

guidance manual on

**water supply and
sanitation programmes**

Prepared by WELL

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Designed and produced at WEDC by
Helen Batteson, Kay Davey, and Rod Shaw

Editorial contributions by Kimberly Clarke

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Background: Eritrean women returning to the village from the river bed carrying full jerrycans of water. The climb is steep and arduous and takes several hours. (WaterAid/Caroline Penn)

Top insert: WaterAid/Jim Holmes

Centre insert: WEDC/Darren Saywell

Bottom insert: LSHTM/Sandy Cairncross

Foreword



The White Paper on International Development sets out the Government's policy to seek to strengthen the international commitment to meet the international poverty elimination targets. Improved access to safe and affordable water supply and sanitation is an essential component of the strategy. Lack of such access is a clear determinant of poverty. It results in millions of children dying annually from diarrhoea and water-related diseases. For women and children, collecting water is wearisome and time consuming and often results in children not being able to attend school.

Better access to safe water and sanitation not only leads to improvements in health, but also saves time and energy and enhances livelihood opportunities.

The Department for International Development commissioned this Guidance Manual to assist staff and partners to develop effective and sustainable water supply and sanitation programmes. It represents collaboration across a range of professions within my Department and from key UK professionals in the sector. It details inter-disciplinary approaches to planning and implementation of partnership-based programmes.

The challenge is vast, and cannot be met simply by development aid and public funds. Partnerships between governments, the private-sector and civil society are central to sustainable solutions. I hope that this manual will make a significant contribution to enhancing the effectiveness of our efforts.

A handwritten signature in black ink that reads "Clare Short". The signature is written in a cursive, flowing style.

Clare Short
Secretary of State for International Development

Preface

This Manual has been prepared as a tool to help improve DFID's support for water supply and sanitation (WS&S) projects and programmes in developing countries. Its particular focus is on how DFID assistance can best meet the needs of the urban and rural poor for WS&S services. To facilitate the targeting of the poor reflects the objective of UK international development support set out in the White Paper on International Development 'better education, health and opportunities for poor people' — one of three objectives contributing to the general aim 'the elimination of poverty in poor countries'.

The Manual has been written primarily for DFID staff: both those identifying, appraising, and evaluating WS&S projects; and those developing, managing, and monitoring such projects. DFID believes that the discussions of WS&S sector issues and approaches, and the resulting policies and procedures, will also be of interest to its project partners in national and local governments, non-governmental organizations (NGOs), and other external support agencies. The Manual will also inform DFID contractors and consultants of the Department's objectives and the approaches to be followed in achieving them.

Professional engineers, health scientists, economists, and sociologists are all closely involved in the achievement of sustainable WS&S services for the poor. Each needs to know not only his/her own role and objectives, but also the experiences and approaches which guide the others. The comparatively lengthy discussion of key principles and practices in Section 2 of the Manual is intended to contribute to this cross-fertilization. Specialists are urged to read the sections related to other disciplines and to accept the extended elaboration of concepts which should be familiar to them in their own sections.

The *Guidance Manual* has been prepared for DFID by WELL (Water and Environmental Health at London and Loughborough), with the following specialist authors contributing material: Jo Beall, Sandy Cairncross, Ben Cave, Andrew Cotton, Val Curtis, Pete Kolsky, Jeremy Parr, Sarah Parry-Jones, Bob Reed, Kevin Sansom, Ian Smout, Hugh Tebbutt, and Judy White.

Numerous DFID staff assisted with discussion of ideas and experience.

The contributions were co-ordinated and drawn together by WELL Associate Director, Ian Smout, with assistance from Technical Editor, Brian Appleton.

About this manual

The overall aim of the Department for International Development (DFID) is identified in the UK Government's White Paper on International Development as '*the elimination of poverty in poorer countries*'. Three specific objectives are set:

1. Policies and actions which promote sustainable livelihoods
2. Better education, health, and opportunities for poor people
3. Protection and better management of the natural and physical environment

In the White Paper, increased UK support for water supply and sanitation (WS&S) is seen as contributing particularly towards the second objective. In fact, improving WS&S services for the poor contributes significantly to the goal of sustainable livelihoods and community development. Better sanitation practices also have a major impact on the local environment and help to preserve freshwater resources. Investments in WS&S may therefore be justified as supporting all three objectives.

UK contributions are targeted towards programmes that enable the rural and urban poor to gain access to safe supplies of drinking water and hygienic means of excreta disposal. They favour too the 'software' components (hygiene promotion, local capacity and institution building, stakeholder involvement, monitoring, and feedback) that help to ensure that installed systems deliver the optimum health and social benefits and can be sustained in the long term.

The primary purpose of this *Manual* is to set out the principles, procedures, and practices that should guide decisions on the choice, design, and management of appropriate WS&S projects. Because the effectiveness and sustainability of WS&S projects depends not only on technology choice, but also, critically, on user involvement, the right gender approaches, innovative community-based financing, and the promotion of behavioural change, the guidance includes discussion of social, financial, and institutional aspects as well as engineering and health concerns.

Basis of the guidance

There is a wealth of literature covering experiences in the WS&S sector during the last 20 years. To consolidate the information into a form which could be most useful to DFID and its partners, WELL appointed nine 'Theme Leaders'. Their task was to prepare individual papers setting out current thinking on guiding principles and good practices in relation to the critical themes and to convert these into practical guidance for DFID staff involved in different aspects of the project cycle.

The themes chosen reflect the multidisciplinary nature of WS&S development:

- Social development and poverty
- The water and sanitation sector
- Health and hygiene
- Economics and finance
- Institutional development
- Engineering and technology
- Hygiene promotion
- Environmental sustainability
- Project management and the project cycle (the linking theme)

The aim is not just to provide individual guidance for each group of specialists, but to present the information in such a way that each specialist is aware of the needs and potential contributions of the others.

From the papers prepared by the specialist authors, the Team Leader and Editor assembled the guidelines to suit the anticipated readership and to promote cross-fertilization of knowledge and expertise during the progress of a WS&S programme.

Chapter 1 sets the scene. It explains the philosophy behind DFID's focus on WS&S services for the poor, provides working definitions of the terms 'water supply' and 'sanitation', describes the historical development of the sector and the co-operative process that has developed within it, and introduces the programme and project process within DFID that forms the background for the guidance.

Chapter 2 expands on the nine key themes. It describes the principles and practices that have evolved during the last 20 years, as engineers, social scientists, economists, and health specialists have shared experiences and reached consensus on the reasons for past failures and the recipes for future success. Wherever possible, the authors have explained the reasoning behind the recommended approaches. The intention is that professional staff in DFID and its partners will gain by understanding the background to all of the disciplines, not just their own speciality.

Chapter 3 is the operational part of the *Manual*, which it is expected will be used by DFID staff involved with different stages of the project cycle. It is arranged to follow the eight key stages of the project cycle and to identify the key issues to be taken into account during each stage. Regular reference back to Chapter 2 enables the user to find the justification for the advice given in Chapter 3.

Appendices contain examples of the Log Frame analysis which is used in DFID, specifically related to the WS&S sector.

The lengthy list of references and further reading indicates the broad basis for the guidance. It should not, however, be taken as an indication that the guidance is now definitive and unchangeable. Concepts and approaches to sustainable community WS&S services

are evolving continuously. The participatory approach that is at the heart of these guidelines means that projects develop in line with the expressed needs of partner communities. The learning process leads to greater knowledge and to solutions for previously problematic issues. DFID intends to take advantage of improving sector practices by adapting the guidance periodically.

How to use the *Guidance Manual*

The guidance has been designed to help DFID staff involved in each stage of the cycle, recognizing that some will be ‘water professionals’ whose primary need is to be able to incorporate the cross-disciplinary issues of social development, health and hygiene promotion, and economic and financial analysis. Other DFID staff, specializing in related disciplines, need to understand the key issues of the sector and how they relate to the project cycle.

The manual is also intended to help DFID’s project partners (national and local governments, other donors, NGOs, and other external support agencies) who need to understand DFID’s concerns, policies, and procedures. Similarly, DFID contractors and consultants need to be aware of the rules guiding DFID approaches and to understand the key objectives of UK international co-operation.

Because of the need to cater for the different backgrounds of the intended audience, specialists may find that they can skip sections which detail their own field of interest for the benefit of others. The participatory approach to project development does require, however, that all those involved are aware of the needs of the other disciplines. Readers are therefore encouraged to familiarize themselves with the principles and approaches set out in Chapter 2 in respect of each of the disciplines and the summaries in the left hand margin provide an overview of each section.

Chapters 1 and 2 of the manual are seen as essential first-time reading for staff who will be applying the guidelines in any stage of the project cycle. They also offer a reasonably comprehensive background to the WS&S sector for other readers. Chapter 2 is an important reference source for users, as it provides the logic and justification for the procedures outlined in Chapter 3.

Chapter 3 should be read once by all readers, to gain an understanding of the interlinkages among different stages of the project cycle. Different users will then concentrate on the section relating to the stage of the project cycle which is their particular concern. Because the guidelines cover a wide range of projects, from small village latrine programmes to urban water supply and sanitation schemes involving multiple partners from the private sector, NGOs, and local government agencies, the guidance has to be equally wide-ranging.

After readers have an overall appreciation of the *Guidance Manual*, they can read specific sections for guidance on the particular issues they face. For example, if one is considering how to integrate hygiene

promotion with technology at the project identification stage, the sections to read would be:

- Chapter 1 and Section 2.1 for the key overall issues
- Sections 2.7 and 2.8 for specific approaches to technology and hygiene promotion
- Section 2.9 for guidance on maximizing benefits
- Section 3.2 on specific issues to be considered at the project identification stage
- The Appendices for examples of logical frameworks for different types of project.

To avoid repetition, Chapter 3 refers back regularly to Chapter 2. The reader may also use the Index to look up particular topics and may want to refer to the list of Acronyms and list of References in the Appendices. The chapters are colour coded and the edges of pages are flashed for easy reference.

The *Guidance Manual* details many factors which are important for the success of WS&S programmes. In many circumstances, however, it will not be possible, or perhaps appropriate, to follow all of these. Compromises will have to be made, taking account of the partnership approach and the priority of ensuring sustainable provision of basic WS&S services to those in need.

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