

Experiences with strategic planning for rural drinking water and sanitation in district municipalities



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Contents



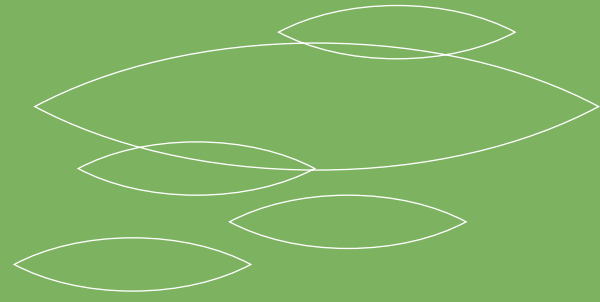
1. Background.....	7
2. Strategic planning for water and sanitation at the district level.....	9
2.1 Preparatory stage.....	10
(a) Designing the methodology.....	10
(b) Motivating municipal authorities; induction.....	10
(c) District water and sanitation diagnoses.....	10
(d) Identifying and inviting stakeholders.....	11
2.2 Design stage - Preparing strategic plans for water and sanitation.....	11
(a) Presentation and analysis of district water and sanitation diagnoses.....	11
(b) Definition of key issues in water and sanitation management.....	13
(c) Local institutional framework for water and sanitation services.....	14
(d) SWOT analysis of the municipalities' ability to provide services.....	15
(e) Strategic goals for water and sanitation.....	16
(f) The Vision Statement.....	17
(g) Preparation of the Annual Operating Plan.....	17
(h) Preparation of the Water and Sanitation Investment Plan.....	17
(i) Consolidation of the strategic planning document for water and sanitation.....	19
2.3 Creating support committees for local municipal management.....	19
3. Conclusions.....	21
3.1 Results.....	21
3.2 Lessons learned.....	21
Annex.....	22





In 2002, Peru embarked on a process of decentralization and regionalization, which, if it was to be successful, was going to need the support and collaboration of all the public and private institutions, and international cooperation agencies. One of the greatest challenges has been to provide mechanisms, strategies and technical assistance to improve management capacities at the local level. This document describes the experience of the PROPILAS Project in the building of capacities in districts to optimize the management and sustainability of the rural water and sanitation services. The project was carried out in six district municipalities in the department of Cajamarca: San Juan and Llacanora (province of Cajamarca); Miguel Iglesias and Utco (province of Celendín); and Lajas and Tacabamba (province of Chota). The project helped these municipalities to draw up development and investment plans for supplying water and sanitation services to rural communities; or to improve their existing plans.





1. Background

The Pilot Project to Improve District Water and Sanitation Management and Sustainability - PROPILAS seeks to validate new aid models for providing sustainable water and sanitation services in rural communities. The results, experiences, and lessons learned are shared with the country's water authority so that they may be included in the national policies and the project may be replicated on a large scale. PROPILAS is being executed by CARE PERU in the department of Cajamarca; it is financed by the Swiss Agency for Development and Cooperation (SDC), and has the technical assistance of the Water and Sanitation Program. In the early stages, starting in May 2002, the project's emphasis was on providing advice and technical assistance to local governments to help them assume the greater responsibilities they will be called on to discharge as part of the country's fiscal and political decentralization process already under way.

In July 2002, the Decentralization Bill was approved by Congress and became law. This law regulates the forming of the regions and municipalities, defines the competences of the three levels of government, and determines the assets and resources of the regional and local governments.

In May 2003, the new Organic Law of Municipalities (Law 27972) was passed. This law maintains the two existing levels of local government in Peru: provincial municipality and district municipality. To promote citizen participation in public administration at the local level, the law provides for the creation of a Local Coordination Council (CCL)¹ at the district and provincial level, which has the tasks of building consensus and coordinating for the Municipal Development Plan and

participatory budget, and proposing investment projects as well as projects for local public services.

The regulations of the Framework Law on Participatory Budgets define the Coordinated Development Plan as the instrument that is to govern local or regional development, and the participatory budget process. This plan therefore contains the community's decisions regarding its development vision and strategic goals, in keeping with sectoral and national plans.

Although the legal framework stipulates that local participatory planning processes be conducted, in practice there are several factors that are slowing down progress in the promotion of local development. The process becomes even more complex in some regions, such as Cajamarca, where mining has a direct impact on local development. Not only does it produce an environmental impact, but it also has an impact on local financial resources, since mining royalties will be made available to certain district and provincial municipalities. This increased revenue creates, in turn, an immediate need for the building of capacities to ensure a well-planned and strategic use of these funds.

It is in this context that the PROPILAS project is being carried out, mainly to build the district municipalities' capacity for directing the water and sanitation services in their rural communities. The Project seeks to help the local governments themselves to improve the quality of life in their areas by ensuring the sustainability of the W&S services based on medium-term planning.

¹ Composed of the mayor, aldermen, and representatives of civil society: community-based organizations, peasant communities and native communities, associations, producers' organizations, business associations, neighborhood groups, etc., up to a proportion of 40% of the total number of members of the CCL.



2. Strategic planning for water and sanitation at the district level



Typically, municipal activities in the small rural districts of the Andean highlands suffer from a poor institutionalization of the processes, standards, and procedures designed to obtain greater efficiency and transparency in the management of local development.

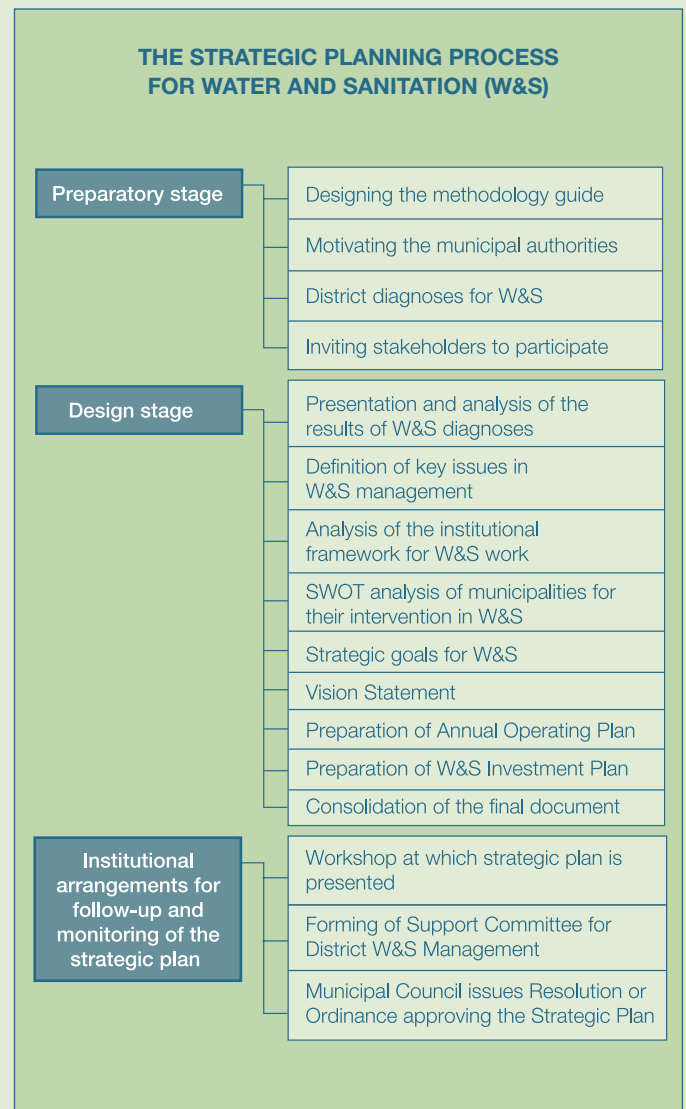
The traditional approach to municipal work continues to be employed: activities are undertaken to meet short-term goals, with a series of small public works projects, but there is no integrating approach. The new legal frameworks that regulate citizen planning and participation seek to facilitate compliance with these goals; however, laws by themselves cannot change traditional procedures and habits.

This is why it was necessary to promote a culture of participatory planning with a long-term horizon, and to stimulate the processes that would define a shared vision for the future and produce the commitment of the different stakeholders in local development to make joint decisions and coordinate their efforts. Some experience had already been gained in work of this type in Cajamarca² and other regions of Peru.

PROPILAS therefore continued in this direction with its proposal of technical assistance for six district municipalities to help them draw up strategic plans for water and sanitation: San Juan and Llacanora (province of Cajamarca); Miguel Iglesias and Utco (province of Celendín); and Lajas and Tacabamba (province of Chota).

PROPILAS, as a pilot project, seeks to design and validate sustainable modes of intervention in basic rural water and sanitation. Accordingly, in coordination with the local

governments, it was decided to give support in designing the municipalities' strategic plans for water and sanitation. The Project's task was to train the six district municipalities in the use of planning and management tools. This process took place in three phases: a) Preparatory stage; b) Design stage; and c) Stage of institutional arrangements.



² For example, CARE's experience in its Project for Strengthening Local Management (FOGEL); also the community development experience of the Primary Health Care Project (APRISABAC) from 1995-2000; and the local development plans drawn up by the Coordination Committees for the Fight against Poverty.

2.1 Preparatory Stage

At the beginning of the process, before drawing up the plan, the Project carried out intensive induction and motivation work in the district municipalities with key authorities (mayor, aldermen, and officials). Certain basic inputs were required for drawing up the plan, so at this stage the following information was gathered: methodology proposal, district water and sanitation diagnoses, and lists of identified stakeholders who would be invited to participate in each locality.

(a) Designing the methodology

Methodology guidelines were prepared for the process of drawing up the strategic plan for water and sanitation. It was agreed with each of the district municipalities that they would lead the process based on a participatory and multi-sectoral planning approach. PROPILAS, for its part, presented the sequence of steps to be taken to analyze the local population's needs and demands in relation to water and sanitation, as well as current institutional and organizational capacities; and the modus operandi whereby the local stakeholders would put forward their proposals for solutions. Three workshops were held to explain the proposed methodology for completing the planning and the institutional arrangements for follow-up and monitoring of the execution of the plan.

(b) Motivating municipal authorities; induction

One basic condition for the success of the participatory planning process is that the municipal authorities, in particular the mayors, clearly express their support of the strategic planning process for water and sanitation, and that they facilitate the preparation and implementation of the strategic plan. Work meetings were therefore held with the municipal authorities, to analyze and discuss the following points: i) Analysis of problems in the district's water and sanitation services; ii) Identification of stakeholders with some involvement in local water and sanitation issues, who would be invited to participate; iii) Timeframe and commitments for carrying out the planning process.

(c) District water and sanitation diagnoses

In the absence of systematized or up-to-date information on the situation of the water and sanitation services in the district municipalities, the Project made diagnoses of the water and sanitation situation to be used as baseline data when drawing up the plans³.

In the rural communities of the district (hamlets) the following tools were applied:

- a) Survey on the condition of drinking water infrastructure
- b) Family survey
- c) Survey on management of the services
- d) Survey of hamlets that do not have a drinking water system (optional).

In the urban areas (district capitals), the following were applied:

- a) Survey on the status of environmental sanitation
- b) Survey of local institutions.

The information obtained from the surveys was fed into the data base. Software was designed – the “Sectoral Information System” or “SIS” – to process the data and prepare frequency distribution tables for all the survey variables. The SIS was also used to produce reports on the following aspects:

- State of conservation and working order of the water system infrastructure.
- Management of the water and sanitation services.
- Operation and maintenance of the W&S services.
- Family behavior patterns (habits of hygiene).
- Level of sustainability⁴ of water systems currently existing in the localities.

³ PROPILAS hired the local consultancy services of the NGO Centro de Investigación, Documentación, Educación, Asesoría y Servicios – IDEAS, [Center for Research, Documentation, Education, Consultancy, and Services – IDEAS] to obtain the field information.

⁴ Based on the theoretical framework of the “Study of the sustainability of 104 rural water systems” conducted by the Water and Sanitation Program in 1999, in which sustainability is linked with three variables: (1) The state of the system (quantity, quality, coverage, continuity, and condition of the infrastructure); (2) Management (community and leadership); and (3) Operation and maintenance.



(d) Identifying and inviting stakeholders

The six municipalities issued invitations to the institutions and organizations in their respective localities to ensure their participation in the process. Most of the mayors delegated this task to their aldermen in charge of the municipal social service commissions. The institutions called on to participate were:

- Health Sector – representatives of the local health facilities.
- Education Sector – representatives of schools in the district capital and the communities.
- Governors, Lieutenant Governors, district municipal agents, and the magistrate.
- Community-based organizations, such as the local water boards (full name: Water and Sanitation Services Management Boards; acronym in Spanish: JASS), development committees, “Comités de Vaso de Leche”⁵, peasant patrols, and others.

2.2 Design Stage – preparing strategic plans for water and sanitation

The strategic plans were drawn up using participatory methods with the input of the invited stakeholders in two planning workshops. Each workshop involved two days of work⁶. Members of the PROPILAS team acted as facilitators of the workshops.

(a) Presentation and analysis of district water and sanitation diagnoses

The first step in the participatory planning process was to present and discuss the baseline information to help the participants identify and analyze the problems to be addressed by the plan. With this criterion, the PROPILAS team presented the results of the district water and sanitation diagnoses, so that the



participants might become familiar with the present situation in each locality. The results were structured in four areas: i) Condition of existing infrastructure; ii) Management of W&S services; iii) Operation and maintenance of the systems; and, iv) Family behavior patterns with regard to habits of hygiene.

The results of the water and sanitation diagnoses of the six districts covered by the Project, with an estimated population of 16,600 families in 160 localities, were analyzed with the participation of the local stakeholders. Table 1 summarizes the results for some of the variables.

⁵ This Peruvian program, called the Vaso de Leche [Glass of Milk], provides milk and milk substitutes to low income families.

⁶ The workshops were attended by an average of 50 participants. Organization costs and logistics were co-financed by the PROPILAS project and the district municipalities.

Table 1: Summary of district diagnoses prior to project intervention						
	Districts					
Indicators	Miguel Iglesias	Utco	San Juan	Llacanora	Lajas	Tacabamba
Nº of communities / localities	20	8	23	13	33	63
Nº of families	1286	411	1252	2067	4509	7099
Coverage of drinking water system	41%	57%	68%	60%	48%	49%
Sustainability of systems built in the 1990s						
- Sustainable	-	1	-	-	-	-
- In process of deterioration	17	4	30	24	38	61
- In process of severe deterioration	-	-	19	1	8	2
- Collapsed	-	-	1	-	-	-
Total systems per district	17	5	50	25	46	63
Operation and maintenance of services						
- Nº of systems that have an Operation and Maintenance Plan	8	2	6	20	12	28
- Nº of systems that chlorinate the water	9	4	37	16	2	8
Habits of hygiene						
% of the population who use latrines	66%	57%	71%	77%	75%	68%
% of the population practicing open-air defecation	34%	-	29%	23%	25%	28%
% of the population who use toilets	-	-	-	-	-	4%
% of families who wash their hands on the three occasions ⁷	25%	19%	9%	83%	28%	16%
% of families who drink tap water	41%	81%	88%	94%	62%	44%
% of families who drink boiled water	21%	19%	9%	5%	34%	40%
% of families who drink water from springs or wells	38%	-	3%	1%	4%	16%
Prevalence of ADD ⁸ in under-five-year-olds	21%	10%	19%	14%	22%	26%

Source: District water and sanitation diagnoses – PROPILAS 2004

⁷ Three occasions refers to handwashing before and after every meal and after visiting the toilet.

⁸ Acute diarrheal diseases



Once the results of the district water and sanitation diagnoses had been presented, the participants at the planning workshops analyzed the water and sanitation services in their respective communities, and established cause-effect relationships for the main problems detected.

One of the district mayors was surprised at the results. He had been convinced that the water service coverage in his district was very good; according to the information he had at hand, more than 80% of his district had drinking water systems installed. This was true. However, it was also true, from the results of the diagnosis, that only 41% of the families in the district had access to a safe water source. The timely discovery of this information led this mayor to change his mind about the priority of a rural water and sanitation program in his area.

The analysis of the issue showed that the following problems were common to all six districts:

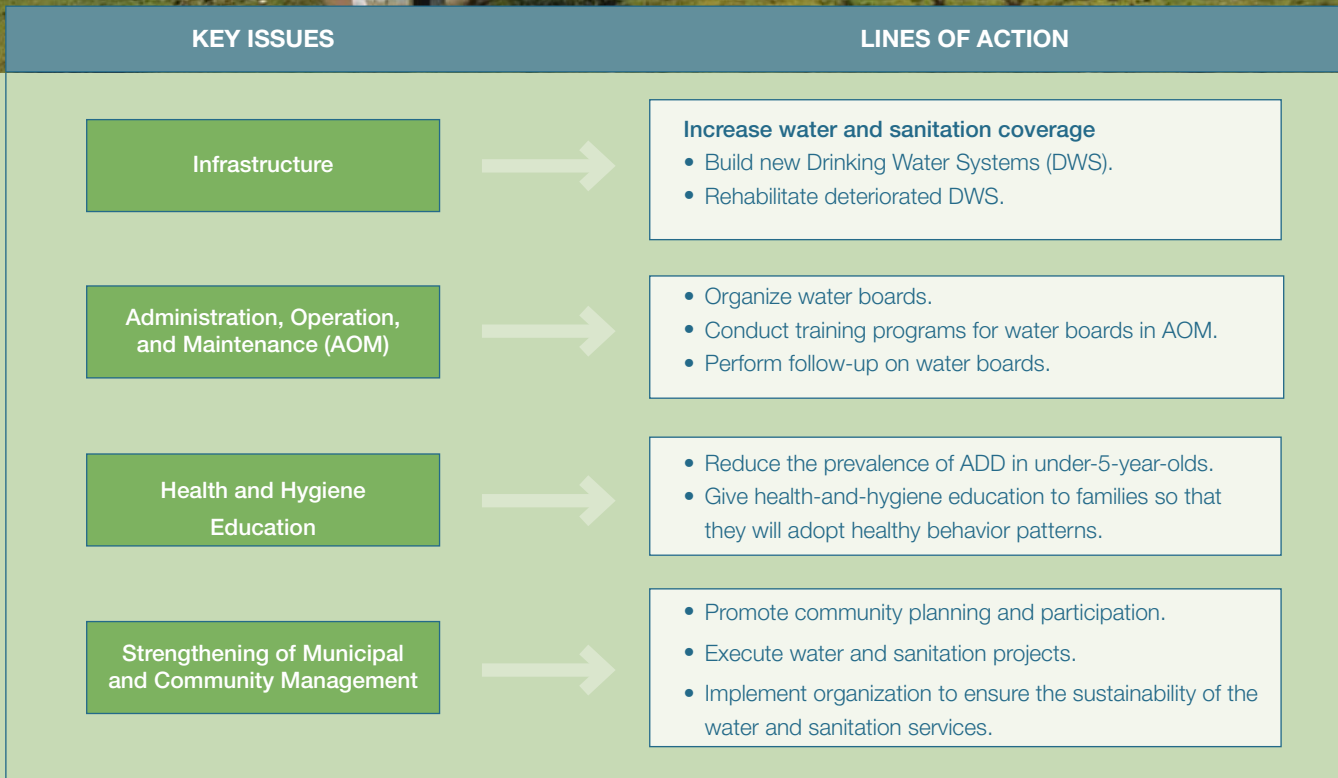
- Rural municipalities had insufficient funds for supplying water and sanitation services.

- The municipalities had little management capacity for obtaining funds additional to those transferred to them from the central government for the provision of water and sanitation services.
- There was poor community participation in the management of water and sanitation services.
- The local water boards were poorly organized to deal with the administration, operation and maintenance of the services.
- Not enough families were practicing habits of hygiene.
- Weak follow-up on water boards by the municipalities.
- Weak role of the health sector in surveillance of water quality.

(b) Definition of key issues in water and sanitation management

Based on their analysis of the results of the district diagnoses, and the cause-effect relationships, the workshop participants identified four key issues that synthesize the problems in the districts. The graph on the following page gives a summary of the planning workshop.





(c) Local institutional framework for water and sanitation services

The participants analyzed the roles played by the different local stakeholders⁹, in order to identify responsibilities in the provision of W&S services. This analysis was linked with the three key stages in integrated water and sanitation projects: planning, execution, and post-execution¹⁰.

The analysis of stakeholders’ responsibilities in facilitating provision of these services revealed a constant institutional weakness, as well as insufficient resources on the part of the municipal officers to assume their role. Once these problems had been discussed in each of the municipalities, certain lines of action were established for building the capacities of the stakeholders:

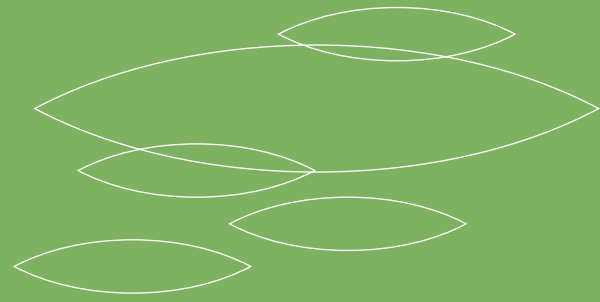
- Build the capacities of the district municipalities to enable them to identify mechanisms that will help improve fund management and the provision of services.

- Build the capacities of the water boards by having the boards legally constituted and implementing a training program in administration, operation, and maintenance (AOM).
- Set up mechanisms for the monitoring and follow-up of the water boards by the district municipalities, to help ensure the sustainability of the services.
- Within the district governing body, create an area to be in charge of providing support to the management of the water and sanitation services.
- Promote community participation in the execution of the infrastructure and in the training processes in water and sanitation projects.
- The district municipality, health sector, and education sector should work together to train the local families and school population in matters relating to water and sanitation.
- Promote the forming of water board associations and create opportunities for coordination and inter-institutional work among the different stakeholders.

⁹ The local stakeholders are: district municipality; personnel from the MOH health facility; school teachers; water boards (JASS); community-based organizations (peasant patrols, glass of milk committees, irrigation committees, etc.); and development NGOs, among others.

¹⁰ See Annex 1, Stakeholder role matrix for water and sanitation.

The work of developing the capacities of the stakeholders was complemented with support in designing specific local policies or regulations; for example, municipal ordinances designed to improve the provision of the services in the district.



(d) SWOT analysis of the municipalities' ability to provide services

One of the project goals was to develop the capacities of the district municipalities so that they would be better able to support an effective and efficient management of their district water and sanitation services. An in-depth analysis was therefore made using the SWOT method (strengths, weaknesses, opportunities, threats).

The response of the municipal authorities was mixed. The district municipalities of Miguel Iglesias, San Juan, Llacanora, and Utco were the most enthusiastic; the others, though less willing, persevered in the analysis process. The following table summarizes the SWOT analysis.

INTERNAL FRONT	EXTERNAL FRONT
STRENGTHS	THREATS
<ul style="list-style-type: none"> • Municipalities have technical areas. • They are able to call on community based organizations to coordinate projects. • Greater availability of funds (transfers from Ministry of Finance: FONCOMUN and mining royalties) means a better chance to invest in water and sanitation. • There is political willingness to coordinate and cooperate on the subject of investment in water and sanitation. 	<ul style="list-style-type: none"> • Proximity of elections triggers political clientelism. • Possibility that budget transfers may be cut. • The trend in international cooperation is to cut aid funds to Peru to send them to needier countries. • Climate change and natural phenomena could affect the W&S systems. • Some communities' W&S services are deteriorating because of weak management and lack of training.
WEAKNESSES	OPPORTUNITIES
<ul style="list-style-type: none"> • Little capacity for planning and executing integrated water and sanitation projects. • Insufficient follow-up or advice is given by the municipalities to the local water boards. • Weak practice in the implementation of participatory budgets. • Lack of policies and regulatory and management tools for water and sanitation. • Turnover of personnel affects the accumulation and consolidation of knowledge and experience in the water and sanitation sector. 	<ul style="list-style-type: none"> • Transfer of social programs. • Strategic alliances between municipalities and external cooperation sources. • Interest in investing in the water and sanitation sector and financial support from certain institutions for this purpose. • Implementation of PRONASAR. • Demand on the part of the communities to participate in the execution of water and sanitation projects. • Availability of sectoral information on water and sanitation.

In each district a two-day workshop was conducted to prepare the Strategic Plan. The participants work was threefold: drafting the objectives and strategic goals for water and sanitation; composing the statement of their district's vision for the sector; and drawing up the Annual Operating Plan (AOP). At this stage, an outline was made of the institutional arrangements and commitments of the parties with a view to executing the plan.

(e) Strategic goals for water and sanitation

At each district planning workshop, strategic goals were set in order first to visualize – and subsequently to measure – the changes that the Strategic Plan for Water and Sanitation aimed to achieve in the long and middle term. The AOP was also agreed on. The following chart gives an overview of the planning workshops in the districts:



OVERALL OBJECTIVES AND STRATEGIC GOALS	
1) Strengthen the institutions and community-based organizations (CBOs) by building their capacity to ensure sustainable management of their water and sanitation services.	<ul style="list-style-type: none"> • X number of strengthened water boards participate actively in the sustainable management of the district water and sanitation services under the leadership of the District Municipality. • CBOs in the district carry out citizen surveillance of the execution of the Strategic Plan for Water and Sanitation.
2) Increase the coverage and quality of the district water and sanitation services.	<ul style="list-style-type: none"> • X % of the district's population have permanent access to drinking water and sanitation services of good quality by the fifth year of execution of the sector's Strategic Plan.
3) Build the capacities and skills of the users to enable them to participate in the administration, operation, and maintenance of the services (AOM).	<ul style="list-style-type: none"> • X % of water boards in the district satisfactorily perform the administration, operation, and maintenance of the water and sanitation systems by the end of the fifth year of implementation of the Strategic Plan.
4) Promote healthy behavior patterns and good habits of hygiene in the population by means of educational processes.	<ul style="list-style-type: none"> • X % of families have adopted healthy habits of hygiene by the fifth year of execution of the Strategic Plan. • Y % of the district's schools have included the subject of water and sanitation in their school curriculum.



(f) The Vision Statement

The vision to be proposed had to describe the target situation, that is, the situation the district was aiming to reach in the long term by executing the strategies identified and defined in the Plan. In drafting their Vision Statement, the participants faced the challenge of projecting themselves from the recognition of their present strengths and weaknesses towards a desirable and possible future situation. To give an example, the workshop held to prepare the Strategic Plan for Water and Sanitation in the district of Utco came up with the following vision:

VISION of the District of Utco

In 2009, the district of Utco will have institutions and organizations that have been strengthened and which participate in the sustainable management of the water and sanitation services; its population will have become environmentally aware; this will be reflected in a better quality of life in both rural and urban areas.



(g) Preparation of the Annual Operating Plan

The Annual Operating Plan (AOP) for Water and Sanitation is one of the management tools for providing local government services. The AOP includes the activities, goals, and those responsible, i.e. the factors crucial to maintaining steady progress towards meeting the strategic goals. To prepare the AOP, participants worked with a matrix into which they incorporated the projects, actions, and activities set for each strategic goal.

(h) Preparation of the Water and Sanitation Investment Plan

In drafting the proposal for their Investment Plan for 2006-2010, the municipalities, with the help of PROPILAS, worked from the following inputs:

- District water and sanitation diagnoses (population, coverage, sustainability level).
- Projects and goals included in the plans.
- Average per capita costs of the PROPILAS project for the rehabilitation of deteriorated systems and/or construction of new systems.

It was also necessary to make some assumptions about the behavior of the municipal finances¹¹ and the political willingness of the district authorities to increase the average level of their investment in water and sanitation and thus comply with the Millennium Development Goals over the next ten years; that is to say, reduce by 50% the current water and sanitation deficit in the six districts. The results of the investment projection are shown in Table 2.

¹¹ Municipal funds largely depend on transfers from the central government, which are mainly from the Municipal Compensation Fund and mining royalties.

Table 2 : Water and Sanitation Investment Plan (2006-2010)

1	2	3		4	5	6	7		8	9
District	Total municipal budget 2005 in Nuevos Soles	Amount allocated to investments by district municipalities		Total population	Present coverage of water service	Coverage goal 2010 (reduce coverage deficit by 25%)	Total investment required for construction of new drinking water systems (DWS)			
		S/.	S/.				%	Population		Total
N°	%			N°	%	S/.				
San Juan	3,618,342	3,245,144	89.7	6,886	68	76.0	551	8.0	327,815	
Llacanora	4,219,523	3,642,852	86.3	11,369	60	70.0	1,137	10.0	676,541	
Miguel Iglesias	1,798,805	942,409	52.4	7,073	41	55.8	1,043	14.8	620,822	
Utco	484,978	333,140	68.7	2,591	57	67.8	279	10.8	165,748	
Tacabamba	3,747,836	2,581,330	68.9	38,924	49	61.8	4,963	12.8	2,953,244	
Lajas	3,268,634	2,325,450	71.1	24,800	48	61.0	3,224	13.0	1,918,522	

Per capita cost of new DWS: US \$183.10 (*) – exchange rate 3.25 595.08 Nuevos Soles
 Per capita cost of rehabilitation: US \$70.03 – exchange rate 3.25 227.60 Nuevos soles

Notes (Numbers refer to column headings):

- 2: It is assumed that municipal revenues for 2005 will remain constant throughout the coming five years (or will eventually increase).
 Source of municipal budget data for 2005: www.cnd.gob.pe
- 3: Amount allocated by municipalities for investments in the financial year 2005; the difference is used to cover current expenditure and others.
 Source of municipal budget data for 2005: www.cnd.gob.pe
- 4: Total population in each district, according to the district water and sanitation diagnoses - PROPILAS 2004.
- 5: Present coverage of water in each district according to district water and sanitation diagnoses - PROPILAS 2004.
- 6: Coverage goal by 2010: reduce by 25% the present coverage deficit, by constructing new DWS in communities without coverage, and rehabilitating the DWS in those places where the system is in serious danger of collapsing.
- 7-9: Population, and total investment required for the construction of new DWS. Estimate based on district water and sanitation diagnoses - PROPILAS 2004, and per capita costs of the systems constructed by PROPILAS II.
- 10-12: Population, and total investment required for the rehabilitation/expansion of DWS. Based on district water and sanitation diagnoses - PROPILAS 2004, it is estimated that this rehabilitation work will be indispensable in the course of the next five years to ensure that the population who currently have access to the service will not lose it. Per capita costs are those of the systems rehabilitated by PROPILAS II.

- 13: Total budget required by the district municipalities to improve the coverage and sustainability of services (new DWS and rehabilitation work).
- 14: Amounts that the municipalities would allocate to water and sanitation projects (commitment: allocate no less than 10% of their investments to this item).
- 15: Incorporating the demand approach and the policy of co-financing the investment; the beneficiary population contributes at least 20% of the total investment in water and sanitation.
- 16: Only the municipalities of San Juan and Llacanora can afford to cover the requirements of the investment plan (with the contribution of the municipalities and the community). The other four districts will have to obtain additional funds from other sources; they will also have to raise their investments in water and sanitation above the 10% committed, since this percentage is insufficient in view of the size of the investment needed if the goals are to be reached by 2010.

(*) The per capita cost includes the following components: infrastructure; training in administration, operation, and maintenance; and health and hygiene education. The amount is higher than in the PROPILAS I project (US\$130.84 for new systems), because the communities that do not yet have W&S services are more distant and have a more widely-dispersed population, thus necessitating a higher budget. The per capita cost does not include the project's operating costs.



10	11	12	13	14	15	16
Total investment required for the rehabilitation of DWS which could collapse in the next five years, leaving the population without service (Sustainability)			Total budget to improve the coverage and sustainability services 2006-2010 (new and rehabilitated)	Municipal commitment to invest in water and sanitation no less than 10% of the investment budget over approx. 5 years	Co-financing: community contribution, 20 % of investment in water and sanitation	Deficit or Superavit for water and sanitation investment plan 2006-2010 Need for leverage
Population		Total				
N°	%	S/.	S/.	S/.	S/.	S/.
2,822	7.3	642,280	970,095	1,622,572	194,019	846,496
5,005	44.0	1,139,125	1,815,666	1,821,426	363,133	368,893
2,629	37.2	598,354	1,219,176	471,205	243,835	-504,136
583	22.5	132,689	298,437	166,570	59,687	-72,180
18,150	46.6	4,130,895	7,084,139	1,290,665	1,416,828	-4,376,646
11,869	47.9	2,701,355	4,619,877	1,162,725	923,975	-2,533,176

(i) Consolidation of the strategic planning document for water and sanitation

Once the strategic planning workshops had been completed in each of the districts, PROPILAS helped to consolidate all the products of the work sessions in a final document entitled: “Strategic Plan for District Water and Sanitation.”

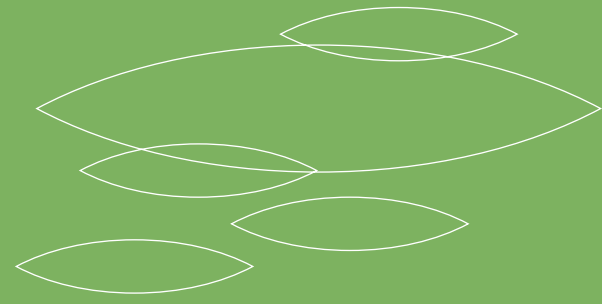
2.3. Creating support committees for local municipal management

At the next stage, the results of the strategic planning and operating plan contained in the final document were presented. The implementation strategies were analyzed again, and decisions were adopted to define the inter-institutional support framework. It was decided to create committees to support the

district’s management of the provision of water and sanitation services. These committees will play an important role in the follow-up, monitoring, and assessment of the plan.

The creation of the committees expresses willingness to work together on the part of the diverse public and private institutions and organizations involved in the district water and sanitation sector. Official approval of these strategic plans by the municipal councils requires a municipal resolution to be issued which, at the time of writing this report, is in process. The official approval of the sectoral plan in the council session will give the necessary back-up for its implementation, and will be a sign of the municipalities’ commitment to exercising leadership in the provision of water and sanitation services in their districts, especially in the rural communities.





3. Conclusions

The experience and results of the strategic planning for water and sanitation have made it apparent that with minimal technical assistance, local governments are able to coordinate and build consensus with local stakeholders and establish commitments to ensure the access of rural communities to sustainable services.

In this reference, proposals should be designed for building the capacities of local district governments. This capacity-building can be offered in the context of the consolidation of the decentralization policy now under way in the country. A weak local government is hardly the best representative of the State to fight poverty and meet the Millennium Development Goals. Rather, institutional soundness and properly qualified personnel are a good indicator of the State's strength and its ability to discharge its role as regulator and promoter.

Citizen participation in the process of drawing up the participatory budget at the district level should be strongly encouraged, and the local sectoral strategic plans will serve as input for the budgeting process. The fact that the municipal governments have taken the decision to allocate funds to their W&S Plans is a good indicator that they now realize how important it is to ensure the sustainability of the services in their district in order to achieve MDGs for water and sanitation.

3.1 Results

- a) The representatives of public and private organizations and of the district's civil society are familiar with, and are trained to replicate, a methodology for the development of participatory planning processes for water and sanitation; and the proposal may also be applied in other fields of local public management.
- b) The district municipalities (six) now have strategic plans and annual operating plans to govern their investment in water and sanitation projects, product of the joint work of local stakeholders. However, in three¹² of these six municipalities

the plans are in process and awaiting formal approval by the municipal council.

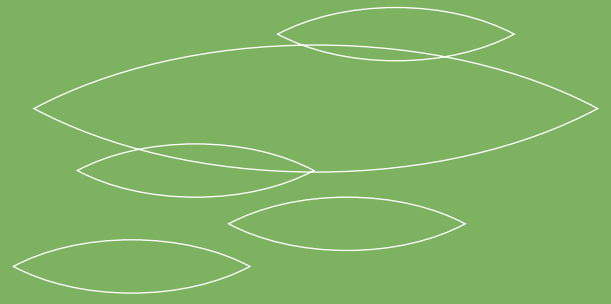
- c) The strategic planning process created a scenario of participation, consensus-building and coordination among the different local actors, reinforcing the citizen participation approach, and identifying the mechanisms that will lead to an effective management of water and sanitation by the district municipalities.
- d) Committees to support district water and sanitation management have been formed in six municipalities; these committees will play an important role in the monitoring and assessment of the execution of the plan.

3.2 Lessons learned

- a) Sectoral strategic planning is enriched when a participatory approach is adopted, since the different points of view and interests coexisting in the district are included in the analysis and discussion. This participatory planning process is a good opportunity for consensus-building, creating alliances, and taking on commitments to optimize the resources available in order to meet water and sanitation goals.
- b) The district water and sanitation diagnoses provide indispensable information at the starting point of the strategic planning process. Making the results of these diagnoses available ensures that participants will have objective empirical evidence which helps not only to focus the discussion, but also to set priorities and reach decisions using sound criteria.
- c) A local information system is a useful tool for management of the provision of district water and sanitation services. The municipal authorities and the community may take part in the on-going updating of sectoral information, providing that they identify or recognize a value and an immediate utility in this activity.

¹² Municipalities of Miguel Iglesias, San Juan, and Llacanora.

Annex



MATRIX OF STAKEHOLDERS AND ROLES IN THE DISTRICT PLANNING OF WATER AND SANITATION

STAGES	STAKEHOLDERS			
	Municipality	Community	Ministry of Education	Ministry of Health
PLANNING				
1. Diagnosis	<ul style="list-style-type: none"> - Identifies the situation of the water and sanitation services. 	<ul style="list-style-type: none"> - Provides the information requested by the municipality. 	<ul style="list-style-type: none"> - Provides the information requested by the municipality. 	<ul style="list-style-type: none"> - Provides information on classification of health risks.
2. Planning	<ul style="list-style-type: none"> - Coordinates with local, regional, and national stakeholders. - Promotes community participation. - Plans the investment in water and sanitation. - Draws up technical dossiers. - Promotes the forming and training of local water boards and associations of water boards (JASS and AJASS). - Manages fund-raising. 	<ul style="list-style-type: none"> - Participates in local consensus-building and coordination events and in participatory budgeting. - Identifies its water and sanitation needs. - Becomes organized through the water boards. - Demands the service and manages resources. 	<ul style="list-style-type: none"> - Participates in local consensus-building and coordination events. - Includes in its school curricula the subject of good habits of hygiene. 	<ul style="list-style-type: none"> - Participates in local consensus-building and coordination events. - Plans activities for water quality surveillance and health promotion.
EXECUTION				
Execution of projects	<ul style="list-style-type: none"> - Commissions/executes and supervises water and sanitation programs. - Promotes training of water boards. 	<ul style="list-style-type: none"> - Performs follow-up and verification of the execution. - Has organized participation in the execution of the infrastructure and education processes. - Administrates, operates, and maintains the water and sanitation services through the local water board. 	<ul style="list-style-type: none"> - Teaches health and hygiene in schools. 	<ul style="list-style-type: none"> - Performs surveillance of habits of hygiene in the population. - Builds the capacities of health promoters and provides feedback.
Financing	<ul style="list-style-type: none"> - Finances the execution of water and sanitation projects. 	<ul style="list-style-type: none"> - Organized participation (contributes voluntary labor) 		
POST EXECUTION				
Follow-up and monitoring	<ul style="list-style-type: none"> - Updates information on the status of the water and sanitation services. - Performs surveillance of management by the water boards. 	<ul style="list-style-type: none"> - Performs surveillance of water quality and of proper use of water. - Performs surveillance of good habits of hygiene in local families. 	<ul style="list-style-type: none"> - Forms the school health team to set up a surveillance system. 	<ul style="list-style-type: none"> - Monitors the prevalence of ADD. - Performs surveillance of habits of hygiene in the population.
Technical assistance	<ul style="list-style-type: none"> - Trains the members of water boards and community families. 	<ul style="list-style-type: none"> - Participates in the training process and technical assistance. 	<ul style="list-style-type: none"> - Educates the school population on the adoption of good habits of hygiene. 	<ul style="list-style-type: none"> - Helps train the water boards in AOM of the services.
Management of water and sanitation services	<ul style="list-style-type: none"> - Executes and promotes development plan of the water and sanitation sector. - Coordinates with local stakeholders. 	<ul style="list-style-type: none"> - Administrates, operates, and maintains the service. - Pays its quotas punctually. 	<ul style="list-style-type: none"> - Promotes healthy and hygienic behavior patterns in schools 	<ul style="list-style-type: none"> - Performs surveillance of water quality.



PROFILAS PUBLICATIONS

September 2000



August 2001



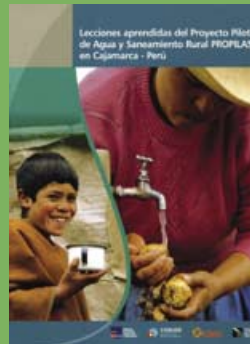
May 2002



July 2002

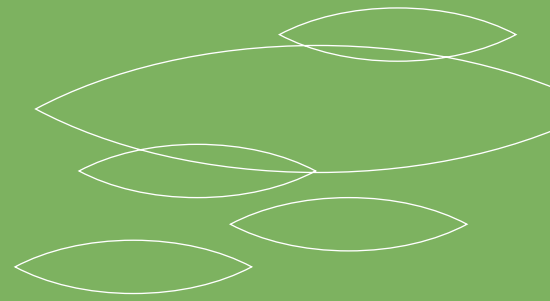


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