



# TANZANIA MAJI NA USAFI WA MAZINGIRA ACTIVITY (MUM) CAPACITY BUILDING PLAN OF THE RURAL WATER SUPPLY AND SANITATION AGENCY (RUWASA)

**February 2022**

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This publication was produced for review by the United States Agency for International Development by Tetra Tech, through the Water and Development IDIQ (Contract No. GS00Q14OADU138 / 72062121N00001 and Project No. REQ-621-21-000012 under the One Acquisition Solution for Integrated Services (OASIS) contract, Maji na Usafi wa Mazingira- MUM

This report was prepared by: Tetra Tech  
159 Bank Street, Suite 300  
Burlington, Vermont 05401 USA  
Telephone: (802) 495-0282  
Fax: (802) 658-4247  
E-Mail: [international.development@tetratech.com](mailto:international.development@tetratech.com)

Tetra Tech Contacts: Bigambo Nandiga, Chief of Party  
Email: [Bigambo.nandiga@tetratech.com](mailto:Bigambo.nandiga@tetratech.com)  
Bradley Carr, Tetra Tech ARD Project Manager  
Email: [brad.carr@tetratech.com](mailto:brad.carr@tetratech.com)

USAID Contacts : Francis Mtitu, Contracting Officer Representative  
U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT  
686 Old Bagamoyo Road, Msasani, PO Box 9130  
Dar es Salaam, Tanzania

# USAID/TANZANIA MAJI NA USAFI WA MAZINGIRA (MUM)

CAPACITY BUILDING PLAN OF THE RURAL WATER  
SUPPLY AND SANITATION AGENCY (RUWASA)

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# ACRONYMS AND ABBREVIATIONS

CBP	Capacity Building Plan
CBWSO	Community Based Water Supply Organization
CNA	Capacity Need Assessment
DC	District council
DM	District Manager
DO	District Offices
EIA	Environmental Impact Assessment
ESIA	Environmental and Social Impact Assessment
GoT	Government of Tanzania
HR	Human Resources
HRIS	Human Resources Information System
HQ	Head Quarters
ICT	Information Communication Technology
LGAs	Local Government Authorities
M&E	Monitoring and Evaluation
MoU	Memorandum of Understanding
MoW	Ministry of Water
MTEF	Medium-Term Expenditure Framework
MTSP	Medium-Term Strategic Plan
MUM	Maji na Usafi wa Mazingira
MUSE	Mfumo wa Ulipaji Serikalini
NWF	National Water Fund
O&M	Operation and Maintenance
OCA	Organizational Capacity Assessment
PO-RALG	President's Office- Regional Administration and Local Government Authorities
PSP	Private Service Providers
QA	Quality Assurance
RM	Regional Manager
RO	Regional Office
RSDMS	RUWASA Service Delivery Management System
RUWASA	Rural Water Supply and Sanitation Agency
SDG	Sustainable Development Goals
STTA	Short Term Technical Assistance
TANePS	Tanzanian National e-Procurement System
TO	Task Order
USAID	U.S. Agency for International Development
WARIDI	Water Resources Integration Development Initiative
WASH	Water, Sanitation, and Hygiene
WI	Water Institute
WSDP	Water Sector Development Program
WSSAs	Water Supply and Sanitation Authorities

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# INTRODUCTION

The USAID/Tanzania Maji na Usafi wa Mazingira (MUM), Contract No. GS00Q14OADUI38 / 72062121N00001 and Project No. REQ-621-21-000012 under the One Acquisition Solution for Integrated Services (OASIS) indefinitely delivery, indefinite quantity (IDIQ) contract is a five-year (August 2021 – August 2026) Activity funded by the U.S. Agency for International Development (USAID). The purpose of this activity is to expand and sustain the provision and governance of Water, Sanitation, and Hygiene (WASH) services. Tetra Tech is the prime contractor for MUM and has engaged subcontractors FSG, WISE Futures, and Iris Group.

Specifically MUM will work directly with national, regional and district stakeholders to improve Tanzanian systems for planning, financing, and implementing actions to expand access to WASH and WRM services, using four complementary implementation strategies, namely: Building ownership through continuous stakeholder engagement, strengthening organizational systems and services, applying market-based principles, and learning by doing in 10 districts in four regions of Morogoro, Iringa, Njombe and Rukwa in the Rufiji, Lake Nyasa, and Lake Rukwa basins. More specifically, the Activity will work to complete the following Sub-Objectives (SOs):

- **Sub-Objective 1:** Increase access to sustainable water services managed by the Rural Water Supply and Sanitation Agency (RUWASA) and water supply and sanitation authorities (WSSAs)
- **Sub-Objective 2:** Increase access to finance for water, sanitation, and hygiene
- **Sub-Objective 3:** Strengthen the market for sanitation and hygiene products and Services
- **Sub-Objective 4:** Strengthen basin water boards and water user associations to enhance stewardship of water resources; and
- **Crosscutting** - Advance gender equality and engage youth and women in the governance and management of multiple-use water resources and services.



# I.0 DESCRIPTION OF THE DELIVERABLE

The Rural Water Supply and Sanitation Agency (RUWASA) Capacity Building Plan (CBP) is one of the USAID/Tanzania Maji na Usafi wa Mazingira (MUM) contractual deliverables required by the Task Order (TO). The development of the RUWASA capacity building is thus one of the priority Tasks under Strategic Object (SO) I (Task I.5). Activities carried out under this task include.

- **Identification of capacity gaps of RUWASA** at national, regional, and district levels. During the MUM joint annual work planning session on November 3-4, 2021, it was found that, during the past year (2020-2021) RUWASA carried out a comprehensive Capacity Need Assessment (CNA)<sup>1</sup>, which identified capacity gaps that need to be addressed at national, regional and district levels. To avoid duplication of efforts, MUM reviewed the RUWASA CNA report to identify and prioritize critical capacity issues to be addressed through MUM's interventions and beyond. The information gathered from the existing CNA reports, was supplemented by MUM's own field level assessment in January 2022, which identified specific capacity gaps and issues of particular interest to MUM in the 10 targeted districts (details provided in Annexes I-4).
- **Development of capacity building plan** to improve capacity of RUWASA to plan, develop, maintain, and manage provision of reliable water supply and sanitation services. Capacity issues identified under the sub-task above were processed and validated by MUM in collaboration with RUWASA to produce a capacity building plan which prioritizes interventions to be supported by MUM. The report describes how MUM will address the capacity gaps throughout the project implementation period.

This report presents the RUWASA capacity building plan. Specifically, it provides a detailed assessment of the RUWASA's capacity gaps (at national, regional, and district level), and description of how MUM will work in collaboration with RUWASA and other stakeholders to address them. The report is structured in three sections.

**Section 1-**Provides a brief background of the deliverable and structure of the report (this chapter).

**Section 2-** Provides a detailed assessment of the capacity gaps at national, regional and district level building on the existing RUWASA CNA report and MUM's own field level assessment of specific capacity gaps and issues in the 10 targeted districts.

**Section 3-** Presents a consolidated RUWASA capacity building plan to address the identified capacity gaps at national, regional and district level. Specific capacity building activities are described including the approach that MUM will use to deliver, monitor, and evaluate the impact of the proposed interventions.

Findings of MUM's field level assessment of the capacity gaps in the 10 MUM's focused districts are provided at the end of the report together with Annexes.

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<sup>1</sup> Report on Consultancy services for Capacity Need Assessment (CNA) of RUWASA, 2021. Throughout this report this referred to as CNA

## 2.0 DIAGNOSIS OF CAPACITY GAPS

### 2.1 BACKGROUND

#### 2.1.1 THE RURAL WATER SUPPLY AND SANITATION AGENCY (RUWASA)

RUWASA was established under the Water Supply and Sanitation Act No. 5 of 2019 to coordinate all efforts related to provision of Sustainable Rural Water Supply and Sanitation Services in the country. The Agency is mandated to plan, develop, maintain, and manage provision of reliable water supply and sanitation services.

Operationally, RUWASA Head Quarter office is based in Tanzania's administrative city of Dodoma. Currently, RUWASA is responsible for service provision of 129 rural districts and 61 towns in district headquarters and Local Government Authorities (LGAs) across the 25 regions in Tanzania mainland. In the 61 towns, RUWASA is directly responsible for service provisions in 39 towns. The remaining 22 towns are served by urban Water Supply and Sanitation Authorities (WSSAs) under the management oversight of RUWASA.

Service provision in the rural part of the 129 districts and 39 towns is largely through community managed organizations also referred to as Community Based Water Supply Organizations (CBWSOs). The Act also has provisions which allows RUWASA to deliver services directly to service areas designated by the Minister for Water and or to deliver such services in partnerships with WSSAs and Private Service Providers (PSPs).

The new institutional set up makes RUWASA accountable to the Ministry of Water (MoW). Prior to the enactment of the Water and Sanitation Act No. 5 of 2019, rural water supply and sanitation service delivery was the responsibility of LGAs, through the ministry responsible for local government (i.e., President's Office- Regional Administration and Local Government Authorities (PO-RALG), with community managed organizations solely responsible for operation and maintenance of water schemes. The role of the MoW was limited to policy formulation, standards setting, resource mobilization, and provision of technical support to LGAs on a needs basis.

The establishment of RUWASA aims to delineate responsibility for these services and local governments of what is perceived to be technical Water Supply, Sanitation and Hygiene (WASH) service delivery task and to streamline accountability of service delivery to MoW as opposed to multiple ministries. Nonetheless, in the exercise of its mandate under the new water Act, RUWASA have an obligation to engage LGAs in establishment of community organizations, physical planning with the WSSAs and community organizations, and to promote provision of sanitation facilities in the areas served by the CBWSOs. RUWASA is also required to submit reports of its operations to Regional and District Administration forums including regional consultative councils and district consultative councils.

Overall, the review of documents and interviews with stakeholders point to the fact that the motive and strategic shift for establishment of RUWASA is to ensure effective management of rural water supply and sanitation projects and services, by guaranteeing a strong focus on sustainability (throughout the project cycle) and streamlined accountability in service delivery.

#### 2.1.2 RUWASA STRATEGIC OBJECTIVES

Following its establishment in 2019, RUWASA developed a Medium-Term Strategic Plan (MTSP)<sup>2</sup> for the period 2020/21 to 2024/25, taking into account national and international planning frameworks including: the Sustainable Development Goals (SDG) (Goal 6), the Water Sector Development Program (WSDP), the Tanzania National Development Vision 2025, the Third National Five Year

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<sup>2</sup> RUWASA Medium Term Strategic Plan (MTSP), 2020

Development Plan (FYDP III 2021/22–2025/26), the National Water Policy 2002, the Water Resources Management Act 2009 and the Water Supply and Sanitation Act 2019. The MTSP had identified nine SOs to be addressed by RUWASA during the next five-year period which include:

- **SO1:** Institutionalization and operationalization of RUWASA Achieved
- **SO2:** Water supply service in rural community improved
- **SO3:** Sanitation in rural community improved
- **SO4:** Human resources (HR) performance improved
- **SO5:** Financial capacity and management improved
- **SO6:** Management support systems improved
- **SO7:** Corporate Image and branding Improved
- **SO8:** HIV and AIDS new infections reduced, and supportive services improved
- **SO9:** Implementation of the National Anti-Corruption Strategy enhanced

For each of the nine SOs outlined above, the MTSP has identified interventions, desired outcomes to be attained as well as the way the performance will be measured. Table I below provides an overview of some of the service delivery targets that RUWASA aim to achieve by 2025.

**TABLE I: SNAPSHOT OF RUWASA SERVICE DELIVERY TARGETS BY 2025**

Key Performance Indicator		Baseline (2020)	Target (2025)
<b>Water Supply Services</b>	Proportion of rural population with access to improved drinking water services	71%	80%
	Hours of services provision per day	8 hours	18 hours
	Proportion of CBWSOs with cost reflective tariffs	No data	80%
	Average response time for major breakdown	No data	No target
	Proportion of water schemes with good ambient water quality, per national standards	No data	100%
	Percentage of water schemes with protected water sources	No data	No target
<b>Sanitation Services</b>	Proportion of rural population with access to improved sanitation services	No data	75%
	Proportion of rural households with improved on-site sanitation facilities	No data	30%
	Number of fecal sludge treatment/ disposal facilities constructed	No data	130
	Number of private sector providers involved in sanitation businesses	No data	25

Source: RUWASA MTSP, 2020

A review of the MTSP strategic objectives and the corresponding targets shows that there is complementarity between RUWASA and MUM strategic objectives, with some of the targets set by RUWASA closely aligning with the expected results for SO1, SO3, and SO4.

- a) Increasing access to improved drinking water services
- b) Increasing access to improved sanitation facilities
- c) Establishing new Operation and Maintenance (O&M) structures for rural water services

- d) Supporting water service providers to improve cost recovery
- e) Supporting water service providers to reduce operational downtime
- f) Design and construction of fecal sludge treatment facilities
- g) Supporting private sector providers to engage and profit from sanitation businesses
- h) Protection and/or restoration of water catchments
- i) Improving the quality and reliability of water supplies

Further, a review of the MTSP point to several opportunities that MUM could focus to build the capacity of RUWASA to meet its SOs. Some of the identified opportunities for capacity building are highlighted in Table 2 below.

**TABLE 2: OPPORTUNITIES TO SUPPORT IMPLEMENTATION OF RUWASA MTSP**

Strategic Objective	Description
SO1: Institutionalization and operationalization of RUWASA	As part of its broader strategy to strengthen service delivery system, MUM will use the evidence and learning generated from the 10 districts to test and improve RUWASA's various operational manuals and guidelines. Examples include: CBWSO business plans, operations and maintenance, tariffs settings and revenue collection etc.
SO4: HR performance improvement	In all MUM supported interventions, MUM will embrace a learning by doing approach, where RUWASA regional and district teams will be directly involved in the planning, design, and delivery of WASH infrastructure. This will ensure RUWASA staff acquire practical technical, managerial and leadership skills that are critical to plan, construct and manage WASH projects and services in their jurisdictions.
SO5: Financial and accounting capacity and Management improved	As part of its broader strategy to strengthen service delivery system, MUM will engage RUWASA regional and district teams to systematically select and prioritize projects for investment in water infrastructure. This will help to strengthen the capacity of RUWASA to effectively plan, budget and mobilize financial resources for infrastructure investments.
So6: management support systems enhanced	As part of its broader strategy to strengthen service delivery system, MUM will support RUWASA district teams to improve collection, management and analysis of water and sanitation related data. This will help to improve the RUWASA Service Delivery Management System (RSDMS). Having functional RSDMS is critical to improving the capacity of RUWASA to effectively plan, deliver, and manage services at all levels.
SO7: Corporate Image and branding Improved	During the implementation, MUM will explore opportunities to link RUWASA with other stakeholders and where possible facilitate partnerships with private sector and financial institutions. This will help RUWASA leverage additional financial resources to meet its strategic objectives.
SO8: HIV and AIDS new infections reduced, and supportive services improved	During the implementation, MUM will explore opportunities to support RUWASA to implement activities that would ensure inclusion of vulnerable groups including women and youths. Increased income to vulnerable groups will enhance their capacity to access nutritious foods thus improving their (immunity) capacity to fight the disease.
SO9: Implementation of the National Anti-Corruption Strategy Enhanced	During the planning and construction of water infrastructure in the five new districts, MUM will work with RUWASA regional and district teams to capacitate and expose them to professional ethics and international best practices that enhance transparency and good governance in the construction and management of water infrastructure.

Overall, the review of the RUWASA MTSP and the targets point to the fact that RUWASA priorities are evolving from a mere focus of infrastructure construction towards an increased focus of service delivery. However, for RUWASA to position itself as a service delivery agency, it is important that the organization focuses to:

- Improve organizational systems in planning, design, and delivery of WASH projects and services
- Professionalize the management of rural water supply and sanitation services, including financial management and provision of effective technical backstopping to service providers (i.e., CBWSOs and PSPs) to ensure sustainable management, operation, and maintenance of WASH infrastructures.
- Institute a regulatory framework and tools that would ensure service being provided to consumers is affordable and comply with the national standards.
- Improve collection and management of water and sanitation related data, and ensure data is used to inform planning, design and management of WASH projects and services.

## **2.2 CAPACITY GAPS**

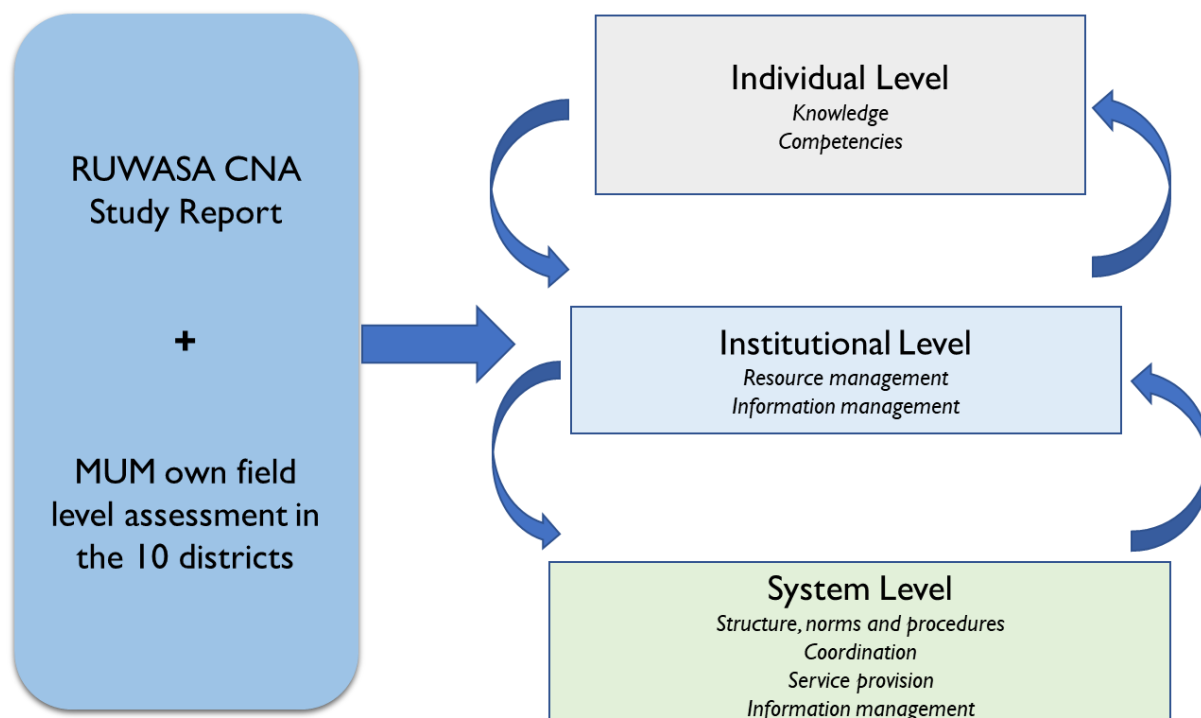
### **2.2.1 CONCEPTUAL FRAMEWORK FOR IDENTIFICATION OF CAPACITY GAPS**

Capacities are defined as a set of skills, knowledge and competences, procedures, and arrangements, required to perform specific functions at a satisfactory level<sup>3</sup>. They are put in place through a process which is called capacity building. When it comes to building the capacities of an institution, it is essential to ask ourselves this question: “What is available and what is not, within RUWASA, to effective delivery of projects and services?”

As briefly described in Section I of this report, the capacity gaps highlighted in this report are based on the findings from the RUWASA CNA study which was carried out in 2021. Figure 1 below presents a conceptual used by MUM to identify the capacity gaps at the national, regional and district level based on the findings from the RUWASA CNA report and MUM’s own field level assessment in January 2022.

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<sup>3</sup> For more detail-<https://www.undp.org/content/undp/en/home/ourwork/capacitybuilding/overview>



**FIGURE 1: CONCEPTUAL FRAMEWORK FOR IDENTIFICATION OF CAPACITY GAPS**

As indicated above, the capacity gaps are clustered at the individual, institutional and system levels as follows:

- **Individual capacity:** These are capacity issues affecting individuals (staff) capacity to perform their roles and responsibilities. This cluster looks at whether the organization has an adequate number of staff, staff have the required technical (knowledge, skills) and functional (competencies and behaviors) skills needed to perform their duties. It also looks at whether individuals have the authority and responsibility to make decisions essential to perform their roles effectively.
- **Organization (Institutional) capacity:** These are capacity issues affecting RUWASA (as an organization). This cluster looks at existing strategies, systems, processes, and partnerships that exist, and whether they are adequate to enable RUWASA to operate effectively.
- **System capacity:** These are structural issues (e.g., decision making, collaboration, accountability etc.,) affecting the ability of RUWASA to deliver services effectively. This cluster also assesses whether RUWASA has adequate systems (e.g., timely flow of information, planning, budget, data, reports, HR, procurement etc.), that allow efficient delivery of projects and services.

A summary of key findings of individual, organizational and systemic capacity issues is presented below.

### 2.2.2 CAPACITY ISSUES FACING INDIVIDUALS (STAFF)

Availability of sufficient HR is critical to determining success or failure of an organization. Available reports shows that currently RUWASA has 1,671 staff although the total number of staff required is 2,754 staff, implying that the agency has a shortage of 1,083 staff (40 % of the required workforce). As shown in Table 3 and Annexes 1-4 most staffing shortages are for mid-lower-level positions (particularly mid-level engineers, technicians, procurement, and accounts staff), which raises concerns about limited implementation capacity.

According to the CNA study, more than 80% of the existing staff were previously employed at the water departments in the LGAs. They have experience in the water sector, and currently undertaking the same job as before, albeit in a different structure. While this is good for retaining the institutional memory, it is possible that some of the staff may not have the skills and competencies which are aligned with the new business-oriented processes within RUWASA.

**TABLE 3: EXISTING NUMBER OF RUWASA STAFF BY CATEGORY**

S/No.	Position	Requirement	Employed	Vacancies
1	Director General	1	1	0
2	Heads of Division/ Unit/Section	22	20	2
3	Regional Managers	25	25	0
4	District Managers	129	129	0
5	Officers	892	450	442
6	Assistance officers	948	872	76
7	Supporting staff	737	176	561
	<b>Total</b>	<b>2,754</b>	<b>1,671</b>	<b>1,083</b>

Source: RUWASA MTSP 2020/21-2024/25

The CNA study report indicate that while RUWASA has a good balance of age amongst staff (Youths aged between 18-35% forms about 40% of the workforce, whereas about 86% of staff are below 55 years), there is a huge gender disparity across the organization with very few women representing only 10% of the senior ranks and decision-making positions. The gender imbalance is partly cultural and historical as infrastructure sector such as water tend to be a male dominated sector with engineers filling most of the technical and senior management roles in the organizations. At the same time, it is possible that biases and other obstacles inhibit the recruitment and advancement of female talent. Thus, a strategic commitment is required by the Agency to equitably recruit and develop females with requisite skills and knowledge wherever a vacancy exists.

When it comes to education qualification, data shows that staff have good academic qualification with about 85% of staff possessing tertiary education qualification. However, while the majority of technical staff have the required academic qualification, the CNA study shows that most of them do not have adequate practical technical, project management, and leader skills needed to do their job effectively.

Lack of an enabling environment and working tools is also reported to be a major issue affecting the ability of staff to execute their duties effectively. Currently, RUWASA Head Quarters (HQ) offices are situated in Dodoma within the former office of the MoW. However, it is noted that RUWASA lacks established offices and facilities at the regional and district level, and some of the Regional Offices (Ros) and District Offices (DOs) do not have proper facilities. For the example, in the districts of Kilombero, Kilosa, Kilolo, Mufindi, Iringa, Ludewa, Makete, Sumbawanga, Kalambo and Nkasi where MUM will be working RUWASA staff are housed in the existing offices within WSSAs, LGAs, and the Basin Water Board.

According to the MTSP, for RUWASA to operate effectively, the organization requires 333 vehicles and 405 motorcycles. Through the World Bank support, RUWASA has procured and distributed 24 vehicles and 145 motorcycles to regional and district teams indicating that there are significant shortages of vehicles and motorcycles to support local operations. It is important to note that while the lack of working tools affects all staff, lower-level cadres such as technicians tend to be affected disproportionately. For example, in the in the districts of Kilombero, Kilosa, Kilolo, Mufindi, Iringa, Ludewa, Makete, Sumbawanga, Kalambo, and Nkasi where MUM will be working, it was found that most of the technicians do not have adequate tools such as computers, motorcycles, and protective gears, hence putting their health and safety at risk.

These issues are linked to broader HR capacity gaps within the organization. Currently, while RUWASA has HR guidelines and manuals, the agency has not digitized its HR systems, tools, and processes. As such, most of the processes and reporting are done manually making HR management cumbersome process and prone to basic errors. The HR team reported to use the Public Sector Human Resources Information System (HRIS) in updating and maintenance of basic employee data, generating HR reports, employees' deductions etc. but there is a concern that the HRIS is too generic and does not cater for specific RUWASA HR operational needs, for example on performance and leave management. Linked to this, most of the HR processes within RUWASA are not yet streamlined in key stages of RUWASA's project and service delivery cycle; there is a perception within the organization that HR functions are purely administrative support functions. As a result, the staff's performance assessment is not linked to quality project delivery. There are also no standardized protocols and procedures of applying and complying with various HR processes in project implementation particularly in issues related to safeguarding, duty of care, as well as health and safety of employees.

### 2.2.3 INSTITUTIONAL ISSUES AFFECTING RUWASA'S ABILITY TO DELIVER PROJECTS AND SERVICES

Organizations like RUWASA need to have robust systems that enable effective utilization of the resources (i.e., people, finances), and assets available to deliver projects and services effectively. A review of RUWASA CNA and MTSP reports highlights the following capacity gaps.

#### **Financial Management**

A review of financial management system shows that, since its establishment, the major focus of RUWASA has been to strengthen its financial management systems to ensure efficiency and effective utilization of resources. As such, during the past year, RUWASA began the roll out of a new financial management system namely MUSE (Mfumo wa Ulipaji Serikalini). The system is now being used across the organization and is helping to streamline payments to staff and vendors. However, given the limited capacity (both in terms of numbers and skills of accountants), data from MUSE are not systematically analyzed and used to produce proper financial forecasting, resulting into delayed payments to vendors, consultants, and contractors.

#### **Procurement and Contract Management**

On procurement and contract management, the review has noted that RUWASA is suffering from a significant shortage of qualified and competent staff to perform procurement and contract management functions within the organization. Broadly, RUWASA is a project and service delivery agency. The organization therefore needs to have an adequate number of skilled staff to enable the purchase and utilization of goods, services and materials that are critical to enhance project and service delivery. According to the scheme of service, to streamline project and service delivery, RUWASA need to employ 212 procurement offers (distributed at HQ [seven], Regional Offices [75] and District Offices [130]), but reports show that RUWASA has less than half of the staff required to support procurement and contract management activities within the organization. Besides, the CNA study found that most of the technical staff at HQ, regional, and district level lack experience and professional qualification in preparation of specifications, tender documents, tendering process, due diligence, and contracting, indicating a huge capacity gap both in terms of numbers and skills in procurement and contract management. Furthermore, it is noted that RUWASA lacks clear sourcing and marketing engagement intelligence strategies that are linked to long-term infrastructure investment plans. These strategies are key to helping RUWASA engage the right suppliers and contractors as well as setting baselines to drive down costs and get better value for money.

To fill in the immediate capacity gaps, RUWASA hired a Technical Adviser to support and build capacity of existing staff on procurement and contract management aspects. Given the lack of staff at district level, a majority of procurement activities are centralized at regional level. However, due to shortage of staff, most of the tender boards at regional level are not functioning optimally, relying



heavily on a few staff stationed at HQ. This has created a huge backlog and delays in handling procurement and contract management issues within the organization.

### **Information Management**

The review notes that RUWASA has its monitoring and evaluation framework. However, the results framework is incomplete and not yet aligned with the SDG indicators. The lack of a centralized, comprehensive, monitoring system inhibits evaluation of the progress towards the SDGs.

Discussions with regional and district managers in the 10 districts revealed that, while good progress has been made in performance tracking in rural water subsector, there are still gaps in the quality of data being reported at district level. There is also lack of consistency and standardization in the use of definitions of indicators as well as tools used for data collection. Consequently, the use of data for sector performance management, policy formulation, and decision making remain inadequate.

In the efforts to streamline monitoring and reporting within the organization, a new online web-based reporting system called the RUWASA Service Delivery Management System (RSDMS) has been developed. However, it is not yet fully operational due to lack of funding and capacity to test its functionality at a reasonable scale. Besides, it is noted that most of the processes and tools that are critical to enable full operation of the RSDMS do not exist and the few that are available are not yet tested, aligned, and integrated into the RUWASA business process. At local level, data management and reporting are still manual through multiple excel spreadsheets making it difficult to allow export, import and analysis of data and friendly user experience. Also, it is noted that most of the organizational policies, procedures and the roles and responsibilities required in managing water and sanitation projects and services are not standardized across the organization, making it difficult to track compliance and accountability during project selection, designs, procurement, construction, and commissioning phases.

### **Environment and Social Safeguards**

Similar challenges exist on asset management and environment and social safeguards systems. The review has noted that while RUWASA has developed the environment and social safeguards guidelines, the tools, and processes for managing the environment and social safeguards risks are not yet standardized throughout the organization business process. For example, during the field visits in Njombe, Rukwa, Iringa, and Morogoro region by MUM team, it was noted that most of the projects in the implementation phase lack environmental impact and social safeguards screening reports and land acquisition agreement.

### **Asset Management**

Asset management is a new concept in the rural water and sanitation sector, but an essential element to ensure sustainability of water and sanitation infrastructure. Experience shows that systems for asset management of small water schemes managed by rural communities is mostly absent in Tanzania. Better practices for asset management are found for urban and regional utilities. To improve the information management of WASH infrastructure, RUWASA will need to address issues such as i) clarity around asset ownership of infrastructure, ii) accuracy of data for water point inventory and household connection, and iii) clearly defining responsibilities for capital maintenance—minor versus major repairs—and responsibility for asset renewal in different settings.

### **Community Based Water Supply Organizations**

As indicated above, the new Water Act No.5 of 2019, gives RUWASA mandates to establish and regulate CBWSOs and ensure they provide quality and affordable services to targeted communities.

The presence of effective and functioning community-based water institutions is one of many key ingredients to improved management and maintenance of rural water supply schemes. Available reports from the RSDMS show that there are 4,388 community-based water organization in the country. However, only 2,627 (60%) are legally registered as CBWSOs fully meeting the criteria stipulated in the new Water Act, indicating that a lot of efforts is still needed to formalize

community-based water organizations. A review of RSDMS shows that for the registered CBWSOs data is not disaggregated to track compliance with the quota requiring 30% positions to be held by women in leadership position.

The new Water Act of 2019 and its regulations require CBWSOs to hire qualified staff to provide management oversight of day-to-day operations of the water schemes. Available reports shows that as of June 2021, CBWOS in the country had employed a total of 4,342 qualified staff of which 1,671 are technical managers, 1,400 accountants, 1,055 secretaries, and 216 security guards. Through a partnership between RUWASA and the Water Institute (WI), about 680 graduates participated in various internship opportunities at various CBWSOs of which 181 are engineers, 258 technicians, 111 accountants, and 130 community development officers.

The review notes that the major focus of RUWASA in the past three years has been on strengthening the capacity of existing CBWSOs to be able to operate and maintain water infrastructure in line with the broader objectives of the Water Act. For example, during the past year (FY 2020/21), RUWASA developed several guidelines to support CBWSOs in tariff settings, development of business plans, operations and maintenance, tariffs settings and revenue collection etc. and provided training and technical backstopping services to 323 and 417 CBWSOs respectively

However, the review has noted that while there exist regulations guiding the formulation of CBWSOs, the main challenge is that RUWASA has not yet fully developed and rolled out a framework, systems, and tools to guide district teams' provision of technical backstopping support to CBWSOs. Some of the critical tools include standard operation manuals e.g., financial management, asset management etc., tariff setting guidelines as well as protocols for engaging private sector providers in service delivery. Going forward it is important that RUWASA prioritizes the development of a well-defined framework and operating model for CBWSOs and ensure regional and district teams have appropriate tools and capacity to establish and support CBWSOs in their jurisdictions. As RUWASA moves ahead with implementation of these issues, there are still some challenges that are likely to take time to resolve as far as CBWSOs are concerned, for example the incorporation of sanitation functions within CBWSO operating model. According to the Ministry of Finance, water revenue collected by CBWSOs is classified as public finances and thus regarded as RUWASA revenue. As such, RUWASA is required to develop appropriate financial management systems that take these legal requirements into account.

### **Information Communication Technology**

A review of RUWASA Information Communication Technology (ICT) infrastructure shows that RUWASA lacks an optimal ICT infrastructure to support ICT applications and business processes within the organization. For example, it is noted that the organization has no standards per requirements for computers and other ICT related devices with many staff using personal computers and unlicensed office applications and project design software for daily office operations and data management, putting the organization at the risk of loss of data and exposure of sensitive information to malicious people. Also, it is noted that RUWASA lack standardized design software and most of the engineers aren't conversant with using advanced design software applications resulting into sub-optimal design.

The assessment has shown that RUWASA HQ is connected to the National Optic Fiber Cable for internet services, but it is not yet connected to the Government Independent Network for shared ICT applications such as e-Office or the Integrated Financial Management System. This equally applies to the regional and districts offices. On Cyber Security Management, the government requires that all its institutions, including RUWASA to ensure that cyber security management is given priority to avoid threats to institutional data and information. However, RUWASA hasn't yet developed standardized protocols, procedures firewall systems and antiviruses for defending computers, servers, mobile devices, electronic systems, networks, and data from malicious attacks.

Overall, we note that RUWASA being a new organization has a great opportunity to use ICT as an enabler to facilitate efficient delivery of projects and services, and to track implementation, improve

data quality, quality assurance (QA), and compliance in the use of tools and processes at each stage of project delivery.

### 2.2.3 SYSTEMIC ISSUES AFFECTING RUWASA'S ABILITY TO DELIVER SERVICES

A review of RUWASA CNA and MTSP reports highlights the following structural issues affecting the ability of RUWASA to deliver services effectively.

#### **Organization Structure**

RUWASA is relatively a new institution. The agency has an approved organization structure largely structured at three levels covering HQ, ROs, and DOs. Operationally, we interpret the main functions of each of the three levels is described below:

- *Strategic and Oversight functions:* Largely centralized at the Board of Directors with day-to-day functions executed by the Director General who is stationed at RUWASA HQ.
- *Control and Coordination functions:* Largely devolved at regional offices, where regional teams are responsible for leading planning and design of projects, ensure quality control and accounting, as well as coordination with other sectors. Regional teams are responsible for building the capacity of the district teams.
- *Service Delivery functions:* This is a decentralized function of the district teams, where most technical and operational staff are stationed to deliver projects and sustain services with back-up technical support from the regional teams.

RUWASA HQ has four directorates headed by directors. They are i) Directorate of Investment: responsible for project preparation, design, and construction of water supply; ii) directorates of service delivery: responsible for technical backstopping support and performance monitoring and regulation of CBWSOs; ii) Directorate of Planning and Monitoring: responsible for resources mobilization, budget, and implementation monitoring; and iv) Directorate of HR and Administration: responsible for all matters related to HR planning and management. Underneath the directorates, there are 10 sections which deal with specific issues. There are also eight independent units at RUWASA HQ dealing with other supporting functions. They include finance, ICT, Internal audits, procurement, legal services, PR and marketing, and environment management.

Overall, RUWASA currently operates on an organization structure that mainly outlines the hierarchy and seniority flow only for the Head Office. Through key informants' interviews and literature reviews, we have found that the organization structure does not flow down to regional and district level. The current structure also shows inadequate clarity and coherence in the distribution of roles and accountabilities within and among different levels of the organization. Among staff, there is confusion about the definition and formal endorsement of the accountabilities of various units and divisions in the organization. As a result, several functional gaps and overlaps persist among different layers of the organization. Accountabilities have generally not been linked to adequate and consistent performance management practices. Further, we note that complexity and heaviness of business processes inhibits smooth organizational performance. From a business process perspective, RUWASA is a complex organization to work in and with. Insufficient integration among the multiple operational management disciplines (Finance, HR, ICT, and others) is one important factor, as business processes are being developed in isolation without enough attention to synergies, redundancies, or their cumulative effect on field operations. On the demand side, many staff do not fully understand, or have not been trained or motivated to appropriately use existing management tools. It is noted that that service standards on quality and timeliness of response have not been clearly defined for the key business processes in the organization. Weak or absent service standards make it difficult to enforce accountability and manage for performance within the organization.

## **Planning**

The design of the second phase of WSDP (2017-2021), requires that district water and sanitation plans be used to guide planning and selection of WASH infrastructure projects at the local level. However, it is noted that comprehensive regional and district water supply and sanitation development plans are generally lacking. Consequently, most of the investment decisions are based on unbalanced, ad-hoc selection of projects as and when financing becomes available, with very limited resources allocated to sustaining the projects and services provided.

Also, the review note that the current budgeting and financing regime is heavily biased on new construction for water projects, with very little funding allocated on O&M and sanitation. Thus, the main challenge that remains is to implement a sustainable financing mechanism for recurrent costs, capital maintenance, and capital replacement. Currently, there is low willingness to pay for services in rural areas and the revenue collected from most of the rural schemes cannot cover full operational, capital maintenance, and capital replacement costs, and there is no mechanism to subsidize operation and maintenance arrangements in rural areas. Available evidence shows that some communities do collect revenue albeit at a very low tariffs; and many CBWSOs lack capacity in financial management and control.

## **Financing and Budgeting**

RUWASA budget follows a 3-year budget cycle, within the Medium-Term Expenditure Framework (MTEF) provided to the Ministry of Water by Ministry of Finance and Planning. A significant number of project financial controls are managed at RUWASA HQ. Budget and financial accountability Directorate at regional and district office are not clearly defined.

In the past two years (FY2019/20 and FY 2021/21) RUWASA received TZS 512 billion (US\$240 million) for implementation of water supply and sanitation projects and operationalization of RUWASA. A closer look at the released budget shows that more than 90% is allocated to support infrastructure development with nearly all the funding directed to water projects. This shows that the current budget and financing framework is skewed toward water infrastructure over investments in sanitation services. When it comes to sources of funds, the review notes that on average about 48% of the funding that RUWASA received is from foreign sources (donors), with Government of Tanzania (GoT) contributing about 52% of the funding through the National Water Fund (NWF) and subsidy from the treasury. 61% of the funding from GoT is from the NWF which contributes approximately US\$75m per year to support implementation of rural water supply projects.

## **Service Delivery**

Service delivery functions within RUWASA are decentralized at district level where most technical and operational staff are stationed to deliver projects and provide technical support to CBWSOs. Regional teams provide back-up technical support to districts on issues related to project designs, procurement, contract management, HR etc., but most of these functions are still executed from Dodoma. Various guidelines, policies, and tools to guide projects are still being developed and are yet to be streamlined in a coherent organizational project delivery cycle. At a project level, engineers manage the day-to-day operations with district managers providing the oversight role. However, as indicated above, most engineers and district managers lack adequate project management skills and experience. In most cases, district teams are responsible for direct delivery. Some projects are delivered by private contractors but in recent times most projects are delivered directly through force account arrangement.

## 3.0 CAPACITY BUILDING PLAN

### 3.1 PRIORITY AREAS FOR CAPACITY BUILDING

It is suggested that the capacity building interventions should be implemented with the aim to build the capacity of RUWASA to meet its MTSP objectives and targets outlined in section 1.1.2 above,

It is important to note that the RUWASA CNA study does provide high-level recommendations to address the identified capacity gaps. However, the study doesn't specify the activities to be implemented to address the capacity gaps. Given the absence of any indication about the type of activities and the financial resources that will be put into the implementation of this plan, it is not possible at this stage to establish a precise budget and timing for each intervention. To address this, and to give indications of what should, or could, be implemented as soon as possible, a ranking exercise has been used to identify four focus areas and the top 14 capacity building priorities in line with MUM strategic objectives.

The ranking exercise, conducted by MUM team in collaboration with RUWASA, took into consideration two consequential criteria:

- i. Which intervention is the most urgent because it improves the capacity of RUWASA to professionalize delivery and management of rural water supply and sanitation services?
- ii. Do the interventions align with MUM strategic objectives and expected results? and
- iii. What can be done to increase youth and women empowerment and participation in the water sector?

Table 4 below presents the results of the prioritization exercise, whose activities are described in sections 3.1.1 and 3.1.2

**TABLE 4: PRIORITY CAPACITY BUILDING ACTIVITIES**

Focus Area	Top Priorities	Links to MUM Tasks and Performance Indicators	Level of RUWASA intervention	Capacity Level		
				System	Institutional	Individual
I. Enhance infrastructure project planning, engineering design & construction best practices	Develop a framework, criteria, and tools to guide the scoping and selection of WASH infrastructure	Tasks-1.5, 1,8 Indicators-0.1,1.2,1.1,1.3	National Regional District	√		
	Develop a framework and tools for development of Districts/towns WASH master plans	Tasks-1.5, 1,8 Indicators-0.1,1.2,1.1,1.3	National Regional District	√	√	
	Review and standardize business process in line with RUWASA project delivery cycle and organization structure	Tasks-1.5, 1,8 Indicators-0.1,1.2,1.1,1.3	National Regional District	√	√	
	Equip RUWASA with basic working tools to enable planning, engineering design and construction management	Tasks-1.5, 1,8 Indicators-0.1,1.2,1.1,1.3	Regional District			√
	Equip RUWASA staff with skills in project planning, engineering design & construction management	Tasks-1.5, 1,8 Indicators-0.1,1.2,1.1,1.3	National Regional District			√

Focus Area	Top Priorities	Links to MUM Tasks and Performance Indicators	Level of RUWASA intervention	Capacity Level		
				System	Institutional	Individual
	Equip RUWASA staff with project management and leadership skills	Tasks-1.5, 1.8 Indicators-0.1,1.2,1.1,1.3	National Regional District			√
2. Improve data and information management system	Review and update RUWASA Monitoring and Evaluation Framework	Task 1.3 Indicators-0.1,1.2,1.1,1.3, 0.5,1.4,1.5	National	√	√	
	Review and standardize RUWASA business process and tools for data collection, management, and analysis	Task 1.3 Indicators-0.1,1.2,1.1,1.3, 0.5,1.4,1.5	National Regional District		√	
	Identify and support local level data collection and management practices that are relevant to improve the quality of data reported in the RSDMS	Task 1.3 Indicators-0.1,1.2,1.1,1.3, 0.5,1.4,1.5	District		√	√
3. Identify and support initiatives that enhance professionalization of CBWSOs	Review and update a framework and strategy to support CBWSOs	Tasks-1.5, 1.6 Indicators-0.5,1.4,1.5	National Regional District		√	
	Review and update a framework and strategy to support CBWSOs	Tasks-1.5, 1.6 Indicators-0.5,1.4,1.5	National Regional District		√	
	Review, update and standardize tools, and guidelines for provision of technical backstopping support to CBWSOs	Tasks-1.5, 1.6 Indicators-0.5,1.4,1.5	National Regional District		√	
4. Enhance O&M Systems for rural water services	Review RUWASA service delivery models, to identify gaps, lessons, and areas of support	Tasks-1.5, 1.6 Indicators-0.5,1.4,1.5	National Regional District	√	√	
	Support RUWASA to develop a comprehensive and coherent service delivery framework which includes various models	Tasks-1.5, 1.6 Indicators-0.5,1.4,1.5	National Regional District	√	√	
	Pilot O&M service contracts with private service providers	Tasks-1.5, 1.6 Indicators-0.5,1.4,1.5	District		√	√
5. Enhance Youth and Women empowerment and participation in the water sector	Develop a framework, to guide youth and women empowerment and participation in line with RUWASA projects and service delivery framework	Cross-cutting: Gender and Youths Performance Indicator-0.3, 0.4	National Regional District	√		
	Develop an internal strategy for moving towards gender parity at all levels of its workforce drawing on lessons learned from	Cross-cutting: Gender and Youths Performance Indicator-0.3, 0.4	National	√	√	

Focus Area	Top Priorities	Links to MUM Tasks and Performance Indicators	Level of RUWASA intervention	Capacity Level		
				System	Institutional	Individual
	USAID's engendering industries program <sup>4</sup>					
	Equip youth and women with critical skills to enhance their employability in the water sector	Cross-cutting: Gender and Youths Performance Indicator-0.3, 0.4	National	√	√	√

### 3.2 CAPACITY BUILDING PLAN

MUM's capacity development interventions will focus at helping RUWASA develop robust infrastructure planning, design, project management and monitoring systems, and ensure staff develop the required skills to efficiently apply the right tools and processes to deliver sustainable projects and services. As such, MUM's interventions aim to strengthen the capacity of RUWASA to ensure that.

- There is a systematic process to select and prioritize WASH investments across the organization, in line with district water and sanitation plans
- Equip Staff with basic technical and soft skills to oversee planning, design, and construction of WASH infrastructure
- WASH projects and services delivered can be readily tracked, and performance monitored through RSDMS
- There is a clear framework to guide the establishment, capacity building and regulation of service providers (both public and private)
- There is a clear framework and adequate systems to support O&M at different levels and ensure that WASH infrastructure is maintained and sustained so that they remain fit for purpose in use.
- There is a clear framework and tools to assess or address climate change risks throughout the project and service delivery cycle
- There is increased Youth and women empowerment and participation in decision-making in the planning, construction and management of WASH infrastructure and services

It is important to note that MUM capacity building interventions will focus on the 10 districts. However, the activities will be delivered in close collaboration with RUWASA HQ and regional teams to ensure lessons, tools, processes generated from the ten districts are integrated into organizational systems and where possible scaled up nationally.

Table 6 below outlines capacity building interventions to be carried out starting in FY2022 in line with MUM's approved work plan.

<sup>4</sup> As a first step, MUM will engage with RUWASA HR to generate a gender-disaggregated staffing report denoting the percentage of women currently employed at each of the levels in Table 3 above. MUM will encourage RUWASA leadership (Board of Directors, Director General) to adopt achievable hiring targets for women,

**TABLE 5: CAPACITY BUILDING PLAN**

Focus Area	Area of improvement	Capacity building interventions	Link to MUM Tasks	Time line	Target or desired outcome	Responsible	Modes of delivery
<b>Enhance infrastructure project planning, engineering design &amp; construction best practices</b>	A Need to develop comprehensive district wide WASH plans	Technical Assistance and Facilitation of RUWASA, WSSA and LGAs to develop comprehensive district/town WASH master plans and help ensure their use by stakeholders as a basis for planning and decision making in infrastructure and service delivery	Task 1.8, 2.1 & 3.5	Year 1, 2,3,4	RUWASA regional and district teams able to engage stakeholders to develop comprehensive district/town WASH plans  Updated district/towns WASH plans (5 rural districts, 5 towns)	RUWASA HQ Planning Directorate, RMs and DMs in the MUM focused regions and districts	MUM staff Technical Support, STTA
	Need to put in place a systematic process and tool to select and prioritize WASH infrastructure projects in line with district WASH plans	Co-creation of WASH infrastructure scoping and selection criteria and tools. Selection criteria to include considerations around women's and youth's water & sanitation needs, roles, opportunities, etc.  Train RUWASA HQ, Regional and district teams to use and apply the selection criteria and tools	Task 1.8, 2.1 & 3.5	Year 1	RUWASA regional and district teams able to use the criteria and tools to select and prioritize WASH investments in their jurisdiction  Updated list of priority WASH projects	RUWASA HQ Planning Directorate, RMs and DMs in the MUM focused regions and districts	MUM staff Technical Support
	A need to have improved and standardized systems and processes to enable efficient delivery of	Undertake capacity enhancing reengineering of systems and procedures. Develop and implement rules, values, norms, and standards to	Task 1.8, 2.1 & 3.5	Year 1,2,3, 4	Upgrade systems and business processes	RUWASA HQ (All directorates) and RMs and DMs in the MUM focused	MUM staff technical support, STTA through MUM



Focus Area	Area of improvement	Capacity building interventions	Link to MUM Tasks	Time line	Target or desired outcome	Responsible	Modes of delivery
	projects and services	govern business processes				regions and districts	Learning hub model projects
	A need to have working tools and equipment to enable efficient planning, engineering design and construction management	In-Kind grant to purchase tools, equipment, and software to help regional district teams to plan, design delivery WASH infrastructure	Task 1.8, 2.1 & 3.5	Year 2	Improved working environment for staff	RUWASA RMs and DMs in the MUM focused regions and districts	MUM staff technical support, STTA through MUM Learning hub model projects
	A need to ensure staff have the right skills and competencies required to effectively deliver sustainable projects and services	Capacity building through training on technical engineering, project management and inclusive leadership skills	Tasks 1.5 & 1.8, 2.1 & 3.5	Year 1,2,3, 4	100 personnel (senior, middle, and lower levels managers and technicians-including graduates) at regional and district level trained and equipped with technical engineering, project management and leadership skills in WASH infrastructure planning, design, and construction management. Attention will be paid to ensure that women and young professionals are equitably represented in each training cohort.  Greater application of soft skills in the Organisation	RUWASA HR department  RUWASA consulting unit (newly established independent unit within RUWASA)	Direct training, Mentoring, and coaching through MUM Learning hub model projects
<b>Improve data and information management</b>	M&E, with a focus on effective and efficient institutional procedures,	Create a task force in RUWASA to assess existing data resources and identify data gaps	Task 1.3	Year 1	Implementation of results-based M&E tools across the organization Updated M&E Framework	RUWASA HQ ICT and Statistics Units,	MUM staff technical support, STTA

Focus Area	Area of improvement	Capacity building interventions	Link to MUM Tasks	Time line	Target or desired outcome	Responsible	Modes of delivery
	capabilities, and internal systems	with respect to the indicators for tracking SDG. Progress (baseline, impact, and implementation outcome)			Updated Results Framework	Directorate of Planning	
	A need to have improved and standardized systems and processes collect, update, manage and analyze data in the RSDMS	Undertake a capacity enhancing reengineering of systems and procedures for data collection and management	Task 1.3	Year 1,2	Standardized system, process, tools for data collection and management	RUWASA HQ ICT and Statistics Units, Directorate of Planning	MUM staff technical support, STTA
	A need to have working tools and equipment to enable efficient data collection and management at local level	In-Kind grant to purchase tools, equipment, and software to help local level data collection and management	Task 1.3	Year 1,2	Improved availability of data collection and management tools	RUWASA HQ ICT and Statistics Units, Directorate of Planning	MUM staff technical support, STTA
	A need to have accurate and updated data to guide planning and decision making within the organization	Support local level data collection and management practices that are relevant to improve quality of data reported in the RSDMS	Task 1.3	Year 2,3	Availability of updated and accurate data	RUWASA HQ ICT and Statistics Units, Directorate of Planning	MUM staff technical support, STTA through MUM Learning hub model projects

Focus Area	Area of improvement	Capacity building interventions	Link to MUM Tasks	Time line	Target or desired outcome	Responsible	Modes of delivery
<b>Identify and support initiatives that enhance professionalisation of CBWSOs</b>	A need to have coherent framework and strategy to enhance the capacity of CBWSOs and ensure compliance with the quota requiring 30% positions of CWBSOs leadership position to be held by women.	Create a task force in RUWASA to assess existing CBWSOs framework, identify gaps and areas of enhancement	Task 1.5 & Task 1.6	Year 1	Updated CBWSO framework and enhancement strategy	RUWASA HQ (Directorate of Service Delivery), RMs and DMs in the MUM's focused regions and districts	Technical Assistance through MUM staff, STTA
	A need to have improved and standardized systems and processes to establish, capacitate and regulate CBWSOS	Undertake a capacity enhancing reengineering of systems and procedures for establishment, technical backstopping, and regulation of CBWSOs	Task 1.5 & Task 1.6	Year 1,2,3, 4	Standardized system, process, tools for establishment, capacity building and regulation of CBWSOs	RUWASA HQ (Directorate of Service Delivery), RMs and DMs in the MUM's focused regions and districts	Training and capacity building of through the MUM Learning hub model projects
	A need to ensure CBWSOs have the capacity (systems, tools, and processes) needed to operate and manage water schemes effectively	Pilot and improve tools, and guidelines for provision of technical backstopping support to CBWSOs (e.g., tools for tariffs, financial, revenue & management and business plans etc.)	Task 1.5 & Task 1.6	Year 1,2,3, 4	Increase of number of CBWSOs who are run and managed professionally demonstrated by higher Customer Satisfaction Score (CSAT)	RUWASA HQ (Directorate of Service Delivery), RMs and DMs in the MUM's focused regions and districts	Training and capacity building of through the MUM Learning hub model projects

Focus Area	Area of improvement	Capacity building interventions	Link to MUM Tasks	Time line	Target or desired outcome	Responsible	Modes of delivery
<b>Enhance Operation and Maintenance Systems for rural water services</b>	A need to have coherent framework and strategy to enhance O&M for rural water services	Create a task force in RUWASA to assess existing CBWSOs framework, identify gaps and areas of enhancement. Assign functional roles and institutional responsibilities for O&M services	Task 1.6	Year 1, 2	Updated O&M framework and strategy for O&M	RUWASA HQ (Directorate of Service Delivery), RMs and DMs in the MUM's focused regions and districts	MUM staff, STAA
	A need to have various models to enhance for O&M for rural water services	Technical assistance to support development of a comprehensive and coherent service delivery framework which include various models	Task 1.6	Year 1,2	Availability of tools, guidelines to support implementation of various O&M for rural water services	RUWASA HQ (Directorate of Service Delivery), RMs and DMs in the MUM's focused regions and districts	MUM staff, STTAs
	A need to have adequate private sector participation in O&M of rural water services	Pilot and scale up O&M performance-based contracts with private service providers	Task 1.6	Year 1,2,3, 4	Increased participation of private services providers on O&M	RUWASA HQ (Directorate of Service Delivery), RMs and DMs in the MUM's focused regions and districts	Training and capacity building of through the MUM Learning hub model projects
<b>Youth and women empowerment and participation in decision-making</b>	A need to increase the meaningful participation of youth and women in the planning,	Lead the design of Youth and women development and empowerment strategies and tools (including training) aimed	Gender and Youth	Year 1,2,3, 4	Active participation of youth in planning and management of WASH services at all levels. This could also include women and	RUWASA HQ (Directorate of Service Delivery, Planning and	Technical Assistance through

Focus Area	Area of improvement	Capacity building interventions	Link to MUM Tasks	Time line	Target or desired outcome	Responsible	Modes of delivery
	construction, and management of WASH services.	at increasing and strengthening women and young people's involvement in planning, construction, and management of WASH services	Engagement		youth taking up positions at CBWSOs etc.	Technical Services), RMs and DMs in the MUM's focused regions and districts	MUM staff, STTA
	A need to ensure youth and women gain the technical and project management skills needed to qualify for employment opportunities in the WASH sector	Support RUWASA to expand the existing apprenticeship scheme with the Engineers Registration Board (ERB) and the Water Institute WI-to train the future water engineers and technicians in the water sector, set gender equitable quota for % of women or young women to participate in apprenticeship scheme.	Gender and Youth Engagement Task 2.3	Year 2,3, 4	Youth and women economic participation, including increasing youth opportunities for self-employment and other forms of employment	RUWASA HQ (Directorate of Service Delivery), RMs and DMs in the MUM's focused regions and districts	Training and capacity building of through the MUM Learning hub model projects
		Support RUWASA to organize an annual woman in WASH Day showcasing women engineers, reaching out to technical schools for partnerships	Gender and Youth Engagement Task 2.3	Year 2,3, 4	Youth and women economic participation, including increasing youth opportunities for self-employment and other forms of employment	RUWASA HQ (Directorate of Service Delivery), RMs and DMs in the MUM's focused regions and districts	Training and capacity building of through the MUM Learning hub model projects
	A need to ensure youths and women	Create partnership between RUWASA and	Gender and	Year 1,2,3	Youth economic participation, including increasing youth	RUWASA HQ (Directorate	Training and

Focus Area	Area of improvement	Capacity building interventions	Link to MUM Tasks	Time line	Target or desired outcome	Responsible	Modes of delivery
	benefit from business and entrepreneurship opportunities in the WASH sector	youth and women led enterprises in critical areas e.g., O&M service contracts, innovation, and technology.	Youth Engagement Task 2.3		opportunities for self-employment and other forms of employment	of Service Delivery), RMs and DMs in the MUM's focused regions and districts	capacity building of through the MUM Learning hub model projects

### 3.3 CAPACITY BUILDING APPROACH

The goal of MUM is to strengthen the capacity of RUWASA in the planning, design, construction and management of water and sanitation projects and services. Figure 2 below presents the proposed approaches and techniques that MUM will use to build the capacity of RUWASA across the five areas of focus outlined in Table 6.



**FIGURE 2: MUM CAPACITY BUILDING APPROACH AND TECHNIQUES**

As shown above, MUM’s approach to capacity building hinges on the learning by doing approach also referred to as Learning Hubs ‘Model Projects’ pioneered by RUWASA. According to RUWASA learning hub model projects are purposefully selected water and sanitation projects which are designed and implemented in a way that provide a flexible and an innovative learning environment to develop new processes, tools, and appropriate skills for RUWASA and its staff to improve efficiency and managerial performance in the planning and delivery of water and sanitation projects and services. Typically, model projects are implemented as experimental hubs to test new approaches to projects and service delivery alongside creating a critical mass of ‘champions of change’ who would influence and support the adoption and use of new tools and process across the organization.

Following this approach, MUM will work with RUWASA to design and implement a set of model projects in a way that provide opportunities for RUWASA staff to learn new skills by participating in the facilitated planning, design, and delivery of WASH infrastructure. This will involve training and coaching the staff on the use of the projects scoping and selection criteria developed by MUM, with inputs from RUWASA staff at National, Regional and District levels. This tool, which is a key deliverable of the MUM Task Order, requires to be approved by USAID, before it can be applied for planning and prioritization of WASH infrastructure to be implemented in selected MUM target areas. In addition, during design and construction of water infrastructure, RUWASA staff will be

involved throughout implementation of model projects supported by MUM to learn new skills. It is also envisaged that most of the tools, products and processes generated from the implementation of the MUM model projects will be used to inform the development of training materials and practical case studies which can be used to train technical staff. In addition, MUM will implement model projects which aim at improving and professionalizing O&M arrangements and enhancing cost recovery, private sector contracting and reducing operational downtime. Through these projects, RUWASA staff and graduate interns will have opportunities to learn new skills and apply new tools and process to improve service delivery.

The prioritization and selection of specific MUM Learning Hub model projects will be agreed by MUM and RUWASA. However, given the design of MUM, the model projects related to planning and design of water infrastructure will be implemented in the five new districts of Makete, Ludewa, Sumbawanga, Kalambo and Nkasi, as these are areas where MUM will construct new infrastructure projects. The model projects which aim to test new service delivery approaches/models will be implemented in the five Water Resources Integration Development Initiative (WARIDI) legacy districts of Kilosa, Kilombero, Mufindi, Kilolo, and Iringa rural district, as these are areas where MUM will support RUWASA to sustain and improve service provisions by piloting different operational models e.g., clustering of CBWSOs, using private sector to run and operate some water schemes. Alongside implementation of MUM's learning hub model projects, MUM will deploy Short Term Technical Assistance (STTAs) to provide demand- driven targeted, time-bound technical assistance to RUWASA on implementation of selected learning hubs model projects, and to address capacity issues related to organization structure review, private sector contracting/engagement, M&E, data analytics etc. Beneficiaries of STTA include individual departments at RUWASA HQ, and/or Regional and District Offices where MUM operates.

Moreover, during the implementation of MUM's learning hub Model projects, depending on the need, through in-kind grants under contract arrangement, MUM provide RUWASA with working tools and equipment to support implementation of learning hub model projects in the MUM focused districts. Also, as part of the broader strategy to strengthen RUWASA systems, MUM will work closely with RUWASA HQ to ensure all tools and processes developed by STTAs and or through the implementation of learning hub model projects are adopted and scaled up to strengthen RUWASA systems.

To supplement the experiential learning opportunities from the implementation learning hub model projects, MUM will design and deliver short term customized training programs targeting both technical and support staff at National, Regional and District level. Given the need to strengthen project leadership and management skills, the training programs will be tailored to enhance leadership and project management skills of regional and district managers. MUM will ensure the training include Gender Integration and Youth Engagement in WASH. Linked to this, MUM will ensure the training also include modules on safeguarding and safety policies including procedures for handling gender-based violence and harassment at workplace or during site construction. As indicated in Table 5 above, about 100 staff including senior, middle, and lower-level managers will benefit from these trainings over the project duration. Where possible and as resources allow, MUM technical staff will coach and mentor some of the RUWASA staff in technical, leadership and project management aspects.

### **3.5 MONITORING AND EVALUATION**

It is essential to be able to demonstrate how, and how much, the actions of building capacities translate into improved, more efficient, and effective performance. For this purpose, a simple monitoring and evaluation framework has been developed (to be further refined during implementation). Based on the focus areas of the CBP, this M&E framework has identified context-specific indicators, benchmarks, and standards for some of the capacities that are deemed as more effective in the demonstrating progresses in building the capacity of the RUWASA. They are defined as follows:



- Indicators – are distinct verifiable measures that track the performance of RUWASA in projects and service delivery. Indicators can refer to inputs, processes, outputs, or outcomes.
- Benchmarks – are sets of related indicators that provide for meaningful, accurate and systematic comparisons regarding the performance of an institutional system or institutional sub-system at the same time.
- Standards – are sets of related benchmarks, indices or indicators that provide socially meaningful information regarding outputs or outcomes of the priority focus areas for capacity building

Different indicators can be identified for each focus areas of capacity building, and multiple benchmarks can be identified for each indicator. Considering the capacities constraints of RUWASA, the number of indicators has been limited to four, each with one benchmark. This is to take into consideration that the higher the number of indicators and benchmarks, the more cumbersome data collection and analysis will be. Similarly, given the limited practice and the almost non-existent evidence of current levels of performance, the standards in this framework are based on common sense of what might reasonable, on the capacity building plan as agreed by MUM and RUWASA. Standards will be updated and reviewed annually at the time when MUM develops the annual work plan.

Table 6 below outlines the proposed indicators, benchmarks, and standards to be used to monitor and measure progress in each of the focus area.

**TABLE 6: LIST OF INDICATORS, BENCHMARKS, AND STANDARDS**

Focus area	Indicator	Benchmark	Standard	Timing and Data Source
<b>Enhance infrastructure project planning, engineering design &amp; construction best practices</b>	Compliance with quality standards	Proportion of constructed infrastructure complying with quality standards	To be determined during construction of water infrastructure	Will be reporting when construction of water infrastructure begins
<b>Improve data and information management</b>	Data quality scores	Levels of data accuracy	To be determined during verification of indicators 1.1 and 1.3 and monitored over time	MUM reports as per indicator 1.1 and 1.3 reporting schedule
<b>Identify and support initiatives that enhance professionalisation of CBWSOs</b>	Customer Satisfaction	Customer Satisfaction Score (CSAT)	To be determined during activity monitoring for indicators 1.4 and 1.5	MUM reports as per indicator 1.4 and 1.5 reporting schedule
<b>Enhance Operation and Maintenance Systems for rural water services</b>	Reduction of operational down time	Average response time for major breakdown	To be determined during activity monitoring for indicators 1.4 and 1.5	MUM reports as per indicator 1.4 and 1.5 reporting schedule

In addition to measuring progress in each of the focus areas, MUM will work together with RUWASA to develop and test tools to monitor and track capacity improvements at organizational and individual levels. Some of the recommended tools include:

- Organizational Capacity Assessment Tool:** Each year, MUM will commission an Organizational Capacity Assessment (OCA) tool to measure the overall capacity of RUWASA

on a periodic basis. The OCA tool will assess changes in capability because of the intervention in five key areas: governance, organizational management, program management, HR management, and financial management. The first RUWAS OCA tool will be commissioned in March 2022 to assess the System and institutional baseline capacity.

- b) **Skill and competency surveys:** Each year, MUM will work in collaboration with RUWASA HQ to design and commission skills and competency surveys to staff who will be involved in MUM's learning hub model projects. The surveys will aim to assess changes in knowledge and skills in project management and water and sanitation related fields, behaviors, and attitudes at work. The first skill and competency surveys will be commissioned in in June 2022 to assess the individual baseline capacity of key staff at regional and district level.
- c) **360 Check-Ins:** A baseline and end line skills assessment of the participants participating in various training will be completed to assess changes in skills and knowledge in key areas.

# ANNEX I: MEETING NOTES ON RUWASA RUKWA CAPACITY SPECIFIC ISSUES

**Date:** January 20<sup>th</sup>, 2022

**Venue:** RUWASA Regional Manager office – Rukwa

**Attendees:**

1. Boaz Pius Matunduli – Regional Manager (RM) – RUWASA Rukwa
2. Patrick Gideon Ndimbo – District Manager (DM) – RUWASA Kalambo
3. Nanyori Gabriel – Community Development Officer – RUWASA Rukwa
4. Danford Anania Vassale – Engineer – RUWASA Rukwa
5. Jonas Zacharia Maganga – District Manager -RUWASA Sumbawanga
6. Bahati S, Haule – Engineer - RUWASA Sumbawanga
7. Joseph Mcharo – Sanitation and Hygiene Manger – RUWASA HQ
8. Shaffi S. Shaban – District Manager – RUWASA Nkasi
9. Muganyizi Ndyamukama - Water Infrastructure Manager – MUM HQ
10. Jackson Mutazamba – Water Services Lead – MUM HQ

**Introduction:** MUM Water Services Lead introduced MUM activities to the participants with specific focus on sustaining projects and services. He emphasized that MUM area of focus will be to improve capacity of RUWASA to professionalize delivery and management of rural water supply and sanitation services. He emphasized that the purpose of capacity assessment is to identify capacity gaps from which MUM can determine and agree with RUWASA on areas of support.

**I. HR planning and staffing:**

RM’s office is understaffed, has a limited number of staff (27%). There 2 engineers, 1 Community Development Officer, 2 Accountants and has very few supporting staff. Most of them lack skills to perform their duties effectively in the areas of contract management, report writing and infrastructure design. CDOs lack skills in capacity building of CBWSOs and Accounts need to be trained in preparation of final accounts. Most of the capacity gaps in RM’s office are being filled by borrowing staff from LGAS e.g., Procurement staff are borrowed from LGA. DM’s offices in Nkasi and Kalambo are seriously understaffed e, g. Nkasi is 37.5% and Kalambi is 16.4%. Sumbawanga district though understaffed but has 62.5% of its in place. The table below shows the staffing status.

**Sumbawanga RUWASA District office:**

Staff	Needed	Available	Deficit	% Available
District Manager	1	1	0	100%
Engineers	3	1	2	33%
Technicians	5	3	2	60%
Assistant Technician	4	4	0	100%
Procurement Officer	1	0	1	0%
Community Development Officer	2	1	1	50%

Staff	Needed	Available	Deficit	% Available
Secretary	1	0	1	0%
Office Assistant	1	0	1	0%
Driver	2	0	2	0%
<b>TOTAL</b>	<b>20</b>	<b>10</b>	<b>10</b>	
		<b>50%</b>	<b>50%</b>	

**Nkasi RUWASA District office:**

Staff	Needed	Available	Deficit	% Available
District Manager	1	1	0	100%
Engineers	3	0	3	0%
Technicians	5	3	2	60%
Procurement Officer	1	0	1	0%
Community Development Officer	2	0	2	0%
Office Assistant	1	1	0	100%
Driver	2	1	1	50%
Personal Secretary	1	0	1	0%
<b>TOTAL</b>	<b>16</b>	<b>6</b>	<b>10</b>	
		<b>38%</b>	<b>63%</b>	

**Kalambo RUWASA District office:**

Staff	Needed	Available	Deficit	% Available
District Manager	1	1	0	100%
Engineers	3	1	2	33%
Technicians	5	2	3	40%
Procurement Officer	1	0	1	0%
Assistant Technician	1	1	0	100%
Community Development Officer	2	2	0	100%
Office Assistant	1	0	1	0%
Driver	2	0	2	0%
Personal Secretary	1	0	1	0%
<b>TOTAL</b>	<b>17</b>	<b>7</b>	<b>10</b>	
		<b>41%</b>	<b>59%</b>	

## RUKWA RUWASA Regional office:

Staff	Needed	Available	Deficit	% Available
Regional Manager	1	1	0	100%
Administrative officer	1	0	1	0%
Engineers	4	1	3	25%
Technicians	2	1	1	50%
Account Officer and Ass/accountant	2	0	2	0%
Procurement Officer	2	0	2	0%
Community Development Officer	1	1	0	100%
Driver	2	1	1	50%
Record Management officer and assistant	1	0	1	0%
Personal Secretary	1	1	0	100%
Office Assistant	1	0	1	0%
<b>TOTAL</b>	<b>18</b>	<b>6</b>	<b>12</b>	
		<b>33%</b>	<b>67%</b>	

Staff feels that the current RUWASA structure is okay as the process of filling staff gaps as per establishment is in progress but may take time to have all staff in place.

### 2. Performance management and staff engagement:

Staff performance appraisal is done through the Open Performance Review and Appraisal System (OPRAS) government system. Regular meetings are conducted on a monthly and quarterly basis to review progress of project implementation. RM and DMs conduct joint project supervision quarterly to learn and share project implementation experience. However, staff feels that the system needs improvement on measuring how staff are supervised, availability of resources, and performance assessments.

### 3. Financial planning:

RM office has staff in place, but they need training to improve their performance.

### 4. Procurement and contract management:

Procurement is carried out at RM's office according to the standard operating procedures. RUWASA is using the Tanzanian National e-Procurement System (TANePS) procurement system. Issues on procurement include:

- RUWASA has no procurement staff and depend on borrowing them from LGAs.
- Staff lack skills in procurement and contract management.
- RUWASA has a limited number of staff to supervise all projects currently under implementation.
- RUWASA has no procurement unit.
- TANePS procurement system lacks weighting factors e.g., it likely to leave a good bidder because only few factors are considered during evaluation process.

- It has been noted that sometimes it is not easy to get bidders by using TANePS system.
- 5. Environment and social safeguards:**
- RUWASA RM office has no staff knowledgeable on environmental and social impact assessments (ESIA). The office depends on staff borrowed from LGAs.
  - The community needs to be educated on environmental and social safeguards e.g., on land compensation/voluntary land donation.
  - There are conflicting laws e.g., the 60m from water sources (Water and Sanitation Act) and 100m (Environmental Act). Laws need to be harmonized.
- 6. Asset management:**
- There is no memorandum of understanding (MoU) to clearly state the responsibilities of RUWASA and CBWSO e.g., no clear definition of minor and major repairs between RUWASA and CBWSOs.
  - Currently repairs are being carried out on ad-hoc basis.
- 7. Information Communication Technology:**
- DMs input data and this does not guarantee accuracy.
  - There are no facilities for data collection at project level; consider training staff, providing them with computers and ICT related equipment.
  - Collection of data at project level to be inputted by CBWSOs.
  - Develop an MoU between RUWASA and CBWSOs.
  - Provide incentives to CBWSOs to collect data e.g., 10% of PbR/PforR funds.
- 8. Community Based Water Supply Organizations:**
- Monthly performance reports are regularly received on monthly basis.
  - Joint meetings between CBWSOs and RUWASA are conducted to assess performance of CBWSOs e.g., a project from the Kabwe CBWSO was no longer functioning. As result the Kabwe CBWSO received a loan of TSHS 3 million to pay for electricity bills that they could pay through water bill collections.
  - Challenges facing RUWASA to support CBWSOs include:
    - There is no supervision tool which has been developed to support and regulate CBWSOs' performance.
- 9. Work environment and tools:**
- RUWASA RM office has limited space to accommodate all staff members.
  - Lack of design facilities e.g., software and printing facilities
  - Transport is a problem e.g., vehicles are old and need to be replaced; there are no motorcycles for supporting staff.
  - DM Sumbawanga:
    - Also needs transport for supervision projects and motorcycles for CBWSOS
    - Needs laboratory tools, pipe fusion machines

- DM Kalambo:
  - There is no office, though there is a plot of land.
  - Have a new car which is in good working condition, but used by other DMs
- Tools needed include:
  - Computers for designing and data entry
  - Photo copier machine, color printers of different sizes
  - Fusion machine and dies
  - Motorcycles for monitoring and supervision of projects in villages
- DM Nkasi:
  - Office needs to be renovated
  - There is one vehicle which is old and needs replacement
  - Motorcycles are needed for supervision and monitoring of project
  - Tools needed: requirements similar to those mentioned under DM Kalambo

## ANNEX 2: MEETING NOTES ON RUWASA IRINGA CAPACITY SPECIFIC ISSUES

**Date:** January 13<sup>th</sup>, 2022

**Venue:** RUWASA Regional Manager office – Iringa

### Attendees:

1. Joyce a Bahati – Regional Manager – RUWASA Iringa
2. Masudi Samila – District Manger – RUWASA Iringa DC
3. Enock Basyagile - District Manger – RUWASA Kilolo DC
4. Muganyizi Ndyamukama - Water Infrastructure Manager – MUM
5. Jackson Mutazamba – Water Services Lead - MUM

**Introduction:** MUM Water Services Lead introduced MUM activities to the participants with emphasis on sustainability of water services which very much depend on institutional capacities at RUWASA and CBWSOs. He emphasized that the purpose of capacity assessment is to identify capacity gaps from which MUM can determine and agree with RUWASA on areas of support.

### I. HR planning and staffing:

All RM's and DM's offices are understaffed especially on Community Development officers (most of them borrowed from LGAs), Engineers (especially Electro-mechanical engineers), Accountants, and technicians. Currently all offices have short term staff attached to their offices for two terms of three months each, paid stipends by RUWASA HQ. However, it seems there is an issue of these short-term staff reporting to their working stations. For example, for staff who were supposed to report at RUWASA Iringa, only 2 out of 5 Accountants, 4 out of 8 technicians, and 5 out 9 community development officers have reported. RUWASA team is feeling that probably the stipend of TZS 240,000 per month which is paid to them is not attractive enough to motivate those staff. It is well appreciated that the presence of attached staff helped RUWASA to operate water schemes and implement various projects smoothly. The table below shows the staffing status as of January 5<sup>th</sup>, 2022

### Iringa RUWASA Regional office:

Staff	Needed	Available	Deficit	% Available
Regional Manager	1	1	0	100%
Administrative officer	1	1	0	100%
Engineers	6	4	2	67%
Hydrologist and Hydrogeologist	2	1	1	50%
Account Officer and Ass/accountant	3	2	1	67%
Procurement Officer	2	1	1	50%
Storekeeper	2	0	2	0%
Driver	3	1	2	33%
Record Management officer and assistant	1	0	1	0%
Personal Secretary	1	0	1	0%



Staff	Needed	Available	Deficit	% Available
Office Assistant	1	1	0	100%
<b>TOTAL</b>	<b>23</b>	<b>12</b>	<b>11</b>	
		<b>52%</b>	<b>48%</b>	

#### Kilolo RUWASA District office

Staff	Needed	Available	Deficit	% Available
District Manager	1	1	0	100%
Structural and Water Engineer	4	2	2	50%
Electromechanical Engineer	1	0	1	0%
Technicians	6	1	5	17%
Senior Assistant Technician	3	0	3	0%
Electromechanical Technician	1	0	1	0%
Assistant Technician	2	0	2	0%
Water Laboratory Technician	1	0	1	0%
CAD Technician	1	0	1	0%
Community Development Officer	2	0	2	0%
Office Assistant	1	1	0	100%
Driver	1	0	1	0%
Personal Secretary	1	0	1	0%
Security Guard	1	1	0	100%
<b>TOTAL</b>	<b>26</b>	<b>6</b>	<b>20</b>	
		<b>23%</b>	<b>77%</b>	

#### Iringa RUWASA District office:

Staff	Needed	Available	Deficit	% Available
District Manager	1	1	0	100%
Structural and Water Engineer	2	1	1	50%
Electromechanical Engineer	1	0	1	0%
Technicians	5	2	3	40%
Senior Assistant Technician	3	3	0	100%
Electromechanical Technician	1	1	0	100%
Assistant Technician	3	3	0	100%
Water Laboratory Technician	1	0	1	0%
CAD Technician	1	0	1	0%
Community Development Officer	2	0	2	0%
Office Assistant	1	1	0	100%

Staff	Needed	Available	Deficit	% Available
Driver	2	1	1	50%
Personal Secretary	1	0	1	0%
Security Guard	2	2	0	100%
<b>TOTAL</b>	<b>26</b>	<b>15</b>	<b>11</b>	
		58%	42%	

Staff feels that the current RUWASA structure is okay, and that the decentralization process is in process and may take time because of staffing issues mentioned above. RUWASA still needs to work on staffing deficit and staff skills. Establishment of a consulting unit at RUWASA HQ can be helpful on specific issues. For example, currently RUWASA in Mufindi is planning to design a project to serve 15 villages; the challenge is knowing who will implement such a large project.

## 2. Performance management and staff engagement:

Staff performance appraisal is mainly through OPRAS government system which must be done every 6-12 months. RUWASA team feels it is ineffective, inconsistent, and lacks transparency. Sometimes awards, mainly on Workers Day (May 1<sup>st</sup>), are given on a rotational basis instead of being based on staff performance; sometimes no feedback is given on staff performance. Financial resource allocation is sometimes not enough for project implementation and completion.

## 3. Financial planning:

Almost 95% of RUWASA's budget is from the government. Planning is ad-hoc coupled with insufficient funds and late disbursement of funds. Iringa region has 81 CBWSOs yet they cannot meet some of O&M and recovery costs of their water schemes. They need training and capacity building opportunities; they consider joining with other CBWSOs to reduce their O&M overhead costs.

## 4. Procurement and contract management:

- Procurement is lengthy and bureaucratic. For example, the approach is labor intensive and any small mistake in the tendering process requires repeating the whole procurement process. RUWASA uses TANePS; it is an improvement as it is fairer than it was before. Staff received contract management training, including skills in negotiation on prices. The system allows negotiations with selected contractors.
- Presence of QA/Quality Control at RUWASA HQ and Regional offices helps to control the quality of projects.

## 5. Environment and social safeguards:

Environment and water quality issues must be brought to the forefront, including community awareness. In some projects, facilities exist but not used e.g., facilities for chlorination of water in some projects are not operational.

## 6. Asset management:

Asset management needs improvement. Some RUWASA offices are on plots that belong to LGAs and some RUWASA offices are using WSSAs offices or other sector offices. This interferes in RUWASA performance. Asset management at CBWSO level needs improvement as well.

## 7. Information Communication Technology:

- RDSM is a good system. DMs are providing inputs in the system and update their information before the 15<sup>th</sup> of the month. However, DMs face effective data update process challenges. With the staffing issues raised above, lack of transport at DMs offices makes it

difficult to visit projects and update them regularly. Iringa region data are only 70% updated in terms of data accuracy. Capacity building to CBWSOs with electronics and technology can improve the data updating process as it will reduce travel costs and time taken to update the information.

- Tools and checklists tool like the one used in Payment for Results are helpful as it monitors and regulates CBWSOs e.g., tracking the quarterly meetings conducted by CBWSOs

#### **8. Community Based Water Supply Organizations:**

- There are challenges in CBWSOs management, including selection of leadership.
- Users reluctant to pay agreed tariffs.
- Review CBWSOs capacity gaps. Create capacity building opportunities from the early stages of the project, and more investment in capacity building.
- Use of prepaid meters can resolve some problems. The Rural Development Organization in Mufindi manufactures local made prepaid meters in Kilolo and Mufindi. It may be worth a visit to the company so MUM can learn from their methods.

#### **9. Work environment and tools:**

- RUWASA offices needs data management tools which will help them in updating project data e.g., tablets for data collection in the field. Design tools, computers, and software are also needed.
- The asset management issue in section five above also needs attention.

# ANNEX 3: MEETING NOTES ON RUWASA NJOMBE CAPACITY SPECIFIC ISSUES

**Date:** January 17<sup>th</sup>, 2022

**Venue:** RUWASA Regional Manager office – Njombe

**Attendees:**

1. Eng. Sadick Chakka – Regional Manager – RUWASA Njombe
2. Eng. Mlengi Lupetulilo – District Manager – RUWASA Ludewa
3. Eng. Innocent Lyamuya - District Manager – RUWASA Makete
4. Muganyizi Ndyamukama - Water Infrastructure Manager – MUM
5. Jackson Mutazamba – Water Services Lead - MUM

**Introduction:** MUM Water Services Lead introduced MUM activities to the participants with emphasis on sustainability of water supply and sanitation services which very much depend on institutional capacities at RUWASA and CBWSOs. He emphasized that the purpose of capacity assessment is to identify capacity gaps from which MUM can determine and agree with RUWASA on areas of support.

**I. HR planning and staffing:**

RM’s office, though not fully staffed, has at least a good number of technical staff (79%) but lacks supporting staff. Most of the supporting staff currently working under Njombe RM were requested from Njombe Town Council. Almost all DM’s offices are understaffed especially on Community Development officers (most of them borrowed from LGAs), Engineers, Accountants, and technicians. Several initiatives have taken by RUWASA RM to support DMs by engaging volunteers who are given short term contracts of 6 months. Another initiative taken by RUWASA HQ is requesting for permission to employ additional staff but so far, no approval has been granted by the Ministry responsible for staff employment. The table below shows the staffing status.

**Njombe RUWASA Regional office:**

Staff	Needed	Available	Deficit	% Available
Regional Manager	1	1	0	100%
Administrative officer	1	0	1	0%
Engineers	4	3	1	75%
Technicians	3	1	2	33%
Account Officer and Ass/accountant	3	2	1	67%
Procurement Officer	2	1	1	50%
Driver	2	0	2	0%
Record Management officer and assistant	1	0	1	0%
Personal Secretary	1	0	1	0%
Office Assistant	1	1	0	100%
Logistic Officer	1	0	1	0%
<b>TOTAL</b>	<b>20</b>	<b>9</b>	<b>11</b>	
		<b>45%</b>	<b>55%</b>	

**Ludewa RUWASA District office:**

<b>Staff</b>	<b>Needed</b>	<b>Available</b>	<b>Deficit</b>	<b>% Available</b>
District Manager	1	1	0	100%
Engineers	3	2	1	67%
Technicians	7	5	2	71%
Procurement Officer	1	0	1	0%
Record Management officer and assistant	1	0	1	0%
Community Development Officer	2	0	2	0%
Office Assistant	1	0	1	0%
Driver	2	0	2	0%
Personal Secretary	1	0	1	0%
<b>TOTAL</b>	<b>19</b>	<b>8</b>	<b>11</b>	
		42%	58%	

**Wanging'ombe RUWASA District office**

<b>Staff</b>	<b>Needed</b>	<b>Available</b>	<b>Deficit</b>	<b>% Available</b>
District Manager	1	1	0	100%
Engineers	3	2	1	67%
Technicians	7	4	3	57%
Procurement Officer	1	0	1	0%
Record Management officer and assistant	1	0	1	0%
Community Development Officer	2	0	2	0%
Office Assistant	1	0	1	0%
Driver	2	0	2	0%
Personal Secretary	1	0	1	0%
<b>TOTAL</b>	<b>19</b>	<b>7</b>	<b>12</b>	
		37%	63%	

### Makete RUWASA District Office

Staff	Needed	Available	Deficit	% Available
District Manager	1	1	0	100%
Engineers	3	2	1	67%
Technicians	7	5	2	71%
Procurement Officer	1	0	1	0%
Record Management officer and assistant	1	0	1	0%
Community Development Officer	2	0	2	0%
Office Assistant	1	0	1	0%
Driver	2	0	2	0%
Personal Secretary	1	0	1	0%
<b>TOTAL</b>	<b>19</b>	<b>8</b>	<b>11</b>	
		42%	58%	

### Njombe RUWASA District office:

Staff	Needed	Available	Deficit	% Available
District Manager	1	1	0	100%
Engineers	3	2	1	67%
Technicians	15	12	3	80%
Procurement Officer	1	0	1	0%
Record Management officer and assistant	1	0	1	0%
Community Development Officer	2	0	2	0%
Office Assistant	1	0	1	0%
Driver	2	0	2	0%
<b>TOTAL</b>	<b>26</b>	<b>15</b>	<b>11</b>	
		58%	42%	

Staff feels that the current RUWASA structure is okay, and that the decentralization process is in process and may take time because of staffing issues mentioned above.

#### 2. Performance management and staff engagement:

Staff performance appraisal is mainly through OPRAS government system which must be done ever 6-12 months. RUWASA team feels that it too general and needs to be improved by separating OPRAS forms for leaders, middle, and lower cadre staff. Staff need resources to implement planned project activities. Allocation of financial resources sometimes is not enough for projects implementation full completion as planned. Regular meetings are conducted on monthly basis to review progress of implementation of projects; projects are planned and implemented together as a team.

### 3. Financial planning:

Almost 95% of RUWASA's budget is from the government. Planning is done and priority areas/projects are allocated funds. There are other stakeholders who are providing support e.g. KKKT, a Lutheran Church, providing support in Makete district, Sanitation and Water Action providing support in water and sanitation project in Njombe district, PADECO, a Catholic Church, and Southern Highlands Participatory Organization providing support in skills development in Njombe region (e.g., designing of projects). So far there is no private sector support in the WASH projects.

### 4. Procurement and contract management:

Procurement is carried out at RM's office by following the procurement plan. For example, the RUWASA uses the TANePS procurement system. Issues in procurement include:

- Flow of funds are not reliable; this affects smooth implementation of projects.
- There is one person who procures goods and services; this results in procurement delays.
- Use of force account tends to delay project implementation.
- TANePS improved procurement process and made it more efficient.

### 5. Environment and social safeguards:

There is one Technician at RUWASA RM office who works closely with an Environmental engineer to prepare environment management plans for projects. On bigger projects which cost more than TZS 1.0 billion, Environmental Impact Assessment (EIA)/ESIA experts are expensive; this can cost up to TZS 50 million.

### 6. Asset management:

Asset management needs improvement; many repairs need to be made. There is no written MoU to state the responsibilities of RUWASA and CBWSOs at the moment; there is no clear definition of minor and major repairs between RUWASA and CBWSOs. Currently repairs are being carried out on ad-hoc basis.

### 7. Information Communication Technology:

The RM office has stable internet connection. So far, DMs' offices do not have internet connections and other working facilities like computers, GPSs, and design software. RUWASA HQ has engaged Tanzania Telecommunications Corporation to carry out the inventory for all DMs offices.

### 8. Community Based Water Supply Organizations:

- The assessment of CBWSOs is carried out on quarterly and annual basis.
- Minor and major project repairs are undocumented and done informally. There is therefore the need to have the MoU between RUWASA and CBWSOs for minor and major repairs.
- Systems/tools developed by RUWASA are not yet shared with CBWSOs.

### 9. Work environment and tools:

- RUWASA RM office has limited space to accommodate staff and needs to be expanded as there is still land for building additional rooms.
- Ludewa RUWASA shares an office with WSSA and needs to move.
- Makete DM has no office.
- The vehicles currently being used by RMs and DMs are worn out and need to be replaced.

# ANNEX 4 MEETING NOTES ON RUWASA MOROGORO CAPACITY SPECIFIC ISSUES

**Date:** January 26<sup>th</sup>, 2022

**Venue:** MORUWASA Office Mikumi

**Purpose:**

- Meet with Morogoro RUWASA regional manager, and Ruwasa district managers for Kilombero and Kilosa and conducted focal group discussion on RUWASA Capacity Assessment as initial baseline for MUM project before execution of its RUWASA Capacity Building interventions
- Identify capacity gaps which MUM can determine and agree with RUWASA on areas of support

**Meetings/Activities:**

**Participants:**

1. Eng. Heke Bulugu – Acting RUWASA Morogoro Regional Manager,
2. Eng. Joshi Chum – RUWASA Kilosa District Manager,
3. Eng. Florence Mlelwa – RUWASA Kilombero District Manager,
4. Eng. Muganyizi Ndyamukama – MUM- Water Supply Infrastructure Manager,
5. Mr. Baraka Mwago – MUM Organizational Improvement Specialist

**Introduction**

Acting RUWASA manager for Morogoro opened the meeting at 10:35am followed with self-introduction from the participants, and MUM-Water Supply Infrastructure Manager emphasized that the MUM area of focus will be to improve capacity of RUWASA to professionalize delivery and management of rural water supply and sanitation services. He emphasized that the purpose of capacity assessment is to identify capacity gaps from which MUM can determine and agree with RUWASA on areas of support.

**I. HR planning and staffing:**

RM's office is understaffed, has a limited number of personnel which is 40% of required manpower establishment. DM's offices in Kilombero and Kilosa are all understaffed with less than 50% of targeted manpower in place e.g., Kilombero district is 47%. Despite being understaffed, RUWASA engineers and technicians occasionally work for Ifakara Urban Water and Sanitation Authority which doesn't have a manager or enough water technicians. Kilosa district has 44% of its staff in place and the secretary will retire in June 2022. RM office is screening personnel for environmental screening of new projects to be implemented. The regional manager has disbursed interns (from RUWASA HQ) of different cadres to support covering the shortage of staff. Kilombero office has been allocated nine interns (eight reported) i.e., one engineer, two community development officers, six technicians. Kilosa office has been allocated interns from RM office are four engineers, two community development officers, and six technicians. The tables below show the staffing status:



**Morogoro RUWASA Regional office:**

Regional Manager	1	1	0	100%
Administrative officer	2	1	1	100%
Engineers	6	3	3	50%
Technicians	3	0	3	0%
Account Officer and Ass/accountant	4	3	1	75%
Procurement Officer	2	1	1	50%
Driver	2	1	1	50%
Record Management officer and assistant	2	0	2	0%
Personal Secretary	1	0	1	0%
Office Assistant	1	0	1	0%
Logistic Officer	1	0	1	0%
<b>TOTAL</b>	<b>20</b>	<b>9</b>	<b>11</b>	
		<b>40%</b>	<b>60%</b>	

**Kilombero RUWASA District office:**

<b>Staff</b>	<b>Needed</b>	<b>Available</b>	<b>Deficit</b>	<b>% Available</b>
District Manager	1	1	0	100%
Engineers	6	3	3	50%
Technicians	15	8	7	46%
Procurement Officer	1	0	1	0%
Community Development Officer	2	0	2	0%
Office Assistant	2	0	2	0%
Driver	2	1	1	50%
Secretary	1	1	0	0%
<b>TOTAL</b>	<b>30</b>	<b>14</b>	<b>16</b>	
		<b>46%</b>	<b>54%</b>	

## Kilosa RUWASA District office

Staff	Needed	Available	Deficit	% Available
District Manager	1	1	0	100%
Engineers	5	0	5	0%
Technicians	15	7	8	53%
Procurement Officer	1	0	1	0%
Community Development Officer	1	0	1	0%
Office Assistant	1	0	1	0%
Driver	1	1	0	0%
<b>TOTAL</b>	<b>25</b>	<b>11</b>	<b>14</b>	
		44%	64%	

## 2. Performance management and staff engagement:

Staff performance appraisal is done through OPRAS government system. However, staff feel OPRAS isn't an efficient evaluation tool; the employee fills the targeted objectives and activities of the year and evaluation is done annually. Reasons for why staff consider OPRAS is not effective and efficient for carrying out staff performance appraisal are below:

- Evaluation is done on set objectives/targets but there are limited working facilities to ensure fulfilment of the targeted activities i.e., budget constraints, transport facilities, etc. Hence it is difficult to evaluate staff performance who are not well equipped with working gear or tools.
- Rewards and recognition that are done yearly i.e., May 1st, do not follow OPRAS evaluation merits, but rather are given on rotation basis i.e., if you received present this year the following year will be for another staff regardless of his/her performance.
- One HR officer is for the whole region managing/overseeing staff in seven districts hence he/she is not efficient in provision of needed support in OPRAS to all RUWASA staff in the region.

**Staff recognition/appreciation/acknowledgment:** RUWASA has borrowed the experience from Local Government Authorities i.e., During Workers Day, on May 1st each year, best year performers are given gifts, certificates, and letters of appreciations.

The Regional have team building events which are:

- Monday Morning Prayers (Monday Morning Meetings),
- Management team monthly meeting i.e., RM and DMs
- Quarterly meetings for RM, DMs, selected staff from RM, DMs offices and CBWSO leaders are regularly conducted outside their workstations

District managers conduct similar meetings as those mentioned under RM, but in additional that they have introduced the following:

- WhatsApp group as part of sharing their experience together with CBWSOs (CBWSO manager uses their monthly collection in recharging internet bundles while purchasing the billing internet expenditure using their own phones)

- b. Monthly meetings between RUWASA DM team and CBWSO leaders (manager and treasurer)
- c. Quarterly meetings between RUWASA DM team and CBWSO leaders (chairperson, manager, and treasurer)
- d. Collective field monitoring visits (RUWASA district team) with a field-work checklist.

### 3. Financial planning:

Almost 95% of RUWASA's budget is from the government. Planning is done and priority areas/projects are allocated funds. So far in Morogoro region there is no private sector support in the WASH projects though there small, isolated water supply interventions which are not coordinated through RUWASA's offices, e.g., shallow wells which are being implemented by Islamic Foundation. All fundings are administered at RUWASA regional manager office in the government system known as MUSE (Mfumo wa Malipo Serikalini) and the regional manager is the custodian of all funding in the region; they administer payments to subcontractors and vendors providing services in the region and districts. District managers think that they need to have their own accounts and control of the budget at their levels as the centralized system at the regional level delays payments.

### 4. Procurement and contract management

Procurement is centralized at the regional level through regional procurement board and the procurement officer uses government procurement system known as TANEPS. Through focal group discussions, the team seems to be happy with the government procurement system as it reduces typing and printing cost of tender documents, reduces meeting with bidder's/contractors hence reduce corruptions and there's no room for editing submitted tender documents hence its fair for all bidders. The only mentioned challenge of the procurement system is that TANEPS is sometimes busy and very slow during day when you want to upload documents and hence the best time to upload documents is at night.

### 5. Environment and social safeguards:

- There are directives to have focal person on environment and social safeguarding.
- RUWASA RM office has no staff who is qualified and designated to work on EIA. The office has appointed one engineer from RUWASA Kilombero office as a screening officer of projects to be implemented in the region,

### 6. Asset management:

- According to the Water Act No. 5 of 2020, the assets are stipulated to be owned by the government, but the asset management needs improvements.
- There is a clear knowledge of minor and major repairs. But there is no written MoU to clearly state the responsibilities of RUWASA and CBWSO. Currently repairs are being carried out on ad-hoc basis.
- Ownership of the previous LGA/water department owned properties to RUWASA:

There are handing over notes from the District Directors to RUWASA district managers, but RUWASA don't have land/building title deeds. RUWASA offices are found within LGA premises.

### 7. Information Communication Technology:

- DMs input data and this does not guarantee their accuracy.
- The level of water supply coverage in the districts is not very accurate due to geographical location of schemes as it is not easy to visit more than 2000 water points each month.

- There's a need to train more people on RSDMS data collection, but there is a lack of working tools such computers and tablets.
- Provide incentives to motivation to CBWSOs and data collectors.

#### 8. Community Based Water Supply Organizations:

- RUWASA district team meets with CBWSO monthly and quarterly to share experiences and troubleshoot schemes' technical faults.
- RUWASA has enabled CBWSO to have electronic billing system known as BREMS which has improved revenue collection; however, the system needs improvement e.g., enabling it to generate bills frequently and not only on a monthly basis.
- RUWASA has reassigned the intern from Regional Manager to CBWSOs to improve their efficiency.
- The WhatsApp group efficiently reports on challenges faced by CBWSOs and hence provides needed support on time.

#### 9. Work environment and tools:

- There is shortage of transportation facilities i.e., motor vehicles and motorcycles, to facilitate transportation within the district as RUWASA motor vehicles were bought in 2009 and their maintenance costs is high.
- There's lack of protective gear and equipment.
- USAID/WARIDI program provided RM and DMs with office working tools (laptops, tablets, tables, chairs, printers, and photocopy machines). DMs have shared some of facilities with some CBWSOs.

**U.S. Agency for International Development**  
1300 Pennsylvania Avenue, NW  
Washington, DC 20523  
Tel: (202) 712-0000  
Fax: (202) 216-3524  
[www.usaid.gov](http://www.usaid.gov)