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**African Water Facility**  
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KISUMU DISTRICT PRIMARY SCHOOLS  
WATER AND SANITATION PROJECT

APPRAISAL REPORT

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## LIST OF ACRONYMS

ADB	African Development Bank
AWF	African Water Facility
CBIPs	Community-Based Investment Projects
CtC	Child to Child
HORIZONT3000	NGO registered in Uganda
IEC	Information, Education and Communication
IWRM	Integrated Water Resources Management
LFA	Logical Framework Analysis
LS	Local Shopping
MDG	Millennium Development Goal
PIA	Project Implementing Agency
PICD	Participatory Integrated Community Development
PTA	Parents-Teachers Association
RWH&M	Rain Water Harvesting & Management
STIPA	Support for Tropical Initiatives in Poverty Alleviation - NGO registered in Kenya
ToTs	Training of Trainers
WHO	World Health Organization
WSP-AF	Water and Sanitation Program - Africa Region
WS&S	Water Supply and Sanitation
WSSD	World Summit on Sustainable Development

## Capital Investment Project - Kenya: Logical Framework Analysis

Logical framework				
KENYA: KISUMU DISTRICT PRIMARY SCHOOLS WATER AND SANITATION PROJECT				Project Duration 18 Months
Project Purpose: To contribute to poverty reduction through sustainable development				Project Budget €260,705
Activities		Outputs or Short Term objectives	Outcomes Or Medium Term Objectives	Impact or Long Term Objective
<p>1.1.1 Mobilize project team</p> <p>1.1.2 Develop, test, produce and distribute Training and IEC<sup>1</sup> material about participatory development, gender, hygiene and environmental sanitation based on existing methods/tools making use of illustrations and comics</p> <p>1.1.3 Mobilize and sensitize parents on participatory development, gender, hygiene and environmental sanitation</p>	RESULTS	<p>1.1 Parents, teachers and pupils mobilized and trained in participatory development, hygiene and environmental sanitation</p> <p>2.1 External stakeholders consulted and supportive of community efforts</p> <p>2.2 Community institutions (e.g. Health Clubs, Action Days, School Management Committees) established and functional</p> <p>3.1 Rainwater catchments, dry toilets and solid waste disposal systems constructed and functioning in selected schools</p>	<p>1. Improved knowledge about hygiene and environmental sanitation in institutions and households among pupils, parents and teachers</p> <p>2. Increased capacity of school management committees, Local Government Agencies and other stakeholders to maintain, manage and scale up the project model in the district and beyond</p> <p>3. Improved access to water supply and sanitation in six selected schools (approx. 3,200 pupils and 75 staff) in Kisumu District in Kenya</p>	<ul style="list-style-type: none"> <li>Improved health leading to reduction in related poverty</li> </ul>
<p>1.1.4 Mobilize and train teachers (ToTs<sup>2</sup>) on hygiene and environmental sanitation</p> <p>1.1.5 Organize one refresher training for teachers</p> <p>1.1.6 Train children following CtC<sup>3</sup> method</p> <p>1.1.7 Follow up adaptation of sanitary practices at household level</p>		INDICATORS	<ul style="list-style-type: none"> <li>Number and size of communities mobilized, and trained and practicing good hygiene and sanitation</li> <li>Number of Government agencies, religious bodies and other stakeholders supportive of community work</li> <li>Number and type of community institutions promoting water and sanitation objectives</li> <li>Number of schools with functional water supply and sanitation (including solid waste) systems</li> </ul>	<ul style="list-style-type: none"> <li>Number households adopting good sanitary in their homes (EcoSan toilets, hand washing after use of toilet, safe water from RWH systems)</li> <li>Ratio of children per toilet reduced below the GoK's standards (maximum 40 pupils per stance)</li> <li>Number of schools with model waste disposal systems</li> <li>Per capita consumption of water in participating schools increased from the present (baseline level)</li> <li>Reduced cases of absenteeism by (adolescent) girls</li> </ul>
<p>1.1.8 Undertake participatory planning, research, monitoring and evaluation</p> <p>2.1.1 Identify external stakeholders and undertake external stakeholder consultations promoting collaboration and partnerships</p>	REACH		<ul style="list-style-type: none"> <li>Beneficiaries</li> <li>Pupils, parents and teachers of participating schools</li> <li>School Management Committees</li> <li>Affected Local Government Agencies and other stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Beneficiaries</li> <li>Pupils, parents and teachers of participating schools</li> <li>School Management Committees</li> <li>Affected Local Government Agencies and other stakeholders</li> </ul>

<sup>1</sup> IEC: Information, Education and Communication

<sup>2</sup> ToTs: Training of Trainers

<sup>3</sup> CtC: Child to Child

<p>2.1.2 Organize technical workshops for external stakeholders</p> <p>2.2.1 Establish children health clubs in each school</p> <p>2.2.2 Organize regular School Management Committee meetings</p> <p>2.2.3 Organize exchange visits</p> <p>2.2.4 Hold annual Health Action Days</p> <p>3.1.1 Design, procure and construct physical infrastructure at the schools (i.e. toilets for pre-primary school children, eco-san toilets, rain water harvesting systems and solid waste management systems)</p> <p>3.1.2 Train local artisans in maintenance of physical infrastructure</p> <p>3.1.3 Develop use and maintenance plan for each school</p> <p>3.1.4 Implement community-institutional management structures for use and maintenance of physical infrastructures</p>				
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## **Executive Summary**

This NGO implemented project aims at increasing the quality of people's life by improving their health and reducing the burden to carry water. Communities themselves through a Participatory Integrated Community Development (PICD) approach identified these needs as their priorities. The projects main focus is to change hygiene behaviors of pupils and constructs demonstration rainwater harvesting and sanitation facilities in 6 piloting schools in Kisumu Kenya.

Experiences have shown that children are the best entry point for behavior change and that they can even change behaviors of parents effectively. Children as carriers of hygiene and health messages will improve the health situation in their families and finally in the communities. To do so the project uses innovative ideas – comics and pupils health clubs to teach children in attractive manner proper water use, hygiene and sanitation practices. Health clubs should provide the children in addition to information also with a forum where they can discuss issues amongst themselves where they feel they can not discuss them home or with others. The project includes for demonstration and actual improvement of the WS&S situation in the 6 schools (in total approx. 3,200 pupils plus 75 staff) and to a certain extent surrounding communities construction of Rainwater Harvesting Systems, Ecological Sanitation Toilets and Solid Waste Disposal Facilities. The duration of the project will be 18 month.

The project has three medium term outcomes:

1. Improved knowledge about hygiene and environmental sanitation in the institutions and in households (pupils, parents and teachers);
2. Improved access to water supply and pilot ecological sanitation in six selected schools in Kisumu District / Kenya
3. Increased capacity of the School Management Committees, Local Government Agencies and other stakeholders to manage, maintain and scale up this project model in the district and beyond;

Achievements will be measured against a set of indicators identified in the LFA matrix. The proposed activities – rain water harvesting and management, ecological sanitation and particular its management will contribute towards improved health and better environment. The two NGOs - HORIZONT3000 and STIPA and will develop the new training material and the comics. STIPA will then perform the capacity building on the ground and assist the School Management Committees in implementing the project. STIPA has a track record of working with communities in the area. HORIZONT3000 is experienced in the water and sanitation sector as well as in project management, supervision, accounting and auditing.

Sustainability of the project is ensured by using technologies that can be managed and maintained in the first place (EcoSan toilets are permanent structures) at low costs. Secondly - by assisting the School Management Committees to prepare maintenance plans and budget for WS&S facilities. Thirdly - through training of artisans in construction and maintenance for a long life time of the facilities. Finally – knowledge implanted in pupils never disappears and will be spread to other pupils, to parents and finally to communities.

## **1. BACKGROUND**

### **1.1 Origin of the Project**

1.1.1 NGOs are eligible applicants for AWF funding. Since AWF started physically its operations it received several applications from NGOs but has so far not funded an NGO project. The procedures to fund NGO projects have been developed and are going to be “field tested” during implementation of this project.

1.1.2 This NGO-project has been chosen for several reasons: i) it has been the first NGO applications received; ii) the proposal falls into the core interventions of the AWF (Operational Prgm); ii) Horizont3000 is a well known NGO in the W&S field and in East Africa (opened a regional office 1989 in Uganda) and has great experience on the ground. To use synergies Horizont3000 is used to works with other institutions and NGOs to efficiently achieve the goals and objectives.

1.1.3 The draft proposal was received in February this year. AWF commented this first application for funding and asked for several adjustments that have been included into the final proposal.

### **1.2 Sector Priorities**

1.2.1 In recognition of the central role of water and sanitation for poverty alleviation and economic development, the Government of Kenya is undertaking profound and extensive sector reforms, with the main objective of improving the delivery of water and sanitation services to its people. In rural areas; access to safe water is currently estimated to be less than 30% and over 40% of the population have no access to basic sanitation.

1.2.2 The concern for water resource management and development led the Gov. of Kenya to launch the National Policy on Water Resources and Development in 1999, composed of four policy themes:

- . Water Resources Management;
- . Water and Sewerage Development;
- . Institutional Framework; and
- . Financing Mechanisms.

1.2.3 The policy details Government’s role, regulation and supervision while welcoming stakeholders and beneficiary communities to participate in the implementation, financing, operation and maintenance of water resources and supply facilities.

1.2.4 Kenya is set to acquire in the next few months an Environmental Sanitation and Hygiene (ESH) policy, the first in the country’s history. The draft policy, which is at an advanced stage, falls under the responsibility of the Ministry of Health. Rain Water Harvesting and Ecological Sanitation are technologies mentioned in particular for rural areas and this project contributes to spreading the know-how. Schools are considered as appropriate entry path’s to change sanitation behaviors and technologies. Children the future heads of households are open and flexible enough to change behaviors for a healthier future.

### **1.3 Problem Definition**

1.3.1 The Government of Kenya is implementing its policy of free primary education. Schools are now flooded with pupils in addition to the anyhow high population growth rate. In Kisumu district (western Kenya), most schools find difficulties in catering for the tremendous needs in physical infrastructure including water supply and sanitation. The per stance pupil ratio is much higher than the national recommended minimum standard of 40 leading to unhygienic latrines, littering of the compound etc. Furthermore the latrines fill up quickly and new ones need to be constructed permanently.

1.3.2 The physical infrastructures are yet to be improved to cater for this influx and the rising needs. In the congested schools students and teachers are prone to diseases leading to high degrees of absenteeism and poor performance. Many of the preventable diseases like diarrhea and parasitic worms are hygiene and environmental sanitation related.

1.3.3 A high percentage of diseases in the region result from lack of knowledge on the safe water chain and proper sanitation while others have attitudes and practices that aggravate the situation. The situation without intervention will be pathetic as the population increases and hence an increase of people struggling for water.

1.3.4 In all the targeted schools both the boys and the girls share a limited number of pit toilets. The frequency by which these facilities are used leads to a situation where keeping it clean becomes nearly impossible. During normal breaks between classes pupils have to line up for the use of a toilet. It also causes the pits to fill up quickly. Currently the process of emptying the latrines are by bringing a lorry to relieve the waste. Community members are hired to empty the pits using buckets. That of course is dangerous and can lead to additional disease spreading. In most areas there is no provision for proper solid waste disposal. In areas which are prone to flooding traditional pit latrines collapse. This is one of the reasons communities do not invest in sanitation as there are no other suitable and permanent technologies available to them.

### **1.4 Beneficiaries and Stakeholders**

1.4.1 The proposed intervention will centre on pupils approx. 3,200 in total and the School Management Committees of the six participating schools. They will be assisted to organize and implement all project activities according to the project management cycle. They will implement all activities together with teachers and communities. This will ensure ownership and sustainability of the proposed interventions.

1.4.2 STIPA will provide the School Management Committees with all necessary training and administrative support. STIPA will ensure all capacity building of the teachers, pupils and communities in hygiene and environmental sanitation through various trainings while HORIZONT3000 will provide technical assistance in construction and management of the rainwater harvesting and ecological sanitation infrastructure, monitoring & evaluation, and accounting.

1.4.3 The direct beneficiaries of the intervention are the pupils, teachers and communities in and around the targeted schools. STIPA has been working with these communities before and checked their most imminent needs through the PICD (Participatory Integrated Community Development) approach. Community Development Committees in each location developed - prior to this application - action plans in which they clearly stated which interventions have priority. Water and sanitation facilities and management in primary schools was stated as very important.

1.4.4 Other stakeholders are the various district committees and agencies dealing with water and sanitation which are responsible for implementing central government's policies and legislation. However, due to budgetary constraints, they are not in position to do so. But, they are willing to support other organizations in their efforts to improve water and sanitation in the communities and are interested in alternative technologies and approaches. The proposed intervention will pro-actively ensure collaboration with local government agencies. The project will bring together the interested parties during the implementation and evaluation. Government departments will be key to the success of the project. Schools are under the Ministry of Education and their involvement in the project, especially in articulating policy issues, will be very important. They will also provide guidelines and conduct training for management committees and teachers. The Departments of Water, Health and Environment will be involved in the project as co-designers of the facilities and as trainers during the capacity enhancement workshops. The Provincial Administration and other security departments will also be involved in ensuring that the materials and other facilities are not interfered with.

1.4.5 Non-governmental organisations and faith-based groups that work in the communities will be involved in the project as capacity builders and for resource mobilisation. They will add value to the mobilisation and sensitization of the general public. STIPA will lead the process of bringing the groups together.

## **2. PROJECT**

### **2.1 Long Term Impacts**

The projects main aim is to improve the water and sanitation situation and its management in schools which will in turn improve health and lead to a reduction in related poverty. The project aims at using children as carriers of knowledge to their homes and as an entry point to hygiene behavior change hygiene behaviors in communities.

### **2.2 Medium Term Outcomes**

The medium term outcomes are threefold:

- I. Improved access to water supply and sanitation in six selected schools in Kisumu District in Kenya.
- II. Improved knowledge about hygiene and environmental sanitation in institutions and households among pupils, parents and teachers;
- III. Increased capacity of school management committees, Local Government Agencies and other stakeholders to maintain, manage and scale up the project model in the district and beyond;

### **2.3 Immediate Outputs**

Four immediate outputs are expected:

- I. Parents, teachers and pupils mobilized and trained in participatory development, hygiene and environmental sanitation;

- II. Community institutions (e.g. Health Clubs, Action Days, School Management Committees) established and functional;
- III. Rainwater catchments, dry toilets and solid waste disposal systems constructed and functioning in six selected schools.
- IV. External stakeholders consulted and supportive of community efforts;

## 2.4 Activities

Each output will be achieved through a set of activities given below. Planning of the activities, monitoring and evaluation (including audit) of activities, and research (if and when necessary), will be carried out in participatory manner by the various stakeholders.

### I. Parents, teachers and pupils mobilized and trained in participatory development, hygiene and environmental sanitation

New training and information material attractive to pupils, making use of illustrations and comics about hygiene, environmental sanitation, gender, participatory development, etc will be developed, tested and produced. The methodology of Child to Child (CtC) training and information dissemination will be used. Adaptation of sanitary practices at household level will be followed up.

### II. In each of the 6 schools - Community institutions like Health Clubs, Action Days, School Management Committees- established and functional

Organize regular School Management Committee meetings, exchange visits and annual Health Action Days.

Technical workshops for external stakeholders will be organized. Participatory planning, monitoring and evaluation will be undertaken.

### III. Rainwater harvesting systems, EcoSan toilets and solid waste management systems designed, constructed and functioning in the 6 selected schools

Construct Rainwater Harvesting Systems, Ecological Sanitation Toilets and Solid Waste Disposal Systems. Training of local artisans and technicians in maintenance of the physical infrastructure according to maintenance plans will be carried out for each school. Implement community-institutional management knowledge and structures for proper management.

## 2.5 Risks

The following risks have been identified and potential mitigation measures are proposed:

Risk (level)	Mitigation Measures
Communities (especially parents and teachers) are not convinced of the need of the training sessions [low]	The need for increased awareness about hygiene and environmental sanitation has been clearly stated in the Participatory Integrated Community Development (PICD) approach.
Local Government Agencies are not supportive of the intervention [low]	Through involving all stakeholders in the whole intervention process their capacity will be built and hence their support ensured
The functionality of the community institutions depends on their on-the-job training [low]	Through continuous involvement in planning, M&E (all at various levels), training and other activities the capacity of the institutions will be

Constructed facilities are not used and maintained properly [low]	built By putting the School Management Committees at the centre of the intervention and by developing and implementing use and maintenance plans the use and maintenance of the facilities are guaranteed
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## 2.6 Costs and Financing Plan

The project cost summary and the financial plan are presented in the tables below:

**Table #1 - Cost Summary**

			%
Mobilize Project Implementation Team - STIPA		€ 10,889	5
Dev. and Produce Training Materials, Trainings		€ 46,710	20
Trainings for External Stakeholders		€ 4,490	2
Establish Health Clubs and Trainings		€ 21,170	9
Physical Construction		€ 102,960	44
External Technical Backstopping - Horizont3000		€ 8,000	3
Maintenance Plan, Management Training, Monitoring, Evaluation		€ 16,090	7
<b>TOTAL ACTIVITIES</b>		<b>€ 210,309</b>	<b>89</b>
Physical Contingencies (3%)		€ 6,309	3
Administrative costs HORIZONT3000 (5%)		€ 11,988	5
Community contribution - Unskilled labor 5 Euro*1440 = 7.200 Euro		€ 7,200	3
<b>AWF Grant Contribution</b>		<b>€ 228,606</b>	<b>97</b>
<b>TOTAL PROJECT</b>		<b>€ 235,806</b>	<b>100</b>

**Table #2 - Financing Plan**

Community contribution - Unskilled labor 5 Euro*1440 days = 7.200 Euro		€ 7,200	3%
<b>AWF Grant Contribution</b>		<b>€ 228,606</b>	<b>97%</b>
<b>TOTAL PROJECT</b>		<b>€ 235,806</b>	<b>100%</b>

Detailed Budget see Annex C.

## 3. IMPLEMENTATION

### 3.1 Recipient

3.1.1 HORIZONT3000 in Uganda is the applicant and the recipient of the Grant for the proposed project. It is registered as a Ugandan NGO and operates in Uganda, Kenya, Tanzania and southern Sudan. As a non-governmental organization for development, HORIZONT3000 specializes in:

- I. implementing and monitoring of development cooperation projects and programmes
- II. deploying local and international experts (= Technical Assistants) in the field
- III. PR campaigning and lobbying for development in Africa (as complementary activities)

3.1.2 HORIZONT3000 engages itself in the following sectors:

- I. Rural Development focusing on Water & Sanitation, Renewable Energy and Sustainable Agriculture
- II. Empowerment of Civil Society, Juvenile Justice and Conflict Prevention.
- III. Humanitarian Aid in northern Uganda and southern Sudan

3.1.3 HORIZONT3000 has a wealth of experience in collaborating with local partners as well as in the implementation of projects in the water and sanitation sector in East Africa, including Kenya. HORIZONT3000 avails overseas as well as local experts in this particular sector. The size of the projects differs and is in between €100,000 and €700,000. Currently, HORIZONT3000 East Africa supports about 60 projects in the Eastern African region and has over 20 overseas experts/technical assistants who assist the projects when and if necessary. The HORIZONT3000 East Africa budget in 2004/5 amounted to 3.9 million Euro.

3.1.4 The project partner and implementing agent STIPA (Support for Tropical Initiatives in Poverty Alleviation) is a non-governmental organization registered since 1997 in Kenya, committed to building the capacities of development organizations including community based, faith based, governmental and non-governmental, so as to reach out to the vulnerable members of the society in order to alleviate poverty. The priority of STIPA is to instill sustainable development, which will improve the economic and social well being of the communities. STIPA strives to give priority to the poor and marginalized members of the community. The current activities the organization is involved in are:

- . Institutional & community capacity building through training on participatory methodologies.
- . Community programmes implemented through the use of participatory methodologies.
  - Single Parents Programme
  - Community Based Health Insurance
  - Micro Enterprise Development Programme
  - Songhor pilot project for Do No Harm Project and Participatory Integrated Community Development (PICD)
  - Nyamware Community PICD approach

## **3.2 Implementation Arrangement and Capacity**

3.2.1 The recipient will be Horizont3000 and they shall administer, supervise, monitor and evaluate all project activities. Horizont3000 shall be accountable for the proper use of the funds. STIPA will implement the project at the pre-selected schools and communities in Kisumu District.

3.2.2 HORIZONT3000 has a wealth of experience in collaborating with local partners and in the implementation of water and sanitation projects in East Africa. The sizes of the projects differ between €100,000 and € 700,000. Currently, HORIZONT3000 East Africa supports about 60 projects and has over 20 overseas experts/technical assistants who assist the projects when and if necessary. The HORIZONT3000 East Africa budget in 2004/5 amounted to 3.9 million Euro.

3.2.3 STIPA will be the implementing agent and has nearly a decade of working experience in the project area. STIPA currently has a core team of seven staff made up of the Team Leader, Human Resource Development / Capacity Building Coordinator, Regional Community Based Health Financing (CBHF) Adviser, Administrative Secretary, Programme Coordinator, Accountant, and

Programmes Assistant. STIPA has recently revised its administrative, financial and human resource policies and put in place a new Operations Manual to guide its operations.

3.2.3 STIPA has been able to build capacities of over 30 different non-governmental and governmental organizations within East Africa carrying out trainings in participatory methodologies. The major focus has been the promotion of PICD (Participatory Integrated Community Development) tools and methods. The organization has also trained 4 non-governmental organizations on the concept of community based health insurance which has already been implemented by the trained staffs. STIPA's current activities are:

- . Institutional & community capacity building through training on participatory methodologies.
- . Implementation of following programmes
  - Single Parents Programme
  - Community Based Health Insurance
  - Micro Enterprise Development Programme
  - Songhor pilot project for Do No Harm Project and Participatory Integrated Community Development (PICD)
  - Nyamware Community PICD approach

3.2.4 With regard to the proposed action STIPA is best placed to implement the software components while the technical expertise will be mainly provided through backstopping by HORIZONT3000 and/or procured locally. Also the expertise of District Development Committee (DDC), District Executive Committee (DEC) and District Water Development Committee (DWDC) in mobilization, training and implementation will be used if and when required.

### 3.3 Performance Plan

The outcomes and outputs will be measured against a set of critical indicators as stated below.

<b>Outcomes</b>	<b>Indicators</b>
<ul style="list-style-type: none"> <li>• Improved knowledge about hygiene and environmental sanitation in institutions and households among pupils, parents and teachers.</li> <li>• Increased capacity of school management committees, to manage and maintain WS&amp;S. Local Government Agencies and other stakeholders to scale up the project model in the district and beyond</li> <li>• Improved access to water supply and sanitation in selected schools in Kisumu District in Kenya</li> </ul>	<ul style="list-style-type: none"> <li>• Number of households adopting sanitary practices in the home</li> <li>• Number facilities well managed and maintained.</li> <li>• Ratio of children per toilet reduced to national standard (maximum 40 pupils per stance)</li> <li>• Number of schools with model waste disposal systems</li> <li>• Per capita consumption of water in participating schools increased from the present (baseline level)</li> <li>• Reduced cases of absenteeism by (adolescent) girls</li> </ul>

<b>Outputs</b>	<b>Indicators</b>
<ul style="list-style-type: none"> <li>• Parents, teachers and pupils mobilized and trained in participatory development, hygiene and environmental sanitation</li> <li>• External stakeholders consulted and supportive</li> </ul>	<ul style="list-style-type: none"> <li>• Number and size of communities mobilized, trained and practicing</li> <li>• Number of Government agencies, religious</li> </ul>

<p>of community efforts</p> <ul style="list-style-type: none"> <li>• Community institutions (e.g. Health Clubs, Action Days, School Management Committees) established and functional</li> <li>• Rainwater catchments, dry toilets and solid waste disposal systems constructed and functioning in selected schools</li> </ul>	<p>bodies and other stakeholders supportive of community work</p> <ul style="list-style-type: none"> <li>• Number and type of community institutions promoting water and sanitation objectives</li> <li>• Number of schools with functional water harvesting and sanitation (including solid waste) systems</li> </ul>
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### 3.4 **Implementation Schedule**

The project is designed for a period of 18 month and is supposed to effectively start in the first quarter of 2007. A detailed schedule including milestones is attached - please refer to Annex D.

### 3.5 **Procurement and Execution**

3.5.1 Procurement and acquisition of services financed by the AWF will be in accordance with the Banks Guidelines for Procurement and the Rules set out for Community-based investment Projects (September 2000), as provided for in the AWF Operational Procedures (November 2005).

3.5.2 Recognising the special nature of Community Based Investment Projects (CBIPs) the Bank's Rules of Procedure for Procurement of Goods and Works, stipulates in its Clause 4.12 that:

“Where, in the interest of project sustainability, or to achieve certain specific social objectives of the project, it is desirable in selected project components to (i) call for participation of local communities and /or non-governmental organisations (NGOs), or (ii) increase the utilisation of local know-how and materials, or (iii) employ labour-intensive and other appropriate technologies, the procedures, specifications, contract packaging shall be suitably adapted to reflect these considerations, provided these are efficient. The procedures proposed shall be outlined in the Appraisal Report, the President's Memorandum and the Loan Agreement”.

3.5.3 Based upon this provision in the Rules, and in the context of Community-Based Investment Projects (CBIPs), Local Competitive Bidding (LCB) which is competition advertised in the locality or province of the subproject, and Local Shopping, that is, shopping in which the list is derived from all local or provincial suppliers, is utilised in this guideline, in addition to the other modes of procurement outlined in the Rules.

3.5.4 Furthermore the Banks Guidelines for Procurement under Community Based Investment Projects (September 2000) provide in Clause 3.8.1 and 3.8.2 for:

“Direct Purchase, direct contracting, direct negotiations or sole source contracting is permitted only in exceptional circumstances when it is clear that competitive bidding is not possible or has been attempted and no response was obtained. This is because it does not encourage competition or afford the same levels of accountability regarding the use of funds. It is employed when there is only one contractor, supplier or consultant available; or when the project requires community participation to increase project sustainability.”

“Direct contracting of implementing agencies, communities, or qualified NGOs, for simple works (often in remote areas or of a nature or size that would not attract contractors), may be permitted if it can be demonstrated to increase project sustainability through the use of community labour or materials. Such an entity shall hire the necessary labour, purchases the required goods and materials and executes the works, almost like a commercial contractor would do. However, the advantages of increased sustainability through direct contracting of community groups shall, in all cases, be weighed against the benefits of encouraging or initiating grassroots commercial activities and competition.”

3.5.5 In 3.9 Force Account - the Banks Guidelines for Procurement under Community Based Investment Projects (September 2000) stipulate:

“Force Account as is the procurement of works through the use of the Borrower’s own personnel and equipment. It is permitted where it is the only practical method of construction and when there are clear mechanisms to ensure accountability for the use of funds. Works to be constructed under Force Account shall have; (i) a detailed description of the component items; (ii) a set of technical specifications; and (iii) supervision team independent from the management of the Force Account, to carry out control of quality and quantities. The supervision team who shall monitor the implementation of the works, can be qualified NGOs or skilled artisans employed by the Government Agency on a long-term basis and who can also provide training to communities. Payments for works shall be made using fixed rates for completed production targets. Payments shall be made only upon certification by the supervision team that the construction is completed and in conformity with the pre-determined specifications.”

3.5.6 Horizont3000 shall be finally responsible for procurement of services, goods and works. To ensure quality and efficient use of the Grant, Local Competition shall be the preferred option.

3.5.7 Horizont3000 has sufficiently demonstrated the reasons and advantages for Direct Contracting of its implementing agency STIPA, a qualified NGO, to work with the local communities and institutions for increased sustainability of the project. It shall therefore be permitted to directly contract STIPA as implementing agency for developing the training materials, contact the workshops, establish the health clubs, develop management plans etc. as detailed in Table #3 below.

3.5.8 Horizont3000 may under close supervision involve STIPA in procurement of the works. The preferred option will be local competition but for simple works in remote areas or of a nature or size that would not attract contractors, it may be permitted if it can be demonstrated to increase project sustainability to Directly Purchase the required works or even to use Force Account.

Procurement arrangements are summarized in the Table 3 below.

**Table #3 - Procurement Arrangement (Euro)**

<b>Category</b>	<b>Short List</b>	<b>Local Competition</b>	<b>Local Shopping</b>	<b>Direct Purchase</b>	<b>Others</b>	<b>Total</b>
<b>Services</b>						
Development of training material and trainings of pupils, teachers and communities				46,710 [46,710]		46,710 [46,710]
Training and workshops with external stake holders				4,490 [4,490]		4,490 [4,490]
Establish Health Clubs, train and follow up				21,170 [21,170]		21,170 [21,170]
External Technical Backstopping	8,000 [8,000]					8,000 [8,000]
Supervision of Works				6,800 [6,800]		6,800 [6,800]
Train local artisans				3,160 [3,160]		3,160 [3,160]
Develop Management Plan and Training, internal Monitoring and Evaluation				16,090 [16,090]		16,090 [16,090]
Administrative Costs - Horizont3000					11,988 [11,988]	11,988 [11,988]
<b>Goods</b>						
Office equipment and office supplies			10,889 [10,889]			10,889 [10,889]
<b>Works (1)</b>						
Construction of EcoSan Toilets (including washing facilities)		56,500 [53,000]				56,500 [53,000]
Construction of rainwater harvesting systems		40,500 [38,000]				40,500 [38,000]
Construction of solid waste systems		9,509 [8,309]				9,509 [8,309]
<b>Total per Category</b>	<b>8,000</b> <b>[8000]</b>	<b>106,509</b> <b>[99,309]</b>	<b>10,889</b> <b>[10,889]</b>	<b>98,420</b> <b>[98.420]</b>	<b>11,988</b> <b>[11,988]</b>	
<b>GRAND TOTAL</b>						<b>235,806</b> <b>[228,606]</b>

Shown in [ ] AWF's contribution

(1) Community contribution and Physical Contingency has been included into the Works budget

3.5.9 Goods and ancillary items required for the project (ICT Equipment, Office Equipment and Office Supplies) with aggregate value of Euro 10.889 will be procured through Local Shopping. These goods to be procured are readily available off-the-shelf items or standard specification commodities, which can be purchased locally.

3.5.10 Due to the short implementation time and the dispersed and remote places for the works it will be necessary to hire several local companies to carry out the works using simple contracts. Therefore works will be procured through a local competitive process, or direct procurement. The selected companies will be required to use where possible unskilled labor from the community and they should be able to train local artisan on the job who will later be responsible for maintenance of the facilities. In case this method fails (no contractor could be found) or it is clearly demonstrated that Force Account is the better and more sustainable option (community involvement etc) it will be permitted as well.

3.5.11 Responsibility for procurement of goods and acquisition of services rests with the recipient Horizont3000. Above laid out modalities and conditions will be embedded into the grant agreement. It is the recipients' obligation to assure that the AWF funds are used in a cost efficient manner and only for eligible project expenditures. All procurement activities shall be transparent and allow adequate competition between different suppliers and service providers and facilitate easy control by AWF of the procurement processes and the use of funds. The latter will be verified during or after the course of the implementation of the project by the Project Auditor employed by AWF.

### **3.6 Disbursement Arrangements**

3.6.1 The total AWF grant contribution to the project is 228,606 Euro and Table #7 below gives the recommended disbursement schedule to meet the project goals. Disbursement to recipient Horizont3000 is made on a half yearly basis. The first disbursement requires a signed agreement, a Special Project Account at a local bank acceptable to ADB and a formal request from the recipient. Following disbursements require formal requests from the recipient, a tentative work plan and to the AWF acceptable narrative and financial reports of the previous period.

Table #7 - Disbursement Schedule for the AWF Grant

Item	Transfer Date	Amount Euro
- Half yearly installment (Mobilizing, Development of Training Materials, Trainings, Designs etc)	January 2007	52.000
- Second half yearly installment (Procurement of materials, Construction, Trainings etc)	June 2007	102.000
- Third installment (Maintenance plans, Trainings etc)	December 2007	62.000
- Final Installment - approx. 5% Retention - after receipt of Final Report and Accounts	July 2008	12.606
<b>Total AWF Grant</b>		<b>228,606</b>

3.6.2 The administration of the Special Account should be performed by the accounting officer of the recipient Horizont3000, Kampala / Uganda. HORIZONT3000 establishes Project Implementation Agreements including "Handling and Administration of Funds" with the implementing agent STIPA in Kenya. This will contain all rules and regulations related to internal disbursement arrangements. .

### **3.7 Accounting and Audit Arrangements**

3.7.1 The Grant Agreement will include the specific accounting arrangements and requirements for the Recipient to open a Special Account with a local Bank acceptable to the ADB from which all eligible payments and transfers to the project account of the implementing agent will be made. The account should allow installments in Euro. The account will be replenished according to the disbursement schedule and a formal request by the ADB.

3.7.2 In the interest of fast tracking the implementation of the Project actions, the AWF will recruit and retain an auditor to perform ex post evaluation or supporting documents review and audit the project. The AWF will require that a statement of expenditure and supporting documents review be performed and certified by the independent auditor at predetermined intervals to ensure that fund have been utilized in line with the grant agreement. The costs of such audit shall be charged to AWF and are not included in the Grant.

3.7.3 HORIZONT3000 informs - to ensure AWF of its seriousness - that its accounts as a matter of standard are audited once a year by internationally certified auditors. The audit exercise is performed in accordance with applicable IFAC (International Federation of Accountants) standards and ethics. Never the less AWF as a requirement by its guidelines will audit the project as stated above.

### **3.8 Monitoring Evaluation and Reporting Arrangement**

3.8.1 Horizont3000 will be responsible for project implementation. Horizont3000 will be responsible for internal monitoring and evaluation of the project. The lessons learnt from this pilot project shall be well documented to be shared with project partners, regionally and internationally on the web site of Horizont3000 and AWF for use in similar projects.

3.8.2 STIPA shall hold monthly meetings to review work progress and inform Horizont3000 accordingly. Semi annual work plans and progress reports shall be compiled by Horizont3000 and submitted to AWF. During construction, STIPA will hold regular site meetings with the construction team or the contractor. Quarterly monitoring and evaluation meetings with Horizont3000 will also be held to which AWF will be invited.

3.8.3 AWF's own monitoring and project supervision will be closely linked to the project activities. It will include regular correspondence with the Recipient, and review of the Recipient's Progress Reports. AWF will check if the outputs of the funded project have been delivered with the required quality and are in line with the Agreement's budget and schedule. AWF will consider at any time to ask assistance from the ADB-Field Office in Nairobi and the undertaking of field supervision missions.

3.8.4 The objectives, actions, and expected outcomes and outputs of the AWF financed project, are summarized in the attached LFA matrix. The log frame matrix will serve as an important monitoring tool to track and evaluate progress of the interventions. Monitoring indicators will be tracked on a regular basis at project as well as at construction sites and at the community levels.

## **4. PROJECT BENEFITS**

### **4.1 Effectiveness and Efficiency**

4.1.1 For the overall assessment of effectiveness, it is important to know how the Project is linked to the development priorities. In general, the Project seems well embedded in the national, regional and local policy for poverty reduction, the water sector programme and priorities of the country. The alignment with key institutions and authorities is also catered for through the involvement of the actors in charge of education, health, water and sanitation at district and national levels.

4.1.2 The beneficiaries of this proposed intervention have identified the problems themselves after which they developed an action plan in which it has been clearly stated how to solve some of the most important problems. However, to enable the beneficiaries to make useful contributions knowledge and skills are of utmost importance. Therefore this project has three different outcomes, namely training of parents, teachers and pupils among others in hygiene and environmental sanitation, capacity building of community and local government institutions in maintenance and use of the facilities, and construction of the facilities itself.

4.1.3 The AWF supported project will contribute positively to:

- hygiene behavior and reduce health related costs;
- due to less illness less lost schooling days and time;
- time savings as WS&S facilities are much closer to homes; which will
- translate into higher productivity, greater school attendance etc.

4.1.4 The proposed interventions are directly related to the focal areas of the African Water Facility, the Strategic Capital Investment Programmes and Projects Implementation where piloting of new or by the communities unknown technologies like Eco Sanitation, rain water harvesting and management, including capacity building of users play an important role.

## **4.2 Sustainability**

4.2.1 For the assessment of the sustainability of the AWF financed project intervention, the following factors should be considered:

- The quality of the direct intervention (training material, capacity building and physical investment)
- The management and maintenance capabilities built up in pupils, the future generations and communities
- The spreading of project ideas and generated knowledge to other schools and communities.

4.2.2 The project quality seems to be secured through involvement of all stake holders, the experience of the implementers, the internal reviews and monitoring mechanisms and if need be external backstopping arrangements.

4.2.3 The second sustainability factor is whether the schools and communities will be able to perform effective management and maintenance of the installed water and sanitation facilities for long term beneficial use. As stated earlier, maintenance costs for the proposed rain water harvesting and eco sanitation facilities are low. As the facilities are part of primary schools its maintenance will be part of the school's budget. During project implementation local artisans will be trained on-the-job in maintenance of the said facilities. The School Management Committees are responsible for the day-to-day running of the schools. They will be the owners of this project. One of the activities is the development of maintenance plans. These plans will be the blueprints for the use and maintenance of the facilities later and will be implemented by the School Management Committees. This will ensure continuity of the project results.

4.2.4 The third factor of concern is a long term issue and will be difficult to be fully achieved within the project duration. Because the project aims to change attitudes and practices, the communities themselves are the best leaders of the process; they know what is culturally and socially acceptable in their area. This approach will reduce possible negative impacts of the project and increase its acceptability. It will enhance the transfer of knowledge and technology into the original community and beyond, into other neighboring areas (scaling up).

4.2.5 The activities will not create a negative impact on the environment, apart from those caused by the construction activities. On the contrary the proposed activities – rainwater harvesting, (ecological) sanitation and waste management – will significantly contribute towards the reduction of environmental hazards. The construction activities have to follow the rules and regulations governing the sector in Kenya including necessary mitigation measures.

## **5. CONCLUSIONS AND RECOMMENDATIONS**

### **5.1 Conclusions**

5.1.1 This proposal intends to carry out activities in order to improve the health and economic status through know-ledge transfer, construction of RWH systems and piloting EcoSan toilets, and installing mechanisms to manage and maintain the knowledge and the facilities put in place. The targeted groups are 6 schools and the surrounding communities in Kisumu district in Western Kenya. Interventions are to:

- Improve knowledge about hygiene and environmental sanitation particularly targeting at pupils as the future generation of teachers and house hold heads
- Build rainwater harvesting systems and pilot ecological sanitation toilets to improve access to clean water supply and sanitation in 6 selected schools and surrounding communities in Kisumu District / Kenya.
- Increase capacity of school management committees, Local Government Agencies and other stakeholders to maintain, manage and scale up the project model in the district and beyond.

5.1.2 This is deemed useful so that communities are less prone to preventable diseases related to water and sanitation. This will lead in the longer run to improved health status, increased productivity and increased attendance in schools. These are good factors contributing to poverty reduction. Working with local community organizations, education and health institutions as well as local government agencies ensures sustainability.

### **5.2 Recommendations**

5.2.1 The project falls into the core area of AWF Capital Investment, by promoting RWH & M (Rain Water Harvesting & its Management) piloting EcoSan (Ecological Sanitation). Ecological Sanitation is a new concept for hygienic and sustainable sanitation. Dehydration Toilet facilities are constructed to remain permanent and to be emptied in an hygienic way as and when required. If people accept the practice they can as a further benefit of this technology use urine as a valuable source of nitrogen to boost their crops and the sanitized fecal matter as conditioner for the depleted soils.

5.2.2 It is therefore recommended that the African Water Facility approves a grant not exceeding EURO 228.606 to the applicant HORIZONT3000 to execute with its implementation partner STIPA and the communities the KISUMU DISTRICT PRIMARY SCHOOLS WATER AND SANITATION PROJECT.