

COMMUNITY PARTICIPATION IN RURAL WATER AND SANITATION DELIVERY IN  
THE NKORANZA NORTH DISTRICT

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**DEPARTMENT OF PLANNING**

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BY

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## DECLARATION

I hereby declare that this submission is my own work towards the Master of Science and that, to the best of my knowledge it contains no materials previously published by another person nor material which has been presented for the award of any degree of the University, except where due acknowledgement has been made in the text.

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## ABSTRACT

Water is life, for people and for the planet and sanitation is dignity. Target 10 of the Millennium Development Goal 7 specifically calls for reducing by half the proportion of people without access to safe drinking water and improved sanitation by 2015. For Ghana to achieve this target the available water and sanitation facilities needs to be maintained and sustained so that new ones can be added. To maintain and sustain water and sanitation facilities, direct beneficiaries and other stakeholders have to be involved actively in the planning, implementation, monitoring and evaluation.

This called for a study to ascertain the level of community participation in water and sanitation delivery. The case study approach was adopted and Nkoranza North District offered the study an opportunity to do an in-depth study. This study therefore employed preliminary investigations, interviews, and focus group discussions to unravel the extent to which communities were involved in the planning, implementation, monitoring and evaluation of water and sanitation delivery.

To unravel the situation and achieve the objectives of the study, certain questions have to be responded to. The study sought to answer the following questions:

- i. What informs the provision of water and sanitation facilities to rural communities? ii.
- What are the processes and modes of community participation in the service delivery? iii.
- What factors influence community participation in rural water and sanitation delivery?
- iv. What is the capacity of assemblies in service delivery?
- v. What could be done to enhance community participation in basic infrastructure delivery?

The study revealed that the DA partially involved the beneficiary communities and other stakeholders in the planning processes, implementation and monitoring of preparation and implementation of the DWSP. However, the involvement of the stakeholders took the form of non-participation and tokenism. To improve on the situation, the DCE must be made to sign performance contract for preparation and implementation of development plans. Also, community involvement in project planning, implementation, and monitoring has to be expanded and taken the form of citizens' power.

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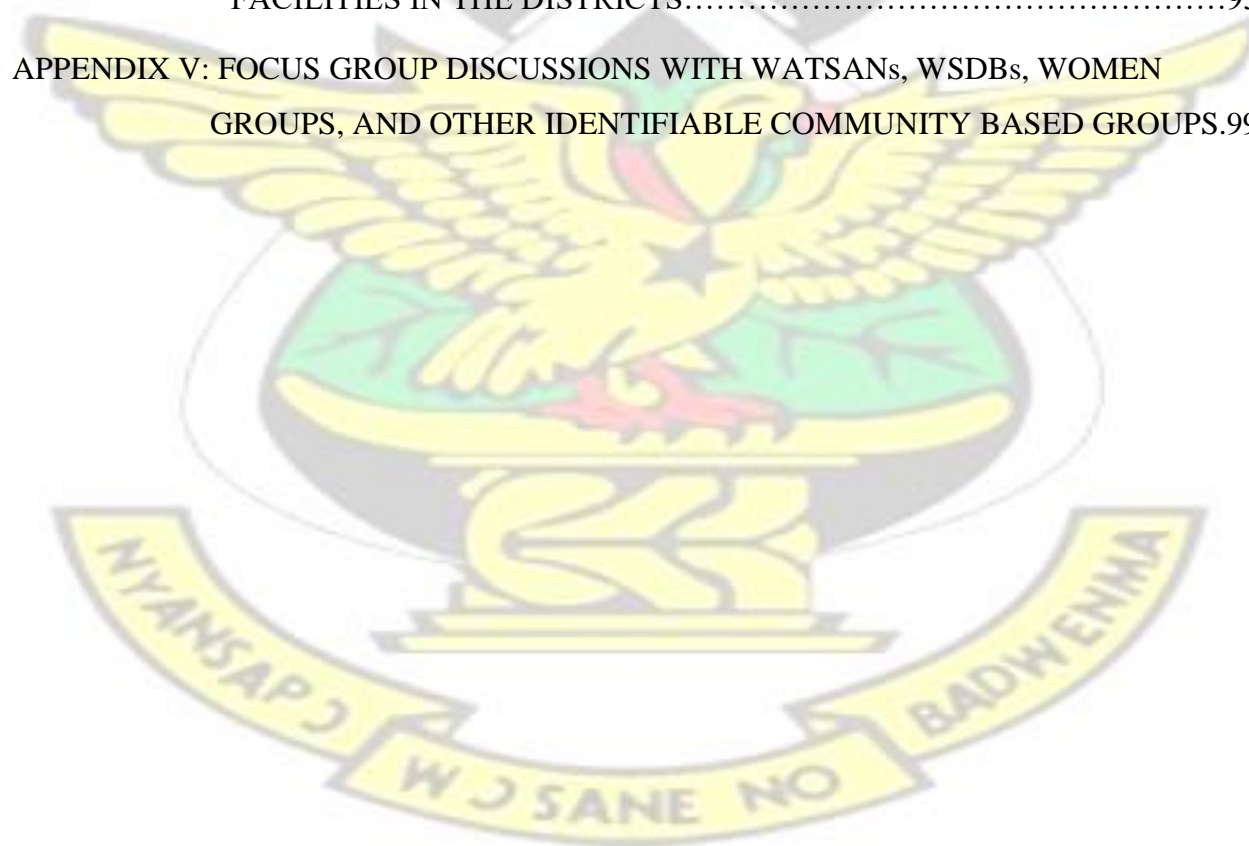
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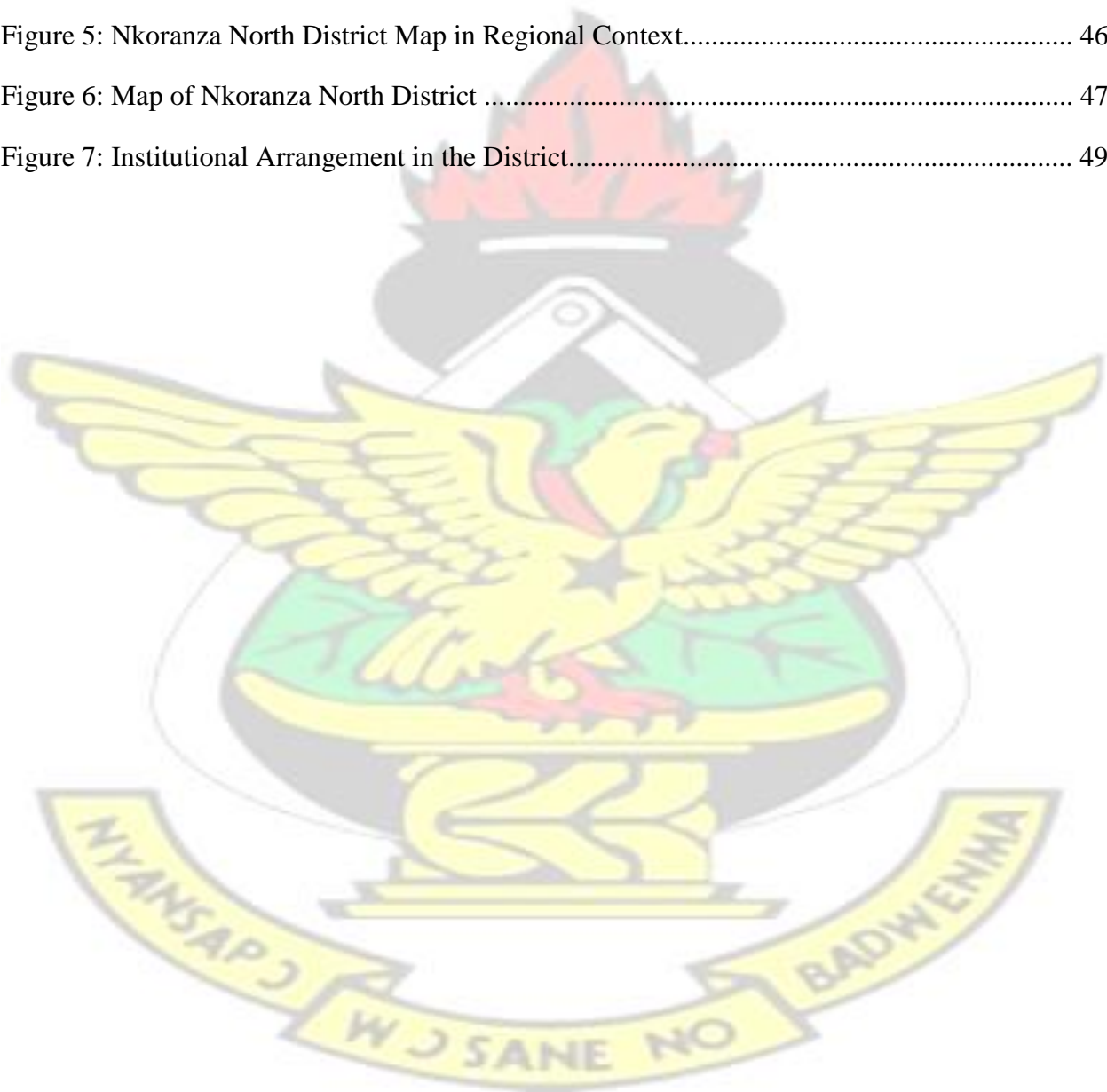
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## LIST OF ACRONYMS

AMCOW	– African Minister’s Council on Water
APR	– Annual Progress Report
CAA	– Community Action Agencies
COM	– Community Ownership and Management
CWSD	– Community Water and Sanitation Division
CWSA	– Community Water and Sanitation Agency
DA	– District Assembly
DACF	– District Assembly Common Fund
DESSAP	– District Environmental Sanitation and Strategic Action Plan
DPCU	– District Planning Co-ordinating Unit
DWST	– District Water and Sanitation Team
DWSP	– District Water and Sanitation Plan
EHSD	– Environmental Health and Sanitation Division
GOG	– Government of Ghana
GWSC	– Ghana Water and Sewerage Cooperation
GSGDA	– Ghana Shared Growth and Development Agenda
IDA	– International Development Agency
MDG	– Millennium Development Goals
M&E	– Monitoring and Evaluation
MMDAs	– Metropolitan, Municipal and District Assemblies
MIHOSO	– Mission of Hope for Society Foundation
MLGRD	– Ministry of Local Government and Rural Development
MTDP	– Medium Term Development Plan
MWRWH	– Ministry of Water Resources Works and Housing
NCWSP	– National Community Water & Sanitation Program
NDPC	– National Development Planning Commission
NGO	– Non-Governmental Organization
O&M	– Operation and Maintenance
OMB	– Office of Management and Budget
SWAp	– Sector Wide Approach
UNICEF	– United Nations International Children’s Emergency Fund



UN	– United Nations
WHO	– World Health Organization
WASH	– Water and Sanitation Hygiene
WATSAN	– Water and Sanitation
WRC	– Water Resource Commission
WSMT	– Water and Sanitation Management Team



## **CHAPTER ONE**

### **GENERAL BACKGROUND**

#### **1.1 Introduction**

Water is life, for people and for the planet, and sanitation is dignity. Unclean water and a lack of basic sanitation are undermining efforts to end extreme poverty and disease in the world's poorest countries (Conradin, 2007). Water and sanitation are vital to the wellbeing of humankind, an essential input to socio-economic development, and a basic requirement for the healthy functioning of all the world's ecosystems. Potable water for domestic purposes is essential for living and human health. Indeed, the combination of safe drinking water, adequate sanitation and hygienic practices is recognized as a precondition for human health and for overall reductions in morbidity and mortality rates, especially among children (Lenton and Wright, 2004).

The Millennium Declaration and the Millennium Development Goals (MDG), that have raised an international commitment to reduce poverty over the next decade, also highlight the aspects of safe drinking water supply and improved sanitation. The Target 10 of MDG 7 specifically calls for reducing by half the proportion of people without access to safe drinking water and improved sanitation by 2015.

According to a 2012 report released by the World Health Organization (WHO) and the United Nations Children's Fund (UNICEF), roughly 780 million people around the world lack access to clean drinking water and an estimated 2.5 billion people (roughly 40% of the world's population) are without access to safe sanitation facilities (Tiaji, 2012). The report indicated that in 1990, more than 76 per cent of people living in urban areas had access to improved sanitation, while only 28 per cent are in rural areas. Again, the report expressed that by 2012, 80 per cent of urban dwellers and 47 per cent of rural ones had access to better sanitation. Despite this progress, sharp geographic, socio-cultural, and economic inequalities in access to improved drinking water and sanitation facilities still persist around the world especially the third world.

According to Lenton and Wright, 2004, millions of people die every year from diseases associated with inadequate water supply, sanitation and hygiene and most of them being children. They stressed that every day, some 6,000 children in developing and emerging countries die for want of

clean water and sanitation. Water scarcity, poor water quality, and inadequate sanitation negatively impact food security, livelihood choices, and educational opportunities for poor families across the developing world. Yet far more people suffer the ill effects of poor water and sanitation services than are affected by headline-grabbing topics like war, terrorism, and weapons of mass destruction, those issues capture the public imagination – as well as public resources – in a way that water and sanitation issues do not.

In sub-Saharan Africa, it is a significant challenge to reduce the number of people without access to safe drinking water and basic sanitation. The region is lagging behind the rest of the world with respect to achieving the Millennium Development Goals (MDGs) on water supply and sanitation, which aim to halve the proportion of people without access to safe drinking water and basic sanitation by 2015 (Mutagamba, 2006). While some impressive progress towards meeting the MDGs is noted, the continent, as a whole, still requires more focused efforts towards meeting the global targets. According to Rout, 2010, to meet the MDG target on water and sanitation, 1.1 billion people need to gain access to safe drinking water from 2005 to 2015, and 1.6 billion need to have access to improved sources of sanitation.

Africa has the lowest total water supply coverage of any region in the world (Rout, 2010). The 2012 UNICEF/WHO Joint Monitoring Programme report puts Africa's rural water and sanitation coverage at the end of 2010 as 54 percent for water supply and 31 percent for sanitation. The report also reveals that about 300 million people in Africa do not have access to safe water and about 313 million have no access to sanitation. This situation is the principal cause of diseases and almost all Africans suffer from one of the six main water related diseases including infant diarrhea, intestinal worms, cholera and guinea worm (World Water Forum, 2000). The resulting health costs include expenditure on disease control and avoidable treatment services. The vulnerable groups (mainly women and children) are mostly the worse off as they travel long distances to fetch water which is often unhygienic, spending excessive amounts of time and energy at the expense of family activities, education and productive work. This situation contributes to perpetuate poverty in Africa, particularly in the rural areas.

From 1965-1985 not much attention was paid to rural water supply in Ghana (Rout, 2010). This led to the creation of rural water department within the then Ghana Water and Sanitation



Committee (GWSC) in 1986 to focus more attention on the provision of water and sanitation to rural people. This became imperative due to high, chronic and pervasive incidence of water and sanitation related illness which has adverse impacts on the health and quality of life of people living in the country.

The UN General Assembly declared the period 1981-1990 as the International Drinking Water and Sanitation Decade and in line with this, the Government of Ghana initiated review of its policies on water and sanitation delivery. The policy review led to the launch of the National Community Water and Sanitation Program (NCWSP) and the creation of the Community water and Sanitation Division (CWSD) within GWSC in 1994. The NCWSP was established to promote decentralized planning, implementation and management of water and sanitation services by beneficiary communities and District Assemblies. The Community Water and Sanitation Agency (CWSA) was established as an autonomous legal entity by an Act of Parliament (Act 564) in December 1998 to facilitate the provision of safe drinking water and related sanitation and hygiene services to rural communities and small towns in Ghana.

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. 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 (CWSA, 2008). 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.

The operations of the NCWSP and CWSA are to be in line with the decentralization policy launched in 1988. The policy was designed among other things to facilitate the interaction of stakeholders at the district level to make for effective implementation of development programmes. Section 2 sub-section 1 (a) of the National Development Planning (System) Act,



1994, p.1 (Act 480) states that “A District Planning Authority established under the Local Government Act, 1993 (Act 462), shall initiate and prepare district development plans and settlement structure plans in the manner prescribed by the Commission and ensure that the plans are prepared with full participation of the local community”. Indeed, the new Local Government System recognizes that development is a shared responsibility among central government, local government, parastatals, NGOs, and the people – all of whom must be closely linked.

In turn, successful processes of community development involve not just funding, but attracting new employers, and infrastructure. Passion, enthusiasm, commitment, inventiveness and cooperation collectively drive self-directed development.

## **1.2 Problem Statement**

According to Lane (2004), 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 (CWSA, 2008).

The Community Water and Sanitation Agency (CWSA) set a target of 76 percent drinking water coverage for rural and small town dwellers by 2015 but the Agency achieved 58.97 percent as at the end of 2009 (MWRWH, 2009). The Ghana Water Company Limited, the main national utility in charge of supply of potable water to urban dwellers in Ghana, set a target of achieving 85 percent coverage by 2015 but achieved 59 percent as at the end of 2009. Based on this information, the overall national coverage as far as the two main sector agencies in charge of drinking water supply are concerned is estimated at 58.98 percent as at the end of 2009 as against a national target of

79.8 percent (MWRWH, 2009). This means that the 58.98percent coverage needs to be sustained while the remaining 20.82 percent are catered for by 2015.

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).

Lack of community participation leads to poor operation and maintenance of water and sanitation projects (Naiga, Penker and Hogg, 2012). As noted by Naiga, Penker and Hogg (2012), this is mainly because of inappropriate technology, incorrect location of supply systems, lack of affordability, and lack of social acceptability because of „poor“ or „wrong“ taste of new water supply or the presence of minerals. In some cases an inadequate survey lead to siting systems where mineral content has been detrimental to tooth development in children. However, it is evident that communities could control and manage their systems and make them work efficiently. The proposition is for communities to take greater responsibility in the financial outlay for the development of the projects and recover much of the cost of establishment and maintenance of the supply systems.

According to Botchie (2000), the United Nations International Children’s Emergency Fund (UNICEF), recommended that communities should be made to pay counterpart funding of between 5 and 10 percent of the capital cost of facilities in order to benefit from a water project. Again, Botchie (2000) expressed that the counterpart funding takes the form of cash and kind, that is, communities provide labour for the construction of hand-dug wells, etc. UNICEF’s perspective involves enhancing community participation in needs assessment, planning, implementation, management, and monitoring and places emphasis on establishing affordable and appropriate technology, particularly hand-dug wells, under standardized and competent technical supervision.

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 percent achieved at the end of 2003 to 35.4 percent in 2015 (CWSA, 2005).

According to Arapto and Adisenu (2006), reluctance of communities to effectively participate in water and sanitation services in Ghana is as a result of the perception that it is the responsibility of government to provide water and sanitation facilities for the people and the reading of politics into development projects. Most communities perceive the services provided as being offered by the government and under no circumstances should they offer free services to the government. Besides, when somebody at an opposing political divide is leading a project, others on the other side of the divide fails to participate for fear that their opponent might score political points.

Also, Water and Sanitation facilities are delivered mainly to communities through projects sponsored by the External Support Agencies (ESAs) such as DANIDA, KFW, CIDA, AFD, EU, IDA-World Bank, AfD Bank among others with counterpart funding from the Government of Ghana (GoG) usually through a financing agreement between the donor and the GoG. In view of this, the politicians and technocrats normally impose these facilities on the communities instead of using the planning processes to deliver the facility. However, the operations and maintenance (O&M) cost of the facilities is supposed to be paid fully by the beneficiary communities through the Community Ownership and Management (COM) concept and this normally raises eye brows in terms of financial mobilizations to keep this task especially in rural poor communities.

Development projects are sometimes not put to use due to the lack of participation of direct beneficiaries. For instance, in the 2010 Annual Report of the Nkoranza North District, it was realized that two markets, Kranka and Sikaa, are not in use due to the lack of involvement of the market women in the processes of providing the infrastructure. The market women are just in front of the market selling which clearly shows their low involvement in the planning processes. Again, according to the first quarter M&E report (2011) of Tain District, one (1) borehole located at Degedege is not being used by the community due to the fact that the borehole was sited at an old



cemetery. It was realized from the report that the community did not play active role in the planning and siting of the project and this has resulted in the use of river and stream water for their cooking and other household chores.

Lack of effective functioning of sub-district structures has created a situation where local needs and priorities are determined for them, a practice, which undermines community participation. Nkrumah (2002) noted that several NGOs operating in the rural areas have similar goals to those of the local structures, as far as the development of economic and social infrastructure is concerned. However, the NGOs are well endowed with financial and trained human resource and being undemocratic institutions might be self-serving and impose their vision of development on the people. Furthermore, he noted that several NGOs go to the rural areas with their own agenda irrespective of what the community and sub-district structures may see as their priority. Under such circumstances it becomes difficult to elicit their support and participation for programmes designed for implementation in their communities. This has necessitated that a research be conducted to ascertain the situation as projects are normally not sustainable when there is low participation of direct beneficiaries especially water and sanitation facilities.

Conceptually, there is low involvement of communities in the planning and implementation of development plans especially water and sanitation plans and this makes the sustainability of such facilities questionable. When this happens, projects fail in its implementation and sustainability.

From the perspectives established, the study identified and analyzed the level of community participation, challenges faced in service delivery as well as sustainability of water and sanitation facilities, and the institutional capacity to provide such services in the Nkoranza North District.

### **1.3 Research Questions**

The general question to be answered is that, do communities participate in the planning, implementation and sustainability of water and sanitation service delivery? The study seeks to find answers to the following specific questions:

- i. What informs the provision of water and sanitation facilities to rural communities?
- ii. What are the processes and modes of community participation in the delivery of the services?
- iii. What factors influence community participation in rural water and sanitation delivery?



- iv. What is the capacity of assemblies in service delivery?
- v. What could be done to enhance community participation in basic infrastructure delivery?

#### **1.4 Objectives of the Study**

The main objective of the study is to assess community participation in water and sanitation delivery. Specifically, the following objectives are expected to be achieved.

- i. To identify and analyze the processes of water and sanitation delivery.
- ii. To examine the processes and modes of community participation in rural water and sanitation delivery.
- iii. To examine factors militating against community participation in water and sanitation delivery.
- iv. To assess the institutional capacity of the Assembly in the delivery of water and sanitation services.
- v. To make recommendations towards improving community participation in the delivery of basic infrastructure.

#### **1.5 Scope of the Study**

Nkoranza North District, the study area is one of the twenty-seven (27) administrative districts in the Brong Ahafo Region. The District was carved from the then Nkoranza District and shares boundary with Techiman Municipal to the west, Nkoranza Municipal to the south, Kintampo South District to the north and Atebubu Amantin District to the east. The District was created in 2008 so the study will span from 2008 to 2012.

Conceptually, the study seeks to assess the mode, processes and nature of community participation in water and sanitation delivery. The processes used in providing water and sanitation services as well as prospects and challenges of community involvement in service delivery in rural areas. Also, the study will examine the institutional capacity in delivering such services.

#### **1.6 Relevance of the Study**

Water and sanitation are basic necessities of life. In view of this, all governments from colonial to post independence developed plans and policies to increase water and sanitation coverage in

Ghana. Thus, from Guggisberg's plan (1919 – 1930) to the Ghana Shared Growth and Development Agenda (2010 – 2013) water and sanitation have been key issues in all these documents. However, due to the low participation of the community in the planning and implementation of these facilities, they were not managed and for that matter most of them are not functioning especially boreholes.

The study seeks to bring out how the communities are involved in the planning, implementation and sustainability of the water and sanitation delivered 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. This will provide information that would contribute to an understanding of why it has been difficult to involve the citizens in order to achieve sustainable water and sanitation delivery 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, Water and Sanitation Committees (WATSANs), Water and Sanitation Management Team (WSMT) 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, academia, and water and sanitation consultants among others.

## **1.7 Organization of the Study**

The study has been organized in five chapters. Chapter one has the general introduction to the special study. It clearly spells out the author's preoccupations to undertake this study. This chapter gives foundation for readers to understand and appreciate the research.

Chapter two focused on the theoretical framework for data analysis which was identified through literature review. The chapter reviewed existing processes of delivering water and sanitation facilities in rural areas and also shared the good practices as well as otherwise. This gives basic understanding to readers concerning certain concepts in the study.

The third chapter detailed out the methodology for undertaking the research. This chapter showed sample size chosen for the study, forms of data collection and analysis, processes followed to pen the technical report and so on. This gives a sequential framework to enhance logical presentations of facts from the research.

The hub of this study is captured in the fourth chapter which deals with presentation and analysis of data. This chapter unravels the idea behind the special study. It provides readers the answers to the research questions which warranted the carrying of the study. Finally, chapter five focused on findings emanated from the study, recommendations to inform practice and conclusion.

## **1.8 Summary**

The introductory chapter established the facts in terms of access to water and sanitation as well as achieving MDG target 7C which is to halve the proportion of people without sustainable access to safe drinking water and basic sanitation by 2015. It also elaborated on how some projects were abandoned in Nkoranza North and Tain Districts as a result of low involvement of the stakeholders. Again, the research questions that have to be addressed in order to achieve the set objectives are also emphasized. This will enable the research provide information that would contribute to an understanding of the need to actively involve stakeholders in order to achieve sustainable water and sanitation delivery in rural Ghana.

The second chapter of the study seeks to do a cursory review of theories and discourses that surround the subject matter and their relevance for this research work. This is necessary for situating the whole research within the international discourse on community participation in rural water and sanitation delivery.



## **CHAPTER TWO LITERATURE REVIEW**

### **2.1 Introduction**

This Chapter seeks to discuss issues relating to community participation within the intellectual discourse of rural water and sanitation delivery. Also, issues on stakeholder participation, processes and modes of participation as well as sustainability of the infrastructure are thoroughly discussed under this chapter.

### **2.2 Definition of Concepts**

#### **2.2.1 Rural Water Supply**

Available literature reveals that there is no clear definition for rural areas as countries define it based on the circumstances or situation they are dealing with. 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. According to Mindy and Bruce, 2005, the United States' Office of Management and the Budget (OMB) defines rural community as census tracts that do not have significant commuting ties of 2,500 or more. According to the Community Water Sanitation Agency's Act (Act 564), 1998, 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. The working definition of Rural Water Supply is the supply of hygienic water facilities to a population of less than 5,000 people.

Adequate and safe water supply lies at the heart of development whether it is urban or rural. Water supply and sanitation development of any nation are continuing long-term process which requires careful planning and implementation geared towards achieving improved conditions of life (Babalola, 1990, 1997). More recently, greater attention has been paid to the broader livelihood benefits of rural water supply, looking beyond direct links between improved water supplies and public health (UNICEF, 1999; Nicol, 2000; Calow et al., 2002; Moriarty and Butterworth, 2003).

There are still at least 1.1 billion people across the world that does not have access to safe drinking water (MacDonald, 2003). Many of these people live in rural areas and are among the poorest and most vulnerable to be found anywhere in the world. In sub-Saharan Africa, 300 million people



have no access to safe water supplies – approximately 80% live in rural areas. Therefore, significantly increasing the coverage of rural water supply in Africa is fundamental to achieving many of the internationally agreed Millennium Development Goals (MDGs).

According to Nwankwoala, 2011, rural communities, in the context of the water and sanitation sector in Nigeria, have populations less than 5,000 and usually do not have electricity, pipe water or tarred roads. The standard of water consumption for rural areas in Nigeria is currently 30 L per capita per day and 48 and 44% access to safe water and sanitation (MICS, 1999 in Nwankwoala, 2011). Water supply means the delivery of 30 L per capita per day of safe water within 250 m of the community and serving about 250 to 500 persons per water point; and safe water means water that meets the National Drinking Water Quality for Nigeria.

Uganda has made notable progress in rural water sector coordination and performance, and has increased rural access to improved water sources. Uganda increased water coverage in rural areas from an estimated 39% in 1990 to 64% in 2008, which means 11.9 million rural people gained access to improved water sources and in 2010, access was recorded at 65% (O'Meally, 2011). According to a report published by the Overseas Development Institute in 2011, Uganda has made major strides in improving the quality and capacity of its national and local systems for water service delivery in rural areas. One of the main elements of the sector reform process is strengthening of the institutional framework including long-term capacity building, notably at district level, and adoption of decentralized service modalities and increased rural coordination and consultation (through a sector wide approach (SWAp). O'Meally, 2011 emphasized that increasing access to improved water sources needs to be balanced by an adequate focus on sustainability and equity outcomes. Progress can stall, or be reversed, if insufficient attention is given to the community involvement the delivery, operation and maintenance of water points and to equity considerations.

Access to improved water supply according to UNICEF WHO, (2010) has risen from 56% in 1990, to 82% in 2008 which is above the target of the Millennium Development Goals (MDG). This implies that Ghana will meet or surpass the MDG target of 78%, provided that it keeps up with population growth and ensures that facilities are sustained in 2015. Both conditions however may not be achieved because coverage is declining and the coverage data of 82% are much higher

than coverage figures presented by water providers. Ghana has made significant progress since 1994 in terms of rural water supply coverage which increased to 69% in 2006 as a result of the construction of 17,280 boreholes fitted with hand pumps, 4,236 hand-dug wells mostly fitted with hand pumps and 185 piped schemes (Azeem, 2011). More water and Sanitation investments are needed in both rural/small towns and urban areas particularly in fast growing peri-urban areas. However, it is absolutely necessary to properly operate and maintain the systems and assure the sustainability of the investments.

Water is essential for sustenance of life and determines the overall socio-economic development of any nation. In rural water supply and sanitation, demand for community water supply services are localized demands. Therefore, managerial decisions about levels of service, location of facilities as well as cost sharing should be made locally. The main role of higher-level government agencies should be to establish institutional rules, regulations, and processes that encourage such local decisions (UNDP-World Bank, 1995).

### ***2.2.2 Community Participation***

Community participation as a concept focuses on the idea that involving stakeholders in decision-making about their communities and broader social issues has important social, economic and political benefits (Commins, 2007). In the 1980s and 1990s according to Commins (2007), public sector donors, policymakers, as well as both Northern and Southern NGOs, emphasized the value and potential benefits of participatory approaches. Their interest in participation emerged from a range of concerns and one of the key concerns was the failures in state-led development. The risk with an approach to economic development or service delivery that focuses too much on „community participation“ is that it may idealize the internal coherence and solidarity in communities, and miss the essential tasks of supporting effective, accountable and transparent public institutions.

Community Participation to development have been proliferating in third world countries since 1980`s, and they are now accepted components of projects design among mainstream donor agencies. The advocates and practitioners of the concept proclaim that people`s empowerment, local knowledge and community ownership are indispensable ingredients of project success and

sustainability (Bastian and Bastian, 1996). This implies that planning is a self-defeating 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. The purpose of participatory 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.

“Participation is an approach through which beneficiaries and other stakeholders are able to influence project planning, decision-making, implementation and monitoring phases. On the other hand, participation is considered to be a prerequisite for project ownership, successful implementation and sustainability of the projects in question. Participation does not mean acceptance of all ideas from diverse groups. In participation, there is a need to combine indigenous and intellectual knowledge. However, care must be taken so that intellectual knowledge does not influence that of the indigenous.” (Kasiaka, 2004)

Claud (1998) observes that though community participation is essential in ensuring sustainability of rural development projects, it has its own shortcomings. Participatory planning is time consuming and a complex process. The process takes about six months or more to be understood. As a result, beneficiaries expecting to get quick results get discouraged and, that participatory planning is a threat to experts and the community they are serving. The reason for this tendency being that some development experts tend to feel they know better than the community they are serving.

Again, lack of capacity at the community level is one of the challenges hindering community involvement in the provision and sustenance of water and sanitation facilities in the Nkoranza North District. Communities are often unable to repair and maintain the water sources without having to seek external support from the district. This is particularly due to lack of technical capacity at the community level to handle technical breakdown of the water sources and lack of knowledge on the impacts of land use on water quality.



Participatory 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) recognizing 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 decentralized planning in the country. In preparation and implementation of the water and sanitation delivery, the District Assemblies are required by the Act 462 and the National Development Planning Commission (NDPC) guidelines to actively involve all stakeholders particularly the beneficiary communities in the processes to ensure ownership of Plans and sustainability of projects and programmes implemented thereof.

### ***2.2.3 Sustainable Development***

According to Sustainable Development Commission (2011), Sustainable Development is development that meets the needs of the present, without compromising the ability of future generations to meet their own needs. The concept of sustainable development can be interpreted in many different ways, but at its core is an approach to development that looks to balance different, and often competing, needs against an awareness of the environmental, social and economic limitations we face as a society.

The World Commission on Environment and Development (2005) also describes Sustainable Development as development that meets the needs of the present without compromising the ability of future generations to meet their own needs. It contains two key concepts, that is, the concept of needs, in particular the essential needs of the world's poor, to which overriding priority should be given; and secondly, the idea of limitations imposed by the state of technology and social organization on the environment's ability to meet present and future needs.

The working definition for Sustainable Development is the involvement of all stakeholders especially the rural community in the provision and management of infrastructure such water and sanitation for the benefit of the present without compromising the future generation.



### **2.3 Approaches to Water and Sanitation Delivery**

Despite the over-all progress in water access, different countries used different approaches to provide water facilities. The main approaches to water and sanitation delivery are the supply driven and demand driven approaches. According to a paper presented at the Conference

“Institutions for Collective Action”, in Uganda, it was observed that both approaches (demand-driven and supply-driven approach) limit access to the much needed resource (Naiga, Penker, and Hogg, 2012). It was revealed that under the supply-driven approach people possibly mismanaged state authorities with limited resources while under the demand-driven approach a section of the population living in particular communities might be unable to effectively demand for and operate water infrastructure. On the other hand, details of the two approaches were discussed to ascertain the quality approach in terms of participation and sustainability.

#### ***2.3.1 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 parastatal 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.

#### ***2.3.2 Demand Driven Approach to Water and Sanitation Delivery***

The demand-driven approach in rural safe water supply emphasizes three interrelated values, that is, individual decision-making, personal responsibility, and citizen participation (Asingwire, 1998). The demand-driven reform efforts with implications on rural safe water supply, accessibility and sustainability include a move toward market-oriented provision, decentralization

(reliance on local governments) and communities for service delivery (community participation), user fees and cost recovery and private sector involvement. All these have varying implications for safe water management, equity and sustained access to safe water (Regmi and Fawcett, 2001). Gibbs (1998) also recognizing the difficulties with the reforms, points to two outstanding difficulties; the costly increase in bureaucratic mechanisms to monitor the operation of decentralized management processes, and lack of assurance of equity and access so that the disadvantaged can obtain access.

“Slightly more than a decade ago, in 1999, the World Bank held a seminar-workshop entitled „Improving the Sustainability of Water and Sanitation Projects in the Rural Area“ in Cusco, Peru, for the purpose of identifying best practices in the rural area” (Glenn, 2011, p 6). One of the key issues during this seminar was the understanding of the scope and contribution of a demandbased approach in relation to the sustainability of services. Ten years later, in May 2010, an opportunity was provided to review the lessons learned, the progress achieved, and the new challenges for water and rural sanitation within the framework of the seminar “Challenges of Rural Water and Sanitation after a Decade”, also held in Cusco was also known as “Cusco+10.”

According to Glenn, 2011, the World Bank “Cusco+10” Seminar, 2011, stated that the demand approach of water and sanitation delivery typically involves the participation of the beneficiary community in the system’s planning, execution, and definitive operation, implying that the community participate in key project decisions regarding technology and management systems. This approach to the project cycle helps the sector to develop more appropriate and realistic solutions based on community needs and preferences, thus enhancing the likelihood of achieving sustainable results.

Again, it was realized from the seminar that many countries in the region have adopted the demand-based approach and it continues to be a valid approximation. However, according to the Cusco+10 discussions, the current model could be improved to meet the challenges of the next decade. The following are some of the recommendations made during the seminar.

- i) ***Enhance participation during the project cycle.*** It is necessary to include and/or strengthen the gender perspective, to ensure more representative decisions benefiting the least favored

sectors. Information and communication mechanisms can be strengthened to facilitate participation and as permanent social control mechanisms.

- ii) ***Go beyond the project cycle.*** Develop mechanisms that facilitate the demand-based approach in municipal strategies, including, for example, a global vision of the sustainability of water resources and risk prevention topics. There could also be more training in financial management to facilitate repayments and expansion of coverage.
- iii) ***Promote local partnerships.*** Promote local public private social partnerships in the processes that seek to provide sustainable services, in which the local private sector contributes services at various levels as consultants, executors, facilitators, and materials. The search for local partners should not be exclusively between the public sector and the community. Community participation alone cannot achieve sustainable services; it must have the support of other organized forces at the local level.
- iv) ***Synchronize timeframes.*** Strive for a balance between the time needed to build infrastructure and the time needed to create social conditions that can result in more sustainable services.

#### ***Advantages of Demand Driven Approach***

- i. Facilitates citizen and social involvement.
- ii. Permits attention to the population's actual needs, generating rights and duties.
- iii. Involves the population in decisions and promotes citizenship by building awareness of and empowerment for basic services.
- iv. Increases the probability of sustainable works and optimized resource use.

#### ***Limitations and/or Challenges of Demand Driven Approach***

- i. Requires training and education to develop adequate decision making mechanisms.
- ii. Government and public policies are still not attuned to the communities' needs.
- iii. Political cycles, with turnovers in mayors, interrupt the required training and education processes, making them too slow to overcome the huge gap in coverage.
- iv. Co-financing by various disconnected stakeholders makes it hard to finalize the processes and execute the works.



- v. Sustainability depends on local capacities and limitations.
- vi. Lack of access to an efficient communication mechanism can restrict participation by poor, at-risk populations.

## **2.4 National Water Policy**

The Ghana National Water Policy of June 2007 addresses both integrated water resources management (including water for energy, food security and transportation), and urban and community/small-town water delivery. It also highlights the international legal framework for domestic and trans-boundary utilization of water resources. “The first principle of the policy is the principle of the „fundamental right of all people without discrimination to safe and adequate water to meet basic human needs“; which is further supported by the principle of „meeting the social needs for water as a priority, while recognizing the economic value of water and the goods and services it provides“” (Republic of Ghana, MWRWH, 2007).

The following are some of the policy measures outlined in the nation’s water policy.

- i. Strengthen and ensure sustainability of ongoing community management, operation and maintenance of facilities, in order to safeguard investments already made;
- ii. Strengthen District Assemblies to assume a central role in supporting community management of water and sanitation facilities, and in maintaining the integrity of aquatic ecosystems;
- iii. Increase the stake of and clearly define the role of the formal and informal private sector in the provision of water and sanitation in urban and rural communities and ensure the facilitative role of government agencies;
- iv. Promote partnership between the public and private sectors in the provision of water supply and sanitation services for improved management and to facilitate capital inflows;
- v. Improve efficiency in production and distribution through effective and improved O&M and pricing mechanisms (strategy and structure), taking into account the poor and vulnerable;

These measures provide a strong policy framework for establishing institutional arrangements for the provision of water and sanitation services both in terms of urban and rural areas. The policy seeks to encourage greater private sector participation in small-town water supply. The policy also states that a sector-wide approach (SWAp) will be implemented to ensure effective harmonization



in different approaches that are implemented, and to reduce the overall costs of programme implementation. The SWAp is also seen as a means of strengthening linkages between sector programmes and country-wide planning, budgeting and evaluation processes at all levels.

## **2.5 Stakeholders in Rural Water and Sanitation Delivery**

Stakeholders are groups and individuals who have a stake or vested interest in determining the success or failure of an activity. According to UNICEF/WHO (2012), stakeholder group can include local and central ministry officials, line agency representative, community based organizations, mass organizations, co-operatives, water user groups, local and international nongovernmental organizations, international donor organizations, traditional leaders, religious leaders and groups, money lenders, community leaders, the business community and local contractors. It is important to identify these stakeholders in the water and sanitation delivery in order to enhance full participation and also ensure sustainability of the infrastructure.

Several institutions play various roles in Ghana's Water and Sanitation Sector. These include Ministries, Agencies, Local Government institutions and the private sector. The institutional arrangements and how they link with each other from policy and coordination to implementation and regulation, as well as a bit on External Support Agencies are discussed in this part of the study.

### ***2.5.1 Ministry of Water Resources, Works and Housing (MWRWH)***

The Ministry is responsible for setting policies and strategies for the water sector in the country – including water resources management and supply of drinking water to both urban and rural communities. There are three key public sector institutions/agencies under the ministry; the Water Resources Commission (WRC), Ghana Water Company Limited (GWCL) and the Community Water and Sanitation Agency (CWSA). They execute the Ministry's programmes, policies, plans and strategies on water resources management and drinking water supply in the country. The Ministry has established a Water Directorate to oversee sector policy formulation and review, monitoring and evaluation of the activities of the agencies, and co-ordination of the activities of donors.

### ***2.5.2 The Ministry of Local Government and Rural Development***

This is the Ministry responsible for the overall policy formulation and strategic guidelines, planning, coordination, collaboration, monitoring and evaluation of programs for the environmental health and sanitation sector - both liquid and solid waste. It is also responsible for the efficient administration of all local government institutions including the Metropolitan, Municipal, and District Assemblies (MMDAs). It should be noted that these MMDAs are responsible for the management and coordination of water and sanitation programmes within the communities under their jurisdiction.

An Environmental Health and Sanitation Division (EHSD) under the Ministry was upgraded into a Directorate in 2008. The EHSD is responsible for coordinating the activities of all the key sector institutions including MMDAs involved the environmental sanitation sector. The EHSD provides sector coordination and facilitation of MMDAs in implementing national-level and other ministries' programmes on environmental sanitation

### ***2.5.3 Community Water and Sanitation Agency (CWSA)***

Established by Act 564 of 1998, the CWSA is a facilitating agency under the Ministry of Water Resources, Works and Housing. Its mandate is to facilitate the provision of safe drinking water and related sanitation and hygiene services to rural communities and small towns in Ghana.

In line with this, the CWSA performs many roles to ensure that their intentions are successfully carried out in delivering rural water and sanitation facilities. These include

- i. They provide District Assemblies with technical assistance in the planning and execution of water and sanitation projects in the districts
- ii. They also formulate strategies for the effective mobilisation of resources to enhance smooth implementation of water and sanitation projects.
- iii. They encourage private sector participation in the water service delivery process by creating affable environment for private sectors operation.
- iv. They prescribe standards and guidelines for water and sanitation delivery in order to avert any unforeseen mistunes in terms of project implementation and operation.

- v. They conduct WATSAN/WSDB and community meetings. This is done to brief community regularly and gets ideas from the community on how to link ideas in order to come out with solid plan for project implementation.
- vi. They supervise construction contractors so that resources will be put to optimum use.
- vii. They organize pump/tap maintenance and repairs so that the facility will be in good shape consistently.

#### ***2.5.4 Metropolitan, Municipal and District Assemblies (MMDAs)***

Established under the Local Government Act, 462, MMDAs are responsible for the preparation of the District Water and Sanitation Plans. This responsibility, however, does not include urban water supply. MMDAs play a crucial role of ensuring that facilities provided to rural and small towns are adequately managed and maintained. They are required to ensure that Water and Sanitation Committees and Water and Sanitation Development Boards are formed and given recognition to manage rural and small town water facilities provided. MMDAs are also expected to establish a budget line for water and sanitation either through central government allocations or through internally generated funds.

#### ***2.5.5 The Community***

The community in this context refers to the primary stakeholder. They are the beneficiaries of the project. Their interest in water and sanitation is very high but they have less influence. For any water and sanitation project to stand the test of time, it heavily depends on the community. With respect to rural water and sanitation delivery, the functions listed below are to be carried out by the community.

- i. The community identifies needs and applies for assistance. As part of ensuring sustainable livelihood, the community can send proposal through their representatives (assembly men and women) to the district assembly if they have problems with water and sanitation
- ii. The community also elects Water & Sanitation Committee (WATSANS) / Water and Sanitation Development Board (WSDB). This body basically takes care of implementation process, management and sustainability. They also facilitate public education on the operation and the roles of individual households to ensure successful completion of project cycle.
- iii. The community chooses the type of Water and Sanitation facility that deems fit to them. They



- normally consider environmental situations and geographical distances as well as their financial position to determine whether they prefer hand dug well, borehole or pipe born water.
- iv. The community selects preferred site for location of facilities. This point forms the hub of project success and sustainability. For a project to achieve its purpose, the community should vehemently be involved in choosing site in order to avert conflict of interest.
  - v. One key function the community plays in ensuring successful delivery of water and sanitation is providing information to Partner Organizations (PO), technical assistance (TA) or District Water and Sanitation Team (DWST). The community gives update on the status of the project in terms of technical feasibility and calls for assistance and repairs if there are any damages.
  - vi. It is the duty of the community to take responsibility for facilities provided. After completion, the community becomes responsible for whatever happens as far as operation and sustainability are concern
  - vii. Also, completed projects are left in hands of beneficiaries. Hence, it becomes the onus of the community to maintain water and sanitation facilities for continued services. This will enable completed project to stand the test of time and brings to bare the goals and objectives of implementing the project.
  - viii. It is the sole responsibility of the community to select and support caretakers of completed rural water and sanitation projects. Support in terms of motivation, finance and technical.
  - ix. After project completion, one role of the community is to assume ownership of facility. The facility is handed over to the community as their property to use, manage and sustain it.

#### ***2.5.6 Development Partners***

According to the Ghana Water and Sanitation Sector Performance Report, 2009, Development Partners play a very important and indispensable role in Ghana's water and sanitation sector. These roles extend from financial assistance to technical assistance and, through participation in (and sometimes championing) sector dialogues, contribute to development of sector policies and strategies. There are many external development assistance partners working in the sector. Again, the 2009 report states that development partners currently contribute about 80% of total WASH sector funding<sup>1</sup>. The partners include: African Development Bank (AfDB), Agence Française de Développement (AFD), CIDA, DANIDA,



### **2.5.7 Non-Governmental Organizations**

Though currently difficult to estimate the exact contribution of NGOs in Ghana's Water in terms of sector financing, there is a lot of field evidence to suggest that the significant presence of both international and local NGOs and Faith-Based Organizations (FBO) in the Water and Sanitation Hygiene (WASH) Sector in Ghana is indeed helping to accelerate sector growth (Sector Report, 2009). WaterAid, World Vision International (WVI), Church of Christ, the Catholic Church, Plan International and Adventist Development and Relief Organization (ADRA), are among international NGOs sometimes playing roles of donors and implementers. The formation of the Coalition of NGOs in Water and Sanitation (CONIWAS) in 2003 has also contributed to a better sector coordination, having been collaborating with the MWRWH and its agencies, particularly CWSA. In effect this has enabled CONIWAS to bring its members to conform to sector's procedures and guidelines, a situation which was previously missing.

### **2.6 Processes of Rural Water and Sanitation Delivery**

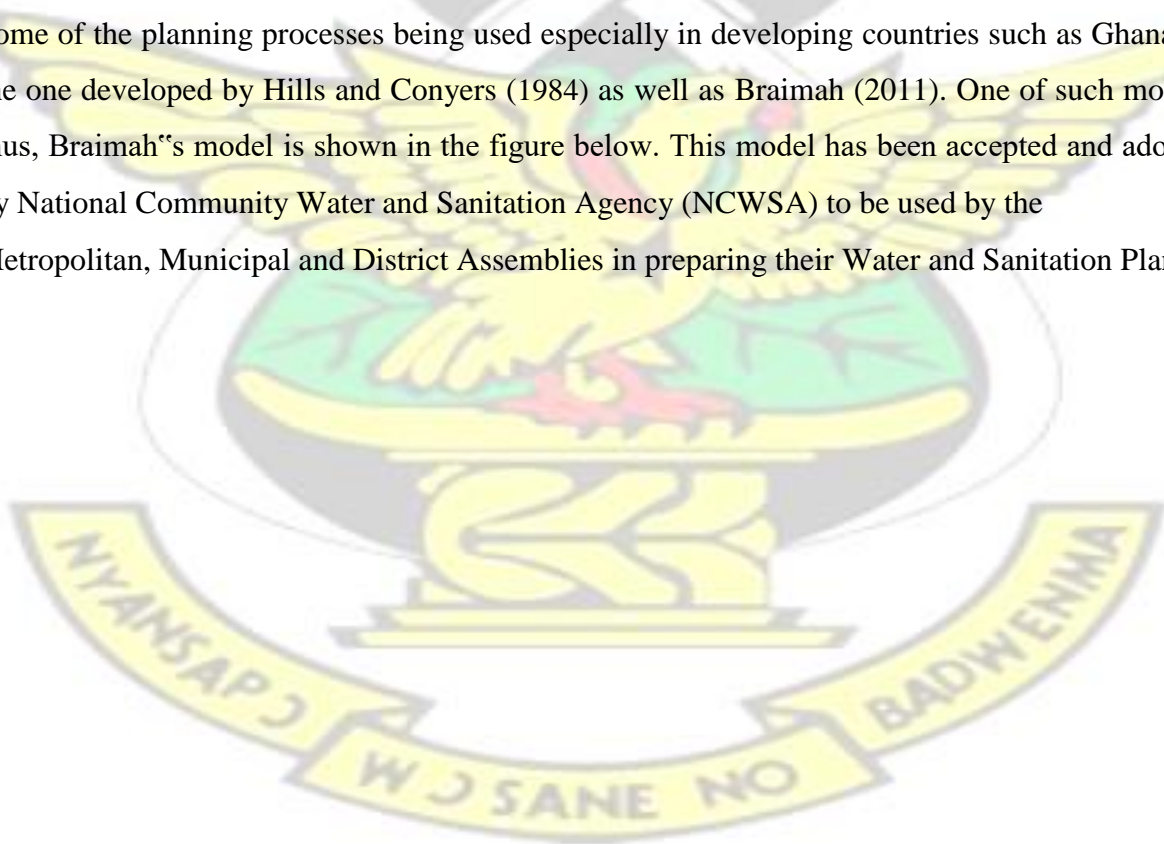
Planning process refers to the course of action, the operational procedure, or the logical, step by step approach required to be followed in planning for development. The process is identical at each level of planning and must operate on a common data bank. Again, the process represents the application of scientific method in the analysis of human behaviour and societal problems, in the context of social, economic, spatial and political structures. The planning process cannot endure without the objective interaction between theory and practice.

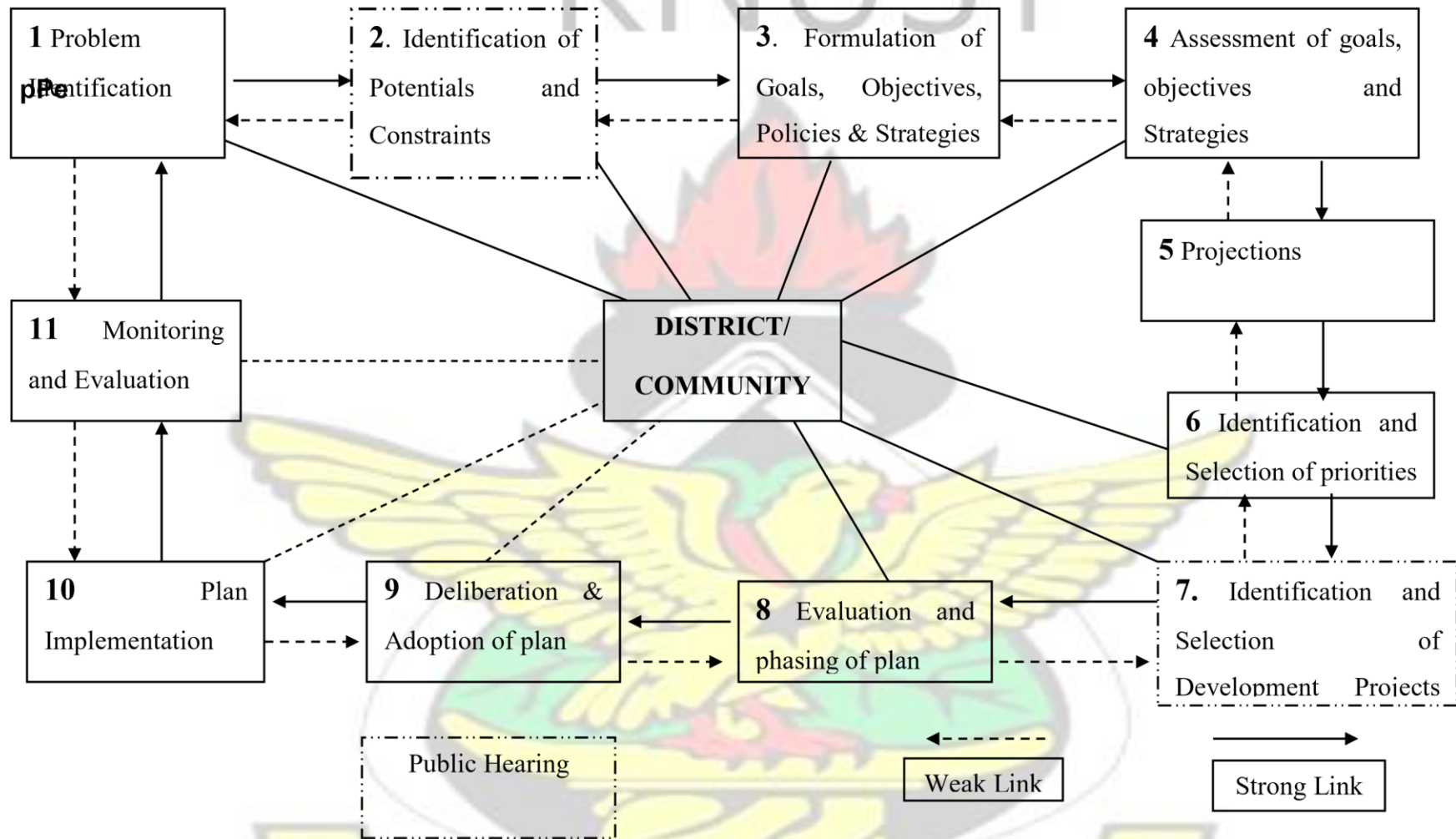
Practice is the application of theory and method to solve real life problems. Thus practice must be continuously updated by the induction of theories and methods which it „tests“ in practical situations and refines by feedback to the theorists and methodologists. A theory, on the other hand, is a statement of behaviour, conceived in the form of a model, that is, a system of relationships that attempts to replicate real life situations.

The planning process is operationalised on the basis of the problem-solving model. Different people have suggested different forms of the process; however, they all have the same characteristics. According to Hills and Conyers (1984), the characteristics of a real planning process include the following:

- i. It is problem solving, dealing with the identification and solution of societal problems.
- ii. It is multi-objective, seeking to address itself to many objectives at the same time when a problem is being solved – e.g. the harnessing of Hydro Electrical Power from the Volta River has led to the development of water transportation, fishing, and irrigation schemes.
- iii. It is cyclical, implying a continuous process as it attempts to adjust itself to the changing norms, behaviour and attributes of society.
- iv. It is evolutionary, developing by natural processes from rudimentary to more highly organised state in terms of methods and tools of analysis. In another perspective, the planning process evolves from the aspirations of society and must therefore be society-based.
- v. It is interdisciplinary, involving the integration of chartered planners, sectoral specialists (e.g. economists, geographers, and sociologists), institutionalized societies (e.g. pressure groups such as TUC, Chamber of Commerce, etc), those concerned with decision-making (e.g. the government, administrators, etc) and other beneficiaries.

Some of the planning processes being used especially in developing countries such as Ghana are the one developed by Hills and Conyers (1984) as well as Braimah (2011). One of such models, thus, Braimah's model is shown in the figure below. This model has been accepted and adopted by National Community Water and Sanitation Agency (NCWSA) to be used by the Metropolitan, Municipal and District Assemblies in preparing their Water and Sanitation Plans.





**Figure 1: The Planning Cycle**

Source: Braimah, 2011



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## **2.7 Sustainability of Rural Water and Sanitation**

“Sustainability in this study refers to the ability of project beneficiaries managing and maintaining project activities, services, and any other measure initiated by a project so as to last long after the expiring of the funding period. In water projects, we cannot talk of sustainability without mentioning operation and maintenance issues.” (Kasiaka, 2004, p. 41)

“Safe and clean drinking water supply is sustainable only if, the water consumed is not overexploited but naturally replenished, facilities maintained in a condition that ensures reliable and adequate portable water supply. The benefits for the water supply should continue to be realized over a prolonged period of time”. (David and Brikke, 1995, p. 53)

Richard (1999) defined sustainability as a continued delivery of a particular service. Richard emphasized on the need to involve all stakeholders in consumption and cost recovery strategies to ensure delivery of high quality services and sustainable development projects. Abraham (1998) on the other hand, views sustainability of water projects as a continued flow of water at the same rate and quality, as when the supply system was designed. To him if water flows, then all elements of sustainability would be in place.

Kimberly (1998) maintains that sustainability in water projects means, ensuring water supply services and interventions continue to operate satisfactorily and they generate benefits over time as expected. He further pointed out that, sustainability is all about ability to operate and maintain initial project service standards. However, to achieve this, it has to be planned from the very beginning of the project, so as to ensure prerequisites for long-term sustainability and strategies aimed at seeing that sustainable projects are in place and are in good working order.

### ***2.7.1 Factors Affecting Community Participation and Sustainability of Projects***

Parameswaran (1999) argues that a range of characteristics such as technology used to implement project activities can be effective to community participation. The question of technology has direct link with sustainability of project services especially when operational and maintenance costs are to be met by the beneficiary communities. Another factor according to Parameswaran is on human and financial resources, as they are vital when it comes to meeting operational and

maintenance costs. Furthermore, transparency accounts for the degree of community participation. For this matter community members will actively participate if benefits are clearly articulated and obtained immediately at the beginning of the project design.

“For the case of the water project, people expect to see domestic water points installed or boreholes drilled and in operation. Moreover, administration structure is equally important. Thus, if projects allow users’ contribution and if they are flexible, well-coordinated and managed well at the local level, with free flow of information then people will automatically participate.

Women’s involvement in project activities and capacity building are also essential to sustain project-initiated services. This is because in water projects women are the main stakeholders. Therefore, women participation and leadership positions in WC are inevitable for sustainable water projects”. (Mbugua et al, 1993, p. 14)

### ***2.7.2 Factors that Enhance the Sustainability of Water Project services***

Brikke (1995) argues that sustainability of project services are to be realized if water sources are not overexploited, facilities for operation and maintenance are in place, and funds are readily available. He emphasized that both women and men are involved in the design, planning and management of the scheme, and technology choice corresponds to needs desires. Also projects are culturally accepted, spare parts are available and affordable, and support system is in place. Others include capacity building, technical assistance and availability of well-established institution for legal framework.

### ***2.7.3 Shortcomings of Participation Approach***

Claud (1998) observes that though community participation is essential in ensuring sustainability of rural development projects, it has its own shortcomings. Participatory planning is time consuming and a complex process. The process takes about six months or more to be understood. As a result, beneficiaries expecting to get quick results get discouraged and, that participatory planning is a threat to experts and the community they are serving. The reason for this tendency being that some development experts tend to feel they know better than the community they are serving.



“Community Participation is never homogeneous. There are a number of problems that emerge in the cause of participatory approach, such as conflicts of interest among different social groups, cultural, and political constraints” (Mbugua et al, 1993, p.34). Moreover, Mbugua et al suggested that too much mass involvement in decision-making impedes development growth of the ongoing project. “The argument is that it delays decision-making. Thus, participatory planning needs to be facilitated by appropriate expertise so as to determine who should participate, how, what will be the scope of participation and also how much weight should be given to wishes and demands expressed as compared to priorities already set by official authorities” (Martinusen, 1999, p. 22). David and Joseph (2001) also had the view that participation does not mean that all views from people should be taken into account when setting project activities.

“There is also the fact that, both regional secretariat and districts councils do not have the capacities to support participatory planning at the lower council level. This situation arises from the fact that most of the staff at the Regional and District levels, have become used to a top- down approach to development. Hence, they are used to planning for and not with the people”. (Kasiaka, 2004, p. 12)

## **2.8 Participation Theory**

### ***2.8.1 Arnstein's Ladder of Participation***

Citizen participation is a categorical term for citizen power. Citizen participation is the redistribution of power that enables the have-not citizens, presently excluded from the political and economic processes, to be deliberately included in the future (Gates and Stout, 1996). They further explained that it is the strategy by which the have-nots join in determining how information is shared, goals and policies are set, tax resources are allocated, programs are operated, and benefits like contracts and patronage are parceled out. In short, it is the means by which power holders can induce significant social reform which enables them to share in the benefits of the affluent society.

### ***Characteristics of Arnstein's Ladder of Participation***

A typology of eight levels of participation may help in analysis of this confused issue of participation and non-participation. For illustrative purposes, the eight types are arranged in a ladder pattern with each rung corresponding to the extent of citizens' power in determining the end

product. The eight rungs are captured under three broad areas as non-participation, tokenism, and citizen power. This ladder is shown in Figure 2 below.

i. Non-participation

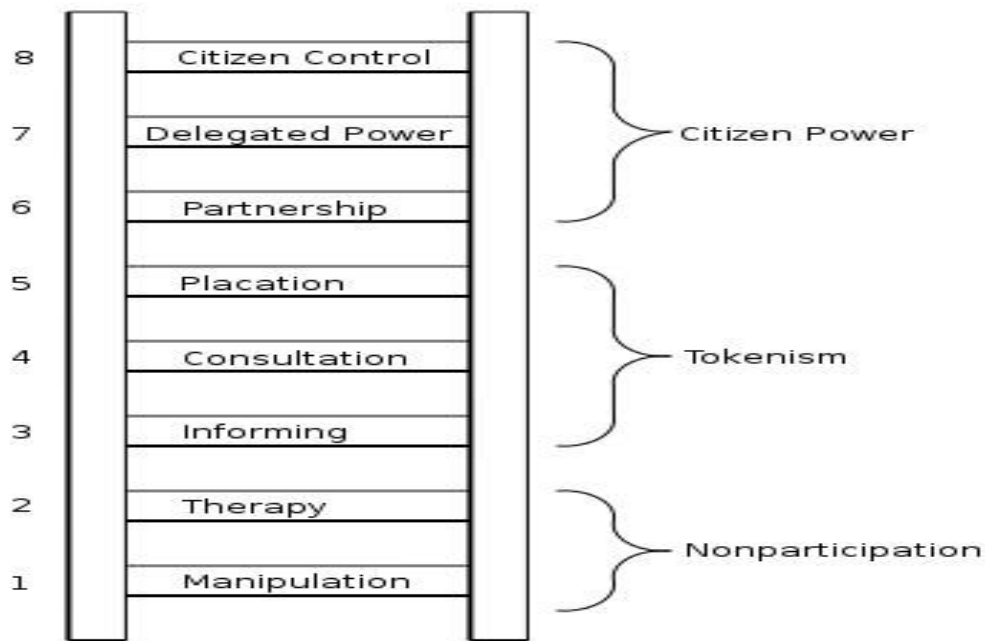
The bottom rungs of the ladder are (1) Manipulation and (2) Therapy. These two rungs describe levels of „non-participation“ that have been contrived by some to substitute for genuine participation. Their real objective is not to enable people to participate in planning or conducting programs, but to enable power holders to „educate“ or „cure“ the participants.

ii. Tokenism

Rungs 3 and 4 progress to levels of „tokenism“ that allow the have-nots to hear and to have a voice: (3) Informing and (4) Consultation. When they are proffered by power holders as the total extent of participation, citizens may indeed hear and be heard. But under these conditions they lack the power to insure that their views will be heeded by the powerful. When participation is restricted to these levels, there is no follow-through, no „muscle“, hence no assurance of changing the status quo. Rung (5) Placation is simply a higher level tokenism because the ground rules allow have-nots to advise, but retain for the power holders the continued right to decide.

iii. Citizen Power

Further up the ladder are levels of citizen power with increasing degrees of decision-making clout. Citizens can enter into a (6) Partnership that enables them to negotiate and engage in tradeoffs with traditional power holders. At the topmost rungs, (7) Delegated Power and (8) Citizen Control, have-not citizens obtain the majority of decision-making seats, or full managerial power.



**Figure 2: Arnstein's Ladder of Participation**

Source: Gates and Stout, 1996

The details of the eight levels of participation as shown in the ladder are described below (Gates and Stout, 1996).

### ***Manipulation***

In the name of citizen participation, people are placed on rubberstamp advisory committees or advisory boards for the express purpose of "educating" them or engineering their support. Instead of genuine citizen participation, the bottom rung of the ladder signifies the distortion of participation into a public relations vehicle by power holders.

This style of nonparticipation has since been applied to other programs encompassing the poor. Examples of this are seen in Community Action Agencies (CAAs) which have created structures called „neighborhood councils“ or „neighborhood advisory groups“. These bodies frequently have no legitimate function or power. The CAAs use them to „prove“ that „grassroots people“ are involved in the program. But the program may not have been discussed with „the people. Or it may have been described at a meeting in the most general terms. One hopeful note is that, having



been so grossly affronted, some citizens have learned the Mickey Mouse game, and now they too know how to play. As a result of this knowledge, they are demanding genuine levels of participation to assure them that public programs are relevant to their needs and responsive to their priorities.

### ***Therapy***

In some respects group therapy, masked as citizen participation, should be on the lowest rung of the ladder because it is both dishonest and arrogant. Its administrators - mental health experts from social workers to psychiatrists - assume that powerlessness is synonymous with mental illness. On this assumption, under a pretense of involving citizens in planning, the experts subject the citizens to clinical group therapy. What makes this form of „participation“ so invidious is that citizens are engaged in extensive activity, but the focus of it is on curing them of their „pathology“ rather than changing the racism and victimization that create their „pathologies“.

### ***Informing***

Informing citizens of their rights, responsibilities, and options can be the most important first step toward legitimate citizen participation. However, too frequently the emphasis is placed on a one-way flow of information - from officials to citizens - with no channel provided for feedback and no power for negotiation. Under these conditions, particularly when information is provided at a late stage in planning, people have little opportunity to influence the program designed "for their benefit." The most frequent tools used for such one-way communication are the news media, pamphlets, posters, and responses to inquiries.

### ***Consultation***

Inviting citizens' opinions, like informing them, can be a legitimate step toward their full participation. But if consulting them is not combined with other modes of participation, this rung of the ladder is still a sham since it offers no assurance that citizen concerns and ideas will be taken into account. The most frequent methods used for consulting people are attitude surveys, neighborhood meetings, and public hearings.

When power holders restrict the input of citizens' ideas solely to this level, participation remains just a window-dressing ritual. People are primarily perceived as statistical abstractions, and participation is measured by how many come to meetings, take brochures home, or answer a questionnaire. What citizens achieve in all this activity is that they have „participated in participation“. And what power holders achieve is the evidence that they have gone through the required motions of involving „those people“.

### ***Placation***

It is at this level that citizens begin to have some degree of influence though tokenism is still apparent. They allow citizens to advise or plan an infinitum but retain for power holders the right to judge the legitimacy or feasibility of the advice. The degree to which citizens are actually placated, of course, depends largely on two factors: the quality of technical assistance they have in articulating their priorities; and the extent to which the community has been organized to press for those priorities.

### ***Partnership***

At this rung of the ladder, power is in fact redistributed through negotiation between citizens and power holders. They agree to share planning and decision-making responsibilities through such structures as joint policy boards, planning committees and mechanisms for resolving impasses. After the ground rules have been established through some form of give-and-take, they are not subject to unilateral change.

Partnership can work most effectively when there is an organized power-base in the community to which the citizen leaders are accountable; when the citizens group has the financial resources to pay its leaders reasonable honoraria for their time-consuming efforts; and when the group has the resources to hire (and fire) its own technicians, lawyers, and community organizers. With these ingredients, citizens have some genuine bargaining influence over the outcome of the plan (as long as both parties find it useful to maintain the partnership). One community leader described it „like coming to city hall with hat on head instead of in hand“. In most cases where power has come to be shared it was taken by the citizens, not given by the city. There is nothing new about that

process. Since those who have power normally want to hang onto it, historically it has had to be wrested by the powerless rather than proffered by the powerful.

### ***Delegated Power***

Negotiations between citizens and public officials can also result in citizens achieving dominant decision-making authority over a particular plan or program. At this level, the ladder has been scaled to the point where citizens hold the significant cards to assure accountability of the program to them. To resolve differences, power holders need to start the bargaining process rather than respond to pressure from the other end.

Another model of delegated power is separate and parallel groups of citizens and power-holders, with provision for citizen veto if differences of opinion cannot be resolved through negotiation. This is a particularly interesting coexistence model for hostile citizen groups too embittered toward city hall - as a result of past „collaborative efforts“ - to engage in joint planning.

### ***Citizen Control***

Demands for community controlled schools, black control, and neighborhood control are on the increase. Though no one in the nation has absolute control, it is very important that the rhetoric not be confused with intent. People are simply demanding that degree of power (or control) which guarantees that participants or residents can govern a program or an institution, be in full charge of policy and managerial aspects, and be able to negotiate the conditions under which "outsiders" may change them.

## **2.9 Conceptual framework of the study**

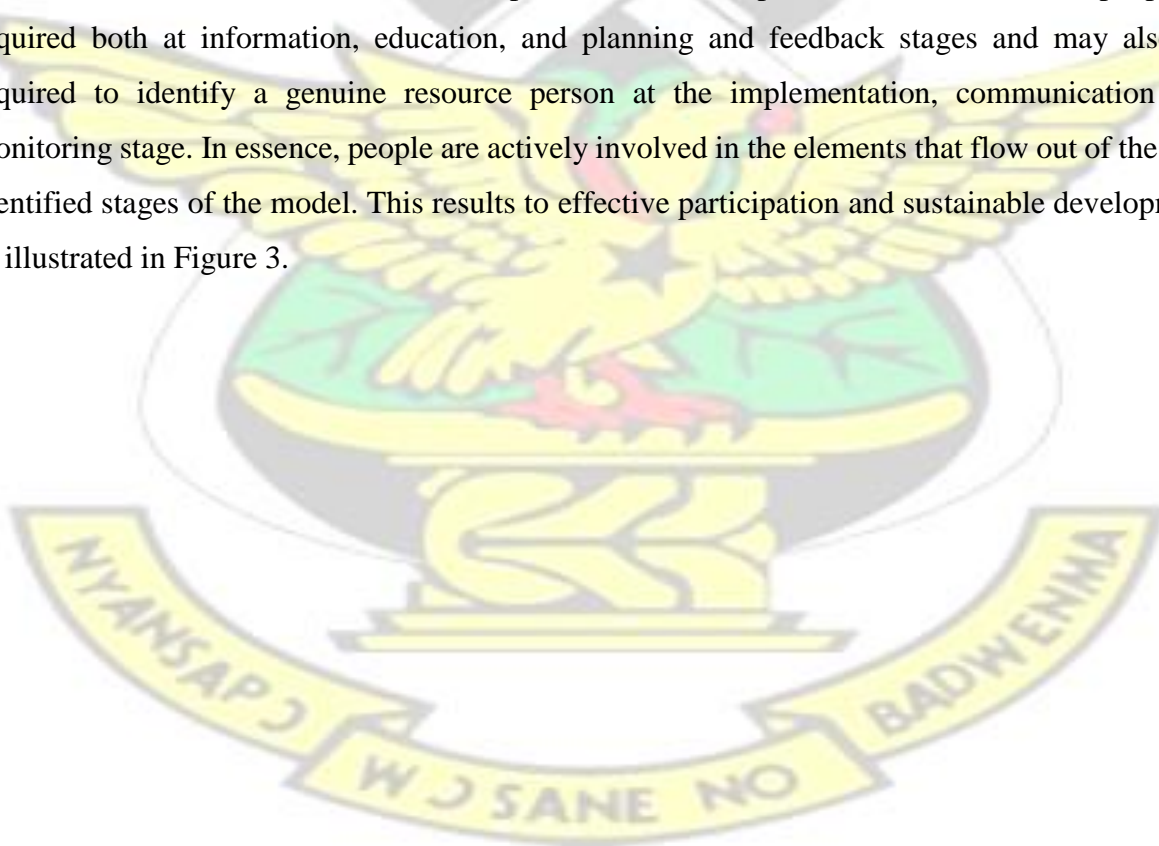
Several Authors and Researchers have developed Conceptual Models explaining how community participation would result in sustainability of development projects. However, that of Mathbor (2008) would be adopted for the study. The reason for adopting this is its applicability.

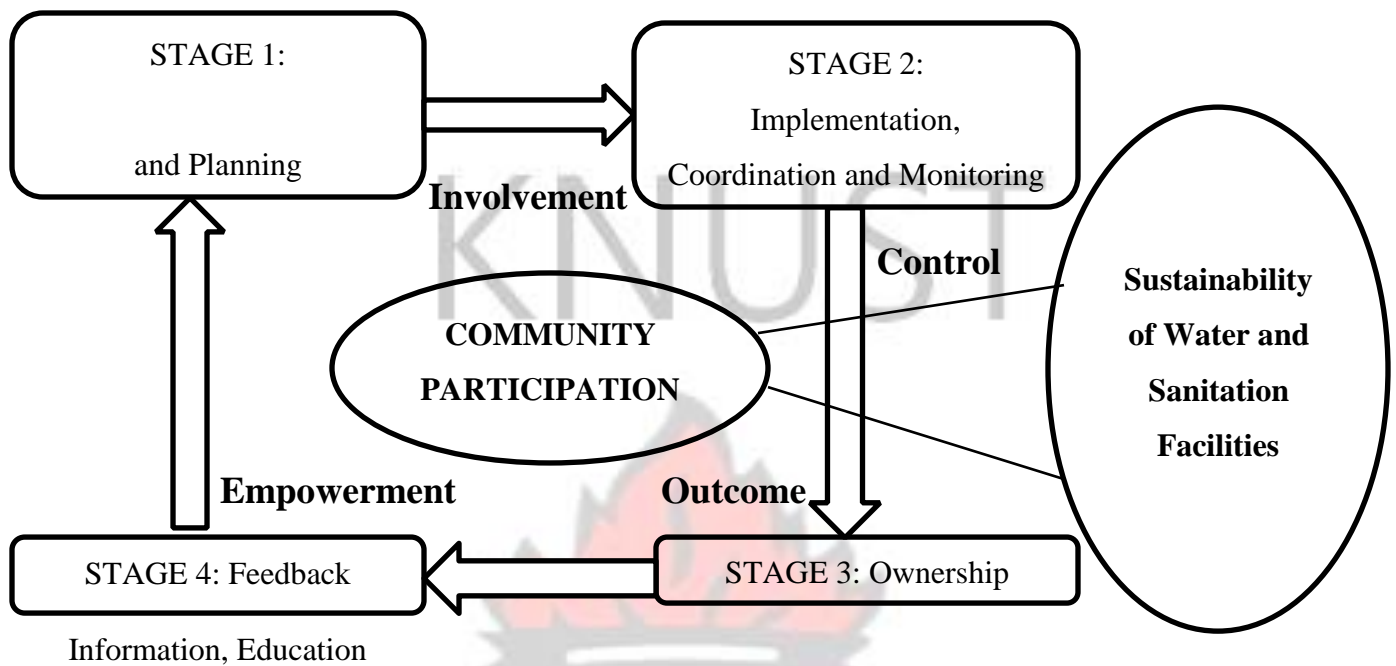
The Community Participation Model involves locals in four progressive stages: That is, Information, Education, and Planning; Implementation, Coordination, and Monitoring; Ownership and Control; and Feedback Stage. Central to the model, which is systematically portrayed, is the involvement, control, outcome and empowerment of community participation. Overall, the model emphasizes the inclusive approach, highlights participation, and focuses especially on the vital role



of community members in developing projects. Secondly, the context of the model which focuses on community participation is similar to what the researcher sought to establish in his area of study. To examine the processes and mode of community participation in water and sanitation delivery, one must understand the context in which it takes place.

The philosophy of this community participation model is grounded in a horizontal relationship between beneficiaries and functionaries of the forest development projects in Bangladesh. The project proponents and the community begin their dialogue and continue to work together until successes and failures of the projects are fully evaluated and reintegrated into future planning. Community participation in forest development projects is therefore hypothesized to be effective by involving local people in all four stages of the model. Each stage is the result of a set of elements that emerged from the views, opinions, and perspectives of the beneficiaries and the functionaries interviewed in the study. Although these elements are separated in terms of different stages, they are often interrelated and interwoven in practice. For example, consultation of local people is required both at information, education, and planning and feedback stages and may also be required to identify a genuine resource person at the implementation, communication and monitoring stage. In essence, people are actively involved in the elements that flow out of the four identified stages of the model. This results to effective participation and sustainable development as illustrated in Figure 3.





**Figure 3: Conceptual Linkages between Community Participation and Sustainability of Water and Sanitation Facilities**

Source: Author's Conceptualization with information from Mathbor (2008), 2013

## 2.10 Conclusion

It has been established that participation are of different modes and depending on the program a mode or combination of modes is used. The forms of participation which ensures sustainability of development programs and projects are the tokenism and citizen power. However, it is understood that non-participation form of involvement must not be encouraged especially in areas such as water and sanitation delivery. A concern that must be addressed is the need to actively involve beneficiaries of development projects and programs to ensure ownership and sustainability.

In the context of this research, the Arnstein's ladder of participation captured in Gates and Stout, (1996) will be used. This theoretical framework together with the research objectives provide some options for the development of a research methodology that can help respond to the objectives sought in the context of the Nkoranza North District. The following chapter would then address the methodological approaches employed to collect and analyze data given the parameters to be measured. It is also important to provide more details of the Nkoranza North District, its uniqueness and peculiarities to enable an in-depth analysis.

## **CHAPTER THREE RESEARCH METHODOLOGY AND DISTRICT PROFILE**

### **3.1 Introduction**

This Chapter embodies two major issues. The first is the various procedures and approaches adopted to carry out the research, which is the methodology. This sub-section built on all the issues that have been raised in the previous chapters and sub-chapters to come up with a framework that guided the research process. Given the research questions, the approach focused on community participation in the identification, implementation, monitoring and evaluation of rural water and sanitation delivery.

The second aspect explains the geographical features in the District which interact to define the present situation of the study area. It further unearth the socio-economic and institutional arrangements as situated in the District to help appreciate the potentials and constraints to development in that geographical setting chosen for the study as related to water and sanitation delivery.

### **3.2 Criteria for selecting the study District**

The case study approach was used for the study because all the 216 MMDAs are governed by the same guideline; hence they are required to prepare DWSP for the development of their districts. Thus the case study approach was adopted to assess community participation in rural water and sanitation delivery in the Nkoranza North District Assembly. The District which is located in the Brong Ahafo Region offered the study an opportunity to do in-depth analysis on how communities were involved in the preparation, implementation, monitoring and evaluation of water and sanitation facilities.



In selecting an area for the study, the focus was on the newly created Districts in the Brong Ahafo Region in 2008. However, the study district was required to meet the following minimum criteria.

- i. For a district to be selected, it should have been one of the newly created districts in 2008 in the Brong Ahafo Region
- ii. The district should have participated in the preparation of the 2010 – 2013 Medium Term Development Plan (MTDP) and 2009–2012 District Environmental and Sanitation Strategic Action Plan (DESSAP).
- iii. The district should have prepared and implemented a DWSP facilitated by the CWSA.

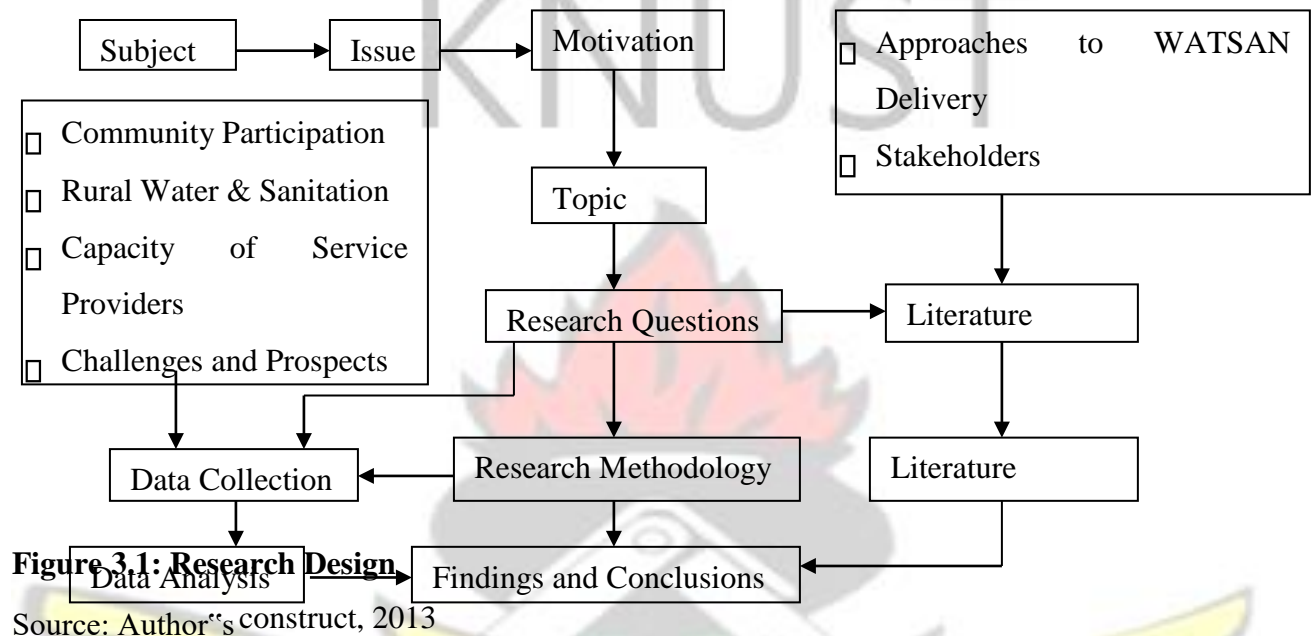
By these criteria, three (3) out of the twenty-two (22) Municipal/District Assemblies in the region qualified for the study. They are the Sunyani West, Dormaa East and Nkoranza North District Assemblies. All these Districts exhibit rural characteristics. The remaining 19 Municipal/District Assemblies did not satisfy the selection criteria.

A pilot study has ever been conducted in Dormaa East and Sunyani West District Assemblies. In 2012, Community Water and Sanitation Agency in collaboration with the International Water and Sanitation Centre (IRC) conducted a study under the TRIPLE-S PROJECT at Sunyani West and Dormaa District Assemblies. This afforded Nkoranza North District Assembly the opportunity for such a study. Also, the water coverage of Nkoranza North District is about 48.75 percent (Nkoranza North District APR, 2012), compared to about 41 percent in Sunyani West and 39.2 percent in Dormaa East District. This implies that Nkoranza North District has reached out more people in terms of water coverage than the other two Districts. Again, this afforded Nkoranza North District Assembly the opportunity to access the level of community participation in the planning, implementation, monitoring and evaluation of rural water and sanitation service.

### **3.3 Research Design**

The research was carried out in multiple and carefully sequenced phases. It began by exploring the magnitude of the problem and this served as a basis for the formulation of objectives and research questions. The geographical and conceptual contexts of the research were also defined. This then led to a review of theories underpinning the subject matter. This enabled the development of data collection instruments, the conduct of fieldwork and the analysis and discussion of the results.

Ultimately, findings and recommendations were made and conclusions drawn. Figure 3.1 outlines the processes that were used to get the study conducted.



### 3.3 Sampling

The sampling techniques used for the research were purposive, stratified and simple random sampling. Purposive sampling technique was used to select the key institutions/stakeholders for the study while stratified sampling was for the zoning of the District to select the communities and simple random sampling was for the selection of households in the selected communities. These approaches apply in specific instances where there are sufficient justifications that their application will lead to desired results. These were done after the appropriate sample size for the study from the sample frame of 99 rural/small settlements have been determined.

#### 3.3.1 Sampling Determination

The selected rural communities within which the study was conducted were determined mathematically. With a sample frame of 99 rural communities, the following mathematical formula was used to arrive at 50 communities as the appropriate sample size at 90% confidence level.

$$n = \frac{N}{2} \quad \text{Therefore, } n = \frac{99}{2} = 50 \text{ communities}$$

$$\frac{1}{1 + N (\alpha)^2}$$

$$\frac{1}{1 + 99 (0.1)^2}$$

Where n = Sample

Size N = Sample

Frame 1 = Constant;

and  $\alpha$  = Confidence

Level.

Thus, 50 communities in the Nkoranza North District were selected for the study. In each of the communities, two key variables necessary for the attainment of research quality were taken into consideration. These are heterogeneity and saturation. Heterogeneity arises from the diversity in the 50 study communities in terms of population sizes, water and sanitation facilities and other socio-cultural dynamics. Saturation has to do with the need to ensure that detailed information is gathered from the study participants. It has been established (Kvale, 1996; Creswell, 1998) that when the variables of heterogeneity and saturation underpin a research process, 15 study participants  $\pm 10$  is sufficient for the attainment of research quality. So in this instance 650 participants are deemed appropriate to the attainment of study quality.

### ***3.3.2 Purposive and Stratified Sampling***

Purposive sampling technique was used to select the key institutions for the study. They include the Community Water and Sanitation Agency (CWSA), 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 Team (WSDT), Area/Town Councils and Non-Governmental Organizations (NGOs) operating in water and sanitation within the study district. The use of purposive sampling technique was necessary because planning as a tool for development has been institutionalized under the decentralization concept, hence, the aforementioned institutions could not be substituted when talking about participatory planning and implementation of water and sanitation facilities.



On the other hand, stratified sampling technique was used to select the 50 communities. This tool was employed to divide the district into four (4) zones representing the 4 existing area councils in the district, thus, Busunya Area Council, Dromankese Area Council, Yefri Area Council and Kranka Area Council. The division was based on the fact that, various communities grouped under these area councils represented fairly in the study. This is because, unit committees in various communities relay development issues to area councils and hence, dividing the district base on this factor provides solid base for data collection. Within the councils, communities were stratified into small towns and rural communities. From each of these two strata, communities were selected purposively to ensure that the study covered communities with all types of water supply facilities (small town pipe system, boreholes, and hand dug well) and CWSA sponsored latrine facilities.

In all, the research was conducted in 8 small towns and 42 rural communities purposively selected from the sampled councils to ensure that communities that operate different water and sanitation facilities and with different management structures are selected. That is the vendors operating under the Small Towns Water Supply and Sanitation Systems under WSDT 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.

On the other hand, the study gathered data from 649 stakeholders which comprises of 500 households, 37 Assembly members, 50 opinion leaders, 50 women's groups, four WATSANs, four Area Councils, one representative from CWSA, two representative from the District Assembly, and one representative from an NGO in water and sanitation. These stakeholders were selected from all the available institutions in the water and sanitation sector in the District.

### ***3.3.3 Sample Distribution***

Having mathematically established that 50 communities should serve as the basis for the study, there is the need to ensure a fair distribution or spread of the communities within the district scope. Also, it ensured representation of communities from different segments of the District for data collection.

A preliminary investigation was conducted in the district to ascertain the uniqueness of different communities and the willingness and acceptability levels of the research. This then led to the identification of the following communities: Busunya, Betoda, Odumase, Pinihini, Timiabu, Dromankese, Dromankuma, Amanda, Senya, Yefri, Abota, Bodom, Sikaa, Fiema, Bomini, Bonte, Bodom, Asekye, Pinihini, Baafi, Baafi Alataline, Tanfiano, Kranka, Amanda, Boabeng, Pado, Adumasa, Madina, Maaso, Konkrompe, Dwenewoho, Tanfem, Adoi, Betoda, Boana, Kunso, Kwaasi, Dinkra, Tailorkrom, Taaho, Moi, Proso, Yaw Dokukrom, Mangoase, Booso, Frede, Krumu, Nyinahin, Tankor, and Nipahiamoa.

### **3.4 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 focus group discussions whereas the main instruments applied were questionnaires and checklists. The interview was guided by structured and semi-structured questionnaires.

#### ***3.4.1 Sources of data collected***

The study relied extensively on the use of both primary and secondary data. Secondary data are particularly useful in the establishment of the basis for data analysis while the primary data constitutes source of information for data analysis. The secondary source of data was gathered from journals, newsletters, internet and other documents from established Institutions/Units that deal with water and sanitation such as Community Water Sanitation Agency (CWSA), the District Assembly and Sub-District Structures. The key documents consulted were the District Medium Term Plan (2009 – 2013), DWST Report, District Environmental Sanitation Strategic and Action Plan (DESSAP) for the Nkoranza North District. The other documents and publications that used include project implementation manuals and strategic investment plans by the CWSA.

On the part of primary data, questionnaires were designed 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, DA (Planning Officer and DWST), NGOs, Area Councils, and Opinion Leaders involved in water and sanitation delivery in the study district and communities. The households especially women were also interviewed to

see their level of participation in water and sanitation delivery. Focus group discussion was carried out in four (4) small towns, thus sub-district capitals, to assess their level of participation. The focus group discussion brought together WATSAN/WSDT, water users, women's groups, Area Council members and the physically challenged.

### **3.5 Data Processing and Analysis**

Data analysis was done at two levels – quantitative and qualitative. Both processes were however, preceded by editing which was done to ensure that the data collected were free of errors. Quantitative data was analyzed using tabulations, frequencies and percentages while perceptions on community participation was analyzed using the citizen participation ladder.

Qualitative analysis was done for data generated during the Focus Group Discussions.

Descriptions and narrations of people's views on community involvement in the provision of water and sanitation facilities were conveyed on the ladder.

### **3.6 Profile of Nkoranza North District**

Nkoranza North District is the focus of the research and therefore there is the need to provide more background information on the District particularly in relation to the geo-physical and demographic characteristics of the area as well as socio-economic characteristics with emphasis on social amenities especially water and sanitation.

#### ***3.6.1 Background and Location of the District***

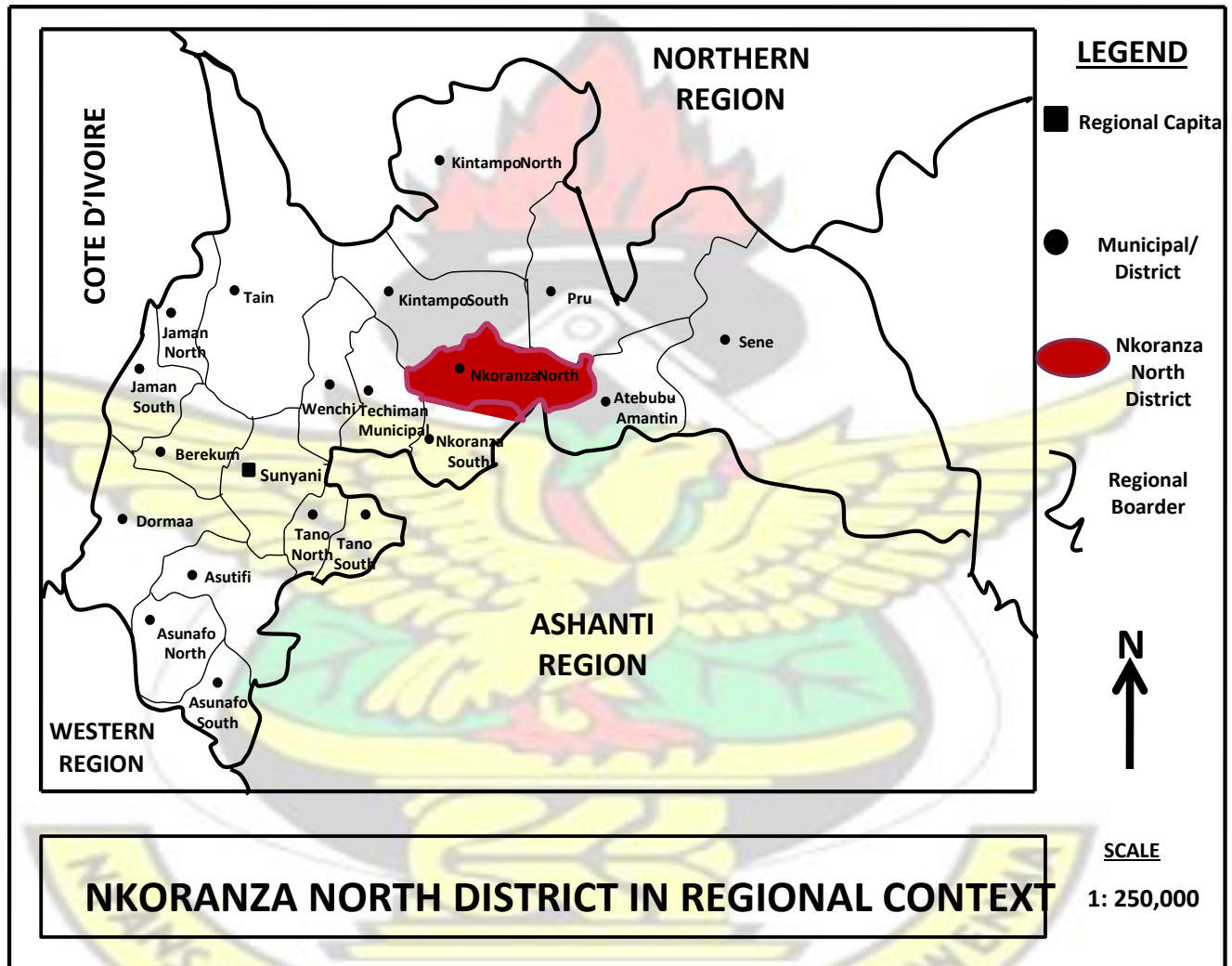
Nkoranza North District is one of the twenty seven Administrative Districts in the Brong Ahafo Region of Ghana with Busunya as its capital. The District was carved from the then Nkoranza District in 2008 under the Legislative Instrument (L. I. 1844). In terms of land area, the District covers about 1,502.018 square kilometers. Attaining a district status provides an improved institutional framework for the provision and management of basic social amenities including water and sanitation facilities.

The District lies within longitudes 1° 10` and 1° 55` West, and latitudes 7° 20` and 7° 55` North, and also shares boundaries with Kintampo South District to the North, Nkoranza Municipal District to



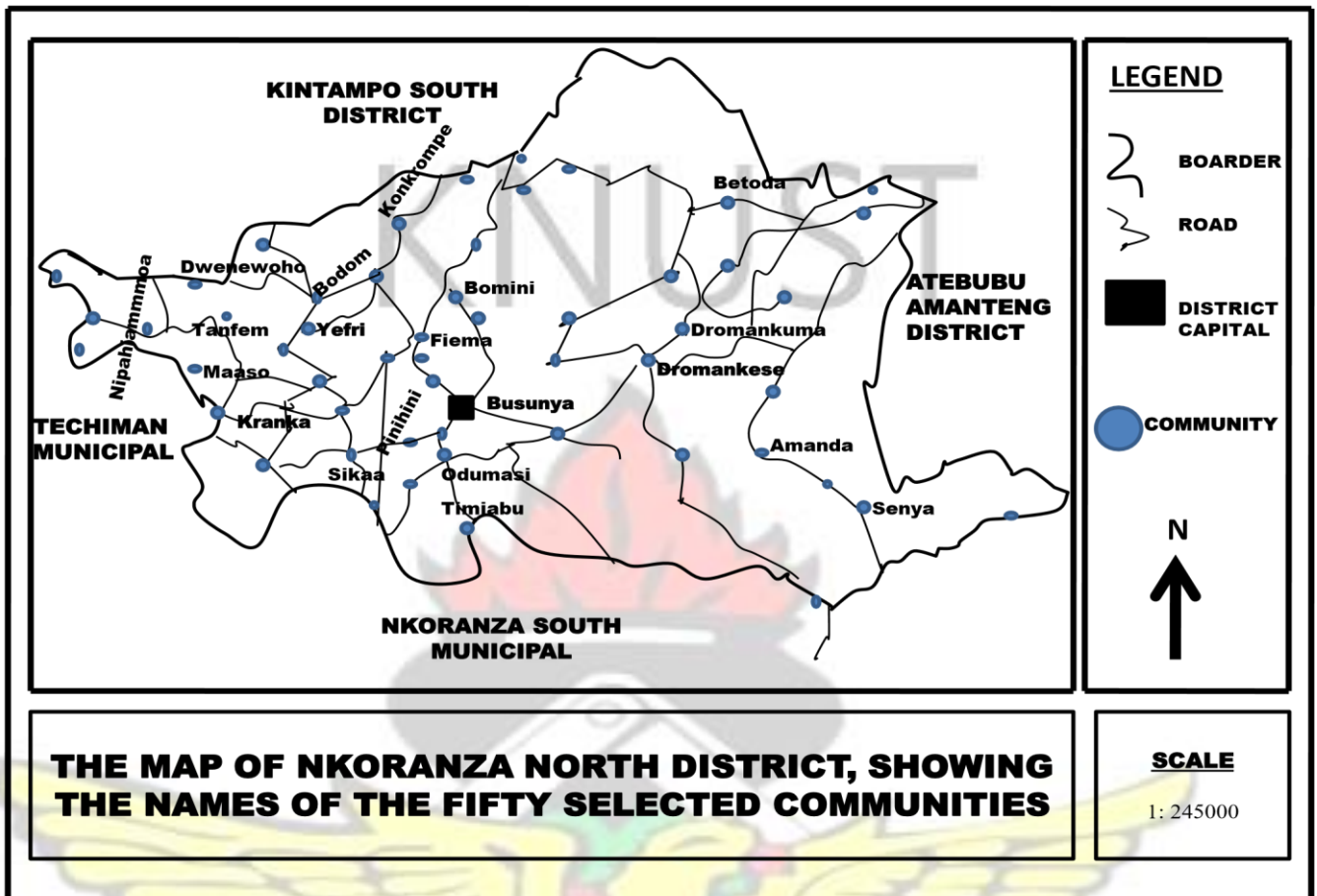
the South, Atebubu-Amantin District to the East and Techiman Municipal to the West. The District capital, Busunya, is about 12 miles away from the mother District Capital, Nkoranza.

On the part of the 50 selected communities for the study, they are located within the four (4) subdistricts, that is, Busunya Area Council, Dromankese Area Council, Yefri Area Council, and Kranka Area Council. The figure below shows the map of the District in the regional context and the Nkoranza North District map with some of the 50 selected communities for the study.



**Figure 5: Map of Nkoranza North District in the Regional Context**

Source: Author's Construct



**Figure 6: Map of Nkoranza North District**

Source: Author's Construct

### **3.6.2 Population**

The District has an estimated population of 69, 230 as at 2012 (Nkoranza North District APR, 2012) with a growth rate of 2.5%. Nkoranza North District was carved from the then Nkoranza District in 2007 and was inaugurated in February 2008.

Population density in this context is defined as the number of people per square kilometer ( $\text{km}^2$ ) of unit area of land. The population density in the district as at 2012 was 46.09 persons per square kilometer ( $46.09 \text{ persons/km}^2$ ), which is slightly above the regional population density of 45.9 persons per square kilometer but less than the national figure of  $49.3 \text{ persons/km}^2$ . This low density of the District implies that there is low concentration of people in the District and coupled with the dispersed nature of settlement makes it extremely difficult to provide basic services to all

communities. The population distribution of the district indicates 51.5% and 48.5% for females and males respectively. This has resulted in a male female ratio of 1:1.1 which is very close to achieving gender parity index in term of general population compared to the regional gender ratio of 1:1.008

### ***3.6.3 Water and Sanitation Distribution in the District***

Water and Sanitation is among the powerful drivers of human development as it affects quality of life – improving health and rising wealth. It is also aimed at developing and maintaining a clean, safe and pleasant physical and natural environment in all human settlements, to promote the socio – cultural, economic and physical well – being of all sections of the population.

Inadequate access to safe water and sanitation is a perennial problem in rural and urban areas of the country. Poor access to safe water and lack of adequate environmental sanitation lead to poor health and low productivity, which in turn deepens poverty. Ghana Shared Growth and Development Agenda (GSGDA) has therefore prioritised access to safe water and environmental sanitation as strategic policy areas to be tackled in its efforts to develop the human resources of the country.

The main sources of drinking water in the District include boreholes, streams, rivers, ponds and wells. These sources of water are very often polluted and they are used untreated. Distribution of clean water in the district over the years has not been the best. Statistics gathered from secondary sources indicates that only 48.75 percent of the total population has access to improve water at the expense of the 61.25% of the total population. Sanitation situation is generally poor across the District with less than 35% of the population having access to public latrines (Annual Progress Report, 2012)

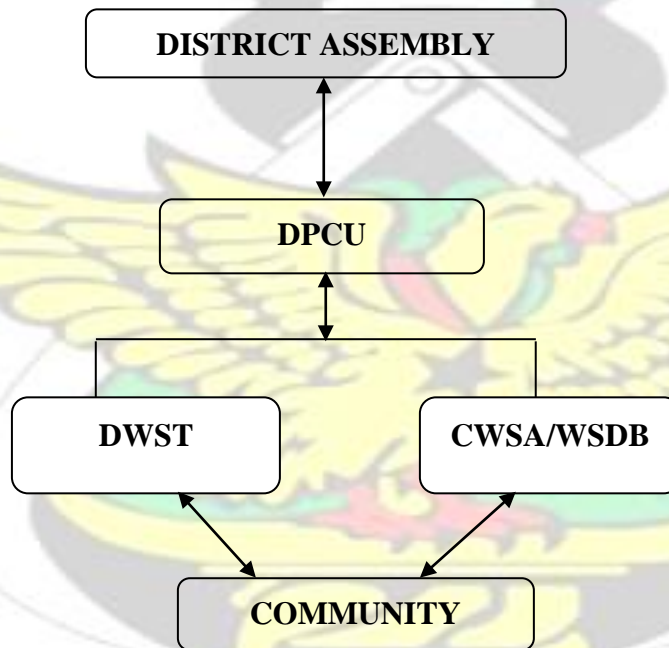
### ***3.6.4 Administrative and Institutional Arrangements of the District***

Development activities take place under the auspices of administrative and institutional settings in any geographical zones. The structures and institutional arrangement are organized in such a way that, delivery of water and sanitation is ensured smoothly.



Whereas most urban communities have formal and clear structures and reporting systems, based on government acts or by-laws, rural community structures are weak, informal and based on a wide range of factors that include religion, culture, tradition and politics. This makes it difficult for authorities to communicate with poor rural communities. Insufficient accountability to the local people is obviously a weakness of the local government system as it currently operates in Ghana. The problem is that departments put in place to oversee community participation lack the necessary capacity to coordinate community projects efficiently with other departments.

This notwithstanding, the district has put in place, the administrative and institutional arrangement to ensure quality delivery of water and sanitation. The figure below shows the administrative structure in the District's water sector.



**Figure 7: Institutional Arrangement in the District**

Source: District Annual Progress Report, 2012

The flow of information between institutions is both downward and upward. The community standing the chance of being the beneficiary plays active roles like identification of needs, decision making participation, care takers, facility operators and etc. the linkages between DWST, CWSA/WSDB and the community help the parties organize programmes like clean up exercise to

ensure hygiene, formulate strategies for the effective mobilisation of resources to enhance smooth implementation of water and sanitation projects, prioritize development issues which are then forwarded to the DPCU.

The DPCU in turn appraise applications and proposals produced by the community. This is done to measure how sound the proposals of the community is and whether their demands conforms to standards and principles of the assembly. Information gathered is relayed to the District Assembly (DA) during general assembly meetings for deliberation and formulation of pragmatic measures to redress issues. The District Assembly (DA) then makes funds available for implementation of water and sanitation projects.

### **3.7 Conclusion**

A research must be carefully planned and effectively carried out in order to address the objectives it has set for itself. This chapter has spelt out the parameters within which sampling was carried out and as well how the data was collected and analyzed. The next phase of the study would seek to situate the study within geographical boundaries. The profile of the Nkoranza North District is thoroughly discussed to enable an understanding of the characteristics of the area under investigation.

## **CHAPTER FOUR DATA INTERPRETATION**

### **4.1 Introduction**

This chapter seeks to provide detailed analysis of findings of the study. Issues analyzed here include stages of stakeholder involvement, types of plans prepared for the provision of water and sanitation facilities within the Nkoranza North District, the mode, processes and nature of community participation in water and sanitation delivery. The processes used in providing water and sanitation services as well as prospects and challenges of community involvement in service delivery within the District. Again, the study analyzed the District Assembly's capacity in delivering such services.

## 4.2 Processes of Water and Sanitation Delivery

The survey tried to identify and analyze the processes of water and sanitation delivery in the Nkoranza North District. This aspect of the survey looked at the types of plans developed for water and sanitation, the processes used as well as the extent of implementation of the plans.

### 4.2.1 Types of Plans Prepared by the DA for the Provision of Water and Sanitation Facilities

The study proved that the District Assembly (DA) prepares plans such as District Environmental Sanitation Strategy and Action Plan (DESSAP), District Medium Term Development Plans (DMTDPs) and Annual Action Plans (AAPs) for the provision of water and sanitation facilities in addition to the District Water and Sanitation Plans (DWSPs). These plans range from the short term to the medium term. The study however revealed that as important as the DWSPs were to the provision of water and sanitation facilities in the District, the DA does not prepare the DWSPs out of its own will but it is prompted and in most cases compelled by the CWSA before the plan is 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 DA for the preparation of the DWSP. In preparing the plan, a guideline is issued by the National Development Planning Commission (NDPC) in collaboration with Ministry of Water Resources Works and Housing.

### 4.2.2 Processes for the Preparation and Implementation of the DWSP

This part of the study intends to find out how the DA responds to the processes required for the preparation and implementation of decentralized plan. Issues considered here were if there existed DWSP and the involvement of key stakeholders (Assembly members, opinion leaders and households) in the preparation and implementation of the DWSPs and whether or not the DA periodically updated or reviewed their DWSPs to ascertain whether or not goals and objectives of the DWSPs are being achieved.

**Table 4.1: Availability of Water and Sanitation Plan**

Respondents	Total number of respondents	DWSP Available		DWSP Not Available	
		Absolute	Percentage	Absolute	Percentage
CWSA	1	1	100.0	0	0



Staff of the DA	2	2	100.0	0	0
Area Council	4	3	75.0	1	25.0
WATSANs	4	1	25.0	3	75.0
Households	500	90	18.0	410	82.0
Women"s Groups	50	7	14.0	43	86.0
Assembly Members	37	37	100.0	0	0
NGO (MIHOSO)	1	1	100.0	0	0
Opinion Leaders	50	21	42.7	29	57.3
<b>Total</b>	<b>649</b>	<b>163</b>	<b>25.1</b>	<b>486</b>	<b>74.9</b>

Source: Field survey, 2013

Table 4.1 seeks to find out if the Nkoranza North District has a water and sanitation plan. The analysis shows that out of the 649 respondents, as high as 74.9 percent indicated that the District Assembly does not have DWSP while only about a quarter (25.1%) knew of the availability of the plan. It is realized that as high as 82 and 86 percent of the households and women"s groups respectively responded to the non-availability of the DWSP. According to the District Planning Officer, all stakeholders especially women were involved in the DWSP preparation. However, he emphasized that not all stakeholders were involved at all stages of the plan preparation. This implies that direct beneficiaries of water and sanitation such as households, women and opinion leaders were manipulated to be part of the plan preparation. This clearly shows non-participation of these stakeholders as they are not aware of such document. On the other hand, all respondents from CWSA, staff of the Assembly, Assembly members, as well as the Non-Governmental Organization (MIHOSO) in water and sanitation responded that the district has water and sanitation plan. It was realized that the full awareness of the availability of DWSP by CWSA and MIHOSO is as a result of the partnership role played in the process. The wide difference in response is an indication that the District Assembly needs to adopt a combination of the Arnstein"s Ladder of participation to involve the grassroots in the planning and implementation of DWSPs.

#### ***4.2.3 Access to Water and Sanitation Facilities***

The survey was also meant to identify the mode of delivering water and sanitation facilities in the District. This information was gathered through how the communities access water and sanitation facilities. In accessing water and sanitation facilities in the District, it was realized that the

community either informs the Assembly member/chief who in turn informs the Assembly or they inform the District Chief Executive (DCE) during his official interaction with communities or their needs will be captured in the MTDP/DWSP. The details of how communities access water and sanitation facilities are shown in table 4.2.

**Table 4.2: Mode of accessing water and sanitation facilities**

Respondents	Total respondents	Inform Assembly Member/Chief		Inform DCE during Official Interaction		Needs captured in MTDP/DWSP	
		Absolute	Percent	Absolute	Percent	Absolute	Percent
CWSA	1	0	0	0	0	1	100
Staff of the DA	2	0	0	0	0	2	100
Area Council	4	2	50.0	1	25.0	1	25.0
WATSAN	4	2	50.0	1	25.0	1	25.0
Households	500	344	68.8	108	21.6	48	9.6
Assembly Members	37	1	2.7	6	16.2	30	81.1
Women's Group	50	26	52.0	15	30.0	9	18.0
NGO (MIHOSO)	1	0	0	0	0	1	100.0
Opinion Leaders	50	38	76.0	8	16.0	4	8.0
<b>Total</b>	<b>649</b>	<b>413</b>	<b>63.7</b>	<b>139</b>	<b>21.4</b>	<b>97</b>	<b>14.9</b>

Source: Field survey 2013

It is observed from table 4.2 that out of the 649 respondents, 63.7 percent responded that they inform the Assembly member or chief of the area of their needs and they will also communicate to the District Assembly. Also, a little over a fifth of the respondents inform the District Chief Executive (DCE) during his official interaction with communities while 14.9 percent said their needs are captured in the MTDP/DWSP. According to the District Planning Officer, needs assessment are carried out in selected communities whenever they are preparing a plan which implies that the few respondents (14.9%) in a way contributed to the MTDP/DWSP.

Again, it is realized from the table above that majority of the opinion leaders, households, women's group as well as WATSANs and Area Councils rely on the Assembly member or chief to get their needs communicated to the District Assembly. The Assembly members testified to the responds

of the households and other direct beneficiaries of water and sanitation facilities that they also inform the plan preparation team about the needs of their electoral areas.

On the part of CWSA, Non-Governmental Organization and the Assembly staff, community needs for water and sanitation facilities are captured in the district water and sanitation plan (DWSP) as well as the medium term development plan (MTDP). It is observed from table 4.2 that only 9.6 percent of households, 8 percent of opinion leaders and 18 percent of women's group who are direct beneficiaries of water and sanitation facilities knew that their needs are captured in the MTDP/DWSP. This situation also applies to Area Councils and WATSANs as only a quarter responded that their needs are captured in the plan. In order to ensure sustainability of water and sanitation facilities and also achieve water coverage in the District, the District Assembly should involve all stakeholders in its planning, implementation, monitoring and evaluation.

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

The survey was also aimed to ascertain the level of implementation of the water and sanitation projects as contained in the DWSP/DMTDP. The findings from the DMTDP/DWSP and the 2012 Annual Progress Report (APR) are presented in table 4.3 below.

**Table 4.3: DA's Performance in the implementation of Water and Sanitation Projects**

<b>Type of facility</b>	<b>Proposed No. of projects</b>	<b>Actual implemented</b>	<b>Percentage implemented</b>
Boreholes	60	28	46.7
Small Town Water System	2	1	50.0
Institutional Latrines	12	4	33.3
Public Latrine	4	1	25.0
<b>Total</b>	<b>78</b>	<b>34</b>	<b>43.6</b>

Source: Annual Progress Report, 2012

It is observed from table 4.3 that only 43.6 percent of the proposed water and sanitation facilities earmarked within the plan period were implemented. Again, only small town water system had



half of the proposed facilities implemented but less than half of the remaining projects were implemented.

From the data above which was extracted from the Nkoranza North District Assembly's 2010-2013 DMTDP and 2008-2012 DWSP revealed that out of the 60 boreholes proposed for implementation, only 43.6 percent were implemented. Also, on the aspect of sanitation, only 31.3 percent were implemented comprising of institutional latrines (33.3%) and public latrines (25%). It was realized that the District Assembly was not able to implement the planned projects due to inadequate funding, lack of political commitment to the implementation of the DWSP, short period of implementation of the plan as the period of preparation of the DWSP eat so much into the implementation period and lack of mid-term review of the DWSP. The study also revealed that the DA 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.

#### ***4.2.5 Preparation of Monitoring and Evaluation Plan for Implementation of the DWSP***

The study proved that the District Assembly prepares monitoring and evaluation plans for implementation of the DWSP. The responses of the respondents as captured in table 4.4 below vividly touch on the preparation of monitoring and evaluation plan for the implementation of DWSP.

**Table 4.4: Preparation of Monitoring & Evaluation Plan for the Implementation of DWSP**

Respondents	Total No. of Respondents	Availability of M&E plan		Non availability of M&E plan		Uncertain	
		Absolute	Percent	Absolute	Percent	Absolute	Percent
CWSA	1	1	100.0	0	0	0	0
Staff of the DA	2	2	100.0	0	0	0	0
Area Councils	4	2	50.0	1	25.0	1	25.0
Households	500	169	33.8	44	8.8	287	57.4
Assembly Members	37	31	83.8	2	5.4	4	10.8
NGO (MIHOSO)	1	1	100.0	0	0	0	0
WATSAN	4	2	50.0	1	25.0	1	25.0

Women's Groups	50	13	26.0	15	30.0	22	44.0
Opinion Leaders	50	25	50.0	5	10.0	20	40.0
<b>Total</b>	<b>649</b>	<b>246</b>	<b>37.9</b>	<b>68</b>	<b>10.5</b>	<b>335</b>	<b>51.6</b>

Source: Field Survey, 2013

Table 4.4 reveals that 51.6 percent of the respondents were not certain whether the District had prepared monitoring and evaluation plan for the implementation of the DWSP. Again, 37.9 percent of the total respondent responded that the monitoring and evaluation plan was available while only 10.5 percent said the document is not available. However, a detailed study carried out on the DWSP indicated that the District Assembly incorporated M&E plans in their DWSP but this is not properly communicated to beneficiary communities. The study can therefore conclude that as a matter of practice, the District Assembly prepares plans for monitoring and evaluation of the DWSP and as such should consult, placate and partner the beneficiary communities and other stakeholders. These steps on the citizen's participation ladder help to sustain development projects and programs during and after implementation.

#### **4.2.6 Monitoring Implementation of the DWSP**

Monitoring is one of the key ingredients for a successful project implementation. The survey checked whether the District monitor their water and sanitation plan implementation or not. The detailed responses of the respondents are presented in table 4.5 below.

**Table 4.5: Monitoring the Implementation of DWSP**

Respondents	Total Number of Respondents	Monitor Implementation of DWSP		Do not Monitor Implementation of DWSP	
		Absolute	Percent	Absolute	Percent
CWSA	1	1	100.0	0	0
Staff of DA	2	2	100.0	0	0
Area Councils	4	2	50.0	2	50.0
Households	500	338	67.6	162	32.4
Assembly Members	37	19	51.4	18	48.6
NGO (MIHOSO)	1	1	100.0	0	0

WATSAN	4	2	50.0	2	50.0
Women's Groups	50	35	70.0	15	30.0
Opinion Leaders	50	38	76.0	12	24.0
<b>Total</b>	<b>649</b>	<b>438</b>	<b>67.5</b>	<b>211</b>	<b>32.5</b>

Source: Field survey 2013

It is observed from the table that 67.5 percent of the total respondents said the District Assembly monitored the implementation of DWSP while the remaining 32.5 percent responded otherwise. It is also realized that all respondents from CWSA, staff of DA, NGO in water and sanitation responded that the DA monitored the implementation of water and sanitation projects. Again, more than half of households, opinion leaders, and women's group testified that the Assembly monitored the implementation of the DWSP. On the other hand, half of area councils and WATSAN committees said the Assembly does not monitor the implementation of the DWSP while less than half of households, women's group and opinion leaders responded same. It is observed from the Assembly members that close to half (48.6%) are not aware that the Assembly monitored the development projects and programs as far as water and sanitation are concerned. From the analysis, it can be concluded that the DA monitored the implementation of the DWSP. The study also established that monitoring was done with the involvement of majority of the stakeholders such as the CWSA, WATSAN, opinion leaders, chiefs, contractors and consultants to the projects and programs.

#### **4.2.7 Evaluation of Plan Implementation**

Planning is iterative and for that matter each of the stages of the plan implementation process should be evaluated. In view of this, the survey enquired from the various stakeholders whether the district evaluates their planning and implementation process. The detailed responds from the stakeholders are shown in table 4.6 below.

**Table 4.6: Evaluation of the DWSP**

Respondents	Total number of respondents	Evaluate Implementation of DWSP		Do not Evaluate Implementation of DWSP	
		Absolute	Percentage	Absolute	Percentage
CWSA	1	0	0	1	100.0
Staff of DA	2	0	0	2	100.0



Area Councils	4	0	0	4	100.0
Households	500	0	0	500	100.0
Assembly Members	4	0	0	4	100.0
NGO in Water & sanitation	1	0	0	1	100.0
WATSAN	4	0	0	4	100.0
Women's Groups	50	0	0	50	100.0
Opinion Leaders	50	0	0	50	100.0
<b>Total</b>	<b>649</b>	<b>0</b>	<b>0</b>	<b>649</b>	<b>100.0</b>

Source: Field survey, 2013

The study found out that whereas the monitoring aspect of the monitoring and evaluation plans was designed by the District Assembly (DA), nothing was done in the area of evaluation. All the 649 respondents including the staff of the Assembly and CWSA said that the DA did not evaluate projects and programmes they implement under the DWSP. It is clear from the respondents that evaluation as a development activity has never been a practice of the Assembly. Monitoring and evaluation plans although were prepared together, are only as a matter of practice and not that the DA carried out evaluation as a development activity.

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

As required by the NDPC's plan preparation guidelines, all development plans including DWSPs and MTDPs are to be reviewed periodically to make them relevant to achieve goals and objectives for which they were developed. This section of the research tries to find out from the respondents whether or not the DA updated their DWSP to make it 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 649 respondents including those from the DA and CWSA said they are not aware of the district ever reviewing its DWSPs during their periods of implementation. This indirectly means that the four year DWSPs prepared by the DA did not benefit from any midterm review. This is not the best because after two years of plan implementation without review, community aspirations and prices could have changed. These changes can affect the ability of the DA to fully implement the plan, hence the need for review to set the plans within the right context. In responses to why the DA did not review its DWSP, the DA staff made it clear that plan review

has not been a feature of planning within the DA. In addition, the DA was of the view that lack of adequate funding for the implementation of DWSP made it difficult for them to adequately organize stakeholder meetings\workshops to review plans.

### **4.3 Mode and Nature of Community Participation in Water and Sanitation Delivery**

This section of the survey examines the mode, process and nature of community involvement in the delivery of water and sanitation services. The survey concentrated on the stages of stakeholder participation in the planning and implementation processes of the plans as well as monitoring and evaluation.

#### ***4.3.1 Stakeholders Involvement in the Planning Process***

The planning process adopted for the provision of water and sanitation facilities in the District is the Braimah's model. It was revealed that stakeholders were involved at various stages of the process as shown in table 4.7. However, the key stakeholders were not involved in key areas such as identification of potentials and constraints, formulation of goals, objectives, policies and strategies as well as formulation of development programmes and projects among others during plan preparation.

**Table 4.7: Stakeholders Involvement in the Planning Process**

<b>Stages</b>	<b>Planning Process</b>	<b>Stakeholders involvement during Plan Preparation</b>
Stage 1	Problem Identification	District Assembly/ District Water & Sanitation Team
		Households
		Opinion Leaders/Chiefs/ Assembly Members
		Area Council Members
		Non-Governmental Organization (NGO)
Stage 2	Identification of Potentials and	Community Water and Sanitation Agency (CWSA)

	Constraints	District Assembly/ District Water & Sanitation Team
		Opinion Leaders/ Chiefs/ Assembly Members
Stage 3	Formulation of goals, objectives, policies and strategies	District Assembly/ District Water & Sanitation Team
Stage 4	Projection	District Assembly/ District Water & Sanitation Team
Stage 5	Identification and selection of priorities	District Assembly/ District Water & Sanitation Team
Stage 6	Identification and Selection of Development Projects	District Assembly/ District Water & Sanitation Team
Stage 7	Deliberation and adoption of plan	District Assembly/ District Water & Sanitation Team
		Opinion Leaders/Chiefs/ Assembly Members
Stage 8	Plan Implementation	Community Water and Sanitation Agency (CWSA)
		District Assembly/ District Water & Sanitation Team
		Opinion Leaders/Chiefs/ Assembly Members
		Non-Governmental Organization (NGO)
Stage 9	Monitoring	Community Water and Sanitation Agency (CWSA)
		District Assembly/ District Water & Sanitation Team
		Opinion Leaders/Chiefs/ Assembly Members
		Non-Governmental Organization (NGO)
		Area Council Members
		Households
Stage 10	Evaluation	The District does not evaluate their plans, projects and programmes

Source: Author's Construct, 2013

The study also identified the mode of involvement of the stakeholders in the stages of the planning process and has been analyzed in relation to the citizen's participation ladder.

This first stage of the process, problem identification, is where community developmental needs relating to water and sanitation are identified. Table 4.7 reveals that stakeholders such as Area Council Members, Non-Governmental Organization (NGO), Opinion Leaders/Chiefs/ Assembly Members and Households were involved during the plan preparation. However, it was realized from the study that the participation of these stakeholders took the rung of consultation and



placation as indicated in the participation ladder. This rung of participation does not give power and control to the citizens and for that matter their participation take the form of tokenism.

Identification of potentials and constraints of the communities is participated by only chiefs/opinion leaders/Assembly Members and the power holders (District Assembly and CWSA). Again, at this stage of the process, the power holders use the consultation form of participation through workshops and in some cases public hearings for the MTDP. When power holders restrict the input of citizens' ideas solely to this level, participation remains just a window-dressing ritual.

It is realized from the table that during formulation of goals, objectives, policies and strategies Projection, Identification and selection of priorities and Identification and Selection of Development Projects the beneficiary stakeholders were not involved. This clearly shows that there was no participation and for that matter the citizens did not prioritize their developmental needs. According to the District Planning Officer, the non-involvement of the citizens at these stages of the planning process can be attributed to the technical nature of those stages.

Stage Seven (7) of the process which is deliberation and adoption of plan is where the draft plan is presented to the General Assembly for the approval. At this stage, all Assembly Members which include representatives of the traditional council participate in the process. The form of participation here is consultation and placation which is still tokenism. The focus of the power holders is to have evidence that they have gone through the required motions of involving the approval authority. However, although the citizens may advise or make additions to the plan, power holders have the right to judge the legitimacy or feasibility of the advice.

The last stages of the process are plan implementation, monitoring, and evaluation. Table 4.7 reveals that all key stakeholders participate in plan implementation and monitoring. It was realized that in most cases, the participation of citizens during plan implementation take the form of partnership as the chief of a beneficiary community has to release a land without any cost for the project. On the other hand, monitoring of the plan with stakeholders takes the form of consultation and placation. However, it is observed from the table that the District Assembly does not evaluate their plans, projects and programs.

#### **4.3.2 Participation of key Stakeholders in the Preparation of the DWSPs**

The guideline issued by National Development Planning Commission (NDPC) for the preparation of the 2010 – 2013 medium term development plan stressed that plans should be participatory. The essence of this section of the study is to find out whether or not the District Assembly as expected involved the key stakeholders such as the Area Councils, opinion leaders, beneficiary communities and WATSAN committees in the preparation of the DWSP. The responses received from the survey are presented in table 4.8 below.

**Table 4.8: Participation of Key Stakeholders in the Preparation of the DWSP**

Respondents	Total number of respondents	Involved		Not Involved	
		Absolute	Percentage	Absolute	Percentage
CWSA	1	1	100.0	0	0
DA Staff (DWST)	2	2	100.0	0	0
Area Councils	4	1	25.0	3	75.0
Households	500	123	24.6	377	75.4
Assembly Members	37	37	100.0	0	0
NGO (MIHOSO)	1	0	0	1	100.0
WATSAN	4	2	50.0	2	50.0
Women"s Groups	50	13	26.0	37	74.0
Opinion Leaders	50	8	16.0	42	84.0
<b>Total</b>	<b>649</b>	<b>187</b>	<b>28.8</b>	<b>462</b>	<b>71.2</b>

Source: Field survey 2013

The data captured 649 individuals from 50 communities and three institutions. Out of the 649 respondents, only 28.8 percent were involved in the preparation of the DWSP while 71.2 percent were not involved. It was realized that the involvement of CWSA was as a result of their role of giving technical back-up to the Assembly and the DWST is the body that prepares the plan. Again, all the 37 Assembly members contacted were involved as they approved and adopted the plan. However, the NGO (Mission of Hope for Society Foundation) in water and sanitation was not involved in the preparation of the DWSP. Also, it was noticed that more than three quarters of households, opinion leaders, women"s group and area councils were not involved in the plan preparation. This clearly confirms the poor collaboration between these stakeholders and the

District Assembly in the area of water and sanitation delivery. What was significant was that a portion of the community level stakeholders interviewed confirmed their involvement in the preparation of the DWSP. From the study, the key areas that the District Assembly involved some of the communities in the planning processes included data collection, stakeholder workshops, approval and adoption of the DWSPs. From the responses, it could be concluded that to some extent the DA is conforming to the guidelines for the preparation of DWSPs as far as participation of the beneficiary communities were concerned.

However, interaction with the opinion leaders revealed that the focus of the DA in community participation was often limited to the involvement of the WATSAN while the low participation of the area councils can be attributed to the nonfunctioning of three area councils. Despite the fact that they are in the minority, it is important to increase the scope of participation in the preparation of the DWSP to cover more community members especially households and women's group since they are directly affected by water and sanitation activities. This would help enhance community ownership and increase community participation during implementation of the plan.

#### ***4.3.3 Community Involvement in the Implementation of DWSP***

This section assesses whether or not the District Assembly involves beneficiary communities in the implementation of approved plans. The outcome of the survey is presented in the table below.

**Table 4.9: Involvement of Beneficiary Communities in the Implementation of DWSP**

Respondents	Total No. of Respondents	Beneficiary Communities Involved		Beneficiary Communities Not Involved	
		Absolute	Percentage	Absolute	Percentage
CWSA	1	1	100.0	0	0
Staff of the DA	2	2	100.0	0	0
Area Councils	4	3	75.0	1	25.0
Households	500	456	91.2	44	8.8
Assembly Members	37	30	80.0	7	20.0
NGO (MIHOSO)	1	1	100.0	0	0
WATSAN	4	2	50.0	2	50.0



Women's Groups	50	30	60.0	20	40.0
Opinion Leaders	50	28	56.0	22	44.0
<b>Total</b>	<b>649</b>	<b>553</b>	<b>85.2</b>	<b>96</b>	<b>14.8</b>

Source: Field survey, 2013

Table 4.9 clearly shows that the level of involvement of stakeholders in the implementation of water and sanitation plans is very good. It is observed from the table that as high as 85.2 percent of the total respondents were involved in the implementation of water and sanitation plans while only 14.8 percent were not involved. It is also realized that more than half of all the stakeholders were involved during the implementation of the DWSP. From the study, the common areas the communities were involved during the delivery of water and sanitation facilities include formation of community level management committees (WATSAN), stakeholder meetings during project implementation, project monitoring, management, operation and maintenance of water and sanitation facilities within the communities. In managing, operating, and maintaining water and sanitation facilities, all communities in the District have adopted the pay as you fetch or attend system. These facilities are managed by the WATSAN committees in the communities.

On the other hand, the few 14.8 percent of the stakeholders who are not involved in the implementation of the DWSP should not be over looked. They comprise one Area Council, 44 households, four Assembly members, two WATSAN, 22 opinion leaders and 20 women's group. Whereas the non-involvement of one Area Council was attributed to non-functionality, the households, Women's groups, opinion leaders and some Assembly members also attributed it to the unwillingness of the Assembly to involve them in such activities. It was deduced that not all stakeholders are called upon during implementation of development projects. Even though they are only 96 out of 649, it is important to widen the scope of involvement during implementation of DWSP to ensure total ownership, management and sustenance of water and sanitation projects in the district.

#### ***4.3.4 Stakeholder Involvement in Monitoring Process***

To ensure ownership and sustainability of development projects like water and sanitation, participation of stakeholders is used in all the planning and implementation process. On the

stakeholder involvement in monitoring process, the survey gathered data responses from the various stakeholders on their level of participation during monitoring.

**Table 4.10: Involvement of Stakeholders in the Monitoring Process**

Respondents	Total number of respondents	Involved in monitoring		Not involved in monitoring	
		Absolute	Percent	Absolute	Percent
CWSA	1	1	100.0	0	0
Staff of DA	2	2	100.0	0	0
Area Councils	4	2	50.0	2	50.5
Households	500	388	77.6	112	22.4
Assembly Members	37	31	83.8	6	16.2
NGO (MIHOSO)	1	1	100.0	0	0
WATSAN	4	2	50.0	2	50.0
Women's Groups	50	38	76.0	12	24.0
Opinion Leaders	50	40	80.0	10	20.0
<b>Total</b>	<b>649</b>	<b>505</b>	<b>77.8</b>	<b>144</b>	<b>22.2</b>

Source: Field Survey, 2013

From Table 4.10 above, 505 representing 77.8 percent of the respondents confirmed their involvement in the monitoring process while the remaining 22.2 percent responded otherwise. From the analysis, it can be concluded that the District Assembly collaborates with the beneficiary community and other stakeholders in monitoring the delivery of water and sanitation projects. This confirms the fact that the District Assembly monitors and involves stakeholders and the community in the monitoring process. However, the DA should put measures in place to incorporate the remaining 22.2 percent who are not involved in the monitoring process to enhance total community participation and ownership. The monitoring is sometimes in the form of site inspections and site meetings.

#### **4.4 Institutional Capacity in Water and Sanitation Delivery**

The capacity of the Nkoranza North District was discussed from the perspective of human, financial, and material resources. These three aspects of capacity gave a clear view of the District's strength to involve the communities and other stakeholders in developing and implementing plans.

On the issue of human resources to develop plans for the District, it was realized that the secretariat of the District Planning Co-ordinating Unit (DPCU) has one Development Planning Officer and he was assisted by a national service person. The educational qualification of the planning officer was a first degree in social science. The District had established a District Water and Sanitation Team (DWST) comprising of an Engineer, Environmental Health Officer and a Community Development Officer. It was realized from the survey that the DWST has not had adequate training in relation to plan preparation. In view of this, the District Water and Sanitation Plan (2008–2012) was developed by a consultant.

The DPCU which is the secretariat for development planning has inadequate equipment and logistics to function effectively and efficiently. The unit has an office with two tables and chairs as well as a laptop and a printer. The unit has no means to visit communities for necessary discussions especially during plan preparation. However, some of the training equipment (flip chart stand and projector) are borrowed from other departments.

In terms of finances, the District Assemblies Common Fund (DACF) has over the years been the main source of funds for funding virtually every development activities, projects and programme within the Nkoranza North District. Unfortunately, only 7.5 percent of the revenue mobilized in the consolidated fund is disbursed as common fund to 216 Metropolitan/Municipal/District Assemblies. According to the District Planning Officer, the 2012 DACF allocation to the Nkoranza North District was GH¢1,255,002.45. Out of this amount, 85 percent representing GH¢1,066,752.08 came to the district. He said all developmental programmes and projects including water and sanitation related activities relied on this fund. Meanwhile, the District's 2012 annual action plan budgeted for GH¢1,565,421.00. This implies that the District may not have adequate funds to carry out all activities and also involve all stakeholders especially communities in all projects planning and implementation processes. The survey revealed that the District does not receive adequate funds to prepare development plans such as DWSP and MTDP. According to the District Planning Officer, only GH¢2,000.00 was released for the update of the 2012 – 2016 water and sanitation plan. On the other hand, this GH¢2,000.00 for the update was released in the first quarter of 2013 and this does not give room for adequate stakeholder participation especially the communities.



These clearly revealed the inadequate capacity of the District to support participatory planning at the lower council level. This situation arises from the fact that most of the staff at the District level, have become used to a top- down approach to development. Thus, they are used to planning for and not with the people.

The study also revealed that the District Assembly does not initiate the preparation of the DWSP themselves. They are always prompted by Community Water and Sanitation Agency (CWSA). In view of this, there is low commitment in the preparation of the DWSPs. The DCE who serves as both the political and administrative head of the DA and therefore decides how resources should be distributed and where they should go showed little commitment towards resource allocation for the preparation of the DWSP. Authorities of the District often hold the wrong impression that with or without the DWSP, they could achieve their aim in the water and sanitation sector.

#### **4.5 Factors Militating against Community Participation in Water and Sanitation Delivery**

Although community participation in water and sanitation delivery is essential for the ownership and sustainability of the facility, the study identified some factors that hinder community participation in the delivery of water and sanitation services. Some of these factors are discussed below.

##### ***4.5.1 Community Participation Delays the Process of Service Delivery***

The study established that one of the major challenges militating against community participation in water and sanitation delivery is that it delays the planning and implementation processes. Preparation and issuance of guidelines for plan preparation at the district level is the responsibility of the National Development Planning Commission (NDPC). The guideline which is in line with the planning process identifies the community as a key stakeholder in the plan preparation. Starting from problem identification to monitoring and evaluation, communities have a stake in each of the stages of the planning processes.

According to the Nkoranza North District Planning Officer (DPO), the capacities of the communities need to be built so as to be part of the process. He emphasized that the capacity building for the communities alone may take not less than three months. Meanwhile, these plans have limited time frame to be submitted to the Regional Coordinating Council and National Development Planning Commission. Again, it was deduced from the DPO that community members drag issues during community interaction on the plan preparation especially at dialogue sessions which delay the process. The study revealed that community participation in the planning process is time consuming and a complex process.

#### ***4.5.2 Inadequate Financial Resources***

Inadequate funds/resources cut across responses of the District Assembly and CWSA staff as a major setback of community participation in water and sanitation delivery. The District Assembly has three main revenue generation areas. They include Internally Generated Funds (IGF), District Assembly Common Fund (DACF), and District Development Fund (DDF). However, the IGF was just about two percent of the total annual revenue of the District which was not adequate for the implementation of IGF planned activities. The District Assembly Common Fund (DACF) was the main source revenue to the District but the District received only 85 percent of the allocation in 2012. Meanwhile, the planned activities were more than the allocation given to the district. The third source of revenue was the District Development Fund. This fund (DDF) is a performance based fund which has strict guidelines for physical development and capacity building. In all, only about 75 percent of the planned financial resources for the development of the district were received and this hinders the developmental agenda of the area.

#### ***4.5.3 Untimely Release of funds for the Preparation of Plans***

Untimely release of funds for the preparation of development plans is one of the key factors militating against community participation in water and sanitation plan preparation. It was realized from the study that although there was allocation for the District Water and Sanitation Plan preparation in the annual budget, the money was not released on time for the planning process to start. Meanwhile, NDPC set deadlines for the submission of the plans just right after the release of the guidelines. This in effect does not give room for the plan preparation team to involve all the stakeholders in the preparation of water and sanitation plan.

Again, the political and administrative head of the District, the District Chief Executive, does not see the medium term development plan and the water and sanitation plan as a necessary development tool for achieving political ambitions and for that matter unwilling to release funds for the plan. It was also realized that the funds are released for the preparation of the DWSP because Community Water Sanitation Agency demands it and not because it is scientifically proven process of meeting the real needs of the people.

#### ***4.5.4 Inadequate technical know how***

Participatory planning needs to be facilitated by appropriate expertise so as to determine who should participate, how and what will be the scope of participation and also how much weight should be given to wishes and demands expressed as compared to priorities already set by official authorities. As established by the survey, the District Assembly had inadequate professionals who have the expertise to guide the planning process as well as the participation of stakeholders. It was observed that the DA does not have staff with the requisite expertise to develop appropriate tools for data collection and analysis for preparation of the DWSP.

A range of characteristics such as technology used to implement project activities can be effective to community participation. The technology used in water and sanitation delivery has direct link with sustainability of project services especially when operational and maintenance costs are to be met by the beneficiary communities. It was realized that the newly recruited officer had inadequate knowledge of these community friendly technologies used in water and sanitation delivery. This made community participation in water and sanitation delivery more complex and difficult.

#### **4.6 Conclusion**

The analysis carried out so far establishes that there are critical challenges in the level of community participation in water and sanitation delivery in the Nkoranza North District. The existing situation of community participation in water and sanitation is rarely sustainable and it is incumbent on the District Chief Executive, the District Water and Sanitation Team, and all other stakeholders in the District to commit considerable efforts to the issue of participation. Indeed measures to promote community participation in service delivery especially water and sanitation



is crucial for sustainability of development projects and programs in the District. A number of findings were made from the discussions and recommendations to address these findings proffered. The final phase of the study examines these findings and recommendations.

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

### **5.1 Introduction**

The concept of sustainable rural water and sanitation delivery has traditionally revolved around the web of interaction among communities, opinion leaders, local government and other stakeholders. This concept has developmental effect on the socio-economic as well as the environmental sector. The research focused on community participation in the planning, implementation, monitoring and evaluation of water and sanitation services in the Nkoranza North District. This section discusses the key summary of the findings of the study, recommendations made to improve future community participation in rural water and sanitation delivery, and the conclusions of the study.

### **5.2 Summary of the Findings**

#### ***5.2.1 The District Assembly Prepares Water and Sanitation Plan (DWSP)***

The study established that the Nkoranza North District Assembly prepared water and sanitation plan as a condition for accessing water and sanitation facilities under the National Community Water and Sanitation Programme (NCWSP). As confirmed from District Planning Officer, every four years, CWSA facilitates the preparation of DWSP in the District but as a newly created District it was the first time of developing such a plan. The DWSP catalogue water and sanitation needs of the various communities in the district and unless a community is captured in the DWSP, it may not be supported within the period of implementation of the DWSP. The DWSP also outline the responsibilities of the stakeholders as well as total budget/cost for the implementation of the plan.

#### ***5.2.2 The District Assembly Prepares other Development Plans for the Provision of Water and Sanitation Facilities***

It was realized from the study that in addition to the DWSP, the District Assembly prepares other development plans for delivery of water and sanitation facilities. These other plans are the District Medium Term Development Plan (DMTDP), Annual Action Plan (AAP) and the District Environmental and Sanitation Strategic Action Plan (DESSAP). Whereas the DMTDP has wider perspective than the DWSP as they take care of all development issues within the district in the

medium term, the AAP focuses on what the district intends to implement within a single year whilst the DESSAP focuses on general sanitation issues within the medium term. Thus even without the DWSP, a district could still have a plan that provides skeletal issues on water and sanitation in the district.

### ***5.2.3 Involvement of Stakeholders in the Preparation of the DWSP***

The study revealed that key stakeholders such as households and opinion leaders (Chiefs/ Assembly members) as well as WATSAN committees in the beneficiary communities are involved in the preparation of the DWSP. They provided the data needed for the plan preparation, participated in stakeholder workshops, participated in planning and budgeting and in approval of the DWSP. Thus the communities can be said to be duly involved in the preparation of the DWSP. However, this process obviously delayed the process of preparing the DWSP as it took a lot of time to mobilize the communities to get their inputs in preparation of the DWSP.

### ***5.2.4 DWSP Overloaded with Programmes and Projects***

The survey further revealed that the District Assembly overloaded the DWSP 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 DWSP but the Assembly captures the requests as they receive from the communities and since every community demands a water and or sanitation facility, the DWSP was overloaded. It was realized from the Nkoranza North District Water and Sanitation Plan that out of the 99 rural/small town communities, 87 of them were captured as needing a type of water and or sanitation facility within the timeframe. The study revealed that the root cause of the overloaded DWSP was the fact that the DWSP is funded by the International Development Agency (IDA) through the CWSA and since the DA does not know the money available to them during the preparation of the DWSP, they tend to capture all the water and latrine needs of the communities with the hope that some of them would be picked for funding by the CWSA/IDA.

### ***5.2.5 The District Assembly does not Review/Update the DWSP***

The study also established that the DA does not review/update its DWSP. Plan review is an important exercise as it makes the plan realistic and up to date with the times. The District



Assembly unfortunately does not attach much importance to plan review as an important aspect of the plan implementation process. Often, the District Assembly does not budget for plan review and even when there is provision, there was no commitment to carry out that exercise. This problem partly answers why the District Assembly was unable to fully implement the DWSP.

#### ***5.2.6 The District Assembly Monitors but does not Evaluate DWSP***

The study established that in addition to the DWSP, the District Assembly prepares monitoring and Evaluation Plan for the implementation of the DWSP. 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 the District Assembly was expected to give progress report on the implementation of the projects. As part of the monthly meetings, CWSA organizes 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 DWSP.

#### ***5.2.7 Involvement of Beneficiary Communities in the Implementation of DWSP***

The research revealed that the District Assembly actively involved 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 (WATSAN), 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 participation in project monitoring and project operation and maintenance. The involvement of community members in preparation and implementation of the DWSP 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 opinion that the District Assembly does not involve them in areas such as selection of consultants/contractors, signing of contracts documents and certification for payments of work done during the implementation.

### ***5.2.8 Inability to implement larger portions of the DWSP***

The survey also established that the DA was unable to implement larger portions of the approved DWSPs. As discussed earlier, all the respondents indicated that the DAs were unable to implement 30 percent of their DWSP due to a number of challenges. These challenges included overloaded DWSP, inadequate funding, shorter period for the implementation of the DWSP and non-conformity to implementation of water and sanitation projects within the DWSP. This cycle of poor implementation of approved development plans such as the DWSP has contributed in no small way in killing the enthusiasms of the communities in the preparation of the plan as some community members see the collaboration between District Assembly and the Community for development plan preparations as mere speech-making rather than concrete efforts aimed at solving their pressing needs.

## **5.3 Recommendations**

Based on the key findings of the study, the following recommendations are made to help improve future community participation in water and sanitation delivery in the Nkoranza North District.

### ***5.3.1 Timely Release of Guidelines for Plan Preparation***

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 in advance of their implementation. This can only be done when bodies such as the National Development Planning Commission (NDPC) which have responsibilities of releasing the guidelines for the preparation of development plans do so on time. However, it was realized from the District that NDPC was unable to issue the guideline for preparing the DWSP on time because it has to wait for the development agenda of the ruling government. This does not encourage total participation of all stakeholders especially beneficiary communities as the plan needs to be prepared within a short period for implementation. For instance, a plan which stretches from 2008 to 2012 and the guidelines were released in 2009. When it happens like this, obviously the District Assembly will reduce stakeholder involvement in the plan preparation in order to meet deadlines.

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.

### ***5.3.2 Increasing 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 DWSP. However, from the view point of the communities, there is the need for more transparency and accountability from the District Assembly in the implementation of water and sanitation projects. It is their shared opinion that in other areas, the District Assembly can involve beneficiary communities in all the implementation levels which include 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 CWSA should include in its project implementation guidelines for the beneficiary communities to have representation during procurement of consultants/contractors. In 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 committees on behalf of the communities. Similarly, the guidelines could provide that community progress reports endorsed by the Chairman of the WATSAN committee become condition for payment to contractors and consultants for work done on a project.

### ***5.3.3 Empowering the Area Councils to oversee the activities of the WATSAN***

Under the decentralization structure in Ghana, Urban/Town/Area Councils are important substructures for effective implementation of the decentralization concept. Just as the DA is



supposed to report to the national levels through the RCCs, so also community level public management bodies such as the WATSAN committees should report to the DA through Urban/Town/Area Councils. Unfortunately, from the study district, there were no direct representations of the councils on the WATSAN neither were there any direct linkage between the Town/Area Councils and the WATSAN 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 hence they were unable to call them to order when the need arose. To empower the Councils to monitor the WATSAN, it is recommended that the MLGRD and CWSA which have oversight responsibilities over the DA in governance and water and sanitation provision respectively issue guidelines for participation of the councils in water and sanitation for compliance by the DA.

#### ***5.3.4 Resource the DWST to effectively Monitor Implementation of the DWSP***

Monitoring of projects and programmes implementation are crucial if they are to be implemented as planned and set objectives are to be achieved. Unfortunately, the District Assembly does not put premium on monitoring as a key activity of project implementation. In the implementation of the DWSP, monitoring of the process is often initiated by CWSA. The study identified that the inability of the District to effectively monitor the implementation of the DWSP was traced to poor financing of the DWST which is the technical wing of the Assembly in water and sanitation. The DWST lack effective means of transport and other logistics to motivate them for regular monitoring. Until the CWSA and the RCC compel the District Assembly to make budgetary provisions for monitoring the implementation of the DWSP by the DWST, the Assembly will continue to pay lip service to monitoring of the DWSP.

#### ***5.3.5 Timely release of funds for the Preparation of Development Plans***

Another serious challenge of preparing and implementing development plans such as the DWSP at the district level is inadequate commitment of the District Chief Executives (DCEs) who are both political and administrative heads of the Assembly. It was realized from the study that the DCE does not see the development plans as a very necessary development tool for achieving their political ambitions. Consequently, he is unwilling to release funds for the plan preparation. In fact

the DCE only succumb to preparation of the DWSP because CWSA demands it and not because it is scientific proven process of meeting the real needs of the people. To help resolve this problem and improve commitment of 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 release of funds for the preparation of development plans. Once signed, it should be part of the indicators used in assessing their performance as a District Chief Executive.

#### ***5.3.6 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 DWSP 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, RCC and CWSA that have oversight responsibilities in plan preparation and implementation over the District Assembly to make them review their plans as and when needed.

This can be done if the NDPC, MLGRD, RCC and CWSA demand the mid-term plan review reports just as they demand the annual progress reports on the implementation of the DMTDP.

#### ***5.3.7 The District Assembly should be empowered to source funds***

One major problem why the District Assembly is unable to fully implement the DWSP is lack of adequate funding. The District Assembly over rely on District Assembly Common Fund (DACF) and donor funding mostly from the International Development Agency (IDA) for the implementation of water and sanitation projects. It was also realized that within the DA no development plan has been fully implemented within the timeframe, however, it cannot be contested that if there were other ways of accessing funds other than the DACF and the Internally Generated Funds (IGF) for implementation of the DWSP, the situation will 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.

#### ***5.3.8 The need to promote Evaluation as a key Development activity in the District Assembly***

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 District Assembly does not evaluate the impact of water and sanitation facilities they provide to the communities so they are unable to assess the extent to which the interventions have impacted on the livelihood of the communities. One therefore wonders on what basis the Assembly replicates the same water and sanitation facilities to different communities within the district. To help improve evaluation at the district level, the MLGRD and CWSA should build capacity of key District Assembly 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 District Assembly, evaluation of implemented water and sanitation projects can then be used as a yardstick to access different categories of water and sanitation facilities under NCWSP.

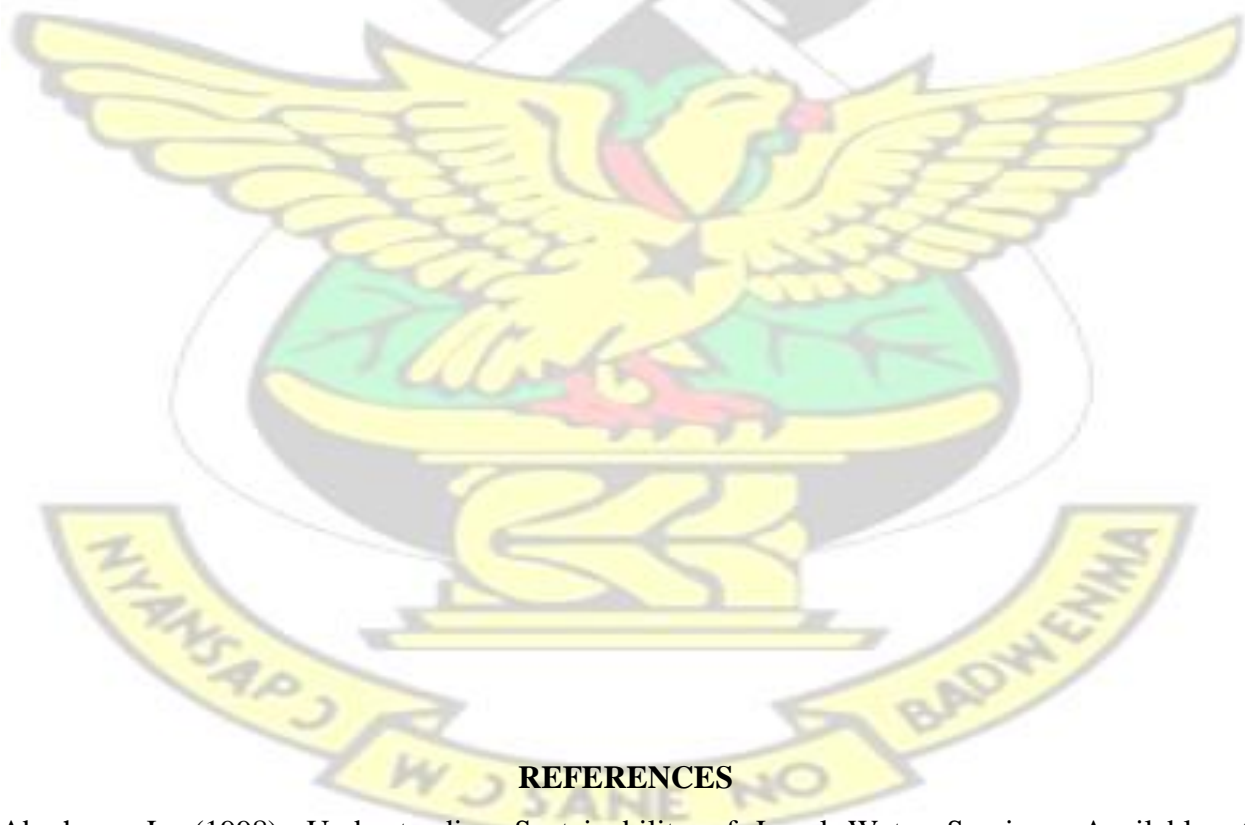
### **5.4 Conclusions**

Water is life, for people and for the planet. It is essential to the wellbeing of humankind, a vital input to economic development, and a basic requirement for the healthy functioning of all the world's ecosystems. Basic to human existence is water for which reason its efficient management is necessary to ensure that it remains beneficial to generations. The Nkoranza North District is relatively endowed with water resources that support productive social and economic activities. Financial constraints combined with low capacity and management practices have combined to create conditions of unsustainable use of water resources. The District has strong institutions that



can help transform the low participation of beneficiary communities and reverse the trend of non-participation in service delivery. The need for effective collaboration among all stakeholders to achieve this laudable idea cannot be over emphasized.

This study has come up with interesting revelations to the effect that long term sustainability of water and sanitation facilities in the District can be threatened if nothing is done to salvage community participation. It is recommended among others that the capacity of the DWST and other stakeholders need to be strengthened in participation there should be strengthening. Also, DWST needs to be resourced in order to function effectively and efficiently. The recommendations of this study when implemented effectively would help transform the district situation and ensure sustainability of development projects for the benefit of the future generations.



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## APPENDICES

### **APPENDIX I: QUESTIONNAIRE FOR REGIONAL COMMUNITY WATER AND SANITATION AGENCY (RWST)**

**Introduction:** *The study is purely an academic one meant to partially fulfill 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 place(s), where your opinion is sought for; **provide** as much information as you can in the spaces provided. Thank you for your anticipated cooperation 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 the delivery of water and sanitation facilities in the districts?

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

2. What roles do you play in the provision of water and sanitation facilities at the District Assemblies?

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

3. Are the District Assemblies expected to develop plans for water and sanitation? Yes/No.

4. If yes, do they do it? Yes/No

5. If no, why? .....

6. What has been the districts' response to the preparation of these 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.

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

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

- ( ) Data collection  
( ) Stakeholder workshops  
( ) Programme phasing, planning and budgeting  
( ) Review, approval and adoption of plan  
( ) Others (specify).....

9. What challenges do the DAs face in the developing the Water and Sanitation Plans?

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

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

11. 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).....

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

13. 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%

14. How will you rank the level of community participation in the implementation of the plan?

Above 50%	Between 30-50	Below 30%

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

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

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

17. If yes, why?

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

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

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

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

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

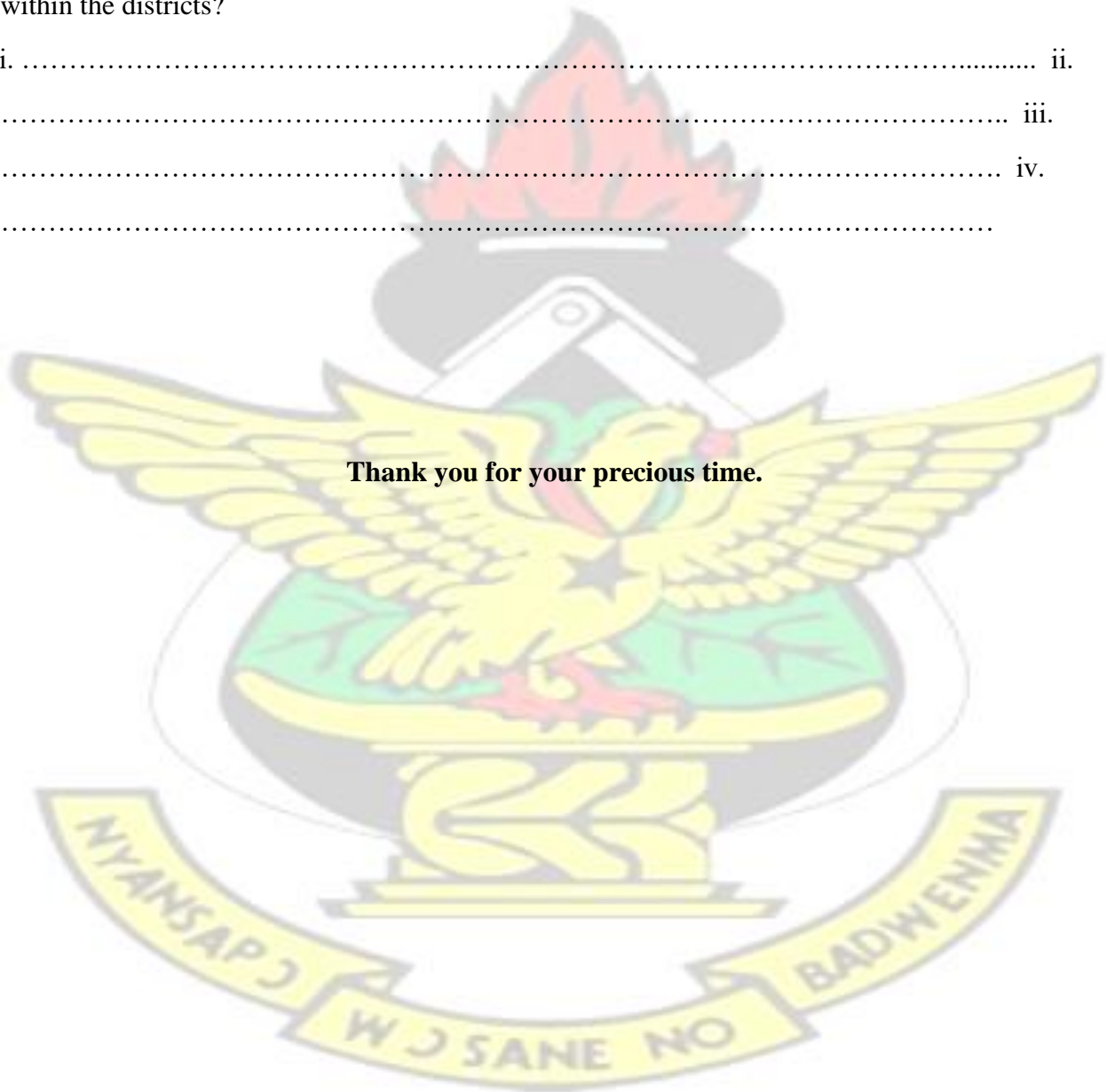


- i. .... ii.  
..... iii.  
..... iv.  
.....

22. 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 II: QUESTIONNAIRE FOR NKORANZA NORTH DISTRICT ASSEMBLY**

**Introduction:** *The study is purely an academic one meant to partially fulfill 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 cooperation and support.*

Name of Respondent .....

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. If no to question 5, why? .....

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

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

9. Are beneficiary communities involved in the implementation of water and sanitation plans?

Yes/ No.

10. 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).....

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

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

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

13. If no, how will you rank your performance in the implementation of the District water and sanitation plan (tick only one)?

Above 50%	Between 30-50	Below 30%
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14. How will you rank the level of community participation in the delivery of the water and sanitation services?

Above 50%	Between 30-50	Below 30%

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

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

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

17. If yes, do you monitor implementation of the DWSPs? Yes/ No

18. If yes, who participate in the moitoring?.....  
 .....  
 .....

19. If no to question 16, how do you ensure effective monitoring of the plan?

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

20. How do communities manage the operation and maintenance of water and sanitation facilities? .....

.....  
 .....

21. In your opinion, what do you think can be done to maintain and sustain water and sanitation facilities in the District?

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

22. What do you think should be done to enhance community involvement in water and sanitation delivery within the district?

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

23. What do you think should be done to enhance water and sanitation delivery in the district?

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

**Thank you for your precious time.**

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## **APPENDIX III: QUESTIONNAIRE FOR AREA COUNCILS/OPINION LEADERS** **WITHIN THE DISTRICT ASSEMBLIES**

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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 Assemblies?

( ) We write letters to the District Assembly for support

( ) We inform the Assembly member/chief who in turn informs the Assembly

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

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

.....

.....

.....

.....

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

Above 50%	Between 30-50	Below 30%

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

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

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

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

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

18. Do you pay for the water services in your community? Yes/No

19. If yes, how much do you pay for a bucket/gallon of water? .....

20. If no, why? .....

.....

21. Has your water facility (ies) ever broken down? Yes/No

22. If yes, who financed the maintenance work?

23. Do you have public toilet (s) in the community? Yes/No

24. If yes, do you pay for the services? Yes/No

25. If yes, how much do you pay for a visit? .....

26. Who maintains the toilet facility (ies) in the community? .....

27. What role(s) do you play in the operation and maintenance of the water and sanitation facilities in your community?

i. ....

ii. ....

iii. ....

iv. ....

28. In your opinion, what can be done to sustain water and sanitation facilities in your community?

i. ....

ii. ....

iii. ....

**Thank you for your precious time.**



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

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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 V: FOCUS GROUP DISCUSSIONS WITH WATSANs, WSDBs, WOMEN GROUPS, AND OTHER IDENTIFIABLE COMMUNITY BASED GROUPS**

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Name of Group.....

Name of Community.....

1. Find out how the community access water and sanitation facilities from the District Assembly?

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

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

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

3. Involvement of other groups in the preparation and delivery of district water and sanitation facilities.

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

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

.....

.....

.....

.....

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

.....

.....

.....

6. 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%

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

.....

.....

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

.....

.....

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

.....

.....



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**Thank you for your precious time.**

