy and implements water safety plans with each of the communities it works in. WaterAid also incorporates the essential elements of AusAID's "Safe Water Guide", having been closely involved in its editing and facilitation of rollout training workshops. Care is taken to ensure that water resources are not compromised from sanitation activities through appropriate location and construction of latrines. Water runoff from water points is also managed to ensure erosion and mosquito breeding does not occur. WaterAid also promotes appropriate management of community's solid waste as part of its WASH program support.

### **Inclusive Development:**

WaterAid has adopted equity and inclusion as core principles, intrinsic to a rights based approach to ensure we address issues of marginalisation and exclusion in order to realise our vision. This is supported by an equity and inclusion framework which includes WaterAid's position and approach; standards and indicators and an explanation of terms of examples. Under the AACES project, WASH services which are appropriate and inclusive are a core element of our work. The needs of women, girls, children and people with disabilities in particular will be identified and incorporated into the design of WASH facilities and services.

## Resources

Please refer to Annex 3 'five year budget' for resources required over the duration of the project.

## Relationship accountabilities and responsibilities

Please refer to Annex 8a and Annex 8b

## Annexes

Annex 1 – Detailed activity and implementation plan for year 1

Annex 2 – Detailed budget for year 1

Annex 3 – Five year budget and overall budget with DAC codes

Annex 4 – M&E plan Tanzania

Annex 5 – M&E plan Malawi

Annex 6 – M&E plan Ghana

Annex 7 – Risk Matrix

Annex 8a – Relationship table

Annex 8b – Relationship diagram

Annex 9 – Girl friendly WASH

## Annex 1 - AACES WaterAid YR 1 Detailed Activity Plan

WaterAid - Detailed activity and implementation plan, Regional (Africa) and Australia

Activity	Year 1											
	Q1			Q2			Q3			Q4		
	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
<b>Regional and Australia based activities</b>												
Undertake AACES “start-up” workshops in Africa												
Attend regional AACES collaboration meetings												
ANGO project monitoring visit												
Research with ANGOs on possible joint Australian community engagement initiative												
Attend in-country AACES collaboration meetings												
Publication on WASH AACES projects in Africa												

**WaterAid - Detailed activity and implementation plan, Tanzania**

Activity	Year 1											
	Q1			Q2			Q3			Q4		
	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
<b>Tanzania</b>												
Identification of partners and orientation for working together												
Production of 15 SWASH package per district, dissemination of the guideline												
Carryout community needs assessment with a focus on KAP and identification of main marginalized groups												
Preparation of agreement /contact to work with organizations specialized in special groups												
Work with/Network with specialized organizations (all levels)												
Partner support for Admin and Management, direct cost for overheads to address M&E and supervision)												
Make design for marginalised and general user friendly SWASH facilities												
SWASH national debate, Hold review meetings with key ministries												
Parliamentary lobbying												
Feasibility study in 15 school to establish needs for construction												
Construction of appropriate technology including menstrual hygiene waste management, female urinals, energy recovery designs.												
Document evidences and use them for advocacy at different levels, notable the National Steering Committee, the DPG-education, water and health etc.												

**Annex 1 - AACES WaterAid YR 1 Detailed Activity Plan**



Activity	Year 1											
	Q1			Q2			Q3			Q4		
	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
<b>Tanzania</b>												
Involve the media to raise public awareness and create pressure at the political level												
Identify champions within Parliament and carry out lobbying work to put pressure on the government												
Research on Menstrual Hygiene and WASH and the links between school attendance / pupil retention (especially girls) ; Pit- pupil ratio; ,												
Review & finalise the national SWASH strategy												
Develop and disseminate monitoring tools												
Train LGAs staff, Partners and school management on M&E and regular use of SWASH monitoring tools by school teachers, committees / boards and LGAs												
Carryout quarterly supportive supervision and school inspections by LGAs and Regional Inspectors												
Review meetings -WA and partners costs - local												
Media campaign, Produce a SWASH film Organize and conduct intensive campaigns through national and district events, media (TV radio),												
Produce & disseminate IEC/ BCC materials (posters, newspaper, leaflets)												
Carry out community sensitization and awareness meetings												
Conduct capacity needs assessment for Community, LGAs, Schools Teachers and Partners												
Train LGAs staff and Partners to understand and use SWASH guidelines and manage SWASH (Cascading training - first train the partners, then partners train LGAs)												

**Annex 1 - AACES WaterAid YR 1 Detailed Activity Plan**

Activity	Year 1											
	Q1			Q2			Q3			Q4		
	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
<b>Tanzania</b>												
Train teachers to run school clubs												
Train 10 community artisans in 15 districts												
Establish C to C activities, Formation and training of SWASH clubs, train students as change agents at household and community level,												
SWASH competitions and Exchange visits												
Prepare a replica of the National MOU on S&H to be signed by implementers at LGA level. Attend sector meetings												
School Awareness meeting, Teachers and Board members - oriented on their roles and responsibilities. Refresher training for school teachers on WASH .												
Identification of champion and Support TWG and influence on curriculum review; Facilitate the National Champion and CSOs to advocate for Curriculum review												
Use Mtumba for demand creation at community level. Use mass media for sensitization												
WATz and Local NGOs attend regular meetings organised for AusAID Programs												
CSO support and training on AusAID policy and approaches for poor and vulnerable												
Make documentations through reports and films on project progress												
Share films and reports with WaterAid Australia												

**Annex 1 - AACES WaterAid YR 1 Detailed Activity Plan**

**WaterAid - Detailed activity and implementation plan, Malawi**

Activity	Year 1											
	Q1			Q2			Q3			Q4		
	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
<b>Malawi</b>												
Identification of schools and briefing of DEM ( 3 schools in Year 1)				■	■	■						
Construction of School Latrine blocks and urinals (8 blocks per school) in 3 schools for Year 1				■	■	■						
Design appropriate sanitation & water facilities for diverse pupils				■	■	■						
Desk review of school WASH technologies				■	■	■						
Collaboration meetings with stakeholders on technology designs				■	■	■						
Drawing of latrine & water facilities designs				■	■	■						
Construction of water facilities (3 schools in Year 1)							■	■	■			
Hygiene promotion										■	■	■
Orientation of PEAs & other stakeholders on SWASH				■	■	■						
Formation & training of school 3 sanitation clubs							■	■	■			
Design & develop IEC materials for school WASH				■	■	■						
Collaborative meetings with stakeholders on lifeskills							■	■	■			

**Annex 1 - AACES WaterAid YR 1 Detailed Activity Plan**

Activity	Year 1											
	Q1			Q2			Q3			Q4		
	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
<b>Malawi</b>												
Facilitate quarterly Bacteriological and Chemical water sampling												
Facilitate Water Flow Measures												
Promote and train VNRMCs												
Nursery establishment for Catchment rehabilitation												
Conduct 12 WUA meetings												
Support section committees monthly meetings												
Quarterly sanitation review meetings for masons and HSAs and community representatives												
Mobilization and sensitization of local leaders and communities on funds collection												
Formulation of bi-laws												
Review and Design appropriate training modules (WPC, DCT, GFS, Hygiene Manuals, WUA)												
Training of masons												
Training of Extension workers in participatory methodologies												
Training of repair teams												

**Annex 1 - AACES WaterAid YR 1 Detailed Activity Plan**

Activity	Year 1											
	Q1			Q2			Q3			Q4		
	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
<b>Malawi</b>												
Community mobilization and sensitization in WASH												
Orientation of ADC and VDC on GFS work												
Quarterly DCT meetings												
Quarterly stakeholder coordination meetings (Biannual from 2nd year)												
Inter District DCT Exchange visit												
Develop M&E framework												
Institutionalise updating mechanism for water points & sanitation												
Procurement of gadgets & software												
Project & financial management for 2 districts and NGO												
Post installation support to water points, latrines & hand-washing facilities (quality assurance)												
Enhance transparency, accountability and equity in WASH												
Local exchange field visit to another RPWS												
International exchange visit to Lesotho/Swaziland												

**Annex 1 - AACES WaterAid YR 1 Detailed Activity Plan**

Year 1												
Activity	Q1			Q2			Q3			Q4		
	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
<b>Malawi</b>												
Upgrading and expansion of Mwansambo Rural Piped Water Scheme												
New Chemical Dosing Equipment												
New Slow Sand Filter ( 2 units of 200m <sup>3</sup> volume)												
Community mobilization during upgrading and trench digging works and supervision during trench digging												
Construction of intake structure on Kanyerere stream												
Operations Building												
Rehabilitation of 10 No. RC tanks												
Procurement of tools and materials for masons												
Construction of HHs latrines												
Joint District and community monitoring of activities												

**Annex 1 - AACES WaterAid YR 1 Detailed Activity Plan**

**WaterAid - Detailed activity and implementation plan, Ghana**

Activity	Year 1											
	Q1			Q2			Q3			Q4		
	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
<b>Ghana</b>												
Training on culturally sensitive approaches on community entry with 3 NGOs and 3 LGAs ,twice												
Conduct a baseline in 75 communities												
Carry out culturally sensitive community entry in 75 communities												
Conduct a Validation / power Analysis exercise in 75 communities												
Develop community action plans for technical implementation of projects in 75 communities.												
Training of partners on ED and IK (including refresher)												
Conduct detailed institutional mapping in 75 communities (identifying roles, responsibilities)												
Training on CGE processes for community leaders and institutions in 75 communities.												
Create and facilitate community fora to engage duty bearers yearly (75 fora)												
Forming / strengthening of WATSAN committees in 3 districts to monitor processes												
Follow-up processes and monitoring by WATSAN committees												
Documentation / LeSA												
Training on LeSA /M&E (incl refresher)												

**Annex 1 - AACES WaterAid YR 1 Detailed Activity Plan**

Activity	Year 1											
	Q1			Q2			Q3			Q4		
	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
<b>Ghana</b>												
Training on policy negotiations												
Training of partners on financial management, resource mobilisation												
Identify existing traditional institutions in 15 communities as part of community entry, mobilisation and sensitisation process (yearly)												
Undertake community level hygiene promotion in 15 communities												
Identify and train 2 hygiene volunteers per community yearly												
Develop hygiene promotion materials												
Implement CLTS in 15 communities in 2 districts in collaboration per year building on traditional knowledge and practice												
Construct 2 no. inclusive (taking into consideration the special needs of girls and disabled) 4-seater institutional latrines with hand-washing facilities each, for 3 schools in each project district per year												
Construct rainwater harvesting systems in 3 schools in 2 project districts per year												
Form and train 1 school hygiene club each in 3 schools per project district per year												
Train health teachers to facilitate school health clubs - combine with school hygiene clubs												
Train SMCs												
Undertake baseline/feasibility studies in 15 communities												

**Annex 1 - AACES WaterAid YR 1 Detailed Activity Plan**



Activity	Year 1											
	Q1			Q2			Q3			Q4		
	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
<b>Ghana</b>												
Identification of specialist organisations (incl review) add to institutional mapping												
Rehabilitate 10 hand dug wells												
Construct 20 boreholes												
Construct 3 water systems												
Construct 14 iron removal plants												
Construct 2 pipe extension schemes												
Construct 5 water kiosks												
Form and train, including issues of rights 15 WATSAN community management structures in 15 communities in 3 district per year												
Identify and train 2 facility caretakers in each community per year - add to watsan training												
NGO partner undertakes 12 rounds of monitoring visits per year per district												
Each LGA collaborator (partner) undertakes 4 rounds of monitoring visits per year												
Facilitate the preparation of facility management plans - add to watsan training												
Train local artisans and community members in latrine construction and maintenance												

**Annex 1 - AACES WaterAid YR 1 Detailed Activity Plan**

Year 1												
Activity	Q1			Q2			Q3			Q4		
	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
<b>Ghana</b>												
Identify trainers for building capacity of CBOs - add to institutional mapping												
ToT on RBA approaches / Advocacy / WASH policies for 3 NGOs staff in the 3 project districts												
Training of 2400 CBO reps traditional leaders on RBA approaches / advocacy / networking etc in the 4 districts (60 times)												
Training on RBA / Advocacy etc of 3 LGA staff and 16 DWST members on RBA / Advocacy in 3 districts (4 times) add to training for NGO staff												
Mapping of CBOs in 4 districts												
Support WATSAN follow-up meetings (reminders) at district level after national / global events on WASH ( either organise or use existing events e.g. festivals)												
Organise national level WASH coalition follow-up meetings with duty bearers after national / global WASH events												

## Annex 4 - Tanzania Monitoring and Evaluation plan

### Key performance measures

As explained in the M&E section of the design document, monitoring and evaluation is central to ensuring that our project reaches its true goals in an effective manner. In order to measure whether this is happening, and to provide feedback to project planning, performance on each objective will be assessed against well-defined indicators. These are set out in the attached M&E Framework. The Framework also summarises the methods and the main parties involved in the process. The table shows roles and responsibilities in more detail.

### Baseline

The project will use data from the school WASH mapping exercise carried out in several districts in collaboration with UNICEF and SNV for Singida Urban, Chamwino and Bahi. For other districts the same baseline mapping process will be conducted.

The mapping uses a detailed questionnaire to collect data on all schools in the district, including all age ranges and both public and private schools. Data are collected on school size, ownership, location, teaching facilities, the number and condition of school WASH facilities and hygiene education. Composite indicators are then used to calculate scores, and provide a rating. An example of a composite indicator with its method of calculation is given in Box 1 below. Other composite indicators were developed for latrine type, latrine hygiene and hand-washing, hygiene education and water supply.

Box 1 – Example of composite indicator definition

<b>Category</b>	<b>Indicator</b>	<b>Calculation</b>	<b>Grading</b>
<b>Latrine numbers</b>	Latrine numbers score (girls) Max 5	Less than 20 girls per Drophole (DH) = 5 20-40 girls per DH = 4 40-100 girls per DH = 3 100-200 girls per DH = 2 Over 200 girls per DH = 1 No latrine for girls = 0	
	Similar for boys Max 5	Less than 25 boys per DH = 5 ... ... No latrine for boys = 0	
	<b>Latrine numbers score (all)</b> <b>Max 10</b>	<b>Sum of latrine numbers score for girls and for boys</b>	<b>10 = good (A); 8-9 = ok (B); 4-7 = poor (C); 0-3 = very poor (D)</b>

A governance and validation exercise will also be carried out involving visiting a selection of schools within each district in order to validate the survey data and to understand the story behind the

numbers, focusing on questions of governance, as well as questions of equity and inclusion.

Interviews will be held with:

- Head Teachers,
- Teachers for Health and Environment
- Representatives of pupils/students for each visited school.
- School committee/board members
- Local influential people
- Representatives of parents
- Village government representatives
- Ward and district level leaders
- Relevant NGOs / CBOs where present

### **Monitoring**

- Progress of projects will be monitored quarterly, six monthly and annually. Monitoring involves joint field visits with implementing partners, meetings with beneficiary communities and LGA staff; and reviews of partner reporting.
- Audit trails are used by WaterAid in Tanzania to record progress towards policy / advocacy change objectives. We use the audit trail, a simple matrix, to track information on the impact of our advocacy. Most of the information gathered by audit trail is qualitative.
- Staff and Partners meetings are held jointly with WaterAid staff and civil society partners to discuss challenges, progress, including innovation and solutions to obstacles. They offer the opportunity for peer review, sharing and learning. The meeting is held annually between October and December.

### **Evaluation**

- Mid-term evaluation will be carried out at the mid point of the project span. Since this project will be implemented for 5 years the mid-term evaluation of respective projects will be carried out in September 2013. The evaluation will be taken as an opportunity to review the M&E processes and to adjust them as necessary.
- A final evaluation will be held at the end of the project. This will be carried out by an independent.
- Concurrently, WaterAid is working in partnership with Emory University, University of Florida and Columbia University to design methods of measuring the impact of school WASH, especially on girls.

## Monitoring and Evaluation Plan

THEMES	OBJECTIVES	SPECIFIC OBJECTIVES	INDICATORS	SOURCES/ METHOD/ TOOLS	LED BY
Access	1. All schools in project areas meet ratio and design standards for SWASH facilities that cater for all groups all year around (throughout all seasons)	1.1 Design and operation of WASH facilities in all supported schools specifically take account of the needs of females (including menstrual hygiene) and disabled	WASH facilities appropriate to the needs of females and the disabled are being properly used; Availability of SWASH guidelines in all schools and relevant District offices; Evidence of marginalised groups' inputs reflected in design of facilities; Evidence of discussion and assessment of the effectiveness of collaboration	School sanitation surveys; documentation of design process; stakeholder interviews	School boards and hygiene clubs; partner NGOs
		1.2 Enhanced innovations in the designs and scaling up of SWASH activities	Evidence or work with learning institutions; Appropriate/ innovative designs produced and duly constructed	Documentation of meetings and outputs; Design documents; School surveys	Partner NGOs and WATz
		1.3 Appropriate pupil – pit ratio adhered and maintained by all schools	Pupil-pit ratios in schools	School sanitation surveys	School boards and hygiene clubs; partner NGOs
		1.4 Increasing coverage of SWASH facilities	Coverage figures for SWASH in supported districts	LGA records; sanitation mapping	LGA; partner NGOs
		1.5 Improved hygiene behaviour of pupils	Evidence of school pupils demanding for improved WASH facilities, School Clubs Activities , % of pupils practicing Hand Washing at critical times	School community (Pupils and teachers ) Observation, reports	SWASH responsible teachers, Partner NGOs
Scale and influence	2A. Increased funding and application of SWASH guidelines to ensure replication and scaling of improved SWASH facilities.	2A.1 LGAs, communities and schools plus other stakeholders adequately budget for and utilise SWASH funds (for construction, maintenance	Adequate budgets provided at school, LGA and ministry levels for SWASH investment and recurrent costs	Budget and spending records at schools, LGAs and ministries	Partner NGOs and WATz
			Media publicity for SWASH	Media outputs	WATz

THEMES	OBJECTIVES	SPECIFIC OBJECTIVES	INDICATORS	SOURCES/ METHOD/ TOOLS	LED BY
		and operation)	Parliamentary champions working to promote SWASH funding provision	Meeting with champions	WATz
			Research outputs on relevant issues including menstrual hygiene and pupil retention	Review of research outputs	WATz
		2A.2 LGAs with enhanced capacity to monitor SWASH intervention and sector performance	Adequacy of monitoring records held by LGAs	Review of LGA records	Partner NGOs and WATz
	2B. School WASH is recognized as critical to quality education and livelihood	2B.1 School committees and communities sensitive and aware of equitable SWASH	Surveys indicate good awareness among committees and community members	Community surveys	School boards and hygiene clubs; partner NGOs
			Teachers, school boards and LGA staff trained in knowledge and use of SWASH guidelines	School visit reports; interviews with LGAs	Partner NGOs and WATz
		2B.2 Improved hygiene behavior of pupils	Surveys indicate good hygiene practice among a majority of pupils at supported schools and improved practice at non-supported schools	School sanitation surveys	School boards and hygiene clubs; partner NGOs
Sustainability	3. Clear national guidance, transparency and effective national and local structures that ensure sustained functionality and use of appropriate WASH facilities in schools	3.1 Schools, Governments are clear about their roles and responsibilities related to the ownership and management of SWASH	SWASH MoUs signed by all supported LGAs; LGAs carrying out agreed roles	Interviews with LGAs	Partner NGOs and WATz
		3.2 School committees / boards accountable for SWASH (hygiene promotion, management of facilities)	School boards and teachers carrying out agreed roles	Interviews with school boards and head teachers	School boards and hygiene clubs; partner NGOs

THEMES	OBJECTIVES	SPECIFIC OBJECTIVES	INDICATORS	SOURCES/ METHOD/ TOOLS	LED BY
		3.3 Stakeholders (LGAs, schools, communities) replicating improved facilities, attitudes, practices (management)	School curriculum includes relevant material on SWASH; LGAs and national agencies replicating SWASH facilities and promotion	National curriculum; interviews with LGAs and agencies; school surveys	Partner NGOs and WATz
		3.4 Communities demand SWASH (hygiene promotion, management of facilities)	Evidence of community demand for provision of adequate SWASH facilities for their children	Participatory community surveys; records of school meetings	School boards and hygiene clubs; partner NGOs
Capacity building	4. Increased capacity to target SWASH needs of the vulnerable pupils in line with AusAID policy and programs	4.1 Partners in SWASH conversant with AusAID policy and programs targeted to serve the needs of poor and vulnerable people	National and LGA partners targeting poor and vulnerable people in their SWASH work and familiar with AusAID policy; WaterAid Tanzania sharing lessons with other AACES partners	Interviews with national partners and LGAs; records of AACES meetings	Partner NGOs and WATz
	5. Increased resources for SWASH as a result of enhanced involvement of Australian Public in WATSAN sector in Tanzania	5.1 SWASH project implemented successful in Tanzania with a support from Australian Public	Partners aware of AusAID support for project; Information fed back to Australian public and AusAID through WaterAid Australia.	Interviews with national partners and LGAs; records of AACES meetings	Partner NGOs and WATz

## Annex 5 - Malawi Monitoring and Evaluation plan

The M&E system will be central to the development work and will inform project management, implementation and learning in the following ways.

- *Monthly progress reports:* Implementing partner will report progress of project activities to WAMA project officers on a monthly basis. These reports will highlight progress towards objectives and allow WAMA to quickly respond to external and internal challenges.
- *Detailed quarterly reports:* Implementing partner will submit detailed quarterly reports that will allow WAMA to compare project achievements against project plans. These reports will highlight project strengths, weaknesses, opportunities and threats. The reports will be the basis for partner round table meetings where WAMA, the implementing partner and the District Assembly and the Area Development Committee (ADC) will address the weaknesses and the threats.
- *Quarterly output verification surveys:* WAMA will carry out quarterly output verification surveys. These participatory surveys will allow WAMA to verify beneficiary numbers and to assess external and internal challenges that may have slowed down implementation of project activities. These surveys will also allow WAMA to interact with project beneficiaries through focus group discussions and get feedback on the progress of the project.
- *Six monthly and annual reports:* Implementing partner will submit detailed six monthly and annual reports. These reports will allow WAMA and the implementing partner to evaluate progress towards objectives and assess the project threats and weaknesses.

We will also regularly seek feedback from multiple sources about the benefits, problems and impacts of the intervention.

- The output verification surveys and partner round table meetings provide an opportunity for project officers to interact with implementing partners, district council officials and project beneficiaries. In addition, there will be periodic interface meetings to facilitate the interaction of community members with implementing partners, district council officials and WaterAid staff.
- Information gathered through Water Users' Day assists in getting direct feedback from the community on the performance of the waterpoint, equity and inclusion and safety/quality etc. This is done by visiting the beneficiaries at their households to observe and get feedback about the benefits, problems and impact.

During the output verification surveys, we shall be using a template that allows WaterAid officers, Area Development Committee (ADC) and partner staff to disaggregate the number of people having access to water and sanitation by gender, age and disability. The template allows project officers to monitor the number of facilities that have been adapted in order to make them accessible by people with disabilities. Through focus group discussions during output verification surveys, men women, men and marginalized people will have an opportunity to provide feedback on the progress and impact of project activities.

M&E information will also be used to support accountability to communities, stakeholders and partners. At the district level, implementing partners are members of the Area Development Coordination Team (ADC), which is run by local elected representatives. At ADC meetings, implementing partners are required to present project plans and achievements on a quarterly basis. The implementing partner also



reports to the District Executive Committee. There will be regular interface meetings where implementing partners (Local NGO and District Assemblies, Area Development Committee) will use monitoring data to provide feedback to community members.

Tasks involved in data collection, analysis and use are set out in the table below, which shows who will be involved, with what frequency and using what tools.

*Table 1. Data collection, analysis and use*

<i>Method</i>	<i>Tools</i>	<i>Who will be involved</i>	<i>Frequency</i>	<i>Use of data</i>
<i>Output verification survey</i>	<i>Household checklist Focus group discussions with groups of men, women, children</i>	<i>District Assembly, ADC, Implementing partner, WaterAid M&amp;E and Project Officer, community members</i>	<i>Quarterly</i>	<i>Verify number of beneficiaries, assess gender issues, identify strengths, weaknesses,</i>
<i>Water Users' Day</i>	<i>Household checklist, Visual observations</i>	<i>ADC, Implementing partner, WaterAid M&amp;E and project Officer, community members,</i>	<i>Annually</i>	<i>Assess changes in access to water, sanitation and hygiene</i>
<i>Interface meetings</i>	<i>Group discussions</i>	<i>District Assembly, ADC, Implementing partner, WaterAid, Partner staff,</i>	<i>Six monthly</i>	<i>Review progress, get feedback from beneficiaries</i>
<i>Partner Round Table meetings</i>	<i>Group discussions</i>	<i>District Assembly, ADC, Implementing partner, WaterAid M&amp;E and Project Officer, community members</i>	<i>Six monthly</i>	<i>Review progress, understand internal and external challenges</i>
<i>Project Reports</i>	<i>Reports</i>	<i>Implementing partner, WaterAid</i>	<i>Monthly, Quarterly, Six monthly, Annually</i>	<i>Review progress, adjust implementation plans</i>
<i>Annual review</i>	<i>Reports</i>	<i>Implementing partner, WaterAid, ADC, District Assembly</i>	<i>Annually</i>	<i>Review progress, adjust implementation plans</i>
<i>Mid Term Review</i>	<i>Reports, focus group discussions, Checklists</i>	<i>External consultant, Implementing partner, WaterAid, District Assembly, ADC</i>	<i>Mid Term</i>	<i>Review progress, adjust implementation plans</i>

The regular partner round table meetings and interface meetings will provide an opportunity to staff, partners and stakeholders to analyse and reflect on progress, external and internal challenges and underlying assumptions. In addition, the annual reviews will provide an opportunity to stakeholders to analyse and reflect on the underlying assumptions.

We have identified a number of challenges that partners face with M&E. Some comments on these challenges are set out below.

- There is a lack of understanding of how to identify key issues to monitor, and partner exercises monitoring tend to focus on output level. The use of a strong project log frame will improve this situation.
- There are forums for reflecting on project strengths, weaknesses, opportunities and threats but the outputs from these forums are not properly documented and followed.
- Malawi has an enviable database of water and sanitation coverage, complete with detailed maps of administrative sub-units. However, local government in the project area has inadequate resources and skills to allow regular monitoring and updating of data regarding access to water and sanitation.
- Poor usage of the data collected during monitoring renders M&E to be deemed not necessary and unhelpful. As a result the potential role of M&E in programming is not appreciated.
- The project will therefore ensure that the forums (interface meetings, partner round table meetings) where stakeholders reflect on progress of project activities and identify challenges and the solutions to the challenges are maintained. In addition, the project will support district assemblies to regularly update databases on access to water and sanitation and to use them to present information for discussion and planning. It will also support partners to document and follow up on collected data, through the forums, Water Users' Days and reports.

## Monitoring and Evaluation Plan

THEMES	OBJECTIVES	SPECIFIC OBJECTIVES	INDICATORS	INFORMATION SOURCES, METHODS & TOOLS	FREQUENCY	LED BY
School WASH	Improve access to water, sanitation and hygiene in schools	School girls in targeted schools not absent due to poor sanitation	No (0%) school pupil drop out of school because of poor sanitation	Attendance records; specific focus groups with girls who are absent from school	Annual	SWASH patron, Implementing partner (IP), M& E
		Clean school environment	100 % of target schools have clean environment	Observation with checklist	Six-monthly	SWASH patron, Implementing partner (IP), M& E
		Adequate access to sanitation and water in target schools	Target schools meet government standard of at least 1 latrine per 60 pupils with urinals in place	checklist, and field observation	Annual	SWASH patron, Implementing partner (IP), M& E Officer
			5760 Urban pupils and X rural pupils have access to sanitation	checklist, and field observation	Annual	SWASH patron, Implementing partner (IP), M& E Officer
			All latrines have hand washing facilities	checklist, and field observation	Annual	SWASH patron, Implementing partner (IP), M& E
			All target schools have access to safe water supply source	checklist, and field observation	Annual	SWASH patron, Implementing partner (IP), M& E Officer
			X pupils have access to safe water	Checklist	Annual	SWASH patron, Implementing partner (IP), M& E Officer

THEMES	OBJECTIVES	SPECIFIC OBJECTIVES	INDICATORS	INFORMATION SOURCES, METHODS & TOOLS	FREQUENCY	LED BY
			All target schools have functioning sanitation clubs and their patrons	Checklist	Annual	SWASH patron, Implementing partner (IP), M& E Officer
		School pupils adopt safe hygiene behaviour	30 % of school pupils having access to adequate sanitation wash hands with soap	Observation; interviews	Six-monthly	SWASH patron, Implementing partner (IP), M& E Officer
Capacity building	Build the capacity of grassroots institutions	Good water quality, sustained yield / flow	(1.) The quality of all water supplied meets national water quality standards. (2) Twenty four hours (24hrs) water supply in the target communities	Water quality tests, checklist, interviews with users	Quarterly	District Coordinating Team (DCT), IP
		Improved water point hygiene	All water points drain freely, have functional soakways, and are hygienic	observations and a checklist	Six-monthly	DCT,IP
		Improved catchment management	(1) Number of bush fires, (2) Reduction in rate of deforestation (3) Number of tree seedlings raised and planted out	Observation; focus groups of those living close to the reserve, nursery register	Six-monthly	Village Natural Resources Management Committees (VNRMCs), DCT
		Improved financial management	Water User Association (WUA) and Water point management committees produce quarterly progress and financial reports which are disseminated to Key stakeholders including water users.	observations and a checklist	Six-monthly	IP,DCT,WUA

## Annex 5 - Malawi Monitoring and Evaluation plan

THEMES	OBJECTIVES	SPECIFIC OBJECTIVES	INDICATORS	INFORMATION SOURCES, METHODS & TOOLS	FREQUENCY	LED BY
			WUA has accountability plan and financial, progress reporting mechanism in place	observations and a checklist	Six-monthly	IP, DCT
		Community institutional capacity to manage WASH	Repair team members and water point management committees are able to maintain breakages within 48 hours	Checklist, interviews with users	Six-monthly	IP, M&E Officer
			Spare parts and maintenance funds are available all the time	checklist and field observation	Six-monthly	IP, M&E Officer
			Masons have the skills to build improved latrines of high quality	Observations and checklist	Six-monthly	IP, DCT, M&E Officer
Access		Sustainable access to safe water	% of population using safe water sources (disaggregated)	Community monitoring records; Reports	Six-monthly	Community, IP, M&E Officer
		Sustainable access to sanitation	% of population using safe sanitation facilities (disaggregated)	Community monitoring records	Six-monthly	Community, IP, M&E Officer

**Annex 5 - Malawi Monitoring and Evaluation plan**

THEMES	OBJECTIVES	SPECIFIC OBJECTIVES	INDICATORS	INFORMATION SOURCES, METHODS & TOOLS	FREQUENCY	LED BY
		Sustainable access to hygiene	% of sanitation users practising handwashing with soap (disaggregated)	Hygiene promoters' records	Six-monthly	Community, IP, M&E Officer
		Reduced cases of diarrhoea	% change of diarrhoea cases	Health Centre records	Six-monthly	Health Surveillance Assistants (HSA), IP
		Appropriate sanitation technologies used	Sanitation facilities in households where there are people with physical disabilities are adapted accordingly	Hygiene promoters' records, masons records, Project reports	Six-monthly	IP, M&E Officer, Community
Governance & Performance		Improved District coordination	1) Number of DCT meetings; 2) Number of implementers within District not working in line with DCT guidance; 3) Number of District WASH Forums 4) Consolidated annual district WASH budgets from all sources (sector projects or non-state sector actors) 5) Equitable targeting of resources	Meeting minutes; interview with DCT	Annual	M&E Officer, DCT
		Sector information / resource allocation	1) Existence of up-to-date WASH database; 2) New spending decisions take account of coverage/ functionality	Database inspection; interview with DCT	Annual	M&E Officer, DCT

THEMES	OBJECTIVES	SPECIFIC OBJECTIVES	INDICATORS	INFORMATION SOURCES, METHODS & TOOLS	FREQUENCY	LED BY
		Enhance capacity for WASH delivery	DCT WASH capacity / score (includes trained staff, equipment, govt funding for O&M and capital, quality of NGO support, a) Improved monitoring of WASH interventions and implementation of DSIPs in each of the project Districts. b) sector information readily accessible to all relevant actors for improved planning and resource allocation.	Scored questionnaire [format to be developed, with different scoring levels per district] filled in interview with DCT, DCT reports	Annual	M&E Officer, DCT
		Development of District Sector Investment Plan for Ntchisi District (DSIP)	(1)DSIP produced and launched (2) Number of un - served communities targeted	Ntchisi District Council	Annual	DCT
		Transparency and accountability	1) Positive responses of District Councils to WASH interface meetings with communities; 2) Clear financial reports on WASH provided to DEC	Citizens Action forum reports; community interviews; interview with DOF	Annual	M&E Officer

## **Annex 6 - Ghana Monitoring and Evaluation plan**

This project focuses on the use of a Strengths-Based Approach (SBA) to improve service delivery mechanisms leading to increased access to safe, improved and sustainable WASH to rural and urban poor and vulnerable people. To achieve this requires a well-functioning M&E system designed as an integrated system of reflection and communication supporting project implementation, management and learning by stakeholders over the entire life of the project. M&E will cover the entire spectrum of project & post-project implementing phases and will use the following tools: stakeholder workshops to document, share and analyse experiences, both positive and negative; participatory context analysis, work planning and budgeting; progress and performance monitoring to ascertain progress towards realization of goals and objectives; financial monitoring and auditing to enable us to be accountable to the poor and excluded within the communities in which we work and to our sponsors/donors; primary stakeholder surveys; participatory impact monitoring; process monitoring; external evaluations. The M&E system will not be about “policing” but supporting partners and communities to be agents of their development and growth.

Feedback will be regularly sought from project stakeholders, who will be involved in critical reflection on all components of the project cycle. Once information has been collected it needs to be analysed and discussed by project stakeholders. This will happen formally during quarterly, bi-annual and annual project review workshops. It will also happen informally by talking with user communities about their ideas during monthly and quarterly field visits. The M&E system will also involve monitoring and management tools including project steering committee meetings and district project monitoring teams for effective tracking of progress on outputs. In these reflections and discussions on benefits, problems, impacts and lessons learned of the intervention, information gaps identified will trigger adjustments to the M&E plan to ensure the necessary information is being collected.

Our monitoring and evaluation will ensure that the poor and excluded are part of the process of defining the changes they want to see, measuring whether the changes have occurred and learning from the process. This will be achieved through community planning meetings, community awareness and sensitisation meetings, and school hygiene sessions. To further promote participation and commitment of the target group the M&E framework will be discussed with them to clarify individual/group roles and responsibilities in the framework (including women and marginalised people). Structured questionnaires will be administered to women, children, elderly and PLWDs to gather information and promote discussion on the outcomes/impacts of our interventions.

Aside from using the information gathered for re-planning of the M&E system and improving project plans, it will also be used for evidence-based advocacy as well as knowledge management at National and Regional level. The information could also be relevant for the recently developed SWAp Roadmap for sector coordination and harmonisation.

Methods for the collection and analysis of information are set out in the attached M&E Framework, along with an indication of those responsible for different tasks. Methods used will include baseline surveying, field visits, and partner quarterly and annual reviews. Data collection will be sensitive to the need to disaggregate outcomes for more and less vulnerable groups, and initial analysis of the data collected will be carried out in the field and with local partners.

WAG’s Performance Management Advisor (PMA) will lead the process of development of a database. Data generated from the field will be transmitted to PMA via internet and verified during field visits. The PMA will then analyse the information, using either spreadsheet or other software



and generate management reports for the consideration and discussion of WAG management and for feedback and discussion with partners and stakeholders.

Baseline data will be collected in all communities we work in to update district data within the Local Development Plans (LDPs) and to inform implementation and programme responses to climate change, water resource management, and other programme needs.

Regular project reviews will be instituted to assess performance on all fronts, identify challenges, fine-tune the implementation approaches and package project as a model for up-scaling in the sector. Project communities will be supported in using participatory tools like social audits and social mapping in undertaking evaluation.

Mid-term and final evaluations will be carried out. The mid-term evaluation will provide a basis for the review of the implementation strategy, documentation and sharing of lessons. WAG expects to gain recommendations on improving practices and on the influence needed for change at district and National level. The final evaluation will provide a basis for the development of our subsequent strategy as well as measuring the outcomes of the programme.

The programme will draw on the existing strengths of partners' M&E. Current systems include field monitoring, baseline data collection and analysis and quarterly reporting. The baseline data collection tool will be modified to cater for information on indigenous approaches in communities. Generally all the other systems will be reviewed to make them relevant to the project. Beyond this, the WAG PMA will all assess partner capacities in M&E and plan requisite support to address identified weaknesses. Partners will also be introduced to relevant M&E tools necessary for collation and analysis of data at local, district and National level.

## Monitoring and Evaluation Plan

THEMES	SPECIFIC OBJECTIVES	INDICATORS	INFORMATION SOURCES, METHODS & TOOLS	FREQUENCY	LED BY
Capacity building	Knowledge and skills on indigenous mechanism for development applied at national, regional and community levels	Evidence of application of knowledge and skill at national, regional and community level	Stakeholder interviews, project reports.	Quarterly	CIKOD
	Communities understand Indigenous structures / institutions are well understood at all levels and are active in WASH activities	Evidence of active involvement of Indigenous structures (traditional leaders) in WASH activities	Interviews of traditional leaders,	Quarterly	IPS
	Community level institutions / structures are engaging actively with external development partners and are playing their role in sustaining services	Evidence of community level institutions regularly engaging with development partners Quality and quantity of services continuously satisfy community Reduction in downtime	Facility management plan, community members	Bi-Annually	IPS
	Improved partner organisational capacity to carry out project activities (Project implemented in an effective, qualitative and timely manner)	Project implemented according to plan and budget	Project reports, monitoring visits, Evaluation reports	Quarterly	IPS, WAG staff















THEMES	SPECIFIC OBJECTIVES	INDICATORS	INFORMATION SOURCES, METHODS & TOOLS	FREQUENCY	LED BY
Influencing and scale	More transparent WASH Citizen-governance Engagement (CGE) at the district, regional and national level	No of CGE engagements platforms held at national, regional and district levels	Report of engagement fora	3 times	partners
	Services are effectively delivered at district level	No. of training events held in project identification, management evaluation by key stakeholders  No. of community score card events to assess service level satisfaction	Training reports.	2 times	WAG
Sustainable access	Sustained improvements in hygiene practice	75 % of target population understand the importance of hand washing with soap/ash (HWWS) at the 5 critical times and link HWWS to improved health by the end of the project  No. of functioning natural leaders championing improved hygiene activities at community level	Rapid assessment, baseline surveys carried out at the beginning, mid-term and end of project	3 times	partners

THEMES	SPECIFIC OBJECTIVES	INDICATORS	INFORMATION SOURCES, METHODS & TOOLS	FREQUENCY	LED BY
		Promotion of hand washing with soap at critical times is incorporated into development priorities	Project reports Records by natural leaders and Watsan committees	Always	WATSANS
	Pupils are not absent from school due to poor WASH facilities	No. of girl friendly and inclusive latrines constructed Girls' views of WASH facilities	Field visits, project reports Reports of focus groups of girls	2 times	Partners
	People in target communities including marginalised have access to appropriate, sustainable and environmentally friendly facilities and services	No. of water facilities constructed.	Field visits, project reports, Output verification and functionality surveys involving community participation, user disaggregation data targeting marginalized and PLWD	2 times	Partners
		No. of output verification and functionality reports			
		Number of ODF communities	Field visits, project reports, community assessment of ODF status	2 times	partners
		Operational DESSAP at district levels	project reports	2 times	WAG
		Number of sanitation facilities constructed	Field visits, project reports, baseline reports at the beginning of project and mid-term evaluation report, user disaggregation data targeting marginalized and PLWD	2 times	partners
	Reduction in down time for facilities	No of days/length of time spent for repairs	Field visits, field note books; Records from Watsans' Repairs and maintenance registers	Quarterly	WAG and Partners
		Number of functional spare parts shops	Field visits	2 times	WAG and Partners













**Annex 6 - Ghana Monitoring and Evaluation plan**

THEMES	SPECIFIC OBJECTIVES	INDICATORS	INFORMATION SOURCES, METHODS & TOOLS	FREQUENCY	LED BY
		Availability of sustainable financing mechanisms in place	Field visits, savings passbooks	Quarterly	WATSANS

## Annex 7 - AACES WaterAid Project Risk Analysis

Risk	Consequence	Probability:		Impact:		Existing Controls	Assessment & Additional Mitigation	Responsible for Managing Risk		
		Low	Med	High	Low				Med	High
										
<b>Program wide risks</b>										
Environmental impacts	Reduced water quality, increased water pollutants.			WaterAid's Water Quality Policy; promoting good agricultural and environmental practices	Monitoring of water quality and capacity building of partner organisations of knowledge of agricultural and environmental best practice procedures	WaterAid country programs and partners				
Conflicting approaches to project implementation	In some areas where needs-based approaches are used may reduce the effectiveness of WaterAid's sanitation initiatives such as CLTS			Participation in annual NGO forums.	Capacity building of partners on sustainable practices, district level coordination, target other NGOs working in project areas and discuss collaborate and complimentary approaches.	WaterAid country programs & partners				
New partner organisations	In Ghana, a new partner is being engaged to focus on capacity building and endogenous development approaches. This may reduce the project effectiveness as time will be required to build trust and capacity.			Undertake capacity assessment of partner and design support accordingly. Involve partner staff in project and organisational learning workshops; ensure regular meetings with new partner.	Review of training reports; assessment at community level.	WaterAid country program (Ghana)				
Retention of key staff -WaterAid and partner staff	Reduced consistency across the projects; reduced ability to engage and build effective relationships with key stakeholders; loss of knowledge and expertise.			Performance reviews; salary benchmarking exercises; cost of living analysis; supportive environment fostered in partner organisations; integration of mission, strategy etc. with work to achieve job satisfaction.	Review of annual work plans; regular review of operational practices; review of staff compensation.	WaterAid country program and regional managers				

Risk	Consequence	Probability:		Impact:		Existing Controls	Assessment & Additional Mitigation	Responsible for Managing Risk
		Low	Med	High	Low			
<b>Program wide risks</b>								
Retaining, maintaining and growing key relationships with Government	Reduced effectiveness of project; reduced levels of support for ongoing O&M; reduced ability to scale up project; reduced ability to advocate for certain methodologies and influence government policy and decision making; key factor in sustainability.	●			●	Regular meeting with local government representatives; collaborating with government at all levels, including national.	Reviewing advocacy and policy engagement by government; engaging with other sector NGOs to collaborate and compliment each others work.	WaterAid country programs
Inappropriate or poor design of WASH services	Slow take-up of services provided; reduction in sustainability of project; unobtained project goals.	●			●	Ensure a total community approach is utilised in design and consultation phase that engages with minority groups, such as women, girls and the disabled; rigorous community engagement and consultation in design phase; feedback on final design; training of staff in appropriate technologies and in engaging with minority groups using a strengths based approach.	Regular consultations with community at all stages of project implementation; flexibility to adapt project to accommodate required changes; mid-term reviews; official monitoring and evaluation exercise's; ensure WaterAid and partner staff have the required training to ensure they engage with minority group in a meaningful way - with a view to addressing issues around gender specifically.	WaterAid country programs and WaterAid Australia (as part of M&E exercises)
Insufficient training and involvement of users	Drastically reduced sustainability of project; increased likelihood of failure of equipment and software initiatives (e.g. Water Committees); overall reduced effectiveness of project.	●			●	Comprehensive training of users; capacity building of users and staff; engaging with government to assist with some ongoing support where possible; involving users from the outset of project - including in design phase to ensure ownership of the project; ensuring users contribute to the project - either financially/and or physically.		WaterAid country programs.

Risk	Consequence	Probability:		Impact:		Existing Controls	Assessment & Additional Mitigation	Responsible for Managing Risk		
		Low	Med	High	Low				Med	High
										
<b>Program wide risks</b>										
Changes in government policy and/or staff	Impede scaling up of projects; reduce ability to coordinate with governments on important policy and operational issues; reduce the sustainability of the projects by possibly reducing government support for them.					Maintaining close relationships with government.	Track government policy and key stakeholders. Influence and continue to foster and strengthen existing relationships, as well as build new ones within government.	WaterAid Country programs		
Poor financial management	Loss of financial resources; reduction of project viability.					Regular review of finances of partner organisations; monitoring and evaluations by WaterAid country offices; monitoring of currency changes; prudent estimates of currency exchange rates to ensure minimal negative impact from fluctuations.	Financial training of partners; official monitoring and evaluations.	WaterAid country programs and WaterAid Australia (as part of M&E exercises)		
Political interference	Reduced ability to implement projects effectively; misallocation of project resources.					Regular meetings with local government; involving local government and other political stakeholders in the process.	Reviewing government and other local political relationships; ensure clear information is provide to government with timelines and procedures.	WaterAid country programs and partners		



## Annex 8a – relationship table and below Annex 8b - relationship diagram

### WaterAid relationship accountabilities and responsibilities - AACES project

While WaterAid Australia is the WaterAid member directly responsible for country programs in South East Asia and the Pacific region, a key priority for the organisation remains and is articulated in the organisation’s 2012 -2015 strategic plan, to contribute to, and shape WaterAid’s country programs in Sub-Saharan Africa, as the region furthest off-track from meeting the water and sanitation MDGs. Under the AACES program, WaterAid Australia will be directly involved in the management and monitoring of the program with the support of WaterAid UK who is responsible for WaterAid’s Africa programs on the whole.

WaterAid Australia and WaterAid UK have a strong working relationship and previous experience in sharing the accountabilities and responsibilities of AusAID funded programs such as the Civil Society WASH fund and a \$3m NEWAH project in Nepal. Under AACES, WaterAid Australia will take a lead on the program development, budget, management, monitoring and reporting of the AACES project. As WaterAid Australia does not yet work with WaterAid’s global accounting system, WaterAid UK will lead on financial aspects of the AACES program such as the distribution of project funds to country programs, internal auditing and financial systems support for example. The roles, responsibilities and communication channels will be discussed and recorded at WaterAid Australia lead start-up workshops at the beginning of each project with key partner staff and articulated in partner working agreements.

Organisation	Responsibilities	Key reporting and communication lines
WaterAid Australia	<ul style="list-style-type: none"> <li>○ Ensuring overall compliance with AusAID and AACES project</li> <li>○ Overall grant management</li> <li>○ Activities under objective 3</li> <li>○ Monitoring &amp; evaluation of overall AACES project and objectives</li> <li>○ Support with reporting</li> <li>○ Contribution to objective 2 activities</li> </ul>	WA International  AusAID
WaterAid Tanzania	<ul style="list-style-type: none"> <li>○ Overall responsibility for the management of the AACES Tanzania project</li> <li>○ Oversight of activities under objective 1</li> <li>○ Contribute to activities under objective 2</li> <li>○ Monitoring &amp; evaluation of project activities and outcomes</li> <li>○ Cross-organisational learning</li> </ul>	WaterAid East Africa Regional Office  WaterAid Australia  WaterAid UK
WaterAid Malawi	<ul style="list-style-type: none"> <li>○ Overall responsibility for management of the AACES Malawi project</li> <li>○ Oversight of activities under objective 1</li> <li>○ Contribute to activities under objective 2</li> <li>○ Monitoring &amp; evaluation of project activities and outcomes</li> <li>○ Cross-organisational learning</li> <li>○ Engagement with AusAID national office in Malawi</li> </ul>	WaterAid Southern Africa Regional Office  WaterAid Australia  WaterAid UK
WaterAid Ghana	<ul style="list-style-type: none"> <li>○ Overall responsibility for management of the AACES Ghana project</li> <li>○ Oversight of activities under objective 1</li> </ul>	WaterAid West Africa Regional Office

	<ul style="list-style-type: none"> <li>○ Contribute to activities under objective 2</li> <li>○ Monitoring &amp; evaluation of project activities and outcomes</li> <li>○ Cross-organisational learning</li> <li>○ Collaboration with AusAID national office in Accra</li> </ul>	<p>WaterAid Australia</p> <p>WaterAid UK</p>
WaterAid Southern Africa Regional Office	<ul style="list-style-type: none"> <li>○ Coordination and oversight of regional Objective 2 activities</li> <li>○ Engagement with AusAID Pretoria &amp; Nairobi</li> <li>○ General monitoring of Objective 1 activities in Malawi</li> </ul>	<p>WaterAid Australia</p> <p>WaterAid UK</p>
WaterAid East Africa Regional Office	<ul style="list-style-type: none"> <li>○ Coordination and oversight of regional Objective 2 activities</li> <li>○ Engagement with AusAID Nairobi</li> <li>○ General monitoring of Objective 1 activities in Tanzania</li> </ul>	<p>WaterAid Australia</p> <p>WaterAid UK</p>
WaterAid West Africa Regional Office	<ul style="list-style-type: none"> <li>○ Coordination and oversight of regional Objective 2 activities</li> <li>○ Engagement with AusAID Accra &amp; Nairobi</li> <li>○ General monitoring of Objective 1 activities in Ghana</li> </ul>	<p>WaterAid Australia</p> <p>WaterAid UK</p>
WaterAid UK	<ul style="list-style-type: none"> <li>○ Financial management and funding support</li> <li>○ Communications support, especially linked to Objective 2 &amp; 3</li> <li>○ Monitoring &amp; evaluation of AACES project objectives across all countries</li> </ul>	<p>WaterAid International</p> <p>WaterAid Australia</p>
Partners	<ul style="list-style-type: none"> <li>○ Delivery of activities under Objective 1</li> <li>○ Contribution to activities under Objective 2 &amp; 3</li> </ul>	<p>WaterAid Country Programs</p>



## Annex 9 - Girl friendly WASH: Girl friendly designs, bathing units or girls hygiene units

### Name of the technology

Girl friendly designs, bathing units or girls hygiene units

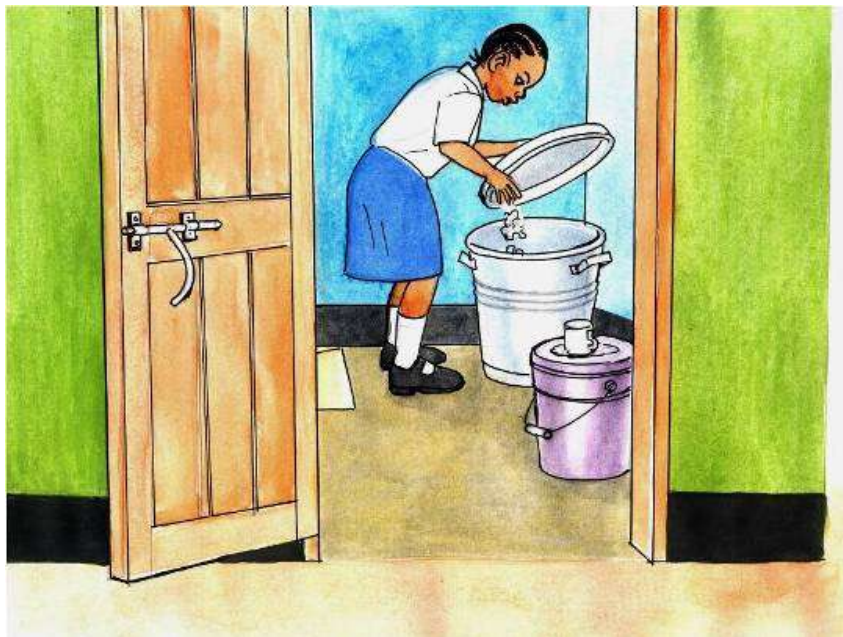
### Brief description of the technology

Girls at school have particular needs. These include:

- a) Safety and security when using the latrine to prevent sexual attack
- b) Privacy when using the latrine
- c) Facilities which allow the girl to deal with menstruation with privacy and dignity

Examples of girl friendly design features include:

- a) Privacy screen in front of the doors
- b) Lockable doors from the inside
- c) Water available at the latrine for personal hygiene – ideally it is best to have water inside the latrine to aid privacy during menses
- d) Hand-washing and water available in private area (for cleaning blood from hands if soiled)
- e) Private room or area for washing or bathing in the latrine block
- f) Somewhere to discretely dispose of sanitary pads or to wash soiled menstrual cloths – the containers should not be see through and the bin should have a lid (this will also be useful for when the bin is moved for emptying)



Girls hygiene unit / room

**O&M requirements**

<b>Problem</b>	<b>Operation or repairs required</b>
Sanitary bins need emptying	Sanitary refuse bins need to be emptied on a regular basis and the waste handled carefully to prevent contact with the menstrual blood.  Sanitary towels and old cloth must be disposed of appropriately. Refer to section 3.9.2.
Floor needs cleaning	Floors to be cleaned with detergent at least once a day and waste water washed into drain.
Water container empty	Fill the water container on a regular basis
Clogging of pipes	Remove the sieve over the drainpipe and insert a flexible, thin stick to push the blockage through. This can also be done from the soak-away end. All solid waste around the urinal areas must be collected properly and disposed off in the school waste pit.

**Technical drawings**

Included in standard latrine block designs – PL1, PL4, PL6, PL9, PL10

**Bill of Quantities**

Included with standard latrine block designs – PL9-BQ, PL10-BQ