Good Practices to Serve the Urban Poor
Workshop for Utility Managers and Training Institutions
Nairobi - Kenya
February 9 - 11, 2004
37169
### List of Abbreviations

<table>
<thead>
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<th>Abbreviation</th>
<th>Description</th>
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<tbody>
<tr>
<td>AfWA</td>
<td>African Water Association</td>
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<tr>
<td>CBO</td>
<td>Community based organization</td>
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<td>CWSC</td>
<td>Chipata Water and Sewerage Company</td>
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<td>EC</td>
<td>European Commission</td>
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<td>GPD</td>
<td>Good Practice Document</td>
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<td>IBT</td>
<td>Increasing Block Tariff</td>
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<td>ITN</td>
<td>International Training Network</td>
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<td>KIWASCO</td>
<td>Kisumu Water and Sewerage Company</td>
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<tr>
<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
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<tr>
<td>MDG</td>
<td>Millennium Development Goal</td>
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<td>MWRMD</td>
<td>Ministry of Water Resources Management and Development</td>
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<td>NGO</td>
<td>Non government organization</td>
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<td>O&amp;M</td>
<td>Operation and Maintenance</td>
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<td>PPP</td>
<td>Public private partnership</td>
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<td>PRSP</td>
<td>Poverty Reduction Strategy Paper</td>
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<td>SSIPs</td>
<td>Small Scale Independent Providers</td>
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<td>TOT</td>
<td>Training of Trainers</td>
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<td>UAWS</td>
<td>Union of African Water Suppliers</td>
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<td>WSP-AF</td>
<td>Water and Sanitation Program - Africa</td>
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<td>WSS</td>
<td>Water supply and sanitation</td>
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<td>WUP</td>
<td>Water Utility Partnership</td>
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Foreword

Through its Project #5, the Water Utility Partnership (WUP) took up the mission of helping African water and sanitation utilities to act on the challenge of extending safe water and hygienic sanitation services to the growing number of poor households in African cities. WSP-AF was the executing partner for the project which benefited from the support of many members of the Union of African Water Suppliers (UAWS) which is WUP institutional anchor. The core funding for WUP #5 was provided by a grant from the European Commission.

The initial findings of WUP #5 were reviewed and endorsed by African WSS utility managers at Abidjan Workshop (2001). This provided the basis for the preparation by end of 2003, of WUP #5 final products: the book *Better Water and Sanitation for the Urban Poor: Good Practice from sub-Saharan Africa (Good Practice Document, GPD)* and the Toolkit on *Water and Sanitation Services for the Urban Poor (in the format of an inter-active website and a CD-ROM)*. Both are considered of high quality and relevance. Their distinctive value derive from the fact that they are based on the actual practice of African WSS utilities.

WUP and its partners are now engaged in a campaign to disseminate the GPD and the Toolkit. One of the key element of this effort is to leverage them through training. Following the contacts established with several ITN Centers at their latest annual Conference (Nov. 2003), the ITNs, WUP and WSP-AF agreed to organize a workshop to introduce the GPD and the Toolkit to ITN Training Centers.

The Nairobi Workshop brought together WSS utilities, Training Centers specialized in water and sanitation services as well as an NGO. The Workshop reviewed the GPD and the Toolkit and recommended that they be used as source material for the development of training programs specifically targeted at building the capacity of WSS utilities and their country partners to improve WSS services to low-income urban communities.

The Workshop produced an action plan which is being pursued by the ITNs with WUP and WSP-AF in a facilitating role.

The present proceedings provide the participants with a record of the Workshop. The proceedings will also be made available to a broader audience of trainers and WSS service providers to allow them to share its conclusions and to encourage them to use the Toolkit and the GPD to support their effort to realize our common vision of an Africa where everyone has access to safe water and hygienic sanitation.

Dennis Mwanza
Managing Director
Water Utility Partnership

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1 ITN refers to International Training Network: a network of training and applied research institutions specifically dedicated to building the capacity to address the water and sanitation needs of the poor. There are six ITN Centers in sub-Saharan Africa: NETWAS (Nairobi), CREPA (Ouagadougou), TREND (Kumasi), IWSD (Harare), NCWSTI (Peterburg), CFPAS (Maputo)
Acknowledgements

It is primarily the participants themselves that brought value to the Nairobi Workshop by their active engagement in the sessions and working groups and by accepting to share their insights, their experience as well as their expectations.

The Workshop was hosted by the Government of Kenya through its Ministry of Water Resources Management and Development. The Workshop venue was the Kenya School of Monetary Studies at the outskirt of Nairobi.

The Workshop was jointly organized by WUP, WSP-AF and NETWAS. Funding was provided from WUP/EC grant for WUP # 5 and from WSP-AF sub-program for urban WSS services.

The Task Team comprised:
- Dennis Mwanza, Managing Director, WUP, Organizer
- Alain Morel, Urban Team Leader, WSP-AF, Task Team Leader
- Samuel Wambua, Executive Director, NETWAS, Co-Organizer
- Neil Macleod, Managing Director Durban Metro, Facilitator
- Nathalie Semoroz, WSP-AF, Coordinator
- Beth Karanja, NETWAS, Program Officer
- Jean Doyen, Consultant, WSP-AF, Rapporteur
- Jecinter Hezron, WSP-AF, Team Assistant
- Njeri Gicheru, WSP-AF, Program Assistant

Jean Doyen, Nathalie Semoroz, Jecinter Hezron and Njeri Gicheru (WSP-AF) were responsible for preparing the summary proceedings. The report cover was designed by Njeri Gicheru and Nathalie Semoroz.
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Conclusions and Recommendations

**WUP Project # 5 helps urban water services providers to meet the MDGs for water and sanitation services.**

Meeting the Millennium Development Goals (MDGs) in African cities will require doubling the pace of extension of water supply and sanitation (WSS) services. It is in the fast expanding informal settlements that this challenge will have to be met. In a context of weak municipal institutions, WSS utilities will have to provide leadership and act as institutional anchors for policies and programs to improve WSS services to low-income communities.

Since 1997, WUP has been engaged in uncovering effective approaches to tackle the challenges of improving water and sanitation services to the urban poor. WUP Project # 5 has brought forward the fundamental point that: a well performing and financially sound utility is a necessary but insufficient condition for serving the urban poor. Hence the need for utilities to: (i) undertake reform to break the cycle of inefficiencies, poor services, weak finance, deteriorating assets, etc; and, (ii) to form partnerships with NGOs, CBOs, Small Scale Independent Providers (SSIPs) and municipal agencies to reach low-income communities.

While WUP # 5 findings are broadly accepted, the fact is that few utilities have effective policies and programs to improve services to the poor. Hence the continuing need for advocacy directed in particular at utility managers and politicians.

WUP # 5 final products consisting of the Good Practice Document (GPD) and the Toolkit on Water and Sanitation Services for the Urban Poor (in the format of a website and a CD-ROM) provide guiding principles and practices rooted in the experience of African WSS utilities. Training is a critical element of the drive undertaken by WUP and WSP-AF to disseminate the GPD and the Toolkit and bring them to bear on WSS policies and programs.

**The main outcome of the Nairobi Workshop is that ITN Centers committed themselves to develop training programs to help utilities to improve WSS services to the urban poor.**

Concerning the GPD and the Toolkit, the Workshop:

- confirmed the value of the GPD and the Toolkit and recommended that they be broadly disseminated to all sector actors and used by utilities and ITNs and as reference for the development of practice-based training programs.
- recommended that the WUP and WSP-AF in collaboration with the ITNs: (i) expand the coverage of: hygiene and sanitation, policies and legal framework, and financing strategies and mechanisms; and (ii) update the Toolkit on the basis of feedback from utilities.

Concerning training of sector actors for WSS services for the urban poor, the Workshop:

- Established the foundation for a strategic partnership between WSS utilities and ITNs to advocate the improvement of WSS services to the urban poor and to provide training on related policies, approaches and tools using the Toolkit and the GPD.
- Defined as follows the proper context for effective training:
  - Training can only be effective if there is commitment to the objective of improved WSS services to the poor starting with the top management of the WSS utility.
  - Training has to be conducted at the country or city level and needs to be linked with the various stages of the reform process: situation analysis, consensus building, goal setting, action planning, learning, monitoring and evaluation, etc.
  - At the country level, WSS utilities have the lead role in planning and organizing training related to services to the poor.
- Training should extend to stakeholders beyond the utility staff and include policy makers and potential partners, i.e. CBO, NGO and independent providers.

- Recommended the following immediate steps to be carried out during the period May to December 2004:
  - to assess training needs of selected utilities; by ITNs
  - to design training program and prepare modules; by ITNs with support of WUP and WSP-AF
  - to pilot training; by ITNs with selected utilities
  - to evaluate course; by ITNs, WUP, WSP-AF and utilities
  - to revise course; by ITNs
  - to market course; by ITNs, WUP, AfWA and WSP-AF

- Stressed that effective follow-up would depend on:
  - close collaboration between ITNs, WUP and WSP-AF
  - coordination and exchanges among ITN Centers
  - the ITNs to act as reference centers for feedback of the Toolkit
  - strong marketing of the Toolkit and the GPD with all African WSS utilities
Workshop Summary

Background and Raison d’Etre for the ITN-Utilities Workshop

Through its Project # 5, WUP set itself the objective of developing guidance to tackle the challenges of improving water and sanitation services to the urban poor. It chose to do so by uncovering guiding principles and approaches rooted in the actual practices of African WSS utilities. WUP Project # 5 was carried out over the period 1998-2003 in partnerships with WSP-AF. It unfolded through three phases progressing from: (i) piloting the methodology; (ii) documenting and selecting practices; and, (iii) preparing the Good Practice Document (GPD) and the Toolkit. The end of the two first phases were marked by milestone workshops (Nairobi, 2000; Abidjan, 2001).

The challenge for WUP and WSP-AF is now to disseminate the GPD and the Toolkit and bring them to bear on the situation on the ground. One of the key element of WUP dissemination strategy is to leverage its products through training. The purpose of the ITN-WSS Utilities Workshop was to introduce the GPD and the Toolkit to utilities and ITN Centers by involving them in planning their use for practice-based training. The ITN-WSS Utilities Workshop brought together WSS utilities, specialized training centers and NGOs to review the GPD and the Toolkit and recommend ways to use them to build the capacity of WSS utilities and their country partners to improve WSS services to low-income urban communities.

Opening Session Day 1, Monday Feb. 9, 2004

Welcome and Opening Remarks

Dennis Mwanza (Managing Director, WUP) and Samuel Wambua (Executive Director, NETWAS) welcome the 25 participants including senior staff from 7 water utilities, 6 ITN Centers, one regional NGO as well as WSP-AF staff. He pointed out that WUP was established in 1996 as a joint initiative of the UAWS, two ITN Centers (TREND and CREPA) and the World Bank. WUP was conceived as the action research and knowledge arm of UAWS with the mission to foster advocacy and exchanges of good practices among African utilities and their partners.

Piers Cross (Regional Team Leader, WSP-AF) highlighted the compelling rationale for the ITN Centers to form strategic partnerships with WSS utilities to tackle the challenge of better WSS services for low-income urban communities in Africa. He stressed the commitment of WSP-AF to continue to work with WUP to foster the strengthening of such partnerships.

In his opening remarks Eng. David Stower (Director of Water, MWRMD, Kenya) pointed out that Governments in Africa are struggling with the problem of WSS services to informal settlements (which account for 60% of Nairobi’s population). The first critical steps is the reform of poorly performing utilities. Tools and practices derived from the African experience can help to set realistic objectives and map needed reform. They should now be turned into effective learning and training tools accessible to practitioners on the ground.

1 ITN refers to International Training Network: a network of training and applied research institutions specifically dedicated to building the capacity to address the water and sanitation needs of the poor. There are six ITN Centers in Sub-Saharan Africa: NETWAS (Nairobi), CREPA (Ouagadougou), TREND (Kumasi), IWSD (Harare), NCWSTI (Peterburg), CFPAS (Maputo)
WUP # 5 and the Challenge of the MDGs (Attach. 0.1)

In most African cities the poor are not served by WSS utilities and have to rely on more costly and lower quality alternatives. As a rule water services organized as parastatal monopolies have, over the years, performed poorly and have not been able to keep pace with the rapid growth of the cities and urban populations. Extending WSS services into Africa’s fast growing unplanned settlements has also been constrained by inadequate policies, legal restrictions and high risks. The fact is that, in most African cities, the number of households not served by utilities is growing.

The MDGs for WSS (WSS/MDGs) express the global consensus on the need to recognize WSS services as a central element of strategies to fight poverty. The WSS/MDGs are a unique opportunity and a challenge as they require the doubling of the pace of extension of water services and trebling for sanitation. It is in the fast expanding informal settlements of African cities that the challenges of the WSS/MDGs will have to be met.

The basic message of WUP # 5 is that, in a context of weak municipal institutions, utilities will have to provide leadership and act as institutional anchors for policies and programs to improve WSS services to low-income communities. A well performing and financially sound utility is a necessary but insufficient condition for serving the urban poor. Hence the need for utilities to:

- undertake reform to break the cycle of inefficiencies, poor services, weak finance, deteriorating assets, etc.
- form partnerships with NGOs, CBOs, Small Scale Independent Providers (SSIPs) and municipal agencies to reach low-income communities.

The Toolkit and the Good Practice Document (Attach. 0.2)

The Toolkit and the GPD are the result of efforts carried out under the WUP # 5 project (funded largely by the EC) to developed guidance material for WSS services to low-income urban communities by drawing on the actual experience of African utilities.

The Toolkit and the GPD are intended for staff of utilities and public agencies as well as practitioners (NGOs and private operators), trainers, consultants. Their purposes are to highlight key issues and present a range of options for service delivery, regarding policy and legal aspects, customers and providers, level of service, and funding and cost recovery. The Toolkit also provides a wide range of references to tools and practices.

The GPD systematically presents the challenges: the guiding principles emerging and the practical lessons from the actual practices of African WSS utilities. The GPD is founded on the following key propositions:

- **Water supply:** The GPD argues that while the ultimate goal is to be able to provide a house connection for all, there is a need for less costly and more affordable options taking into account the role of small independent informal suppliers.
- **Sanitation:** The GPD stresses the need to improve domestic sanitation and to rely on on-site solution considering the high costs of sewer networks.
- **Policies and strategies:** The GPD points out that “policies matter”. Policies do not recognize informal settlements and in fact limit the ability of utilities to serve low-income communities. Progress at scale requires a coherent policy framework and a strategy to organize partnerships among local actors.

Objectives, Expectations and Program

The objectives of the Nairobi Workshop were

- To develop a good understanding of the structure and content of the Toolkit
- To identify learning and training needs of utilities related to WSS services to low-income communities
- To outline purpose, scope and methods for carrying out learning and training of utilities staff
- To assess how the Toolkit could be used in this regard
- To map the role of the ITN Centers in delivering such training.
These objectives have shaped the program of the Workshop (Annex 1) which ran over three days. The first two days were devoted to the review of the four themes of the Toolkit followed by working groups on relevance and use for training and guidance. The third day was focused on planning specific steps for the development of training material. The Workshop provided a platform for ITN and WSS utilities to recognize each others as strategic partners. These objectives are very much line with the expectations of the participants as summarized in Annex 3.A.

Working Groups were asked to consider the following set of questions for each of the four themes:

- Do you agree with the key findings of WUP # 5 ?
- What would you like to see added to the Good Practice Document and the Toolkit?
- What training do utilities need to improve services to the urban poor?
- How should this training be delivered (content, methods, focus)?
- How should the Toolkit help? How should it be used to develop a training program?

The Groups Reports are assembled in Annex 2 and summarized after the sections concerning the thematic sessions.

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**Main Issues and Guiding Principles (Attach. 1.1)**

The basic principles:
- the low-income communities have to be recognized as valid customers
- utilities need partners and informed customers

The first necessary step in extending WSS services to low-income communities is to understand the characteristics of these potential new customers:

- **The households:** demand, current methods of supply, income, precarity, capacity for savings, hygiene and sanitation awareness (typically low)
- **The informal settlements:** status, location, administrative services, trunk infrastructure, density, etc.
- **The low-income communities:** organizational capacity, structure, representation (usually poorly organized and fragmented), information and communication channels, NGOs and CBOs active in water and environmental health (typically many but uncoordinated)
- **Local governments and administrations:** formal structure typically grossly inadequate and ill equipped
- **Independent services providers:** service provided, costs, price, constraints, competition, linkages with trunk services
- **The utility:** institutional setting, capacity and constraints, strategies and programs in place, lessons scalability

**Country Case: Addis Ababa Community Managed Latrines (Attach. 1.2)**

The case of community latrines in Addis Ababa shows that improvement in household sanitation can be sustained within the framework of comprehensive community development programs. Latrines built and managed by households under a community development project have been effectively kept up and serviced after the project phase. Septage removal and repairs are supported by cross-subsidies from other community activities *inter alia* the sale of water from communal taps. The Addis Ababa WSS Authority provides technical support and linkages with trunk systems (water, septage disposal sites).

**Theme 2 : Policies and Legal Aspects**

**Main Issues and Guiding Principles**

While the WUP # 5 findings and the GPD and the Toolkit stress that "policy maters", the fact is that in most country sector policies are not directed in any particular way at issues related to serving the poor.
In fact they are generally framed with the interest and demand of the well-off and have, as reference, standards prevailing in developed countries. They predicate service delivery through public monopoly without separation of responsibilities for oversight, management and regulation. As a rule they do not provide the necessary framework for managerial autonomy and financial viability. Hence the need, in most countries, for new policy to introduce reform. Policies can be explicated in policy statement or remain without formal expression. Policies can be altered by the political office holders in charge.

Legislation is a binding expression of policies usually embodied in an Act of Parliament. Laws do not usually target specific groups in society, e.g. the poor, but can establish an enabling framework for reform and programs that are directed at the poor. The legal framework can only be revised by law and, as such can provide a measure of stability and comfort for investors and operators (private or community-based).

Laws are not meant to deal with details which should be left to regulations enacted by institutions designated by the laws. For example regulations dealing with SSIPs and with licensing requirements and procedures, etc.

**Country Case: Commercialization of Municipal Utility: Kisumu Water and Sewerage Company (Attach. 2.1)**

The case of KIWASCO (Kisumu Water and Sewerage Company) shows that, for a new autonomous commercial utility issued from a dysfunctional municipal WSS department, the first order of business is to set itself on a sound footing. Although KIWASCO is at an early stage of its institutional development, it is developing plans for sub-contracting water services for some of Kisumu informal settlements to independent operators which would retail water supplied in bulk by KIWASCO. The operators will be selected through a competitive process and assigned contractual objectives under the following three headings: (i) technical efficiency and production; (ii) financial management; and, (iii) customer services.

The questions and comments of the Participants on Themes 1 & 2 were directed to the following points:

- Utilities have to consider all their customers.
- The lack of legal status for CBOs limits their ability to enter into formal agreements with private operators.
- Sector policies should recognize the role of CBOs and informal service providers and provide a framework to develop partnerships with formal providers.
- Regulations directed at informal providers should focus primarily on water quality.
- Direct price regulation for small scale suppliers and resellers is elusive. Price fluctuations and rent seeking can be limited by competition and adequate and reliable supply from trunk systems.

**Session 3 - Theme: Funding and Cost Recovery Day 2, Tuesday Feb. 10, 2004**

**Main Issues and Guiding Principles (Attach. 3.1)**

Extending basic services to the urban poor, long considered a peripheral concern, is now recognized as a strategic goal and a matter of long term survival for utilities confronted with the prospect of playing an increasingly marginal role in sprawling cities. Utilities are the institutional anchor for urban WSS services. A well performing and financially sound utility is a condition necessary for extending services to the urban poor at scale. However it is not a condition sufficient as the utility needs to work in partnership with local actors (CBOs, SSIPs, NGOs) to overcome the constraints and the risks attached to the provision of services to unplanned low-income settlements.

The critical issue for tariff and cost recovery policy is to reconcile the imperative of financial viability with the provision of affordable basic services to low-income households. Cross-subsidies among different classes of customers are the only practical and sustainable option to fund basic lifeline services. In situations of low coverage, subsidies should go to access rather than consumption. The level of services has to be adapted to the demand (re. the Durban Case, Theme 4). The modalities of payment should recognize that poor households have difficulties in meeting relatively large periodic payments.
While recognizing that the Increasing Block Tariff (IBT) system is likely to remain the solution of choice in Africa, the GPD provides guidance to limit its drawbacks, pointing out the need to maintain incentives for the provider and to ensure that lifeline rates reach low-income households served through resellers and yard taps. The GPD highlights practices whereby cross-subsidies are earmarked for specific pro-poor programs and applied to "social connections" (Côte d'Ivoire, Sénégal) or the promotion of on-site sanitation.

Summing up:
- The balance between long-term financial sustainability and social and political considerations is a central element of sector reform.
- Cost recovery tariff helps all consumers, including the poor.
- In situations where poor are not served by the network, access is more important than low tariff.

Country Case: Chipata Town Token System (Attach. 3.2)

Since 1992, the Chipata Water and Sewerage Company (CWSC), a medium-size municipal utility, has piloted and then extended a cost recovery system for water kiosks based on the use of plastic tokens for payments. The system evolved as a response to problems encountered with initial kiosks operated on monthly user fee system. The token system has now been extended to 22 kiosks (17 full-time and 5 part-time) serving about 45,000 people in 5 compounds. The payment by volume through tokens has increased accountability and has given incentives to kiosk operators for providing good services.

The token are sold to consumers by the kiosk operators whose water consumption is metered and who pay the CWSC. The tariff for token, set by CWSC, is currently US$0.0024 for 10 liters (US$ 0.24 per m³) which is the lifeline rate. Kiosk attendant (predominantly women) are recruited by CWSC from within the community. The are given a one-year lease (in fact more a management contract) of the kiosk built and owned by CWSC.

The kiosk-and-token system has led to improvement in hygiene and upkeep. The utility operated kiosks is a viable option in situations where communities are not well organized. They provide a way for utility to initiate basic services to peri-urban settlements. Recurrent problems are: (i) attendants not able to account for the water consumed; (ii) delays in repairs; and, (iii) vandalism and theft (doors and roof sheets, now replaced by concrete slabs). In the future CWSC plans to move to a full lease whereby the attendants will be fully responsible for operation and collection.

Theme 4 : Levels of Services

Main Issues and Guiding Principles
- Levels of service must meet customer needs – unrealistic expectations have to be managed. Cases where utilities have succeeded in extending services to low-income communities show a willingness to innovate and to adapt the level of services to the demand and capacity of the users. Both water and sanitation should be considered.
- The basic principle is that the level of services needs to be affordable not only to the customers but also to the utility (which has to recover at least the direct O&M costs). The full pressure 24 hours house piped services is a long-term goal but, in many cases, not an option in the short and medium term.
- The meaningful involvement of the community is essential; gender issues and the role of women are easily overlooked. Effective involvement of the community through communication and consultations, is critical at the planning and construction stages (rights of way, trenching etc. as well as for operations (safe keeping and upkeep).
- Communication of options to communities is vital and must be done so as to achieve a good level of understanding: language, timing, etc. Information about existing levels of service within urban poor communities is often limited. Hence the importance of surveys and consultations.
- Political support is necessary for success - the "ladder" concept helps to gain political support. Need to offer more than just one service level for water and one for sanitation.
Country Case: Blantyre Water Board: Designing for Community Needs (Attach. 4.1)

The case concerns a project undertaken by the Blantyre Water Board (the Board) in 1996 to supply water to the Ndirande low-income community. The Board is a statutory body supposed to operate commercially without recurrent funding from the government. The Board has the mandate to provide water services throughout the city boundaries which include an increasing number of low-income communities in unplanned settlements.

In Malawi as in most African countries, there is no established policy guiding the supply of water and sanitation services to low-income urban communities. As a rule projects sponsored by NGOs and donors have encountered difficulties in sustaining themselves once project support is phased out.

The Ndirande project was launched as a joint initiative of UNICEF, the City of Blantyre and the Board. Well contamination issues lead to the choice of a scheme based on piped water supplied by the Board. The project was designed to serve a population of 29,000 through 60 kiosks for a total investment cost of about US$ 70,000 over a period of about 18 month.

Particular attention was paid to lower costs and to provide a level of services adapted to the preference of the customers especially women:

- Maximum walking distance was set at 500m in phase 1 and 250m in phase 2 to reduce physical strain from carrying filled buckets.
- Supports for the containers were incorporated in the design of the kiosks to alleviate the strain of lifting filled containers.
- The price per bucket was set at a level which was affordable and in fact subsidized through cross subsidies from high consumption users.
- Payment mechanisms were set on a weekly basis to avoid relatively large payment and recognize the limited capacity for accumulation.

The questions and comments of the Participants on Themes 3 & 4 showed a broad agreements on the principles and recommendations put forward in the GPD in particular:

- The need for level of services that are affordable and ensure the recovery of direct O&M cost supported by the utility.
- The importance of considering payment methods and kiosk management arrangements that provide incentive for good services and accountability.
- WUP # 5 emphasis on partnerships anchored in the utility as a critical factor for sustainability and development at scale.
- The importance of creating awareness from the side of politicians and communities on what options are effectively feasible. While a water tap in each house and a flush toilet are the top of the ladder, the ladder helps to explain the need for intermediate steps which represent a substantial improvement over the existing situations.

Summary of Reports from Thematic Working Groups (Annex 2) Day 1 & 2

**Question 1:** Do you agree with the key findings of WUP # 5?

- WUP # 5 findings are broadly accepted including the leadership role of utilities, although, in practice, few utilities have expansion of services to the poor as a strategic objective.

**Question 2:** What would you like to see added to the Good Practice Document and the Toolkit?

- Practices and guidance concerning hygiene and sanitation for unplanned settlements
- Links with water sector reform: PPP options, ownership of assets, legal framework, regulation, decentralization
- Definition and classification of the poor and related M&E framework
- Overall funding strategy for urban WSS services including linkages with PRSP and cross subsidies
Community involvement in planning especially women and children

Question 3: What training do utilities need to improve services to the urban poor?

- Advocacy directed at politicians and community leaders
- Practices and guidance on: (i) process aspects: consultation with stakeholders, communication strategy; and, (ii) tools and models for partnerships with CBOs and SSIPs
- Customers centered approaches and customers services including relational aspects as well as tools and models for demand assessment and surveys
- Benchmarking and monitoring framework and tools concerning services to the poor
- Institutional audit and checklists on factors constraining ability to serve the poor
- Analytical cost accounting of services to different classes of customers and levels of services
- Financing mechanisms for development of services to low-income communities
- Hygiene and sanitation initiatives to enhance health impact

Questions 4: How should this training be delivered (content, methods, focus)?

- ITN to assess training needs of utilities
- Marketing plan targeting utilities and partners
- Training linked with directed country-based action planning; e.g. consumer action plans
- Training directed at potential partners in addition to utilities
- Training of trainers at regional level
- Practices sharing and networking among utilities

Questions 5: How should the Toolkit help? How should it be used to develop training program?

- Toolkit to be used a reference document for practice based training
- Toolkit also to be used as background for action planning
- Training modules and methods to be adapted to audience

Session 4: Way Forward

Panel Discussion: The Role of Training in the Reform Process

Panel members and commentators agreed that training is an important component of utilities' drive to extend WSS services to the poor. Key points from the discussion:

Role of Training

- Effective training require pre-existing motivation and commitment.
- Training has to be conducted at the country/city level and needs to be linked with the various stage of the reform process: situation analysis, consensus building, goal setting and action planning, etc
- The utility have the lead role planning and organizing training related to WSS services to the poor.
- Training should extend to stakeholders beyond the utility staff.

Provision of Training

- ITNs and country-based training centers are best placed to develop training material and to deliver training.
- Starting point should be for the ITNs and interested utilities to assess training needs considering: (i) the overall objectives of the utility; (ii) what will training achieve; (iii) who is to be trained; (iv) form
and method of training: e.g. action planning in group of relevant stakeholders; skills acquisition (e.g. cost accounting, financial planning) by professional groups.

- Country-based training centers specialized in WSS should customize the material and integrate the theme of service to the poor in their programs.

- Utilities should develop in-house capacity to plan and organize training.

- ITNs and in cases of large countries, country centers should be involved in networking and practice evaluation and dissemination on a continuing basis.

**Working Groups on Way Forward for Utilities and for Training Institutions**

Utilities managers and representatives from ITNs were asked to map the way forward. Their questions were prefaced by the following statement summarizing the foundation for the Workshop:

“African WSS utilities are engaged in a reform process to improve their operation and strengthen their finance and expand their services to fast growing to low income communities. This process of change has to be supported by advocacy, awareness, outreach the new partners and training.

The WUP # 5 provides practice based guidance for this process based on the African utilities themselves. The GPD and the Toolkit make the material available”.

**A) Utilities**

**Question 1: What are the training needs to support the change process involving utilities, governments and partners?**

<table>
<thead>
<tr>
<th>Subject</th>
<th>Utility</th>
<th>Govt.</th>
<th>Partners</th>
<th>Action by</th>
</tr>
</thead>
<tbody>
<tr>
<td>Good understanding of GPD and Toolkit</td>
<td>X</td>
<td></td>
<td>X</td>
<td>Utilities</td>
</tr>
<tr>
<td>Consultation of stakeholders</td>
<td>X</td>
<td></td>
<td>X</td>
<td>Utilities</td>
</tr>
<tr>
<td>Ability to manage partnerships</td>
<td>X</td>
<td></td>
<td>X</td>
<td>Utilities</td>
</tr>
<tr>
<td>Coordination of different actors</td>
<td>X</td>
<td></td>
<td></td>
<td>Utilities + ITN</td>
</tr>
<tr>
<td>Communications</td>
<td>X</td>
<td></td>
<td>X</td>
<td>Utilities and partners</td>
</tr>
<tr>
<td>Operations and maintenance for partners</td>
<td>X</td>
<td></td>
<td>X</td>
<td>Utilities and partners</td>
</tr>
<tr>
<td>Educational and awareness campaigns</td>
<td>X</td>
<td></td>
<td>X</td>
<td>Utilities and partners</td>
</tr>
<tr>
<td>Contract management</td>
<td>X</td>
<td></td>
<td>X</td>
<td>Utilities and partners</td>
</tr>
<tr>
<td>Cost accounting</td>
<td>X</td>
<td></td>
<td></td>
<td>Utilities</td>
</tr>
<tr>
<td>Social marketing</td>
<td>X</td>
<td></td>
<td>X</td>
<td>Utilities and partners</td>
</tr>
</tbody>
</table>

**Question 2: Action plan? Next steps?**

<table>
<thead>
<tr>
<th>Subject</th>
<th>Utility</th>
<th>Govt.</th>
<th>Partners</th>
<th>Action by</th>
</tr>
</thead>
<tbody>
<tr>
<td>Good understanding of the GPD and Toolkit</td>
<td>X</td>
<td></td>
<td></td>
<td>Utilities</td>
</tr>
<tr>
<td>Identification of specific training needs of utilities</td>
<td>X</td>
<td></td>
<td></td>
<td>Utilities</td>
</tr>
<tr>
<td>Marketing</td>
<td>X</td>
<td></td>
<td>X</td>
<td>Utilities + ITN</td>
</tr>
<tr>
<td>Training</td>
<td>X</td>
<td></td>
<td>X</td>
<td>All + ITN</td>
</tr>
<tr>
<td>Feedback on training</td>
<td>X</td>
<td></td>
<td></td>
<td>Utilities + ITN</td>
</tr>
</tbody>
</table>
**Question 3:** Role of ITN centers? At regional level? At country level? Use of the Toolkit and GPD?

<table>
<thead>
<tr>
<th>At regional level</th>
<th>At country level</th>
</tr>
</thead>
<tbody>
<tr>
<td>- To deliver training</td>
<td>- Identification of specific needs of utilities</td>
</tr>
<tr>
<td>- To get feedback from the utilities</td>
<td>- To continue giving training</td>
</tr>
<tr>
<td>- Improvement of GPD and Toolkit</td>
<td>- To continue creating awareness</td>
</tr>
<tr>
<td>- Benchmarking</td>
<td>- Marketing of the GPD and Toolkit</td>
</tr>
<tr>
<td></td>
<td>- Benchmarking</td>
</tr>
</tbody>
</table>

- The Toolkit and GPD to be used as a reference and source material

**B) Training Centers**

**Question 1:** How ITN centers can support the change process involving utilities, governments and partners? At regional level? At country level?

**ITN support to Utilities**

**Effective marketing of the Toolkit and the GPD to the utilities:**
- Training courses/ Workshops
- Meetings, conferences, newsletters
- Regional events e.g. water fairs/ water week
- Advocacy: advocacy material with key messages flagged
- Use network to diffuse information on reform

**Question 2:** Action plan? Next steps? Who, what and when?

**Action Plan:**

<table>
<thead>
<tr>
<th>Action</th>
<th>Who</th>
<th>When</th>
<th>Resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identification and classification of utilities</td>
<td>ITN, WUP</td>
<td>By April</td>
<td>Finance, time</td>
</tr>
<tr>
<td>Synthesis of Toolkit and GPD</td>
<td>ITN</td>
<td>By March</td>
<td></td>
</tr>
<tr>
<td>Training needs assessments</td>
<td>ITN</td>
<td>June/July</td>
<td>1 week per utility</td>
</tr>
<tr>
<td>Design training courses</td>
<td>ITN, WSP, WUP</td>
<td></td>
<td></td>
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<tr>
<td>- Develop modules</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Customized/regional</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Workshop to finalize training material/ quality control</td>
<td>ITN, WSP, WUP</td>
<td>Oct./Nov.</td>
<td>Finances</td>
</tr>
<tr>
<td>TOT for utilities</td>
<td>ITN</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Market the Course/Advocacy</td>
<td>ITN, WUP</td>
<td>Start in June</td>
<td></td>
</tr>
<tr>
<td>Pilot Course</td>
<td>ITN</td>
<td>March</td>
<td></td>
</tr>
</tbody>
</table>

**Next Step:** Inventory of existing WATSAN utilities
- Already done in Kenya
- Classification
- What programs they have, policies strategies, etc
- Start with information already available in the GPD-9 utilities
**Question 3: What is the use of the Toolkit and GPD in this training program?**

**Use of the Toolkit**
- Toolkit and GPD to be used as reference material in production of training materials
- Toolkit to be adapted on the basis of feedback from ITNs and utilities.

**Session 5: Closing**

**Commitments from Participants (Annex 3.B)**

The commitments expressed by Utility Managers concern first and foremost the provision of *better services to the urban poor* either as a new initiative or as re-orientation and strengthening of existing programs. The second commitment is to share and disseminate the Toolkit and the GPD through their organization.

The commitments expressed by representatives from Training Centers focused primarily on forming *strategic partnerships with utilities* for the training of staff and stakeholders involved in WSS services to the poor. Training Centers also commit themselves to gain full understanding and familiarity with the Toolkit and the GPD and to disseminate them and promote their use. They also undertook to carry out a joint program with WUP and WSP to implement the recommendations of the Workshop.

**Concluding Remarks**

In the round of closing comments participants stressed:
- the role of the Workshop in bringing a better understanding of the special challenges involved in providing better WSS to the urban poor and highlighting the necessary leadership of utilities for progress at scale;
- the potential role of ITNs in helping WSS utilities to carry out the advocacy and the training needed for integrating the objective of better services to the poor in their policies and programs;
- the value of the Toolkit and the GPD as a source of advise for practitioners and a common reference for the development of training modules;
- the need to nurture and strengthen the emerging partnership between ITNs and WSS utilities starting with the implementation of the recommendations of the Workshop; and,
- the role of WUP and WSP in facilitating follow-up actions and continuing to disseminate and enrich the Toolkit and the GPD.

**Evaluation and Feedback**

**Evaluation and Comments (Annex 3.C)**

On the whole Participants rated the Workshop *slightly above very good* on a scale of 1 to 5 where 5 stands for excellent and 4 for very good.

"Relevance", "usefulness", "future reference" garnered the highest scores: 4.5/5. The lowest relative scores (3.5/5) went to "intensity" and "food".

The abundant comments added to the evaluation forms are summarized in Annex 3.C.

Comments related to the Workshop itself provide insights on what the participants found *most useful*: (i) working groups discussions, (ii) the bringing together of WSS utilities and ITNs; and, (iii) exposure to and understanding of the Toolkit and the GPD.

The main comments on things that *could have been better* are as follows:
- More participants should have received the Toolkit and the GPD ahead of the Workshop.
- More time should have been spent on the WUP #5 issues and basic findings.
- The campus like venue was too distant from the city center.
Most of the comments were directed at the follow-up to the Workshop with strong emphasis on the:
- Development of training modules.
- Partnership between ITNs and WSS utilities.
- Marketing of the Toolkit and the GPD especially with African WSS utilities.

Participants stressed the role of ITN Centers in particular the:
- Need for ITNs, WUP and WSP to work together to ensure the immediate follow-up.
- Importance of coordination and exchanges among ITN Centers.
- Role of ITNs as reference centers for collecting feedback and updating of the Toolkit.

Comments on specific themes concern essentially:
- expanding the coverage of hygiene and sanitation
- strengthening the treatment of policies and legal framework
- providing guidance on financing strategies and mechanisms

Feedback on the Toolkit (Annex 3.D)

The answers to the feedback questionnaires on the Toolkit generally reinforce the points arising from the above comments and commitments. They stress the usefulness and value of the Toolkit especially:
- the reliance on actual practices from African utilities
- the emphasis on service levels and customers relationships, financial policies and partnerships with community

The suggestions for further improvements concern primarily:
- sanitation, hygiene and environmental health
- financial strategies
- case studies for advocacy and communication
- development of a roadmap to plan and implement programs for serving the urban poor.
## Annex 1

**GOOD PRACTICES TO SERVE THE URBAN POOR
WORKSHOP FOR UTILITY MANAGERS AND TRAINING INSTITUTIONS**

### Workshop Program

*Kenya School of Monetary Studies*

*Nairobi – Kenya, February 9-11, 2004*

<table>
<thead>
<tr>
<th>DAY 1 February 9</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OPENING SESSION:</strong> Workshop Objectives and Program</td>
<td></td>
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<tr>
<td><strong>Chairperson:</strong> Dennis Mwanza</td>
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</tbody>
</table>
| **9:00 – 10:00** | - WUP Welcome, Dennis Mwanza, Managing Director, WUP  
- NETWAS Welcome, Samuel Wambua, Executive Director, NETWAS  
- WSP Welcome, Piers Cross, Regional Team Leader, WSP-AF  
- Opening Remarks, Eng. D.N. Stower, Director of Water Services MWRMD, Kenya  
- Objectives and Program of Workshop, Dennis Mwanza and Neil Macleod, Facilitator  |
| **10:00 – 10:30** | - WUP # 5: Background and Challenges, Dennis Mwanza  |
| **10:30 - 10:45** COFFEE-TEA BREAK |  |
| **10:45 – 11:30** | - WUP # 5: Presentation of WUP # 5 Products, Alain Morel, Urban Team Leader, WSP-AF and Nathalie Semoroz, Water and Sanitation Specialist, WSP-AF  |
| **11:30 – 12:30** | - Participants Expectations  
- Formation of Working Groups  |
| **12:30 – 2:00** LUNCH |  |
| **SESSION 2 :** Presentation and Discussion of Themes 1 & 2 |  |
| **Facilitator: Neil Macleod** |  |
| **14:00 – 14:45** Theme 1: Customers and Providers |  |
| - Main Issues and Options, Alain Morel, Urban Team Leader, WSP-AF  
- Case: Communal Latrines in Addis Ababa, Ato Tadese Kebede  
- Toolkit Content and Structure  
- Questions for the Working Groups |  |
| **14:45 – 15:30** Theme 2: Policies and Legal Aspects |  |
| - Main Issues and Options, Albert Mumma, Institutional Specialist, WSP-AF  
- Case: KIWASCO Institutional Strategy (Kisumu, Kenya), Gordon Olando  
- Toolkit Content and Structure  
- Questions for the Working Groups |  |
| **15:30 – 16:00** COFFEE-TEA BREAK |  |
| **16:00 – 18:00** Group Work: Theme 1: Customer and Providers  
Theme 2: Policies and Legal Aspects |  |
| Working Groups Reports Themes 1 & 2 |  |
### DAY 2 February 10

#### SESSION 3: Presentation and Discussion of Theme 3 & 4
*Facilitator: Neil Macleod*

<table>
<thead>
<tr>
<th>Time</th>
<th>Topic</th>
</tr>
</thead>
</table>
| 8:30 – 9:30 | Theme 3: Funding and Cost Recovery  
- Main Issues and Options, Jean Doyen, Consultant, WSP-AF  
- Case: Zambia Chipata Town Token System, Chipogo Tawulu Changula  
- Toolkit Content and Structure  
- Questions for Working Groups |
| 9:30 – 10:30 | Theme 4: Levels of Services  
- Main Issues and Options, Neil Macleod, Durban Metro  
- Case: Malawi, Blantyre Peri-Urban Zambia Chipata Town Token System, Patrick Mkonyola  
- Toolkit Content and Structure  
- Questions for Working Groups |
| 10:30 – 11:00 | COFFEE-TEA BREAK                                                                 |
| 11:00 – 13:00 | Group Work:  
- Theme 3: Customer and Providers  
- Theme 4: Policies and Legal Aspects  
- Working Groups Reports Themes 3 & 4 |
| 13:00 – 14:00 | LUNCH                                                                                     |

#### DAY 3 February 11

#### SESSION 4: Way Forward
*Facilitator: Neil Macleod*

<table>
<thead>
<tr>
<th>Time</th>
<th>Topic</th>
</tr>
</thead>
<tbody>
<tr>
<td>8:15 – 8:30</td>
<td>Summary of Day 1 and 2, Jean Doyen, WSP-AF</td>
</tr>
</tbody>
</table>
| 8:30 – 9:15 | - Panel Discussion: The Role of Training in the Reform Process  
- Summary by Facilitator and Questions for Working Groups |
| 9:15 – 10:30 | Group Work:  
- Group 1: Way forward for Utilities  
- Group 2: Way forward for Training Institutions |
| 10:30 – 11:00 | COFFEE-TEA BREAK                                                                 |

#### CLOSING SESSION: Conclusions and Next Steps
*Chairperson: Dennis Mwanza*

<table>
<thead>
<tr>
<th>Time</th>
<th>Topic</th>
</tr>
</thead>
</table>
| 11:00 – 12:00 | Working Groups Presentations and discussion  
- Review of Participants Commitments  
- Participants feedback and evaluation  
- Conclusion and next steps  
- Closing Remarks |
<p>| 13:00 – 14:30 | LUNCH                                                                                     |</p>
<table>
<thead>
<tr>
<th>Theme 1: Customers and Providers</th>
<th>Theme 2: Policies and Legal Framework</th>
<th>Theme 3: Financing and Cost Recovery</th>
<th>Theme 4: Levels of Services</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Additions</strong></td>
<td><strong>Key Findings</strong></td>
<td><strong>Additions</strong></td>
<td></td>
</tr>
<tr>
<td>• &quot;Customer&quot; term not appropriate</td>
<td>• Financial sustainability of the organization</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• &quot;Stakeholder&quot; is more appropriate</td>
<td>• Utilities have a leading role to play</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Hygiene</td>
<td>• Need to reconcile financial viability &amp; pricing that is affordable for low income</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Environmental, Sanitation</td>
<td>• Communities should be involved in tariff setting.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Current &amp; future ownership of Water &amp; Sanitation assets (public vis private vis taking over)</td>
<td>• Government to be involved in funding investment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Awareness on Role &amp; Responsibilities of utilities &amp; partners</td>
<td>• Funding Strategy for WSS Sector</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Source Development policy, &amp; regulation</td>
<td>• Funding mechanisms &amp; incentives for expansion of WSS in LIC (low-income communities)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Define, and classify the poor</td>
<td>• Overall funding strategy to the WSS Sector</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Recognition of role of private sector service providers in the legal framework</td>
<td>• Asset Ownership</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Provide best practices criteria of appointing and revoking licenses of private operators</td>
<td>• Decentralization</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Mitigate between government policy and utility policy (encourage mechanism like cross subsidies, targeted subsidy)</td>
<td>• Combination of Utilities &amp; funding from NGO’s and Local Authorities Targeted funds (subsidies)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Government Subsidies are necessary in the provision of water as a social good.</td>
<td>• Linkages to the overall PRSP (poverty alleviation) strategies + Govt. policies &amp; long term strategies.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Water utilities policies on water operators providing services in there region</td>
<td>• Funding for Sanitation needs as equal emphasis as water supply</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Develop an investment policy, business plan, to deal with expansion (quality, quantity)</td>
<td>• Community Involvement- they should be involved from the planning stage</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Water demand is far higher than service provision we need to create enabling policy to hasten investment</td>
<td>• Involve the women, youth and children in choosing the level of service and issues relating to management.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Regulation of independent service providers – quality, quantity, investment</td>
<td>• Checklist needs to be formulated of actions to take place in selecting and implementing levels of service</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• The Toolkit and GPD contain most of the relevant options</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Dry sanitation to be added as well (ECOSAN). This however needs to be fully developed as it is still under research</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Health and hygiene education awareness (Where in the Toolkit should it be added?)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Theme 1: Customers and Providers</td>
<td>Theme 2: Policies and Legal Framework</td>
<td>Theme 2: Financing and Cost Recovery</td>
<td>Theme 4: Levels of Services</td>
</tr>
<tr>
<td>---------------------------------</td>
<td>-----------------------------------</td>
<td>-----------------------------------</td>
<td>--------------------------</td>
</tr>
<tr>
<td>What training do Utilities need in order to improve services to the urban poor?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Consultation of stakeholders</td>
<td>• Review and update institutional mandates to encompass pro poor issues</td>
<td>• Cost accounting, analysis of services rendered by utilities</td>
<td>For their staff</td>
</tr>
<tr>
<td>• Ability to manage partnerships</td>
<td>• Include human resource development to include pro poor issues</td>
<td>• Awareness and training to motivate top leadership (politicians) and utilities to recognize mandate of utilities.</td>
<td>• How to disseminate information to the communities in a way that the community will understand.</td>
</tr>
<tr>
<td>• Coordination of different actors</td>
<td>• Develop training for utilities to train &amp; deal with small scale private service</td>
<td>• Appropriate technology solutions and necessity of setting up demonstration units of possible solutions for communities to emulate.</td>
<td>• How to check for competence after dissemination of this information.</td>
</tr>
<tr>
<td>• Communications</td>
<td>• Customer services are very weak and need training</td>
<td>• Exchange of practice and networking between utilities</td>
<td>• Instructional techniques.</td>
</tr>
<tr>
<td>• Preventive maintenance for Partners</td>
<td>• Training on participatory approaches</td>
<td>• Financing mechanism for partnerships</td>
<td>• Portions of the Toolkit should be printed and given to the relevant members of staff.</td>
</tr>
<tr>
<td>• How to conduct education and awareness campaigns</td>
<td>• Train utilities, politician on IWRM</td>
<td></td>
<td>• Community benchmarking- giving community’s tools to measure the performance of the service</td>
</tr>
<tr>
<td>• Contract management</td>
<td>• Train Community centred public relation</td>
<td></td>
<td>For their partners (Politicians and the Communities)</td>
</tr>
<tr>
<td></td>
<td>• Train on commercial business like working manner</td>
<td>• How to conduct education</td>
<td>• Communities need to know the levels of service available</td>
</tr>
<tr>
<td></td>
<td>• Train on customer oriented approach</td>
<td>Train on commercial business like working manner</td>
<td>• Benefits and problems of each option</td>
</tr>
<tr>
<td></td>
<td>• Use of appropriate communication channels and medium</td>
<td>• Train on customer oriented approach</td>
<td>• Comparative costs of each option for them to make an informed choice</td>
</tr>
<tr>
<td></td>
<td>• Train on participatory demand assessment</td>
<td>• Use of appropriate communication channels and medium</td>
<td>• Link to health benefits</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Train on participatory demand assessment</td>
<td><strong>Who should train communities – utility or someone else?</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Utility to provide information to a training organization to disseminate to the community (Training needs analysis)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Politicians need to be discussed with and not trained (though, they may need to be attracted by an incentive).</td>
</tr>
<tr>
<td>Theme 1: Customers and Providers</td>
<td>Theme 2: Policies and Legal Framework</td>
<td>Theme 2: Financing and Cost Recovery</td>
<td>Theme 4: Levels of Services</td>
</tr>
<tr>
<td>---------------------------------</td>
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</tr>
<tr>
<td><strong>Training Action Plan (Content, Focus, Methods)</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Communication</td>
<td>- Development of a marketing plan to utilities &amp; partners</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Stakeholders management</td>
<td>- Develop criteria of appointment to Water boards and minimise political influence</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Technical, financial and social capacity development based on their roles</td>
<td>- Target politicians and policy makers with pro poor issues.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Conflict resolution and management</td>
<td>- Develop and training on market surveys</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- ITN to assess training need of utilities and partners</td>
<td>- Develop training on institutional &amp; management issues</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- ITN to assess training need of utilities and partners</td>
<td>- Require utilities to budget for training</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>How To Use the Toolkit? How can the Toolkit Help? How should it be used to develop a training program?</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- ITNs can use the Toolkit in their trainings</td>
<td>- Go right down to communities and eventually develop consumer action plans</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- At utilities fora</td>
<td>- Simplification, adaptation of the training module to different target groups</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- To prepare training modules</td>
<td>- Background for practice based training</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Background for practice based training</td>
<td>- Tool to facilitate reflection</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Tool to facilitate reflection</td>
<td>- Reference document (for practitioners, trainers and consultants)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Reference document (for practitioners, trainers and consultants)</td>
<td>- Training needs assessment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Training needs assessment</td>
<td>- Use the Toolkit as a guide (source) and adapt it to suit local conditions.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Use the Toolkit as a guide (source) and adapt it to suit local conditions.</td>
<td>- What type of training should be used for different partners/stakeholders?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- What type of training should be used for different partners/stakeholders?</td>
<td>- Matching the methods of instruction style to the recipients.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Matching the methods of instruction style to the recipients.</td>
<td>- Evaluation of the impact/effectiveness of the training</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Evaluation of the impact/effectiveness of the training</td>
<td>- The Toolkit can be used as a resource for training material/content for training</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Experience</td>
<td>Practical methods for the urban poor</td>
<td>Cost recovery</td>
<td>Utilities strategy</td>
</tr>
<tr>
<td>------------</td>
<td>----------------------------------</td>
<td>--------------</td>
<td>-------------------</td>
</tr>
<tr>
<td>- Have a broader understanding on how to disseminate information to communities</td>
<td>- Practical methods of providing WSS to extremely densely populated settlements</td>
<td>- Practical cost and recovery methods</td>
<td>- How to manage the utilities to provide water and sanitation to the urban poor (low income group)</td>
</tr>
<tr>
<td>- Experience</td>
<td>- Solution of challenges of service provision to the poor</td>
<td>- Best practices for cost recovery using the Toolkit</td>
<td>- How to determine reasonable tariff</td>
</tr>
<tr>
<td>- Learn about feasible, practical and most cost effective solutions/approaches in delivering WSS services to the urban poor</td>
<td>- How to achieve cost recovery while providing adequate service to the urban poor</td>
<td>- How to achieve cost recovery while providing adequate service to the urban poor</td>
<td>- Understand the needs of utilities for training to better serve the urban poor</td>
</tr>
<tr>
<td>- Practical methods to provide adequate service to the urban poor</td>
<td>- To learn the various funding methods for the services to the poor and how to recover the costs</td>
<td>- How to obtain funds for the project. Better way for customers to pay for sustainable service</td>
<td>- Agree on the training needs of utilities to serve the poor</td>
</tr>
<tr>
<td>- To understand what are the best practices in provision of water (clean) and sanitation</td>
<td>- How to influence policy makers to improve services to the urban poor, in terms of quality and coverage</td>
<td>- How to get funds for the project. Better way for customers to pay for sustainable service</td>
<td>- Understand the contents and how they can be used in a utility</td>
</tr>
<tr>
<td>- How to influence policy makers to improve services to the urban poor, in terms of quality and coverage</td>
<td>- To help small scale providers to be taken into account by the other stakeholders in the provision of services to the urban poor</td>
<td>- To get ways to finance water supply for the urban poor keeping in mind the necessary WSP profit</td>
<td>- Know my customers better and ways of providing better services to them</td>
</tr>
<tr>
<td>- How to influence policy makers to improve services to the urban poor, in terms of quality and coverage</td>
<td>- To help small scale providers to be taken into account by the other stakeholders in the provision of services to the urban poor</td>
<td>- To get ways to finance water supply for the urban poor keeping in mind the necessary WSP profit</td>
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</tr>
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<td>- To get ways to finance water supply for the urban poor keeping in mind the necessary WSP profit</td>
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</tr>
<tr>
<td>- How to influence policy makers to improve services to the urban poor, in terms of quality and coverage</td>
<td>- To help small scale providers to be taken into account by the other stakeholders in the provision of services to the urban poor</td>
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<td>- Know my customers better and ways of providing better services to them</td>
</tr>
<tr>
<td>- How to influence policy makers to improve services to the urban poor, in terms of quality and coverage</td>
<td>- To help small scale providers to be taken into account by the other stakeholders in the provision of services to the urban poor</td>
<td>- To get ways to finance water supply for the urban poor keeping in mind the necessary WSP profit</td>
<td>- Know my customers better and ways of providing better services to them</td>
</tr>
<tr>
<td>UTILITIES</td>
<td>ITN</td>
<td></td>
<td></td>
</tr>
<tr>
<td>-----------</td>
<td>-----</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Awareness (3)</td>
<td>(*)</td>
<td>Improve WSS to the urban poor (5)</td>
<td>Training (6)</td>
</tr>
<tr>
<td>Understanding of the products and use (2)</td>
<td>Awareness among colleagues (5)</td>
<td>Utilities:</td>
<td></td>
</tr>
<tr>
<td>Improvement of the Toolkit (1)</td>
<td>(+)</td>
<td>To involve utilities as major partners in my work</td>
<td></td>
</tr>
<tr>
<td>- Bring awareness on the existence of the Toolkit and GPD to other utilities in the country and their uses in provision of services to the urban poor</td>
<td>- Consult the two products and give feedback to colleagues</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- I will involve all the levels of my management team to understand the GPD and Toolkit and employ its contents in day to day running of utilities</td>
<td>- To plan for training and inform other colleagues</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- I will make both the Toolkit and GPD available to members of my organization</td>
<td>- To organize a meeting with my colleagues on the Toolkit and GPD</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- I commit to do what ever is possible to improve the service provision to the urban poor</td>
<td>- I will organize an internal meeting within my organization to make everybody aware of the main findings of the Workshop and importance to our organization</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Try to improve the provision of water and sanitation service to the urban poor</td>
<td>- Dispatch the information next to other programs of the existence of the GPD and Toolkit</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- To come up with needs of the utility in terms of training to better address the challenges of service provision to the urban poor</td>
<td>General:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- To use the Toolkit to plan for better services</td>
<td>- Understand the Toolkit, market it and use it to develop training program</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Revisit my action plan for implementing the urban poor project to improve outputs / deliverables</td>
<td>- Develop a training module</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* Asterisk indicates commitments with a high priority; plus indicates commitments with a moderate priority; parentheses indicate commitments with a low priority.
Annex 3C: Participants Evaluation and Comments

Response to Evaluation Questionnaires (26 answers)

Score: 5 = excellent, exceeded expectations
4 = very good, fully met expectations
3 = good, met expectations
2 = poor, below expectations
1 = inadequate, expectations not met

PART A: Global evaluation

<table>
<thead>
<tr>
<th>Theme</th>
<th>Mean score</th>
<th>% score 4 or 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interest</td>
<td>4.4</td>
<td>96</td>
</tr>
<tr>
<td>Pace/tempo</td>
<td>3.8</td>
<td>56</td>
</tr>
<tr>
<td>Difficulty</td>
<td>3.8</td>
<td>63</td>
</tr>
<tr>
<td>Organization</td>
<td>4.3</td>
<td>85</td>
</tr>
<tr>
<td>Intensity</td>
<td>3.6</td>
<td>44</td>
</tr>
<tr>
<td>Mean</td>
<td>4.0</td>
<td>69</td>
</tr>
</tbody>
</table>

PART B: Detailed evaluation

<table>
<thead>
<tr>
<th>Question</th>
<th>Mean score</th>
<th>% score 4 or 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Relevance of this Workshop to your current work or functions</td>
<td>4.7</td>
<td>96</td>
</tr>
<tr>
<td>2. I received valuable insights, models and suggestions for my area of work</td>
<td>4.0</td>
<td>77</td>
</tr>
<tr>
<td>3. Usefulness for you of the information that you have acquired</td>
<td>4.4</td>
<td>92</td>
</tr>
<tr>
<td>4. Is this Workshop useful to increase collaboration with:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• WSP Africa/WUP</td>
<td>4.5</td>
<td>96</td>
</tr>
<tr>
<td>• Water Utilities/ITN</td>
<td>4.5</td>
<td>100</td>
</tr>
<tr>
<td>5. Extent to which the content of this Workshop matched your objectives</td>
<td>4.2</td>
<td>88</td>
</tr>
<tr>
<td>6. Overall usefulness of this Workshop:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Plenary sessions</td>
<td>4.2</td>
<td>88</td>
</tr>
<tr>
<td>• Working groups</td>
<td>4.4</td>
<td>88</td>
</tr>
<tr>
<td>• Field trip</td>
<td>4.3</td>
<td>82</td>
</tr>
<tr>
<td>7. The Workshop presentations were valuable and focused</td>
<td>4.2</td>
<td>88</td>
</tr>
<tr>
<td>8. The Workshop will be a useful reference to me in the future</td>
<td>4.5</td>
<td>96</td>
</tr>
<tr>
<td>Mean</td>
<td>4.3</td>
<td>90</td>
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</tbody>
</table>

PART C: Workshop venue

<table>
<thead>
<tr>
<th>Theme</th>
<th>Mean score</th>
<th>% score 4 or 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Venue</td>
<td>4.4</td>
<td>88</td>
</tr>
<tr>
<td>Facilities</td>
<td>4.6</td>
<td>96</td>
</tr>
<tr>
<td>Accommodation</td>
<td>4.4</td>
<td>81</td>
</tr>
<tr>
<td>Food</td>
<td>3.5</td>
<td>40</td>
</tr>
<tr>
<td>Response to requests</td>
<td>4.1</td>
<td>83</td>
</tr>
<tr>
<td>Mean</td>
<td>4.2</td>
<td>78</td>
</tr>
</tbody>
</table>
### 1. On the Workshop

#### 1.A MOST USEFUL

<table>
<thead>
<tr>
<th>Activity</th>
<th>Times mentioned</th>
</tr>
</thead>
<tbody>
<tr>
<td>Working groups discussions</td>
<td>8</td>
</tr>
<tr>
<td>Understanding and use of the GPD and the Toolkit:</td>
<td>7</td>
</tr>
<tr>
<td>- The Toolkit itself was interesting and contained condensed topics.</td>
<td></td>
</tr>
<tr>
<td>- Specific chapters in the Toolkit e.g. working with communities, contracts, etc.</td>
<td></td>
</tr>
<tr>
<td>- Awareness on the existence of the huge information in the Toolkit and GPD</td>
<td></td>
</tr>
<tr>
<td>- Understanding of the Toolkit for use as reference to solve problems</td>
<td></td>
</tr>
<tr>
<td>- New insights and ideas on issues that apply to water service delivery to the urban poor</td>
<td></td>
</tr>
<tr>
<td>Partnership, exchanges of views, networking</td>
<td>6</td>
</tr>
<tr>
<td>- Matching of ITNs and utilities in strategic partnership</td>
<td></td>
</tr>
<tr>
<td>- The ability to interact with other water utility personnel and ITNs.</td>
<td></td>
</tr>
<tr>
<td>- Exchange of ideas and experiences on serving the urban poor</td>
<td></td>
</tr>
<tr>
<td>- The involvement of ITN centers and utilities to discuss about the Toolkit and GPD</td>
<td></td>
</tr>
<tr>
<td>Action plan, way forward</td>
<td>5</td>
</tr>
<tr>
<td>- The action plan is ambitious and need to be tone it down to realistic and achievable targets.</td>
<td></td>
</tr>
<tr>
<td>- Clarity on Toolkit &amp; GPD and desire by ITN/utilities to take it forward</td>
<td></td>
</tr>
<tr>
<td>Field visit</td>
<td>2</td>
</tr>
<tr>
<td>- Lessons on the commitment is needed to alleviate the urban poor.</td>
<td></td>
</tr>
<tr>
<td>- Very experiential and interesting.</td>
<td></td>
</tr>
<tr>
<td>The focus on WSS services to the urban poor</td>
<td>4</td>
</tr>
<tr>
<td>- Useful in understanding the complexity of WSS service provision for the urban poor</td>
<td></td>
</tr>
<tr>
<td>- Introducing WSS for urban poor for ITN as well as utilities</td>
<td></td>
</tr>
<tr>
<td>Specific presentations</td>
<td>2</td>
</tr>
<tr>
<td>- Policies and legal aspects (looking forward to PP)</td>
<td></td>
</tr>
<tr>
<td>- Customers and providers very useful and insight full</td>
<td></td>
</tr>
</tbody>
</table>

#### 1.B LEAST USEFUL

<table>
<thead>
<tr>
<th>Activity</th>
<th>Times mentioned</th>
</tr>
</thead>
<tbody>
<tr>
<td>General remarks</td>
<td>3</td>
</tr>
<tr>
<td>- Everything to me was very useful.</td>
<td></td>
</tr>
<tr>
<td>Specific items</td>
<td>5</td>
</tr>
<tr>
<td>- Group organization work</td>
<td></td>
</tr>
<tr>
<td>- Recap of previous activities during workshop proceedings</td>
<td></td>
</tr>
<tr>
<td>- Presentations of the Toolkit on the beamer too fast and not informative</td>
<td></td>
</tr>
<tr>
<td>- The field trip</td>
<td></td>
</tr>
</tbody>
</table>

#### 1.C OTHER COMMENTS AND SUGGESTIONS

<table>
<thead>
<tr>
<th>Activity</th>
<th>Times mentioned</th>
</tr>
</thead>
<tbody>
<tr>
<td>General comments:</td>
<td>9</td>
</tr>
<tr>
<td>- To the organizers: well done!</td>
<td></td>
</tr>
<tr>
<td>- The Workshop was well/professionally organized (3)</td>
<td></td>
</tr>
<tr>
<td>- Presentations were focused</td>
<td></td>
</tr>
<tr>
<td>- Very useful forum, WSP indeed should do more of this</td>
<td></td>
</tr>
<tr>
<td>- Kenya people are very friendly, social and very helpful</td>
<td></td>
</tr>
<tr>
<td>Preparation, Timing and Program</td>
<td>9</td>
</tr>
<tr>
<td>- Documents (i.e. program, Toolkit and GPD) should have been sent earlier to allow preparation and fuller participation and stronger commitment to follow-up</td>
<td></td>
</tr>
<tr>
<td>- More time in establishing common understanding of the WUP # 5 issues and basic findings</td>
<td></td>
</tr>
<tr>
<td>- The program was very tight</td>
<td></td>
</tr>
<tr>
<td>- Time for the group discussions on the way forward was not enough.</td>
<td></td>
</tr>
<tr>
<td>- Increase time for workshop to 5 days for more discussion and other work</td>
<td></td>
</tr>
</tbody>
</table>
2. On the Way Forward

### 2.A PRIORITIES FOR FOLLOW-UP

<table>
<thead>
<tr>
<th>Action plan, way forward</th>
<th>Times mentioned</th>
</tr>
</thead>
<tbody>
<tr>
<td>Action plan should be followed up (4)</td>
<td>13</td>
</tr>
<tr>
<td>Monitor and support follow-up by ITNs, Utilities, WUP and WSP-AF (3)</td>
<td></td>
</tr>
<tr>
<td>The ITN to take a lead role in the follow-up (2)</td>
<td></td>
</tr>
<tr>
<td>Responsibilities for follow-up should be clarified</td>
<td></td>
</tr>
<tr>
<td>WUP to disseminate workshop proceedings to participant countries</td>
<td></td>
</tr>
<tr>
<td>Creating awareness amongst stakeholders</td>
<td></td>
</tr>
<tr>
<td>The issues of financial resources for the planned activities</td>
<td></td>
</tr>
<tr>
<td>Training needs, development of training modules</td>
<td>16</td>
</tr>
<tr>
<td>Develop training modules for utilities and partners (4) with coordination among ITNs</td>
<td></td>
</tr>
<tr>
<td>Develop training program based on the Toolkit (4)</td>
<td></td>
</tr>
<tr>
<td>Identify the special needs of utilities</td>
<td></td>
</tr>
<tr>
<td>Develop methodology on training needs assessments</td>
<td></td>
</tr>
<tr>
<td>Carry out Training of trainers by ITNs (e.g. workshop) (4)</td>
<td></td>
</tr>
<tr>
<td>Pilot training courses at national/regional levels</td>
<td></td>
</tr>
<tr>
<td>Identify and classify utilities where we can train people</td>
<td></td>
</tr>
<tr>
<td>Reach out to other utilities and educating them on the Toolkit and GPD</td>
<td></td>
</tr>
<tr>
<td>Update of Toolkit and GPD</td>
<td>10</td>
</tr>
<tr>
<td>Use ITNs as referral centers for Toolkit and other materials</td>
<td></td>
</tr>
<tr>
<td>Get feedback from utilities to further improve and refine the GPD and the Toolkit (2)</td>
<td></td>
</tr>
<tr>
<td>Develop simplified and user-friendly Toolkit adapted to specific stakeholders (2)</td>
<td></td>
</tr>
<tr>
<td>Improve and update the Toolkit and the GPD (3); more comprehensive; real Toolkit (roadmap?)</td>
<td></td>
</tr>
<tr>
<td>Translate in French and Portuguese</td>
<td></td>
</tr>
<tr>
<td>Specific technical themes suggested for expansion/update</td>
<td>9</td>
</tr>
<tr>
<td>Health and sanitation (3)</td>
<td></td>
</tr>
<tr>
<td>Policy and legal framework (3)</td>
<td></td>
</tr>
<tr>
<td>Financial sustainability, funding and cost recovery, according to service levels (3)</td>
<td></td>
</tr>
<tr>
<td>Technical capacity in operation and maintenance</td>
<td></td>
</tr>
<tr>
<td>Levels of service in low income communities</td>
<td></td>
</tr>
<tr>
<td>Environmental issues</td>
<td></td>
</tr>
<tr>
<td>Promotion of GPD and Toolkit</td>
<td>10</td>
</tr>
<tr>
<td>WUP, ITNs to develop marketing/communication strategy to promote and encourage use of</td>
<td></td>
</tr>
<tr>
<td>Toolkit and GPD (7) especially with Government, politicians and other partners</td>
<td></td>
</tr>
<tr>
<td>Making the GPD &amp; Toolkit available to more utilities all over Africa and the other regions</td>
<td></td>
</tr>
<tr>
<td>Develop fund raising strategy for use of Toolkit and commitment by governments/partners</td>
<td></td>
</tr>
<tr>
<td>Explore areas of e-dissemination to area not adequately (IT) covered</td>
<td></td>
</tr>
<tr>
<td>Implementation of GPD and Toolkit</td>
<td>6</td>
</tr>
<tr>
<td>To familiarize ourselves with and understand the Toolkit (2)</td>
<td></td>
</tr>
<tr>
<td>Utilities and partners to use of GPD and Toolkit as guideline to develop strategies and solve problems (2)</td>
<td></td>
</tr>
<tr>
<td>Networking</td>
<td>3</td>
</tr>
<tr>
<td>Networking of utilities and ITNs (3)</td>
<td></td>
</tr>
</tbody>
</table>
2.B WAY FORWARD (SAMPLES)

- I fear that this may be the end of the process: does WUP & WSP have the funding to carry the process forward?
- The WSS in the vulnerable areas of towns should be taught as being a compulsory activity of the global mission of WSS utility. For that purpose the approach of this theme should pass by the general issue of WSS with the utilities, then getting into the details of the WSS for the urban poor.
- I have learned a lot from the Workshop and would very much like to be involved in development of material and other facets of the project.
- Utilities should more take into account sanitation aspects and SSIPs.
- This was a very useful workshop and please keep us updated on events etc.
- Let's produce training materials soon.
Annex 3D: Participants Feedback on the Toolkit

"WUP Toolkit – A Practitioner’s Companion
Reaching the Urban Poor in Africa"
Nairobi Workshop, Feb. 2004

Feedback from Participants (15 answers)

1. How did you first learn about this Toolkit?
   - ‘Word-of-mouth’ from professional colleagues ........................................................ 5
   - WUP website ........................................................................................................ 3
   - Other way: involvement in WUP Phase 1 to 3; emails from colleagues; discussions with Mukami Kariuki and Dennis Mwanza ......................................................... 2
   - WSS sector publication (print or electronic) (WSP) ........................................................ 1

2. Did the Toolkit provide you with new ideas or knowledge on how to better serve the urban poor?
   Yes: 14  No: 0
   Most useful idea or lesson learned?
   - Need to adapt service delivery and levels of service to urban low income group (5)
   - Careful analysis of tariff, cost recovery and funding/financing mechanisms (3)
   - Importance of partnerships with the communities (2)
   - Importance of policy, legal, institutional reform in the WSS sector to serve the urban poor
   - Information dissemination and situation analysis of service to urban poor.

3. Was the knowledge in this Toolkit relevant to your work in your country or organization?
   Yes: 14  No: 0
   What made the Toolkit relevant?
   Overall
   - Good background and references on the different options (4)
   - Case studies can be adapted to local situations
   - Step by step approach on both engineering and social issues
   - Defining entry points in providing services to informal settlements
   Themes
   - Customers handlings and relationship of utilities to the customers (2)
   - Policies and the legal framework for their implementation (2)
   - Financing and cost recovery in poor urban areas (2)
   - Levels of service to the urban poor (low income)
   - Emphasis on the role of communities

4. Did the Toolkit result in changes in your WSS programs?
   Yes: 7  No: 4
   Most important change?
   - Programs will be adjusted in order to improve the delivery of services to low income urban group (5)
   - Revision of content of my training programs.
   - Lessening on the rigidity of methods of water supply to the urban poor
   - More attention to information sharing, awareness and involvement and recognition of the role of communities

5. Have you use the Toolkit to design WSS program to better serve the urban poor?
   Yes: 4  No: 8
**Most useful tool:**

**Themes**
- Technical standards and guidelines
- Customers and providers
- Policy and legal aspects
- Funding and cost recovery
- Options for services: guiding principles, funding mechanisms
- Level of service (2) - technical standards and guidelines

**Overall**
- The whole Toolkit (4)
- Case studies to be used for advocacy of better strategies (2)
- Particularly useful for training material (2) - Used to design training on sustainability, cost recovery and management for sustainability (2)

6. **Anything missing from the Toolkit? Suggestions for improving it.**

**Themes**
- Sanitation, hygiene and environmental health (possibly as separate toolkit) (6) (Dry) sanitation (2) and hygiene education (3)
- Funding mechanisms and cost recovery options (2) - Links between the financing of water and sanitation under two different organizations
- Institutional arrangements to serve the urban poor
- Local level initiatives need to be captured more; future "community friendly Toolkit"?

**General**
- Roadmap for services to the urban poor (2)
- Guidelines for training needs assessments and training modules
- Good comprehensive reference document; usefulness would be enhanced by summarized version for easy handling by utilities.

7. **Organization that might benefit from the Toolkit?**
- The Directorate of Water Development, P.O. Box 2002, Kampala, Uganda
- Program Manager, WUASP, P.O. Box 663, Machakos, Kenya
- Plan International Zimbabwe
- City of Harare
- Other Water Boards in Malawi
- Water Development Ministry in Malawi
- Nkana Water & Sewerage Company, Kitwe, Zambia
- Southern Water & Sewerage Company, Choma, Zambia
- Chipata Water & Sewerage Company, Chipata, Zambia
- All ITN centers.
# Good Practices to Serve the Urban Poor

**Workshop for Utility Managers and Training Institutions**

Nairobi, February 9-11, 2004

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0.1 WUP # 5: Background and Challenges

The water utility partnership
- Established in 1996
- Four lead agencies – UAWS, TREND, CREPA and World Bank
- Based in Abidjan with small secretariat
- Three main themes: Institutional reforms, Strategies for improved performance by utilities (performance indicators and also utility management)
- Modus operandi of the WUP
- Role of the ITNs and Utilities

The Challenge of Water and Sanitation Services to the Urban Poor
- Starting point: global consensus to put access to water and sanitation at the center of the fight against poverty
- The MDGs and Urban WS&S Services
- Key lessons and Guiding Principles from WUP 5

Water and the MDGs

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<td>1</td>
<td>Eradicate extreme poverty and hunger (irrigation and water security)</td>
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<tr>
<td>2</td>
<td>Achieve universal primary education (WS services, school sanitation)</td>
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<tr>
<td>3</td>
<td>Promote gender equality and empower women (WS services)</td>
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<tr>
<td>4</td>
<td>Reduce child mortality and improve maternal health (WS services, hygiene)</td>
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<tr>
<td>5</td>
<td>Combat HIV/AIDS, malaria and other diseases (hygiene, environmental health)</td>
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<td>6</td>
<td>Ensure environmental sustainability (IWRM, water security, eco-systems conversation)</td>
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The MDG Challenge for Africa

- By 2015, urbanization to progress from 32% today to 45%
- Average Gen popn growth 3% of Europe which is 0.4%
- Population of cities and towns to grow from 215 million to 400 million; i.e. 185 million more.
- Most of the growth will be in informal settlements which accounts for 40 to 70% of urban population
- The urban poor live in informal and peri-urban settlements

It is in the fast expanding informal settlement that the challenges of the MDG for WSS will have to be met.
WSS Services for the Urban Poor: a Strategic Challenge for Utilities

- The poor in informal settlements are not served by Utilities and are left to depend on alternatives:
  - more costly
  - less safe
  - less convenient
- In most cities, the number of households not served by utilities is growing.

The WUP Project

The design of WUP Project 5 was based on the premises that:

- Providers are already engaged in initiatives to improve WSS services in low-income/informal settlements;
- these initiatives were carried out on a piecemeal basis, were not documented and the requirements for scaling them up had not been systematically reviewed.
- WUP Project # 5 conceived as a phased action research program to uncover good practices and develop related tools and guiding principles.

Why the poor are not served by Utilities

- Institutional and financial weakness of Utilities:
  - Lack of autonomy, no cost recovery, inefficiencies, unaccounted for water, non-payment etc.
  - Legal status, insecure tenure, no mandate to serve unplanned settlements
  - Unplanned physical layouts, no right of ways for pipes
  - Wrong policies: e.g. control of standpipes, high connections charges, unnecessary technical and administrative requirements
  - Risks due to: low irregular incomes, limited capacity for large periodic payments, vandalism, difficulty in billing and collection
- Illegal connections and vandalism often a response to unmet demand

Project implementation

- Project financed by the EU
- Managed by WSP –Mukami Kariuki assisted by L. Angbo, Abidjan
- Case studies undertaken in nine Countries
- Role of Consultants and utilities
- Zambia, Cote d'Ivoire, Malawi, Senegal, Tanzania, Mali, Ethiopia, Nigeria and Ghana

The Role of WSS Utilities

A well performing and financially sound utility is a necessary but insufficient condition for serving the urban poor. Hence the need for:

- Institutional and policy reform to break the cycle of inefficiencies, poor services, weak finance, deteriorating assets etc. Capacity Building
- Partnerships with NGO's, CBO's, Small Scale Independent providers and municipal agencies to reach the poor at scale
Pro-poor reform

Institutional reform of utilities: autonomy through PPP

- The prospects of PPP raise expectations particularly concerning services to the poor
- Early and visible improvement in services to the poor is a condition for political sustainability of reform
- Utility reform need specific objective to target the poor
- Access is more important than low tariff in situations where poor are not served by the network.

Providing WSS services to the urban poor

- Accept informal settlements as a fact
- Improve performance of utility
- Understand the markets for WSS services
- Address policy constraints: technical standards, administrative requirements, connection and billing policies
- Recognize the role of small scale providers: private and community based
- Form partnership with NGOs, CBOs, local authorities, and develop joint programs
- Foster communications and users oversight
0.2  WUP # 5 Products: Good Practice Document and Toolkit

1  

Purpose of the Products and General Philosophy

2  

Two new products  
- The “Good Practices Document”  
  "Better Water & Sanitation for the Urban Poor – Good Practices from Sub-Saharan Africa”
- The “WUP 5 Toolkit” Web-site  
  A web-site and a CD-Rom

3  

What are these products ?
- Fruits of the first part of the WUP 5 project:
  “Strengthening the Capacities of Utilities to Deliver Water and Sanitation Services, Environmental Health and Hygiene Education to Low-income Urban Communities”

4  

Objectives of WUP 5
- To determine how low-income communities are being served
- To develop a better understanding of the key principles underlying “good practices”
- Cote d'Ivoire, Ethiopia, Ghana, Malawi, Mali, Nigeria, Senegal, Tanzania and

5  

Activities and Methodology
- Series of country consultations in the 9 countries
- 36 practices related to different aspects of WSS services delivery, ranging from policy development to water reselling

6  

Findings
- Majority of the good practices identified by the stakeholders in each country are coming from the informal sector
- Spontaneous and demand-driven efforts promoted by private small-scale providers and communities
Two complementary products

- Good practices description and analysis
  → Good Practices Document

- Toolkit containing a set of tools available online
  → WUP S Toolkit Web-site

Who is the targeted audience?

- Practitioners in the water and sanitation sector, policy and decision makers involved in WSS services to low income

- Associated with utilities / ministries / municipal governments / private companies / financing organizations / NGOs

The Good Practices Document

- Purpose of the document
  . Challenges
  . Principles
  . Tangible examples

- What does the document provide?
  . Water supply
  . Sanitation
  . Policy

Water Supply

- Private connection
  Network extension / lower the price for connection / Remove administrative and legal barriers / Reduce the cost / Appropriate payment mechanisms

- Standpipes
  Better public standpipes management / Promote means to reach those without access

- Intermediate and independent service providers
  Work with local sub-network providers to improve services / Work with caretakers and homeless to improve services / Establish independent services providers

Sanitation

- Improving domestic sanitation
  → Promote good on-site sanitation
  → Reduce barriers to network sewage
  → Improve management of and access to public sanitation facilities
Pro-poor policy

- Developing policies and strategies for improving water supply and sanitation for the urban poor
  - Strengthen institutional policies, strategies and service delivery arrangements
  - Revise financing strategies and pricing policies
  - Adopt a regulatory environment to serve the urban poor
  - Release bottlenecks in urban development policy

Key findings

1. Low-income service delivery is specific
2. Need for adapted and relevant policies and strategies
3. Need for demonstrated political will
4. Need for appropriate institutional arrangements
5. Adapted human resource capacity and good management practices
6. Involvement of users or communities is urgently needed
7. The unplanned nature of the low-income settlement is a bottleneck
8. Limited availability of internal and external financing
9. Development of effective and appropriate communication needed

WUP 5 Toolkit

What is the purpose of this Toolkit?

- To provide access to information on current trends and knowledge gained from past experience
- To enable readers to identify problems or challenges, and draw up a strategy for addressing these challenges using information and other available resources

WUP 5 Toolkit

What is the purpose of this Toolkit?

- To provide the reader with a set of issues and principles
- To offer practical advice on getting to know low-income customers better

WUP 5 Toolkit

What is the purpose of this Toolkit?

- To present pros and cons of a range of options for service delivery, regarding policy and legal aspects, customers and providers, level of service, and funding and cost recovery
- To provide the reader with a wide range of resources to work with
EXAMPLE OF CONTRACT
SUPPLIER and MANAGING AGENT

AN AGREEMENT made on the Day of __________ 2000

BETWEEN the [name of municipality] of [address] (herein after called the ‘Supplier’) of the one part and

and ______ (hereinafter called the ‘Agent’) of the other part.

It IS AGREED between the parties hereto that the Supplier shall provide standpipes and clean potable water at the said standpipes which the Agent shall operate

1. The Agent hereby commits to the Supplier as follows:
   (a) To provide reasonable security for the standpipes and meters in order to
       keep the equipment secure;
   (b) To keep the surrounding area in a clean and hygienic manner;
   (c) To be responsible for the contracted security and logistic maintenance
       of the equipment as long as the agreement stands;
   (d) To allow the Supplier access to standpipes and meters at all reasonable times for the purpose of inspection and meter reading
       and other times in the event of an emergency;
   (e) To receive 25% of the total revenue collected from the area of
       operation per month. The payments shall only be made by cheque;
   (f) To mobilize and service the community;
   (g) To record and administer top attendances and monitor the worksheet for the top attendances;
   (h) To submit monthly reports to the Supplier on the activities going on
       in the area by the second of the following month;
   (i) To be billed according to the meter readings taken for that month;
   (j) To report any breakages and damage to infrastructure to the Supplier.
1.1 Theme 1: Customers and Providers - Main Issues and Options

Introducing Good Practices to Serve the Urban Poor

Theme 1: Customers and Providers

Alain MOREL
Urban Team Leader

Costumers and Providers

The Main Issues

Main Issues Customers

- Low income settlements
  characteristics:
  - Lack access to WSS services
  - Legal status
  - Location
  - Lack access to adequate housing
  - Limited infrastructure and services
  - Unplanned layout
  - High density

- The poor: Not the average costumer
  - Income
  - Interest
  - Abilities
  - Demand
  - Mobility
  - Communication

Main Issues Customers

- Lack of information:
  - Local authorities have little info
  - Unplanned areas
  - Unmapped areas
  - Uncoordinated services providers

- Specific characteristic of the settlements
- Specific customer
- Lack of information

- You need to know your customer
Main Issues Customers

- Low income communities:
  → Poorly organised
  → Lack of confidence
  → Unawareness of their rights
  → Lack of knowledge on hygiene and sanitation

- Interests of the utility:
  Organised community to dialog with
  Easy access to the customer
  Increased willingness to pay

  → You need good partners
  → You need to inform your customer

- Lack of solutions:
  → Everyone is not the average customer
  → One solution does not fit all
  → Specific needs and requirements
  → Traditional solutions don’t match the demand

  → You need to assess the demand

- The poor lack information:
  → Difficult access to information on the services (quality, price, level, revenue)
  → Difficult access to customer dept.
  → Lack of recognition
  → Lack of specific information from the utility

  → You need to assess the satisfaction
Main Issues Customers

- Low income areas are very specific and nature of services varies from city to city and country to country
  → The traditional approach is not relevant
- You need to know your customer
- You need to inform your customer
- You need to assess the demand
- You need to assess the satisfaction

Main Issues Providers

- Beside the utility, a wide range of organizations and actors provide WSS services:
  → Small Scale Providers
  → Small Scale Independent Providers
  → Non Governmental Organizations (NGO)
  → Community based organizations (CBO)

Main Issues Providers

- The utility deals with a variety of other organizations / partners:
  → Private Sector Participation (PSP)
  → Partnerships
  → Individuals
  → Regulator

Findings from the Abidjan workshop (2001):

- Exclusive mandate for utilities within their services areas is not necessary
- SSFs are better placed than utilities to offer WSS services to the urban poor
- If other WSS services providers were legal and supported, some micro-enterprises would offer sustainable low cost alternatives

- A well performing and financially sound utility is necessary, but insufficient to serve the urban poor
- In the context of weak municipal institutions, utilities emerge as institutional anchor for household and community based organizations

- The strategic challenge of utilities to serve the urban poor:
  → To be able to build a range of partnerships and innovation
WSP
water and sanitation program

Costumers and Providers
Ethiopia Case Study Illustration
Communal Latrines

Costumers and Providers
Toolkit Content

WSP
water and sanitation program

Costumers and Providers
Questions to be Answered by the Workgroup

Questions to be answered by the Workgroup
- Would you have some elements to add to the approach presented in the Toolkit and the GPD?
- What are the needs of utilities in terms of training to improve WSS services to the poor?
- What should contain a training action plan or program for utility's staff and utility's partners?
- How to use the Toolkit and its tools in the frame of such a training action plan?
1.2 Case: Communal Latrines in Addis Ababa

COMMUNAL LATRINES IN ADDIS ABABA

BACKGROUND
- Addis Ababa has a population of about 3 million
- Area of the city is 540 Km²
- About 70% of the housing units use either septic tanks or pit latrines
- According to 1994 census, 23% of the housing units had no sanitation facilities
- All extra houses were nationalized during the previous military government
- Land is public property and individuals have the right to use and inherit

BACKGROUND (continued)
- In unplanned and informal part of the city, most of the houses are administered by Kebele Administration, which is the smallest unit of government organ with a population between 7,000 and 10,000.
- Old part of the city where most of the urban poor are living, the streets are very narrow, the houses are almost collapsing and practically no infrastructure including toilet facilities

APPROACH OF THE NGO
- Holistic and Integrated
- Community participation
- Building management capacity of the local community
- Working with the local government organ
- Income generation and cross subsidy

SOCIAL STATUS OF THE COMMUNITY IN PROJECT AREA
- The Kebeles chosen for the project were the poorest of the poor
- Highly congested
- Very little social or infrastructural development in the area
- In general the most deprived area of the city

HOLISTIC AND INTEGRATED
- Project includes all sorts of economic, social and infrastructural facilities such as: health center, recreational facilities, assembly hall, kindergarten, shower rooms, public taps, communal toilets, pension home, house upgrading, road, drainage, ...
COMMUNITY PARTICIPATION

• Beneficiaries and project team were working together from the start in establishing priorities
• Three representatives out of twenty-five households were elected democratically to discuss, decide and implement the demand of the community
• All household members contribute in labour whenever they are called upon by their representatives

BUILDING MANAGEMENT CAPACITY

• The project employed local people from the area and trained them to operate, maintain and administer the facilities that were built

WORKING WITH THE LOCAL GOVERNMENT ORGAN

• Kebele officials were involved in all the activities representing the government
• Their role is facilitation

FINANCIAL SUSTAINABILITY

• Financially the facilities are not all self-financing even in the operation and maintenance cost
• Income from some of the facilities cross-subsidize others
• Similarly those who can afford pay more to augment the have-nots
• At the moment after more than ten years, the community still can efficiently run, maintain or operate the facilities without major difficulties

SUSTAINABILITY OF THE COMMUNAL LATRINES

(continued)

• No payment is collected from the users for the use of latrines
• Each family is given one compartment for its use
• All families contribute equal amount of money for emptying the pit when it full and managed in turn the collection of the money
SUSTAINABILITY OF THE COMMUNAL LATRINES (continued)

- Such arrangement could not be sustainable as it stands
- It is sustainable because of the holistic and integrated approach
- The income from one facility cross-subsidized the other
Theme 2: Policies and Legal Aspects

2.1 Kenya Case Study: Kisumu Water And Sewerage Company Ltd (Kiwasco) Strategy To Develop Services To Urban Poor Within The New Kenyan Legal Frame Work

By Eng. G. N. Olando – Managing Director (KIWASCO) Ltd.

Introduction

Location

Kisumu is a town in Kenya located in the western part of the country. Kisumu town was given a city status by the president of Kenya in December 2001 and is operating a such awaiting government charter. According to 1989 census data the city had a population of about 300,000 people and an average yearly population growth rate of 5% between 1979 and 1989. The city has an area of 297 square kilometers.

The Company

Kisumu Water and Sewerage Company Ltd. was incorporated on 25th October, 2001 as a limited liability company. Its core function was to carry on the business of water and sewerage services, hitherto performed by the City Council of Kisumu.

The share capital of the company is Kenya Shillings One Hundred Thousand ($14,000) divided into Five Thousand Shares of Kenya Shillings Twenty (Kshs.20) each. The share holders of the company holding one share each are The Mayor, Town Clerk, Town Treasurer and Permanent Secretaries Finance, Water and Local Authorities – all by virtue of their respective offices.

Board of directors comprises the Mayor of the Council, Town Clerk, Town Treasurer and Managing Director of the Company. Other directors are representative business community who shall not be a member of the council, a representative of women, and a representative of consumer who shall not be a member of the council.

Although the company was incorporated in the year 2001 water and Sewerage for all intent and purposes continued to function as a Department in the Council with all the control and laxity inherent in civil service until 6th September 2002 when the first board of directors meeting was convened.

However, business in earnest did not start until June 2003 when the CEO (MD) was appointed.

Delivering Service in the slums

- More than 180,000 dwellers in the slums, with very poor access to service
- High commercial risk: illegal connections, low ability and willingness to pay, competition with small scale operators
- During the coming years, KIWASCO will have to focus on core functions and rehabilitation of “profitable” areas
- But 80% of the new customers will be located in the slums
- All this justify a delegated approach:
  - During STAP, if technically possible, independent networks (boreholes) managed by private local operators under contract with the MWRMD/WSB
  - During LTAP, network extensions managed by small local operators, in a specific area, under contract with KIWASCO which will provide the operator with bulk water
- For KIWASCO, low commercial risk and increase in coverage
- How to introduce some performance in the management of service in low-income and informal areas:
  - Competitive process to select operators (initial assessment to be carried out by WSP during the first quarter of 2004)
  - Output-based approach: operators can receive a subsidy based on the service improvement (e.g. new connections)
  - Possibility of “negative auction”: winning operator is the one who proposes the lower subsidy for the same service targets
Benchmarking

- Technical indicators for water supply
  - Temporary indicators for service rehabilitation
  - Water production
  - Per capita consumption
  - Coverage of service (methodology)
  - Unaccounted for water (% technical losses)
  - Number of hours of service per day
  - Number of new connections per month

- Financial indicators for water supply
  - Unit production cost (KES/m³)
  - Average domestic tariff
  - Collection efficiency (collected/billed)
  - Staff per 1,000 connections

- Customer care indicators
  - Satisfaction survey among customers
  - Average delay to answer a connection demand
  - Average delay to answer a question/complaint from a customer
3.1 Theme 3: Funding and Cost Recovery – Main Issues and Options

WSS Services for the Urban Poor: a Strategic Challenge for Utilities

- The poor in informal settlements are not served by Utilities and are left to depend on alternatives
  - more costly
  - less safe
  - less convenient
- In most cities, the number of households not served by utilities is growing.

Why the poor are not served by Utilities

- Institutional and financial weakness of Utilities
  - Lack of autonomy, no cost recovery, inefficiencies, unaccounted for water, non-payment etc.
- Wrong policies: e.g. control of standpipes, high connections charges, unnecessary technical and administrative requirements
- Legal status, insecure tenure, no mandate to serve unplanned settlements
- Unplanned physical layouts, no right of ways for pipes
- Risks due to: low irregular incomes, limited capacity for large periodic payments, vandalism, difficulty in billing and collection

The stagnation cycle of water utilities

<table>
<thead>
<tr>
<th>Low revenues</th>
<th>Weak finances</th>
</tr>
</thead>
<tbody>
<tr>
<td>Customer dissatisfaction</td>
<td>deterioration of assets</td>
</tr>
<tr>
<td>poor services</td>
<td>neglect of maintenance</td>
</tr>
</tbody>
</table>

Operational Efficiency and Weak Finance

<table>
<thead>
<tr>
<th>Type B low efficiency</th>
<th>Type A top 10% (e.g.: SDE/SONES)</th>
</tr>
</thead>
<tbody>
<tr>
<td>CoE: technical efficiency</td>
<td>54%</td>
</tr>
<tr>
<td>Cob: billing ratio</td>
<td>62%</td>
</tr>
<tr>
<td>Cc: collection ratio</td>
<td>50%</td>
</tr>
<tr>
<td>Overall system efficiency</td>
<td>17%</td>
</tr>
<tr>
<td>Billing and payments</td>
<td>31%</td>
</tr>
</tbody>
</table>

The Role of WSS Utilities

A well performing and financially sound utility is a necessary but insufficient condition for serving the urban poor.

- Institutional and policy reform to break the cycle of inefficiencies, poor services, weak finance, deteriorating assets etc.
- Partnerships with NGO’s, CBO’s, Small Scale Independent providers and municipal agencies to reach the poor at scale

The Poor Pay More

<table>
<thead>
<tr>
<th>City</th>
<th>Vended</th>
<th>Piped</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bandung</td>
<td>616</td>
<td>10</td>
</tr>
<tr>
<td>Jakarta</td>
<td>185</td>
<td>17</td>
</tr>
<tr>
<td>Manila</td>
<td>187</td>
<td>11</td>
</tr>
<tr>
<td>Karachi</td>
<td>175</td>
<td>8</td>
</tr>
<tr>
<td>Ho Chi Minh</td>
<td>151</td>
<td>8</td>
</tr>
</tbody>
</table>

(U.S. cents per cubic meter; Source: ADB, Water Utilities Data Book)
Objectives of WSS Tariff Policy

- **Social**: to ensure the right of all people to be able to access social services.
- **Financial**: to allow the operator to keep his business running, maintain his assets and serve his debt.
- **Economic**: to take into account costs and benefits to the society as a whole including the user of water resources, the impact on the public and on the environment.
- **Political**: to achieve a repartition of benefits and costs that can be accepted and sustained through the political process.

Subsidies?

- Cross subsidies generally the only practical and sustainable option
- Priority to access over consumption
- Targeted and tailored to meet the demand of households (Durban)
- Prior surveys and analysis to evaluate impact on services and on overall finances and operations

Increasing Block Tariff IBT

- The solution of choice but levels and volume of each tranche needs to be set right (pp 34 GPD):
  - Average has to ensure cost recovery and internal generation of cash for capital expenditure
  - Not too many tranche (three OK)
- Incentive for the operator (pp 30-35 GPD)
- Problem with resellers and yard taps shared by several households: bulk tariff for authorized resellers (Cote d’Ivoire, Ghana)

Access and payment facilities

- Social connection program (connection costs ranging from $180 to $27)
- Payment schedule and facilities:
  - Partnership with community savings and credit institutions to allow small periodic payment
  - Payment office close to customers; convenient hours

Financing and Pricing Strategy

- Cash generation objectives to allow access to credit and support investment and social programs
- Cross-subsidies set aside for specific programs
  - Social connections (Cote d’Ivoire, Senegal, Niger)
  - On-site sanitation (Burkina)

Financing and Pricing Strategy: Summing Up

- The balance between long-term financial sustainability and social and political considerations is a central element of sector reform
- Cost recovery tariff helps all consumers, including the poor
- In situations where poor are not served by the network, access is more important than low tariff
- Pricing services should consider aspects beyond the cost per cubic meter
3.2 Funding and Cost Recovery: Zambia Case Study Illustration: Chipata Town

Token System

Brief Background
- Chipata Water and Sewerage Company (CWSC) was formed in 1992.
- CWSC inherited the water supply infrastructure from the Water department of Chipata Municipal Council.
- Water Supply was through public standpipes (communal taps) with few individual connections.
- Two pilot water kiosks were set up in Old Jim and Mchini Compounds in 1992.
- System involved collection of user fees of US$0.12 on a monthly basis.
- CWSC appointed revenue collectors who retained US$0.02 and remitted the remaining US$0.10 to CWSC.

This was discontinued after a few months due to:
- Lack of accountability (money for water sales was not being remitted to CWSC)
- Residents were not so willing to pay for water due to the presence of some shallow wells, and claiming that water was free from God.
- There was a lot of water wastage due to vandalism, general wear and tear, and inadequate maintenance
- Communal tap surroundings were not being kept clean
- Political interference

- In 1994, CWSC revisited and re-introduced the stand tap kiosk system.
- Between 1997 and 1999 the stand taps were improved into permanent "shop like structures" and concluded the construction of water kiosks in Referendum and Mchenga compounds which did not have potable water.
- Today CWSC operates 22 kiosks, which use tokens in 5 peri urban areas, namely Mchini, Nabvutika, Magazine, Referendum and Mchenga compounds serving population of about 45,000 people

Operations of the Water Kiosks
- CWSC recruits Kiosk attendants from the various communities who are awarded a Kiosk lease contract for one year.
- Most of the Kiosk attendants are women
- Kiosk attendants are agents of the company and in no way have fringe benefits as permanent employees. They are paid a wage at the end of the month equivalent to US$14.
- Roles of the kiosk attendant
  - To sell water and collect money from the sale of tokens
  - To ensure the kiosk is in a good state of repair
  - To make sure the kiosk surroundings are clean

Token and the token system
- Water at the kiosk is sold by the use of a plastic chip token with the "water drop" emblem
- A token is equivalent to 10 liters of water
- The current cost per token is US$0.0024
- The water tariff for the token(kiosk) is set by the company.
- Tokens are sold at the kiosk and are in the custody of the kiosk attendants.
- For accountability all the kiosks are metered.
- There are 17 full time kiosks and 5 part time kiosks which are open to the public 7 days a week

The full time kiosks are managed by two kiosk attendants who work in shifts
- Morning shift 06:30 to 12:00
- Afternoon shift 12:00 to 17:30

- The part time kiosks are each managed by one kiosk attendant
- Morning shift 06:30 to 09:30
- Afternoon shift 15:00 to 17:30

- The part time kiosks are operated as such since the areas that they serve are sparsely populated
FUNDING AND COST RECOVERY
ZAMBIA CASE STUDY ILLUSTRATION: CHIPATA TOWN TOKEN SYSTEM

There are five settlements serviced through kiosks though individual information was only available for two compounds in 19sB.

<table>
<thead>
<tr>
<th>SETTLEMENT</th>
<th>NUMBER OF HOUSEHOLD</th>
<th>NUMBER OF HOUSEHOLD HOLDING TO BE PAID PER HOUSEHOLD</th>
<th>AMOUNT OF WATER CONSUMED IF ALL HOUSEHOLD HOLDERS (\times) PER HOUSEHOLD</th>
<th>AMOUNT OF COST WATER FROM RISK ATTENDANTS</th>
<th>TOTAL SALARIES</th>
<th>OTHER COSTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>NASECHIKA</td>
<td>49</td>
<td>8</td>
<td>0.22</td>
<td>0.22</td>
<td>0.21</td>
<td>0.22</td>
</tr>
<tr>
<td>REFERENDUM</td>
<td>106</td>
<td>3</td>
<td>0.24</td>
<td>0.22</td>
<td>0.24</td>
<td>0.24</td>
</tr>
<tr>
<td>TOTALS</td>
<td>155</td>
<td>11</td>
<td>0.47</td>
<td>0.43</td>
<td>0.45</td>
<td>0.45</td>
</tr>
</tbody>
</table>

Average overall monthly over all income and expenditure for one month in 2003:

<table>
<thead>
<tr>
<th>TOTAL AMOUNT COLLECTED FROM ALL SETTLEMENTS</th>
<th>TOTAL NUMBER OF KIOSKS</th>
<th>TOTAL SALARY FOR KIOSK ATTENDANTS</th>
<th>TOTAL PAY OUT FOR SALARIES FOR CWSC</th>
</tr>
</thead>
<tbody>
<tr>
<td>1,127</td>
<td>14</td>
<td>54</td>
<td>442</td>
</tr>
</tbody>
</table>

Cost Recovery Potential
- Operated on a strictly commercial basis it is clearly evident that there can be cost recovery.
- However, due to the weak socio economic category (poverty issues, high unemployment, low wages) of the population being served, it is highly unlikely that the utility is or will operate on a sustainable cost recovery basis either now or in the near future.
- At present, the utility is providing social water.

Achievements and Lessons Learnt
- During the first six months of operation, the kiosks made quite a profit for CWSC.
- The kiosk system has led to considerable improvements in hygiene around the kiosks which were previously surrounded by stagnant water.
- The kiosk system provides a good option in situations where
  - Communities are not well organized
  - There are deep divisions due to political or other reasons
- Privatized kiosks can result in widely differing levels of income among kiosk attendants, but on the other hand, the employment of kiosk attendants by the utility may raise costs and create viability problems if not well managed and supervised.
- While it is appreciated that safe water supply should be available to all, the reality is that it is currently not available to a large proportion of the high density low income communities of Chipata.

Constraints of operating kiosks
- Kiosk attendants are at times unable to fully account for water consumed.
- Delays in repairs and maintenance due to lack of material
- Vandalism of the kiosk infrastructure i.e. theft of roofing sheets from the kiosks, vandalism of the doors, etc.

Recommendations and Remedial measures
- In future the company intends to completely lease the kiosks to the attendants to be fully responsible for the operations and debt collections
- The company has resorted to using concrete roofing slabs on the kiosks
Theme 4: Level of Services

4.1 Case Study: Establishing Minimum Technical Standards in Blantyre, Malawi

The Blantyre case study is about the project the Board undertook in providing supply to the Ndirande low-income community in the city of Blantyre in 1996. This project was funded by UNICEF and to date it is seen as the model which Blantyre Water Board uses when designing schemes of similar nature.

Background in formation

Blantyre Water Board (the Board) is a statutory body responsible for supply of water services to the city of Blantyre. It is supposed to operate commercially and not to receive recurrent funding from the government. It is empowered to operate its own internal commercial financial management, employment (to a large extent) and procurement arrangements. However, some important operational decisions which should be the sole prerogative of the Board are subject to Ministerial approval, and its geographical coverage, higher level staffing and tariffs are subject to government approval.

The Board is mandated by the Water Works Act No. 17 of 1995 to develop, operate and maintain waterworks systems within its water area. Since Blantyre city lie within the Board’s water area, the Board is in principle obliged to avail water supply to all residents within the respective areas of jurisdiction. However, this monopolistic mandate is not supported by clear plans for land use development, making the Board incapable of taking risk in providing services to areas where there is no guarantee of developments in the near future.

There is no single policy framework guiding the supply of water and sanitation services to the urban low-income communities. Services are provided on ad hoc and demand driven basis. There is need for the development of Sanitation and Hygiene policy by the Minister of Water Development, Health and Population, Local Government and Natural Resources and Environmental Affairs with the Ministry of Water Development taking the lead. To achieve this there is need to harmonize all relevant acts (Public Health Act, Local Government Act, Town and County Planning Act, Water Resource Act, Waterworks Act and the Environment Management Act). This will improve enforcement mechanisms.

Unplanned areas are the responsibility of the City of Blantyre. The occurrences of the squatter areas and the inability of the assembly to upgrade them is partly complicated by administrative procedures and political influences.

Initiatives by NGOs and Donors

NGOs and Donors are known to have been involved in water supply and sanitation services in the peri-urban areas of Blantyre. They provide funds for financing water supply, training communities in the implementation and management of water projects and technical skills during the implementation of water projects. Their participation is demand driven and in all cases in partnership with the City of Blantyre, the Board and communities.

However, lack of follow-up by the NGOs and Donors after project completion and the adopted method of project identification, introduction to the community and implementation have been main causes of community failure in sustaining supply.

In 1995, UNICEF identified Ndirande low-income community to have the need for an improved water supply. They came up with a proposal of sinking several boreholes in the area. Due to the problem of waterborne diseases experienced during rainy season as a result of using contaminated water from hand dug wells in the area, the City of Blantyre advised UNICEF to approach the Board to provide a piped water supply scheme in the area.

Ndirande Water Supply Project

Design Data

Population – 29,000
Length of mains: 2,500 km
Booster Station: 1
Balancing Tank (250 cm): 1
Pressure Break Tanks: 4
### Project Cost and Construction Period

<table>
<thead>
<tr>
<th>No of Kiosks</th>
<th>Project Cost</th>
<th>Construction Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phase 1</td>
<td>30 US$</td>
<td>47,055</td>
</tr>
<tr>
<td>Phase 2</td>
<td>30 US$</td>
<td>19,122</td>
</tr>
</tbody>
</table>

In order to come up with an appropriate design standards for the low-income community, taking into consideration of affordability and cost recovery, the following strategies were considered and used during implementation.

**Standards/Issues Considered**

1. Provision of Service Access
2. Use of PVC & HDPE Class 6 pipes
3. Construction of Pressure Break Tanks
4. Maximum Walking Distance
5. Design of Kiosks
6. Cost recovery
7. Payment mechanisms

**Strategy**

1. Extension of supply network into the informal settlement was necessary. The project was to demolish some of the buildings in order to create service access. These structures were later to be compensated from the same funding;

2. Low cost, locally available materials were to be used in order to make maintenance works affordable during the life span of the project;

3. Introduction of pressure break tanks to accommodate the low cost materials of lower class was necessary;

4. Maximum walking distance were to be minimal e.g. 500m in phase 1 and 250m in phase 2. This was considered in order to avoid physical strain due to walking long distances, whilst carrying a heavy bucket;

5. Design of the kiosk was to incorporate supports for the container to avoid physical straining due to unnatural positioning while lifting;

6. Cost recovery by setting the cost price at a level that was affordable (Subsidized Tariffs). This was necessary in order to ensuring that cost recovery targets are met. This is where high consumption users (eg. Industries ) are being penalized in order to subsidize the low-income community;

7. Payment mechanisms, It was necessary to develop appropriate mechanisms for managing payments. This was to ensure that the communities stay connected, this is where payment arrangements were to be designed to help the community pay their bills weekly to avoid them handling large amounts of money from the water sales.
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