



RWSN Webinars – mini series 2017

Rural Water Supply Network

November 2017



WORLD BANK GROUP



Supporting water sanitation
and hygiene services for life

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Swiss Resource Centre and
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Webinar 3:

A Dollar per year keeps rural water services here? The costs of direct support

DISTRICT CAPACITY ASSESSMENT TOOL

By Bruce UWONKUNDA
S.P.O - WFP

Usefulness

The tool is used to evaluate if a given institution has the required resources (financial & human) and if there is working environment is enable to ensure sustainable water service delivery

❑ Four questions

- How many staffs are needed?
- What is the budget required?
- Does my staffs have the required skills
- How is the institutional framework set?

Origin of the tool

The tool is a combination of three tools developed separately:

- The direct support tool developed by IRC & Water For People to assess the human and financial gaps in an organization,
- Skills assessment developed by JICA to assess the current skills in the staff within an organization and their gaps,
- and a checklist developed by Water For People to verify if all the entities (organs) involved in the development and management of water supply services have all the requirements to ensure sustainable water supply services

Now it is being used in Rwanda in the tools used in the District Wide Approach (DWA), which is an approach that has been approved by the Ministry of Infrastructure to be tested in 5 districts as an approach for sustainable WASH service

The DWA is implemented in Rwanda under the global Agenda For Change umbrella, which is a collaborative initiative between IRC, WFP, WaterAid, Osbrey Foundation and Agua Consult to strengthen Government systems to ensure everyone in the districts has adequate water, sanitation and hygiene services and that systems are in place forever..

Overview of the tool

- **Composed of three parts:**

- First part is to evaluate if the entire institution has the enough human resources and financial resources
- Second part is to evaluate skills and capacity of individual staffs
- Third part is evaluate if the district has the enabling environment to ensure sustainable water service delivery

Capacity assessment (Human and Financial resources)

Capacity Assessment tool 11-8.xlsx - Excel

Bruce Uwonkunda

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H11

Financing Forever - Direct Support Costs			
		Exchange Rate	780
Country	Rwanda		
District	Rulindo		
Water Technology in the District (gravity, handpump, electric pump)	gravity + electric pump + springs		
Actual number of systems in District	63 gravity		
	19 electric pump		
	507 springs		
Actual Number of Communities in District	494		
Number of annual work days - one person	230		
Work Days to Fulfill Necessary Activities	0		
Number of Staff Required	0,00		
Ideal Municipal WASH Budget (local currency) - 2016 (yellow lines to be edited for local context)			
District Water Board Permanent Secretary	6,000,000		
District WASH Officer	7,200,000		
Administrative Support Costs (Finance, HR, Procurement, Audit, Infrastru	7,200,000		
Transportation Costs (Fuel, Per Diem, etc)	7,500,000		
Operations Costs (phone, internet, paper/printer ink, etc.)	1,500,000		
Monitoring and Mapping Costs (enumerators, technology, etc)	10,000,000		
Office Equipment (laptop and multimedia)	1,500,000		
Training Costs	500,000		
TOTAL	41,400,000	percent of total budget	0.41%
Actual Municipal WASH Budget (local currency) - 2016			
Total District WASH Budget	20,000,000		0.20%
TOTAL	20,000,000		
Actual District Number of Staff	2		

****Note - this area is OPTIONAL. If it helps to calculate the number of staff needed, based on work days and needed Activities, please use. If you prefer to calculate another way, that is fine.**

Work Activity (annual) (to edit for local context)	# of Days
Formulation of a project	
Request from the community to District	
Selection of community	
Identification of needs	
Discussion with different authorities to have common understanding	
Prioritize the needs	
Agreement between parties	
Formulation of the scope of the project	
Establish the goals of the project	
Present the project to the local authority and request the authorization	
Identification of key actors and responsibility of the project	
Survey and planning	
Socio-economic survey	
Sector situation survey	
Natural condition survey	
Topographic survey	
Water quality survey	
Soil testing and investigation	
Water source survey	
Survey of procurement condition	
Basic plan	
Water demand projection	
Elaboration of basic plan	
Facility planning	
Structure of implementation	
Environmental Impact Assessment	
Economic and financial appraisal	
Design	

List of activities from the skills assessment

Insert the number of days for each activity

District capacity assessment Skills assessment

Capacity assessment (Human and Financial resources)

Capacity Assessment tool 11-8.xlsx - Excel

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Function Library: Insert Function, AutoSum, Recently Used, Financial, Logical, Text, Date & Time, Lookup & Reference, Math & Trig, More Functions, Name Manager, Define Name, Use in Formula, Create from Selection, Defined Names, Trace Precedents, Trace Dependents, Remove Arrows, Formula Auditing, Show Formulas, Error Checking, Evaluate Formula, Watch Window, Calculation Options, Calculate Now, Calculate Sheet

Financing Forever - Direct Support Costs			
		Exchange Rate	780
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Actual number of systems in District	63 gravity		
	19 electric pump		
	507 springs		
Actual Number of Communities in District	494		
Number of annual work days - one person	230		
Work Days to Fulfill Necessary Activities	863.9		
Number of Staff Required	3.76		
Ideal Municipal WASH Budget (local currency) - 2016 (yellow lines to be edited for local context)			
District Water Board Permanent Secretary	6,000,000		
District WASH Officer	7,200,000		
Administrative Support Costs (Finance, HR, Procurement, Audit, Infrastr)	7,200,000		
Transportation Costs (Fuel, Per Diem, etc)	7,500,000		
Operations Costs (phone, internet, paper/printer ink, etc.)	1,500,000		
Monitoring and Mapping Costs (enumerators, technology, etc)	10,000,000		
Office Equipment (laptop and multimedia)	1,500,000		
Training Costs	500,000		
TOTAL	41,400,000	percent of total budget	0.41%

Formulation of a project

Work Activity (annual) (to edit for local context)	# of Days
Request from the community to District	2
Selection of community	2
Identification of needs	5
Discussion with different authorities to have common understanding	6
Prioritize the needs	7
Agreement between parties	8
Formulation of the scope of the project	1
Establish the goals of the project	1
Present the project to the local authority and request the authorization	3
Identification of key actor and responsibility of the project	4

Survey and planning

Socio-economic survey	3
Sector situation survey	2
Natural condition survey	1
Topographic survey	2
Water quality survey	0.5
Soil testing and investigation	0.3
Water source survey	0.1
Survey of procurement condition	6
Baseline	20

District capacity assessment

Skills assessment

Capacity assessment (Human and Financial resources)

Capacity Assessment tool 11-8.xlsx - Excel

Bruce Uwionkunda

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C33 =B28/B24

	A	B	C	D	E	F
13	Number of Staff Required	3.76			Present the project to the local authority and request the authorization	3
14					Identification of key actor and responsibility of the project	4
15	Ideal Municipal WASH Budget (local currency) - 2016 (yellow lines to be edited for local context)				Survey and planning	
16	District Water Board Permanent Secretary	6,000,000			Socio-economic survey	3
17	District WASH Office	7,200,000			Sector situation survey	2
18	Administrative Support Costs (Finance, HR, Procurement, Audit, Infrastr	7,200,000			Natural condition survey	1
19	Transportation Costs (Fuel, Per Diem, etc)	7,500,000			Topographic survey	2
20	Operations Costs (phone, internet, paper, printer ink, etc)	1,500,000			Water quality survey	0.5
21	Monitoring and Mapping Costs (enumerators, technology, etc)	0,000,000			Soil testing and investigation	0.3
22	Office Equipment (laptop and multimedia)	1,500,000			Water source survey	0.1
23	Training Costs	500,000			Survey of procurement condition	6
24	TOTAL	41,400,000			Basic plan	30
25					Water demand projection	60
26	Actual Municipal WASH Budget (local currency) - 2016				Implementation of basic plan	100
27	Total District WASH Budget	20,000,000			Facility planning	20
28	TOTAL	20,000,000			Structure of implementation	100
29					Environmental Impact Assessment	200
30	Actual District Number of Staff	2			Economic and financial appraisal	300
31					Design	
32	TOTAL DISTRICT BUDGET	20,000,000			Outline design	
33					Design plan	
34					Determination of basic parameters	
35					Calculation of basic quantity	
36					Construction plan	
37					Procurement plan	
38						

Estimate the cost needed to ensure sustainable water service delivery

Percent of real budget vs total budget allocated

Actual budget allocated for sustainable water service delivery

Percent of actual budget versus total budget allocated

Total budget allocated for everything

Percent of real budget vs actual budget allocated

District capacity assessment Skills assessment

Ready

Ask me anything

10:51 AM 1/20/2017

Skills assessment

Capacity Assessment tool 11-8.xlsx - Excel

Bruce Uwionkunda

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Clipboard Font Alignment Number Styles Cells Editing

Calibri 11 A A

General

Normal Bad Good Neutral Calculation Check Cell

AutoSum Fill Clear Sort & Find & Filter Select

G8

Activities	Questions (I can...)	Score							
Formulation of a project									
Request from the community to District	Select community with careful attention to situation of water supply, access to water source, level living for people								
Selection of community	Identify needs with background of needs and its importance in mind								
Identification of needs	Initiate discussion to have common understanding through involvement of different authorities								
Discussion with different authorities to have common understanding									
Prioritize the needs									
Agreement between parties	Describe the contents of the agreement between concerned parties								
Formation of the scope of the project	Explain the components of works included in a rural water supply project								
Establish the goals of the project	Define appropriate goals of rural water supply project with better understanding of actual situation								
Present the project to the local authority and request the authorization									
Identification of key actor and responsibility of the project									
Survey and planning									
Socio-economic survey									
Sector situation survey	Conduct survey for rural water supply from the perspective of technical level, financial condition, institution in sector level								
Natural condition survey									
Topographic survey									
Water quality survey									
Soil testing and investigation									
Water source survey									
Survey of procurement condition									
Basic plan									
Water demand projection									
Elaboration of basic plan									
Facility planning									
Structure of implementation	Identify concerned parties involved in project and describe their roles in implementing the project								
Environmental Impact Assessment									
Economic and financial appraisal									
Design									
Outline design									
Design plan									
Determination of basic parameters									
Calculation of basic quantity									
Construction plan									

Activities that need to be undertaken

Questions asked during the analysis

MARKING

District capacity assessment Skills assessment

Ready

Ask me anything

9:07 AM 1/20/2017

Skills assessment

Capacity Assessment tool 11-8.xlsx - Excel

Bruce Uwionkunda

File Home Insert Page Layout Formulas Data Review View Tell me what you want to do

Clipboard Font Alignment Number Styles Cells Editing

B141 Total Average

	A	B	C	D	E	F	G	H	I
111	Determination of method of evaluation	Explain appropriate method and frequency of evaluation of PPP contractual terms							
112	Determination of items and parameters of monitoring	List up evaluation items and set appropriate indicators							
113	Water quality	Describe process of water quality test and define responsible organizations in each process of water quality test							
114	Customer satisfaction	Describe how to measure customer satisfaction for water supply service							
115	Water tariff	Explain water tariff, collection method for water tariff and how to save collected water fee by facility type							
116	Royalty								
117	Condition of facilities								
118	Revenue and expense								
119	Evaluation								
120	Taking action in case performance is over required standard	Explain necessary actions to be taken when performance of PO is over required standard							
121	Taking action in case performance is below required standard	Explain necessary actions to be taken when performance of PO is below required standard							
122	Notice of results of performance to the public								
123	Data management								
124	Reporting for O&M		#DIV/0!						
125	Providing feedback	Analyze monthly reports and provide proper feedback to PO and District							
126	Review of O&M plan		#DIV/0!						
127	Revising PPP contract if necessary								
128	Termination of PPP contract	Describe procedure of termination of PPP contract							
129	Evaluation of the execution results of PPP contract	Explain evaluation points (items) for the performance of contractual terms							
130	Inspection of functioning of water supply systems								
131	Handover of water supply systems from PO to District								
132	Issue of certificate for termination of PPP contract								
133	Development of evaluation plan (technical, financial, socio-economic)		#DIV/0!						
134	Defining indicators (ex. water coverage)	Define conceivable indicators for evaluation of water supply project							
135	Setting evaluation methods	Set up feasible evaluation method in consideration of capacity of estimator and budget for evaluation							
136	Data sources	Find out data sources and collect necessary data for evaluation of water supply project							
137	Timeline	Set up rational timeline for evaluation of water supply project in consideration of capacity of estimator and budget for evaluation							
138	Roles and responsibilities	Define roles and responsibilities for evaluation of water supply							
139	Evaluation of executed works		#DIV/0!						
140	Reporting of evaluation	Explain contents of evaluation report according to the evaluation results for water supply project							
141		Total Average	3						

District capacity assessment Skills assessment

Ready

Ask me anything

9:24 AM 1/20/2017

55%

After filling all the marks, an average is given

Skills assessment

Capacity Assessment tool 11-8.xlsx - Excel

Bruce Uwonkunda

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Clipboard Font Alignment Number Styles Cells Editing

C6

Activities	Questions (I can...)	Scoring
Formulation of a project		3
Request from the community to District		1
Selection of community	Select community with careful attention to situation of water supply, access to water source, level living for people	3
Identification of needs	Identify needs with background of needs and its importance in mind	5
Discussion with different authorities to have common understanding	Initiate discussion to have common understanding through involvement of different authorities	
Prioritize the needs		
Agreement between parties	Describe the contents of the agreement between concerned parties	
Formulation of the scope of the project	Explain the components of works included in a rural water supply project	
Establish the goals of the project	Define appropriate goals of rural water supply project with better understanding of actual situation	
Present the project to the local authority and request the authorization		
Identification of key actor and responsibility of the project		
Survey and planning		#DIV/0!
Socio-economic survey		
Sector situation survey	Conduct survey for rural water supply from the perspective of technical level, financial condition, institution in sector level	
Natural condition survey		
Topographic survey		
Water quality survey		
Soil testing and investigation		
Water source survey		
Survey of procurement condition		
Basic plan		
Water demand projection		
Elaboration of basic plan		
Facility planning		
Structure of implementation	Identify concerned parties involved in project and describe their roles in implementing the project	
Environmental Impact Assessment		
Economic and financial appraisal		
Design		#DIV/0!
Outline design		
Design plan		
Determination of basic parameters		
Calculation of basic quantity		
Construction plan		

District capacity assessment Skills assessment

Ready

Ask me anything

9:20 AM 1/20/2017

The marking range between 1-5 and color code are assigned automatically

Enabling environment

Capacity Assessment tool 11-8.xlsx - Excel

Bruce Uwongunda

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Metric 8.6: There Is A Plan To Finance Replacement of WASH Services In Clinics

Results inputs

Equivalent score

Average score for each indicator

Rulindo Sustainable Services Checklist					
Indicators/Metrics	Result	Metrics Score	Indicator Score	Notes	
Indicator 1: Service Authority - District Government - Structure					
Metric 1.1: Rulindo District WASH Office Established As Part Of District Government Structure	Yes	1			
Metric 1.2: Rulindo District And Central Government Have Signed MOU/Mandate To Reach Full Coverage With Sustainable Services	Yes	1			
Metric 1.3: Rulindo District Has A Clear Collaboration Framework With WASAC In Supporting WASH	Yes	1			
Metric 1.4: Rulindo District Has Established Functional DWB And WUCs	Yes				
Indicator 2: Service Authority - District Government - Finance			0		
Metric 2.1: Rulindo District Government/Ministry Of Infrastructure Has Calculated The Level Of Funding Needed To Cover Direct Support Costs	Yes	1			
Metric 2.2: Rulindo District Government/Ministry Of Infrastructure Current Investment is Sufficient To Meet Costs Of Direct Support	10	10			
Metric 2.3: Rulindo District Has Estimated The Level of Funding Needed To Cover, Capital Investment, Major Repair And Capital Replacement Costs For All Water Systems	10	10			
Metric 2.4: Rulindo District Has A Plan For Covering 85% of The Cost Of Major Repairs and Capital Replacement	Yes	1			
Metric 2.5: Rulindo District Maintains Appropriate Transparent Financial Records, Including Annual Financial Audit Report As Part Of The Public Domain	Yes	1			
Metric 2.6: Rulindo District Has Adopted Tariff At A Rate That Covers 100% Of Operation and Maintenance Of Water Systems	Yes	1			
Metric 2.7: Rulindo District Has Set Tariff At A Rate That Will Cover 15% Or More Of Capital Replacement Costs and 5% of the administrative cost of the DWB	10	10			

9 Indicators

METRICS

District capacity assessment Skills assessment Sustainable services checklist Documentation for the checklist

Ready

Ask me anything

11:17 AM 1/25/2017

Enabling environment

Capacity Assessment tool 11-8.xlsx - Excel

Bruce Uwankunda

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Clipboard Font Alignment Number Styles Cells Editing

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E54

	A	B	C	D	E	F
37		Metric 7.1: Private Operators Have Spare Parts Available In The Community Or Nearby	10	10		
38		Metric 7.2: Private Operators Repair Minor Breakdowns Within 2 Days	10	10		
39		Metric 7.3: Private Operators Meets All Bi-Annual Water Quality Testing Requirements	10	10		
40		Metric 7.4: Private Operators Have Sufficient And Appropriate Toolkit For O&M	10	10		
41		Indicator 8: School And Clinic WASH Services			1	
42		Metric 8.1: There Is Clear Documentation At Service Authority Level Of Who Is Responsible To Provide WASH Services In Schools	Yes	1		
43		Metric 8.2: Schools Have Funds Available To Cover WASH Operation And Maintenance	10	10		
44		Metric 8.3: There Is A Plan To Finance Replacement of WASH Services In Schools	10	10		
45		Metric 8.4: There Is Clear Documentation At Service Authority Level Of Who Is Responsible To Provide WASH Services In Clinics	Yes	1		
46		Metric 8.5: Clinics Have Funds Available To Cover WASH Operation And Maintenance	10	10		
47		Metric 8.6: There Is A Plan To Finance Replacement of WASH Services In Clinics	10	10		
48		Indicator 9: Water Resource Management			1	
49		Metric 9.1: A Water Source Inventory Has Been Completed Or Updated In The Last 3 Years	Yes	1		
50		Metric 9.2: District level Water Resource Management Plan Exists	Yes	1		
51		Metric 9.3: District NRM Officer Performs Annual Monitoring Of Water Source Capacity	10	10		
52		Average from all indicators in terms of level of sustainable services				
53						
54						
55						

District capacity assessment Skills assessment Sustainable services checklist Documentation for the checklist

Ready

Ask me anything

11:58 AM 1/25/2017

0: No sustainable service (Black color)

1-3: Inadequate sustainable service (Red color)

4-7: Basic sustainable service (Orange color)

7-8: Intermediate Sustainable service (Yellow color)

9: High level of sustainable service (Green color)





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