

# NGUNI-KAMUTHALE WATER PROJECT

Rehabilitation of 2 Existing Boreholes in Nguni & Kamuthale Villages of Mwingi



Hilfe zur Selbsthilfe e.V.

Kitui County-Kenya

Project Report: June 2013



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## 1.0 EXECUTIVE SUMMARY

This project report describes the details of implementation for the project: Rehabilitating 2 existing boreholes in Mwingi of Kitui County-Kenya which was funded by **Help Hilfe Zur Selbsthilfe** from the balance of the funds from three previous projects namely; Famine Relief 2011, Emergency Relief Seeds Program and the Water Project KEDN II 2012. The three projects were a response to the humanitarian crisis in the horn of Africa in 2011. KUMEA is the implementing partner. The project involves removal of the existing hand pumps, cleaning of the boreholes, Test pumping to determine the recharge of the boreholes, reconstruction of standing slab and aprons and installation of hand pumps of type India Mark II. It also covers the capacity building of the benefiting communities in operating and maintaining the boreholes to ensure sustainability of the water sources.

The needs being addressed by this project were primarily identified by the KUMEA regional committee of Kitui region. Later, KUMEA program manager and **HELP Hilfe Zur Selbsthilfe** counterpart **Fabian Nolde** visited the region and assessed the boreholes and the general water situation. The communities confirmed that lack of water has been a major hindrance to their development. KUMEA also observed that the type of water they were drinking since the breakdown of the boreholes was not good for their health.

### Project Goal

To improve the health and quality of life of 4,000 families in Eastern Kenya by providing access to sustainable clean water sources. The project contributes directly to the Millennium Development Goal 7.

### Project Objectives

- To rehabilitate 2 existing boreholes in Mwingi of Kitui County of Eastern Kenya
- Increase availability of safe drinking water by 20 litres per day per household.
- Train 2 water user committees comprising 10 people elected by water users.



Kamuthale Borehole before Rehabilitation



Kamuthale Borehole After Rehabilitation



Nguni Borehole before Rehabilitation



Nguni Borehole after Rehabilitation

## 2.0 ABOUT KUMEA

Kujenga Maisha East Africa (KUMEA) was established and registered in Kenya in June 2010 as an NGO for the New Apostolic Church; East Africa District. It grew out of the Relief and humanitarian efforts of the church that had been going on for five years. HIV/AIDS and poor climatic conditions are major contributors to rural poverty in East Africa. KUMEA therefore feels duty bound to respond to the needs of these communities.

Although KUMEA is a Faith based NGO, it operates beyond the boundaries of the New Apostolic church. It brings together people of all faiths and persuasions without discrimination. KUMEA seeks to improve the living conditions of vulnerable members of the community through developmental activities. It is a vehicle through which an organization or individual can contribute towards sustainable development in the communities of East Africa. The Objectives of KUMEA include:-

- Enhancing agricultural crop and animal yield through modern, innovative, cost effective and efficient farming techniques and improving sanitation
- Employing agricultural extension officers to train adult Kenyans in modern farming techniques and assisting them acquire managerial skills;
- Drilling boreholes and erecting water catchments reservoirs
- Distributing farm implements free or at subsidized cost to individual or collective members of the beneficiary communities, and actively initiate or participate in activities and projects aimed at economic empowerment of the people within the organisation's sphere of operation.
- Engaging members and the general public in environmental conservation efforts and sensitization.

### 3.0 TRAINING REPORT; SUMMARY

Many water supply projects and programs are implemented with the intention of preparing communities to manage their own water supplies. Communities are involved in the planning and implementation of the water supply system and trained in operation and maintenance in order to increase the long-term sustainability of their system. To enhance community capacities Kujenga Maisha East Africa (KUMEA) organized capacity building sessions for Water User committees during project implementation to facilitate effective use and sustainability of the water project.

Therefore Capacity building sessions for two Water User Committees and community members was carried out for Kamuthale (Twamia village) and Nguni (Kamulalani Village) from 5<sup>th</sup> to 6<sup>th</sup> June,2013 and 7<sup>th</sup> to 8<sup>th</sup> June, 2013 respectively at water point sites (2days per water point site). The capacity building session was based on the following four objectives;

- 1) To orient Water User Association leaders and community members on Management and implementation of community Water projects
- 2) Enhance their Understanding of financial management principles to enhance sustainability of community water project
- 3) Share experiences in implementation of water and sanitation projects
- 4) Develop community action plans for implementation of water and sanitation projects

The learning process was facilitated based on participatory and interactive methods of learning and covering a wide scope of sessions focusing on the key aspects of water user management and registration of water user association with the following key activities; Overview of national water policy and water sector reforms, leadership styles and qualities, Code of conduct /ethics for water user association leaders, election of water user leaders, group dynamics, code of best practice &ethics to improve governance &management, overview and formulation of water user association constitution, Community participation in water and sanitation, project sustainability and empowerment of users, financial management issues etc.

The methods used in during the sessions ranged from group discussions, plenary presentation, and pairing and role plays/drama.

The process has immensely achieved the following;

- i. Enhanced community management and leadership principles for the Water User Associations in the twelve identified water projects
- ii. Understood the water sector reforms rationale and their key roles in project implementation
- iii. Appreciated their involvement in implementation and coordination of project activities
- iv. Willing to mobilize community members to participate actively in project activities
- v. Understood the key objectives of the water projects and the role of KUMEA in facilitating the implementation of the water projects
- vi. Understood the evolution of development groups and the need to support the systematic growth of their own groups through effective leadership and cohesion

However the achievements can be realistic and sustainable if the key areas mentioned in the recommendations are scaled up to enhance effective sustainability and management of water projects by the community through the community based organizations and transformation of the water user associations as viable institutions as stipulated in the water sector reforms.

## **4.0 LEARNING PROCEEDINGS FOR THE 2 SITES**

### **Day One**

- **Participatory Introduction**
  - **Participatory Expectations and Learning Objectives**
  - **Overview of national water policy and water sector reforms**
  - **Leadership styles**
  - **Code of conduct and ethics for water user association leaders**
  - **Election of water user association leaders**
  - **Overview and formulation of water user association constitution for water and sanitation projects**
  - **Financial Management & Financial Control plan**
- 

## **5.0 ACTIVITY ONE: PARTICIPATORY INTRODUCTION AND LEARNING NORMS**

### **Purpose**

To reduce social distance, informally build group spirit and break the ice among participants with view of improving/facilitating interaction

### **Learning Norms**

- 1) Respect for each other
- 2) Switch off Mobile phones
- 3) Maintain Cleanliness
- 4) No chorus answers
- 5) No noise during sessions
- 6) Reduce the movement of people during the learning sessions
- 7) Start and end with prayer
- 8) Active participation

## 6.0 ACTIVITY TWO: PARTICIPATORY EXPECTATIONS AND LEARNING OBJECTIVES

### Purpose

Share hopes, fears and expectations about the workshop that can be monitored during the training

Explore the participants' constructive criticisms

Build participants confidence and encourage communication on issues beyond the workshop

### Participants' expectations

HOPES	FEARS
<ol style="list-style-type: none"><li>1. Share experience in implementation of project activities</li><li>2. To know the role of communities in project implementation</li><li>3. To know how projects can be sustainable</li><li>4. Regulations and roles for management of water projects</li><li>5. To know more about record keeping</li><li>6. Creating awareness on project issues in the community</li></ol>	<ol style="list-style-type: none"><li>1. Fear for success of the project</li><li>2. Rampant poverty</li><li>3. Inadequate time to complete all the sessions</li><li>4. Inadequate participation by all community members</li></ol>

### Learning And Training Objectives

1. To orient Water User Association leaders and communities on Management and implementation of community Water projects
2. Understand financial management principles to enhance sustainability of community water project
3. Share experiences in implementation of water and sanitation projects
4. Develop community action plans for implementation of water and sanitation projects by Water User Association and Community members

## **7.0 ACTIVITY THREE: OVERVIEW OF NATIONAL WATER POLICY AND WATER SECTOR REFORMS**

### **Plenary presentation**

Objective: **To enable the Water User Association leaders understand the changes in the water sector and the new institutions that have been created as a result of the reforms.**

#### **1. Introduction**

- a) The water sector reforms are enshrined in the Water Act 2002, which provides the institutional and legal framework for implementing the sectors' policy objectives, which are:
- b) To conserving and protect water resources and allocating them in a sustainable manner
- c) To supply adequate and good quality water while ensuring safe disposal of wastewater and environmental protection
- d) To establish efficient and effective institutional framework, promoting and supporting participation of users
- e) To develop sustainable financing mechanisms. This will enable the management of effective water supply and sanitation development.

#### **2. The Act Provides**

- Clear definition of the roles of institutions in the sector to minimize duplication and conflicts;
- Separation of roles policy formulation, provision of water and sanitation services and management of water resources;
- Creation of new institutions to carry out the new mandates envisaged by the new water policy (decentralized institutional framework);
- Retain the residual role of the Ministry as sector coordination, policy formulation and development of sector legislation.

#### **3. The various institutions under the water sector reforms include the following:**

- Ministry of Water and Irrigation (MWI)
- Water Resources Management Authority (WRMA)
- Water Services Regulatory Board (WSRB)
- Water Services Boards (WSBs)
- Water Service Providers (WSPs)
- Water Services Trust Fund (WSTF)
- Water Appeals Board (WAB)
- Catchment Area Advisory Committees (CAACs)
- Water Resources Users Associations (WRUAs)



4. The Water Act 2002 separates policy formulation, regulation and services provision and management of water resources.

It defines clear roles for sector actors and a decentralized institutional framework. The following key institutions are involved in coordination and implementation of the water services in the country

INSTITUTION	ROLES AND MANDATE
1. Ministry of Water and Irrigation	Policy formulation and guidelines on Water Sector Management and services for all relevant key institutions
2. Water Resources Management Authority (WRMA)	<ol style="list-style-type: none"> <li>1. Management, protection and conservation of water resources</li> <li>2. Develop principles, guidelines and procedures for allocation of water resources;</li> <li>3. Monitor and enforce conditions attached to water permits;</li> <li>4. Manage and protect water catchment;</li> <li>5. Regulate and protect water quality etc.</li> <li>6. Ensure rational and equitable allocation of water resources in an integrated manner to reduce use conflicts while ensuring allocation for ecological sustenance)</li> </ol>
3. <i>Water Services Regulatory Board (WSRB)</i>	<ol style="list-style-type: none"> <li>1. The regulatory board provides general oversight for the provision and monitoring of Water Services Board and the service providers.</li> <li>2. These includes the issuance of licenses to Water Services Boards, determining standards for the provision of water services, procedures for handling complaints and develop guidelines for water tariffs.</li> </ol>
4. <i>Water Services Boards (WSBs)</i> Seven water service boards at regional level	<ol style="list-style-type: none"> <li>1. Responsible for efficient and economical provision of water services in their respective areas;</li> <li>2. Responsible for controlling water facilities, applying regulation on water services and tariffs, purchasing and leasing water and sewerage assets and contracting water services providers.</li> </ol>
5. <i>Water Services Providers (WSPs)</i>	<ol style="list-style-type: none"> <li>1. Provide water services under delegated authority of WSB's</li> <li>2. Agreement with WSB's</li> <li>3. Approval of WSRB</li> </ol>
6. Water Services Trust Fund (WSTF)	Financing the provision of water services to needy areas of Kenya
7. Water Appeals Board (WAB)	Handling appeals from any person having a right or proprietary interest which is directly affected, by a decision or order of the Authority, the minister or the Regulatory Board concerning a permit or license.
8. Catchment Area Advisory Committees (CAACs)	<p>Advise the WRMA at the appropriate regional office concerning:</p> <ol style="list-style-type: none"> <li>1. Water resources conservation, use and</li> </ol>

	apportionment 2. Grant, adjustment, cancellation or variation of any permit 3. Any other matters pertinent to the proper management of water resources
9. Water Resources Users Associations (WRUAs)	1. Identifying, quantifying and registering water consumers 2. Water locations and catchments management 3. Determination of water and sanitation investment demands 4. Monitoring and information systems for water quantity and quality 5. Conflict resolution and management of water resources in the catchments 6. In recognition of the role of women in water resources management, at least 30% of members of WRUAs should be women.

## Rationale For Water Sector Reforms

CHANGES IN POLICY BASED ON THE FOLLOWING	PROBLEMS /ISSUES THAT MOTIVATED WATER SECTOR REFORMS
1. Separation of functions; 2. Decentralization; 3. Commercialization of services; 4. Stakeholder and private sector participation	1. Degradation of water resources – decreasing dry season flows, deteriorating water quality; 2. Degradation of water catchments and riparian areas; 3. Poor reliability of water supplies; 4. Lack of financial resources; 5. Insufficient or inappropriate support; 6. Increasing incidence of water use conflicts; 7. High vulnerability to droughts and/or floods.

## Key Aspects of Water Sector Reforms

### a) Water As An Economic And Social Good

KEY ASPECTS	RATIONALE
1. Water as an economic and social good	<b>Water to be considered as an economic and social good.</b> This implies that although water comes free from the clouds, there are costs associated with managing and making the water available to consumers. Three key features are associated with treating water as a social and economic good
2. Commercialization of services	This implies that water services should operate on commercial principles <ul style="list-style-type: none"> <li>○ Charges for providing a service</li> <li>○ Revenues must exceed operating expenses</li> <li>○ There should be a mechanism for capital replacement</li> </ul>

	<ul style="list-style-type: none"> <li>○ Business should have proper books of accounts</li> <li>○ Water business should run as a separate entity from other activities (this is why all the municipal water supplies have been handed over to companies (Water Service Providers or WSPs) owned by the municipal councils – so that the water service provision runs as a separate operation to all the other affairs of the council)</li> </ul>
3. Protection for vulnerable groups so that, despite water charges, they are not denied access to water for basic needs	<p>Revenue from water business should not be used outside the water business (ring-fence revenue). This means that water cannot be charged at high tariffs to finance, say new road.</p> <ul style="list-style-type: none"> <li>○ Block tariff structures – tariff structures that recognize different economic status within the consumer population</li> </ul>
4. Economic value of water	<p>This implies that water allocation should recognize productive, domestic and environmental uses of water. There are costs associated with managing the water resources. The following consequences are noted:</p> <ol style="list-style-type: none"> <li>1. WRMA charges water use charges for resource management;</li> <li>2. Water charges means there will be less wastage;</li> <li>3. Polluter Pays"principle. If someone pollutes or degrades the water quality so others cannot use it or have extra costs to clean the water before they use it, then the polluter, if caught, can be made to pay for the clean-up of the resource.</li> </ol>

## b) Stakeholder Participation

This means that private and community stakeholders should play a greater role in water services and water resource management based on the following rationale

1. Community members should have a greater voice in deciding how government resources are spent on water services and water resource management (Example: CWP can apply for CDF financing);
2. Community members should have a greater voice in deciding what kind and quality of services they require (e.g. communities must be consulted before projects are designed or implemented);
3. Community members should have a greater voice in how water is allocated to competing water demands (through a WRUA – water resource users association – comment on permit applications);
4. Private companies should be used more in the water sector to increase professionalism, performance or output based services, and competition (e.g. Municipal services are now run under a publicly owned company, borehole drillers are from private sector).

## 8.0 ACTIVITY FOUR: LEADERSHIP STYLES

### Plenary Presentation

**Objective** -To enhance leadership skills in the Water User Association committee members.

#### a) Introduction to Good Leadership

WHO IS A LEADER	LEADERSHIP QUALITIES
A leader is a person who has ability to influence the community to work in harmony and to achieve a set goal in an organization.	There are many leadership qualities and some are shown here below; <ol style="list-style-type: none"> <li>a) Ability to communicate</li> <li>b) Intellegent</li> <li>c) Courageous</li> <li>d) Flexible</li> <li>e) Have time for public service</li> <li>f) Self confidence</li> <li>g) Ability to inspire</li> <li>h) Integrity</li> <li>i) Good judgment</li> </ol>

#### b) Key Attributes of Leaders

KEY ATTRIBUTES	RATIONALE
1. Acceptability	A person, who commands respect and self-discipline, has good interpersonal relations and meets minimum community norms of good conduct.
2. Job-Competence	Has a track record of exemplary performance in a skill area or areas
3. Ability to listen	Listens patiently for meaning and understanding
4. Tolerance	Has the ability to listen to and accommodate dissenting views and constructive criticism.
5. Delegation	willing and able to share responsibilities in order to build the potential of others
6. Flexibility	open to change and reason
7. Communicative Competence	Can influence others through logical and effective speech.
8. Empathy	Ability to enter into others"feelings as a way of understanding a situation.
9. Self-Organisation	sets an example on personal orderliness
10. Self-confidence	Inspires confidence in others because he/she has the same.
11. Honesty	Can be trusted at all times
12. Reliability	Is dependable on words, promises and deeds
13. Impartial	is guided by fairness, truth and justice in making all decisions.
14. Good time manager	Ensures good time management in all activities

## c) Leadership Styles

LEADERSHIP STYLES	DESCRIPTION
1. Autocratic Leader	This leader centralizes leadership, does not allow any participation but motivates sub-ordinates. His motto is that of, <i>"I will help you if you obey me"</i> .
2. Democratic Leader	Democratic leader decentralizes power and allows for group participation in decision making. The motto of this leader is, <i>"Do you agree with my views"</i> .
3. Free-Reign (Laissez-Faire)	A laizzer-Faire leader may be described as a "No decision-making" leader since he is passive and has no initiatives of his own. His motto is, <i>"What do you want to do do it"</i> .
4. Dictator	This leader leads with an iron hand and subordinates live under fear. His leadership code is, <i>"you must do what I say"</i>
5. Visionary Leader	This is a leader who lives in the future, he sets targets and works towards the achievement of the goals

### Group Task

Participants discuss /define the different types of leadership and analyze the advantages and disadvantages

#### a) Democratic Leadership

This is a leadership where views from different people opposing minds are set together for better governance

ADVANTAGES	DISADVANTAGES
<ol style="list-style-type: none"> <li>1) Freedom of all people to participate</li> <li>2) All citizens views are accepted</li> <li>3) It caters for all citizens regardless of position</li> <li>4) There is freedom of choices</li> <li>5) It allows opposition parties to criticize the Government</li> </ol>	<ol style="list-style-type: none"> <li>1) It is time consuming-discussions</li> <li>2) It encourages indiscipline</li> <li>3) It creates burdens to some communities</li> <li>4) It is not easy to create a decision</li> </ol>

#### b) Autocratic or Dictatorship Leadership Styles

Advantages	Disadvantages
<ol style="list-style-type: none"> <li>1) No contradiction to the passed law</li> <li>2) It gives the leader easy time to pass laws</li> <li>3) No time for funds wasted on passing discussion in any motion for it needs less time for one to decide</li> </ol>	<ol style="list-style-type: none"> <li>1) Those governed have no freedom to decision making</li> <li>2) The Government t suffers a great deal i.e. death</li> <li>3) Always his reign doesn't last longer</li> <li>4) No development is noticed since most people don't participate</li> <li>5) Those governed easily drop out since their view are not considered</li> <li>6) Triggers possibility of growth of other groups</li> <li>7) -Spend funds of his group on his intentions</li> </ol>

### C) Laissez-Faire Leadership Styles

**Definition:** This is the type of leadership whereby followers or subordinates are given tasks and left alone to decide their way forward

<b>Advantages</b>	<b>Disadvantages</b>
<ol style="list-style-type: none"><li>1) Decision of members is taken on put in action without forcing them</li><li>2) Specific timetable is freely set by the members</li><li>3) Identification of problems within that period is realized</li><li>4) Easy to define goals in the group</li><li>5) Minority building ideas is harvested from less active people in the group</li></ol>	<ol style="list-style-type: none"><li>1) Encourage a lot of laziness amongst people</li><li>2) A lot of time is wasted on decisions</li><li>3) Expert ideas are realized</li></ol>

### Summary of Leadership Styles

<b>Best leadership style-Democratic &amp; Reasons</b>	<b>Qualities of a Good Leader</b>
<ol style="list-style-type: none"><li>1. Every member is involved</li><li>2. Everyone cares</li><li>3. Everyone is a beneficiary (both gender and youth)</li><li>4. Everyone contribute equally</li><li>5. Everybody's opinion heard and respected</li><li>6. There is transparency and accountability</li><li>7. Success of the project is high</li></ol>	<ol style="list-style-type: none"><li>1) Listens</li><li>2) Patient</li><li>3) Polite</li><li>4) Good role model</li><li>5) Determined</li><li>6) Willing</li><li>7) Trustworthy</li></ol>

### Conclusion

Leadership skills improvement is necessary if Water User Association have to develop and serve the people in a cordial environment generally Water User Association leaders have to be democratic.

## 9.0 **ACTIVITY FIVE: CODE OF CONDUCT AND ETHICS FOR WATER USER ASSOCIATION LEADERS**

### Purpose:

This code contains general rules of conduct and ethics to be observed by the members, so as to;

- 1) Enable the Water User Association to offer service to its members and to facilitate the success of implementation of the water and sanitation projects of the Association,
- 2) Ensure that Community uphold the democratic principles of accountability, transparency and good governance
- 3) Improve the leadership and governance skills to its members

- 4) Building capability for teamwork
- 5) Instil judgement and effective decision making
- 6) Create effective communication skills

## Plenary Presentation

### Introduction

A Water User Association is an autonomous association of persons within a community united voluntarily and in this case to meet their common water services needs and to improve their social standards, through jointly owned commercial and democratically controlled enterprise

The management of Water User Associations is vested in a duly elected management committee whose members are expected to perform their duties with accordance to the Articles of Association. This requires performance of duty prudently and diligently with loyalty, integrity, impartiality, and on behalf of the members to whom they stand accountable and responsible

### Application: Members shall adhere to this code in both their public and private lives

<p><b>1.</b> Integrity, Efficiency Responsibility to the Association</p>	<p>A member shall:</p> <ol style="list-style-type: none"> <li>a) Perform their duties with diligence, prudence and efficiency</li> <li>b) Serve with courtesy ,honesty ,partiality integrity, probity and objectivity</li> <li>c) Be committed to duty and be available for the duties bestowed by the WUA</li> <li>d) Make sure that non-official activities do not interfere with their official duties or affect the dignity of their office</li> <li>e) A member shall ensure that he carries out their duties in away that is consistent with being part of their association</li> <li>f) Maintain at all times the ethical standards, which the community expects of him in transacting official business</li> <li>g) Except furtherance of official duties, not publicly comment on the matters in relation to which he has been professionally involved, or</li> <li>h) Expressly by implication, not represent that any public comments they make reflect the views or opinions of their association if that is not the case</li> </ol>
<p><b>2.</b> Religious Neutrality</p>	<p>a) Regardless of religious belief and opinion maintain neutrality and not make comments that criticise a religion or way of religious belief</p>
<p><b>3.</b> Ethnic Affiliation</p>	<p>a) Regardless of their ethnicity maintain neutrality and not make public comments that criticise an ethnic community</p>
<p><b>4.</b> Political Affiliation</p>	<ol style="list-style-type: none"> <li>a) A member shall not be a holder of apolitical office at the same time as they are a member</li> <li>b) A member is entitled to their own views on political matters, but shall not be permitted, in the course of the performance of their duties, to express those views publicly or seek to influence</li> </ol>

	their colleagues or those who seek their services to subscribe to their political beliefs
<b>5. Political Comments</b>	Any member shall not: a) Make public comments that support or criticise a political party b) Make public comments that may compromise, or may reasonably be seen as to compromise, the political neutrality of the office
<b>6. Canvassing Gifts etc</b>	a) A member shall not canvass either directly or indirectly for any favours or personal interests in the committee or in the association b) A member shall i) shall not accept or request for gifts in exchange of favours ii) it is the duty of a member to make reasonable inquiry before accepting such gift c) An officer shall neither ask for nor accept property or benefit of any kind for himself or for any person, on account of anything to be done or omitted to be done, by him in the discharge of his duties by virtue of his official position d) An officer who is given a gift described above shall, even where the gift is deemed to be the gift of the Association e) Report the matter to management committee, which shall direct the appropriate mode of disposal of the gift and; f) Comply with any such direction
<b>7. Conflict of interests</b>	A member is required to observe the following requirements in relation to their private interests b) They shall not associate outside their official duties with any financial, or activities in circumstances where there could be suspicion that their official position or official information available to him was being turned to their private gain or that of their associates; c) They shall not engage in any occupation or business that might prejudice their status as members or bring the association in disrepute
<b>8. Improper Enrichment</b>	A member shall not use their position to improperly himself or to others; a) Without limiting the generality of the above, shall not:- Accept or reject gifts or favours from person who:- i) Has interest that may be affected by the carrying out of the members work or duties ii) Carries on regulated activities with respect to which the member organisation has a role iii) Has contractual or similar relationship the members organisation/association b) For the personal benefit of himself or another, use or allow the use of information that is required in connection with the members duties and that is not public c) Provided that the above part does not prevent a member from accepting a gift from a relative or friend given on special occasions recognised by custom d) Award contract or influence the award of a contract Himself i) A spouse or relative ii) A business associate



	iii) A corporation, partnership or other body in which they has an interest e) If any of the above is interested in a tender, shall declare that relationship or interest and abstain from voting
<b>9. Conduct of Private Affairs</b>	a) A member shall conduct their private affairs in a way that maintains public confidence in the integrity of their office b) A member shall not evade taxes c) A member shall not neglect their financial obligations or neglect to settle them
<b>10. Sexual Harassment</b>	a) A member shall not sexually harass a member of the public or fellow member i) 'Sexually harass' includes doing any to the following, if the person doing it knows or ought to know that is unwelcome ii) Making request or exerting pressure for sexual activity or favours iii) Making intentional or careless physical contact that is sexual in nature iv) Making gestures, noises, jokes or comments, including regarding another sexual activity

## **10           ACTIVITY SIX: ELECTION OF WATER USER ASSOCIATION LEADERS**

### **Objectives**

To make the leaders understand the importance of elections and also undertake peaceful elections.

### **What is Election?**

There are some terminologies that should be made clear so as to understand what election is. The terminologies are;

- ❖ Election means the process of selecting a candidate to represent interests of others who have common goal.
- ❖ Appointment – Choosing a person through writing.
- ❖ Nomination – Choosing a person through a word of mouth (verbal statement).
- ❖ Electoral area means a region that is represented by or located to candidate.
- ❖ Returning Officer means a person appointed by the authority e.g. the Minister or Government to be in charge of an electoral process in a defined electoral area.
- ❖ Presiding Officer means a person in charge of an electoral process.

### **Who Should Carry Out Election?**

In the social circumstances the community who may be described or categorized as constituents, members or congregation carries out elections. Socially these persons belong to various types of community groups such as political party, business/social

groups or a church. In their own rights members of these groups are mandated to carry out elections.

Elections are carried out in a duly convened meeting. The meeting is normally programmed to take place within a given time, for example every year or after every two, three or five years. A notice of the election must be given and issued out to allow members (stakeholders) to participate effectively in the elections.

### **Who Should Be Elected?**

An aspiring candidate normally presents him/her –self to the members (people / members) for consideration of the election. From experience the eligibility for election depends on;

- ❖ Age                      A candidate should be between 21 and 70 years of age.
- ❖ Active                    A candidate must be active in the affairs or interests of the CBO
- ❖ Has interest            A candidate must have interest in the CBO
- ❖ Literate                 A candidate must have basic literacy.
- ❖ Committed             A candidate must not be delinquent or of unsound mind.
- ❖ Character               Must have good character and be a role model.

### **Model of Elections**

There are various styles of conducting an election, the main ones being;

- ❖ Secret ballot
- ❖ Show by hands/Raising hands
- ❖ Queuing, popularly known as “**Mlolongo**”

All these styles or strategies have one common feature i.e. One-person one vote

### **Timing of Election**

Elections are conducted periodically and must be spelt out very clearly in the regulations/ constitutions of the Water User Associations (WUA).

### **Election Procedures**

Some of the election procedures are;

- ❖ Nomination of candidates
- ❖ Registration of members
- ❖ Voting.
- ❖ No proxy \*
- ❖ One person, one vote
- ❖ No casting vote

**NB:** \* some community groups allow proxy voting.

### **Institutions Created By an Election**

An election creates offices such as those of a chairman, vice chairman, treasurer and secretary. These officers or posts are usually referred to as executive. Other officers are those of deputies.

## Term of Office

Elected persons hold office for a specified period of time, which is defined in the constitution. The life of an office is normally linked to timing of elections.

## Appeal against an Election

Traditionally there are accepted ways of solving common disputes in a community, which may include election disputes. Rather than go through the expense of another election the authority may use a number of methods to settle election dispute such as;

- ❖ Panel of elders
- ❖ Arbitration.
- ❖ "A Chance Method" to decide the winner. Such methods are;
  - Flipping a coin
  - Taking a number from a box

## Conclusion

Holding proper elections is one way of sustaining interest in community organizations. However elections can be volatile where the resources of CBO are more and therefore more people become interested.

# 11 ACTIVITY SEVEN: OVERVIEW AND FORMULATION OF WATER USER ASSOCIATION CONSTITUTION FOR WATER& SANITATION PROJECTS

## Objective

Enhance better understanding of the Water User Association constitution and key articles for effective management of water and sanitation projects

### a) Introduction

WHAT CONSTITUTION DEFINES	RATIONALE FOR GOOD CONSTITUTION	BENEFITS OF LEGAL COMPLIANCE
<ol style="list-style-type: none"><li>1. Objectives of the group/WUA</li><li>2. Organisational structure with committees and officials</li><li>3. Who has authority to make decisions on behalf of the group</li><li>4. What funds can be used for and how they should be accounted for</li><li>5. How to elect leaders and how long they can stay in</li></ol>	<ol style="list-style-type: none"><li>1. Help the group/WUA to realise its objectives</li><li>2. Protect individual interests within the context of serving the group objectives</li><li>3. Minimise risk to the project from authoritarian or weak leadership</li><li>4. Provide systems of accountability to the membership</li></ol>	<ol style="list-style-type: none"><li>1. Legal recognition means the project can open bank accounts;</li><li>2. Compliance with laws in regard to permits and licenses means the project will not be closed down or harassed by government officials for non-compliance;</li><li>3. Project assets will be protected from disputes on ownership;</li></ol>

office <b>6.</b> How often meetings should be held and how they should be conducted <b>7.</b> How the constitution can be changed	<b>5.</b> Make the group operate efficiently <b>6.</b> Minimise conflicts by being clear on rules and procedures	<b>4.</b> Project will be protected from poor service by service providers through use of proper contracts; <b>5.</b> Proper written contracts will minimise disputes and provide Clear information on what has been agreed between the contracting parties.
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## b) Constitution And Key Articles

ARTICLES	KEY ASPECTS OF THE CONSTITUTION
Article 1	Provides the name of the water user association
Article 2	The office location and address of the water user association
Article 3	Provides the purpose of the water user association
Article 4	Explains definitions and interpretation
Article 5	States the objectives and the mandate of the water user association
Article 6	Explains the duties of office bearers
Article 7	States the membership and governance issues
Article 8	Explains how to conduct meetings and quorum
Article 9	Explains the management committee issues-composition, eligibility, elections of the management committee, terms and condition of service, powers and duties of the management committee, proceedings, indemnity
Article 10	Specify the rules and by-laws for the management committee
Article 11	States the assets and register
Article 12	Explains the investment and trustees
Article 13	Specifies the accounts and audits
Article 14	Explains rules and by-laws
Article 15	Explains amendments
Article 16	Specifies Water User Association dissolution
Article 17	Provides list of interim office bearers at the time of WUA registration

## c) Issues Arising from Constitutions

COMMON CASES WHERE WUA CONSTITUTIONS ARE OVERLOOKED	STEPS THAT A GROUP/WUA CAN TAKE TO MINIMIZE THE CONSTITUTION BEING OVERLOOKED
<b>1.</b> Timing of AGMs; <b>2.</b> Conduct of AGM; <b>3.</b> Notice period for AGM; <b>4.</b> Frequency of elections; <b>5.</b> Holding committee meetings when there is a lack of quorum; <b>6.</b> Utilisation of funds for purposes stated in constitution	<b>1.</b> Ensure all project members have a copy of the constitution and have had a chance to be inducted into the constitution"; <b>2.</b> Appoint an oversight or audit sub-committee whose job it is to ensure that the constitution is followed and to raise any points to the main committee where the constitution is overlooked; <b>3.</b> In cases where the constitution is impractical, then it is necessary to make a change to the

constitution so that it can be followed more easily.

**d) The risk to the group in the event that the constitution is not followed includes:**

1. Authority of the constitution is diluted and no longer serves as the guiding tool for the group;
2. Conflicts can arise because the rules "have been suspended";
3. Fraud and malpractices can be allowed to continue without the members realizing

**e) Different Type of Meetings as Stipulated in the Constitution**

TYPE OF MEETINGS	RATIONALE
1. Committee Meetings	<ol style="list-style-type: none"> <li>1. Held regularly, e.g. once every month by the project committee members.</li> <li>2. To discuss matters mainly concerning administration of the project.</li> </ol>
2. Sub-Committee Meetings	<ol style="list-style-type: none"> <li>1. A project committee may divide itself into various subcommittees</li> <li>2. These hold their meetings as necessary to discuss specific matters of the project</li> </ol>
3. Annual General Meetings	<ol style="list-style-type: none"> <li>1. Organized and called by the committee once every year</li> <li>2. The purpose is to inform members about issues concerning their Project accounts and other specific matters (such as elections and project progress).</li> </ol>
4. Special General Meetings	<ol style="list-style-type: none"> <li>1. Held when there is special business to be discussed by the members.</li> <li>2. These meetings are often seen as extra-ordinary meetings</li> </ol>

**f) Roles and responsibilities of some Water User Association positions**

POSITION	ROLE	RESPONSIBILITIES
<b>1. Water User</b>	To use the water responsibly and efficiently	<ol style="list-style-type: none"> <li>1. Pay the bills/ water user fees on time</li> <li>2. Report pump breakdown and any default on the pump</li> </ol>
<b>2. Project Members</b>	<p>To ensure the project continues to provide value for money giving the benefits it was developed to provide</p> <p>To keep the leaders accountable in ensuring the service delivery</p>	<ol style="list-style-type: none"> <li>1. Developing and following an effective constitution</li> <li>2. Electing an effective management committee</li> <li>3. Keeping the management committee accountable for their actions</li> <li>4. Attending project meetings when required and giving ideas on how best to run the project</li> <li>5. Participate in community work whenever necessary</li> <li>6. Offer to serve in the leadership</li> </ol>

<b>3. Management Committee</b>	To manage the project effectively and sustainable	<ol style="list-style-type: none"> <li>1. To organize and call AGM and other meetings</li> <li>2. To run project bank account</li> <li>3. To prepare project budgets</li> <li>4. To plan and implement water development activities including tariff setting, metering, membership registration, society registration, etc</li> <li>5. To ensure equitable distribution of project benefits</li> <li>6. To keep and maintain project records</li> <li>7. To ensure project accounts are audited</li> <li>8. Conflict resolution</li> </ol>
<b>4. Chairman</b>	Provide leadership to the management committee to enable it to fulfill its roles	<ol style="list-style-type: none"> <li>1. Chair all project meetings</li> <li>2. Guide on project policy matters</li> <li>3. Ensure all project records are properly maintained</li> <li>4. Ensure smooth running of project activities</li> <li>5. Enforcement of by-laws</li> </ol>
<b>5. Secretary</b>	Keep all the records of the organization	<ol style="list-style-type: none"> <li>1. To record minutes of all meetings</li> <li>2. To maintain a Minute Book</li> <li>3. To maintain a Members Register</li> <li>4. To ensure that the water supply correspondence is correctly and efficiently attended to</li> </ol>
<b>6. Treasurer</b>	To be responsible for all finances of the organization	<ol style="list-style-type: none"> <li>1. Keep records of the WUA assets and finances</li> <li>2. To check all payments</li> <li>3. To sign all payment vouchers</li> <li>4. To ensure banking of all monies received on behalf of the water supply</li> </ol>

## **12 ACTIVITY EIGHT: CODE OF BEST PRACTICE AND ETHICS FOR WATER USER ASSOCIATION TO IMPROVE GOVERNANCE AND MANAGEMENT**

### **Purpose**

To improve the governance and management capacity of the water user association with view of enhancing effective service delivery to the respective communities and water user association members

<b>CODE OF BEST PRACTICE AND ETHICS</b>	<b>RATIONALE</b>
<b>1. MEMBERSHIP</b>	To ensure that the water and sanitation scheme is controlled and owned by all members of the community, membership of the Water User Association should be non-discriminatory and should include all regular users of the water facility regardless of ethnicity, clan or gender.
<b>2. EQUITY</b>	It is the responsibility of the Water User Association to ensure equal access to all members, including the poorest 20% of households in the community, as well as women and all minority groups. Where necessary, those who are unable to pay fees

	should be exempted at the discretion of the Water User Association management committee
<b>3. MANAGEMENT COMMITTEE</b>	To promote gender equity, and in line with best practices, the Water User Association management committee should comprise a <i>minimum</i> of 40% women. In addition, the Chairperson or Treasurer (or both) should be a woman.
<b>4. ELECTIONS AND NOMINATIONS</b>	To ensure that management committee officials do not become entrenched and be tempted to misuse their powers and responsibilities, the Water User Association management committee elections and nominations should be held at least once every two years. In addition, individual committee members should not hold office for more than two terms.
<b>5. MEETINGS</b>	To ensure that all the Water User Association members are fully updated on all management decisions, and financial progress, at least two General Meetings of all Water User Association members should be held per year. At these meetings at least 70% of members should attend. In addition, to ensure the effective management of water and sanitation services, the Water User Association members management committee should meet not less than once every 2 months with a quorum of 70% of committee members.
<b>6. FINANCIAL MANAGEMENT</b>	To promote transparency and accountability, the Water User Association should appoint a separate committee responsible for crosschecking accounts on a quarterly basis. In addition, the treasurer should present fully audited accounts annually to the Water User Association members. Any changes in the budgets and expenditure will be agreed on by the Water User Association members (in a special general meeting).
<b>7. CAPACITY BUILDING</b>	In order to facilitate the effective management of the Water User Association the management committee members should have the necessary capacities, and, where necessary, undergo relevant training
<b>8. LEGAL STRUCTURES</b>	In order to protect the rights of the community and promote community responsibility for water and sanitation facilities, all assets should be legally owned by the Water User Association. In addition, all management committee members should be fully liable for any mismanagement of the Water User Association and its assets, including financial mismanagement Water User Association need to be legally registered with the government in order to undertake legal proceedings.

## 13 ACTIVITY NINE: FINANCIAL MANAGEMENT AND FINANCIAL CONTROL PLAN

### Objective

To make the leaders understand how to handle primary documents and also apply them in the day-to-day running of the Water User Association  
Plenary presentation

### Introduction To Financial Management Process

<b>What are Primary Documents?</b>	<b>What are Secondary Documents?</b>
Primary documents are usually records where initial information of transaction in a WUA is indicated. They provide evidence that a transaction has taken or took place.	The recorded information is transferred to the books of account, which are basically referred to as secondary documents e.g. Cashbook and Ledger
<b>What Records Does a Water User Association Keep?</b>	<b>Why Should a Water User Association Keep Records?</b>
<ul style="list-style-type: none"> <li>• Members register</li> <li>• Assets register</li> <li>• Stocks cards and stock taking journal</li> <li>• Primary documents             <ul style="list-style-type: none"> <li>- Receipts</li> <li>- Payment vouchers</li> <li>- Purchase order book</li> <li>- Invoice</li> <li>- Goods receipt Note</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• For future reference</li> <li>• For planning purposes</li> <li>• For stock management</li> <li>• To know WUA debtors/creditors</li> <li>• To know cash position</li> <li>• To know its assets</li> </ul>

### Members Register

Member's register contains list of members and their personal names among other details, an example is given below.

#### Members Register.

M/No.	Name	Membership fee	Date of entry	Nominee Witness	Remarks
01	M. Nyongesa	3	6/6/2000	E. Khaemba	

### Assets Register

Register maintains record of Water User Association assets, an example of an assets register is given here below;



## Assets Register

Date	Supplier	Quantity	Cost	Total (Kshs).	Registration No.
5/9/05	KJ Suppliers	2 chairs	@Sh.500 each	Sh.100	-MWG/Chair/1 -MWG/Chair/2

## Invoice

Is a list of goods purchased, showing their condition, quality, price and terms of sale by the supplier?

## Receipt Book.

A document showing evidence that money INTO the Water User Association is received and records are kept.

## Payment Voucher.

A document showing evidence that money OUT of the Water User Association is paid and recorded. Example of a payment voucher is given in table below.

### Payment Voucher

Name. ....	Date. ....	
M/S.....		
<b>Description</b>	<b>Kshs.</b>	<b>Cts</b>
Authorization ..... .....		
Payee.....		

## Stock Taking Journal

Stock taking journal shows quality of stock its status and value, example of the journal is shown here below.

### Stock Journal

Date	Stock Excess		Stock Deficit		Present Physical Stock		Type of Stock
	Qty	Kshs.	Qty	Kshs.	Qty	Kshs	

## Order book

Order is used by a Water User Association to order for goods or services. Example is given in table below.

### Order

From.....	.....
To.....	.....
Please supply the following goods / services and charge to our A/C	
.....	
Quote the above Order No. On all invoices.	
No.....	Sign.....

## Delivery Note

Delivery note is a document specifying that goods/services have been delivered example of a delivery note is as below.

### Delivery Note

Delivery NoteDate.....
M/S.....
From order.....
No.....
Please receive the under-mentioned in good condition.....

## Cheques

Cheque is a negotiable instrument i.e. is a document used for paying or settling a debt. Example of a cheque is given below

### Cheque

	<b>Date:</b> .....
<b>Pay</b> .....	
<b>KenyaKshs.</b> .....	
	<b>Signed by:</b> .....
	<b>Chairman:</b> .....
	<b>Secretary:</b> .....
	<b>Treasurer:</b> .....

## Cash Book

It is a record of all cash or cheque received and paid (in-out) in the transaction of business. The information recorded in the cashbook is from primary document. Example of a cashbook is given in table below.

## Cash Book

Date	Narration	PV R No.	Receipt		Payment		Cheque No.
			Cash	Bank	Cash	Bank	
1/6/13	Shares	RI	2,000				
3/6/13	Donation		200,000				05642
6/6/13	Shares		8,000				
7/6/13	Materials				10,000		
	TOTALS		10,000	200,000	10,000	-	

## Ledger

The ledger is a summary of all transactions in a business. It is a document of secondary entries. Final accounts are drafted from the accounts in the ledgers. When writing a ledger one should:-

Identify the account then use the Rule of;

- Value Received "IN"
- Value Given "OUT"

Example of entries in the ledger is provided below;

Bahati Water User Association bought materials worth Kshs.10, 000 entries in the ledger are therefore organized as:-

### Cash Account

IN	OUT
	Materials Kshs.10, 000.

### Material Account

IN	OUT
Cash Kshs.10, 000	

## Statement of Affairs

This record reflects a summary of all accounts in the ledger. Example

### Statement Affairs

Account	IN	OUT
Cash A/C		Sh.10, 000
Materials	Sh.10, 000	

## Conclusion

Committees should avoid making payments for unbudgeted activities. The committee appreciated the importance of keeping proper books of accounts for accountability and transparency purposes.

## 14 ACTIVITY TEN: FINANCIAL CONTROL PLAN PROCESS

### Purpose

To assist the water user association and the respective committees undertake their responsibilities and enhance checks and balances in management of funds

KEY ASPECTS	ACTION NEEDED	BY WHO	WHEN
1. Ensuring that monthly income and expenditures tally with money in bank and petty cash box.	Monthly bank reconciliation	Accountant Chairman of Financial Sub-committee	Monthly
2. Ensuring that all receipts, vouchers, accounts etc being properly kept.	Internal and External Audit	External Audit Chairman of Audit Sub-committee	Internal audit quarterly External audit manually
3. Ensuring that assets belonging to the project are properly recorded	Check expenditures against approved budget	Accountant Counter checked by Chairman of Financial Sub-committee	quarterly
4. Ensuring that expenditures are consistent with approved budget	Check expenditures against approved budget	Chairman of Audit Sub-committee	Monthly or quarterly
5. Procurement is following approved guidelines.	Procurement Audit Procurement notices places	Chairman of Audit Sub-committee	
6. Members /consumers are informed of project accounts	The following documents should be presented at the AGM: <ul style="list-style-type: none"> <li>• Annual budget</li> <li>• Annual report</li> <li>• Audit report</li> </ul>	Project Chairman	Annually
7. Revenue is consistent with budget	Reconcile monthly revenue against budget	Accountant Chairman of Financial Sub-committee	Monthly
8. Audit queries are dealt with properly	Maintain record of Audit Quarries and action taken		Quarterly

## Day Two

- **Group Development Dynamics**
- **Setting up water tariffs and fees**
- **Revenue collection**
- **Concept of sustainability & Empowerment of Water Users**
- **Code of Best practice and Ethics to improve Governance and Management**
- **Community Participation in Water and Sanitation projects**
- **Hygiene and sanitation promotion**
- **Operation and Maintenance (Story with A gap)**
- **Community Action plans and way forward**

## 15 ACTIVITY ELEVEN: GROUP DEVELOPMENT DYNAMICS

### Purpose

To enhance group leadership skills and form the leaders on critical stages in-group or Water User Association Development

### Methodology -Plenary Presentation

#### a) Introduction

What is a Group?	Importance of a Group?
A group is a collection of individuals intending to have a common aim under the direction of one leader. Members of a group share a sense of common identity. Therefore a group is more than an aimless crowd of people	Individual need groups since they provide: <ul style="list-style-type: none"> <li>• Stimulus</li> <li>• Protection</li> <li>• Assistance and other social and psychological requirements</li> </ul>

#### c) Group Behaviour analysis

Behaviour/Cohesiveness	Development
<b>Stage1: Forming</b> A CBO at this stage finds out why it should exist. It should find out what tasks, rules and methods it is going to adopt. To achieve their objectives.	<b>Undeveloped team</b> Feelings are avoided; objectives are uncertain. The group starts to acquire information and resources and mostly relies on the leader for decisions.
<b>Stage2: Storming</b> During the storming stages a CBO develops internal conflicts and members resist tasks and by –laws/rules and emotional levels are high.	<b>Experimenting Team</b> Issues are faced more openly and listening takes place.
<b>Stage3: Norming</b> Conflict is settled; cooperation develops;	<b>Consolidating Team</b> Personal interaction is established on a cooperative

Views opinions and ideas are exchanged and new standards of relations (norms) are developed	basis, tasks and roles are clarified, objectives agreed and tentative procedures implemented
<b>Stage 4: Performing</b> Teamwork is achieved; roles are flexible; solutions to problems are found and implemented	<b>Mature team</b> Feelings are open, a wide range of options Considered, working methods are methodical leadership styles is contributory, individuals are flexible and the group recognizes its responsibility.

## Development of Groups and Water user Associations

<b>Reasons for Formation of Groups</b>	<b>Characteristics of an Effective Group</b>	<b>Factors that hold a group together and Disadvantages of Having a Group</b>
<ol style="list-style-type: none"> <li>1. Certain tasks can only be performed through the combined effort of</li> <li>2. a number of individuals working together;</li> <li>3. Groups may encourage cooperation between members;</li> <li>4. Groups may provide companionship and a source of mutual</li> <li>5. understanding and support from colleagues;</li> <li>6. Membership of a group provides the individual with a sense of belonging;</li> <li>7. The group provides guidelines on generally acceptable behaviour;</li> <li>8. The group may provide protection for its membership</li> </ol>	<ol style="list-style-type: none"> <li>1. A belief in shared aims and objectives.</li> <li>2. A sense of commitment to the group.</li> <li>3. Acceptance of group values and norms.</li> <li>4. A feeling of mutual trust and dependency.</li> <li>5. Full participation by all members and decision making by consensus.</li> <li>6. A free flow of information and communication.</li> <li>7. Open expression of feelings and disagreements.</li> <li>8. The resolution of conflicts by members themselves.</li> <li>9. A lower level of turnover, absenteeism, errors and complaints</li> </ol>	<ol style="list-style-type: none"> <li>1. Similarity of work</li> <li>2. Physical proximity</li> <li>3. Group size (smaller rather than large)</li> <li>4. Commitment to deal with threats from outside and within</li> <li>5. The prospects of rewards</li> <li>6. Leadership style of the committee /manager</li> <li>7. Common social factors (age, race, social status, etc)</li> </ol> <p><b>Disadvantages of having a group:</b></p> <ol style="list-style-type: none"> <li>1. It can be time consuming in making decisions;</li> <li>2. It can promote dependency of individuals on the group</li> </ol>

## 16 ACTIVITY TWELVE: SETTING UP WATER TARIFFS AND FEES & REVENUE COLLECTION

### Purpose

To understand the setting of tariffs and fees to improve revenue collection and base for water user association. The purpose of this session is to establish the financial basis for sustainable operation, along with the considerations that go into setting a tariff structure. Without proper agreed tariffs, the community water project will not be sustainable as either the members will feel they are paying too much money or there will be no funds to pay for operation and maintenance. It is important that members fully appreciate the reasoning behind the tariffs and why it is important that all pay their bills.

### DRAMA /ROLE PLAY PRESENTATION

#### *The Story of the Role Play*

*The community borehole is ready and in use. No charge is paid for water collected. There is a long line of people waiting to collect water. On the line following each other closely are four girls from Wambua's household who are collecting water. Kamende, Mutiso's wife is not happy that so many people from one family are collecting water while she has to wait for so long. Elizabeth, the pump operator tells Kamende to be patient as the Wambua's family is so large and so requires lots of water. Kamende is not happy. She asks if they had to pay a charge, would they collect so much? She goes home and reports her annoyance to her husband. Mutiso's family members also report the incidence to Wambua. Wambua meets Mutiso meet on the road and warns him to tell his wife to leave his family alone adding that he is not responsible for Mutiso's family being so small. Mutiso is very unhappy about Wambua's utterances.*

*Shortly after this incidence, the hand pump breaks and the money needed for its repair is not available. The Water User Association decides that John, the Secretary should collect money from users to pay the cost of repair. He meets Julie for her contributions and she pays, but when he asks Mutiso, he tells him to go and get the money from those who they like to give lots of water to. Wambua happens to be passing by and he then comes up to query Mutiso for his remarks. Eventually, only a few people accepted to pay for the repairs and therefore the pump could not be repaired.*

The following are the key questions raised in the role play;

1. Why could the pump not be repaired?
2. Why did Mutiso and Wambua quarrel with each other?
3. When would be the best time to raise money for the maintenance of the pump?
4. What could be done to prevent people like Mutiso and Wambua from quarrelling in the future?
5. What other uses can money generated from the collection of user charges be put to?

## Learning Point

Responses to the above questions are expected to emphasize:

- The ease with which people pay for items they have immediate needs for against needs to be met later
- The need to fix a rate of payment for water collected from hand pump
- The importance of having a collectively agreed upon system for doing certain things
- The need to develop an acceptable system for collecting water from the water point

## Plenary Presentation

### Commonly used Tariff Structures

Tariff Structures	Rationale
1. Flat rate per household per month or per year	The advantage is that it is easy to implement. Tariff is unfair in that low consumers pay the same as high consumers.
2. Flat rate per unit volume	Water gathered from a hand pump is commonly sold at a single price for a uniform container (e.g. 20 litre jerry can). For metered connections, the tariff is fixed at a single rate for each cubic metre of water.
3. Block tariffs	The tariff is different for different quantities of water. Typically the tariff increases as the total volume. The advantage of the block tariff is that it enables a low tariff to be charged for small consumers and higher rates to be charged to larger consumers (a pro-poor structure). This encourages consumers to reduce consumption and be more
For a water project to be financially self-reliant, the tariff should be set according to one of these two scenarios	
Full cost recovery	The tariff is set to generate sufficient revenue to meet operational and capital replacement costs
Partial cost recovery	The tariff is set to generate sufficient revenue to meet operational costs only. The project has a risk that when capital costs are required to replace assets (equipment, pipes, tanks, etc) it does not have sufficient revenue to meet these costs

### Difference in tariffs and objectives of tariff setting

DIFFERENCE IN TARIFF SETTING	OBJECTIVES IN TARIFF SETTING
<p>Good tariff setting usually differentiates between:</p> <ol style="list-style-type: none"> <li>1. Communal water point or kiosks</li> <li>2. Individual private household connections</li> <li>3. Connections to institutions (schools, health centers, church/mosque)</li> <li>4. Connections to business premises/commercial</li> </ol>	<p>The <b>objective in tariff setting</b> is to raise sufficient revenue to meet the operational (and possibly capital replacement) costs in a way that is:</p> <ol style="list-style-type: none"> <li>1. Fair and equitable;</li> <li>2. Affordable (takes into account people's ability to pay);</li> <li>3. Justifiable (does not involve unreasonable profit or exaggerated costs);</li> </ol>



enterprises/agricultural use  
5. Animal watering

4. Easy to administer and control.

## SETTING HOUSEHOLD TARIFFS FOR A HAND PUMP WATER SUPPLY

### Setting household tariffs for a hand pump water supply

(1) Salary of water attendant (S): Ksh 6,000/month = Ksh 72,000/year

(2) Total Annual maintenance cost (M): Kshs 2,000/month = Ksh 24,000/year  
(technician, mason, pump spares and materials)

3) Current Replacement cost of pump: = Ksh 75,000/-

Estimated no. of yrs before replacement: = 5

Approximate interest rate: = 15% per year

Annuity (A) = Ksh 22,374/- (see note below)

No. of households: N = 100

Annual Household tariff:  $H = (S+M+A)/N = \text{Ksh } (72,000+24,000+22,374)/100 = \text{Ksh } 1,184$

Cost per household/month: Ksh 99 ~ say Ksh 100

### Note:

Annuity is the amount which needs to be saved each year to replace the pump/system. It is a function of the expected lifespan of equipment and the interest rate. It does not consider inflation but allows for devaluation which is typically more important in developing countries. In this case our interest rate is 15%, number of payments is 5 (one per year), and the sum to be raised is Ksh 75,000/-. The annuity of Ksh 22,374/- is the amount that, if saved each year for 5 years earning interest of 15% will provide a sum of Ksh 75,000/-. Inflation can be included in the calculation by estimating the inflation rate. Let us assume 12% per year. We would therefore need to raise Ksh 132,176 ( $75,000 \times (1 + 0.12)^5$ ) /- in the fifth year to replace the pump which means we would need to save Ksh 39,430/- per year to keep up with inflation.

### A Revenue Collection System Must Be:

1. Accurate – to minimize customer complaints;
2. Convenient for consumers and WUA – easy payment systems;
3. Safe – minimize risk to WUA staff, use safe cash handling Systems
4. • Fair – apply equally to all consumers
5. • Enforceable – punitive measures against defaulters

## **17 ACTIVITY THIRTEEN: OPERATION & MAINTENANCE ASPECTS AND CONCEPTS OF SUSTAINABILITY & EMPOWERMENT OF WATER USERS**

### **Purpose**

To facilitate community capacities to enhance sustainability of the water programs and understand the initiatives to take in addressing effective management.

### **Plenary Presentation**

#### **Rationale For Improving Sustainability And Management In Community Water And Sanitation Project**

<b>SUSTAINABILITY FOR A WATER PROJECT IS BEING ACHIEVED WHEN</b>	<b>INDICATIONS OF FAILING MANAGEMENT</b>
<ol style="list-style-type: none"> <li>1. The water sources are not over-exploited but are naturally replenished;</li> <li>2. Water systems are maintained in a condition which ensures a reliable and adequate water supply;</li> <li>3. The benefits of the supply continue to be realized by all users indefinitely;</li> <li>4. The service delivery process demonstrates a cost-effective use of resources that can be replicated;</li> <li>5. The water supply system is maintained in a condition which is able to provide water services to meet the needs of the growing population and</li> <li>6. increasing water demand without external support</li> </ol>	<ol style="list-style-type: none"> <li>1. Hand pump/generator not being promptly repaired</li> <li>2. Large queues at water collection points</li> <li>3. Conflict between domestic users and livestock owners</li> <li>4. Continued external support</li> <li>5. Lack of trust between community and their leaders</li> <li>6. Stagnant waters around water points Leaking pipes not being repaired</li> <li>7. Broken tap stands</li> <li>8. Lack of fuel/replacement parts to power generator</li> <li>9. Conflict between WUA and other management structures – elders, Chiefs</li> </ol>

#### **Factors that prevent a project from realizing a virtuous financial position**

1. **High unaccounted for water**
2. **Corruption**
3. **Poor financial controls**
4. **Bad debts from customers who refuse to pay**
5. **Poor allocation of funds**
6. **Inefficient use of financial resources**
7. **Unreasonably low tariffs**

## **18 ACTIVITY FOURTEEN: COMMUNITY PARTICIPATION IN WATER AND SANITATION PROJECTS**

### **Purpose**

To help participants appreciate community involvement in project activities to achieve project ownership and management

### **Brainstorming and Plenary Presentation**

The following are the issues that come up from participants on the need for effective community participation in project activities

1. Develop sense of ownership
2. To make work easier
3. Promote social development
4. Share experience/skills
5. Promote indigenous technical skills/ expertise
6. Reduce wrangles /conflicts
7. Understand their roles
8. Promote accountability and reduce project costs via cost sharing
9. Empower the local community
10. Reduce donor dependency syndrome

## **19 ACTIVITY FIFTEEN: HYGIENE & SANITATION PROMOTION BASED ON 3-PILE SORTING CARDS**

### **Purpose**

1. To identify what households consider to be good and bad hygiene practices
2. To identify those good and bad hygiene practices that households honestly carry out and those good practices that they do not
3. To identify those factors that prevents households from performing the good practice.

### **Task**

1. Arrange posters in terms of good, in between and bad hygiene practices
2. Discuss and agree what actions can be done to improve the bad hygiene practices to good.

## Sample Group Presentation In Plenary

Good practices	In between	Bad practices
<ul style="list-style-type: none"> <li>◆ Use of rubbish pits</li> <li>◆ Feeding the child with a clean spoon</li> <li>◆ Storage of water in covered container</li> <li>◆ Washing hands with running water</li> <li>◆ Collecting of garbage into a rubbish pit</li> <li>◆ Drawing water using covered containers</li> <li>◆ Cleaning the environment</li> <li>◆ Boiling water</li> <li>◆ Washing hands after visiting the toilet</li> <li>◆ Boiling of water</li> <li>◆ Washing food before cooking</li> <li>◆ Using different cups for drawing and drinking</li> </ul>	<ul style="list-style-type: none"> <li>◆ Boy bathing in bathing hide with bucket on the floor</li> <li>◆ Disposal of Faecal matter</li> <li>◆ Washing clothes nearer to the water point</li> <li>◆ Incomplete disposal of Faecal matter</li> <li>◆ Uncovered water storage containers</li> <li>◆ Improper coverage of domestic water</li> <li>◆ Drawing water from unprotected well</li> <li>◆ Washing hands with soap from the same basin</li> <li>◆ Bathing in an open traditional bathroom</li> <li>◆ Good practice of washing but using water from the same basin</li> </ul>	<ul style="list-style-type: none"> <li>◆ Boys swimming in the river/pool of water</li> <li>◆ Defecating in water bodies</li> <li>◆ Defecating/urinating within the homestead</li> <li>◆ bathing and drawing water from the same point</li> <li>◆ open pail placed from chicken to drink water from open pail containing water and placed for animals (dog) to leak</li> <li>◆ transport water from open container and leaves placed inside the water to avoid spilling</li> <li>◆ defecating in open fields</li> <li>◆ sharing food with animals</li> <li>◆ washing face/drinking water from the water point</li> </ul>

## Proposed Solutions And Actions For Improving Bad Hygiene And Sanitation Behaviour's In The Community

1. *Proper latrine use*
2. *Boiling water for drinking*
3. *Store water in clean and covered containers*
4. *Proper use of garbage disposal pits*
5. *Conduct environmental health awareness campaigns*
6. *Wash hands at the following critical times*
  - ✚ *After latrine use*
  - ✚ *Before and after eating food*
  - ✚ *After cleaning child*
  - ✚ *After carrying /handling cabbage or waste*
  - ✚ *Before cooking food*

## 20 ACTIVITY SIXTEEN: COMMUNITY ACTION PLANS

### A) KAMUTHALE SUBLOCATION (TWAMWIA VILLAGE), KYUSO DISTRICT

OBJECTIVES	ACTIVITIES	HOW	WHEN	WHERE	WHO IS RESPONSIBLE
<b>1. Effective use of the water point and ensure sustainability</b>	Fencing of the water point	Community to avail poles & nails	13 <sup>th</sup> /6/13	Water Point site	Chairperson
	Agreement on Water user	Meeting for Community members	13 <sup>th</sup> /6/13	Water Point site	Chairperson
	Formulation of by-laws	Meeting for Community members	13 <sup>th</sup> /6/13	Water Point site	Chairperson
	Membership drive for water users	Registration of members	13 <sup>th</sup> /6/13	Visit households	Water User Committee
<b>2. Improve cleanliness around the water point and enhance domestic hygiene at households</b>	Hygiene and sanitation promotion	Use of PHAST Posters/tools	15 <sup>th</sup> /6/13	Water Point site	Water User Committee
<b>3. Enhance Documentation of project activities</b>	Purchase of record books	Buy all the relevant books i.e. Cash book, Receipt book, Membership register, Visitors book	27 <sup>th</sup> /6/13	Kamuongo Market	Chairperson
<b>4. Review of water and sanitation activities with community members</b>	General Meeting	All registered members to participate	4 <sup>th</sup> /7/2013	Water Point site	Chairperson

## B) NGUNI DIVISION (KAMLALANI VILLAGE) , MWINGI EAST DISTRICT

OBJECTIVES	ACTIVITIES	HOW	WHEN	WHERE	RESPONSIBLE
<b>1. Effective use of the water point and ensure sustainability</b>	Fencing of the water point	Community to avail poles & nails	16 <sup>th</sup> /6/13	Water Point site	Chairperson
	Agreement on Water user	Meeting for Community members	11 <sup>th</sup> /7/13	Water Point site	Chairperson
	Formulation of by-laws	Meeting for Community members	11 <sup>th</sup> /7/13	Water Point site	Chairperson
	Membership drive for water users	Registration of members	11 <sup>th</sup> /7/13	Visit households	Water User Committee
	Construction of cattle trough	Water committee to engage artisan	11 <sup>th</sup> /7/13	Water Point site	Chairperson
<b>2. Improve cleanliness around the water point and enhance domestic hygiene at households</b>	Hygiene and sanitation promotion	Use of PHAST posters/tools	18 <sup>th</sup> /7/13	Water Point site	Water User Committee
<b>3. Enhance Documentation of project activities</b>	Purchase of record books	Buy all the relevant books i.e. Cash book, Receipt book, Membership register, Visitors book	29 <sup>th</sup> /7/13		Chairperson
<b>4. Review of water and sanitation activities with community members</b>	General Meeting	All registered members to participate	6 <sup>th</sup> /6/13	Water Point site	Chairperson

## 21 LIST OF PARTICIPANTS IN THE TRAINING

<b>KAMUTHALE (TWAMIA) PARTICIPANTS</b>		<b>NGUNI (KAMULALANI) PARTICIPANTS</b>	
1	Francis Nzengu	1	Peter Nzoka Wambua
2	Mwarithi Musyoka	2	Joseph Musyoki Mathura
3	Ndumi Mulei	3	Joseph Kangalikya Muindu
4	Ngugi Nzoka	4	Kasyoka Munyoki
5	Lydia Mwendu	5	Ngei Mwingi
6	Esther Kyalo	6	Mulei Musaili
7	Mary Muli	7	Kzoma Mwasya
8	Mary Munani	8	Munyoki Mwinzi
9	Peter Musili	9	Mwende Peter
10	Margaret Samul	10	Mwende Masulu
11	Musee Mwendwa	11	Monica Simion
12	Peter Mwangangi	12	Mweni Mwendwa
13	Pius Mutemi	13	Kasamu Syingo
14	Reginah Jeremiah	14	Kalunda Wambua
15	Ngimo Joshua	15	Katimba Muthanaya
16	Rachael Mutemi	16	Kanza Mutinda
17	Mwende Musyoka	17	Katunga Maliki
18	Rose Kyalo	18	Kalima Katulu
19	Mbuli Mwenga	19	Mwoni Muli
20	Musya Muli	20	Mwema Mwora
21	Mwema Mutio	21	Nzomo Musoya
22	Wairimu Kilonzo	22	Kavuru Mwinzi
23	Mwatha Kimanzi	23	Muraa Mui
24	Patrick Muthengi	24	Katumba Muthange
25	Monicha Peter	25	Margaret Masao
26	Kimala Kisovo	26	Mwinza Malu
27	Karamba Musili		
28	Mwanziu Kunga		

## 22 PHOTO STORY



Complete borehole Rehabilitation and Six hours recharge testing at Kamuthale



Community Participation: Women bring in Ballast



Complete borehole rehabilitation and six hours of recharge testing at Nguni





Group Discussions & Presentations at Kamuthale Village



Community Members fetching water from a newly rehabilitated borehole Kamuthale



Group Discussions & Presentations at Nguni Village



Women fetching Water from the newly rehabilitated borehole at Nguni



Community members at the borehole after they fenced off the area.