

# SUSTAINABLE WATER AND SANITATION IN AFRICA (SUWASA)

SENEGAL REFORM WORK PLAN  
Sanitation for the Urban Poor in Senegal (SUPS)

MAY 2012

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## ACRONYMS AND ABBREVIATIONS

BMGF	Bill and Melinda Gates Foundation
CBOs	Community Based Organizations
CLTS	Community Led Total Sanitation
COP	Chief of Party
DCA	Development Credit Authority
EA	Environmental Assessment
EIB	European Investment Bank
EU	European Union
FSM	Fecal Sludge Management
GoS	Government of Senegal
MDGs	Millennium Development Goals
MoU	Memorandum of Understanding
MPSPH	Ministry of Planning, Sanitation and Public Health
NGOs	Non-Governmental Organizations
ODF	Open Defecation-free
O&M	Operation and Maintenance
ONAS	National Office for Sanitation in Senegal
PAQPUD	Programme d'Assainissement Autonome des Quartiers Périurbains de Dakar
PEPAM	Millennium Drinking Water and Sanitation Program
PPP	Public Private Partnerships
PSP	Private Sector Participation
RWP	Reform Work Plan
SIP	Small Investment Program
SUPS	Sanitation for Urban Poor in Senegal
SUWASA	Sustainable Water and Sanitation in Africa
USAID	United States Agency for International Development

## PROJECT SUMMARY SHEET

Project Title	Sanitation for the Urban Poor in Senegal (SUPS)
Country	Senegal
Specific Location	Potentially Dakar and a second location which is to be confirmed during inception phase
Overall Goal	The overall goal of this project is to ensure improved access to reliable, sustainable and affordable sanitation services to the urban poor in selected urban communities
Specific Objectives	<ol style="list-style-type: none"> <li>1. Increase the capacity of community based organizations and local governments to support and promote affordable and safe fecal management services.</li> <li>2. Support the development and implementation of improved policies and procedures for expanded private sector participation in fecal sludge management (FSM).</li> <li>3. Support the formalization and strengthening of performance standards applied to <i>vidangeurs</i><sup>1</sup> through licensing or other means.</li> </ol>
Project Duration	24 months
Total Budget	\$2,753,688
Approximate Commencement Date	August 1, 2012
Prime Partner	The National Office for Sanitation in Senegal-(ONAS)
Implementing Partner	USAID/PEPAM
Sub-contracted Implementing Organization	Development Innovations Group (DIG)
Key Project Implementation Staff	DIG staff including: Team Leader, Finance & Office Administrator, Field Coordinator(1 for Dakar 1 for other secondary town)
Reporting Requirements	Monthly, quarterly and mid-term (after 12 months) and end of project report (after 24months)

<sup>1</sup> Meaning de-sludgers, septic tank and or pit latrine cleaners, Source: <http://dictionnaire.reverso.net>

## **1. INTRODUCTION**

The overall goal of the proposed SUWASA project in Senegal is to ensure improved access to reliable and affordable sanitation services for the urban poor in selected urban communities of Senegal. SUWASA will support the Government of Senegal (GoS) in overcoming the key constraints that hinder the expansion of the private sector into wider sanitation service provision to the urban poor by leveraging and complementing the work of the USAID PEPAM project as well as collaborating partners that include the Bill and Melinda Gates Foundation (BMGF), the European Investment Bank (EIB), and NGOs active in the sanitation sector under USAID's Development Grants Program.

## **2. CONTEXT OF THE PROJECT**

### **2.1 OVERVIEW OF SECTOR**

The National Office for Sanitation in Senegal (ONAS) has made substantial efforts in improving the sanitation sector, but much progress remains to be achieved. In June 2005, the Government of Senegal (GoS) drafted a sector policy paper listing key development objectives related to sanitation services to be achieved by 2015. These objectives were established through the Millennium Drinking Water and Sanitation Program (PEPAM) and are designed to achieve the following goals:

- Increase access to sanitation services from 56.7% of households in 2004 to 78% in 2015 through the completion of 135,000 individual sanitation works including domestic sewage and wastewater disposal;
- Improve sewage disposal from 19% treatment in 2004 to 61% treatment by 2015 through installing adequate facilities for the treatment of 94,242 m<sup>3</sup>/day of wastewater.

The Government of Senegal is committed to meeting its MDG goal for urban sanitation, however, currently things are not on track due to institutional challenges, lack of financing and need of investments,. According to figures from the Ministry of Planning, Sanitation and Public Health (MPSPH), access to sanitation services increased to 63.1% of households in 2010, and the treatment rate (the ratio of the volume of wastewater treated by the water treatment plant to the volume of wastewater collected) increased to 39.2% in 2010.

### **2.2 CURRENT SECTOR CHALLENGES**

The urban sanitation sector suffers from significant constraints on both the supply and demand sides of urban sanitation service delivery. Neither national nor local government capacity in sanitation is likely to grow in the foreseeable future. However, the small and medium scale private sector is ready and should play a bigger role in sanitation service delivery for the unserved urban poor. The problem for SUWASA to address is overcoming the challenges that hinder the expansion of the private sector into wider sanitation service provision for this segment of society. These challenges include:

- The National Office of Sanitation (ONAS), the lead state owned company responsible for sanitation services in urban areas, has the mandate for implementing the national sanitation strategy, but has limited resources; and
- Although ONAS has entered into several short-term contracts with private sector operators for operation, maintenance and repair of networks, pumping stations and other facilities, these have been too short and provided too little return to be of significant value to contractors.

## 3. DETAILED PROJECT DESCRIPTION

### 3.1 OVERALL GOAL

The overall goal of this project is to ensure improved access to reliable and affordable sanitation services to the urban poor in selected urban communities.

### 3.2 SPECIFIC OBJECTIVES

1. Increase the capacity of community based organizations and local governments to support and promote affordable and safe fecal management services.
2. Support the development and implementation of improved policies and procedures for expanded private sector participation in fecal sludge management (FSM).
3. Support the formalization and strengthening of performance standards applied to *vidangeurs*<sup>2</sup> through licensing, institutional reforms, or other means.

### 3.3 ACTIVITIES

#### 3.3.1 Inception Period

The Inception Period will include development of a detailed schedule of activities with sub-activities under each of the three objectives. At this point DIG's project implementation team will, in consultation with ONAS, USAID-PEPAM, BMGF and other stakeholders, assess any new developments in the sector that may have an impact on the project and prepare an inception report with details on:

- Updated information relevant to the project since the due diligence assessment;
- Working procedures with key partners, particularly including preparation of MOUs as may be required;
- Detailed schedule of activities and sub-activities as well as detailed implementation budget;
- Target locations and communities selected using communities targeted by USAID-PEPAM for CLTS interventions as the baseline;
- A monitoring and evaluation plan, including final project targets.

This period will be particularly useful in establishing important working relationships among the core project partners, collaborating partners, and project beneficiaries. Since planning for complementary activities are currently underway, SUWASA will develop more detailed definitions of sub-activities and make adjustments to the RWP schedule to adapt to the plans of partners. To ensure complementarity with the efforts of others, SUWASA will consult with relevant stakeholders' during this period.

The USAID/PEPAM project which is in its 3<sup>rd</sup> year of implementation will be the implementing partner with SUWASA, and both projects will coordinate closely in Dakar and the next town (to be identified). SUWASA and USAID/PEPAM project staff has coordinated closely so far in assuring complementary of both project work plans. USAID/PEPAM is planning to include the unserved urban poor as targeted beneficiaries of their interventions. With this project, small-scale artisans will be trained to construct high quality affordable household sanitation facilities to

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<sup>2</sup> Meaning de-sludgers, septic tank and or pit latrine cleaners, Source: <http://dictionnaire.reverso.net>

meet the demand for facilities created through Community Led Total Sanitation (CLTS). New markets will be created for *vidangeurs* among the urban poor as these communities are organized through CLTS – which result in collective, neighborhood-wide economies of scale for *vidangeurs* to provide sludge hauling services across communities rather than contracting solely with individual customers. SUWASA’s activity is a leverage and partnership activity between SUWASA and USAID/PEPAM. In short, USAID/PEPAM will focus on increasing sanitation service demand while SUWASA will focus on sanitation services to meet the expected increased demand.

USAID/PEPAM currently plans to focus its activities for the unserved urban poor in target communities in the Dakar region and the other region (to be identified). However, the Government of Senegal has recently informed USAID that it may request additional locations. SUWASA will coordinate closely with the Mission and USAID/PEPAM in identifying communities to be targeted for SUWASA support.

In addition to working with USAID/PEPAM as our implementing partners, SUWASA will also work in close cooperation with other organizations working to foster private sector participation in fecal sludge management. During the inception period, we will adapt our project activities and schedules to support these cooperating partners as appropriate. In particular, we plan to coordinate and cooperate closely with the following:

1. USAID is currently reviewing applications under its Development Grants Program. Should any of the successful applicants target the urban sanitation sector, SUWASA will reach out to them to identify potential areas of collaboration
2. BMGF is focused on improving the health and standard of living of inhabitants of low-income peri-urban neighborhoods of Dakar and the inhabitants of five secondary cities (Diourbell, Mbacké, Mbour, Tivouanne and Richard Toll) by improving access to hygienic and financially affordable sanitation services. SUWASA will work closely with BMGF in Dakar and other areas that we might have in common so that as they improve access, we will support ONAS in better managing the private operators and the treatment facilities. Since several of the BMGF activities are initiated as pilots with a built-in research component, it becomes extremely important for SUWASA activities to fall outside their pilot areas to avoid any confounding effects. BMGF are using the findings of the research to inform the scale-up of their project so we need to be certain that the pilot areas do not have other similar interventions at the same time as other interventions (such as ours) in our sampled neighborhoods would contaminate our sample and make measurement of the impact of different programs impossible for them. The Inception Report will be completed within 60 days of startup and will include: key findings and any new developments that may impact on project implementation; determination and agreement on the roles of all initiative partners; selection of sites which are different from partners’ sites, an updated work plan with detailed sub-tasks and schedules including deliverables and consultative events; and a detailed budget including a description of the commodities and small infrastructure investments expected to be provided. It will also include a Monitoring and Evaluation Plan and provisions for environmental impact assessment, mitigation, and monitoring to be undertaken after the inception phase.

### 3.3.2 Project Implementation

SUWASA will structure and manage the project under the three specific project objectives:

- **Specific Objective 1: Increase the capacity of community based organizations and local governments to support and promote affordable and safe fecal management services**

Working in close cooperation with USAID/PEPAM, ONAS and in collaboration with the BMGF, SUWASA will engage with local neighborhood councils, community based organizations, and local governments in the USAID/PEPAM project target areas to develop and implement strategies to increase affordable and safe fecal management services. As USAID/PEPAM works with target communities in heightening awareness of and building sanitation and hygiene services, SUWASA will work with them to heighten community understanding of the fecal management cycle, the need for affordable and safe sludge management, treatment, and disposal, and strategies for engaging private businesses in these services. Activities will include:

*Activity 1.1 Support development of local public-private strategies:* A number of higher income residents and businesses in the target communities are currently paying for fecal management services, primarily to private haulers to empty septic systems and haul the septage off-site, however, for the poor, both their inability to pay and a number of other factors such as lack of land tenure make it difficult for them to benefit fully from such services. In the communities targeted by USAID/PEPAM, new markets will be created for *vidangeurs* among the urban poor. This opens up opportunities for community-wide service contracts between the *vidangeurs* and community based organizations or local government sanitation services agencies.

SUWASA will provide training and technical assistance to selected local governments, community based organizations, and businesses on sanitation services contracting best practices, including incentive and performance based contracting. This will include public workshops in the targeted communities, preparation of model service agreements, and technical assistance to agencies and/or CBOs in the targeted communities to evaluate and select appropriate contracting strategies. For the other town (to be selected), SUWASA will provide technical assistance to the municipal government in engaging with ONAS in tendering a private operator to upgrade and operate the city's existing sludge treatment and disposal facility.

- **Specific Objective 2. Support the development and implementation of improved policies and procedures for expanded private sector participation in fecal sludge management (FSM)**

SUWASA will provide training and technical assistance to ONAS and other GoS entities<sup>3</sup>, to establish the procedures and capacity to tender and manage long-term incentive based contracts for the operation and/or the design/building and operation of sludge storage and treatment facilities.

In a parallel activity, SUWASA will provide training to private sector organizations that are engaged in sanitation activities to help them understand ONAS contracting procedures and business opportunities available to them to expand private sector participation in fecal sludge management, treatment, and disposal. The aim of this activity is to ensure that ONAS receives high quality, high value bids that are fully responsive to the tenders and to maximize the likelihood of high performance in contracts that are awarded.

In implementing this component, SUWASA will collaborate with BMGF in their planned activities to demonstrate deployment of innovative technologies and business models. Activities will include joint participation in workshops and training programs, etc.

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<sup>3</sup> SUWASA will engage with GoS agencies under working procedures defined during the inception period.

SUWASA will concentrate its support on specific private sector participation opportunities in Dakar and other regions (this will be confirmed during the inception phase of the project), but will consider alternative regions and opportunities as requested by ONAS and USAID:

- *Dakar region:* There are several possible options that will be evaluated in detail during the SUWASA inception period. BMGF is looking into the possible funding of a new treatment facility to fill the treatment capacity deficit currently plaguing the region due to limitations of the three facilities constructed under the PAQPUD project in Camberene, Niayes, and Rufisque. BMGF has expressed a strong interest in collaborating with SUWASA in this effort, and this collaboration will be evaluated in depth during the inception period. In addition, SUWASA will explore with ONAS the option of outsourcing the upgrading and operation of one or more of the three PAQPUD-funded facilities. The original intent was for ONAS to operate them directly for two years before transferring them to the private sector; however the transfer has not occurred. All three facilities are now operating at peak design capacity and demand exceeds the capacity.
- *Second selected region:* activities for this region will be identified and designed in detail during the inception phase.
- *Other regions:* EIB is funding the construction of fecal sludge treatment facilities in five locations: Mbacke; Diourbell; Tivouanne; Mbour; and Richard Toll. GoS has recently expressed interest in USAID possibly engaging in one or more of these locations. SUWASA will explore this alternative with GoS, EIB and USAID/PEPAM during the inception period.

SUWASA activities under this component include:

Activity 2.1. Support development of improved policies and procedures to encourage private sector participation in sludge facility design, construction and operations: SUWASA will provide training and technical assistance to ONAS and other agencies with relevant responsibilities to develop improved and transparent mechanisms for tendering and overseeing incentive based contracts to manage sludge treatment/disposal facilities. Specific deliverables include a model contract, guidance contract compliance document for contractors, and formal ONAS tendering and contract management procedures.

Activity 2.2. Assist private entrepreneurs to take advantage of opportunities afforded by improved PSP policies and procedures: SUWASA will work with key business associations in the sanitation sector, including the Association of Sanitation Workers in Senegal to implement an outreach program with the aim of informing the contracting community of ONAS policies and procedures. This will include holding workshops to allow private businesses to review and comment on options under consideration by ONAS in providing greater opportunities for private sector participation in sludge management, treatment and disposal.

Activity 2.3. Small Investment Program support During the inception period SUWASA will conduct a feasibility study to examine what can be Small Investments can be carried out, either in Dakar, the second town or other regions.

- **Specific Objective 3. Support the formalization and strengthening of performance standards applied to *vidangeurs* through licensing , institutional reforms, or other means**

SUWASA will provide support to ONAS and other agencies<sup>4</sup> in developing and implementing a strategy to strengthen and enforce performance standards for the *vidangeurs*. According to private sector service providers, licensing would stimulate high quality service delivery of

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<sup>4</sup> SUWASA will engage with GoS agencies under working procedures defined during the inception period.

“certified” *vidangeurs* and significantly reduce the *al fresco* emptying of sludge loads into the environment. However, licensing poses risks as well as benefits, e.g. past issues with licensing in the forestry sector led to reduced competition among private sector players. It is therefore important that the GoS considers alternatives to impose and enforce performance standards for the *vidangeurs*, including licensing options, vehicle placarding, public disclosure of performance records, etc.

SUWASA will assist ONAS and other agencies in identifying and evaluating options, engaging stakeholders in the decision making process, and piloting the preferred option for formalizing and applying *vidangeur* performance standards in selected communities.

SUWASA activities under this component include:

*Activity 3.1: Evaluate strategic alternatives:* SUWASA will conduct a detailed analysis of available options, with a comparative evaluation of the costs and benefits of each alternative in terms of, economic and social costs on consumers and the sludge management sector, acceptability to stakeholders, etc. SUWASA consult extensively with key stakeholders to solicit their input. To reach the sludge management business community, SUWASA will actively engage with key trade associations, including the *Vidange Curage Assainissement du Sahel (Vidangeurs Association)* and the *Association of Sanitation Workers in Senegal*. SUWASA will ensure that the stakeholders are well informed of the study findings and recommendations.

*Activity 3.2: Pilot test the preferred alternative:* Upon selection by ONAS of the preferred alternative, SUWASA will design and implement a pilot activity to demonstrate key concepts. Ease of implementation will be a priority in designing the pilot, e.g., incorporating strengthened performance standards in service contracts between selected government agencies and *vidangeurs*; implementing a voluntary certification program in conjunction with the *Vidangeurs Association*, etc.

### **3.4 EXPECTED RESULTS AND INDICATORS**

The main results that the project will strive to achieve and the indicators for measuring those results are summarized in Table 1 below. These results and the accompanying indicators will be refined further during the inception phase of the project.

**TABLE 1: RESULTS FRAMEWORK**

<b>Goal: Improved access to sanitation services in Dakar and (other town to be identified) of Senegal</b> <b>Indicator: # of people in target areas with access to improved sanitation facilities as a result of USG assistance</b>			
<b>Objectives</b>	<b>Activities</b>	<b>Expected Results</b>	<b>Indicators</b>
Increase the capacity of CBOs and local governments to support and promote affordable and safe fecal management services	Support development of local public-private strategies	Community strategies to engage private sector in fecal management enhanced	Number of local public-private partnerships initiated
Facilitate the development and implementation of improved policies and procedures for expanded private sector participation in fecal sludge treatment and disposal	<ul style="list-style-type: none"> <li>Support the development of improved policies and procedures to encourage private sector participation in sludge management, treatment, and disposal</li> <li>Assist private entrepreneurs to take advantage of opportunities afforded by improved PSP policies and procedures</li> <li>Implement Small Investment Program support</li> </ul>	<p>Private sector participation in fecal sludge management improved</p> <p>Improved policies and procedures for fecal sludge management</p>	<p>Number of private sector actors involved in fecal sludge management</p> <p>Number of policies and procedures developed</p>
Support the formalization and strengthening of performance standards applied to <i>vidangeurs</i> through licensing or other means	<ul style="list-style-type: none"> <li>Evaluate strategic alternatives</li> <li>Pilot test the preferred alternative</li> </ul>	<p>Incentive based performance standards in sanitation service provision adopted</p> <p>Improved licensing of private sector sludge haulers</p>	<ul style="list-style-type: none"> <li>Number of private sector service providers that meet the set performance standards</li> <li>Number of private sector sludge haulers licensed.</li> <li>Number of Urban poor with improved sanitation services</li> </ul>

### 3.5 ASSUMPTIONS AND RISKS

In developing this RWP, SUWASA considered the key risks to achieving success in this project. While all the risks are considered low and manageable, SUWASA will review contingencies in detail during the inception period, and will add additional risk mitigation measures if required:

- *Financial Risks*
  - Financial commitments and funds availability will be a key determinant of the scope of the final SUPS project.
    - The funding level expected from the BMGF will likely determine the scale of operations of approved reforms and the scale of private sector provision of pro-poor sanitation services, particularly in Dakar.
- *Social Risks*
  - A strong focus will need to be maintained to ensure that the project keeps a focus on the needs, capacity, and service provision among the unserved urban poor. It will be too easy for both the proposed policy reforms and the expanded provision of sanitation services by the private sector to improve services for the middle and upper classes as the market is more cash-friendly and easily reachable.
- *Political Risks*
  - There was a general election in February 2012 and while Senegal was very calm during elections, the change in government might mean that key policy and decision makers might have changed in the aftermath of the elections. This might lead to a different approach and thinking especially the principal partner.
- *Institutional Risks*
  - The institutional arrangements of the sanitation sector are continually changing with the most recent change in September 2011 where the water and sanitation portfolios were merged to create a combined Ministry which is responsible for Water and Sanitation. The Sanitation Department was split into two distinct sections, i.e. rural and urban. This arrangement may change again since there was a change in Government in February 2012 and such frequent changes can be disruptive to the operations of ONAS and indeed the roll out of the SUWASA project.
- *Capacity-related Risks*
  - While the Government has good intentions, its capacity in the sanitation sector is limited due to resources. This is one of the key rationales for collective expansion of private sector service provision, but it may also be an obstacle to government's ability to adopt and put reform into practice.
  - The Private sector capacity seems to also have good intentions, but not yet as organized as they need to be in order to deliver efficient services. This gap is evident both in the desludging companies and individual sanitation contractors.

### 3.6 LINKAGE WITH OTHER USAID OPERATIONS

USAID/Senegal has identified public private partnerships (PPPs) as an extremely effective way to leverage private capital in the provision of public services in Senegal. PPPs will increasingly be a pivotal part of GoS and donor implementation strategies. A number of municipal governments have successfully used PPPs to improve delivery of waste collection services. In the sanitation sector however, institutional mechanisms and capacity to develop and issue PPPs are not in place, but there is a strong desire by the Government and urgent need to develop that

capacity and to exploit the power of PPPs to draw on private sector capital and management capacity to deliver public services.

USAID/Senegal is working on various types of assistance needed to build the capacity of the GoS. These include: developing the regulatory framework; providing guidance on structure and management of PPPs; marketing PPPs; securing financing; insurance; feasibility studies aimed at the development of an attractive PPP package; developing a realistic GoS cost estimate; conducting due diligence; issuing the PPP solicitation; undertaking an impartial technical and budgetary evaluation of proposals; ensuring transparency and accountability; and managing public perceptions and bidder expectations.

### **3.7 COMPLEMENTARITY WITH OTHER DEVELOPMENT PARTNERS**

USAID/PEPAM is planning to include the unserved urban poor as targeted beneficiaries of their next initiative. An urban CLTS program is expected to not only result in open-defecation-free (ODF) urban neighborhoods but also create income-generating opportunities for private sector service providers. Small-scale artisans will be trained to construct high quality, affordable household sanitation facilities to meet the demand for facilities created through CLTS, and public latrines will also be constructed. Consequently, new markets will be created for *vidangeurs* among the urban poor. *BMGF* plans to support *ONAS* and private entrepreneurs in implementing innovative business models for sustainable sanitation enterprises by taking full advantage of available innovative technologies. The *BMGF* views *SUWASA*'s focus on policy reform and innovations in private sector participation as highly complementary to its plans. We will work together albeit in different sites to avoid overlaps. But both parties are committed to coordinating with each other and the *BMGF* has committed to keep us apprised of their results as their data is collected. *SUWASA* will be equally open and informative to the partner.

*EIB* is funding construction of sludge management facilities in five secondary cities. While these cities are currently not targeted by *SUWASA* for direct support, *EIB* project beneficiaries will benefit from improved national policies supported by *SUWASA*; and by the experience of reforms in communities targeted for direct *SUWASA* support.

### **3.8 PROJECT PARTNERS' CONTRIBUTIONS**

Project and collaborating partner contributions will be essential to *SUWASA* in achieving expected project results. Specific contributions of partners will be agreed upon during the inception period. Expected contributions are summarized below.

<b>Core and Collaborating Partner Contributions</b>	
<b>Core Partners</b>	
<b>Partner</b>	<b>Contribution</b>
SUWASA	Funding for staff, travel, transportation, and activities Global forum for promotion of the project and achievements Platform for moving achievements toward scale across Africa In-kind technical backstopping from project staff
ONAS	In-kind provision of a key contact who will act as the focal point of contact for ONAS. Focal point for SUWASA engagement with other GoS and local government agencies as required
USAID/PEPAM	In-kind suggestion of suitable people for positions of team leader and other staff as identified and agreed during inception period In-kind provision of office facilities and systems In-kind support to policy change and operations through established network of operation among GoS organizations In-kind leadership of all aspects of CLTS capacity building and implementation
<b>Collaborating Partners</b>	
<b>Partner</b>	<b>Contribution</b>
USAID/Senegal Development Grantees	Independent funding for implementation of urban CLTS programs Implementation experience from urban CLTS program to influence policy formulation
Bill and Melinda Gates Foundation	Funding to support expanded commercial private sector participation in sanitation service provision Technical expertise in innovative technologies for sludge collection, disposal, and treatment
European Union	Platforms for operations of PPPs for operation of sludge treatment facilities Technical designs and funding for stand-alone sludge treatment facilities in five secondary cities (outside of communities currently proposed for SUWASA interventions)

### **3.9 INSTITUTIONAL ARRANGEMENTS AND PERSONNEL PLAN**

#### **3.9.1 INSTITUTIONAL ARRANGEMENTS**

ONAS will be the lead GoS counterpart for the project. During the inception period, SUWASA will establish procedures for working effectively with ONAS staff in implementing the project. ONAS will identify a key contact to serve as the main focal point with SUWASA's Dakar-based Team Leader. The key contact will be considered as part of the GoS' contribution to the project.

USAID/PEPAM is the core partner of the project, and will serve to facilitate relationships with local governments and community organizations in the targeted areas of the Dakar and the other regions.

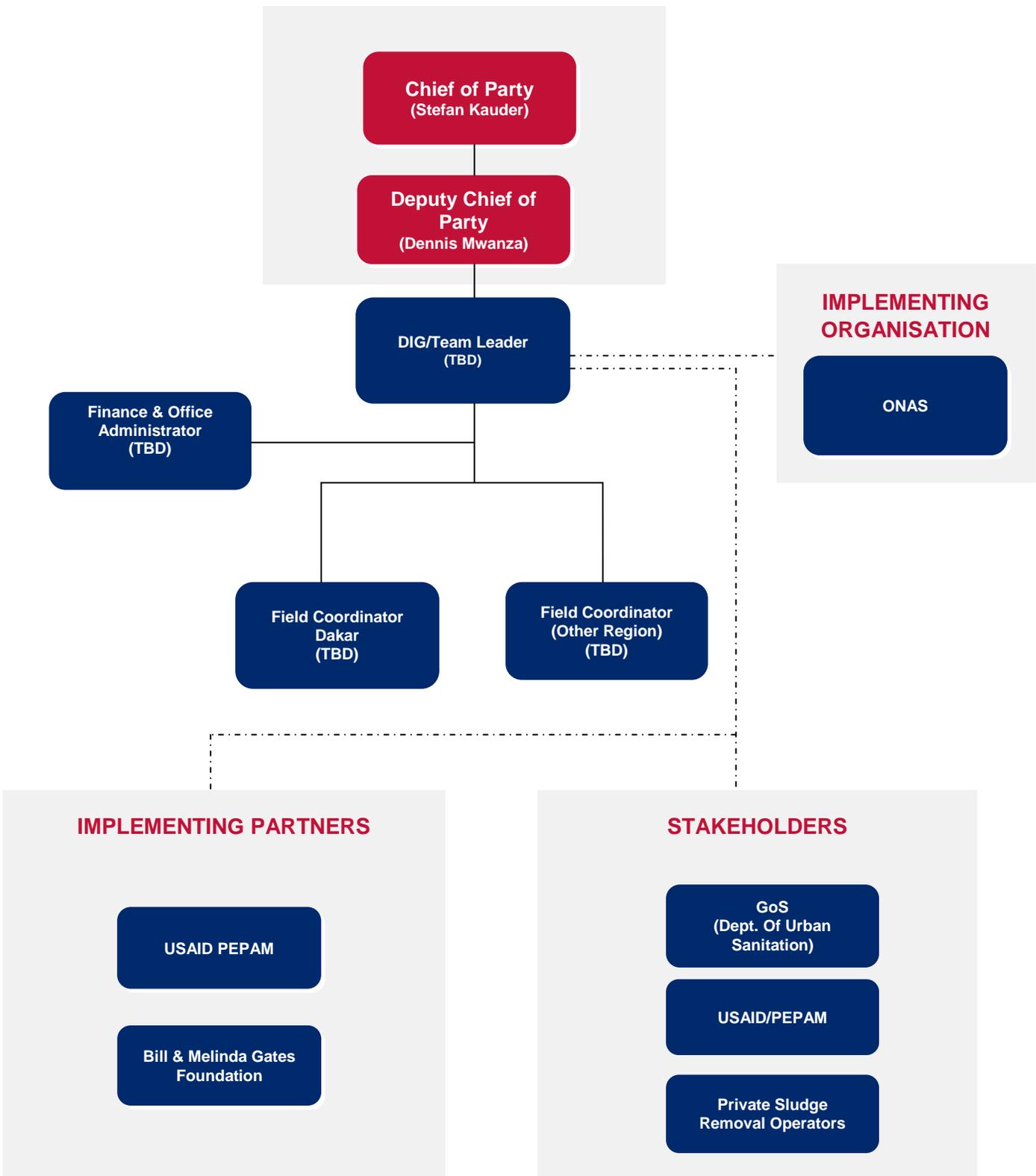
The following table summarizes the respective roles and responsibilities of SUWASA and USAID/PEPAM.

<b>Proposed Core Partner Roles and Responsibilities</b>	
<b>USAID/PEPAM</b>	<b>SUWASA</b>
<b>Project Management</b>	
Provide office space and associated ODCs in Dakar for SUPS staff	Provide all office equipment needed by staff in Dakar and other secondary town Cover staff costs, travel and per diem costs
Oversee all field activities related to urban CLTS implementation	Provide rental transportation and associated fuel costs for staff in Dakar
	Provide salary, benefits, and legal costs for staff in each location
	Coordinate all activities with either USAID/PEPAM COP or Coordinator in other selected region
	Provide technical direction to staff in Dakar and other selected region
	Ensure accountability of staff performance
	Prepare Scopes of Work and mobilize technical assistance as needed
<b>Specific Objective 1</b>	
Attend, to the extent possible, all discussions with government officials	Ensure USAID/PEPAM participates in or is aware of all discussions with Senegal government officials
<b>Specific Objective 2</b>	
Facilitate urban poor economies of scale for sludge hauling through CLTS	Serve as point of coordination with BMGF
	Serve as point of coordination with EU
	Lead collaboration with ONAS and other GoS representatives to facilitate the implementation of concession contracts for sanitation services
	Lead collaboration with ONAS and other GoS representatives to facilitate the implementation of PPP for sludge management and/or treatment
	Characterize role for USAID/DCA in supporting sludge haulers and/or franchise formation
<b>Specific Objective 3</b>	
Collaborate with SUPS staff to develop policy change strategies and approaches	Lead collaboration with ONAS and other GoS representatives to develop and/or clarify policy to support the implementation of PPP for sludge management and/or treatment
Contribute substantively to all aspects of policy change related to endorsement of CLTS	Lead collaboration with ONAS and other GoS representatives to develop policy to support formalization or licensing of <i>vidangeurs</i>

### 3.9.2 PERSONNEL AND MANAGEMENT PLAN

The SUWASA implementation team is expected to include a Team Leader and Finance and Office Administrator who will be based in Dakar in order to work directly with implementing partners, the national government, and private sector actors. One Field Coordinator is to be based in a yet to be selected town and the other in Dakar. Each SUWASA team member will be housed at the respective USAID/PEPAM project offices for better coordination. See below:

**FIGURE 3.1 ORGANIZATIONAL CHART**



## **4. MONITORING, EVALUATION AND REPORTING ARRANGEMENTS**

### **4.1 INTERNAL MONITORING AND QUALITY CONTROL**

The SUWASA Chief of Party (COP) has ultimate responsibility for ensuring the quality of performance and deliverables. The project Team Leader, with support from the SUWASA Regional Office, will be responsible for the day-to-day monitoring of the project implementation process and reporting progress. Regular reviews on the project progress will be carried out either through teleconferences or weekly updates to the SUWASA COP. Additionally, monthly and quarterly progress reports will be prepared by the Team Leader highlighting the key project accomplishments, challenges and lessons learned. These reports will be used to generate the periodic reports submitted to USAID as part of the contractual reporting requirements for SUWASA.

Periodic project visits to review the progress in project implementation will be undertaken from the Regional Office and Tetra Tech ARD Home office as one of the mechanisms for internal monitoring and quality control. Internal data quality assessments will also be conducted periodically to improve on data quality.

### **4.2 MONITORING AND EVALUATION PLAN**

Based upon the initially proposed activities, results and indicators, the Team Leader, with assistance from the SUWASA Regional Office in Nairobi will prepare a Monitoring and Evaluation Plan (PMP) as part of the Inception Report prepared during the first 60 days of the project. The PMP will specify expected SUWASA results, outputs, outcomes and impact; indicators for measuring results; proposed targets; and monitoring periods and documentation required for performance audits and evaluations.

It will be very critical that the indicators are aligned with the USAID/PEPAM PMP and their existing indicators with particular focus on their CLTS and hygiene promotion activities.

### **4.3 ENVIRONMENTAL COMPLIANCE MONITORING**

Since the project includes an investment component, ensuring compliance with USAID environmental requirements (22 CFR 216) is critical. During the inception period, SUWASA will identify specific actions that are required to ensure that the SIP activity complies with the Environmental Threshold Determination in the SUWASA Initial Environmental Examination. As part of the inception report, SUWASA will prepare an Environmental Review Report that:

- Identifies and characterizes the significance of all environmental and social impacts of the SIP component;
- Recommends whether or not an Environmental Assessment (EA) is required and, if an EA is required, provides a Scope of Work; and
- Includes an Environmental Mitigation and Monitoring Plan, identifying all measures required to assure compliance with 22 CFR 216 throughout the life of the SIP and during post-SIP operations.
- Adheres to the GoS environmental laws, decrees and obligations, as provided by the ministry of Environment.

### **4.4 REPORTING ARRANGEMENTS**

In addition to technical reports to be prepared in accordance with the project implementation plan (Section 6), the Team Leader will provide project management reports as follows:

- Inception Report, including an updated Overall Work Plan and Final Monitoring and Evaluation Plan, due 60 days after project start up;
- Monthly Reports, including a narrative on the reporting period, discussing actual project progress vis-à-vis planned and agreed project schedules, an updated work plan, and a financial report;
- Quarterly Report detailing key accomplishments, lessons learned and challenges, and planned activities for the next quarter;
- Final Report, including all activities performed, results achieved and resources used. The Final Report will also include a thorough analysis of established performance indicators.

## **5. RESOURCE TABLE/BUDGET**

The initiative will be financed through SUWASA core funding of \$2.753 million over the life of the two year program. This total expected budget of approximately \$2.753 million budget includes subcontracting DIG who will in turn hire a full-time Team Leader and Finance and Administrative Officer to be based in Dakar and Full-time Field Coordinators in Dakar and the other region for the life of the project, supported by a complement of long term and short term staff and subcontractors, and up to \$250,000 for the feasibility study in the area to be determined.

The detailed budget comes as a separate document.

## 6. PROJECT IMPLEMENTATION PLAN

The project schedule, including key milestones and deliverables, is provided in the following table. The project is planned for completion 2 years (24 months) after start-up. Assuming a start date within the 1<sup>st</sup> quarter of FY 2012, this project should start and end in tandem with the USAID-PEPAM project which is also scheduled to end in 2014.

	Activity	Months																														
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	
<b>INCEPTION PERIOD</b>																																
IP.1	Mobilize Team																															
IP.2	Document Review, Stakeholder Consultation, Analysis																															
IP.3	Stakeholder Action Planning / Inception Workshop																															
<b>COMPONENT 1 - Increase the capacity of community based organizations and local governments to support and promote affordable and safe fecal management services</b>																																
1.1	<i>Support development of local public-private strategies</i>																															
1.1.1	Identify target CBOs and local agencies																															
1.1.2	Convene public workshops to introduce project concepts to targeted groups																															
1.1.3	Conduct training on FSM techniques and strategies																															
1.1.4	Provide technical assistance in developing strategies																															

	Activity	Months																													
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30
2.1	<i>Support improved policies and procedures to encourage PSP in sludge facility design</i>																														





## 7. ANNEXES

### 7.1 LETTER OF COMMITMENT FROM RWP PARTNER

*Mr. Stefan Kauder  
Chief of Party  
Sustainable Water and Sanitation in Africa (SUWASA)  
SUWASA Office Nairobi  
P.O. Box 38454 - 00623  
Nairobi  
KENYA*

*Dear Mr. Kauder:*

*Re: SUWASA PROJECT ON SANITATION IN SENEGAL*

*We take this opportunity to thank you very much for considering implementing a project on sanitation in Senegal.*

*We have reviewed the draft work plan and here wish to advise that the ONAS is committed to fully support and participate in the execution of the enclosed Reform Work Plan (RWP) for the project promoting sustainable sanitation services for the urban poor in Senegal (SUPS). We do understand that the proposed project is financed by the USAID program and implemented by yourselves (Sustainable Water and Sanitation in Africa (SUWASA)).*

*The proposed sanitation reform project that the enclosed RWP describes in detail is priorities for Senegal as it will not only improve the quality of sanitation services but will also helps us meet the MDG on sanitation coverage. We have always desired to involve the private sector in sanitation services and the SUWASA project comes at the right time to help us develop the appropriate policies, strategies, model contracts and monitoring mechanisms. We trust the result of this project could be replicated in other countries.*

*As part of our contribution to the project, we will provide you with a focal point that will be the key contract for the duration of the project.*

*We are happy that ONAS will be the project implementation partner.*

*Sincerely,*