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WATER AND SANITATION
FOR HEALTH PROJECT

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WATER SUPPLY AND SANITATION PLANNING IN SWAZILAND

WASH FIELD REPORT NO. 263

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Prepared for
the USAID Mission to Swaziland
WASH Activity No. 518

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Prepared for
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Under Activity No. 518

by

Lee Jennings
and
Robert Gearheart

May 1989

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ACKNOWLEDGEMENTS

The Technical Subgroup (TSG) of the National Action Group (NAG) of the Government of Swaziland has reviewed and revised the overall water supply and sanitation (WS&S) sector policies and strategies and also developed a new three-year sector plan based on its experience in implementing the 1986-89 short-term action plan. These products are solely a result of the experiences, interests, realities, and long-term goals of the TSG.

We would like to acknowledge those members of the TSG who contributed significant amounts of their time and energy in the preparation of these revised policies and strategies and the new master plan. Mr. Napoleon M. Ntezinde, Chairman of the TSG and Senior Engineer of the Rural Water Supply Board (RWSB) in the Ministry of Natural Resources and Energy (MONR), deserves a special note of appreciation for his overall guidance of this effort.

Other key people who made significant contributions to the process were Dr. A. W. Hoadley, Public Health Education Advisor to the RWSB; Mr. Melvin R. Mayisela, Cadet Engineer for Planning and Construction of the RWSB; Ms. Dudu Dube, Liaison Officer of the Health Inspectorate of the Ministry of Health (MOH) to the RWSB; Mr. Nicholas N. Matsebula, Construction Engineer of the Water and Sewage Board (WSB); and Mr. Bheki Dlamini, Assistant Township Engineer, Tinkundla, Ministry of Interior (MOI).

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ACRONYMS

CDO	Community Development Officer
EE	*Emanti Esive*
GOS	Government of Swaziland
HI	Health Inspectorate (MOH)
HPN	Health, Population, and Nutrition Office, USAID
HRD	Human Resources Development
IDWSSD	International Drinking Water Supply and Sanitation Decade
MOH	Ministry of Health
MOI	Ministry of Interior
MONR	Ministry of Natural Resources
NAG	National Action Group
NGO	Non-governmental Organization
O&M	Operations and Maintenance
RWSB	Rural Water Supply Board
TSG	Technical Subgroup (of the NAG)
USAID	United States Agency for International Development
WRB	Water Resources Branch
WSB	Water and Sewage Board
WS&S	Water Supply and Sanitation

EXECUTIVE SUMMARY

At the request of the USAID Mission to the Kingdom of Swaziland, WASH consultants Robert Gearheart and Lee Jennings assisted the members of the Technical Subgroup (TSG) of the National Action Group (NAG) from February 27 to March 10, 1989 in the revision of the National Policies and Strategies Document for the water supply and sanitation (WS&S) sector and in the development of a new Action Plan for the sector for the years 1989-90 to 1991-92.

This consultancy was the last in a series of WASH consultations in Swaziland which began in September 1985. Its major findings, conclusions and recommendations are as follows:

Findings:

1. Between 1986 and 1989 the National Policies and Strategies Document and short-term Action Plan have been used to provide a more rational development of the WS&S sector in Swaziland.

2. The National Action Group (NAG) has not met since 1985 and its mandate is due to expire at the end of this year with the end of the International Drinking Water Supply and Sanitation Decade (IDWSSD).

3. The WS&S sector planning process in Swaziland is being driven almost exclusively by the Senior Engineer of the Rural Water Supply Board (RSWB).

4. The WS&S sector planning process within the RWSB has produced an institutional capacity but has not yet achieved full implementation capacity for the overall WS&S sector in Swaziland.

5. Staff from the various organizations represented on the TSG have demonstrated the ability to implement action plans and to review and revise policies and strategies.

Conclusions:

1. The value of having defined national policies and strategies and a national plan for the WS&S sector is now recognized by many of the leaders in the sector in Swaziland.

2. Since the NAG has not met there is some question as to the authority of the National Policies and Strategies Document and of the sector plans.

3. Other key players and organizations in the WS&S sector in Swaziland may be less committed to the planning process and the products of this process than is the RWSB.

4. There is a need to find a way to achieve greater involvement and thus commitment to and capacity to do the overall WS&S sector planning in the other organizations involved in the water supply sector in Swaziland.

5. It takes three to four years of experience with sectoral planning activities to develop the institutional capability to maintain the planning process.

Recommendations:

1. The Principal Secretaries of the MONR and the MOH, in their respective capacities as Chairman and Co-Chairman, should call for a meeting of the NAG to review, approve and forward to Cabinet for overall GOS approval the National Policies and Strategies Document for the WS&S Sector in the Kingdom of Swaziland and the Action Plan for the WS&S Sector for 1989-90 to 1991-92.

2. The authority of the NAG should be recognized again by the GOS and its mandate should be extended beyond the end of the IDWSSD.

3. The newly activated NAG should recognize the excellent work that the RWSB has done so far in promoting and guiding the WS&S sector planning process and should encourage the other members of the TSG to play a more active role in the future. One possible way of doing this would be to include the responsibility for contributing to the actual planning in specific position descriptions for each of the member organizations of the TSG.

4. The implementation of the new 1989-90 to 1991-92 Action Plan for the WS&S sector should be closely monitored by the TSG on behalf of the NAG and the proposed schedule for annual reviews and updates of the plan should be respected. Monthly TSG meetings should be held starting immediately.

5. The staff of the TSG, while experienced and well trained, is vulnerable to losses to the private sector and to educational opportunities. Thus, the TSG needs to document and institutionalize its sectoral planning process to ensure continuity should TSG members change.

Chapter 1

INTRODUCTION

1.1 Background to the WASH Consultancy of March 1989

The USAID-funded Water and Sanitation for Health (WASH) Project was asked to provide assistance to the Technical Subgroup (TSG) of the Government of Swaziland's National Action Group (NAG) in order to review and revise the Policies and Strategies and short-term action plan produced in 1986.

Authority to plan for the development of the water supply and sanitation (WS&S) sector in Swaziland lies with the NAG. The NAG was established in 1979 by the Cabinet as a ministerial level body with responsibility and authority to coordinate and provide general supervision of all sectoral activities; to establish policies and strategies; to plan for all sectoral activities; to establish standards of design, construction, and performance; and to approve designs. In August 1984 the Technical Subgroup (TSG) was formed to assist the NAG in carrying out its responsibilities for coordinating and promoting all activities and plans for the International Drinking Water Supply and Sanitation Decade (IDWSSD). The TSG has continued to function as a planning and coordinating body.

This WASH assignment was the last in a series of WASH interventions recommended by WASH staff Dennis Warner and Craig Hafner in September 1985 (see WASH Working Paper No. 39 of April 1986). The previous interventions included assistance in developing the first National Policy and Strategy Document (see WASH Working Paper No. 41 of April 1986); assistance in the design and facilitation of the first National Seminar on WS&S Policies and Strategies (see WASH Working Paper No. 50 of June 1986); and assistance in the preparation of the first short-term Action Plan for the sector (see WASH Working Paper No. 51 of July 1986). WASH has also assisted in the formulation of an evaluation and monitoring plan, and an assessment of human resource development needs in the sector.

This represents the last WASH consultancy associated with the planning process. It is envisioned that the Government of Swaziland (GOS) will continue this planning review and revision process on an annual basis to update the three-year sectoral plan which will feed information into the rolling capital plans and other intersectoral development plans.

1.2 Scope of Work

The scope of work for this assignment was prepared by the GOS through the TSG and reviewed and approved by USAID/Swaziland and is attached as Appendix A. A two-person team was requested to spend approximately two weeks in Swaziland working closely with the TSG in reviewing and revising their policies and strategies and the program elements of their short-term action plan.

The WASH team was asked to assist the TSG in:

1. Reviewing and revising the 1986 policies and strategies for the WS&S sector.

2. Reviewing and revising the 1986 two-year short-term Action Plan's program elements taking into consideration unfinished activities, new directions, and feasible projects which might be based upon experience gained over the past two years as well as new developments.

3. Developing a conceptual approach to sectoral planning which can be used for the updating of the three-year sectoral plan, and the preparation of the annual rolling capital plan as well as overall national development planning.

1.3 Consultant Orientation and Arrival

WASH consultants Lee Jennings and Robert Gearheart were briefed in Washington, D.C. on December 18, 1988 by WASH project officials and by David Yohalem, a WASH consultant intimately involved with the previous WASH assignments in Swaziland. They reviewed the reports on previous consultancies and planned for this assignment. Mr. Gearheart was also briefed by Ed Cobb on February 24. Mr. Cobb had just returned from Swaziland to help write a case study of the GOS experience in planning for the WS&S sector.

The consultants arrived in Swaziland on the afternoon of February 26. They met with Dr. William Hoadley, the USAID-financed Public Health Engineer attached to the Rural Water Supply Board (RWSB), and Napoleon Ntezinde, Senior Engineer of the RWSB, the next day and reviewed their proposed agendas for meetings with the principal secretaries of the Ministry of Natural Resources (MONR) and the Ministry of Health (MOH), the TSG, and the USAID Office of Health, Population, and Nutrition (HPN). (For a complete list of persons contacted and the consultants' schedule of activities, see Appendices B and C.

Chapter 2

SECTORAL PLANNING AND POLICY UPDATE PROCESS

2.1 Introduction

The Government of Swaziland has been involved in the sectoral planning process for four years. The update and revision of the policies, strategies, and program elements of the short-term Action Plan represents the first opportunity the TSG has had to take advantage of lessons learned from program implementation.

2.2 Sectoral Planning Process

The draft short-term Action Plan produced by the TSG in July of 1986 identified the need to prepare a five-year sectoral development plan. This was envisioned as a sector-wide project coordinated by the TSG under the authority of the NAG. At that time the production of a five-year sectoral plan starting in 1989 and ending in 1994 would coincide with the GOS's Fifth National Development Plan. The experiences gained in the implementation of the two-year short-term Action Plan were to serve as the modifying factors for the development of the five-year plan. It was envisioned that this would be a continuous process under the mandate of the NAG and carried out by the TSG.

Between 1986 and 1989, several changes occurred in the GOS planning and budgetary process. Instead of five-year national development plans, the country instituted a three-year sectoral planning process. This process calls for the preparation of three-year sectoral development plans that are to be updated annually and used by the various branches within the ministries to develop rolling capital plans for various programs under their control. The new sectoral planning process was designed be integrated into other planning and budgetary processes in the country in order to derive more benefits from the planning process while at the same time being more responsive to the changing internal and external conditions in the country.

2.3 TSG Activities Prior to Consultants' Arrival

The TSG met originally for this sectoral planning activity in November 1988 to discuss the program elements of the short-term Action Plan as they related to the development of a new three-year sectoral plan. The TSG identified the necessary steps prior to the arrival of the consultants and also determined the terms of reference for the consultants. The terms of reference were forwarded to WASH in early December of 1988 for use in the team planning meeting (see Appendix A). In early January, the TSG began gathering and analyzing information which was to be completed prior to the two-week sectoral planning activity.

The principal activity of the TSG was the analysis of the Policies and Strategies Document and the program elements of the short-term Action Plan produced in 1986. The format for the analysis was mutually arrived at by the TSG 's sub-committees to allow for a common point of discussion at the TSG meetings (see Appendices D and E). The TSG met several times in January and February to discuss the results of their analysis and their proposed revisions of the policy and strategies and program elements of the short-term Action Plan. The sub-committees also met several times during the six week period prior to this activity to analyze and revise the initial planning documents. The TSG also scheduled three meetings which were to occur during the two-week planning activity. These dates were proposed by the consultants in late December after their team planning meeting. TSG meetings were scheduled February 21 through March 9, 1989. The Chairman of the TSG, the Senior Engineer for the RWSB, was responsible for the work of the TSG prior to and during the two-week planning activity.

2.4 Review and Revision of the Initial Policies and Strategies Document

The first meeting of the TSG was held February 21 in the RWSB conference room. The sectoral planning exercise was introduced to the TSG by Napoleon Ntezinde, the Executive Secretary of the NAG and Senior Engineer of the RWSB. He emphasized the value and importance of continuing the planning process from a sectoral point of view to insure that proper coordination, effective implementation, and appropriate donor support will continue.

As an ice-breaker, the TSG members were asked to reflect on what they had learned to date in developing policies and strategies and action plans for the WS&S sector. The responses to this question indicated that the majority of the TSG members felt that the process and effort has resulted in better coordination and implementation of sectoral programs and projects. Some noted that it was unfortunate that the policies and strategies document was never approved by the NAG. It was suggested that some policies need modification and that the program elements of the Action Plan need to be ranked.

After the introduction, the TSG was asked to develop the proposed objectives for the two-week sectoral planning review and revision process. The following objectives were mutually agreed upon:

- Review and assess the Policies and Strategies Document and update the short-term Action Plan.
- Identify new concerns to be included in the updated Policies and Strategies Document.
- Modify and update the Policies and Strategies Document.
- Develop a new three-year sectoral Action Plan.
- Develop guidelines and a plan of action for updating the Sectoral Plan on an annual basis.

It was determined that the two sub-committees of the TSG which had been working on this process would continue as working groups during the planning exercise. The rural sub-committee was made up of various representatives of RWSB, the MOH, and a non-governmental organization (NGO) representative. The urban and peri-urban sub-committee consisted of representatives from the Water and Sewerage Board (WSB), the Township Administration, and the town councils. Representatives from the RWSB and the MOH assisted by reviewing those items in the urban and peri-urban sectors which pertained to them.

Three full meetings of the TSG were decided on at the first meeting. The second meeting was held on Monday, March 6, 1989, and the third meeting was held on Thursday, March 9, 1989. Using the individual analyses of the policies and strategies and program elements which were completed prior to the beginning of the two-week series of meetings, the TSG reviewed and revised each policy and strategy. In some cases issues were raised which required further discussion. A draft of the revised/up-dated policies and strategies was available for review by Friday, March 3.

The TSG's urban/peri-urban and rural sub-committees had reviewed and revised the policies and strategies developed in 1986 during the six-week period prior to the sectoral planning activity. The sub-committees worked independently of each other during this period and their review and analysis were presented in the following format: 1) purpose of policy, 2) status of the policy, 3) problems/constraints, and 4) recommendations (see Appendix D). After the sub-committees completed this analysis, a presentation was made during the first week of the planning activity to the full TSG for its review and comment.

In the urban sector two policy statements needed to be revised. The targets, populations, and dates, for example, had to be updated. The other dealt with the inclusion of hazardous materials and hazardous waste in relation to water quality. The peri-urban sector had similar types of changes as in the urban sector. These included dates, target numbers, dates of completion, and populations. The role and function of the NAG was highlighted by the need to have the revised policies and strategies formally approved and accepted by the NAG. Some wording changes were made to strengthen the role the township administration plays in the coordination of the various GOS and NGO organizations involved in the sector.

Once the policies and strategies were revised, the program elements of the Action Plan were reviewed and revised. The revision of the program elements required specific information on costs and scheduling of activities over the next three-years. It was then necessary to draft a document reflecting these proposed activities. A draft of the sectoral Action Plan program elements was available for review by Wednesday, March 8.

2.5 Review and Development of a Three-Year Sector Plan 1990-1993

In a similar manner, the program elements in the initial two-year Action Plan were reviewed and analyzed. Each program element was analyzed by sector sub-

committees as to its 1) purpose, 2) planned activities, 3) priority, 4) activities to date, 5) status, 6) problems/constraints, and 7) solutions (see Appendix E).

The review of program elements was completed prior to the two-week sectoral planning activity. During the two-week activity each sub-committee presented its analysis to the full group for its comments and suggestions. Typed copies of the sub-committees' review and analysis was made available to all TSG members prior to the two-week sectoral planning activity.

The urban and peri-urban sub-committee was composed of two representatives, one from the WSB and one from the Township Administration, neither of whom had been involved in previous sectoral planning. After some initial discussion on the framework for sectoral planning and a review of the process in the initial planning effort, this sub-committee effectively completed its review and analysis.

The revision of program elements required considerably more time and effort than the revision of policies and strategies. Those program elements dealing with capital funds, for example, had to be re-analyzed in relation to implementation status and projected costs through the end of a project. Those program elements which involve capital funds need to be rolled over each year as implementation proceeds. Those capital funds identified as carry-overs to the next fiscal year also need to be budgetary items for the annual budget/planning process of the GOS. An opportunity exists in the GOS budgetary/planning process to identify short-fall needs in the third quarter and to request additional funds which have to be spent before the end of the fourth quarter of the fiscal year.

Some program elements need to have budgets developed based upon estimates of cost. For example, in the area of staff development, the estimated cost for in-service training workshops and seminars must be based on best available information. Requests for technical assistance within program elements is another area where experienced planners must estimate cost. As was demonstrated in this activity, the TSG is developing a cadre of personnel who can produce realistic budgets for the wide range of implementation activities in the WS&S sector.

Chapter 3

SUMMARY OF THE NATIONAL WATER SUPPLY AND SANITATION POLICIES AND STRATEGIES DOCUMENT AND THREE-YEAR SECTOR PLAN

3.1 Policies and Strategies Document

3.1.1 Urban Sector

The National Policies and Strategies Document for WS&S in Swaziland was initially developed by the TSG of the NAG in 1986. These last two and half years have given the various implementing GOS, NGO, and donor organizations an opportunity to test these policies and strategies in the implementation of their respective programs.

The Policies and Strategies Document is divided into three general sections: those policies and strategies dealing with the urban sector, those dealing with the peri-urban sector, and those dealing with the rural sector. Some policies and strategies cross over and apply generally to all sectors. The policies and strategies statements are preceded by need statements for each of the three sections.

The polices for each sector (urban, peri-urban, and rural) were reviewed and revised based upon lessons learned in the past two and a half years of changing conditions in the country and experience gained in implementing projects. Most of the policies remained unchanged but dates, specific project outputs, and demographic information changed. The strategies for each of the sectors were divided into three categories: social, technical, and institutional strategies.

Initial urban water supply and sanitation policies were attempts to reach 100 percent coverage for water supply by 1993 with water meeting GOS drinking water quality standards. A program for testing the quality of drinking water is operational. Wastewater effluents will meet discharge requirements established by the Water Act of 1967. The operation, maintenance, and management of the urban WS&S systems will be done efficiently to ensure fiscal self-sufficiency. This particular policy has been under pressure as the WSB has argued strongly that the cost of that operation is not being covered with user fees. In March 1988, the Swazi Parliament voted to continue to subsidize the budget of the WSB from general funds. Water and sewerage rates have not been adjusted in eight years resulting in a significant shortage of revenue to cover O&M costs. A policy exists in all three sectors to train staff to insure that the skills are available to deal with all the program elements in each sector.

Strategies dealing with the standard technologies for water and sanitation systems in urban areas were restated. The WSB will approve all designs being implemented within their sphere of influence. The WSB will work closely with the Township Administration Department in the planning, design, and construction of WS&S systems. In the last couple of years there have been several instances in the urban sector where donors have worked directly with other ministries and have not coordinated their plans and designs with the WSB. This has resulted

in the implementation of some unsatisfactory systems, which eventually have become the responsibility of the WSB by default. WSB has seen the advantage of having the policies and strategies adhered to in terms of dealing with donor organizations. A need still exists in the WSB to fill the position of the planning engineer who will continue the action planning efforts. This position was previously held by an expatriate, and the WSB has temporarily assigned a construction engineer to contribute to the sectoral plan.

The MONR, through the Water Resources Branch (WSB), is responsible for insuring that effluent water quality standards are met. As a result of an internal review they have added a policy and strategy to monitor the potential impacts from hazardous waste and other hazardous materials that might enter groundwater and/or surface water sources. A new program element under existing policies and strategies was included to cover this new threat to drinking water quality in the urban, peri-urban, and rural sectors.

In summary, the urban sector policies, strategies, and program elements required a minimum of revision. Policies are being implemented and new systems are being planned (Ezubini Valley) in the urban and peri-urban sector. The self-financing aspect of the WSB is the one policy and strategy not being met, and the WSB has made this policy its first priority for implementation. It appears that the GOS is reluctant to raise the rates in the urban areas to meet the cost of service. Each year the decision to adjust rates to the cost of providing the service is put off. The WSB still desires to become a parastatal in order to become financially independent of the GOS general fund. Such parastatal status would allow the WSB to self-finance capital projects and to redefine salary schedules in order to retain professionals in the water supply field.

3.1.2 Peri-Urban Sector

The policies and strategies directed at the peri-urban sector were for the most part untested in the preceding two and a half years. As land is formally annexed into urban areas by the Township Administrations, it becomes the responsibility of the WSB to provide WS&S systems. The amount of land in peri-urban areas is increasing, as is the total number of people living in un-annexed peri-urban areas. This particular problem has for the most part gone unadoressed over the last two and a half years. The towns have continued to attract rural Swazis to those areas where employment opportunities appear to exist. The institutional coordination for planning and designing these systems are cumbersome and have, for the most part, not been fully developed. Housing and WS&S needs of squatters are a problem for the GOS.

The town councils will take the lead in coordinating the various GOS and NGO efforts in resolving WS&S needs in the peri-urban areas. The question of technical standards has yet to be fully resolved from an operational standpoint. The policies and strategies attempt to allow for a transition from peri-urban to urban water supply systems with a minimum of infrastructure recapitalization. For example, installation of large diameter transmission mains and their extension to peri-urban areas combined with public standposts is an accepted technical standard. This strategy would require a mechanism to collect user

fees from the peri-urban community to pay the WSB for water, but this strategy has yet to be fully tested.

Community participation is a requirement in the implementation of WS&S projects in the peri-urban areas. The difficulties in mobilizing and organizing peri-urban communities in the planning, construction, and operational maintenance of a peri-urban WS&S have not been dealt with by the various organizations identified in the Policies and Strategies Document. The population is increasing in the peri-urban area at a faster rate than the increase in population in the urban areas. It appears that the relationship between the policies and strategies in the WS&S and in the housing sector (as it relates to land use planning in the peri-urban areas), needs to be considered closely if Swaziland is not going to be burdened with major peri-urban issues in the next ten years.

In summary, the peri-urban WS&S sector has not attracted donors, except for the Ezulwine Valley (a higher income peri-urban region) and therefore has not received capital funds to fully implement the technical, social, and institutional policies and strategies.

3.1.3 Rural Sector

The rural WS&S sector has benefited the most from the development of the Policies and Strategies Document and the two-year Action Plan. Activities have continued in the rural sector by various donors. These projects have been guided by the policies and strategies through the RWSB.

Realistic goals have been set to increase the coverage in the rural areas to 40 percent in 1992 from 30 percent coverage at the end of 1989. The RWSB has invested significant time and effort in working with the NGOs who work in the rural sector. This was evidenced in part by the inclusion of an NGO staff member in this planning activity. The NGO representative contributed positively and constructively to the development of the new three-year Sector Plan.

Policies and strategies continue to focus on the role community members play in the planning, construction, and operation of their WS&S systems. Continued efforts are being directed at improving the interaction between the RWSB and the community in the implementation of their projects. The Community Development Officers (CDOs) in the RWSB work with communities through the entire process of implementing a WS&S system.

The relationship between WS&S is well developed in the Policies and Strategies Document. The health education component of a rural WS&S system is the prime responsibility of the Health Inspectorate (HI) in the MOH. In the last three-years there are data indicating a short fall in the linkage between WS&S. The MOH's capability to work with the RWSB in linking sanitation to water supply and in conducting health education through the life of a community project is severely taxed. MOH has several logistic, personnel, and management limitations which make it difficult to coordinate with a single mission agency such as the RWSB.

The policy as it exists at present does not require communities to pay in full the O&M costs associated with a rural water supply system. The GOS is committed to assisting the rural communities with basic maintenance of systems. However, certain routine O&M functions must be done by the community. The communities' capacity to meet this requirement is a function of the sense of community ownership. The CDOs within the RWSB are responsible for developing that sense of ownership as the project is implemented. The local WS&S committees are central to the long term sustainability of these systems.

3.2 Three-Year Sector Plan

The revised Policies and Strategies Document, along with the two-year Action Plan developed in 1986, provided the starting point for developing the new three-year Sector Plan. Other information sources such as formal evaluations, informal evaluations, technical advisor reports, and donors were used to develop the three-year Sector Plan. The three-year Sector Plan will be reviewed and revised annually and will contribute to the rolling capital plan which has to be presented every year to parliament from the various governmental agencies. During the third quarter of the year, the Sectoral Plan will be reviewed. The revision of the Plan will occur in the fourth quarter of the year. The rolling capital plan will be prepared in the first quarter of the fiscal year, based upon the revised Sectoral Plan. These two plans will be used to prepare budgets for the agencies implementing WS&S projects in Swaziland. The budget is reviewed and debated during the second and third quarter of the fiscal years. The budget is approved by Parliament by the start of the first quarter, April 1, for implementation during the next year.

The present sectoral planning activity is integrated with the GOS budgetary process. This utility of this effort has not gone unnoticed by members of the TSG in their planning efforts over the last two years. RWSB representatives on the TSG remarked they have become more efficient and more effective in preparing their annual rolling capital plans as a consequence of preparing WS&S Sectoral Plans.

The National WS&S Sector Plan for 1989 to 1992 was prepared for the NAG by the TSG in March of 1989. The Sector Plan includes 13 planning elements in the urban and peri-urban sector and 19 planning elements in the rural sector. These planning elements are consistent with the Policies and Strategies Document as revised. Several program elements are common between the various sectors. The human resource development element and the up-dating of the sectoral development plan element are found in both sectors' action plans.

Budgets were developed for each program element specifying capital fund requirements, GOS agency requirements, and technical advisor and training requirements. These budget requirements were then divided into two categories: GOS sources and external sources. The external sources were further identified by funding committed and funding needed. This yearly funding requirement can be used by GOS to guide donors into program elements which meet their funding restrictions and constraints while still being a part of the GOS plan of action for the sector.

The TSG's last meeting on Thursday, March 9th, was spent determining and assigning the remaining tasks to finish the Sector Plan for presentation to the NAG. A common program element for all sectors was the sectoral planning activity to be done next year. The TSG established the following schedule for review and update of the Sectoral Plan for next year.

1. Review of Progress — Third Quarter

   - status of projects
   - program elements
   - cost updates
   - skills and staffing assessment
   - formal/informal evaluation documents

2. Agencies determine new projects — Fourth Quarter

   - new requests for projects
   - changing conditions: health, population, etc.
   - donor response to action plan

3. Update Three-Year Sectoral Plan — Fourth Quarter by March 15

   - review and revision of needs statement of policies and strategies
   - review and revision of policies and strategies
   - review and revision of program elements
   - preparation of program element budgets
   - schedule of activities for the next three-years

The TSG took full responsibility for the last meeting (March 9) and for the development of the three-year Sector Plan. It has developed the capability to continue its on-going WS&S sectoral planning activities without technical assistance. Individual TSG representatives from the Township Administration, RWSB, WSB, WRB, Town Councils, and the NGO, Emanti Esive, have demonstrated their ability to work as a committee in developing sectoral action plans.

Chapter 4

OBSERVATIONS AND RECOMMENDATIONS

4.1 Observations

The sectoral planning process in Swaziland has been the responsibility of the NAG through their working group, the TSG. The TSG has produced a Policies and Strategies Document (1985) and a short-term Action Plan (1986). The TSG also planned and implemented a national seminar on policies and strategies. From 1985 to the present, the various agencies and organizations in the WS&S sector, as represented in the TSG, have been implementing projects and programs.

The sectoral planning process has been institutionalized over the past three to four years during which time WASH has been involved. The RWSB, through the Senior Engineer, has provided the leadership and momentum for this continuing activity. The Senior Engineer for the RWSB serves as the Executive Secretary for the NAG and is responsible for representing the policies and strategies to them.

The National Policies and Strategies Document, along with a short-term Action Plan, have helped assure a more rational development of the WS&S sector in Swaziland. The RWSB has benefited most from this WS&S sectoral plan. The RWSB has followed the plan by using technical advisors and consultants to assist in developing a human resource development plan for the sector and a monitoring and evaluation plan for the RWSB and in implementing community based water supply systems which are sustainable, etc. The RWSB has effectively communicated the content and the intent of the Action Plan to donors in the sector. The donors have responded to the GOS by using the Action Plan as a guide for their activities in Swaziland. The RWSB has also effectively used the policies and strategies to coordinate the work of the NGOs in the WS&S sector. Issues of technological standards, community development, and operation and maintenance of NGO projects have all been dealt with by the RWSB through the Policies and Strategies Document. Several activities have been implemented by the RWSB to develop technical capability among the NGOs. A representative from an NGO, Emanti Esive, actively participated in the sectoral planning activity and contributed to the development of the new Sector Plan.

The authority of the NAG as the official GOS body responsible for the IDWSSD planning was limited to a ten-year period ending in 1989. This authority needs to be reinstated and formalized and the NAG remain an ongoing coordinating body for the WS&S sector. Even though the policies and strategies drafted in 1986 were subjected to full review and presentation at the national seminar in 1987, the NAG has not formally approved them so they can be sent to Parliament. The short-term Action Plan was implemented with the assumption, which appears to be correct, that the initial policies and strategies do guide the WS&S sector. Certain aspects of the policies and strategies need the NAG's review and comments to give clear policy guidance to GOS agencies and donors. The RWSB has suffered minimally from not having these policies and strategies approved by NAG and parliament; however, the WSB needs policy support in order to control the

proliferation of urban systems which do not meet their technical standards. The peri-urban sector also needs policy guidance to insure that the planning, designing, construction, and operation of these systems can be sustainable.

The full benefit of the four years of sectoral planning has yet to be fully realized by the WS&S sector in Swaziland. The RWSB has benefited more than the other GOS agencies from the sectoral planning efforts. The amount of external support which has been directed at sectoral planning is extensive. The interventions have followed a specific plan as determined by the TSG four years ago. A strong argument can certainly be made for developing policies and strategies and action plans after experience has been gained in the field in implementing projects and programs. The approach taken by Swaziland appears to be realistic and implementable especially in terms of WS&S system sustainability and building institutional capability first. The institution-building components of the RWSB, for example, have allowed it to implement community based WS&S systems which are sustainable while developing a water quality monitoring and reporting system. The RWSB has the opportunity within the next two to three-years, if donor support continues, to realize the full benefit of this institutional capacity. The implementation of the human resource development plan and the monitoring and evaluation plan will be the last major components of the institutional building activities. The monitoring and evaluation plan includes an information system which will improve RWSB efficiency and effectiveness in meeting WS&S needs in the rural areas.

The role of the MOH in the RWSB has been well defined in the Policies and Strategies Document. Monitoring implementation strategies over the last four years has shown that major problems exist in meshing the role and function of the Health Inspectorate with those of the RWSB. Since health education and latrine construction are critical components of the RWSB's projects, full implementation has not been realized. This was highlighted by the minimal participation of the MOH in the sectoral planning activity. A MOH Health Inspector (HI) seconded to the RWSB did participate actively; however, no management level MOH or HI personnel were involved in this sectoral planning activity. The health inspectors associated with the various town councils did participate in the planning activity. These health inspectors are involved with peri-urban WS&S policies and strategies, which have not been fully tested to date.

4.2 Recommendations

1. The Principal Secretaries of the MONR and MOH, in their respective capacities as Chairman and Co-Chairman, should call for a meeting of the NAG to review, approve, and forward to Cabinet for overall GOS approval the National Polices and Strategies Document for the WS&S sector in the Kingdom of Swaziland and the Sectoral Action Plan for the WS&S sector for 1989-1990 to 1991-1992.

2. The authority for the NAG should be recognized again by the GOS and its mandate should be extended indefinitely beyond the end of the IDWSSD.

3. The newly activated NAG should recognize the excellent work that the RWSB has done so far in promoting and guiding the WS&S sector planning process and should encourage the other members of the TSG to play a more active role in the future. One possible way of doing this would be to include the responsibility for contributing to the annual planning in specific job descriptions for each of the organizations involved in the TSG.

4. The implementation of the new 1989-1990 to 1991-1992 Sectoral Action Plan for the WS&S sector should be closely monitored by the TSG on behalf of the NAG and the proposed schedule for annual reviews and up-dates of the plan should be respected. Monthly TSG meetings should be held starting immediately.

5. The staff of the TSG, while experienced and well trained, are vulnerable to losses to the private sector and to educational opportunities. Thus, the TSG needs to document and institutionalize its sectoral planning process to insure continuity in case TSG members change.

APPENDIX A

Scope of Work

APPENDIX A

Scope of Work

TERMS OF REFERENCE
WASH CONSULTANCY ON MASTER PLANNING FOR
DEVELOPMENT OF THE WATER SUPPLY AND SANITATION SECTOR

Background and Purpose

Authority to plan for the development of the water supply and sanitation sector in Swaziland lies with the National Action Group (NAG). The NAG was established in 1979 by Cabinet as a ministerial level body with responsibility and authority to coordinate and provide general supervision of all sectoral activities; to establish policies and strategies and plan for sectoral development; to establish standards of design, construction, and performance; and to approve designs.

When it became clear that planning for the next phase of sectoral development was becoming a matter of urgency, a technical subgroup, the TSG, was established under the NAG to assist it in carrying out its activities. Planning for sectoral development, also begun in 1985, has continued since that time generally in keeping with the initial workplan developed during that year. Major steps in the planning process undertaken to date include:

- Drafting of policy guidelines and strategy to guide sectoral development;
- Drafting of a Two-Year Action Plan for sectoral development during the years 1986-1988;
- Drafting of management information and evaluation systems and protocols for assessing progress in the rural subsector;
- Drafting of a human resources development plan for the sector.

The policies and strategies and the Two-Year Action Plan provide guidance for planning and implementing sectoral development programs, and identify needs for GOS funding and have provided a project design, and project implementation. The Two-Year Action Plan has in general, but particularly in the rural subsector, proved a practical one which has, with certain exceptions, been followed. Exceptions include key elements which have progressed at a slower rate than anticipated. Both the policies and strategies and the Two-Year Action Plan also have been well accepted and followed by donors.

Among the program elements contained in the Two-Year Action Plan was on calling for master planning. This process was planned to provide a framework within which yearly action planning (rolling capital planning) could take place, and will be based upon experience gained in implementing the Two-Year Action Plan.

Scope of Work

- The consultants will serve as advisors to the NAG and the TSG appointed under the NAG, which consists of responsible operational officers from the central agencies and development ministries involved in the sector. These officers are experienced and can speak and act authoritatively for their ministries or agencies.

- The consultants will provide guidance and facilitate preparation of a master plan by the TSG and in determining its scope. They will also assist in preparation of draft materials as required. The TSG, however, will determine content and details of the plan and will play the major role in its preparation.

- The advisors provided under this consultancy shall be experienced in the water and sanitation sector and in the planning process. They must have experience also in countries where resources are scarce and where development must take place within a wide variety of constraints. They must be sensitive to the needs of a largely rural population with strong roots in a traditional society.

- The consultants must be thoroughly familiar with and have a thorough understanding of the agencies involved in the water and sanitation sector in Swaziland, the course which development of the sector has taken, and where the sector stands at present. They must also be completely familiar with past sectoral planning activities. how they were accomplished, the roles of previous consultancies and the TSG, the content of policies, strategies, and existing sectoral development plans and activities, and accomplishments to date.

- The master plan will serve as a guide for action planning over the next five years. It will provide objectives, priorities, and an overall framework and implementation plans revised and extended yearly as part of the government-wide rolling capital planning process which replaces the five-year planning cycle. It will be based on experience in implementing planned activities during the two-year action plan period.

- The Master Plan will address all areas covered by the policy and strategy document and the Two-Year Action Plan plus additional needs identified as a result of a review of progress to date under the plan. It will include both capital investment and support projects, and will include a human resources development based on the plan already drafted for the sector.

- In preparation for master planning, the TSG will assess progress under the Two-Year Plan, including an analysis of:

  - Sanitary surveys of water system
  - Inventory of water systems
  - Implementation of decentralized maintenance of rural water systems

- Organizational status of the Water and Sewerage Board
- Rural community profiles

The TSG will also identify constraints to implementation of sectoral development programs and identify needs not previously recognized.

Consultants

Two consultants, for a period of two weeks each:

- Consultant One--with major qualifications as a planner and facilitator with experience in the water supply and sanitation sector, whose primary responsibilities will be to help organize the master planning process, assist in defining the scope and form of the master plan, assist in providing guidance for the planning process. Assist at a later date in organizing and presenting seminar on separate consultancy mission for NAG members and donors;

- Review of progress in the water supply and sanitation sector;

- Review of the present status of the sector, including its organization, policies and strategies, and present activities and progress under the Two-Year Action Plan;

- Review of outstanding needs within the sector;

- Review of the master plan, its purpose, the guiding principles for sectoral development it contains, major program elements and needs for support.

- Consultant Two--with major qualifications as an environmental (sanitary) engineer with experience in water supply and sanitation sector planning whose major responsibilities will be to assist in and facilitate technical analysis and technical aspects of master planning.

Timing

On or about 27 February 1989.

APPENDIX B

Persons Contacted

APPENDIX B

Persons Contacted

Ministry of Health:
- Christopher Mkhonta, Principal Secretary
- Richard M. Mamba, Assistant Chief Health Inspector

Ministry of Natural Resources, Land Utilization and Energy:
- Sandik B. Ceko, Principal Secretary
- Precious Myeni, Planning Officer
- Napoleon M. Ntezinde, Senior Engineer, RWSB
- A. W. Hoadley, Public Health Education Advisor, RWSB
- Steve Dhlamini, Engineer, WRB
- Dudu Dube, Liason Officer, Health Inspectorate, MOH/RWSB
- Melvin R. Mayisela, Cadet Engineer (Planning & Construction), RWSB
- Nicholas N. Matsebula, Construction Engineer, WSB
- S. S.Dlamini, Water Control Officer, WRB

Ministry of Interior:
- Bheki Dlamini, Assistant Township Engineer, Tinkundla

Ministry of Agriculture and Cooperatives:
- Jabu V. Nhlengetfwa, Design Engineer, Land Use Planning Section

Mbabane Town Council:
- A. S. Mabuza, Chief Health Inspector
- W. N. Ndlela, Deputy Chief Public Health Inspect -

Emanli Esive (NGO):
- David Taylor, Administration Officer

Council of Swaziland Churches:
- T. C. Hkambule, Water Technician

USAID/Mission:
- Alan C. Foose, Regional HPN Officer
- Mary Pat Selvaggio, Assistant Regional HPN Officer
- Anita Henwood, Project Officer

United Nations Development Programme:
- Joseph Cavalli, Resident Representative
- Solomon Akpata, Deputy Resident Representative
- Thandi Nkosi, Senior Program Assistant

APPENDIX C

Schedule of Activities

APPENDIX C

Schedule of Activities

Date:	Activity:
12/14/88	Team Planning Meeting at WASH with Craig Hafner.
02/24/89	Gearheart briefed at WASH on reactions to the draft Case Study on the Swaziland WS&S planning process.
02/25/89	Gearheart and Jennings meet in Frankfurt for travel to Swaziland.
02/26/89	Arrival in Swaziland.
02/27/89	Introductory meetings with USAID/Mission HPN staff and the Principal Secretaries of the Ministries of Health and Natural Resources, Land Utilization and Energy. Planning and preparations for the first TSG meeting with the Senior Engineer and Public Health Education Advisor of the RWSB.
02/28/89	First TSG meeting to share reactions/feelings about the planning process to date and to review and assess the Policies and Strategies Document as well as to agree on a work plan for developing the 1989-90 to 1991-92 WS&S Sector Plan.
03/1-4/89	Rural and Urban/Peri-Urban sub-groups finalize revised Policies and Strategies and begin to draft program elements for the new Sector Plan.
03/06/89	Second TSG meeting to share results to date and to agree on work plan for completing draft of the new Sector Plan.
03/7-8/89	Sub-groups complete their drafts.
03/09/89	Third TSG meeting to review final drafts and agree on work plan for completing final plan. Debriefing with USAID Mission HPN staff.
03/10/89	Debriefing with Principal Secretary of MONR. Departure from Swaziland.

APPENDIX D

Analysis Sheet for Reviewing Policies and Strategies Document

APPENDIX D

Analysis Sheet for Reviewing Policies and Strategies Document

Purpose

Status

Problems/Constraints

Recommendations

APPENDIX E

Analysis Sheet For Reviewing and Revising the Program Elements of the Two-Year Action Plan

APPENDIX E

Analysis Sheet For Reviewing and Revising the Program Elements of the Two-Year Action Plan

Two-Year Action Plan

Purpose

Planned Activities

Priority

Implementation

Activities to Date

Status

Problems/Constraints

Solutions

Remaining Problems

Sectoral Planning

Action Required

Recommendations