

AN ASSESSMENT OF THE PROCESSES FOR THE PREPARATION AND  
IMPLEMENTATION OF DISTRICT WATER AND SANITATION PLANS FOR  
THE PROVISION OF IMPROVED WATER AND SANITATION FACILITIES IN THE  
BRONG AHAFO REGION

A thesis submitted to the School of Graduate Studies, Kwame Nkrumah University of Science  
and Technology in partial fulfillment of the requirements for the award of degree of Master of  
Science in Development Policy and Planning.

College of Architecture and Planning



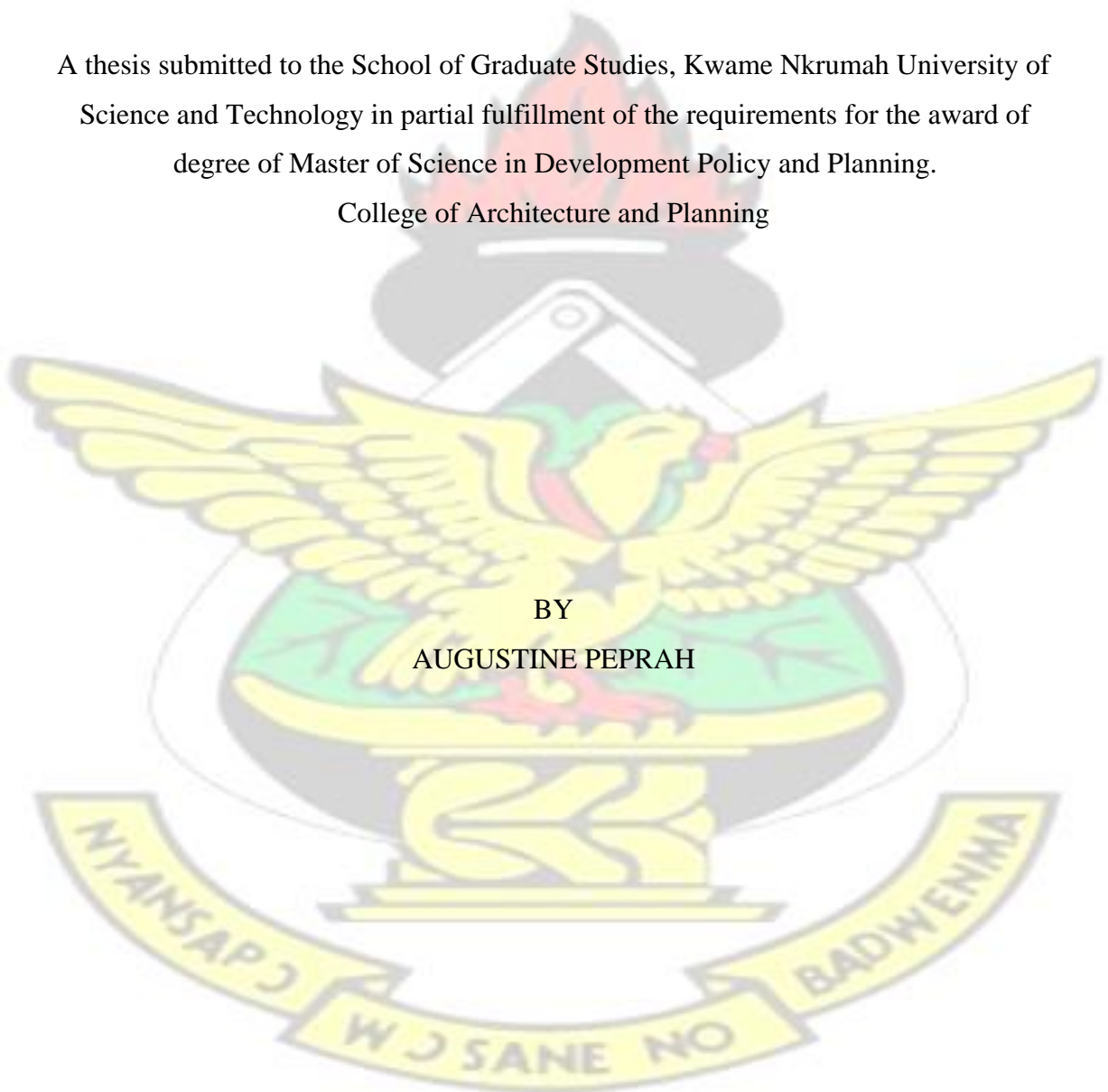
OCTOBER, 2010

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BY

AUGUSTINE PEPPRAH

OCTOBER, 2010

## CERTIFICATION

I hereby declare that this thesis is my own handwork in partial fulfillment of the requirements for the award of degree of Master of Science in Development Policy and Planning (DEPP) and that to the best of my knowledge, all materials and information taken from works of other authors whether published or unpublished have been duly acknowledged.

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- Assembly members of Sunyani, Abesim, Antwikrom, Drobo, Dwenem and



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## ABSTRACT

The study, an assessment of the processes for the preparation and implementation of District Water and Sanitation Plans (DWSPs) for the provision of improved water and sanitation facilities in the Brong Ahafo Region was conducted in six communities in two districts within the Brong Ahafo Region. The study districts were the Sunyani Municipal Assembly and the Jaman South District Assembly whilst the study communities were Sunyani, Abesim, Antwikrom, Drobo, Dwenem and Janjemiraja.

The case study approach was used because all the 170 Metropolitan, Municipal and District Assemblies (MMDAs) are governed by Act 462 which requires that as development authorities, they prepare and implement development plans including the DWSPs for the development of their districts. Thus the case study approach adopted to assess the processes for the preparation and implementation of DWSPs in the two DAs offered the study an opportunity to do an in-depth study of how the DAs fully involved the beneficiary

communities and other stakeholders in the preparation and implementation of DWSPs as required under the decentralisation process. Since all the MMDAs are required by the Act to prepare and implement DWSPs, the findings in the two districts could be generalised for the other MMDAs in the region.

Since the study assessed one of the institutionalized (planning) functions of the MMDAs, the basic methods used were the purposive sampling technique in the selection of the respondents, the desk study, key informant interview and the focus group discussions. The main instruments used in the collection of data were questionnaires and checklists.

The study sought to answer the following questions

- i. To what extent were the DAs committed to the preparation and review of their DWSPs?
- ii. To what extent were beneficiary communities involved in the preparation and implementation of these DWSPs?
- iii. What was the level of implementation of DWSPs? and
- iv. Challenges that militated against preparation and implementation of the DWSPs for the provision of improved water and sanitation facilities?

The study has been organized into five main chapters. Chapter one focuses on the general introduction which comprises background to the study, problem statement, research questions, goal and objectives of the study, the scope, justification for the research and organization of the report. Chapter two deals with the conceptual and analytical framework for the preparation and implementation of DWSPS. Chapter three concentrates on the study design, methodology, data management and analysis aspect of the study as well as profile of the study areas. Chapter Four focuses on the results and key findings of the study. The chapter also deals with the key challenges militating against the preparation and implementation of DWSPs for sustainable provision of potable water and sanitation facilities in the districts. Chapter Five provides the summary of the major findings, recommendations and conclusions of the study.

The study revealed that DAs prepare DWSPs for the provision of water and sanitation facilities. However, the DWSPs were often overloaded and that time used for the preparation

of the DWSPs at the district level ate so much into the timeframe for their implementation. Consequently, DAs were unable to implement larger portions of their DWSPs. The study also revealed that DAs actively involved beneficiary communities in the preparation and implementation of the DWSPs. The DWSPs could therefore be said to represent the needs of the communities for whom they were prepared.

However, the study established that DAs do not show enough commitment in the preparation and implementation of the DWSPs neither do they review or update their DWSPs. Similarly, whilst DAs monitored the implementation of water and sanitation projects, no evaluation was done for projects implemented under the DWSPs.

Some of the recommendations made to improve future preparation and implementation of the DWSPs include timely release of guidelines for plan preparations, DCEs made to sign performance contracts for preparation and implementation of development plans including the DWSPs, incorporation and enforcement of plan review as integral part of plan implementation and empowerment of DAs to source funds other than those from Development Partners for the implementation of the DWSPs. Others include expansion of community involvement in projects' implementation, involvement of the Area Councils in water and sanitation issues, the need to resource the DWSTs for effective monitoring of implementation of the DWSPs and the promotion of evaluation as a key development activity among the DAs.

## TABLE OF CONTENT

	Page
Thesis Title.....	i
Certification.....	ii
Acknowledgements.....	iii
Abstract.....	v
Table of Content.....	vii
List of Tables.....	xi
List of Figures.....	xi
List of Appendix.....	xi
List of Acronyms.....	xii



<b>CHAPTER ONE.....</b>	<b>1</b>
<b>Introduction.....</b>	<b>1</b>
1.1 Background to the Study.....	1
1.2 Problem Statement.....	4
1.3 Research Questions.....	6
1.4 Goal and Objectives.....	6
1.5 Geographical and Contextual Scope.....	7
1.6 Justification for the Research.....	7
1.7 Organisation of Report.....	8
 <b>CHAPTER TWO.....</b>	 <b>9</b>
<b>Conceptual and Analytical Framework for the Preparation and Implementation of Water and Sanitation Plans.....</b>	<b>9</b>
<b>2.1 Introduction.....</b>	<b>9</b>
<b>2.2 Definition and Interpretation of Concepts and Terminologies.....</b>	<b>10</b>
2.2.1 Rural Communities .....	10
2.2.2 Small Towns.....	11
2.2.3 Plan Preparation.....	11
2.2.4 Participatory/Decentralized Planning.....	12
2.2.5 Institutional Structures for Participatory Planning in the delivery of Water and Sanitation Facilities in Small Towns and Rural Communities in Ghana.....	13
2.2.6 Supply-Driven Approach to Water and Sanitation Provision.....	16
2.2.7 Demand-Driven Concept of Water and Sanitation Provision.....	17
2.2.8 Plan Preparation.....	19
2.2.9 Implementation.....	19
2.2.10 Monitoring.....	20
2.2.11 Evaluation.....	20
2.2.12 Operation and Maintenance (O&M).....	21
 <b>CHAPTER THREE.....</b>	 <b>23</b>
<b>The Study Design, Methodology, Data Management and Analysis and Profile of the Study Areas.....</b>	<b>23</b>
3.1 Criteria for selecting the study the Districts.....	23
3.2 Sampling Technique.....	25
<b>3.3 Data Collection Methods.....</b>	<b>26</b>
3.3.1 Source of Data.....	26
3.3.2 Desk Study.....	26
3.3.3 Key Informant Interview.....	27



3.3.4	Focus Group Discussions (FGDs).....	27
<b>3.4</b>	<b>Data Management and Analysis.....</b>	<b>28</b>
<b>3.5</b>	<b>Profile of the Study Districts and Communities.....</b>	<b>28</b>
3.5.1	Location of SMA and JSDA.....	28
3.5.2	Population.....	29
3.5.3	Administrative and Institutional Arrangements of the District Assemblies .....	29
3.5.4	Water and Sanitation Situation.....	29
3.5.5	Location of the study Communities (Sunyani, Abesim, Antwikrom, Drobo, Jenjemireja and Dwenem).....	30
3.5.6	Population of the study communities.....	31
3.5.7	Administrative and Institutional Arrangements of DAs' Sub-structures.....	34
3.5.8	Water and Sanitation Management.....	34
<b>CHAPTER FOUR.....</b>	<b>.....</b>	<b>35</b>
	<b>Analysis of the Key Findings of the Study.....</b>	<b>35</b>
<b>4.1</b>	<b>Types of Plans Prepared by the DAs for the Provision of Water and Sanitation Facilities.....</b>	<b>35</b>
<b>4.2</b>	<b>Processes for Preparation and Implementation of the DWSPs.....</b>	<b>35</b>
4.2.1	Participation of key Stakeholders (Area Councils, beneficiary communities and WSDBs/WATSANs) in the Preparation of the DWSPs.....	36
4.2.2	Review/Update of District Water and Sanitation Plans.....	37
4.2.3	Community Involvement in the Implementation of DWSPs.....	37
<b>4.3</b>	<b>Extent of Implementation of the Water and Sanitation Plans.....</b>	<b>39</b>
<b>4.4</b>	<b>Preparation of Monitoring and Evaluation (M&amp;E) Plans for Implementation of the DWSPs.....</b>	<b>41</b>
<b>4.5</b>	<b>Monitoring Implementation of the DWSPs.....</b>	<b>42</b>
<b>4.6</b>	<b>Evaluation of Implementation of the DWSPs.....</b>	<b>43</b>
<b>4.7</b>	<b>Key Challenges Facing the DAs in the Preparation and Implementation of the DWSPs.....</b>	<b>43</b>
4.7.1	Key Challenges Facing DAs in the Preparation of the DWSPs.....	43
4.7.1.1	Delay in the release of Guidelines for Preparation of DWSPs.....	43
4.7.1.2	Delay in the Release of Funds for Preparation of DWSPs.....	44
4.7.1.3	Inadequate Political Commitment towards Planning as a key Development Activity within the DAs.....	45
4.7.1.4	Inadequate and Unreliable Data for Plan Preparation.....	45
4.7.2	Key Challenges Facing DAs in the Implementation of the DWSPs.....	46
4.7.2.1	Inadequate Funding for Implementation of the DWSPs.....	46
4.7.2.2	Difficulty in raising the communities' 5 Percent Share of the Capital Cost and Operation and Maintenance (O&M) Funds.....	47

4.7.2.3 Inactive Water Management Committees.....	47
4.7.2.4 Inadequate Spare Parts and Area Mechanics for Maintenance of Water Facilities..	48
<b>CHAPTER FIVE.....</b>	<b>49</b>
<b>Summary of Key Findings, Recommendations and Conclusion.....</b>	<b>49</b>
<b>5.1 Summary of the Key Findings.....</b>	<b>48</b>
5.1.1 District Assemblies Prepare Water and Sanitation Plans (DWSPs) for Implementation of Water and Sanitation Facilities.....	49
5.1.2 District Assemblies prepare other development plans for the provision of Water and Sanitation Facilities.....	49
5.1.3 Cross-section of Stakeholders are Involved in the Preparation of the DWSPs.....	50
5.1.4 District Assemblies do not show enough commitment in the preparation of the DWSPs.....	50
5.1.5 Wrong timing for preparation of the DWSPs.....	50
5.1.6 Overloaded DWSPs.....	51
5.1.7 District Assemblies do not Review/Update their DWSPs.....	51
5.1.8 District Assemblies Monitor but do not evaluate their DWSPs.....	52
5.1.9 District Assemblies involve beneficiary communities in the implementation of their DWSPs.....	52
5.1.10 Non Involvement of the substructures in Implementation and Management of Water and Sanitation Facilities.....	53
5.1.11 Poor Collaboration between the DAs and GWCL in Planning for Provision of Water Facilities in Urban Areas.....	53
5.1.12 District Assemblies are unable to implement larger portions of their DWSPs.....	54
5.1.13 Communities have Difficulty in Operating and Maintaining Water Facilities.....	54
<b>5.2 Recommendations.....</b>	<b>55</b>
5.2.1 Timely Release of Guidelines for Plan Preparations.....	55
5.2.2 District Chief Executives should be made to sign Performance Contracts for Preparation and Implementation of Development Plans.....	55
5.2.3 Incorporation of Plan Review as integral part of Plan Implementation.....	56
5.2.4 District Assemblies should be empowered to source funds in addition to those from Development Partners for the Implementation of the DWSPs.....	56
5.2.5 Expansion of Community Involvement in the Implementation of Water and Sanitation Projects.....	57
5.2.6 Involvement of the Area Councils in Water and Sanitation Issues/Empowering the Area Councils to oversee the activities of the WATSANs and WSDBs.....	58

5.2.7	Resource the DWSTs to effectively Monitor Implementation of the DWSPs.....	58
5.2.8	The need to improve Collaboration between the DAs and GWCL in Planning for Provision of Water and Sanitation Facilities.....	59
5.2.9	The need to enhance Capacity of Communities to regularly Operate and Maintain Water Facilities.....	59
5.2.10	The need to promote Evaluation as a key development activity among the District Assemblies.....	60
<b>5.3</b>	<b>Conclusions.....</b>	<b>60</b>
	<b>References.....</b>	<b>62</b>
	<b>Appendix.....</b>	<b>65</b>

## **LIST OF TABLES**

Table 1:	2000 and Projected Population Figures of the Study Communities.....	31
Table 2:	Existing Water Facilities and Management Structures in the Study Communities.....	34
Table 3:	Participation/Involvement of Key Stakeholders in the Preparation of the DWSPs Availability of.....	36
Table 4:	Involvement of Beneficiary Communities in the Implementation of DWSPs .....	38
Table 5:	DA's Performance in the implementation of Water and Sanitation Projects.....	40
Table 6:	Preparation of M&E Plans for the Implementation of DWSPs.....	39
Table 7:	Monitoring the Implementation of DWSPs.....	40

## **LIST OF FIGURES**

Figure 1:	Institutional Structures for Participatory/Decentralized Planning for Water and Sanitation Provision in Ghana .....	13
Figure 2:	Plan Preparation Cycle.....	14
Figure 3:	Sub-Project/Water/Sanitation Demand Cycle.....	18
Figure 4:	Map of Sunyani Municipal Assembly showing the study areas Sunyani, Abesim and Antwikrom.....	30
Figure 5:	Map of Jaman South District Assembly showing the study areas, Drobo, Jenjemireja and Dwenem .....	31

## **LIST OF APPENDIX**

Appendix 1:	Questionnaire for Regional Community Water and Sanitation Agency
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Appendix 2: Questionnaire for District/Municipal Assemblies

Appendix 3: Questionnaire for Area Council/Opinion Leaders within the District/Municipal Assemblies

Appendix 4: Questionnaire for Non-Governmental Organisations (NGOs) Involved in the Provision of Water and Sanitation Facilities in the Districts

Appendix 5: Focus Group Discussions with WATSANs, WSDBs, Women Groups And other identifiable Community Based Groups

### LIST OF ACRONYMS

AAP	Annual Action Plan
AC	Area Council
CWSA	Community Water and Sanitation Agency
CWSD	Community Water and Sanitation Division
DAs	District Assemblies
DACF	District Assemblies Common Fund
DCEs	District Chief Executives
DESSAP	District Environmental Sanitation Strategy and Action Plan
DFID	Department for International Development
DMTDP	District Medium Term Development Plan
DPs	Development Partners
DPCUs	District Planning Co-ordinating Units
DWSPs	District Water and Sanitation Plans
DWST	District Water and Sanitation Team
FGDs	Focus Group Discussions
GPRS I	Ghana Poverty Reduction Strategy
GPRS II	Growth and Poverty Reduction Strategy
GSS	Ghana Statistical Service
GWCL	Ghana Water Company Limited
GWSC	Ghana Water Supply Cooperation
IDA	International Development Association/World Bank
IGF	Internally Generated Fund
Impl.	Implementation
JSDA	Jaman South District Assembly



MDGs	Millennium Development Goals
MLGRD	Ministry of Local Government and Rural Development
MMDAS	Metropolitan, Municipal and District Assemblies
MMTDP	Municipal Medium Term Development Plan
MOWRWH	Ministry of Water Resources, Works and Housing
MOU	Memorandum of Understanding
MPs	Members of Parliament
MSAs	Metropolitan Statistical Areas
NCWSP	National Community Water and Sanitation Programme
NDPC	National Development Planning Commission
NGOs	Non Governmental Organisations
O&M	Operation and Maintenance
RCCs	Regional Co-ordinating Councils
RWST	Regional Water and Sanitation Team
SMA	Sunyani Municipal Assembly
SSA	Sub-Saharan Africa
STWSSP	Small Towns Water and Sanitation Project
UN	United Nations
UNESCO	United Nations Education, Science and Cultural Organisation
UNICEF	United Nations Children's Fund
WATSANs	Water and Sanitation Committees
WSDBs	Water and Sanitation Development Boards
WHO	World Health Organisation

## **CHAPTER ONE**

### **INTRODUCTION**

#### **1.1 Background to the Study**

The World Health Organization estimates that 80 percent of all sicknesses are related to unsafe water and sanitation (WHO, 2008). According to the United Nations Children's Fund (UNICEF, 2008), unsafe drinking water, inadequate availability of water for hygiene and lack of access to sanitation all together contribute to about 88 percent of deaths from diarrheal diseases. And more than 1.5 million children younger than 5 years of age perish from diarrhoea each year mostly in the developing countries. This amounts to 18 percent of all the deaths of children under the age of five and means that more than 5,000 children are dying every day as a result of water and sanitation related diseases. Currently, over 2.6 billion people lack sanitation and if the current trends continue, the UN predicts there will still be about 2.4 billion people without basic sanitation facilities in 2015 (WHO, 2008).

In a publication titled "Water for Life Decade, 2005-2015, the UN asserts that "lack of safe water and adequate sanitation is the world's single largest cause of illness." It says lack of safe water and adequate sanitation can spread diseases such as diarrhoea, cholera, dysentery, typhoid, hepatitis, polio, trachoma and tapeworms - many of which can be fatal to people in the developing world. Other water-related diseases, such as malaria and filariasis, also affect vast populations worldwide. Malaria alone kills more than one million people every year (UN, 2005).

According to the World Health Organisation (WHO), at any one time, half of the world's hospital beds are occupied by patients suffering from water-borne diseases. Worldwide, infectious diseases such as waterborne diseases are the number one killer of children under five years old and more people die from unsafe water annually than from all forms of violence, including war. WHO further indicated that unsafe or inadequate water, sanitation, and hygiene cause approximately 3.1 percent of all deaths worldwide and causes 4 billion cases of diarrhoea each year, and results in 2.2 million deaths, mostly of children under five (WHO, 2008).

Also, a WaterAid report revealed that, water-related diseases are the second biggest killer of children worldwide, after acute respiratory infections. Thus 1.4 million children die every year from diarrhoea caused mainly by unclean water and poor sanitation. About 443 million school days are lost each year due to water-related diseases while households in rural Africa spend an average of 26 percent of their time fetching water, and it is generally women who are burdened with the task (WaterAid, 2008). Globally, diarrhoea is the leading cause of illness and death, and 88 percent of diarrhoeal deaths are due to lack of access to sanitation facilities, together with inadequate availability of safe water for hygiene and drinking (UNICEF, 2008).

The United Nations Millennium Development Goals (MDGs) report of 2008 issued by its Statistical Division indicates that, access to safe drinking water and basic sanitation is essential for the achievement of the other MDGs. It is a fundamental requirement for effective primary health care, increasing enrolment of boys and girls in schools and a precondition for success in the fight against poverty, hunger, child mortality and in achieving greater gender equity. The report further states that diarrhoea causes nearly 1.5 million deaths each year, mostly among young children, and is the third largest cause of death from infectious diseases. In fact, one child dies approximately every 20 seconds from diarrhoea and dirty water and inadequate sanitation kills over 4,100 children every day. About 90 percent of those deaths could be prevented through safe water, sanitation and good hygiene practices. According to UNESCO, water and sanitation related diseases and deaths could be prevented and controlled by improving access to safe drinking water and sanitation, as well as domestic and personal hygiene (UNESCO, 2008). However, huge disparities exist between regions: whilst access to drinking water through a household connection in rural areas is as low as 5 percent in Sub-Saharan Africa (SSA); it is much higher in Western Asia (57 percent), Eastern Asia (62 percent), North Africa (63 percent), and Europe (88 percent). The report estimates that, more than 2.5 million people remain without improved sanitation. The lowest sanitation coverage is found in SSA, where only 31 percent of the population use improved sanitation, up just 5 percent since 1990 (DFID, 2009).

According to WaterAid, 884 million people in the world do not have access to safe water, roughly one in eight of the world's population. Similarly, 2.5 billion people in the world do not have access to adequate sanitation; this is almost two fifth of the world's population (WaterAid, 2008).



According to UNICEF/WHO report on a joint monitoring carried out on water supply and sanitation globally in 2008, lack of adequate sanitation contaminates water courses worldwide and is one of the most significant forms of water pollution. Worldwide, 2.5 billion people live without improved sanitation and 18% of the world's population, or 1.2 billion people (1 out of 3 in rural areas), defecate in the open. Open defecation significantly compromises quality in nearby water bodies and poses an extreme human health risk. (UNICEF WHO 2008).

Quoting the UN Secretary General Ban Ki-moon at the launching of a survey on the Environmental Sanitation and Hygiene Situation in Vietnam on 25<sup>th</sup> March 2008, Mr. John Hendra, UN Resident Coordinator for Vietnam said that every 20 seconds, a child dies as a result of the abysmal sanitation conditions endured by some 2.6 billion people globally. That adds up to about 1.5 million young lives cut short by a cause we know well how to prevent.

As at December 2008, the Community Water and Sanitation Agency (CWSA) in Ghana put the national coverage for potable water supply in rural communities and small towns at 57.14 percent. To achieve Ghana's water coverage target of 76 percent by 2015, it needs to reduce the un-served rural population by half, which is 21.43 percent (CWSA, 2008).

Potable water is said to be life. However, its maximum impact on good health, productivity and life expectancy cannot be achieved if it is not matched with the provision of appropriate sanitation facilities. Hence water and sanitation (latrine) are treated as bed fellows under the current national concept of rural water supply and sanitation (latrine) provision being facilitated by the CWSA and implemented by the District Assemblies (DAs) and the beneficiary communities.

As basic necessities of life, the government of Ghana has over the years shown a lot of commitment in improving urban and rural water supply in the country. This commitment was given a boost in 1994 when the government decentralised and delineated provision of water and sanitation facilities in small towns and rural communities from the then Ghana Water and Sewerage Corporation (GWSC), now Ghana Water Company Limited (GWCL) to the then Community Water and Sanitation Division (CWSD), now CWSA with the mandate of facilitating provision of safe drinking water and related sanitation (latrine) facilities in small towns and rural communities based on decentralised and participatory planning. Prior to the



launching of the National Community Water and Sanitation Programme (NCWSP) in 1998, access to potable water and sanitation (household latrines) facilities by rural dwellers was nominally below 30 percent and 10 percent respectively (CWSA, 2008). The enactment of Act 564 in 1998 by Parliament setting up the CWSA as an autonomous public institution responsible for the facilitation of provision of safe water and related sanitation facilities to rural communities and small towns in Ghana has accelerated access to water and sanitation facilities in rural communities throughout the country. From low rates of below 30 percent and 10 percent in 1994, the national rural water and sanitation coverage as at December 2008 stood at 57.14 percent and 31 percent respectively (CWSA, 2009). In the Brong Ahafo Region, the coverage for water is put at 53.51 percent whilst 3,052 household latrines have been constructed as at the end of December 2008 (RWST/CWSA, 2008).

A key feature of the NCWSP is promotion of decentralized planning, implementation and management of services by beneficiary communities and DAs. Provision of potable water and improved sanitation facilities in Ghana is based on the demand-driven concept. Under this concept, the beneficiary communities and the DAs are expected to play central roles in the area of planning, implementation, operation and maintenance of the facilities.

## **1.2 Problem Statement**

It is generally held among practitioners in water and sanitation that the MDG for water and sanitation may not be achieved if operational challenges such as lack of comprehensive water and sanitation plans, commitment to implementation of these plans, inability of communities to contribute to capital costs associated with water and sanitation delivery, low borehole yield, poor quality of ground water, limited capacity of communities to maintain boreholes, poor access to spare parts and over reliance on external funding for water and sanitation delivery were not addressed.

Available data on water and sanitation in Ghana indicate that the poor attitude to planning for water and sanitation delivery and inadequate commitment by Central Government and the DAs to the implementation of the available DWSPs have seriously constrained water and sanitation delivery in small towns and rural communities which may seriously affect the country's ability to achieve its MDG targets for water and sanitation.

In 1994, the sanitation coverage in Ghana was estimated at 10 percent and in 2000, that is well over six years, coverage had risen to only 12.61 percent, implying that over 87 percent of the 19 million people had no access to latrines at the time. For the six year period, the average

annual increase was 0.44 percent. In 2001, sanitation coverage was estimated at 14.2 percent implying an increase of 1.6 percent (CWSA, 2005). The annual rate of provision of household latrines in the range of 0.44 percent to 1.6 percent is well below the 2.7 percent annual population growth rate. At this rate of increase, provision of latrines will make very little impact on national health status. The sanitation coverage for rural Ghana in 2002 was 28 percent. The achievement of the MDG target of halving the numbers of people without access to sanitation by 2015 requires the achievement of 65 percent coverage (CWSA, 2005).

The 2003 Core Welfare Indicators Questionnaire survey conducted in the Brong Ahafo Region by the Ghana Statistical Service (GSS) revealed that the proportion of households that had access to safe sanitation facilities declined from 54.6 percent in 1997 to 47.1 percent in 2003. The proportion of urban households that had access to safe sanitation which stood at 79.3 percent was over three times that of rural households (23.9 percent) and that a much greater proportion of the poor urban households (72.2 percent) had access to safe sanitation facilities than the rural poor (9.9 percent), that is by a ratio of seven to one (GSS, 2003).

Whereas the MDG target of 76 percent for water is likely to be achieved by 2015, achieving sanitation coverage of 50 percent by 2015 looks impossible. The abysmal performance of the country in sanitation (latrine) delivery was further echoed by the Minister for Local Government and Rural Development, Hon. Joseph Yiekeh Chireh in his keynote address at the 2010 National Environmental Sanitation Conference organised at the Golden Tulip Hotel, Kumasi on Wednesday 8<sup>th</sup> December 2010. According to him, Ghana needs to double its efforts if it is to raise the current sanitation coverage of 13 percent to 50 percent or more by 2015.

There is a substantial gap between demand and actual delivery of water and sanitation facilities. When population growth rate exceeds increase in the provision of facilities, the proportion of total population served reduces. Coverage will increase only when facility delivery is higher than the rate of population growth. Given the growth of population in Ghana, failure to develop new facilities and strategies in water and sanitation delivery will reduce rural water coverage from the 46.33% achieved at the end of 2003 to 35.4% in 2015 (CWSA, 2005).

Against this backdrop, the study assessed the processes for the preparation and implementation of District Water and Sanitation Plans (DWSPs) for the provision of improved water and sanitation facilities in the Brong Ahafo Region. The study also assessed the key challenges that militate against the preparation and implementation of DWSPs in the region and how such challenges can be controlled to help improve the provision of water and sanitation facilities in the region and Ghana as a whole.

### **1.3 Research Questions**

The crucial question is, are the District Assemblies committed to the preparation and implementation of District Water and Sanitation Plans (DWSPs) for the provision of water and sanitation facilities within the Districts? Some specific questions that were addressed in this research included the following:

- i. To what extent were the District Assemblies committed to the preparation and review of their DWSPs?
- ii. To what extent were the beneficiary communities involved in the preparation and implementation of these DWSPs?
- iii. What were the levels of implementation of these plans?
- iv. What challenges affected the preparation and implementation of the DWSPs for provision of improved water and sanitation facilities?

### **1.4 Goal and Objectives**

The goal of the research was to assess the responses of DAs to the preparation and implementation of water and sanitation plans for the provision of improved water and sanitation facilities in the Brong Ahafo region and the way forward.

The study focused on the following specific objectives;

- i. To assess the responses or commitment of DAs to the preparation of DWSPs in line with the approved guidelines of the CWSA/NDPC.
- ii. To assess the extent of implementation of the DWSPs by the DAs in the provision of water and sanitation facilities.
- iii. To examine the key challenges affecting the preparation and implementation of water and sanitation plans by the DAs.
- iv. To make recommendations that informs policy formulation towards increased access of communities to potable water and sanitation facilities.

### **1.5 Geographical and Contextual Scope**



For the purpose of this study, the scope was limited to the preparation and implementation of DWSPs in the Brong Ahafo region from 1998 to 2009 when the first NCWSP was launched with the establishment of the CWSA in 1994.

In terms of content however, the study assessed the responses of DAs to the preparation of DWSPs in line with the approved guidelines of the CWSA/NDPC since 1998, the involvement of the beneficiary communities in preparation and implementation of water and sanitation plans, the extent of implementation of these plans by the Municipal/District Assemblies and challenges militating against the preparation and implementation of DWSPs by the Municipal/District Assemblies in the Brong Ahafo region.

## **1.6 Justification for the Research**

According to the Growth and Poverty Reduction Strategy (GPRS II), provision of potable water and improved sanitation facilities were key to meeting the MDG1 of ‘Eradication of Extreme Poverty and Hunger’ by 2015’. Thus the study sought to support the tenets of the GPRS II which was the development strategy for Ghana.

The analysis of the study sought to bring out how the DAs involved communities in the preparation and implementation of the DWSPs and the key challenges that militate against sustainable provision of water and sanitation facilities in the districts and the measures adopted to improve the situation. Thus providing information that would contribute to an understanding of why it has been difficult to achieve sustainable water and sanitation provision in rural Ghana.

Information from the study could also serve as one of the inputs for decision making by the key players in water and sanitation provision in the districts such as the DAs, CWSA, GWCL, Water and Sanitation Committees (WATSANs), Water and Sanitation Development Boards (WSDBs) and Development Partners (DPs).

It is also expected that the study would positively add to the existing literature on water and sanitation provision by way of giving valued information to researchers, the academia, water and sanitation consultants among others.



## **1.7 Organisation of Report**

The study has been organized into five main chapters. Chapter one focuses on the general introduction which comprises of the background to the study, problem statement, research questions, goal and objectives of the study, the scope and justification for the research and organization of the report. Chapter two deals with the conceptual and analytical framework for the preparation and implementation of District Water and Sanitation Plans (DWSPs). Chapter three concentrates on the study design, methodology, data management and analysis aspect of the study as well as the profile of the study areas. Chapter Four focuses on the results and key findings of the study such as the extent to which DAs conform to the approved CWSA/NDPC's guidelines for preparation of DWSPs and the extent to which DAs' conform to implementation of their approved water and sanitation plans. The chapter also deals with the key challenges militating against the preparation and implementation of DWSPs for sustainable provision of potable water and sanitation facilities in the districts. Chapter Five provides the summary of the major findings, recommendations and conclusions of the study.

### **CHAPTER TWO**

#### **CONCEPTUAL AND ANALYTICAL FRAMEWORK FOR THE PREPARATION AND IMPLEMENTATION OF WATER AND SANITATION PLANS**

##### **2.1 Introduction**

According to the Geneva-based United Nations Water Supply and Sanitation Collaborative Council, 'the world's sanitation crisis, caused primarily by the lack of toilet facilities for over 2.6 billion people, is "an insult to humanity". In the words of the Council's Executive Director, Jon Lane, "Every 20 minutes we spend sitting in our offices, organizing meetings, passing resolutions and discussing policies, a child dies as a direct result of poor sanitation" (United Nations, 2008). According to a World Health Organization/United Nations Cultural and Education Fund (WHO/UNICEF) report, 1.1 billion people or 18% of the world's population lack access to safe drinking water while about 2.6 billion people or 42 percent of the world's population lack access to basic sanitation (WHO/UNICEF, 2005)

Water and sanitation in Ghana is not different from the global situation. Although provision of potable water and safe sanitation in small towns and rural communities has relatively improved from their respective low rate of below 30 percent and 10 percent in 1994 to the current levels

of 52.86 percent and 31 percent, significant number of residents in small towns and rural communities (47-69 percent) lack potable water and basic sanitation facilities (CWSA, 2008). In fact, since 2003, water coverage for rural communities and small towns has increased marginally from 46.3 percent in 2003 to 51.1 percent in 2004, 51.9 percent in 2005 to 52.86 percent in 2006. The 2006 coverage of 52.86 percent was even lower than the projected figure of 57.2 percent for that year (CWSA, 2008). What is crucial now in achieving Ghana's target of 76 percent for water and 50 percent for the sustainable access to basic sanitation by 2015 in line with the MDGs is to sustain the momentum through decentralised and participatory planning and promotion of greater commitment to the implementation of the popularly approved water and sanitation plans by the Municipal and District Assemblies. This chapter therefore deals with the conceptual issues that inform planning and provision of water and sanitation facilities in Ghana.

## **2.2 Definition and Interpretation of Concepts and Terminologies**

This section tries to provide working definitions and interpretations to the concepts and terminologies that were used in the study. These concepts and terminologies include rural communities, small towns and participatory/decentralised planning. Others are the supply and demand-driven approaches to water and sanitation provision, plan preparation and implementation, monitoring and evaluation and operation and maintenance (O&M) of water and sanitation facilities.

### **2.2.1 Rural Communities**

Available literature on rural communities points clearly to the difficulty in having a common definition for rural areas due to diversity of communities. One way to define rural community is by determining what it is not. The United States' Office of Management and the Budget define metropolitan statistical areas (MSAs) as geographic areas consisting of a large population nucleus, and economically and socially related adjacent communities. Remaining areas are categorized as non metropolitan or rural (Morrissey, 1987). According to Blakely (1984), major features previously used to define rural areas were simple life, agriculture, smallness, homogeneity, and dullness. However, this definition failed to describe much of rural

America. Instead, rural is increasingly defined by examining numerous broad categories of information. Deavers and Brown (1985) have developed seven categories of rural areas based on social, demographic, and economic information. Economic categories include agriculture, manufacturing, mining, and government; social dimensions include persistent poverty and growth of retirement population; proportion of land in federal ownership comprises the final category. Horn (1985) looks at values, socioeconomic factors, political structure, locus of control, and priorities for schools as a way of defining an area as either rural or urban.

According to CWSA's Act, rural community means a community with a population of less than 5,000 people or any other figure which the Minister may from time to time declare by publication in the Gazette and the mass media (Act 564 of 1998). By this definition therefore, rural communities are the target for the provision of simple boreholes and hand-dug wells fitted with hand pumps and managed by the Water and Sanitation Committees (WATSANs) constituted by the beneficiary communities.

### **2.2.2 Small Towns**

Bob Roche is said to have defined small towns as settlements that have populations between 5,000 and 50,000, but could be larger or smaller (Antwi, 2004). In Ghana and as defined by the CWSA's Act, Act 564, a small town means a community that is not rural but is a small urban community that has decided to manage its own water and sanitation systems. By this definition therefore, such towns are the target for the provision of the mechanised piped systems (Small Towns Water and Sanitation System) rather than provision of simple boreholes and hand-dug wells fitted with hand pumps. Under the NCWSP, such settlements are the target for the provision of mechanised boreholes to be managed by the Water and Sanitation Development Boards (WSDBs) constituted by the beneficiary towns.

### **2.2.3 Plan Preparation**

Planning is a process of human thought and action based upon that thought-in point of fact, forethought, thought for the future-nothing more or less than this is planning, which is a very general human activity (Chadwick, 1972 pp 24). Planning is done by human beings and for human beings. It is a human activity, squarely based on human attributes (Chadwick, 1972 pp



25). Planning is therefore seen both as a tool for resource allocation and a procedural method for decision-making for development.

In Ghana the National Development Planning Commission (NDPC) is responsible for national development planning within the decentralized system of governance. The NDPC since 1996 has developed three national development strategies under which it developed guidelines for the preparation of District Medium Term Development Plans (DMTDPs) by the DAs. Since the development of these national development strategies by the NDPC, namely Vision 2020 (1996-2020), GPRS I (2003-2005) and GPRS II (2006-2009), the DAs have prepared and implemented three DMTDPs which defined the direction of development for the districts. The DMTDPs thus defined the projects and programmes necessary to speed up the development of the districts. Having developed these broad based DMTDPs; DAs were required to develop specific or strategic plans for major sectors of the district such as agriculture, health, education water and sanitation. It is in response to this that over the years the DAs through the support of CWSA have been preparing DWSPs for provision of water and sanitation facilities.

#### **2.2.4 Participatory/Decentralized Planning**

Participatory community planning has been used since the late 1970s as a means for giving local people a voice and professionals a clear idea of local people's needs in order to bring about an improvement to their own neighbourhood or community. Planning is a selfdefeating process unless those who are potential beneficiaries or victims of any proposed project are themselves directly involved in the shaping of their future environment. Participatory planning therefore sees people not only as the beneficiaries of change in the development process, but more importantly as the agents of the change so desired. Participation as a concept of development means getting the populace involved in taking decisions that affect their well-being. It seeks to give local people the responsibility to manage their own affairs especially with regards to planning, implementation, monitoring and evaluation of development projects and programmes. Participation should therefore lead to improvement of the quality of life of the people and this improvement should be sustainable. Decentralized planning seeks as its objective the realization of popular participation in the planning process. The purpose of popular participation in planning is not to make the planning process simpler or 'efficient' but

to make sure that local conditions and needs are taken into consideration and that people are allowed to have some say in their own development.

Participatory or decentralised planning in Ghana was given a meaning in 1988 when the Local Government Law, 1988 (PNDC Law 207) was introduced and revised into the Local Government Act, 1993 (Act 462) recognising the District Assemblies as centres of planning and development authorities. Chapter 20 of the 1992 Constitution and the National Development Planning (System) Act, 1994 (Act 480) further gave impetus to decentralised planning in the country. In preparation and implementation of the DWSPs, the DAs are required by Act 462 and the NDPC guidelines to actively involve all stakeholders particularly the beneficiary communities in the processes to ensure ownership of the DWSPs and sustainability of projects and programmes implemented thereof.

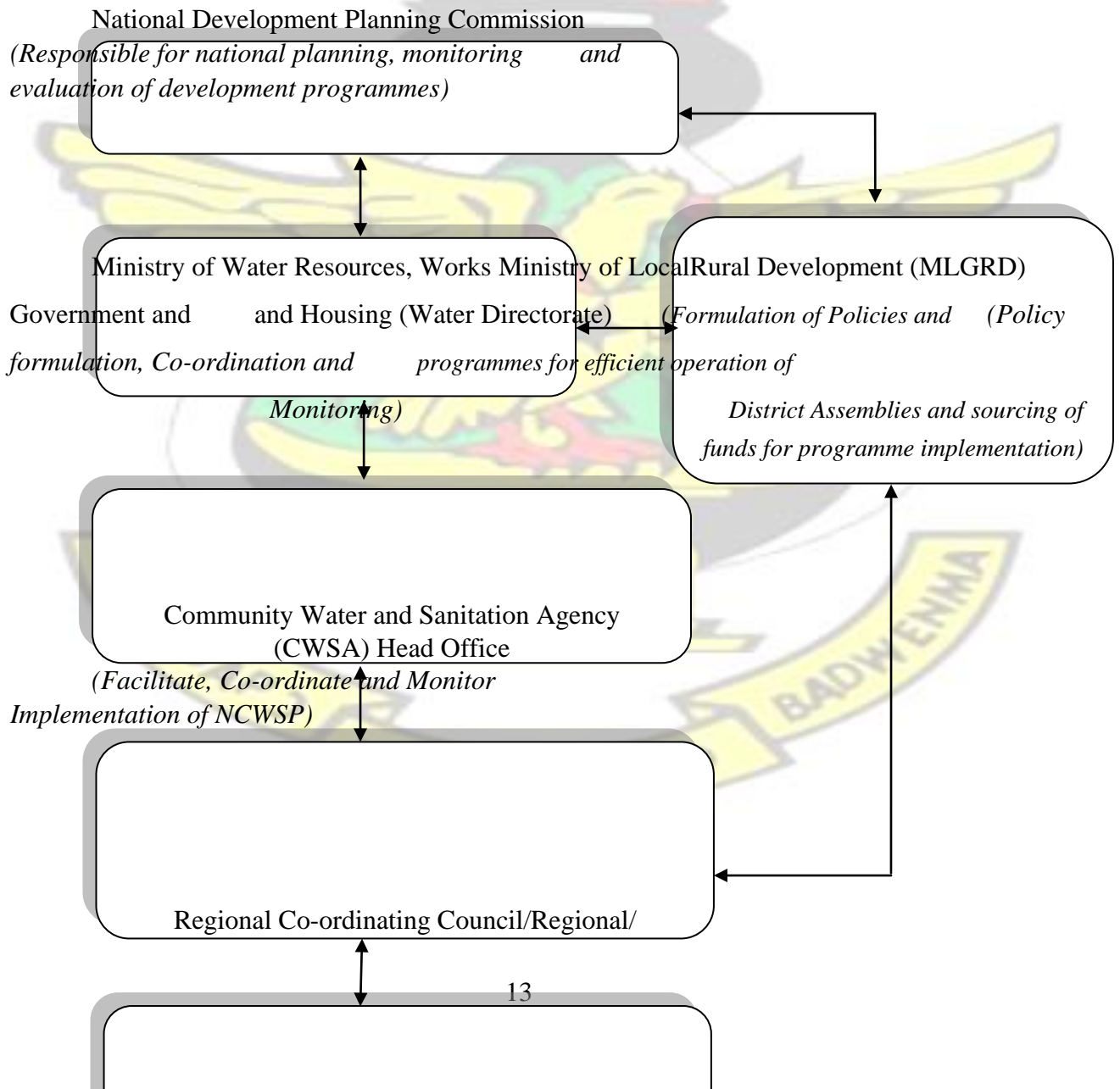
### **2.2.5 Institutional Structures for Participatory Planning in the delivery of Water and Sanitation Facilities in Small Towns and Rural Communities in Ghana**

Figure 1 below represents the institutional structures that have forward and backward linkages for water and sanitation delivery in small towns and rural communities in Ghana. From the figure, it can be seen that the Ministry of Water Resources, Works and Housing (MOWRWH) which has direct oversight responsibility for water delivery has forward and backward linkages with the national office of the CWSA which also links with the regional offices of the CWSA. The regional offices of the CWSA also link with the DAs which in turn deal with the WATSANs and WSDBs for provision of water and sanitation facilities. Thus for the ministry to plan and determine how much it requires at a point in time for water and sanitation delivery, it requires inputs from the DAs through the CWSA. Similarly, the Ministry of Local Government and Rural Development (MLGRD) has total oversight responsibility over the Regional Co-ordinating Councils (RCCs) and the DAs for development including provision of water and sanitation facilities. Thus the MLGRD also has that linkage with the RCCs, DAs and their sub-structures. There are also horizontal linkages between the MOWRWH and the MLGRD in the areas of planning and setting objectives and targets for provision of improved water and sanitation facilities in the Districts. The NDPC which is a super ministerial body is responsible for national planning and determines the direction of development of the country. It thus develops the general guidelines for planning including provision of water and sanitation

facilities. These guidelines therefore guide preparation of Water and Sanitation Plans within the ministries and at the district levels.

KNUST

**Figure 1: Institutional Structures for Participatory/Decentralized Planning for Water and Sanitation Provision in Ghana**





Community Water and Sanitation Agency (RWST)  
(Facilitate, Co-ordinate and Monitor Implementation  
of Water and Sanitation Plans within the DAs) –  
Provision of Technical Support

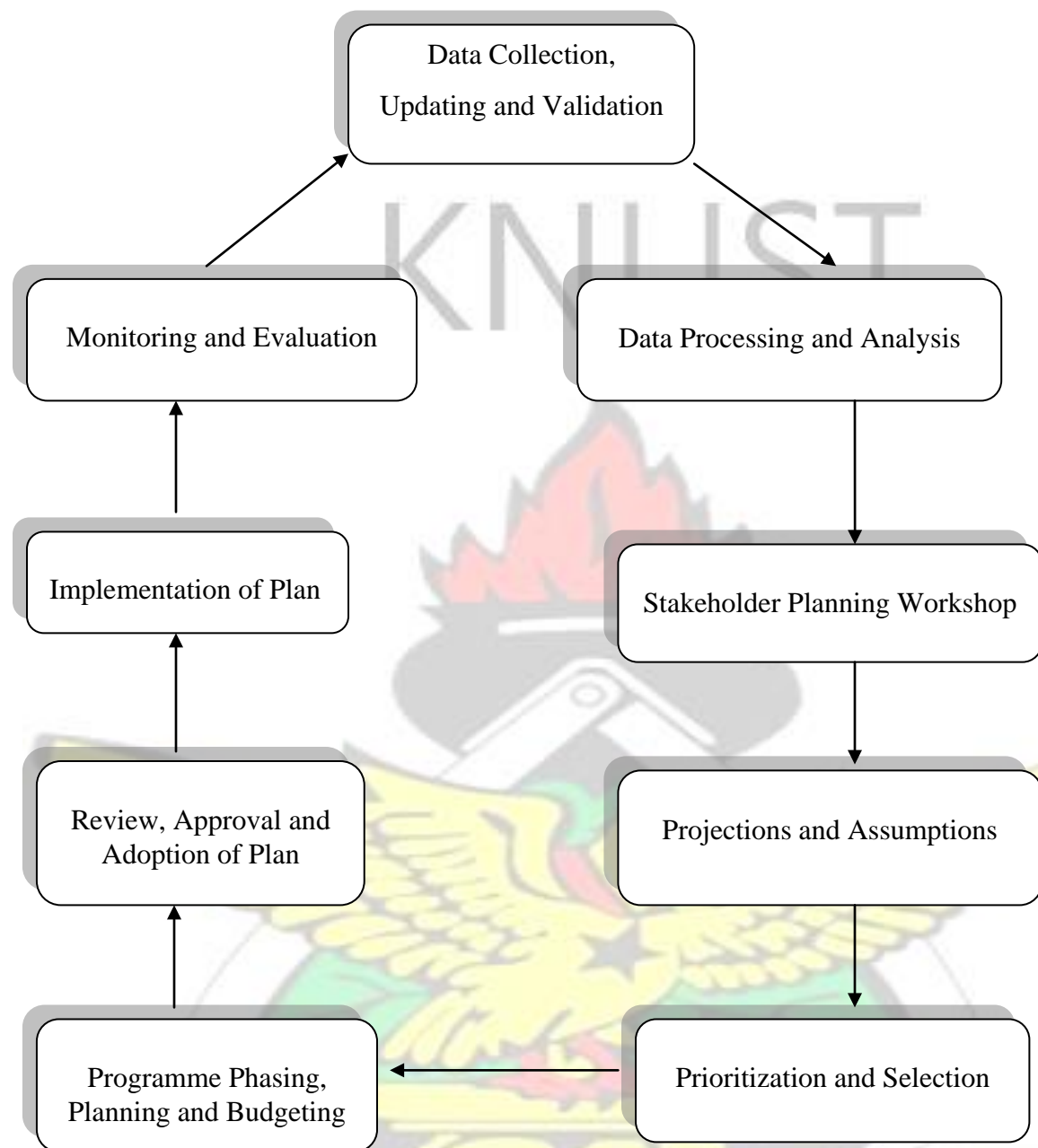
District Assemblies  
(Responsible for Planning, Funding,  
Implementation and Monitoring of Water and  
Sanitation Facilities within the communities)

Monitoring, Operation and Maintenance of Water WATSANs/WSDBs (Setting  
Community Priorities, Funding, and Sanitation Facilities) Institutions – Community Level

Adopted from POM (2005) and SIP (2008)

To promote participatory planning in water and sanitation delivery, the CWSA recommends the adaptation of the planning processes/cycle in figure 2 below by planning authorities especially the DAs in preparation and implementation of water and sanitation plans.

**Figure 2: Plan Preparation Cycle**



Adopted from Operational Manual for Planning, Budgeting, Monitoring and Evaluation of Water and Environmental Sanitation, CWSA (2005).

From the above planning cycle, it can be seen that to promote participatory planning, it is recommended that the process begins with data collection, updating and validation. This should be followed by data processing and analysis and stakeholders' workshop where involvement of planners, beneficiaries and other key stakeholders are highly anticipated. The next step is making projections and assumptions necessary for the planning, prioritization and selection of projects and programmes with active stakeholder/community involvement. Programme phasing, planning and budgeting is carried out to determine the financial requirements for

successful implementation of the plan. Plan review, approval and adoption are done at public hearings and general assembly meetings with the full participation of the community members or their representatives. Finally, implementation, monitoring and evaluation of development plans require active beneficiary participation if the plans are to be successfully implemented. It is important to note that as a process, none of the steps is a onetime activity but there are always forward and backward linkages.

#### **2.2.6 Supply-Driven Approach to Water and Sanitation Provision**

Until 1994, provision of water and sanitation facilities in Ghana was heavily supply driven with the central government in charge of delivery and management of infrastructure. A centralized para-statal institution, the Ghana Water and Sewerage Corporation (GWSC) was in charge of delivery, operation and maintenance of services in both urban and rural areas (Trend, 2003). Under the supply-driven concept, the decision as to who to provide what, what to be provided, how to provide it, who manages and maintains the facilities provided was with the central government rather than the beneficiary communities. Water and sanitation facilities provided were therefore regarded as facilities for the central government based in Accra. There were no properly constituted structures to promote community ownership, operation and maintenance. Therefore nobody cared about how the facilities were run leading to situations where most projects became white elephants in the communities. The unsustainable nature of projects provided under this supply-driven concept informed the decision that led to the introduction of the demand-driven concept in 1998 when the NCWSP was introduced.

#### **2.2.7 Demand-Driven Concept of Water and Sanitation Provision**

The demand-driven concept is central to the decentralized water and sanitation planning as contained in the Community Water and Sanitation (CWSA) Act 564 of 1998. The key features of the concept are;

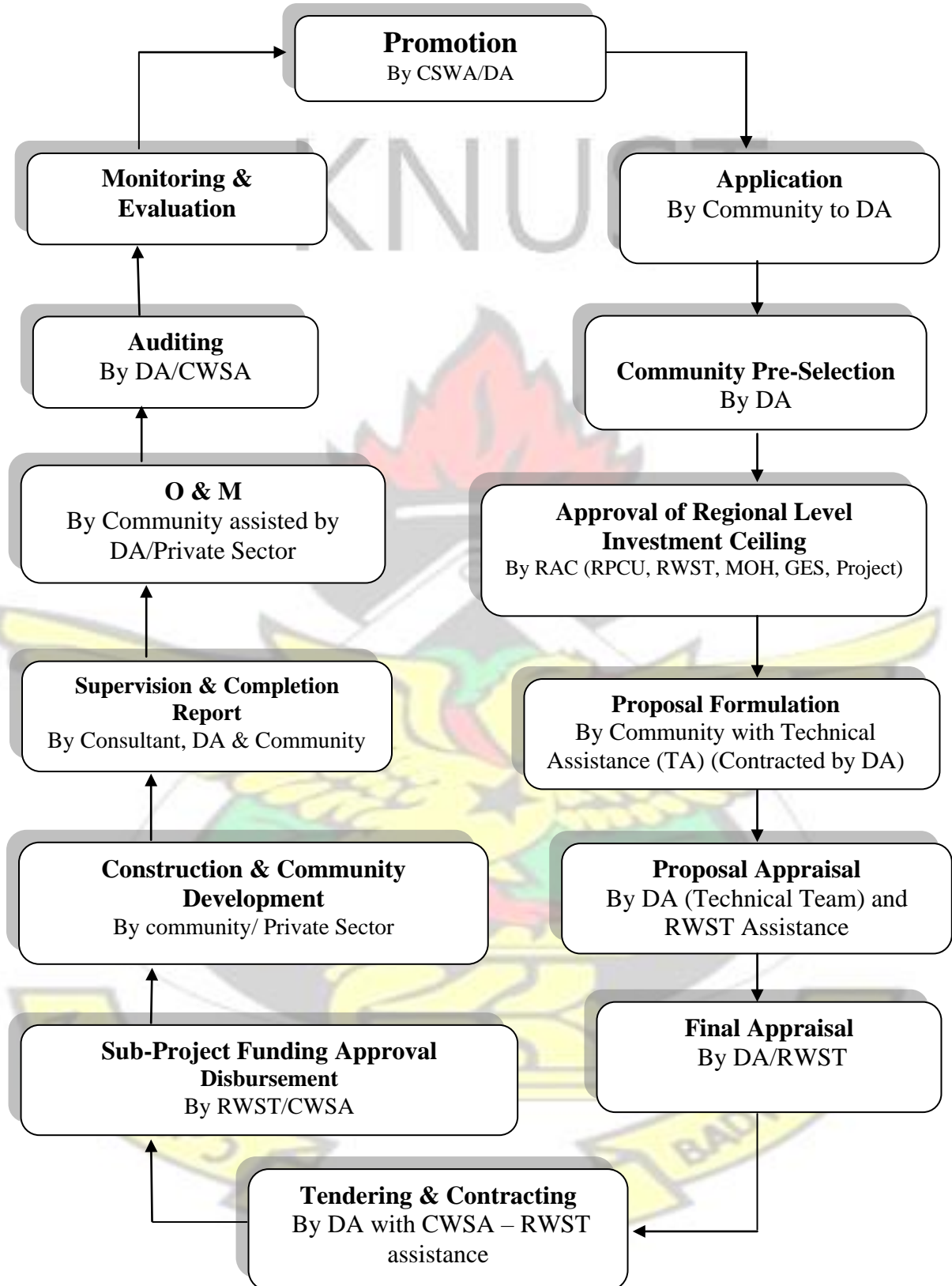
- i. Communities identify and prioritize their water and sanitation needs.
- ii. Communities apply to the DAs for provision of their preferred water and sanitation needs.
- iii. Active involvement of the beneficiary communities in the planning processes.



- iv. Communities and DAs must indicate their preparedness to pay 5% each of the capital cost of their preferred water facilities and institutional latrines whilst the common practice for cost sharing for household latrines has been 50% each for the CWSA/World Bank and the beneficiary.
- v. The communities must open and operate water and sanitation accounts with banks closer to them.
- vi. The communities must form functional WATSANs for operation of boreholes and hand-dug wells with hand pumps while WSDBs are required for managing Small Towns Piped Systems.
- vii. Communities (WATSANs/WSDBs) are totally in charge of operation and maintenance of the provided water and sanitation facilities.
- viii. Water must be sold at affordable prices to community members for operation and maintenance.
- ix Transparency and accountability is demanded from the WATSANs and WSDBs to the inhabitants of the beneficiary communities.

To access water and sanitation facilities under the NCWSP, the beneficiary communities or households have to go through the cycle below beginning with promotion or marketing of the available facilities and ending with monitoring and evaluation.

**Figure 3: Sub-Project/Water/Sanitation Demand Cycle**



Source: Adopted from POM (2004).

### **2.2.8 Plan Preparation**

This is the stage where baseline data on water and sanitation are collected, analyzed and used for planning. Stakeholder involvement including beneficiaries, victims, financiers, implementers and facilitators are crucial at this stage. It is at this level that the priorities of the communities are identified and ranked with total community involvement. Also, roles and responsibilities of stakeholders and sources of funding are established. At this stage, plans are approved or adopted at public hearing meetings.

### **2.2.9 Implementation**

Plan implementation is perhaps the most important stage of the project or planning cycle where plans are translated into physical projects and programmes that go to improve the living conditions of the people and contribute towards poverty alleviation.

According to Conyers and Hills, Waterston is claimed to have said that the failure to implement the policies and required actions contained in plans, programmes or projects is widely recognized to be one, if not the major weakness of contemporary planning in the Third World Countries (Conyers and Hills, 1984, pp 154). Conyers and Hills described implementation as the whole process of translating broad policy goals or objectives into visible results in the form of specific projects or programmes of action (Conyers and Hills, 1984). They identified factors affecting plan implementation to include:

- i. Nature of the planning process
- ii. Organization of planning and implementation – As they asserted, according to Waterston, the successful implementation of a plan is largely a matter of proper organization and administration.
- iii. Content of plans iv. Management of the implementation process.

### **2.2.10 Monitoring**



According to Conyers and Hills, monitoring involves collecting information about what actually happens during the implementation process, in order to find out how inputs to the plan or project (i.e. resources) are being used, how activities essential to implementation are proceeding, whether or not deadlines are being met, and generally whether or not things are working out as intended. It is really therefore a mechanism for correcting deviations that may have arisen between what was intended to be done and what has actually been done. It is part of the learning process in planning (Conyers and Hills, 1984, pp 170).

Monitoring is therefore a process of tracking the progress of implementation of policies, programmes and projects. It requires the collection, analysis and utilization of information to ensure that plans are being implemented to achieve objectives as planned or adjusted as required. In other words, it is an instrument that continuously delivers structured information concerning the actual status of the project or programme to all persons involved in the implementation process, including management, the target groups and beneficiaries. It is thus an on-going system of checking to make sure that the correct procedures, practices, timeframes, resources and targets are being followed and achieved.

#### **2.2.11 Evaluation**

Quoting Curtis and Watson, Conyers and Hills pointed out that the main purpose of evaluation is to learn from experience, so that what is planned for the future is better than what went before (Conyers and Hills, 1984 pp 171).

Evaluation therefore is a periodic assessment of relevance, planning, performance, efficiency, effectiveness, sustainability and impact of projects/programmes in the context of stated objectives and outcomes. Evaluations are usually carried out at fixed points in time during the project life cycle, and often require comparisons between what was planned and what has been achieved. Evaluation which is essentially a process of judgment involves;

- i. A systematic examination of the relevance and efficiency of the planning and implementation as well as the nature, extent and coverage of the intended and unintended impact of a project or programme.
- ii. Careful assessment of the extent to which a project or programme has promoted the relevant aspects of development policy, such as poverty alleviation, sustainable use of

- natural resources, women's empowerment, people's participation and good governance.
- iii. Elaborate analysis of institutional and financial sustainability and identification of issues for ensuring the effectiveness of future project work through operational recommendations which are based on hands-on experiences.

#### **2.2.12 Operation and Maintenance (O&M)**

Under the NCWSP introduced in 1998, operation and maintenance (O&M) of water and sanitation facilities in small towns and rural communities is to be done by their respective WSDBs and WATSANs. To ensure effective O&M, the NCWSP requires that;

- i. The communities must form functional WATSANs for operation of boreholes and hand-dug wells fitted with hand pumps while small towns must form WSDBs for managing Small Towns Piped Systems. Where communities were unable to form functional WATSANs/WSDBs, then management, operation and maintenance of the facilities were to be done by private operators contracted on behalf of the communities by the DAs. ii. Water must be sold at affordable prices to community members for regular operation and maintenance.
- iii. Transparency and accountability is demanded from the WATSANs and WSDBs to the beneficiary communities.

With the delineation of the CWSA from the GWSC/GWCL in 1994 and the subsequent enactment of the CWSA Act, Act 564 in 1998, the CWSA has been mandated to facilitate planning for provision of water and sanitation facilities in small towns and rural communities whilst GWCL is responsible for urban water supply. In response to its planning responsibilities, the CWSA has since 1998 been at the forefront in facilitating planning for the provision of water and sanitation facilities in the small towns and rural areas. The CWSA thus prompts the DAs on the need to prepare the DWSPs and provides technical support to them in the preparation of the DWSPs. Such collaboration between the CWSA and the DAs has gone a long way to promote preparation and implementation of the DWSPs as well as coordination, monitoring and evaluation of provision of water and sanitation facilities.

# **CHAPTER THREE**

## **THE STUDY DESIGN, METHODOLOGY, DATA AND**

### **ANALYSIS AND PROFILE OF STUDY AREAS**

This Chapter discusses in detail the study design, various methods that were used to carry out the study and how data collected were analyzed. It also covers the profile of the study districts and communities.

#### **3.1 Criteria for selecting the study Districts**

Since the time frame for the study begins from when the NCWSP was launched in 1998 to 2009, the study districts were required to meet the following minimum criteria.

- i. For a district to be selected, it should have been in existence at least by 1998 to have participated in the first NCWSP whose implementation began in 1998 and was across all the districts in the Brong Ahafo Region.
- ii. The district should have participated in the preparation of at least the three recent DMTDPs facilitated by the National Development Planning Commission (NDPC) that covered water and sanitation issues. The planning periods are the first four years of the vision 2020 (1996-2000), the GPRS I (2003-2005) and GPRS II (2006-2009).
- iii. The district should have prepared and implemented a DWSP facilitated by the CWSA.

By these criteria, thirteen (13) out of the twenty-two (22) Municipal/District Assemblies in the region qualified for the study. They are the Sunyani, Berekum, Dormaa, Techiman, Wenchi, Kintampo, Asunafo North Municipal Assemblies, Jaman South, Tano South, Asutifi, Nkoransa North, Atebubu Amanten and Sene District Assemblies. The other nine new districts created between 2004 and 2008 namely Jaman North, Dormaa East, Sunyani West, Tain, Kintampo South, Nkoransa South, Pru, Tano North and Asunafo South therefore did not satisfy the selection criteria.

Consequently, Sunyani Municipal Assembly (SMA) and Jaman South District Assembly (JSDA) were selected as the study districts. The SMA had urban characteristics and could



therefore represent the municipalities whilst the JSDA had rural features like any of the DAs and could therefore represent the District Assemblies. The two District Assemblies had diverse water coverage. Whereas the JSDA had higher water coverage of 91.23 percent, higher than the regional and national coverage of 53.51 percent and 57.14 percent respectively, the SMA had water coverage of 33.51 percent which is lower than the regional and national averages. This afforded the study the opportunity to access how involvement of key stakeholders in the implementation of DWSPs influences provision of water and sanitation facilities within the Municipal and Districts Assemblies (MDAs). Also, whereas SMA like the other municipalities has both urban and rural characteristics and hence provision of water and sanitation facilities within it falls within the domain of both GWCL and CWSA, the provision of these facilities in JSDA which is purely rural falls solely within the mandate of CWSA. This therefore afforded the study the opportunity to assess how the two bodies collaborated with the DAs for effective planning for provision of water and sanitation facilities within the MDAs.

Since urban and rural districts have different characteristics, in selecting the two study districts, SMA and JSDA, the Brong Ahafo Region was stratified into urban and rural districts and the two districts were randomly selected to represent urban and rural districts respectively. The study districts were further stratified into urban and rural areas to represent common urban and rural characteristics. In all, the two districts have 147 urban and rural communities of which two urban communities (Sunyani and Abesim) and one rural community (Antwikrom) were selected in the SMA whilst three rural communities namely Drobo, Dwenem, and Jenjemireja were selected in the JSDA. It is also important to state that the selection of the six communities cut across the three main water supply systems in the region such as pipe borne, small towns pipe systems and point sources (boreholes and hand dug wells fitted with hand pumps) as well as availability of government sponsored latrine facilities. Additionally, the operational areas of CWSA and GWCL were taken into consideration in selecting the six communities. This offered the study the opportunity to assess how the various communities accessing such water facilities were involved in the planning and implementation processes.

### **3.2 Sampling Technique**

Purposive sampling technique was used to select the key institutions for the study. They included the Regional Community Water and Sanitation Agency (CWSA), Ghana Water

Company Limited (GWCL), District Assemblies with focus on the District Water and Sanitation Teams (DWSTs) and District Planning Officer, Water and Sanitation Committees (WATSANs), Water and Sanitation Development Boards (WSDBs), Area/Town Councils and Non Governmental Organisations (NGOs) operating in water and sanitation within the study districts. The use of purposive sampling technique became necessary because planning as a tool for development has been institutionalised under the decentralisation concept, hence, the aforementioned institutions could not be substituted when talking about participatory planning and implementation of water and sanitation facilities. Similarly, purposive sampling technique was used in selecting the District Assemblies for the study to ensure that districts that have been involved in preparation and implementation of water and sanitation plans since 1998 were selected.

The selection of the two districts was done through stratified sampling. All the 13 qualified districts in the Brong Ahafo region were stratified into urban and rural districts. In this case, all the seven Municipal Assemblies were classified as urban districts while the six District Assemblies were classified as rural districts. One district each was selected to represent each stratum. Within the study districts too, communities were stratified into urban, town and rural areas. From each of these three strata, one community was purposively selected to ensure that the study covered communities with all types of water supply facilities (pipe borne, small town pipe system and boreholes) and CWSA/GWCL sponsored latrine facilities.

In all, the research was conducted in two urban, two small towns and two rural communities purposively selected from the sampled districts to ensure that communities that operated different water and sanitation facilities and with different management structures were selected. That is the vendors under GWCL managed pipe system, operation of Small Towns Water Supply and Sanitation Systems under WSDBs and operation of boreholes under the WATSANs. This offered the study the opportunity to assess the level of community participation especially by women, opinion leaders and community level management bodies in the preparation and implementation of the DWSPs.

### **3.3 Data Collection Methods**

The following data collection methods and instruments were used to gather the required primary and secondary data. The basic methods used were the desk study, key informant interview and the focus group discussions whereas the main instruments applied were questionnaires and checklists.

### **3.3.1 Source of Data**

Data was collected from both primary and secondary sources. These included data on:

- i. Number and type of plans prepared for water and sanitation delivery.
- ii. Processes for preparation and implementation of water and sanitation plans.
- iii. Opinion of community members on their level of participation in preparation and implementation of water and sanitation plans.
- iv. Levels of implementation of the DWSPs.
- v. Challenges confronting the Municipal/District Assemblies in preparation and implementation of water and sanitation plans.

### **3.3.2 Desk Study**

It was used to collect information from documentary sources from established planning institutions including the NDPC, the CWSA, the GWCL, the MDAs and their sub-structures. The key documents consulted were the Vision 2020, the GPRS I & II and the District Medium Term Development Plans (DMTDPs), the District Water and Sanitation Plans, District Environmental Sanitation Strategic and Action Plan (DESSAP) and Annual Action Plans (AAPs) for SMA and JSDA. The other documents and publications consulted included project implementation manuals and strategic investment plans by the CWSA, publications by the UN, WHO, WaterAid and Ghana Statistical Services.

### **3.3.3 Key Informant Interview**

Questionnaires were constructed and administered to collect information from institutional structures involved in the preparation and implementation of DWSPs for provision of improved water and sanitation facilities such as the CWSA (Regional Water and Sanitation Team), GWCL, DAs (Planning Officers and DWSTs), NGOs, Area Councils and Opinion Leaders involved in water and sanitation delivery in the study districts and communities.



In Sunyani, one Extension Services Specialist from the CWSA and the Sunyani Area Manager of the GWCL were interviewed. At the Municipal/District levels, the two District/Municipal Planning Officers who are the Co-ordinators of DWSPs and the two team leaders of the DWSTs which are the technical wings of the DAs for the preparation and implementation of the DWSPs were also interviewed. Within the Urban/Town/Area Councils, secretaries to the six councils were interviewed. Also, six Assembly members as well as four NGOs operating in the study communities were interviewed. Additionally, two opinion leaders made up of a male and female were interviewed in each of the six study communities.

#### **3.3.4 Focus Group Discussions (FGDs)**

This method was used to interact with the community based groups like WATSANs, WSDBs, women groups and other groups of vulnerable people who are seriously affected by inadequate water and sanitation supply. In Sunyani and Abesim where GWCL operated, the FGDs were carried out among selected vendors in each of the towns. In Drobo and Dwenem which operate the Small Towns Water Supply and Sanitation Systems, FGDs were carried out among their WSDBs. In Jenjemiraja and Antwikrom which operate the point sources, the FGDs were done with the WATSANs and two women groups of the two communities. This enabled the study to assess the level of community participation especially by women, and community level management bodies in the preparation and implementation of DWSPs.

#### **3.4 Data Management and Analysis**

A number of analytical methods were applied to the study to understand the processes for developing and implementation of the DWSPs for the provision of improved water and sanitation facilities within the districts. Some of the techniques used were formulation of questionnaire to interview people and the use of checklist to interact with the WATSANs/WSDBs and other groups of stakeholders in the communities. To ease understanding, data collected from the interviews and the focus group discussions were presented in tables.

### **3.5 Profile of the Study Districts and Communities**

This section provides a brief insight into the profile of the areas studied which are the Sunyani Municipal Assembly (SMA) and Jaman South District Assembly (JSDA) including the six study communities of Sunyani, Abesim and Antwikrom in the SMA and Drobo, Jenjemireja and Dwenem in the JSDA.

#### **3.5.1 Location of SMA and JSDA**

SMA and JSDA form part of the twenty-two (22) administrative districts in the Brong Ahafo Region of the Republic of Ghana. SMA is located in the central part of the region and shares common boundaries with Sunyani West District Assembly to the North-East, Dormaa East District Assembly to South-West, Asutifi DA to the South and Tano North DA to the East (Figure 4) and occupies a land area of about 829 sq km. Sunyani serves as the administrative capital for both the region and the municipality. The JSDA on the other hand is located to the North Western fringes of the region and shares boundaries with the Jaman North District to the North-East, Berekum Municipal Assembly to the South-East, Dormaa Municipal Assembly to the South and La Cote D'Ivoire to the West. (Figure 5) and occupies a land area of about 552 sq km.

#### **3.5.2 Population**

According to the 2000 housing and population census, SMA had a population of 179,165 with a projected population of about 250,628 in 2009 at a growth rate of 3.8 percent. Jaman South District on the other hand had a population of 79,060 with an estimated population of 105,891 in 2009 at a population growth rate of 3.3 percent.

#### **3.5.3 Administrative and Institutional Arrangements of the District Assemblies**

According to the Local Government Act of 1993, Act 462, the DAs are the highest political, administrative and planning authorities and have deliberative, legislative and executive functions (Section 10, subsection 1-4 and Section 46). Thus they are responsible for the overall

development of their areas. The DAs are composed of two third elected and one third appointed members with the Presiding Members as the head of the DAs whilst the District Chief Executives (DCEs) serve as both political and administrative heads. The DAs perform their functions with the support of the decentralised departments whose technical wing is the District Planning Co-ordinating Unit (DPCU). To enhance active community participation in the planning and development processes, Act 462 also provided for the establishment of area/town/zonal/urban councils and unit committees as sub-structures of the DAs (Section 3, subsection 3-4). The SMA has three (3) urban/town/area councils whilst the JSDA has eight (8) area councils which serve as administrative structures at the local level. To facilitate planning and implementation of water and sanitation projects/programmes in the districts, DWSTs and WATSANs/WSDBs are established as the respective technical/management wings at the DA and community levels.

#### **3.5.4 Water and Sanitation Situation**

Provision of water and sanitation facilities in the districts is the responsibility of the DAs with the GWCL and CWSA being facilitators at the urban and rural communities respectively. SMA which has both urban and rural characteristics has both the GWCL and CWSA playing active roles in the provision of water and sanitation facilities in the municipality whilst the JSDA which is purely a rural district has CWSA as the main facilitator in the provision of water and sanitation facilities. As at December 2008, GWCL put the urban water coverage in the municipality at 47 percent whilst the CWSA put the rural water coverage at 33.51 percent and that of Jaman South District at 91.23 percent. Sanitation coverage in the SMA was put at 16.9 percent (SMA, 2009) whilst that of the JSDA was put at 28 percent (JSDA, 2009).

#### **3.5.5 Location of the Study Communities (Sunyani, Abesim, Antwikrom, Drobo, Jenjemireja and Dwenem)**

Sunyani which serves as the capital for both the Brong Ahafo Region and the SMA is located at the north-eastern part of the municipality. It is the only urban council in the municipality and shares common boundaries with the Sunyani West District Assembly to the north-east and north-west, Abesim Town Council to the south-east and Atronie Area Council to the south-west (Figure 4). Abesim on the other hand is located about 5 km south of Sunyani along the



Sunyani-Kumasi trunk road. As the only town council in the municipality, Abesim shares boundaries with Tano North District to the south, Sunyani Urban Council to the North, Sunyani West District Assembly to the East and Atronie Area Council to the West (Figure 4). Antwikrom is a village located in the Atronie Area Council along the Sunyani-Ntotroso highway and about 15km south-west of Sunyani (Figure 4). Drobo town which also serves as the administrative capital for both the JSDA and Drobo Area Council (AC) is located in the south-eastern part of the district. It shares boundaries with Kwame Seikrom AC to the west, Awasu AC to the north, Drobo East AC to the east and Japekrom AC to the south (Figure 5). Jenjemireja on the other hand is the administrative capital for the Drobo East AC and it is located about 10km east of Drobo the district capital (Figure 5). Dwenem is also the administrative capital for the Awasu AC and is bounded to the north by Adamsu AC, to the south west by Drobo AC and to the south-east by Drobo East AC. It is located along the Drobo-Sampa highway and about 11km north of Drobo (Figure 5).

### 3.5.6 Population of the study communities

The population figures as captured in the 2000 population and housing census of the study communities and their projected figures for 2009 are presented in table 1 below.

**Table 1: 2000 and Projected Population Figures of the Study Communities**

No	Name of Study District	Name of Study Community	Population Figures	
			2000	2009
1	Sunyani Municipal Assembly	Sunyani	61,308	85,762
		Abesim	9,985	13,968
		Antwikrom	220	309
2	Jaman South District Assembly	Drobo	5,978	8,007
		Dwenem	5,450	7,300
		Jenjemireja	2,011	2,693

Source: SMA MMTDP and JSDA DMTDP, 2006

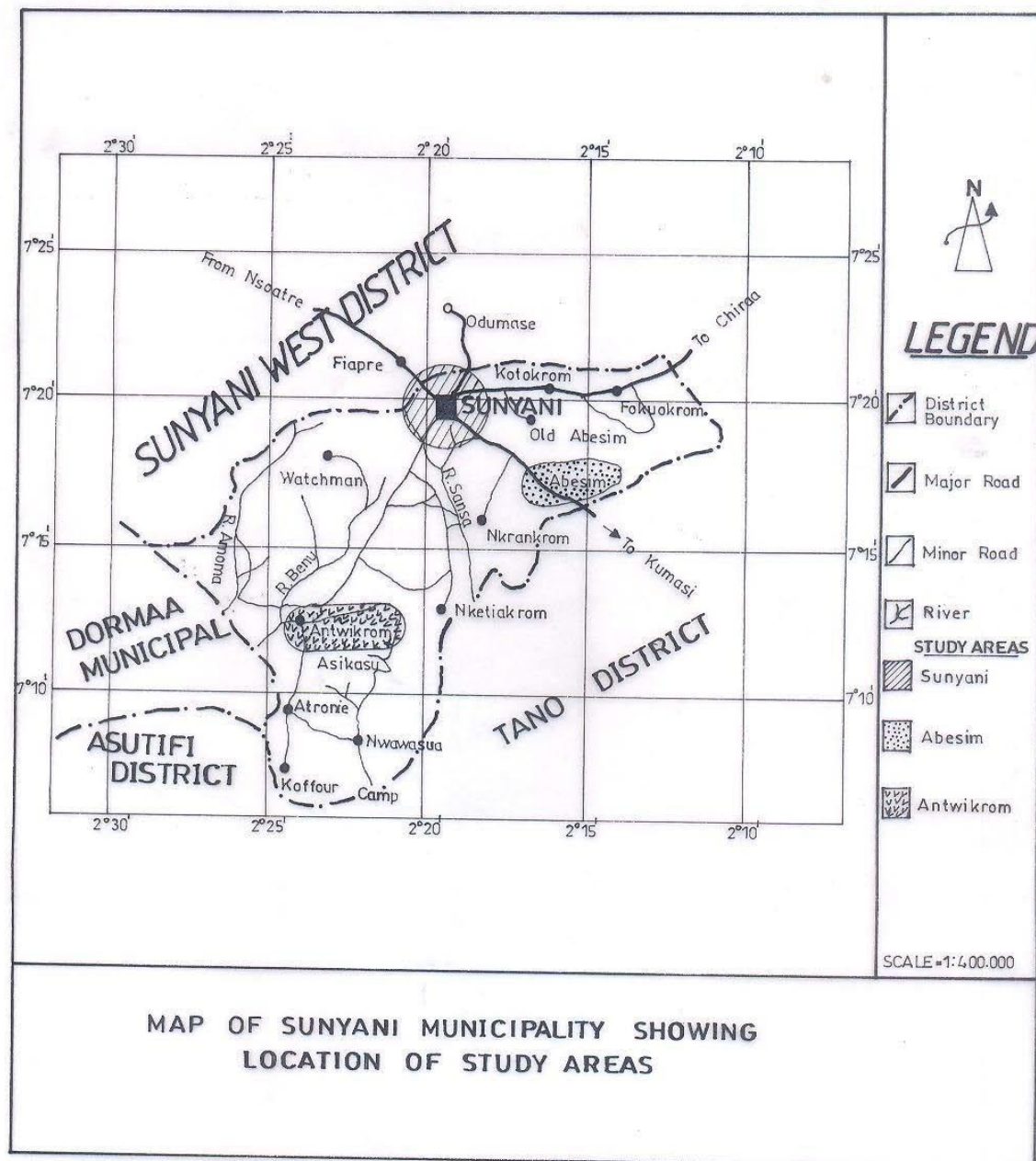


Figure 4: Map of Sunyani Municipal Assembly showing the study areas Sunyani, Abesim and Antwikrom

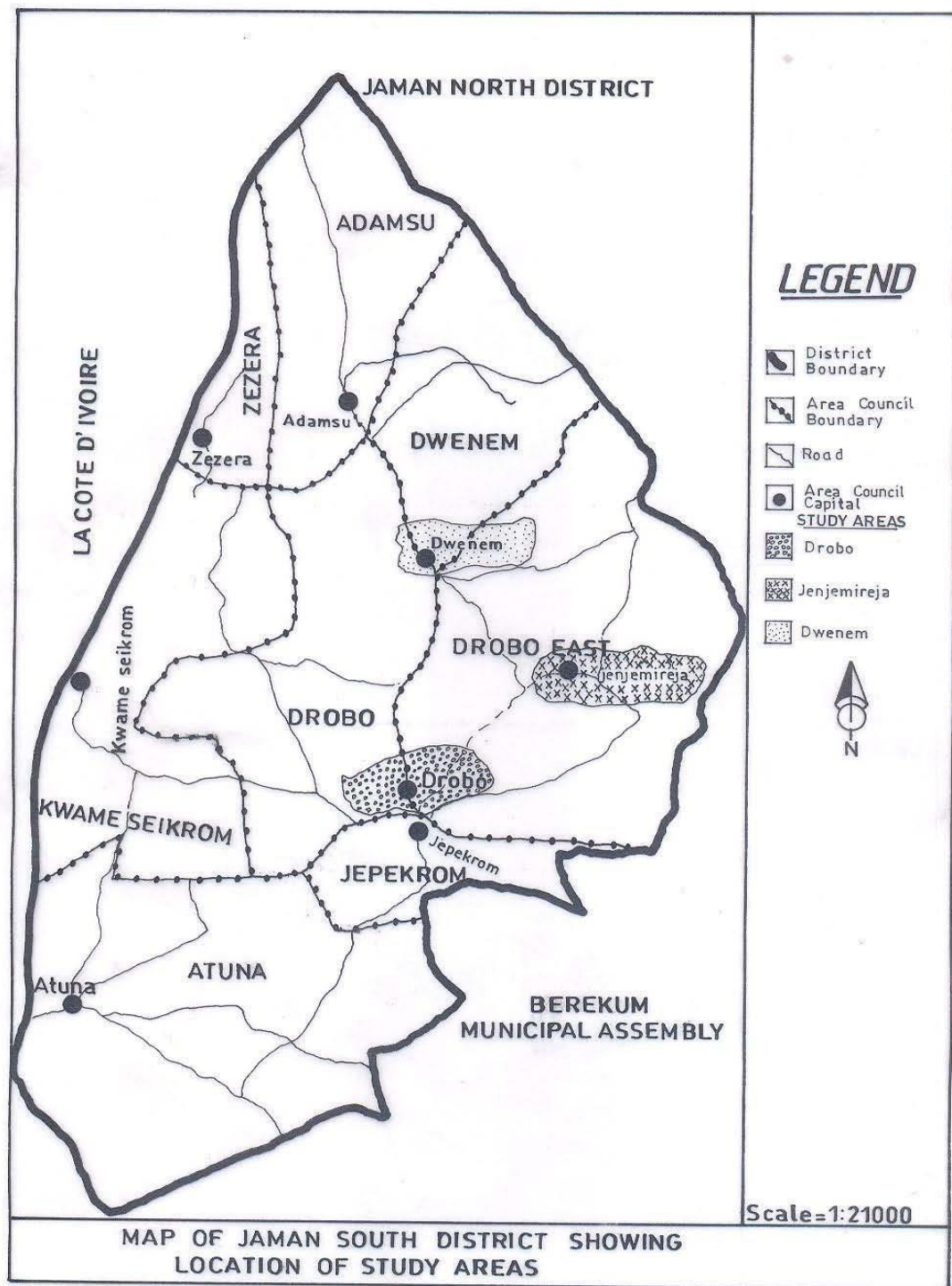


Figure 5: Map of Jaman South District Assembly showing the study areas, Drobo, Jenjemireja and Dwenem



### 3.5.7 Administrative and Institutional Arrangements of DAs' Sub-structures

The six study communities comprising Sunyani, Abesim and Antwikrom belong to the Sunyani Urban Council, Abesim Town Council and Atronie Area Council in the SMA whilst Drobo, Jenjemireja and Dwenem belong to the Drobo, Drobo East and Awasu Area Councils respectively in the JSDA. Two thirds of their 20 member councils are elected from the unit committees whilst one third is appointed. The conveners to the monthly meetings of the councils are their respective chairmen whilst day to day administration of the councils is done by the Urban/Town/Area Council Secretaries. Although the Area/Town Councils oversee the administration of their jurisdiction, currently, formation of WATSANs and WSDBs which are in charge of operation and maintenance of water and sanitation facilities in the communities do not involve the councils.

### 3.5.8 Water and Sanitation Management

In the SMA, CWSA and GWCL are responsible for provision of water and sanitation facilities. Provision of water in the urban settlements of Sunyani and Abesim fall under the domain of GWCL where water is sold daily to the communities by vendors. On the contrary, provision of water and sanitation facilities in rural communities of SMA such as Antwikrom is facilitated by the CWSA and managed by the WATSAN. However, provision of water and sanitation facilities in JSDA which is purely rural falls under the jurisdiction of the CWSA.

The type of water facilities and management structures in the study communities are elaborated in the table 2 below.

**Table 2: Existing Water Facilities and Management Structures in the Study Communities**

No	Name of Study Community	Existing Water Facility	Type of Management Structure
1	Sunyani	Piped Borne	Vendors
2	Abesim	Piped Borne	Vendors
3	Drobo	Small Towns Piped System	WSDB/Pump Attendants
4	Dwenem	Small Towns Piped System	WSDB/Pump Attendants
5	Antwikrom	Boreholes	WATSAN/Pump Attendants
6	Jenjemireja	Boreholes	WATSAN/Pump Attendants

Source: Field Survey, August, 2009

## **CHAPTER FOUR**

### **ANALYSIS OF THE KEY FINDINGS OF THE STUDY**

This chapter provides detailed analysis of findings of the study. Issues assessed here include the types of plans prepared for provision of water and sanitation facilities within the districts, the processes for preparation and implementation of the DWSPs, the extent of implementation of DWSPs and the key challenges affecting the preparation and implementation of DWSPs in the District Assemblies.

#### **4.1 Types of Plans Prepared by the DAs for the Provision of Water and Sanitation Facilities**

The study established that that in addition to the DWSPs, the DAs prepare District Environmental Sanitation Strategy and Action Plan (DESSAP), DMTDPs and Annual Action Plans (AAPs) for the provision of water and sanitation facilities. Thus aside the DWSPs, the DESSAP, DMTDPs and the AAPs provide some form of information on water and sanitation needs of the Districts. The study however revealed that as important as the DWSPs were to the provision of water and sanitation facilities in the districts, the DAs do not prepare the DWSPs out of their own will but are prompted and in most cases compelled by the CWSA before the DWSPs are prepared. In fact the CWSA does not only provide technical back up for the preparations of the DWSPs but also builds the capacities of the DAs for the preparation of the DWSPs.

#### **4.2 Processes for Preparation and Implementation of the DWSPs**

This aspect of the study looked at the DAs' response to the processes required for preparation and implementation of a decentralised plan. Issues assessed here were the involvement of key stakeholders (Area Councils, beneficiary communities and WSDBs/WATSANs) in the preparation and implementation of the DWSPs and whether or not the DAs periodically updated or reviewed their DWSPs to assess whether or not goals and objectives of the DWSPs were being achieved.

#### 4.2.1 Participation of key Stakeholders (Area Councils, beneficiary communities and WSDBs/WATSANs) in the Preparation of the DWSPs

This section of the study assessed whether or not the DAs' duly involved the key stakeholders such as the Area Councils, beneficiary communities and WSDBs/WATSANs in the preparation of the DWSPs. The responses received from the survey are presented in table 3 below.

**Table 3: Participation/Involvement of Key Stakeholders in the Preparation of the DWSPs**

Respondents	Total No. of Respondents	No. Involved	%	No. Not Involved	%	Uncertain	%
CWSA/GWCL	2	1	50	0	0	1	50
Staff of the DAs	4	4	100	0	0	0	0
Secretaries of the Area Councils	6	5	83.33	1	16.67	0	0
Assembly Members	6	6	100	0	0	0	0
NGOs in Water & Sanitation	4	4	100	0	0	0	0
WSDBs/WATSANs	6	6	100	0	0	0	0
Women's Groups	2	2	100	0	0	0	0
Opinion Leaders	12	8	66.67	4	33.33	0	0
Total	42	36	85.71	5	11.91	1	2.38

Field Survey, February 2010

Out of the 42 respondents, as many as 36, that is 85.71 percent indicated that the DAs involved them in the preparation of the DWSPs whilst only five respondents, that is, 11.91 percent said that the DAs did not involve them in the preparation of the DWSPs. The GWCL did not know whether or not the DAs involved the communities in the preparation of the DWSPs confirming the poor collaboration between them and the DAs in the area of water and sanitation delivery. What was significant was that all the community level stakeholders interviewed confirmed their involvement in the preparation of the DWSPs. From the table above, all the six WSDBs/WATSANs groups, two women groups and the six Assembly members interviewed confirmed that they were duly involved in the preparation of the DWSPs whilst eight (66.67 percent) out of twelve opinion leaders interviewed confirmed their involvement in the preparation of the DWSPs.



From the study, the key areas that the DAs involved the communities in the planning processes included data collection, stakeholder workshops, programme planning, approval and adoption of the DWSPs. From the responses, it could be concluded that the DAs duly conformed to the guidelines for the preparation of DWSPs as far as participation of the beneficiary communities were concerned.

It is however important to point out from the survey that five respondents (11.90 percent) made up of one Area Council (AC) Secretary and four opinion leaders indicated that the communities were not involved in the preparation of the DWSPs. Whereas the opinion leaders were emphatic that the focus of the DAs in community participation was often limited to the involvement of the WATSANs/WSDBs, the AC Secretary attributed it to the general apathy of the DAs in tapping the full potentials of the ACs in the scheme of development within the districts. As small as this number (11.90 percent) may be, it is important to broaden the scope of participation in the preparation of the DWSPs to cover more community members and especially members of the ACs. This would help to enhance community ownership of the DWSPs and increase community participation during implementation of the DWSPs.

#### **4.2.2 Review/Update of District Water and Sanitation Plans**

As required by the NDPC's plan preparation guidelines, all development plans including DWSPs and AAP are to be reviewed periodically to make them relevant to achieve goals and objectives for which they were developed. This section of the research therefore tried to find out from the respondents whether or not the DAs updated their DWSPs to make them relevant in meeting the water and sanitation needs of the communities within the plan period as required by the NDPC guidelines.

Form the survey, all the 42 respondents including those from the DAs and CWSA said no district had ever reviewed its DWSPs during their periods of implementation. This implied that the three or four year DWSPs prepared by the DAs did not benefit from any mid-term review. This is not the best because after two years of plan implementation without review, community aspirations and prices could have changed. Similarly, inflow of the expected resources for the implementation of the DWSPs might not be as anticipated. These changes would no doubt affect the ability of the DAs to fully implement their DWSPs hence the need for review to

reposition the plans within the right context cannot be overemphasised. In responses to why the DAs do not review their DWSPs, most of the respondents including the DAs said plan review has not been a feature of planning within the DAs. In addition, the DAs were of the view that lack of adequate funding for the implementation of DWSPs made it difficult for them to organise stakeholder programmes to review plans they definitely knew they would not have the needed funds for implementation.

#### 4.2.3 Community Involvement in the Implementation of DWSPs

This section of the plan assessed whether or not the DAs involved the beneficiary communities in the implementation of the approved DWSPs. The responses of the survey are presented in the table 4 below.

**Table 4: Involvement of Beneficiary Communities in the Implementation of DWSPs**

Respondents	Total No. of Respondents	No. Involved	%	No. Not Involved	%	Partial or Uncertain	%
CWSA/GWCL	2	1	50	0	0	1	50
Staff of the DAs	4	4	100	0	0	0	0
Secretaries of the Area Councils	6	4	66.67	2	33.33	0	0
Assembly Members	6	6	100	0	0	0	0
NGOs in Water & Sanitation	4	3	50	0	0	1	50
WSDBs/WATSANs	6	4	66.67	0	0	2	33.33
Women's Groups	2	1	50	1	50	0	0
Opinion Leaders	12	8	66.67	2	16.67	2	16.67
Total	42	31	73.81	5	11.91	6	14.29

Field Survey, February 2010

From the survey data presented in table 4, it can be observed that DAs' involvement of communities in the implementation of the DWSPs and for that matter water and sanitation delivery is very good. As many as 31 out of the 42 respondents, (that is 73.81 percent) including the communities themselves said they were involved in the implementation of water and sanitation facilities. Only five out of the 42 respondents, (that is 11.90 percent) said they were not involved in the implementation of the DWSPs whilst the respondent from the GWCL could not confirm as to whether or not the communities were involved in the implementation of the

DWSPs. From the table, six respondents (14.29%) made up one each from GWCL and NGOs in Water and Sanitation and two each from WSDBs/WATSANs and Opinion Leaders saw the involvement of the communities in the implementation of the DWSPs as partial and recommended for their full involvement especially in the areas of contracting and payments.

From the study, the common areas the communities were involved in the delivery of water and sanitation facilities included formation of community level management committees (WATSANs/DWSDBs), siting of water and sanitation facilities, stakeholder meetings during project implantation, collection/payment of community contribution towards capital cost, project monitoring, management, operation and maintenance of water and sanitation facilities within the communities.

It is equally important to point out that 5 respondents (that is 11.90 percent) made up of two Area Council (AC) Secretaries, two opinion leaders and one women's group indicated that the communities were not involved in the implementation of the DWSPs. Whereas the opinion leaders indicated the DAs often limited implementation of water and sanitation projects to the involvement of the WATSANs/WSDBs, the AC Secretaries attributed this to the unwillingness of the DAs to involve them in the development of the district. They indicated that as ACs, hardly were they informed or involved in the implementation of development projects that go on within their jurisdictions. As small as 11.90 percent may be, it is important to broaden the scope of implementation of the DWSPs to ensure total ownership, management and sustenance of water and sanitation projects implemented in the districts.

#### **4.3 Extent of Implementation of the Water and Sanitation Plans**

The survey tried to find out the level of implementation of the water and sanitation projects as contained in the DWSPs and the DMTDPs. Whilst from the perception of the respondents the level of implementation of the proposed water and sanitation projects was below 40 percent, the analysis of implementation of water and sanitation projects from the 2006-2009 DMTDPs and DWSPs and the progress reports on the implementation of the projects confirmed the perception of the respondents. The findings from the DMTDPs and the DWSPs are presented in table 5 below.



**Table 5: DA's Performance in the implementation of Water and Sanitation Projects**

	Jaman South District Assembly				Sunyani Municipal Assembly			
Type of Facility	Proposed No. of Projects	Actual No. Implemented	% of Impl.	Total % of Impl.	Proposed No. of Projects	Actual No. Implemented	% of Impl.	Total % of Impl.
Water	27	6	22.2	-	46	6	13.04	-
Latrines	12	6	50.0	36.13	906	14	1.55	7.72

Source: DMTDP 2006-2009 and DWSP 2008-2012, December 2010

From the data presented in table 5 above, it can be observed that the data available on implementation of water and latrine facilities from the DAs were not different from the perception that the communities held that the DAs were unable to implement larger percent (60% or more) of their proposed water and sanitation projects. From the data above extracted from the JSDA's 2006-2009 DMTDP and 2008-2012 DWSP, out of the 27 water facilities proposed for implementation, only 6 were implemented, that is 22.2 percent. Also, out of the 12 latrine facilities, 6 (50 percent) were implemented. This brought the total percentage of implementation to 36.13 percent. Similarly, data from the SMA on the implementation of water and latrine facilities was not better. Out of the 46 water facilities proposed to be constructed in 2008 and 2009, only 6 (13.04%) was constructed whilst of the 906 latrines proposed for construction in 2008 and 2009, only 14 (1.55%) was constructed. This brought the total percentage of implementation to 7.72 percent.

The reasons offered for the inability of the DAs to fully implement their DWSPs included inadequate funding, over ambitious DWSPs (trying to satisfy the needs of all communities within a single plan period), non-conformity with the implementation of water and sanitation projects within the DWSPs, lack of political commitment to the implementation of the DWSPs, short period of implementation of the plan as the period of preparation of the DWSPs eat so much into the implementation period and lack of mid-term review of the DWSPs.

The study also revealed that DAs at times implemented water and sanitation projects outside the DWSPs in the communities. According to the survey, these projects were often implemented by governments during periods of elections where communities put undue pressure on politicians for water and used that as a condition for casting their votes. It was identified that such projects were financed from sources other than the IDA/CWSA's regular

support to the DAs. This attitude of the DAs provided one of the reasons why they were unable to fully implement their DWSPs in the Districts.

#### 4.4 Preparation of Monitoring and Evaluation (M&E) Plans for Implementation of the DWSPs

The study established that as a matter of practice, the DAs prepare M&E plans for implementation of the DWSPs. The responses of the respondents as captured during the interviews are outlined in table 6 below.

**Table 6: Preparation of M&E Plans for the Implementation of DWSPs**

Respondents	Total No. of Respondents	Availability of M&E Plan	%	Non availability of M&E Plan	%	Uncertain	%
CWSA/GWCL	2	1	50	0	0	1	50
Staff of the DAs	4	4	100	0	0	0	0
Secretaries of the Area Councils	6	4	66.67	0	0	2	33.33
Assembly Members	6	6	100	0	0	0	0
NGOs in Water & Sanitation	4	4	100	0	0	0	0
WSDBs/WATSANs	6	4	66.67	0	0	2	33.33
Women's Group	2	0	0	0	0	2	100
Opinion Leaders	12	7	58.33	0	0	5	41.67
Total	42	30	71.43	0	0	12	28.57

Field Survey, February 2010

From the presentation in table 6 above, it can be observed that as many as 71.43 percent of the respondents confirmed that the DAs prepare M&E plans for implementation of the DWSPs whereas 28.57 percent said that they could not tell whether or not the DAs had M&E plans. However, a detailed study carried out on the DWSPs indicated that DAs incorporated M&E plans in their DWSPs. The study can therefore conclude that as a matter of practice, DAs prepare M&E plans for monitoring and evaluation of the DWSPs.

#### 4.5 Monitoring Implementation of the DWSPs

The study revealed that with the support of the CWSA and WATSANs/WSDBs, the DAs periodically monitored implementation of water and sanitation projects. The responses of the people interviewed were captured and presented in table 8 below.

**Table 7: Monitoring the Implementation of DWSPs**

Respondents	Total No. of Respondents	Carry Out Monitoring	%	Do Not Monitor	%
CWSA/GWCL	2	2	100	0	0
Staff of the DAs	4	4	100	0	0
Secretaries of the Area Councils	6	3	50	3	50
Assembly Members	6	6	100	0	0
NGOs in Water & Sanitation	4	4	100	0	0
WSDBs/WATSANs	6	6	100	0	0
Women's Group	2	1	50	1	50
Opinion Leaders	12	8	66.67	4	33.33
Total	42	34	80.95	8	19.05

Field Survey, February 2010

As presented in table 7 above, 80.95 percent of the respondents said the DAs monitored the implementation of water and sanitation projects in the communities. Only 19.05 percent of the respondents said monitoring was not carried out during implementation of water and sanitation projects in the communities. From the analysis, it can be concluded that DAs monitor implementation of the DWSPs. The study further established that monitoring was done with involvement of other stakeholders such as the CWSA, WATSANs, WSDBs, opinion leaders, chiefs, contractors and consultants to the projects. As part of the monitoring, stakeholders meetings were held after the projects being implemented have been inspected. This gave opportunities to the contractors and consultants to the projects to technically brief the DAs, CWSA, beneficiary communities and other stakeholders on the progress of work as well as their programmes of action until the next monitoring and stakeholders' meeting. The DAs, CWSA, beneficiary communities and other stakeholders are also offered the opportunity to contribute for the timely completion of the projects.

#### **4.6 Evaluation of Implementation of the DWSPs**



The study found out that whereas the monitoring aspect of the M&E plans was carried out by the DAs, nothing was done in the area of evaluation. All the 42 respondents including the DAs and CWSA said that the DAs do not evaluate projects and programmes they implement under the DWSPs. It was clear from the respondents that evaluation as a development activity has never been a practice among the DAs. Thus although M&E plans were prepared together only as a matter of practice and not that the DAs believed in and carried out evaluation as a development activity.

#### **4.7 Key Challenges Facing the DAs in the Preparation and Implementation of the DWSPs**

The study also tried to identify the challenges that confront the DAs in the preparation and implementation of the DWSPs. The major challenges identified by the survey are analysed below:

##### **4.7.1 Key Challenges Facing the DAs in the Preparation of the DWSPs.**

Although the study revealed that in addition to the DMTDPs most of the DAs prepare DWSPs, DESSAP and AAPs to support provision of water and sanitation facilities, the DAs are unable to prepare the plans on time. The period for the preparation of the plans often eat well into the actual period for their implementation. A number of reasons were identified and discussed below.

##### **4.7.1.1 Delay in the Release of Guidelines for Preparation of DWSPs**

The study established that a major challenge that delays preparation of development plans including the DWSPs within the DAs was the periodic ritual of delay in the release of guidelines for the preparation of the DWSPs. Preparation and issuance of guidelines for plan preparation at the district level is the responsibility of the National Development Planning Commission (NDPC). Although the NDPC is capable of issuing the guidelines on time, often it is constrained by the fact that the guidelines needs to capture the development focus or priorities of the ruling government. However, since it takes time for new governments to settle, so also it takes time for the NDPC to issue the guidelines for the preparation of development

plans such as the DWSPs. These delays in the release of the guidelines served as a major constraint to the DAs in the preparation of the DWSPs on time. For instance, according to the District Planning Officers in the study districts, they received the guidelines for preparation of the 2008-2012 DWSPs in May 2008, which is about five months into the actual implementation period. Similarly, the draft guidelines for the preparation of the 2010-2013 DMTDPs were received in mid December 2009 and as at the time of the research in February 2010; the study districts were still reviewing their district profiles. If the DAs are to adhere to the required participatory planning processes, then one can be sure that the earliest time the DMTDPs could be ready would be somewhere in August, 2010. In effect, 2010 which should have been the first year for the implementation of the plan would rather be used for its preparation.

#### **4.7.1.2 Delay in the Release of Funds for Preparation of DWSPs**

Late releases of funds cut across responses of DAs' and CWSA's staff as a major constraint for timely preparation of district level plans including the DWSPs. The District Assemblies Common Fund (DACF) has over the years been the major source of funds for funding virtually every development activities, projects and programmes within the districts. Unfortunately, since the DACF is a percentage of the government's revenue generated within the country, its releases to the DAs can only be done months after collection by the revenue agencies. The problem of delay in the release of the DACF is further compounded by the fact that nobody seems to compel the government to release the DACF to the DAs after the revenue agencies have accounted to the government. Thus the government decides at will when to release the DACF to the DAs for implementation of their projects and programmes. As revealed by the study, it is not uncommon for the DACF to be in arrears for two quarters within a single year. This attitude of the government often stifles the DAs of the much needed funds for implementation of development projects and programmes including preparation of the DWSPs.

#### **4.7.1.3 Inadequate Political Commitment towards Planning as a key Development Activity within the DAs**

The survey also revealed that in addition to the delay in the release of the DACF was the inadequate political commitment towards planning as a development activity within the DAs.

Most of the District Chief Executives (DCEs) erroneously think they could achieve their objectives without recourse to a development plan such as the DWSPs. Thus often when the DACF is not released, they see no reason why part of the Internally Generated Funds (IGF) should be used to finance the preparation of the DWSPs or any other development plan. Even when the DACF is released, they still find reasons why a physical project should be financed at the expense of preparation of a development plan. They are unwilling to provide logistics such as computers, stationery, photocopiers and tonners to facilitate plan preparation neither are they willing to motivate staff to prepare the plans. The lack of commitment of the DCEs to the preparation of the DWSPs may be summed up in the fact that the DAs themselves do not initiate the preparation of their own DWSPs but are compelled to develop them by the CWSA.

#### **4.7.1.4 Inadequate and Unreliable Data for Plan Preparation**

Another major challenge confronting DAs in the preparation of the DWSPs was inadequate and unreliable data. Reliable baseline data is crucial for the preparation of a useful and reliable development plan such as a DWSP. A reliable baseline data is necessary for realistic goal and objectives setting, making projections and serving as basis of measuring the success or otherwise of the plan. As established by the survey, this was where most of the DAs were found wanting due to a number of problems including lack of professionals to develop appropriate tools for data collection and analysis, inadequate financial support for data collection and non response to questionnaires by communities and departments.

#### **4.7.2 Key Challenges Facing the DAs in the Implementation of the DWSPs**

The study also revealed that although most of the DAs were able to prepare their DWSPs which at least catalogued water and sanitation projects and programmes they intended to implement within the plan period, hardly were these plans implemented as intended. In fact the inability of the DAs to fully implement their DWSPs has negatively affected the responses of communities to plan preparation meetings as some see such meetings as more of rhetoric rather than concrete actions to meet their felt needs. The study identified a number of challenges that militate against the implementation of the DWSPs. The identified challenges are discussed below.



#### **4.7.2.1 Inadequate Funding for Implementation of the DWSPs**

Perhaps the biggest challenge facing the DAs in the implementation of their DWSPs is inadequate funding. As revealed by the survey, all the respondents identified lack of funding as the major reason why the DAs were unable to fully implement their DWSPs. The main source of financing the DWSPs in the Brong Ahafo Region comes from the International Development Association (IDA) also known as the World Bank. The World Bank bears 90 percent of the cost of all water and sanitation facilities constructed under the DWSPs whilst the DAs and beneficiary communities take 5 percent each of the capital cost. Unfortunately, the funding from the IDA is always inadequate leading to serious competition and lobbying from the DAs to get their communities on board. In the face of the inadequate funding, the NCWSP came out with qualification criteria such as population thresholds, ability of communities and the DAs to pay 5 percent each of the capital cost of their preferred projects and the ability of the communities to raise adequate funds for operation and maintenance (O&M). These criteria did not only cut off most of the needy and poorer communities but also delayed the implementation of approved water and sanitation projects as quite often beneficiary communities and even DAs were unable to raise their share of the capital cost as agreed and specified in the memoranda of understanding (MOU).

In addition, the study established that this problem of inadequate funding for the implementation of DWSPs was compounded by the fact that the DAs over relied on the IDA for funding every water project at the district level. The DAs themselves do not make any effort to make budgetary allocations for financing water projects themselves. Even the District Water and Sanitation Teams (DWSTs) which are the technical wings at the DAs for community animation, supervision and monitoring to the implementation of water and sanitation projects are financed by the IDA/CWSA. Issues such as logistics and motivation for the team to perform are left in the hands of the IDA/CWSA. These attitudes of the DAs to the implementation of the DWSPs seriously affect delivery of water and sanitation facilities to the communities.

#### **4.7.2.2 Difficulty in raising the communities' 5 Percent Share of the Capital Cost and Operation and Maintenance (O&M) Funds**

Under the NCWSP, beneficiary communities are required to contribute 5 percent of the capital cost of the projects they request for as well as contribute fully towards operation and maintenance of the projects. This is where the problem of financing project implementation arises. The study revealed that in most cases the beneficiary communities were unable to contribute their 5 percent share of the capital cost. Often the communities were bailed out by their Members of Parliament (MPs) or pressures were brought to bear on the DCEs who instruct their DAs to pay on behalf of the communities. In cases where MPs/DCEs' intervention never came, contractors were not fully paid for work done thus increasing the debts stock of the DAs. The issue of O&M which aims at ensuring project sustainability has also compounded the problem of financing the DWSPs for the DAs. The survey established that four of the six study communities were unable to mobilise enough funds for O&M and had to reach out to the DAs for support when the need arose. The DCEs who often could not turn the communities away for political reasons, had to assist them repair broken down facilities instead of insisting on the principles of the NCWSP which lay the responsibility of O&M squarely with the beneficiary communities.

#### **4.7.2.3 Inactive Water Management Committees**

District Water and Sanitation Committees (WATSANs) and Water and Sanitation Development Boards (WSDBs) represent the key community level institutions for successful implementation, operation and maintenance of water and sanitation projects. Among other things, they lead in siting of water and sanitation projects and educating community members on their roles and responsibilities for implementation of water and sanitation projects. Others include collection of communities' 5 percent share of the capital cost, participation in monitoring and evaluation and ensuring regular operation and maintenance of constructed water and sanitation facilities. As crucial as these management bodies are for successful implementation and sustainable water and sanitation facilities within the communities, most of these committees to say the least are not functional. The study revealed that they hardly hold periodic meetings on the operation of water and sanitation facilities within the communities. The committees do not account to the communities as the NCWSP stipulates. This attitude of the WATSANs/WSDBs make it difficult for them to mobilise adequate funds for operation and maintenance leading to frequent breakdowns and defeating the sustainability concept. In such difficult situations, the only option for the communities was turning up to the DAs for assistance for O&M.

#### **4.7.2.4 Inadequate Spare Parts and Area Mechanics for Maintenance of Water Facilities**

Perhaps one important factor affecting sustenance of water facilities in the communities is inadequate spare parts and lack of area mechanics to undertake regular repairs and maintenance of broken down water facilities. As specified under the NCWSP, the CWSA is to collaborate with the private sector in establishing sales outlets for easy supply of spare parts to communities to facilitate prompt maintenance. Similarly, CWSA and the DAs were to facilitate training of area mechanics to carry out major repairs on the water facilities. However, the study revealed that whilst the few trained area mechanics have no tools to work with, the spare parts are scarcely available for the communities to purchase to maintain the broken down facilities. According to the study districts, they rely on a mechanic from Techire in the Tano North District of the Brong Ahafo Region to carry out major repairs that could not be done by the WATSANs whilst the WSDBs rely on the services of GWCL in Sunyani for major repairs on the pipes. Spare parts for maintenance are obtained from Kumasi as even Sunyani, the regional capital has no hand pump spare parts outlets. These problems of inadequate spare parts and area mechanics seriously constrain maintenance and sustenance of water facilities in the communities.

### **CHAPTER FIVE**

#### **SUMMARY OF FINDINGS, RECOMMENDATIONS AND CONCLUSIONS**

The purpose of the study was to assess the responses of the District/Municipal Assemblies in the Brong Ahafo Region to preparation and implementation of their DWSPs. This final chapter therefore outlines the key summary of the findings of the study, recommendations made to improve future preparation and implementation of the DWSPs and the conclusions of the study.

##### **5.1 Summary of the Findings**

The following findings were established by the study:

##### **5.1.1 District Assemblies Prepare Water and Sanitation Plans (DWSPs) for Implementation of Water and Sanitation Facilities.**



The study established that all the District Assemblies in the region prepare DWSPs as a condition for accessing water and sanitation facilities under the NCWSP. As confirmed from the study districts, every three or four years, the CWSA facilitates the preparation of DWSPs in all the twenty-two districts in the region. These DWSPs catalogue water and sanitation needs of the various communities in each district and unless a community is captured in the DWSPs, it may not be supported within the period of implementation of the DWSPs. The DWSPs also outline the responsibilities of the stakeholders as well as total budget/cost of the implementation of the plan.

### **5.1.2 District Assemblies Prepare other Development Plans for the Provision of Water and Sanitation Facilities**

The study also found out that in addition to the DWSPs, the DAs prepare other development plans for delivery of water and sanitation facilities. These other plans are the DMTDPs, AAPs and the DESSAP. Whereas the DMTDPs have wider perspective than the DWSPs as they take care of all development issues within the district in the medium term, the AAPs focus on what the districts intended to implement within a single year whilst the DESSAP focus on general sanitation issues. Thus even without the DWSPs, a district could still have a plan that provides skeletal issues on water and sanitation in the district.

### **5.1.3 Cross-section of Stakeholders are Involved in the Preparation of the DWSPs**

The study revealed that key stakeholders such as the beneficiary communities, WATSANs and WSDBs were involved in the preparation of the DWSPs. They provided the data needed for preparation of the plans; participated in stakeholder workshops, participated in planning and budgeting and in approval of the DWSPs. Thus the communities can be said to be duly involved in the preparation of the DWSPs. However, this process no doubt delayed preparation of the DWSPs as it took a lot of time to mobilise the communities to get their inputs in preparation of the DWSPs.

### **5.1.4 District Assemblies do not show enough Commitment towards Preparation of the DWSPs**

The study discovered that although the DAs were able to prepare their DWSPs, they do not show enough commitment to the process of the plan preparation. The study revealed that since the DAs do not initiate the preparation of the DWSPs themselves, there was always lack of commitment in the preparation of the DWSPs by the DAs. The DCEs who serve as both the political and administrative heads of the DAs and therefore decides how resources should be distributed and where they should go showed little commitment towards resources allocation for the preparation of the DWSPs. They often hold the wrong impressions that with or without the DWSPs, they could achieve their aims in the water and sanitation delivery. Thus often it was through the intervention of the CWSA and RCC that the DWSPs were financed by the DAs.

#### **5.1.5 Wrong Timing for Preparation of the DWSPs**

Another issue identified by the survey was the wrong period used in preparation of the DWSPs and other development plans at the district level. Development plans serve as the road map for achieving set goals and objectives within a time frame. It is therefore expected that plans would be prepared well in advance of their implementation period. Unfortunately, this was not the case at the district level where preparation of development plans such as the DMTDPs and the DWSPs were initiated within the period they were supposed to be implemented. Thus the period used in preparing the plans eats so much into their implementation period. This was attributed to the delay in the release of the planning guidelines and untimely releases of funds for preparation of the plans. The issue of wrong timing for plan preparation constituted one major problem why DAs were unable to implement larger portions of their DWSPs.

#### **5.1.6 Overloaded DWSPs**

The survey further revealed that DAs overloaded their DWSPs in order to pretend to be satisfying the needs of all the communities. Water and sanitation facilities no doubt constitute a major priority of the communities thus in preparing the DWSPs, DAs capture the requests as they receive from the communities and since every community demands a water and or sanitation facility, the DWSPs were overloaded. In Sunyani out of the about 99 communities, 75 were listed as requiring a water or latrine facility within a period of three years whilst in the Jaman South, out of about 48 communities, 35 were listed for water or latrine facility within

the same period. As revealed by the study, the root cause of the overloaded DWSPs was the fact that the DWSPs are funded by the IDA through the CWSA and since the DAs do not know the money available to them during the preparation of the DWSPs, they tend to capture all the water and latrine needs of their communities with the hope that some of them would be pick up for funding by the CWSA/IDA. Obviously, an overloaded plan could not be fully implemented especially so as they were not reviewed and had short implementation periods.

#### **5.1.7 District Assemblies do not Review/Update their DWSPs**

It was also established by the study that DAs do not review/update their DWSPs. Plan review is an important exercise as it makes the plan realistic and lives up with the times. Unfortunately, DAs do not attach much importance to plan review as an important aspect of the plan implementation process. Often, DAs do not budget for plan reviews and even when they did, there was no commitment to carry out that exercise. This problem partly answers why DAs were unable to fully implement their DWSPs.

#### **5.1.8 District Assemblies Monitor but do not evaluate their DWSPs**

The study established that in addition to the DWSPs, the DAs prepare Monitoring and Evaluation Plans for the implementation of the DWSPs. Whereas the monitoring aspect was carried out during implementation of water and sanitation projects, evaluation was not carried out on implemented projects and programmes. It was identified that monitoring was regularly done because the CWSA had instituted monthly stakeholders' meetings at which DAs were expected to give progress report on the implementation of the projects. As part of the monthly meetings, CWSA organises joint stakeholders' monitoring on ongoing projects and programmes. Unfortunately, these opportunities have not been created to promote evaluation of implemented projects and programmes under the DWSPs.

#### **5.1.9 District Assemblies involve beneficiary communities in the implementation of their DWSPs**

The research revealed that DAs actively involve the beneficiary communities in the implementation of water and sanitation facilities. The core areas the communities were



involved during project implementation included formation of community level project management bodies (WATSANs and WSDBs), participation in the siting and location of water and sanitation facilities and animation of other community members on the project. Other areas they were involved were mobilisation of community contributions, participation in project monitoring and project operation and maintenance. The involvement of community members in preparation and implementation of the DWSPs has gone a long way to strengthen community ownership of constructed water and sanitation facilities. Sustainability of water and sanitation facilities is now more guaranteed in the communities than some years back when community involvement in the provision of such facilities was generally low. However, it is their shared opinions that other areas that the DAs can involve them are selection of consultants/contractors, signing of contracts documents and certification for payments of work done.

#### **5.1.10 Non Involvement of the substructures in Implementation and Management of Water and Sanitation Facilities**

The study revealed that whilst the DAs involved their substructures (Urban/Town/Area Councils) in the preparation of the DWSPs, the councils were not involved in the implementation and management of water and sanitation facilities. These councils are important lower level structures of the decentralisation concept in the country. Just as the DAs have responsibilities of seeing to the development of the districts and must have first hand information on what goes on within their districts, so also are the councils for their areas of jurisdiction. Similarly, just as the DAs are supposed to report periodically on events in their districts to the national level through the RCCs, so also the community level institutions such as the WATSANs and WSDBs should report on their activities to the DAs through the Area Councils. On the contrary however, the DAs have side stepped the Area Councils in the implementation of water and sanitation projects. The Area Councils were not involved at any stage of the implementation process including overseeing the WATSANs and WSDBs in operation and maintenance of water and sanitation facilities. Consequently, they were unable to monitor the activities of the WATSANs and WSDBs to bring the transparency and accountability the communities demand from their WATSANs and WSDBs in the operation and maintenance of water and sanitation facilities.

#### **5.1.11 Poor Collaboration between the DAs and GWCL in Planning for Provision of Water Facilities in Urban Areas**

The study exposed that there was poor collaboration between DAs and the GWCL in planning for the provision of water and sanitation facilities in the urban areas. GWCL which has mandate for the provision of water in large urban centres such as Sunyani and Abesim, (two of the study communities) do so without involvement of the Sunyani Municipal Assembly that is statutorily mandated by Act 462 to oversee the development of the entire municipality. Unlike the CWSA which adopts a bottom-up approach in planning for the provision of water and sanitation facilities, the GWCL uses the top-down approach. Thus in supplying water to the urban areas, the GWCL decides which town to benefit, where standpipes should be placed and who operates the facilities on their behalf. This centralised approach of the GWCL runs counter with the decentralisation concept within which the DAs operate. Under the GWCL approach therefore, the DAs cannot be effective players in the provision of water facilities in urban areas under their own jurisdictions.

#### **5.1.12 District Assemblies are unable to implement larger portions of their DWSPs**

The survey also established that DAs were unable to implement larger portions of their approved DWSPs. As discussed earlier, all the respondents indicated that the DAs were unable to implement 40 percent of their DWSPs due to a number of challenges. These challenges included overloaded DWSPs, inadequate funding, shorter period for the implementation of the DWSPs and non conformity to implementation of water and sanitation projects within the DWSPs. This cycle of poor implementation of approved development plans such as the DWSPs has contributed in no small way in killing the enthusiasms of the communities in the preparation of the plans as some community members interpret DAscommunity interfaces for development plan preparations as mere rhetoric rather than concrete efforts aimed at solving their pressing needs.

#### **5.1.13 Communities have Difficulty in Operating and Maintaining Water Facilities**

Finally, the study identified that lack of spare parts and inadequate area mechanics impeded smooth operation, maintenance and sustenance of water facilities in the communities. The

difficulties that the communities faced in repairing broken down water facilities often led to water shortages and in some cases compelled communities to go back to abandoned water sources with the associated health implications. It was also established that non availability of spare parts and poor access to area mechanics did not only lead to delays in the repair of the broken down facilities and pressure on the few functional ones but also increased the cost of repairs. This was so because communities had to acquire the spare parts at a high cost from Kumasi and also access the services of the area mechanic from Techire at a high cost.

## **5.2 Recommendations**

Based on the key findings of the study, the following recommendations are made to help improve future preparation and implementation of the DWSPs and other development plans within the District Assemblies.

### **5.2.1 Timely Release of Guidelines for Plan Preparations**

The success or otherwise of a development plan such as the DWSP can only be assessed within a specific timeframe. Consequently it is extremely important that plans are prepared well in advance of their implementation. This can only be done when bodies such as the NDPC which have responsibilities of releasing the guidelines for the preparation of development plans do so on time. However as indicated under item 4.7.1.1 of the research, the NDPC was unable to issue the planning guidelines on time because it has to wait for the development agenda of the ruling government. To resolve this problem therefore, there is the need to have a national development policy (long term development plan) as a country devoid of serious political influence. Political parties and for that matter ruling governments must be made to buy into such development framework instead of the medium term development strategies introduced by ruling governments which seek to dismantle entirely what has been done by their predecessors. With such nationally approved development plan, the medium term development strategies of the ruling governments would have to be drawn from the national development plan to ensure continuity of policy implementation. Once the country adopts such development strategy, the NDPC will be in a position to issue plan preparation guidelines without necessarily waiting so long for directives from the ruling governments.



### **5.2.2 District Chief Executives should be made to sign Performance Contracts for Preparation and Implementation of Development Plans**

Another serious challenge to preparation and implementation of development plans such as the DWSPs at the district level is inadequate commitment of the DCEs who are both political and administrative heads of the DAs. As identified from the research, most DCEs do not see development plans as a very necessary development tool for achieving their political ambitions. Consequently, they are unwilling to release funds readily for plan preparations. In fact for most DCEs, they only succumb to preparation of the DWSPs because the CWSA demands it and not because they see it as a scientifically proven process of meeting the real needs of the people. To help resolve this problem and improve commitment of the DCEs to preparation and implementation of development plans, the DCEs must be made to sign performance contracts with the Ministry of Local Government and Rural Development (MLGRD) for timely preparation and implantation of development plans. Once signed, it should be one of the basis of either maintaining or dismissing a DCE from office.

### **5.2.3 Incorporation of Plan Review as integral part of Plan Implementation**

Review of development plans are very important if commitment to implementation is to be achieved. It offers opportunity to stakeholders to make meaningful contributions to shape the plan in terms of content and budgetary requirements. Although study of the monitoring and evaluation (M&E) plans of the DWSPs indicated plan review as one of the M&E activities, it was never carried out. It is therefore necessary that national and regional bodies including NDPC, MLGRD, RCCs and CWSA that have oversight responsibilities in plan preparation and implementation over the DAs make them review their plans as and when needed. This can be done if the NDPC, MLGRD, RCCs and CWSA demand the mid-term plan review reports just as they demand the annual progress reports on the implementation of the DMTDPs.

### **5.2.4 District Assemblies should be empowered to source funds in addition to those from Development Partners for the Implementation of the DWSPs**

One major problem why DAs are unable to fully implement their DWSPs is lack of adequate funding. The DAs over rely on donor funding mostly from the IDA for the implementation of

water and sanitation projects in the Brong Ahafo Region. It may be true that within the DAs no development plan can be fully implemented within their timeframe, however, it cannot be contested that if there were other ways of accessing funds other than the Internally Generated Funds (IGF) for implementation of the DWSPs, the situation will not be better than it is now. Unfortunately, this is where the Local Government Act, Act 462 of 1993 which established the DAs and seeks to bring development to the districts impede their access to other funds for development. According to section 88 of the Act, in borrowing money for development, DAs on their own can only borrow up to GH¢2,000. For monies higher than this figure, DAs must seek approval from the Ministers of Local Government and Rural Development and Finance and Economic Planning. What is more, the Act allows them to borrow only within Ghana. To help improve access to loans/credit for rapid development of the districts therefore, it is important that this section of the Act is reviewed to pave the way for the DAs to access credit from the private sector to speed up the implementation of their development plans. The attempt by the previous administration to introduce the Municipal Finance Concept which was to pave the way for the DAs to access credit more than what was stated in the Act for their development should therefore be revisited.

#### **5.2.5 Expansion of Community Involvement in the Implementation of Water and Sanitation Projects**

There is no doubt that great strides have been made in getting beneficiary communities involved in the preparation and implementation of the DWSPs. However, from the view point of the communities, there is the need for more transparency and accountability from the DAs in the implementation of water and sanitation projects. It is their shared opinions that other areas that the DAs can involve them are selection of consultants/contractors, signing of contracts documents and certification for payments of work done. To them, they are kept in the dark as to how consultants/contractors were procured, contracts were signed and what goes into them as well as payments for work done. It is therefore recommended that the CWSA should include in its project implementation guidelines where DAs are required to have representatives of the beneficiary communities on meetings for procurement of consultants/contractors. In much the same way, the guidelines can provide for signing of the contract in the beneficiary communities where contract documents are witnessed by a responsible community member and copies given to WATSAN/WSDBs on behalf of the

communities. Similarly, the guidelines could provide that community progress reports endorsed by the Chairmen of the WATSANs/WSDBs become condition for payment to contractors and consultants for work done on a project.

#### **5.2.6 Involvement of the Area Councils in Water and Sanitation Issues /Empowering the Area Councils to oversee the activities of the WATSANs and WSDBs**

Under the decentralisation structure in Ghana, Urban/Town/Area Councils are important substructures for effective implementation of the decentralisation concept. Just as the DAs are supposed to report to the national levels through the RCCs, so also community level public management bodies such as the WATSANs and WSDBs should report to the DAs through Urban/Town/Area Councils. Unfortunately, from the study districts, there were no direct representations of the councils on the WATSANs/WSDBs neither were there any direct linkage between the Urban/Town/Area Councils and the WATSANs/WSDBs in the implementation of water and sanitation projects. In fact the councils did not know what goes on within the water and sanitation management committees and boards hence they were unable to call them to order when the need arose. To empower the Councils to monitor the WATSANs/WSDBs, it is recommended that the MLGRD and CWSA which have oversight responsibilities over the DAs in governance and water and sanitation provision respectively issue guidelines for participation of the councils in water and sanitation for compliance by the DAs.

#### **5.2.7 Resource the DWSTs to effectively Monitor Implementation of the DWSPs**

Monitoring of projects and programmes implementation are crucial if they are to be implemented as planned and set objectives are to be achieved. Unfortunately, DAs do not put premium on monitoring as a key activity of project implementation. In the implementation of the DWSPs, monitoring of the process is often initiated by the CWSA. As the study identified, the inability of the DAs to effectively monitor the implementation of the DWSPs was traced to poor financing of the DWSTs which are the technical wings of the DAs in water and sanitation. Most of the DWSTs lack effective means of transport, logistics and motivation to ginger them on for regular monitoring. In fact, the limited logistical support they get including computers and other office equipment come from the CWSA. Until the CWSA and the RCCs compel the DAs to make budgetary provisions for monitoring the implementation of the DWSPs by the DWSTs, the DAs will continue to pay lip services to monitoring of the DWSPs.



### **5.2.8 The need to improve Collaboration between the DAs and GWCL in Planning for Provision of Water Facilities**

With the mandate given to the DAs to oversee the total development of their areas as provided for in Act 462, it is imperative that collaboration between the DAs and GWCL in planning for provision of water is improved. The collaboration between the DAs and GWCL can be better promoted by their respective parent ministries of MLGRD and Water Resources, Works and Housing. These ministries can work together to develop common guidelines to be used by the DAs and GWCL that will promote participation of DAs and beneficiary communities in planning for the provision of water facilities in areas designated for the operation of GWCL. This will ensure that the DAs and GWCL become responsible for provision of water facilities in the urban centres.

### **5.2.9 The need to enhance Capacity of Communities to regularly Operate and Maintain Water Facilities**

To help solve the problem of lack of spare parts and poor access to area mechanics and enhance regular repairs and flow of water in the communities, it is recommended that the CWSA improves its collaborative role with the supplier(s) at Kumasi to open a sales outlet in Sunyani, the Brong Ahafo Regional capital to ease access of communities within the region to spare parts. Also the non-functioning of the area mechanics which relates more to lack of working tools can be solved if the CWSA can replicate its practice where contractors under the Small Towns Water Supply and Sanitation Programme (STWSSP) as part of the contract agreements are made to supply operational tools to the WSDBs to carry out maintenance and repairs. This practice can be replicated for contractors of point sources (boreholes and hand-dug wells fitted with hand pumps) so that trained area mechanics could be supplied with working tools. Additionally, refresher training programmes could be organised for area mechanics to sharpen their skills rather than the one time training which does not motivate them to perform as expected.

### **5.2.10 The need to promote Evaluation as a key Development activity among the**

## **District Assemblies**

Whereas there is relatively higher degree of monitoring of the implementation of water and sanitation projects at the district level, nothing is done in the area of evaluation. The DAs do not evaluate the impact of water and sanitation facilities they provide to the communities so they are unable to assess the extent to which their interventions have impacted on the livelihood of the communities. One therefore wonders on what basis they replicate the same water and sanitation facilities to different communities within the districts. To help improve evaluation at the district level, the MLGRD and CWSA should build capacity of key DAs' staff in evaluation to bring to fore the need for monitoring and evaluation to move hand in hand as desired. Having developed the evaluation capacities of the DAs, evaluation of implemented water and sanitation projects can then be used as yardstick for DAs in accessing different categories of water and sanitation facilities under NCWSP.

### **5.3 Conclusions**

Sections 10 and 12 of the Local Government Act, Act 462 define the planning functions of the District Assemblies. In particular whilst subsection 3 {a (i)} of section 10 says that the DAs are responsible for the preparation of development plans of the districts and for submission to the NDPC for approval, subsection 3 of section 12 defines the District Assemblies as planning authorities. The study therefore sought to assess how the DAs perform their planning functions as per Act 462.

The case study approach was used because all the 170 MMDAs are governed by the same Act, Act 462; hence they are required to prepare DWSPs for the development of their districts. Thus the case study approach adopted to assess the processes for the preparation and implementation of DWSPs in Sunyani Municipal Assembly and Jaman South District Assembly in the Brong Ahafo Region offered the study an opportunity to do in-depth analysis of how the DAs respond to the preparation and implementation of DWSPs in the two districts which can be generalised for the other MMDAs in the country since they are all required by the Act to prepare and implement DWSPs. Also, the case study provided a basis for comparing two districts; urban and rural.

The study revealed that DAs prepare DWSPs for implementation of water and sanitation facilities. However, the DWSPs were often overloaded and that the time used for the preparation of the DWSPs like any other related development plan at the district level eat so much into the period of implementation. Consequently, DAs were unable to implement larger portions (60% or more) of their DWSPs.

The study also revealed that DAs actively involved beneficiary communities in the preparation and implementation of the DWSPs. The DWSPs could therefore be said to be owned by the people or communities for whom they were prepared.

However, the study established that DAs do not show enough commitment in the preparation and implementation of the DWSPs neither do they review or update the implementation of their DWSPs. Similarly, whilst DAs monitored the implementation of water and sanitation projects, no evaluation was done for the implemented projects and programmes under the DWSPs.

Some of the recommendations made to improve future preparation and implementation of the DWSPs include timely release of guidelines for plan preparations, DCEs should be made to sign performance contracts for preparation and implementation of district development plans including the DWSPs, incorporation and enforcement of plan review as integral part of plan implementation and empowerment of DAs to source funds other than those from Development Partners for the implementation of the DWSPs. Other recommendations include expansion of community involvement in projects' implementation, involvement of the Area Councils in water and sanitation issues/empowering the Area Councils to oversee the activities of the WATSANs and WSDBs, the need to resource the DWSTs for effective monitoring of implementation of the DWSPs and promotion of evaluation as a key development activity among the District Assemblies.

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**APPENDIX 1 QUESTIONNAIRE FOR REGIONAL COMMUNITY WATER  
AND SANITATION AGENCY (RWST)/GHANA WATER COMPANY LTD**

**Introduction:** *The study is purely an academic one meant to partially fulfil an award of MSc Degree in Development Policy and Planning (DEPP) at the Kwame Nkrumah University of Science and Technology (KNUST), Kumasi. You are therefore assured of total confidentiality of information that you will make available for the success of the study as every information provided will be used solely for academic purpose and nothing more. Please, where responses have been provided, **tick** in the appropriate box (es), where your opinion is sought for; **provide** as much information as you can in the spaces provided. Thank you for your anticipated co-operation and support.*

Position of Respondent.....

Sex: Male/Female.....Educational Level.....

How long have you be in this position?.....

---

1. What is your mandate in the area of planning for delivery of water and sanitation facilities in the districts?

.....  
.....  
.....

2. What roles do you play in facilitating the preparation of water and sanitation plans by the District Assemblies?

i.....  
ii.....  
iii.....  
iv.....

3. What type of plans do the District Assemblies prepare for provision of water and sanitation facilities?

- ☐ Annual Water and Sanitation Action Plans
- ☐ District Water and Sanitation Plans (DWSPs)
- ☐ District Medium Term Development Plans (DMTDPs) 2-5 year plans.
- ☐ Long Term/Strategic Plans (6 years or more)
- ☐ Others (Specify).....

4. Which organisation/body initiates the periodic preparations of the DWSPs at the District levels?.....

5. Are the District Assemblies expected to carry out mid-term review of these plans? Yes/No. 6. If yes, do they do it? Yes/No

7. If no, why?.....

8. What has been the districts' response to the preparation of water and sanitation plans? (Tick).

☐ Good - They prepare and submit required plans on time.

☐ Fair – They prepare but do not submit plans within required time.

☐ Poor – About 50% of them do not prepare and submit the required plans.

9. Are beneficiary communities involved in the preparation of water and sanitation plans by the District Assemblies? Yes/No.

10. If yes, please indicate (tick) the planning stages at which the communities are involved.

☐ Data collection

☐ Stakeholder workshops

☐ Programme phasing, planning and budgeting ☐

Review, approval and adoption of plan

☐ Others (specify).....

11. What challenges do the DAs face in the preparation of District Water and Sanitation Plans?

i. ....

ii. ....

iii. ....

12. Are beneficiary communities involved in the implementation of water and sanitation plans by the District Assemblies? Yes/No.

13. If yes, please indicate (tick) the stages at which they are involved. ☐ Participation in monthly stakeholders' meetings

☐ Participation in monitoring project implementation

☐ Certification for payments of work done

☐ Operation and maintenance of water and sanitation facilities

☐ Others (specify).....

14. Are the District Assemblies able to fully implement their water and sanitation plans?  
Yes/No.

15. If no, how will you rank the performance of the DAs in the implementation of their DWSPs (tick only one)?

Above 50%	Between 30-50	Below 30%

16. What are the main challenges in the implementation of water and sanitation plans by the districts?

- i. ....
- ii. ....
- iii. ....

17. Do the DAs implement water and sanitation projects outside the DWSPs? Yes/No.

18. If yes, why?

- i. ....
- ii. ....
- iii. ....

19. Do DAs prepare monitoring and evaluation plans for the implementation of the DWSPs?  
Yes/No.

20. If yes, do they monitor implementation DWSPs? Yes/No

21. Do they evaluate water and sanitation projects implemented under the DWSPs? Yes/No

22. What do you think should be done to enhance decentralised planning for water and sanitation delivery at the district level?

- i. ....
- ii. ....
- iii. ....
- iv. ....

23. What do you think should be done to enhance implementation of water and sanitation plans within the districts?

- i. ....
- ii. ....
- iii. ....
- iv. ....

**Thank you for your precious time.**

**APPENDIX 2 QUESTIONNAIRE FOR DISTRICT/MUNICIPAL ASSEMBLIES**



**Introduction:** The study is purely an academic one meant to partially fulfil an award of MSc Degree in Development Policy and Planning (DEPP) at the Kwame Nkrumah University of Science and Technology (KNUST), Kumasi. You are therefore assured of total confidentiality of information that you will make available for the success of the study as every information provided will be used solely for academic purpose and nothing more. Please, where responses have been provided, **tick** in the appropriate box (es), where your opinion is sought for; **provide** as much information as you can in the spaces provided. Thank you for your anticipated co-operation and support.

Name of District/Municipal Assembly.....

Position of Respondent.....

Sex: Male/Female.....Educational Level.....

How long have you be in this position?.....

1. What type of plans do you prepare for water and sanitation delivery?

- ☐ Annual Water and Sanitation Action Plans
- ☐ District Water and Sanitation Plans (DWSPs)
- ☐ District Medium Term Development Plans (DMTDPs) 2-5 year plans.
- ☒ Long Term/Strategic Plans (6 years or more)
- ☐ Others (Specify).....

2. Who promote the preparation of these Plans?.....

3. Who finances the preparation of these plans?.....

4. Do you think the Assemblies can initiate and finance the preparation of these plans on their own? Yes/No.

5. Are beneficiary communities involved in the preparation of water and sanitation plans? Yes/No.

6. If yes, please indicate (tick) the planning stages at which the communities are involved.

- ☐ Data collection
- ☐ Participation in stakeholder workshops
- ☐ Programme phasing, planning and budgeting
- ☐ Review, approval and adoption of plan
- ☐ Others (Specify).....

7. What challenges do you face in the preparation of District Water and Sanitation Plans?

- i. ....
- ii. ....
- iii. ....
- iv. ....

8. Are you required to undertake mid-term review of your DWSPs? Yes/No.
9. If yes, have you carried out mid-term review of your DWSPs before? Yes/No.
10. If no, why?.....

11. Are beneficiary communities involved in the implementation of water and sanitation plans? Yes/No.

12. If yes, please indicate (tick) the stages at which they are involved. ☐ Participation in monthly stakeholders' meetings

☐ Participation in monitoring project implementation

☐ Certification for payments of work done

☐ Operation and maintenance of water and sanitation facilities

☐ Others (specify).....

13. What role(s) do the Town/Area Councils play in the in the implementation of water and sanitation plans?

14. Are you able to fully implement your water and sanitation plans? Yes/No

15. If no, how will you rank your performance in the implementation of the DWSPs (tick only one)?

Above 50%	Between 30-50	Below 30%

16. What challenges do you encounter in the implementation of the District Water and Sanitation Plans?

i. ....

ii. ....

iii. ....

iv. ....

17. Under what circumstances do you implement water and sanitation projects outside the DWSPs?.....

18. Does your DWSP have a monitoring and evaluation plan? Yes/No.

19. If yes, do you monitor implementation DWSPs? Yes/No
20. If no, how do you ensure effective monitoring of the plan?.....  
 .....  
 .....
21. Do you evaluate water and sanitation projects implemented under the DWSPs? Yes/No
22. If no why?.....  
 .....  
 .....
23. What do you think should be done to enhance community involvement in water and sanitation planning within the district/municipality?
- i. ....  
 ii. ....  
 iii. ....  
 iv. ....
24. What do you think should be done to enhance implementation of water and sanitation plans within the district/municipality?
- i. ....  
 ii. ....  
 iii. ....  
 iv. ....

**Thank you for your precious time.**

### **APPENDIX 3 QUESTIONNAIRE FOR AREA COUNCILS/OPINION LEADERS**

#### **WITHIN THE DISTRICT/MUNICIPAL ASSEMBLIES**

**Introduction:** *The study is purely an academic one meant to partially fulfil an award of MSc Degree in Development Policy and Planning (DEPP) at the Kwame Nkrumah University of Science and Technology (KNUST), Kumasi. You are therefore assured of total confidentiality of information that you will make available for the success of the study as every information provided will be used solely for academic purpose and nothing more. Please, where responses have been provided, **tick** in the appropriate box (es), where your opinion is sought for; **provide** as much information as you can in the spaces provided. Thank you for your anticipated co-operation and support.*

Position of Respondent.....

Sex: Male/Female.....

Educational Level.....



Name of Area Council.....

1. How does your community access water and sanitation facilities from the District/Municipal Assemblies?

- ☐ We write letters to the District Assembly for support
- ☐ We inform the Assembly member/chief who in turn informs the Assembly
- ☐ The DCE/MCE are informed during their official interactions with the communities
- ☐ Our needs are captured during preparation of the DMTDPs/DWSPs
- ☐ Others (specify).....

2. Does the district have water and sanitation plan? Yes/No.

3. If yes, when was it prepared?.....

4. Were you involved in the plan preparation? Yes/No.

5. If yes, what specifically did you do in the preparation of the district/municipal water and sanitation plan?

- ☐ Data collection
- ☐ Participation in stakeholder workshops
- ☐ Programme phasing, planning and budgeting
- ☐ Review, approval and adoption of plan
- ☐ Others (Specify).....

6. Were other groups or persons from your communities involved in the preparation of district/municipal water and sanitation plan? Yes/No.

7. If yes, specify them.....

8. Are you involved in the implementation of the water and sanitation facilities in your community? Yes/No.

9. If yes, specify (tick) what you do during implementation of these facilities in your communities?

- ☐ Participation in monthly stakeholders' meetings
- ☐ Participation in monitoring project implementation
- ☐ Certification for payments of work done
- ☐ Operation and maintenance of water and sanitation facilities

☐ Others (specify).....

10. Have you ever participated in mid-term review of DWSPs before? Yes/No.

11. If yes, how many times?.....

12. Are you satisfied with your level of participation in the delivery of water and sanitation facilities within your community? Yes/No.

13. If no, what do you propose should be done to increase your participation in the delivery of water and sanitation facilities?.....

.....  
.....  
.....  
.....  
.....

14. How will you rank performance of the DAs in the implementation of the DWSPs (tick only one)?

Above 50%	Between 30-50	Below 30%

15. Do the DAs prepare monitoring and evaluation plans for the implementation of the DWSPs? Yes/No.

16. If yes, do they monitor implementation of water and sanitation projects? Yes/No

17. Do they involve you in the monitoring exercises? Yes/No

18. Do the DAs evaluate implementation of water and sanitation projects implemented in the communities? Yes/No.

19. If yes, have you ever participated in the evaluation exercise? Yes/No

**Thank you for your precious time.**

#### **APPENDIX 4**

### **QUESTIONNAIRE FOR NON-GOVERNMENTAL ORGANISATIONS (NGOs) INVOLVED IN THE PROVISION OF WATER AND SANITATION FACILITIES IN THE DISTRICTS**

**Introduction:** The study is purely an academic one meant to partially fulfil an award of MSc Degree in Development Policy and Planning (DEPP) at the Kwame Nkrumah University of Science and Technology (KNUST), Kumasi. You are therefore assured of total confidentiality of information that you will make available for the success of the study as every information provided will be used solely for academic purpose and nothing more. Please, where responses have been provided, **tick** in the appropriate box (es), where your opinion is sought for; **provide** as much information as you can in the spaces provided. Thank you for your anticipated co-operation and support.

Position of Respondent.....  
Sex: Male/Female.....Educational Level.....  
Name of NGO.....

---

1. How long have you been in the water and sanitation business?.....
2. Has your NGO any water and sanitation plan for the District/Municipality? Yes/No.
3. Has the District/Municipal Assembly a water and sanitation plan? Yes/No.
4. If yes to question 2 above, what is the relationship of that plan with the District/Municipal DWSP?.....  
.....
5. If yes to question 3 above, when was/were the plan/plans prepared? (State year).....
6. Were you involved in the preparation of the plan/plans? Yes/No.
7. If yes, how were you involved in the plan preparation?
  - ☐ Data collection
  - ☐ Participation in stakeholder workshops
  - ☐ Programme phasing, planning and budgeting
  - ☐ Review, approval and adoption of plan
  - ☐ Others (specify).....
8. What type of plans were you involved in their preparation?
  - ☐ Annual Water and Sanitation Action Plans
  - ☐ District Water and Sanitation Plans (DWSPs)
  - ☐ District Medium Term Development Plans (DMTDPs) 2-5 year plans.
  - ☐ Long Term/Strategic Plans (6 years or more)
  - ☐ Others (Specify).....
9. Were the communities involved in the preparation of the plan (s)? Yes/No.
10. If yes, how were they involved?
  - ☐ Data collection
  - ☐ Participation in stakeholder workshops
  - ☐ Programme phasing, planning and budgeting
  - ☐ Review, approval and adoption of plan



☐ Others (specify).....

11. Are the communities involved in the implementation of water and sanitation facilities in their communities? Yes/No.

12. If yes, how are/were they involved?

☐ Participation in monthly stakeholders' meetings

☐ Participation in monitoring project implementation

☐ Certification for payments of work done

☐ Operation and maintenance of water and sanitation facilities

13. Has your organisation participated in mid-term review of DWSPs before? Yes/No.

14. If yes, how many times?.....

15. How will you rank the performance of the DAs in the implementation of the DWSPs (tick only one)?

Above 50%	Between 30-50	Below 30%

16. What are the main challenges in the preparation of water and sanitation plans in the district/municipality?

i. ....

ii. ....

iii. ....

17. What are the main challenges in the implementation of water and sanitation plans in the district/municipality?

i. ....

ii. ....

iii. ....

18. Do the DAs prepare monitoring and evaluation plans for the implementation of the DWSPs? Yes/No.

19. If yes, do they monitor implementation of water and sanitation projects? Yes/No

20. Do they involve you in the monitoring exercises? Yes/No

21. Do the DAs evaluate implementation of water and sanitation projects implemented in the communities? Yes/No.

23. If yes, have you ever participated in the evaluation exercise? Yes/No

24. What do you think should be done to enhance community involvement in water and sanitation planning within the district/municipality?

- i. ....
  - ii. ....
  - iii. ....
25. What do you think should be done to enhance implementation of water and sanitation plans within the district/municipality?
- i. ....
  - ii. ....
  - iii. ....

**Thank you for your precious time.**



**APPENDIX 5 FOCUS GROUP DISCUSSIONS WITH WATSANs, WSDBs,  
WOMEN**

**GROUPS, AND OTHER IDENTIFIABLE COMMUNITY BASED GROUPS**

***Introduction:** The study is purely an academic one meant to partially fulfil an award of MSc Degree in Development Policy and Planning (DEPP) at the Kwame Nkrumah University of Science and Technology (KNUST), Kumasi. You are therefore assured of total confidentiality of information that you will make available for the success of the study as every information provided will be used solely for academic purpose and nothing more. Please, where responses have been provided, **tick** in the appropriate box (es), where your opinion is sought for; **provide** as much information as you can in the spaces provided. Thank you for your anticipated co-operation and support.*

Name of Group.....

Name of Community.....

1. Find out how the community access water and sanitation facilities from the District/Municipal Assemblies?

.....

.....

.....

.....

2. Community/Group participation in the preparation of the district water and sanitation plan.

.....

.....

.....

.....

3. Involvement of other groups in the preparation of district/municipal water and sanitation plan.

.....

.....

.....

4. Community/Group involvement in the implementation of the water and sanitation facilities in the communities.

.....

.....

.....

5. Community/Group participation in the review of DWSPs.



.....

.....

.....

6. Community/Group's level of satisfaction of their involvement in the preparation and implementation of water and sanitation plans.

.....

.....

.....

7. Assess community/group's opinion on performance of the DAs in the implementation of the DWSPs (tick only one)?

Above 50%	Between 30-50	Below 30%

8. Assess community/group's level of participation in monitoring of the implementation of water and sanitation projects in the communities.....

.....

.....

9. Assess community/group's level of participation in evaluation implemented water and sanitation projects in the communities.....

.....

.....

10. Community/Group's proposal for their increased participation in the planning and delivery of water and sanitation facilities.

.....

.....

.....

.....

**Thank you for your precious time.**