

## SMALL CONTRACT FOR SERVICES

Ref. 020309/00054126

This Contract is made on **2 March 2009** between the United Nations Office for Project Services ("hereinafter referred as UNOPS"), and **Institute of Water and Sanitation Development**, a company duly constituted under the laws of **Zimbabwe** (hereinafter referred as "Contractor"). In consideration of the promises contained in this Contract and subject to the UNOPS Conditions of Services hereby incorporated by reference as Annex I, the Parties agree as follows:

**1. SCOPE** The Contractor shall perform services ("hereinafter referred as Services") as specified in the Statement of Work ("SOW") attached as Annex II and hereby incorporated by reference. Unless otherwise provided for in this Contract, the Contractor shall furnish all the technical and administrative support, human resources, materials and equipment necessary to complete the Services.

**2. PERIOD** The Contractor shall commence the performance of the Services on **March 15th** and shall complete the Services by **Feb 2010**.

**3. PRICE & PAYMENT** In full consideration for satisfactory completion of the Services, UNOPS shall pay the Contractor a total amount not to exceed **US\$39,385 (thirty nine thousand three hundred and eighty five United States dollars.)**. This amount is the maximum total amount of reimbursable costs under this Contract. The breakdown of costs in Annex III contains the maximum amounts per cost category that are reimbursable under this Contract. The Contractor shall not do any work, provide any equipment, materials and supplies, or perform any other services which may result in any costs in excess of the amount above mentioned or of any of the amounts specified in the breakdown of costs for each cost category without the prior written agreement of UNOPS. The price of this contract is not subject to any adjustment or revision because of price or currency fluctuations or the actual costs incurred by the Contractor in the performance of the contract.

The Contractor shall submit invoices for the work done

- On signature for 50% of the contract;
- On completion of the case studies for the balance of the case study component, with a financial report;
- In December 2009 with an AGW-net annual report and work plan for 2010 and a financial report.

**4. INVOICES** UNOPS shall effect payments to the Contractor after acceptance by UNOPS of the original invoice and one copy for the appropriate amount together with whatever supporting documentation may be required by UNOPS. Within thirty (30) days of receipt and acceptance of the invoice by UNOPS, payment shall be made to the following Bank account of the Contractor:

[ACCOUNT NUMBER AND BANK NAME & ADDRESS ]

### **5. SPECIAL CONDITIONS:**

No special conditions shall apply.

**6. NOTIFICATIONS** For the purpose of notifications under the Contract, the addresses of UNOPS and the Contractor are as follows:

For UNOPS  
Dr Paul Taylor  
Programme Manager, Cap-Net  
Marumati Building  
491 18th Ave  
Gezina 0031, Pretoria Bag  
South Africa  
Ref : 020309/00054126

For the Contractor  
N. Nesen  
Executive Director  
Institute of Water and Sanitation Development,  
Box MP 422, Mt. Pleasant,  
Harare,  
Zimbabwe  
Tel: 263-4-250522; 735017/26/35; 799049/50;

**7. SUPERSEDING EFFECT** This Contract supersedes all prior oral or written agreements, if any, between the Contractor and UNOPS, constituting the entire agreement with respect to the Service.

In witness of these terms and conditions, the parties execute this Contract.

For and on behalf of UNOPS  
Signature

Dr Paul Taylor  
Programme Manager, Cap-Net

Date:

For and on behalf of the Contractor  
Signature

N. Nesen  
Executive Director  
Institute of Water and Sanitation  
Development  
Date:

## ANNEX I - UNOPS CONDITIONS OF SERVICES

**1-Contractor's Status** In all matters relating to this Contract, the Contractor shall be acting as an independent contractor. Neither the Contractor nor its employees are the employees of UNOPS. The Contractor assumes all liabilities or obligations imposed by any law or regulation with respect to such employees. The Contractor shall not have the authority to create any obligation on behalf of UNOPS and shall not represent itself as an agent, employee or in any other capacity of UNOPS. The Contractor shall be responsible for the professional and technical competence of its employees, who shall be expected to respect local customs and conform to a high standard of moral and ethical conduct.

**2-Damage to Persons and Property** The Contractor shall indemnify and hold harmless UNOPS, its officers, agents, employees and servants from and against all suits, claims, demands, proceedings, and liability of any nature or kind, including costs and expenses, for injuries or damages to any person or any property whatsoever which may arise out of or in consequence of acts or omissions of the Contractor or its agents, employees, servants or subcontractors in the execution of this Contract.

**3-Intellectual Property Rights** All intellectual property and other proprietary rights, including but not limited to patents, copyrights and trademarks, in all countries, with regard to maps, drawings, photographs, mosaics, plans, manuscripts, records, reports, recommendations, estimates, documents and other materials, except pre-existing materials, publicly or privately owned, collected or prepared as a consequence of or in the course of the performance of this Contract, shall become the sole property of UNOPS. The Contractor shall hold harmless and fully indemnify UNOPS from and against all claims and proceedings for infringement of any patent rights, design trademark or name or other protected rights resulting from Contractor's performance.

**4-Confidentiality** All maps, drawings, plans, reports, documents and all other data compiled by or received by the Contractor under the Contract shall be the property of UNOPS, shall be treated as confidential and shall be delivered only to the duly authorized representative of UNOPS on completion of the Services.

**5-Advertising** The Contractor shall not advertise or otherwise make public the fact that it is performing, or has performed services for UNOPS or use the name, emblem or official seal of UNOPS or the United Nations or any abbreviation of the name of UNOPS or the United Nations for advertising purposes or any other purposes.

**6-Modifications** Any modification or change to this Contract shall require an amendment in writing between both parties duly signed by the authorized representatives of the Contractor and UNOPS.

**7-Sub-contracting and Assignment of Contract** The Contractor shall not sub-contract the Services or otherwise assign, transfer, pledge or make other disposition of this Contract or any part thereof or of any of the Contractor's rights, claims or obligations under this Contract.

**8-Termination** UNOPS may terminate this Contract for cause or convenience in the interest of the UNOPS upon not less than fourteen (14) days written notice to the Contractor. Upon termination of this Contract, the Contractor shall take immediate steps to terminate his performance of the Contract in a prompt and orderly manner and to reduce losses and to keep further expenditures to a minimum. Unless such termination has been occasioned by the Contractor's breach of this Contract, the Contractor shall be entitled to be paid for the part of the Services satisfactorily completed as of the date of termination, plus substantiated costs resulting from commitments entered into prior to the date of termination as well as any reasonable substantiated direct costs incurred by the Contractor as a result of the termination, but shall not be entitled to receive any other or further payment or damages.

**9-Privileges and Immunities** Nothing in or relating to this Contract shall be deemed a waiver of any of the privileges and immunities of the United Nations of which the UNOPS is an integral part.

**10-Settlement of Disputes** Any controversy or claim arising out of or in connection with provision of this Contract or any breach thereof, shall, unless resolved through direct negotiation, be settled in accordance with the UNCITRAL Arbitration Rules then in force. UNOPS and the Contractor shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such controversy or claim.

## ANNEX II – STATEMENT OF WORKS

The consultant shall carry out the following tasks:

Conduct 4 case studies on the sector wide approach in water supply and sanitation service delivery.

- The cases shall be in Bangladesh, Ethiopia, Zimbabwe, and Uganda.
- The case studies shall follow the terms of reference provided in annex IV and the consultants proposal in Annex V.
- The 4 case studies shall be compiled into one overall report.
- The final reports shall be accompanied by a financial report following the budget submitted in Annex V.

Act as host to the Africa Groundwater Network (AGW-net) managing the funds according to the work plan of AGW-net and provided in Annex VI. In particular the tasks are:

- Network administration;
- Website development;
- Maintaining communications with members;
- Purchasing office equipment.

**ANNEX III – BREAKDOWN OF COSTS****Case studies**

<b>DESCRIPTION</b>	<b>Unit (€)</b>	<b>Number</b>	<b>SUM (€)</b>
Professional fees	200	10 days/ x 4 case studies, 26 days coordination and final reports. 66days	13,200
Travel and per diem: local travel	Lump sum 200	8 x 200	1,600
Air fares	1,200	2 flights	2,400
Per diem	150	6 days	900
Meetings and workshops	Meetings, 150 Workshops 800	1 each per country. 4 x 950	3,800
Logistics costs (communication, stationery)			1,050
<b>TOTAL</b>			<b>22,950</b>
		<b>US\$ total</b>	<b>29,085</b>

Ex rate 2/3/09 1.2673US\$ = 1Euro

**AGW-Net**

<b>DESCRIPTION</b>	<b>Unit (US\$)</b>	<b>Number</b>	<b>SUM (US\$)</b>
Network administration	500/month	12 months	6,000
Website development and management			1,800
Communications	100/ month	12 months	1,200
Laptop, digital camera	Laptop 1,000; camera,300		1,300
<b>TOTAL</b>			<b>10,300</b>

## **Annex IV Terms of reference.**

### **Terms of Reference**

#### **Case studies: The sector wide approach to water supply and sanitation service delivery**

##### **1. Title**

A case study of the sector wide approach in the water supply and sanitation sector.

##### **2. Duration of the consultancy**

Three months proposed as March – May 2009

##### **3. Background**

Cap-Net is committed to increasing capacity for sustainable management of water resources. This includes addressing the way water is being managed by water users. The water and sanitation sector is an important user of water resources, dependent on the availability of adequate water resources of good quality, yet it is also responsible for many negative impacts on water resources. Collaboration between water resource managers and water supply and sanitation service managers is essential in the context of the ‘Integrated’ approach to water resources management and is also envisaged as an important component of the implementation and maintenance of water services.

This initiative is supporting the achievement of targets to meet the Millennium Development Goals (MDGs) focused on reducing the number of people without safe water and sanitation by half in the year 2015. The United Nations Development Programme (UNDP) considers that 1.1 billion are people without access to clean water today and the 2.6 billion without access to sanitation<sup>1</sup> and the MDGs have put a new impetus to addressing these problems.

The collective inability to meet these basic needs has historically been blamed on a lack of political will, poor technology selection, inappropriate financial systems, poor management systems and an overall lack of stakeholder involvement in the process. Achieving the MDGs would require that present strategies should include investment in infrastructure accompanied by attention to operation and maintenance, improved management and financial systems together with appropriate capacity development of key players. There is a real risk that the MDG targets will be addressed repeating mistakes of the past, focusing on infrastructure and neglecting social and management aspects critical to appropriateness and sustainability.

Water utilities largely address water and sewerage services in urban communities while small scale service delivery is often left to a variety of other service providers scattered across several government agencies. WASH programmes are often complicated by having to address not only rural communities and small towns but also large numbers of people unserved by utilities in big urban centres. In much of the developing world urban utilities provide sewerage services to less than 10% of the population leaving the other 90% to be assisted and managed by other agencies such as local government, departments of health or non-government organisations. Coordination in planning, financing and implementation is essential for effective delivery of sustainable services.

In parallel with the MDG targets for water supply and sanitation there have been major reforms taking place in the management of water resources. There is widespread recognition that water resources are becoming increasingly limited, have been developed in an unsustainable way and are an important contribution to social and economic development. Growth and development that takes place without

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<sup>1</sup> UNDP, Human Development Report (HDR) 2006. Beyond Scarcity: Power, Poverty and the Global Water Crisis

attention to sustainable management of water resources is both inappropriate and unlikely to be sustainable itself.

Many governments have been reforming water resources management to adopt the approach known as Integrated Water Resources Management (IWRM). Implementation of this approach will put increased pressure on water use efficiency, social equity and environmental sustainability. These management decisions will also impact on water supply and sanitation service providers in order to:

- Improve efficiency of water use;
- Improve access to water supply and sanitation services; and
- Reduce negative impacts on the environment and people.

This initiative will build on the present developments in the WASH sector towards the MDGs to incorporate IWRM principles in decision making and management. The initiative will collaborate with partners addressing capacity building on WASH to assist with addressing issues of sustainable management of water resources as well as sustainable service delivery and will provide assistance for capacity building action that promotes these concepts.

Cap-Net, working with its partner capacity building networks and international partners will support the integration of Integrated Water Resources Management (IWRM) principles into decision-making on water supply and sanitation services broadly referred to as the 'WASH' sector. It will build on the existing capacity building initiatives and materials.

The initiative will take sector wide collaboration as its entry point aiming to influence decision and policy making at a national level. It will use the capacity building experience of Cap-Net as a vehicle to promote water and sanitation services that include principles of sustainable development. Starting activities will include case studies on the sector wide approach; briefing notes on the Sector Wide Approach (SWAP) and on IWRM in WASH; and the development and testing of training materials addressing IWRM and the SWAP in WASH.

#### **4. Focus of the Study**

IWRM envisages an 'integrated' approach to water resources management but has a long way to go in establishing effective frameworks for this integration to take place. The Water Supply and sanitation sector (from here on called WASH) also considers that a collaborative approach is essential for effective delivery and maintenance of services.

There can be a lot to learn from how the collaborative approach is being applied in WASH and the collaborative approach also provides an entry point for IWRM principles to be taken up in WASH planning.

The case studies therefore are intended to facilitate future action by learning from the WASH sector how the SWAP is being applied. This will enable lessons to be shared to strengthen SWAP, strengthen WASH implementation and also provide for the introduction of IWRM principles into WASH.

The focus of the case studies is the sector wide approach in water supply and sanitation. The case studies will look at SWAPs in the national context and consider such issues (described in the Framework below) as:

- Structures for collaboration;
- Agencies involved in collaboration;
- Financial and planning mechanisms;
- Measures of success and failure; and
- Lessons.

It is therefore apparent that the case studies will take place in countries that are practising the SWAP.

## **5. Objectives**

The objective of the case study is to consolidate experience on sector collaboration for the delivery and management of water and sanitation services with the aims of:

- Developing capacity building actions to improve implementation and effectiveness of WASH programmes; and
- Introducing principles of IWRM into WASH planning and decision making systems for the benefit of both WASH and sustainable management of water resources.

## **6. Nature of the consultancy**

The consultancy will be divided into several activities including 3 or 4 case studies on SWAP in selected countries and a synthesis report that brings together the country case studies but which also takes into account existing literature.

## **7. The Framework for this Study**

To achieve consistency in analysis and for the ease of consolidation of the results into learning materials an investigation framework is proposed that will be followed by each case study and used in the synthesis report. The framework proposed below and detailed in Annex 1 addresses the main issues of implementing and managing the sector wide approach.

- Introduction:
- Sector overview
- Structure of SWAP (descriptive section)
- Strengths and weaknesses of the SWAP (Analytical section)
- Factors affecting the success of SWAP; (Analytical section)
- Conclusions

## **8. Methodology**

A lead agency will be responsible for identifying and commissioning the case studies and compiling the overview report.

4 case studies will be carried out in selected countries.

### The case studies:

Data are expected to be collected from documents and reports; interviews with a full cross section of sectoral interest groups; and participation in meetings. Ideally the consultant will have good contacts and experience with the programme but not be employed within it.

The information and the report findings should be tested by circulating for comment to important sector stakeholders or presentation at a suitable multi stakeholder forum.

### The summary report will:

Be prepared from the case studies synthesising findings into common lessons and providing examples from across the cases to support the conclusions; and

Refer to other literature on the Sector Wide Approach and national level collaboration as a means to improve impact of WASH programmes.

## **9. Outputs**

The outputs from the activities are 4 case studies and one summary report.

## **Annex 1: Framework for case study investigation and reporting**



A case study should be not more than 20 pages but can be supported by additional annexes if necessary.

1. Introduction: Background to the case study and status of WASH in the country;
2. Sector overview
  - a. Brief history of sector development.
  - b. Development of the SWAP – a brief timeline of key decisions.

(The next section is a descriptive section covering what is actually happening)

3. Structure of SWAP (descriptive section)
  - a. Collaboration structures from national down to implementation levels:
    - i. The structures at each level; composition; how often they meet;
    - ii. Roles and responsibilities of the collaborative structures – what decisions do they make what responsibilities do they have;
    - iii. Who is involved: Government; donors; private sector; NGOs; communities; and
    - iv. Scope of the SWAP (Rural, urban. Peri-urban, water supply, sanitation, sewerage, hygiene).
  - b. Strategic planning: outputs of the SWAP in terms of documents; plans; strategies.
  - c. Finance: How financial management is implemented under SWAP from donor level down to implementation.
  - d. Information management: how SWAP has impacted on documentation information management systems, reporting (etc).
  - e. Implementation: how has SWAP impacted at the level of implementation; technology, roles and responsibilities; subsidies; operation and maintenance and output.
  - f. Capacity building: what capacity building actions support the SWAP; who has been trained and on what?

(The following sections are analytical where you give your opinion on how well the SWAP is working)

4. Strengths and weaknesses of the SWAP
  - a. Strengths; In what areas is it clear that the SWAP has clearly improved the situation;
  - b. Weaknesses; In what areas are the expected benefits of SWAP not being achieved;
5. Factors affecting the success of SWAP
  - a. Factors encouraging sector collaboration.
  - b. Factors discouraging sector collaboration.
6. Conclusions
  - a. Minimum requirements for effective SWAP.
  - b. Challenges and opportunities for SWAP.

**Summary table based on findings.**

		<b>good</b>	<b>positive</b>	<b>weak</b>	<b>absent</b>
1	Government ownership and leadership				

2	Partnership with development partners				
3	Agreed sector policy framework strategies based on shared vision				
4	Common sector programme/ expenditure framework.				
5	Coordination/ alignment of resources				
6	Harmonised implementation mechanisms and procedures.				

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**Institute of Water and  
Sanitation Development**

**Annex V Proposal and budget.**

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P O Box MP422, Mt. Pleasant  
Harare, Zimbabwe  
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**Case studies: The sector wide approach to water supply and sanitation  
service delivery.**

Submission to

# CAPNET

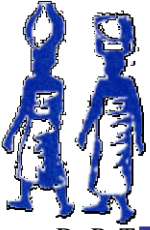
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Cover letter



**Institute of Water and  
Sanitation Development**

7 Maasdrop Avenue, Alexandra Park  
P O Box MP422, Mt. Pleasant  
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Dr P. Taylor  
Director, CapNet  
Marumati Building  
491 18<sup>th</sup> Avenue  
Rietfontein  
Pretoria 0084  
South Africa.

25 February, 2009.

Dear Sir,

**RE: Case studies: The sector wide approach to water supply and sanitation service delivery.**

The Institute of water and sanitation development (IWSD) acting in its capacity as a member of Waternet has the pleasure to submit to you our proposal to undertake the SWAP case study as specified in your terms of reference. The Institute believes it has the requisite experience in the sector wide approach (SWAP) to water and sanitation service provision.

Please find below our proposal to undertake the proposed CapNet SWAP study in liaison with Ethiopia, Uganda, Zimbabwe and Bangladesh.

We look forward to a successful and mutually benefiting capacity building needs assessment study.

Yours sincerely,

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N. Nesen  
Executive Director  
Institute of Water and Sanitation Development

## 1. INTRODUCTION

### 1.1. Background

Cap-Net is committed to increasing capacity for sustainable management of water resources. This includes addressing the way water is being managed by water users. The water and sanitation sector is an important user of water resources, dependent on availability of adequate water resources of good quality yet also responsible for many negative impacts on water resources. Collaboration between water resource managers and water supply and sanitation service managers is essential in the context of the 'Integrated' approach to water resources management and is also envisaged as an important component of the implementation and maintenance of water services.

This initiative is supporting the achievement of targets to meet the Millennium Development Goals (MDGs) focused on reducing the number of people without safe water and sanitation by half in the year 2015. The United Nations Development Programme (UNDP) considers that 1.1 billion are people without access to clean water today and the 2.6 billion without access to sanitation<sup>2</sup> and the MDGs have put a new impetus to addressing these problems.

The collective inability to meet these basic needs has historically been blamed on a lack of political will, poor technology selection, inappropriate financial systems, poor management systems and an overall lack of stakeholder involvement in the process. Achieving the MDGs would require that present strategies should include investment in infrastructure accompanied by attention to operation and maintenance, improved management and financial systems together with appropriate capacity development of key players. There is a real risk that the MDG targets will be addressed repeating mistakes of the past, focusing on infrastructure and neglecting social and management aspects critical to appropriateness and sustainability.

Water utilities largely address water and sewerage services in urban communities while small scale service delivery is often left to a variety of other service providers scattered across several government agencies. WASH programmes are often complicated by having to address not only rural communities and small towns but also large numbers of people unserved by utilities in big urban centers. In much of the developing world urban utilities provide sewerage services to less than 10% of the population leaving the other 90% to be assisted and managed by other agencies such as local government, departments of health or non-government organisations. Coordination in planning, financing and implementation is essential for effective delivery of sustainable services.

In parallel with the MDG targets for water supply and sanitation there have been major reforms taking place in the management of water resources. There is widespread recognition that water resources are becoming increasingly limited, have been developed in an unsustainable way and are an important contribution to social and economic development. Growth and development that takes place without attention to sustainable management of water resources is both inappropriate and unlikely to be sustainable itself.

Many governments have been reforming water resources management to adopt the approach known as Integrated Water Resources Management (IWRM). Implementation of this approach will put increased pressure on water use efficiency, social equity and environmental sustainability. These management decisions will also impact on water supply and sanitation service providers in order to:

- Improve efficiency of water use;
- Improve access to water supply and sanitation services; and
- Reduce negative impacts on the environment and people.

This initiative will build on the present developments in the WASH sector towards the MDGs to incorporate IWRM principles in decision making and management. The initiative will collaborate with partners addressing capacity building on WASH to assist with addressing issues of sustainable

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<sup>2</sup> UNDP, Human Development Report (HDR) 2006. Beyond Scarcity: Power, Poverty and the Global Water Crisis

management of water resources as well as sustainable service delivery and will provide assistance for capacity building action that promotes these concepts.

Cap-Net, working with its partner capacity building networks and international partners will support the integration of Integrated Water Resources Management (IWRM) principles into decision-making on water supply and sanitation services broadly referred to as the 'WASH' sector. It will build on the existing capacity building initiatives and materials.

The initiative will take sector wide collaboration as its entry point aiming to influence decision and policy making at a national level. It will use the capacity building experience of Cap-Net as a vehicle to promote water and sanitation services that include principles of sustainable development. Starting activities will include case studies on the sector wide approach; briefing notes on the Sector Wide Approach (SWAP) and on IWRM in WASH; and the development and testing of training materials addressing IWRM and the SWAP in WASH.

## **2. TERMS OF REFERENCE AND APPROACH**

### **2.1. Scope of the work**

The IWSD study team will carry out the assignment guided by the objectives and activities defined in the ToR.

We note that **the objective** of the case study is to consolidate experience on sector collaboration for the delivery and management of water and sanitation services with the aims of:

- Developing capacity building actions to improve implementation and effectiveness of WASH programmes; and
- Introducing principles of IWRM into WASH planning and decision making systems for the benefit of both WASH and sustainable management of water resources.

To achieve these objectives the study team will focus on 4 case studies on SWAP in selected countries. We have identified the following countries that we believe have adopted and implemented the SWAP and therefore can offer valuable lessons to the SWAP. Our country choices are Ethiopia, Uganda and Zimbabwe in Africa and Bangladesh for Asia. In these countries we will either work with cap-net networks or streams of knowledge institutions. Country case study reports will be prepared and a synthesis report that brings together the country case studies and also takes into account existing literature.

To achieve consistency in analysis and for the ease of consolidation of the results into learning materials an investigation framework proposed in the ToR will be followed in each case study and used in the synthesis report. The framework proposed below and detailed in Annex 1 addresses the main issues of implementing and managing the sector wide approach.

- i. Introduction:
- ii. Sector overview
- iii. Structure of SWAP (descriptive section)
- iv. Strengths and weaknesses of the SWAP (Analytical section)
- v. Factors affecting the success of SWAP; (Analytical section)
- vi. Conclusions

### **2.2. Methodology**

IWSD will be the lead agency and will be responsible for identifying and commissioning the four case studies in the respective countries and compiling the overview report.

IWSD will be responsible for the following:

- i. Identifying countries where the studies can be conducted

- ii. Discussing and reaching a consensus on the scope of work and the outputs with the partners
- iii. Act as the liaison between CapNet and the country partners
- iv. Provide backstopping support to country partners during the course of the study
- v. Consolidate the findings from the country studies
- vi. Organize the review of the reports and prepare the final report.

The country partners in Ethiopia, Uganda, Zimbabwe and Bangladesh will be responsible for the following:

- i. Carry out the field work (interviews, and site visits) in their home country
- ii. Organize in-country workshops and meetings
- iii. Prepare field and country reports
- iv. Participate in the review of the final report.

The outputs of the assignment are 4 country specific case study reports and one summary report. Each report shall not exceed **20 pages** excluding annexes.

The **data for the case studies** will be collected from documents and reports; interviews with a full cross section of sectoral interest groups; and participation in meetings. The information and the case findings will be tested by circulating for comment to important sector stakeholders. Presentation at a suitable multi stakeholder forum is highly recommended.

The **summary report** will be prepared from the case studies synthesizing findings into common lessons and providing examples from across the cases to support the conclusions. The report will also refer to other literature on the SWAP or national level collaboration as a means to improve impact of WASH programmes.

The assignment will be carried out by a four-person team consisting of one member each from IWSD and Capnet partner institutions. The target institutions are Netwas-Uganda for the Uganda case study, Capnet partner in Ethiopia for the Ethiopia study, IWSD as Waternet institution for Zimbabwe and STREAMS-Philippines for the Bangladesh study. The study team will design data collection tools to support the proposed methodology for data collection, literature review, and interviews with key informants. IWSD will consolidate all data and prepare the final report.

### 2.3. Work plan

IWSD proposes to carry out the study over a period of three months from March to May 2009. We anticipate that a total of 66 person-days will be required to successfully complete the assignment. The table below gives the proposed sequencing of activities.

Main Activity	Output/deliverable	Person-days	Week #														
			01	02	03	04	05	06	07	08	09	10	11	12			
1	Preparatory work	Contracts & inception report	7.0														
2	Literature review and preliminary analysis	Framework tools SWAP synopsis	7.0														
	Scoping & identification of partners and key informants	Data base on information providers	5.0														
3	In-country visits and interviews	Country case notes	18.0														

	Stakeholder feedback	Revised reports (workshop recommendations)	8.0															
4	Preparation of reports	Country case reports Draft summary report	16.0															
	Preparation of synthesis report	Final report	5.0															

#### 2.4. Budget and payment.

IWSD anticipates an honorarium adequate to cover staff time, travel and subsistence as well as any assignment logistics to be agreed with CapNet. Given the intensity of the work and the need to travel to the study countries we propose a budget of **Euro23, 440**. the summary breakdown is shown in the table below and the detailed estimates are given in Annex II.

DESCRIPTION	IWSD	Case1	Case2	Case3	Case4	SUM
Honorariums	5,201	2,000	2,000	2,000	2,000	13,202
In-country travel: country partners		200	200	200	200	800
International travel (air-tickets & DSA for team leader)	4,100					4,100
Meetings and workshops		950	950	950	950	3,800
Logistics costs (communication, stationery)	1,538					1,538
<b>TOTAL</b>	<b>10,838.</b>	<b>3,150</b>	<b>3,150</b>	<b>3,150</b>	<b>3,150</b>	<b>23,440</b>

The budget estimate is based on the following assumptions.

- i. Air tickets are bought from South African Airways
- ii. A flat per diem rate of Euro is used for all international travels.
- iii. Professional time is charged at a nominal rate of Euro200/day by all partners on the project,
- iv. Direct costs include internet use, telephone, purchases, etc, borne in implementing the assignment.
- v. A contingency of 2% is used on the total assignment cost estimate.
- vi. Costs for any workshops requiring the meeting of all partners at once are not included in the budget as we believe these will be borne directly by CapNet.

IWSD anticipates a 50% down payment on commissioning of assignment with the remaining 50% to be paid after successful completion of the project.



## **ANNEX 1: Framework for case study investigation and reporting.**

A case study should be not more than 20 pages but can be supported by additional annexes if necessary.

7. Introduction: Background to the case study and status of WASH in the country;
8. Sector overview
  - a. Brief history of sector development;
  - b. Development of the SWAP – a brief timeline of key decisions;

(The next section is a descriptive section covering what is actually happening)

9. Structure of SWAP (descriptive section)
  - a. Collaboration structures from national down to implementation levels;
    - i. The structures at each level; composition; how often they meet;
    - ii. Roles and responsibilities of the collaborative structures – what decisions do they make what responsibilities do they have;
    - iii. Who is involved: Government; donors; private sector; NGOs; communities;
    - iv. Scope of the SWAP (Rural, urban. Peri-urban, water supply, sanitation, sewerage, hygiene)
  - b. Strategic planning: outputs of the SWAP in terms of documents; plans; strategies;
  - c. Finance: How financial management is implemented under SWAP from donor level down to implementation.
  - d. Information management: how SWAP has impacted on documentation information management systems, reporting, etc;
  - e. Implementation: how has SWAP impacted at the level of implementation; technology, roles and responsibilities; subsidies; operation and maintenance;
  - f. Capacity building: what capacity building actions support the SWAP; who has been trained and on what?

(The following sections are analytical where you give your opinion on how well the SWAP is working)

10. Strengths and weaknesses of the SWAP
  - a. Strengths; In what areas is it clear that the SWAP has clearly improved the situation;
  - b. Weaknesses; In what areas are the expected benefits of SWAP not being achieved;
11. Factors affecting the success of SWAP;
  - a. Factors encouraging sector collaboration;
  - b. Factors discouraging sector collaboration;
12. Conclusions
  - a. Minimum requirements for effective SWAP;
  - b. Challenges and opportunities for SWAP

**Annex ii. Detailed cost estimates**

<b>A. Professional Fees (Euro)</b>			<b>Professional Time in Days</b>					<b>Budget</b>
		<b>Unit</b>	<b>IWSD</b>	<b>Case1</b>	<b>Case2</b>	<b>Case3</b>	<b>Case4</b>	
	<b>Daily Fee Rate</b>	USD	256	256	256	256	256	<b>Totals</b>
		Euro	200	200	200	200	200	
<b>Activity 1</b>	<b>Preparatory work</b>	<b>days</b>	<b>3.0</b>	<b>1.0</b>	<b>1.0</b>	<b>1.0</b>	<b>1.0</b>	<b>1,400</b>
1.01	Inception and briefing meetings	days	2.0	0.5	0.5	0.5	0.5	
1.02	Implementation plan team selection	days	1.0	0.5	0.5	0.5	0.5	
<b>Activity 2</b>	<b>Literature review</b>	<b>days</b>	<b>4.0</b>	<b>2.0</b>	<b>2.0</b>	<b>2.0</b>	<b>2.0</b>	<b>2,400</b>
2.01	Reference and contact lists	days	1.0	0.5	0.5	0.5	0.5	
2.02	Information search (internet, reference centres)	days	1.0	1.0	1.0	1.0	1.0	
2.03	Preliminary assessments	days	1.0	0.5	0.5	0.5	0.5	
2.04	Tools development & review	days	1.0					
<b>Activity 3</b>	<b>In-country visits</b>	<b>days</b>	<b>8.0</b>	<b>4.5</b>	<b>4.5</b>	<b>4.5</b>	<b>4.5</b>	<b>5,201</b>
3.01	Individual interviews	days	2.0	2.0	2.0	2.0	2.0	
3.02	Group meetings	days	1.0	0.5	0.5	0.5	0.5	
3.03	National stakeholder workshop	days	4.0	1.0	1.0	1.0	1.0	
3.04	Field reports	days	1.0	1.0	1.0	1.0	1.0	
<b>Activity 4</b>	<b>Report preparation</b>	<b>days</b>	<b>11.0</b>	<b>2.5</b>	<b>2.5</b>	<b>2.5</b>	<b>2.5</b>	<b>4,201</b>
4.01	Country case draft reports	days	2.0	2.0	2.0	2.0	2.0	
4.02	Report comment & reviews	days	2.0					
4.03	Final country reports	days	2.0	0.5	0.5	0.5	0.5	
4.04	Summary report	days	5.0					
TOTAL DAYS			26.0	10.0	10.0	10.0	10.0	
TOTAL PROFESSIONAL FEES		<b>Euro</b>	5,201	2,000	2,000	2,000	2,000	<b>13,202</b>
<b>B. Reimbursable Expenses (Euro)</b>								
		<b>Unit</b>	<b>Number</b>	<b>Unit Cost</b>				<b>Item Cost</b>
<b>Item B.1</b>	<b>Travel expenses</b>							<b>4,900</b>
B1.1	Air-tickets, Team Leader (round 2)	trip	2	1200.00				2,400
B1.2	In-country travels, Team Leader	country	4	200.00				800
B1.3	Per diem TL	day	6	150.00				900
B1.4	In-country travels, National Consultant	country	4.0	200.00				800
<b>Item B.2</b>	<b>Meeting and workshop costs</b>							<b>3,800</b>

B2.1	Meetings, in country		lump	4	150.00		600
B2.2	Workshops, in country		no	4	800.00		3,200
<b>Item B.3</b>	<b>Stationery and communication</b>						<b>1,050</b>
B3.1	Communications, telephones		lump	150	1.00		150
B3.2	Communications, internet		lump	200	1.00		200
B3.3	Stationery and other consumables		lump	250	1.00		250
B3.4	Printing		lump	250	1.00		250
B3.5	Postage		lump	200	1.00		200
TOTAL FOR RE-IMBURSABLE EXPENSES			sum				<b>9,750</b>
<b>C. Contingency for re-disbursable expenses</b>				<b>5.0%</b>			<b>488</b>
<b>Total for Assignment (A + B + C)</b>							<b>23,440</b>

## Annex VI. Work plan 2009, African Ground Water Network



### AGW-NET WORKPLAN 2009

#### **Introduction.**

The Africa Groundwater Network (AGW-Net) is still in its initial stages of formation and much work needs to be directed towards the establishment of fundamental network structures. In addition the network needs to initiate as many activities as feasible so that the network members remain engaged and can participate in activities that promote the goals of the network. The work planned towards identifying and achieving some of these goals is laid out in this report.

#### **Vision.**

*Objectives of the network.* The network has previously defined its objectives in its 2008 brochure. These are listed below:

- Build capacity for improved groundwater management at all levels;
- Promote Integrated Water Resources Management (IWRM) practice in the groundwater sector;
- Improve awareness of groundwater resources;
- Foster groundwater research and academic cooperation;
- Enhance the sharing of information;
- Improve the level of integration between surface and groundwater practitioners; and
- Provide a positive contribution to the realisation of regional and continental development goals with regard to groundwater.

The network members may continually adjust and add to this initial vision of the objectives of the network.

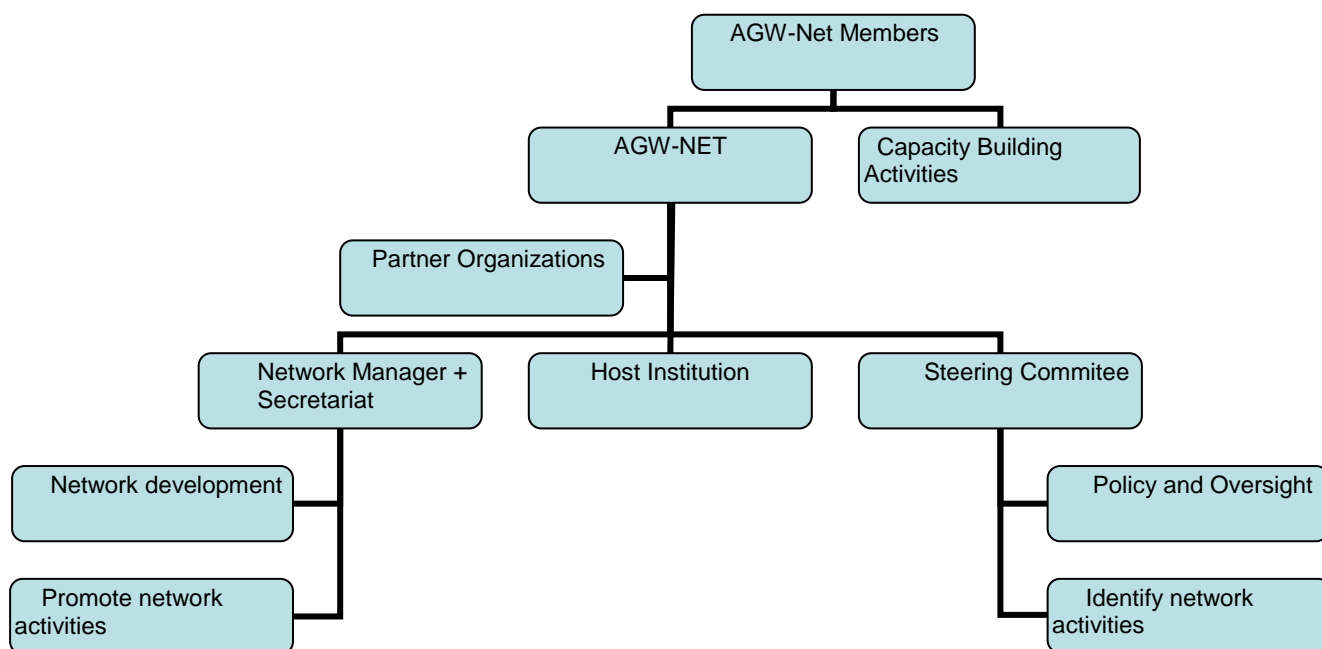
#### *Constitution / Governance Guidelines.*

The network at present has no constitution or guidelines for governance. These will be developed as a priority during the coming year. Guidelines and constitutions from some of the other networks are available to AGW-Net to assist in the formulation of our own governance statutes and structures. At this initial stage, a steering committee has been appointed to help prepare these governance guidelines, including the terms of reference for the steering committee itself, before they are circulated to the full membership for feedback and ultimate adoption.

#### **Strategy.**

The strategic plan for the development of the network envisages interaction between several elements. These include the structural elements of the network, its planned activities and methods to achieve these, its institutional partners and supporters, its membership and the focus of its output. Clearly this is not comprehensive at this stage as it does not include issues of impact monitoring, network diversification, country chapter development etc. The diagram below shows the key elements of the network at this stage, with all elements interacting through their participation in the network. The early foundation requirements for the initial

development of the network are seen as the following: 1) development of the membership, 2) establishment of a steering committee and 3) identification of a host institution.



**Diagram – the Proposed Organizational Structure for AGW-Net.**

**Methodology.**

AGW-Net is primarily a groundwater capacity building network. The niche methodology that AGW-Net envisages to achieve this capacity building is the use of short courses aimed at a wide variety of people and sectors who interact with and use the groundwater resource. Short Training of Trainers courses (ToT) are considered a fundamental preliminary component to improve the capacity of network members to achieve the network objectives. Discussions are underway with GWMate (World Bank GroundWater Management Advisory Team) to organize some ToT courses in groundwater management for the network membership.

Network members are also actively involved in developing other short courses for various water sector professionals, including water managers, hydrogeologists, etc. The present focus is on groundwater management, sustainable groundwater development and the data requirements needed to achieve these goals.

The network is also establishing links with regional and global partners who support the goal of sustainable groundwater management and use. In some cases, the network envisages interacting with these partners to supply their requirement for groundwater training and capacity building, and in other cases, the network looks towards these partners for financial support to help deliver some short courses etc.

### **Plans and Activities for 2009.**

Based on the foregoing, a number of plans and planned activities are envisaged for 2009. These may be subdivided into those activities aimed at the structural establishment of the network (establishment activities) and those activities aimed at capacity building and outreach (development activities). The establishment activities are mostly undertaken by the network manager and secretariat with support from the steering committee. Capacity building activities are mostly undertaken by the network members with support from the partner and donor organization, facilitated by the network manager and steering committee.

#### *Establishment activities: (planned and underway)*

- Identify host institution and implement network financial management system. The **Institute of Water and Sanitation** in Harare, Zimbabwe, has been identified as a suitable host (approved by the SC) and an MoU has been prepared.
- Develop membership form and compile and disseminate membership list
- Identify and establish steering committee
- Produce constitution and guidelines
- Establish links with partners
- Identify work-plan and activities
- Disseminate information to members
- Develop web page

#### *Development activities: (planned and underway)*

- Training of trainers: GWMate course for network membership. Discussions are underway with GWMate.
- Develop & deliver short courses (planned 2009):-
  - Groundwater management for water managers: a role of hydrogeological science. At Wits university, Johannesburg, South Africa
  - Groundwater management within IWRM: a) Cheikh Anta Diop University, Dakar, Senegal and b) Kwame Nkrumah University of Science and Technology, Accra, Ghana.
  - Cost Effective Borehole Drilling, Design and Aquifer Assessment for Groundwater Practitioners, Managers and Supervisors National Water Resources Institute, Kaduna, Nigeria + RWSN (Rural Water Supply Network)
  - Regional Training on Groundwater Exploration & Water Quality Management. University of Dar es Salaam Department of Geology, Tanzania.

### **Budget for 2009...**

**Budget Estimates for 2009.**

- i) **Network development and management**
- ii) **Capacity building activities**

<b>Network Development &amp; Management Activities</b>				
Activity	Time	Unit cost	Total	Source of Funds*
Network administration – administrative assistant. Correspondence, office management etc	½ time	\$500 pm	\$6000	CapNet seed grant
Web site development and management	Initial cost + update quarterly	\$1000 + \$800 per year	\$1800	CapNet seed grant
Communications – email / telephone, stationery etc	Monthly	\$100 pm	\$1200	CapNet seed grant
Office Equipment – laptop; digital camera	Once		\$1300	CapNet seed grant
Administration fee to host (Institute of Water & Sanitation Development – IWSD)		5%	\$500	CapNet seed grant
<b>Total</b>			<b>\$10,800-</b>	

\* CapNet seed funds are \$10,000 per year. Any excess in expenditure needs to come from AGW-Net earnings from its activities such as mounting short courses.

<b>AGW-Net Capacity Building Activities.</b>				
Activity	Venue	Date	Cost est.	Partners
Short Course: Groundwater management for water managers: a role of hydrogeological science.	Wits university, Johannesburg, South Africa	6-10 July 2009	\$75,000 @25000 each	Splash Cap-Net Wits
Groundwater management within IWRM	Cheikh Anta Diop University, Dakar, Senegal	2009	\$75,000 @25000 each ??	?Cap-Net ?Splash CAD Uni.
Groundwater management within IWRM	Kwame Nkrumah University of Science and Technology, Accra, Ghana	2009	\$75,000 @25000 each ??	?Cap-Net ?Splash KNUST
Cost Effective Borehole Drilling, Design and Aquifer Assessment for Groundwater Practitioners, Managers and Supervisors (same course in Mozambique ??)	National Water Resources Institute, Kaduna, Nigeria / RWSN (Rural Water Supply Network)	2009	\$75,000 @25000 each ??	?CapNet ?RWSN NWRI
Regional Training on Groundwater Exploration & Water Quality Management.	University of Dar es Salaam Department of Geology,	2009	\$75,000 @25000 each ??	?CapNet ?Splash UDSM

	Tanzania.			
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\* ?? means funds not yet committed. Local host institution contribution is not cash, but facilities.

### Summary

As may be seen from this work-plan, the Africa Groundwater Network is at the early stage of its life. A number of activities to do with basic network establishment, such as securing a host institution and a bank account etc. still remain to be done. The network has no guidelines and the steering committee has no terms of reference at this time.

In addition to these network management issues, the network is trying to initiate a number of short courses. One course has already received funding support and is due to be presented at Wits University Johannesburg in July 2009. Another course has been previously presented by WANet and is due to be presented again in by AGW-Net in both Senegal (French version) and in Ghana (English version). Negotiations are underway with regards to funding for these two courses. Recently a partner (RWSN – Rural Water Supply Network) has agreed to work with AGW-Net in preparing a course on cost effective borehole drilling / groundwater development and some interested network members have already been identified.

The development of the network structure and the development of capacity building activities are the two main priorities for AGW-Net in 2009.

Signed

Richard Owen  
Network Manager for AGW-Net.  
2 March 2009.