



PHOTO CREDIT: [REDACTED], USAID EXPANDING WASH: STAFF FROM MONGU TOWN COUNCIL, WESTERN WATER AND MONGU DISTRICT HEALTH OFFICE ATTEND AN IT AND COMM-CARE TRAINING IN MONGU

USAID EXPANDING WATER AND SANITATION PROJECT

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USAID Expanding Water and Sanitation Project

Quarterly Progress Report #5

Contract #: 72061122C00004

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The authors' views expressed in this report do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

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ACRONYMS AND ABBREVIATIONS

ADS	USAID Automated Directives System
AMELP	Annual Monitoring, Evaluation, and Learning Plan
AWP	Annual Work Plan
CBO	community-based organization
CDF	community development fund
CF	construction fund
CFM	Construction Fund Manager
CHWSC	Chambeshi Water and Sanitation Company
CLA	collaborating, learning, and adapting
COP	Chief of Party
COR	Contracting Officer's Representative
CSO	civil society organization
CU	commercial utility
DDCC	District Development Coordinating Committee
DFC	USAID Development Finance Corporation
DMA	delegated management agreement
D-WASHE	district water, sanitation, and hygiene education committee
EMMP	Environmental Mitigation and Monitoring Plan
GRZ	Government of the Republic of Zambia
GUC	grants under contract
GYSI	gender, youth, and social inclusion
HEARTH	Health, Ecosystems, and Agriculture for Resilient, Thriving Societies (USAID public-private partnership program)
IEE	Initial Environmental Examination
IT	information technology
LA	(government) local authority
M&E	monitoring and evaluation
MEL	monitoring, evaluation, and learning
MOF	Ministry of Finance
MWDSEP	Ministry of Water Development, Sanitation, and Environmental Protection
NRW	non-revenue water
NWASCO	National Water and Sanitation Council
NWSSP	National Water Supply and Sanitation Policy
O&M	operations and maintenance
PDCC	Provincial Development Coordinating Committee
PEA	political economy analysis

PLOCA	Participatory Local Organizational Capacity Assessment
PP	Planet Partnerships
PPP	public–private partnership
PSE	private sector engagement
PSP	private sector participation
P-WASHE	provincial water, sanitation, and hygiene education committee
PWD	persons with disabilities
QASP	Quality Assurance and Surveillance Plan
RTI	RTI International (registered trademark and trade name of Research Triangle Institute)
SaniFOAM	framework to analyze behaviors to design effective sanitation programs: focus, opportunity, ability, motivation
SBC	social and behavior change
SNV	SNV Netherlands Development Organization
STTA	short-term technical assistance
SUN-TA	Scaling Up Nutrition Technical Assistance
SWSC	Southern Water and Sanitation Company
TBD	to be determined
USAID	United States Agency for International Development
V-WASHE	village water, sanitation, and hygiene education committee
WARMA	Water Resources Management Authority
WASAZA	Water and Sanitation Association of Zambia
WASH	water, sanitation, and hygiene
WQAP	Water Quality Assurance Plan
WWSC	Western Water and Sanitation Company
ZCSMBA	Zambia Chamber of Small and Medium Business Associations
ZANACO	Zambia National Commercial Bank
ZPPA	Zambia Public Procurement Authority

EXECUTIVE SUMMARY

RTI International (RTII) is pleased to submit Quarterly Progress Report #4 for the United States Agency for International Development (USAID) Expanding Water and Sanitation Project (USAID Expanding WASH). The Quarterly Progress Report discusses progress within the reporting period, as well as cumulative progress in the context of the agreed-upon accomplishments and indicators. It discusses existing and potential problems in implementation and variance from the Annual Work Plan (AWP) and Activity Monitoring, Evaluation and Learning Plan (AMELP).

The purpose of this contract (72061122C00004) is to professionalize water, sanitation, and hygiene (WASH) services, to promote accountability for reliable and high-quality WASH services, and to enhance the enabling environment for private sector engagement (PSE) in service delivery in Zambia.

This report covers FY23 Q3 (April – June 2023) of implementation of the USAID Expanding WASH project. During the quarter, the project had good management outcomes and made positive progress on its three technical objectives. Key implementation highlights from the quarter are outlined below:

Objective 1: The project team successfully facilitated meetings with Provincial WASHE committees to clarify roles and responsibilities for Commercial Utilities (CUs) and Local Authorities (LAs) under rural WASH Frameworks, to resolve misunderstandings and suspicions that implementation of new roles would lead to loss of revenue existing among WASH stakeholders. The meetings were co-facilitated by the National Water Supply and Sanitation Council. The project team also successfully conducted IT capacity-building training for CU district Managers, LA WASH Coordinators, and Environmental Health Officers in all 12 projects districts. The IT training will enhance the quality of WASH data capture for project monitoring, planning, management, and decision-making by ensuring the efficient, correct, and complete entry of information into source documents from project areas.

Objective 2: In line with sub-objective 2.1, which aims to improve citizens' capacity to hold WASH service providers, policymakers, and civic leaders accountable for quality service delivery, the project team conducted various capacity-building trainings for CSOs. The trainings develop CSOs advocacy skills, and equip CSOs with skills and tools for social accountability.

Objective 3: The project team completed an assessment of CU strategic plans and policies to establish the extent to which the revised mandate to deliver services to rural areas has been taken up by the CUs, following the government directive in 2017. The team also reviewed CU procurement guidelines to identify specific guidelines relating to engagement of private sector players in the provision of WASH services. This also served to assess CU capacity for procuring private sector services under the pipeline projects.

Management: In Q3, a candidate for the position of Construction Fund Manager was identified and hired, effective June 26. The team also finalized evaluation of bids for engagement of a Local Engineering Support firm to support construction activities and plans to sign the contract by the end of July 2023.

PROGRAM OVERVIEW

The United States Agency for International Development (USAID) Expanding Water and Sanitation Project (USAID Expanding WASH) is a five-year program to professionalize water, sanitation, and hygiene (WASH) services, promote accountability for reliable and high-quality WASH services, and enhance the enabling environment for private sector engagement (PSE) in service delivery in Zambia. With operating dates from January 27, 2022 through January 26, 2027, implementation of the USAID Expanding WASH Project is led by RTI International.

The USAID Expanding WASH Project uses USAID’s Local Solutions Framework to strengthen social accountability within complex, dynamic local systems. This approach entails a flexible and responsive strategy to link supply-side governance—understood as GRZ’s ability to follow through on its promises for providing WASH services to its citizens—with demand-side governance, defined as robust civil society engagement that keeps governments and private service providers accountable.

The three project objectives are to:

- Institutionalize market-based WASH service delivery through financially sustainable and inclusive management models;
- Increase the accountability of WASH service providers, policymakers, and civic leaders; and
- Increase private sector participation (PSP) with supporting policy and regulatory reform.

These interventions, taken together, will increase access to safe water, improve sanitation, and enhance the capacity of the Zambian government, the private sector, and civil society organizations (CSOs).

The USAID Expanding WASH Project is headquartered in Lusaka, Zambia, and covers four provinces: Northern, Muchinga, Western, and Southern. The project has a target of 12 districts within the provinces: Chinsali, Kalabo, Kalomo, Kaoma, Kazungula, Lunte, Mongu, Mpika, Mungwi, Nakonde, Nalolo, and Sesheke. Throughout implementation, the project team will work with USAID to reaffirm the target areas.

The three targeted CUs are (1) Western Water and Sanitation Company (WWSC); (2) Chambeshi Water and Sanitation Company (CHWSC), which covers both Northern and Muchinga provinces; and (3) Southern Water and Sanitation Company (SWSC).

During preparation of the Work Plan, the work in the districts was apportioned in the following ways:

- Focus on water: Lunte and Mungwi districts in Northern Province; Kalomo and Kazungula in Southern Province, and Nakonde in Muchinga Province
- Focus on sanitation: Kalabo, Kaoma, Mongu, Nalolo, and Sesheke districts in Western Province, and Chinsali and Mpika in Muchinga Province

Throughout this Quarterly Progress Report, the districts, provinces, and CUs listed above may be referred to as “targeted provinces,” “targeted districts,” or “targeted CUs,” to be as concise as possible.

SUMMARY OF CUMULATIVE PROGRESS AND ACCOMPLISHMENTS

In Q3, the USAID Expanding WASH project completed key project implementation activities. Highlights from the quarter are listed below:

Operational

- Finalized recruitment and orientation of the Policy and Regulatory Specialist, Project Driver, and Construction Fund Manager. Onboarding of the Construction Fund Manager will be finalized in July 2023.
- Commenced engagement of Communication Consultants and Environmental Consultant.
- Commenced engagement of a local engineering support firm to provide oversight of project construction activities.
- Worked on contract renewals for suppliers, including health insurance and office lease. Finalized engagement of a supplier for mobile money services.
- The project has received two vehicles from Toyota Gibraltar. Commenced the process of clearance and registration of two vehicles purchased from Toyota Gibraltar.

Technical

- Completed a Private Sector Directory and Database. This is a living platform of private sector players the project has previously engaged with and will be updated as the project moves forward.
- The Service Delivery Lead (SDL) and NWASCO Representatives (Clara Zulu – Rural Water and Sanitation Inspector, Curtis Muleya- Technical Inspector, Chrispin Lukwanda – Head Information and Resource Center; Kalusha Sakala – Onsite Sanitation Officer) undertook joint trips to Western, Southern, Muchinga and Northern provinces. The joint team met with all four PWASHE Committees to clarify the roles and responsibilities of CUs and LAs, and to update the committees on project activities. Clarification of roles was necessary in view of observed lack of clarity amongst key stakeholders and for the successful implementation of professionalized service delivery models that take into account the various roles of key WASH stakeholders.
- Participated in the USAID Implementing Partner’s meeting on Gender, Environment and Climate Change, held on May 11. Presentations and discussions focused on Gender Equity and Women’s Empowerment, including presentations from USAID on its latest Gender Policy; from the Non-governmental Coordinating Council (NGOCC) on its operations and policy; from the Cabinet Office’s Gender Division on government policies and guidelines on Gender, and from Sonke Gender Justice on its inclusive approach to male involvement in gender equity. Sonke Gender Justice has designed its gender equity programs to include special programs for males to ensure gender equity is not about females only but takes into consideration male issues. It believes this inclusive approach may lead to improved acceptance of gender equity. Additional topics included climate and environmental compliance and contracting and performance reporting (in general and with regards to gender, climate change, and environmental compliance).

- Successfully participated in the Zambia Water Forum and Exhibition (ZAWAFE), June 12-14, at which USAID Deputy Mission Director [REDACTED] made a keynote speech during the opening session. The team delivered three presentations: Sustainable Water Supply and Sanitation for Community Resilience; Strengthening Private Sector Participation in the WASH Sector; and Capacity Building for Water Supply and Sanitation.

DELIVERABLES

During this reporting period, USAID Expanding WASH submitted two contractual deliverables as final products in line with Section F of the contract, as highlighted in Table I below.

TABLE I. REPORTS AND DELIVERABLES COMPLETED DURING THE REPORTING PERIOD		
REPORT/DELIVERABLE	STATUS	SUBMISSION DATE
FY23 Quarterly Progress Report	Draft	April 15, 2023
	Final	May 4, 2023
	Approved	June 14, 2023
Construction Implementation Plan	Draft	October 14, 2022
	Final	January 14, 2023
	Approved	April 13, 2023

DESCRIPTION OF PROGRESS AND ACCOMPLISHMENTS

The following sections outline progress made on each of the objectives, milestones, and performance indicators.

OBJECTIVE I: INSTITUTIONALIZED MARKET-BASED WASH SERVICE DELIVERY, FINANCIALLY SUSTAINABLE AND INCLUSIVE MANAGEMENT MODELS

Objective I: Institutionalized market-based WASH service delivery, financially sustainable and inclusive management models for water and sanitation facilities					
Key Result 1: Increased access to safe water by 3%–5% at midline and 15% at endline.					
Key Result 2: Improved functionality rate of water supply facilities by 5%–10% at midline and 25% at endline					
Key Result 3: Increased access to sanitation 5%–10% at midline and 25% at endline					
IR.1.1: Improved and institutionalized, professionalized, financially sustainable, adaptive, and inclusive management models					
Indicator	FY 23 Target	Target Life of the project			
		Actual	Target	Actual	% Achievement
No. of people gaining access to basic drinking water services as a result of USG assistance (HL.8.1-1)	21,528	0	430,550	0	0
No. of people gaining access to safely managed drinking water services as a result of USG assistance (HL.8.1-2)	26,910	0	89,700	0	0
No. of institutional settings gaining access to basic drinking water services as a result of USG assistance (HL.8.1-4)	26	0	86	0	0
No. of people receiving improved service quality from existing basic drinking or safely managed water service as a result of USG assistance (HL.8.1-3)	31,695	0	633,900	0	0
Number of communities verified as ODF as a result of USG assistance	168	0	840	0	0

Objective I improves social accountability by securing minimum quality standards for market-based services and strengthening institutional arrangements to ensure that these services reach customers. The USAID Expanding WASH Project will achieve this objective through comprehensive analysis and deliberate engagement of district, community, and private sector stakeholders, recognizing how co-implementation can enhance governance, policy reform, and sustained investment. The project is working with CUs to identify service-improvement projects for peri-urban areas, rural growth centers, and rural communities, including upgrading existing infrastructure, drilling boreholes, installing water taps and small piped water schemes, and improving on-site sanitation. Where possible, the project capitalizes on existing management models to increase shared value for rural growth centers and communities, using them as a foundation to scale a structured delegation of authority for market-based services.

Through these interventions, USAID Expanding WASH seeks to increase access to safe drinking water and sanitation services by giving 430,550 people new access to basic drinking water, 633,900 people access to improved service quality, 89,700 people access to safely managed water, 86 institutions with institutional access to water. Further, 840 communities will attain open defecation free (ODF) status over the life of the project. In FY23, the project plans to provide 21,528 people with access to basic drinking water, 26,910 with access to safely managed water, and 31,695 with access to improved water service quality. 168 communities will attain ODF status and 26 health facilities and schools will have institutional access to water. In Q3 the project did not provide any new access to water and sanitation services, but implemented activities, listed below, that will lay the foundation for the achievement of key results and targets.

SUB-OBJECTIVE 1.1: IMPROVE AND INSTITUTIONALIZE MARKET-BASED, PROFESSIONALIZED, FINANCIALLY SUSTAINABLE, ADAPTIVE, AND INCLUSIVE MANAGEMENT MODELS

TASK 1.1.1: Determine entry point for water supply and sanitation services

The project undertook site validation meetings in the month of April, covering five districts in the Western region, to refine entry points. The site-validation process began with orientation of five DWASHE committees on standard procedures and criteria for site selection validation and assessment. The procedures and criteria include confirmation of applications by communities, and ranking, suitability of location, adequacy of populations, and willingness of communities to make capital contributions, as detailed in Annex 3. The DWASHE committee members trained comprised district WASH Coordinators, representatives from the Ministry of Health (MOH) and Ministry of Education (MOE), and other district stakeholders. Following orientation, the DWASHE committees finalized the review and validation of tentative projects and sites during meetings in the five districts.

After the DWASHE committees' complete assessments of validated sites, the project will facilitate formal applications for projects and sites by DWASHE Committees and CUs to the Construction Fund. Before approval, the project will scrutinize the sites to determine their viability based on weighted criteria, including community need, operations and maintenance capacity, land tenure, willingness to pay, potential for private investment, and constructability.

TASK 1.1.2: Establish flexible models for delegation of wash service delivery

The project continued research on different market-based WASH service delivery models for rural growth centers and rural areas. The research report, with recommendations, is expected to be finalized before the end of July, after which the project will develop suitable models by reviewing the performance of existing models and deciding on those that can be adapted or improved upon.

In the Western region, the Service Delivery Lead and Provincial Team visited the Kaunga Lueti piped water scheme in Nalolo district. This visit allowed the Expanding WASH Team to obtain key information and hold discussions with the Water Committee on the establishment of an appropriate delegated service delivery model. The Water Committee appealed to the Expanding WASH team for support in the improved operation and management of the scheme.

In the Northern region, the Provincial Team visited 17 schemes in Mungwi, Mpika and Chinsali districts to assess ownership, operation and maintenance status, and consumer profiles. The visits revealed that the schemes are managed by Committees made up of teachers and representatives from surrounding villages that draw water from the schemes.

In Southern region, the Provincial Team met with the Mukuni Water Scheme Committee and the cooperative society that manages the Makunka water scheme in Kazungula district, to obtain further details on operations, challenges, and the service delivery model used. The visits confirmed that the schemes were poorly managed and collection of user fees was a challenge.

The table in annex 4 presents a summary of service delivery models reviewed so far. As next steps, the project will consider the most appropriate delegated management model for the schemes visited and will facilitate appropriate training (business and technical skills) to support sustainable operations.

TASK 1.1.3: Strengthen data systems, technological tools, and information platforms

An assessment undertaken last year in project districts revealed inaccurate WASH data capture and entry due to inadequate knowledge and skills of the supervisors and staff responsible for WASH data entry and reporting. In order to train service providers on how to use the CommCare platform, which has been adopted for information management to ensure that accurate data is captured and reported both during and after the life of the USAID Expanding WASH project, the Institutional Development Specialist, IT Expert and MEL Assistant, supported by the Service Delivery Lead, conducted IT training for CU district managers, LA WASH Coordinators, and Environmental Health Officers in all 12 project districts.

The training ensured that managers and supervisors of CUs and LAs acquired the relevant skills and information that would empower them to effectively supervise WASH data collection, entry, storage and transmission. At the end of the training, participants were given certificates of attendance. The following topics were covered:

- Topic 1: Key WASH data elements based on updated sanitation action group Registers
- Topic 2: Digital literacy
- Topic 3: CommCare system used for digital capture and transmission of WASH data
- Topic 4: Effective WASH data collection, entry, validation, and protection



Staff from Kalomo town council, Southern Water and Kalomo District Death office attend an IT and CommCare training in Kalomo: Photo Credit: USAID Expanding WASH

SUB-OBJECTIVE 1.2: ENHANCE CONSTRUCTION QUALITY OF SMALL-SCALE WATER SYSTEMS (NEW AND REHABILITATED HAND PUMP BOREHOLES AND SMALL PIPED-WATER SCHEMES)

TASK 1.2.1: Ensure construction quality of small-scale water systems (new and rehabilitated hand pump boreholes and small piped-water schemes)

Following approval of the Construction Implementation Plan by USAID in April, the project internally disseminated the approved Construction Implementation Plan (CIP) to Provincial Teams.

The CIP will guide the implementation of procurement and construction to ensure the quality of small-scale water systems.

TASK 1.2.2: Build CU and counterpart capacity for construction management and oversight

The Construction Management Expert, working under WASAZA, developed a draft assessment tool for construction capacity building. When finalized, the tool will be used to assess construction management and oversight gaps and challenges in CUs and LAs in Q4 FY2023. Outputs from the assessments on construction capacity will be used to finalize training plans and train CUs and LAs on construction management and oversight. The capacity building will support overall sustainability and aim to improve the ability of service providers to design, supervise, construct, and manage long-term O&M beyond the life of the project.

TASK 1.2.3: Design and operationalize a construction fund (CF) for new, expansion, and/or rehabilitation of water and sanitation infrastructure

The process to operationalize the CF commenced following USAID approval of the CIP. The project hired a Construction Fund Manager (CFM) in June. USAID Expanding WASH initiated procurement of the Local Construction Support Firm by advertising and holding a Bidders Conference with potential bidders in Q3. A total of eight bids were received and evaluated. The project expects that the Local Construction Support Firm, which will provide construction support and field engineers, will be engaged by mid-July.

TASK 1.2.4: Develop asset maintenance management systems and O&M manuals

Following review of existing manuals and guidelines, the project refined the Asset Management and O&M Training Manual with ten modules that relate to key aspects of operation and maintenance of WASH facilities, developed in the first quarter of 2023. The Training Manual will guide implementation of capacity building for key staff and persons involved in asset management and O&M of water and sanitation facilities in the project's target districts.

The training manual will prepare CUs, LAs, selected NGOs, community-based enterprises, and other local private enterprises to operate and maintain small WASH systems in a professional and sustainable manner. Key topics covered in the manual include water quality management, non-revenue water management, operation and maintenance of boreholes, water schemes and networks, as well as tool kits and spares management. The training is planned for August 2023.

SUB-OBJECTIVE 1.3: FACILITATE ACCESS FOR THE POOR TO ADEQUATE SANITATION FACILITIES

TASK 1.3.1: Determine state of sanitation coverage and existing practices

The SaniFOAM Consultant submitted the draft formative research report on May 22. The report was internally reviewed by the USAID Expanding WASH Team, and feedback was provided to the consultant on June 5. The project expected the SaniFOAM report to be finalized by the first week of July.

Outputs from the WASH baseline, market assessments, and SaniFOAM research will be used to finalize the sanitation behavioral change strategy, so as to address open defecation and improved sanitation access at the household level. The strategy is expected to be finalized by the end of July.

Thereafter, implementation of the Behavior Change Communication (BCC) strategy will commence with a pilot in six communities, before the project undertakes the full-scale program. Activities will involve awareness creation, community meetings, and capacity building of rural households to construct toilets, after which communities that attain ODF status will be verified.

TASK I.3.2: Address sanitation priorities through market-based services

Following review of existing toilet designs, the project, through its provincial teams, commenced drafting a Toilet Catalogue including proposed designs for affordable, durable, and market-aligned toilets, which will be promoted during sanitation-improvement activities. When finalized and approved, the Catalogue will guide the own construction of rural toilets by households. Training of masons and development of sanitation supply chains will be linked to finalized toilet designs.

To address the needs of the poor in the communities, the project is working to create designs for low-cost and affordable toilets that can be constructed using locally available materials affordable by the poor. Further, the project will facilitate the implementation of flexible payment terms for very poor households by masons. This will include initiatives such as spreading payments over a long period, and payment in kind through crops or livestock. In addition, communities will be encouraged, through their leaders, to identify the poorest members in line with the project's GYSI Plan and contribute to support construction of toilets for those who might not be able to afford them on their own. The project will also explore partnerships and linkages with other NGOs that focus on the poorest of the poor.



Traditional pit latrine susceptible to collapsing due to design failures in the substructure. Photo Credit: Costa Chitanda

TASK I.3.3: Communication and behavior change

All provincial teams attended a one-week workshop from May 8-12, to undertake detailed planning and preparation for implementation of the behavior change strategy to address open defecation and hygiene, and to improve access to basic sanitation by the target populations of the 12 project districts.

Outputs from the SaniFOAM research will be used to finalize the sanitation behavior-change strategy, to address open defecation and improved sanitation access at the household level. This activity is planned to commence next quarter, starting with piloting the strategy, adjusting the strategy where necessary, and building capacities for dissemination of messages at the district and subdistrict level.

OBJECTIVE 2: INCREASED ACCOUNTABILITY OF WASH SERVICE PROVIDERS, POLICYMAKERS AND CIVIC LEADERS

Objective 2: Increased accountability of WASH service providers, policymakers, and civic leaders for improved and sustainable WASH service delivery.					
Key Result 1: Increased access to safe water by 3%–5% at midline and 15% at endline					
Key Result 3: Increased access to sanitation 5%–10% at midline and 25% at endline					
IR 2.1: Improved Citizens' Capacity to Hold WASH Service Providers, Policymakers, and Civic Leaders Accountable for Quality Service Delivery					
Indicator	FY 23 Target	Target Life of the project			
		Actual	Target	Actual	Actual % Achievement
No. of people gaining access to a basic sanitation service as a result of USG assistance (HL.8.2-2)	53,554	0	535,554	0	0
(custom) No. of community-based WASH engagements targeting vulnerable groups (women and youth)	106	0	264	0	0
No. of basic sanitation facilities provided in institutional settings as a result of USG assistance (HL.8.2-4)	182	0	608	0	0

Objective 2 focuses on enhancing social accountability by equipping citizens—as constituents and as customers—with the tools and spaces that enable them to advocate for high-quality services and hold service providers accountable to minimum standards. At the district level, a primary challenge is the competing priorities of civic leaders and LAs. In town and rural councils, political expedience often trumps adherence to national policies and guidelines. This discrepancy translates into a misalignment of incentives, which in turn misdirects resources and investments away from local citizen demands and priorities.

From baseline assessments the project has undertaken, such as political economy analysis (PEA) and gender, youth, and social inclusion (GYSI), there is an inadequate understanding among CUs and LAs of revised mandates and separation of functions, resulting in poor service and a delivery system that is not socially inclusive. The project has started to adapt governance tools that will enhance responsiveness to customer needs, as well as social accountability tools and platforms that will facilitate healthy dialogue among customers, service providers, and policymakers.

The project envisions that through these interventions, and those listed under sub-objective 1.3, 535,554 will gain access to basic sanitation, 264 WASH engagement meetings targeting women and youth will be held, and 606 health facilities and schools will have institutional access to sanitation. For FY23, the project aims to help 53,554 people gain access to basic sanitation, hold 106 WASH engagement meetings targeting women and youth to sensitize them on demanding increased allocation of WASH resources and improved accountability by service providers, and support the construction of sanitation facilities in 182 health facilities and schools. Engagement meetings also provide a platform for both citizens and service providers to discuss and re-orient each other on their roles and responsibilities in sustaining improved WASH service provision. During the period under review, the project has not yet scored achievements against actual target figures because of its focus on implementing the foundational tasks listed under sub-objective 1.3 of Objective 1, as well as the tasks listed below that will support the achievement of key results and associated targets.

SUB-OBJECTIVE 2.1: IMPROVE CITIZENS' CAPACITY TO HOLD WASH SERVICE PROVIDERS, POLICYMAKERS, AND CIVIC LEADERS ACCOUNTABLE FOR QUALITY SERVICE DELIVERY

TASK 2.1.1: Empower citizens and build capacity of civil society for advocacy and social accountability

Following the completion of capacity assessments for Civil Society Organizations (CSOs) and development of capacity-building plans during the reporting period, training of CSOs was planned at the district level in the provinces. The purpose of the training was to build the capacity of CSOs to advocate for improved WASH services and hold service providers and policy makers socially accountable for service delivery. The CSOs will then have the ability to empower citizens to do the same, in a sustained manner. All CSO trainings will be conducted from July to mid-August.

TASK 2.1.2: Deploy rigorous and user-friendly local governance tools

In Q3, the project refined the governance tools in the CSO training tool kit to ensure added relevance and practicality. Relevance concerns who uses the tool, or what entities the tool addresses: CSOs, WDCs, community structures, LAs or CUs, or government departments. In reviewing the tools' practicality, feasibility of application was considered, for example, how a citizen or CSO can gain access to a full council meeting, who to approach first, and how to present oneself. Table 2 below outlines the basic governance tools identified for the project.

TABLE 2. Local Governance Tools		
TOOL	USE	TARGET AUDIENCE
Government Policies/Guidelines	<ul style="list-style-type: none"> ▪ Provides vision and direction including institutional framework ▪ Provides roles and responsibilities of actors ▪ Sets standard for performance. 	Service providers Citizens NGOs & CSOs
Service Charter	States what the service provider promises to deliver	Service providers; citizens; NGOs/CSOs
Customer Charter	States the responsibilities of the customer/citizens	Service providers; citizens; NGOs/CSOs
Citizen Report Card	Enables public participation in performance management of service providers	Citizens; NGOs/CSOs; service providers; government
Complaints Redress Mechanisms	Mechanism in place for citizens' concerns to be heard and addressed with adequate records kept. For example, the full-council meeting at the local authority	Citizens; NGOs/CSOs; service providers; government
Public Expenditure Tracking	Allows for transparency for citizens to know what money is allocated for WASH and how much is spent (and on what)	Citizens, service providers, government, NGOs/CSOs

User-friendly local governance tools will be deployed in the training of local CSOs. These tools will also be shared with project grantees. As the CSOs engage in advocacy and social accountability empowerment at community level, they will deploy the governance tools for use by service providers and consumers.

TASK 2.1.3: Reinforce public platforms to monitor performance and service quality

Public platforms, which can be used by citizens to engage service providers and policy makers on improved WASH services, are included in the CSO training tool kit. These public platforms include full council meetings (attended by elected Councilors, MPs or their representatives, traditional leadership, and officials from LAs), and WDC meetings (members of the community nominated to spearhead community-development issues). Provincial governance and accountability coordinators engaged with WDCs at the community level to build their capacity to better identify WASH needs in the community and mobilize the community for effective planning (including proposal writing) and implementation of WASH projects. The WDCs are a conduit for communication between communities and LAs and will provide a sustained link between communities and full council meetings. Other public platforms include radio, television, traditional ceremonies, and national and international commemoration days.

The project drafted scripts for planned national television and radio programs, with a focus on the project and its objectives. The scripts will be finalized once community work has commenced, so the project can capture relevant footage of citizen empowerment, social accountability, and advocacy work.

SUB-OBJECTIVE 2.2: IMPROVE INVESTMENTS AT THE NATIONAL LEVEL

TASK 2.2.1: Increase GRZ resource allocation for WASH

USAID Expanding WASH has identified WDCs as bodies that can mobilize additional resources for WASH services, not just from CDFs, but from other resources available to the district. According to the WDC guidelines, they are allowed to mobilize resources from other stakeholders but this funding has to be channeled through the local authority. The project intends to build the WDC capacity to write project proposals that can enable them get additional resources for improved WASH services. The project has designed a Participatory Local Organization Capacity Assessment (PLOCA) tool to help identify capacity gaps of WDCs and design a training program. This capacity assessment will be conducted in the second half of July.

The project will support line ministries (Water Development & Sanitation, Local Government & Rural Development, and Health) with technical assistance on public financial management, to help prioritize budgetary allocation to WASH. A workshop along these lines is planned for August, and another workshop to engage policy makers to better advocate for increased WASH budgets has been planned for September.

TASK 2.2.2: Improve WASH sector cost recovery

In Q3, the project planned to conduct awareness campaigns through community radio programs and other communication platforms (traditional ceremonies and social events), to increase citizens' appreciation of the processes and costs related to WASH service provision and so increase their willingness to promptly pay WASH bills. Campaign materials were compiled, covering the customer charter, aspects of collective ownership of WASH installations, mechanisms for reporting leakages, illegal connections, and payment schemes to settle bills. However, willingness to pay is closely related to service satisfaction. Therefore, CU efficiency in service delivery will be addressed under Objective I.

The project also intended to support CUs for appropriate billing, with training in asset management and O&M under Objective 1. This training has been postponed to Q4.

OBJECTIVE 3: INCREASED PRIVATE SECTOR PARTICIPATION (PSP)

Objective 3: Increase private sector participation.					
Key Result 3: Increased access to sanitation 5%–10% at midline and 25% at endline					
Key Result 5: Increased PSP in WASH service delivery by 30%, Increased access to safe water by 3%–5% at midline and 15% at endline					
IR 3.1: Enhanced participation of the private sector in WASH service provision and improved service reliability					
Indicator	FY23 Target	Target Life of the project			
		Actual	Target	Actual	% Achievement
(custom) Percentage of water utility consumers who pay according to consumption	80%	0	80%	0	0
Number of water and sanitation sector institutions strengthened to manage water resources or improve water supply and sanitation services as a result of USG assistance (HL.8.3-3).	30		150	0	0
(custom) No. of WASH-related reforms introduced, adopted, repealed, changed, or implemented	4	0	12	0	0
Value of new funding mobilized to the water and sanitation sectors as a result of USG assistance (HL.8.4-1)	\$200,000	0	\$2,000,000	0	0
Percent of USG-assisted organizations with improved performance (CBLD-9).	89% (53 out of 59)	0	85%	0	0
Number of private sector enterprises that are engaged with the USG to support U.S. Foreign Assistance objectives (PSE-2)	3	0	10	0	0
Number of private sector enterprises with improved participation in the local economy as a result of USG assistance	3	0	10	0	0

Private sector participation (PSP) is at the core of the USAID Expanding WASH approach, and is key to the sustainability of WASH service delivery. Objective 3 focuses on enhancing the private sector’s ability to fulfill its role in socially accountable services, using partnerships to establish effective pricing policies, cost recovery, and shared value. This objective also drives priorities for policy and regulatory reform, cognizant of the constraints in the current enabling environment. Existing legislation has limited provisions for rural WASH; the National Water Supply and Sanitation Policy (NWSSP) outlines GRZ’s updated vision of private sector partnerships that can deliver services to these areas. Although the Water Supply and Sanitation Act of 1997 enables PSP directly in the management (and even ownership) of CUs, a more effective approach would create shared value by engaging businesses and private operators in investment partnerships and performance-based O&M and service contracts that complement CU capacities. The project is exploring partnerships to scale WASH services and their impact, as the enabling environment improves.

Through these interventions, the project seeks to: 1) build the capacity of the commercial utilities to persuade 80 percent of their customers to pay according to their consumption, 2) mobilize an additional \$2 million for the WASH sector, 3) strengthen the capacity of 150 institutions that manage water resources, 4) support the legislative reform of 12 identified policies and laws, 5) increase the number of institutions with improved performance, thanks to USG assistance, to 80

percent; and 6) engage 10 private sector enterprises in the WASH sector and help them improve their participation in the local economy.

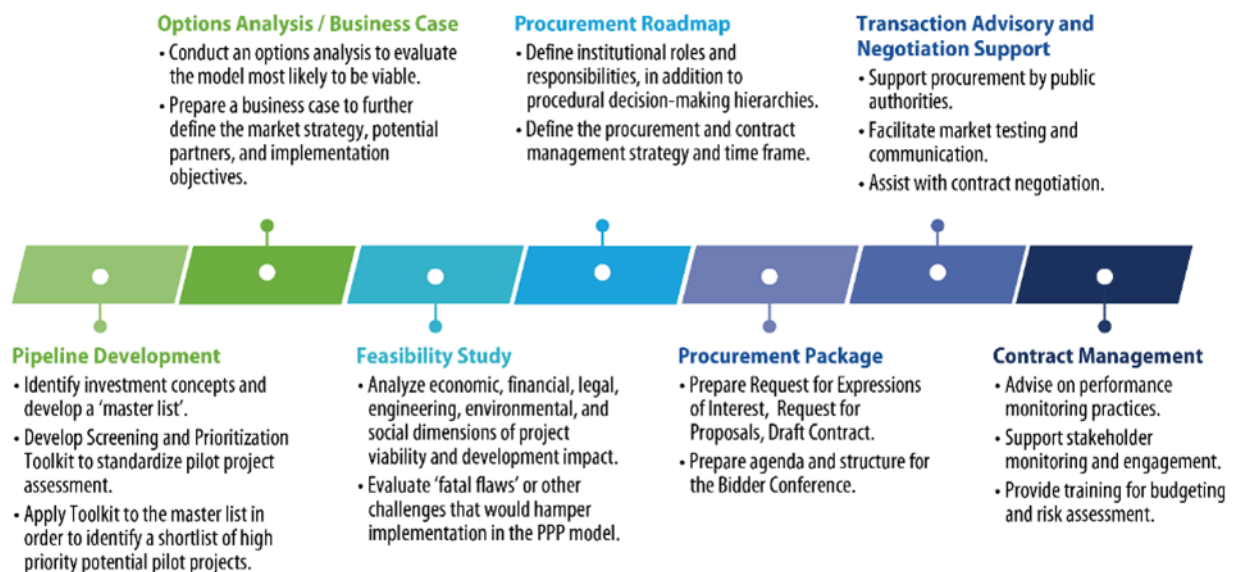
In FY2023, the project plans to mobilize an additional USD 200,000 to support the expansion of water and sanitation services in project areas, engage three private sector enterprises and support them to improve their participation in the local economy, review four identified policies and laws relevant to the sustainable provision of water and sanitation services, and continue to support CUs in ensuring that their customers pay according to their consumption. In Q3, the project did not record any achievements on the targets but made significant progress on implementation of tasks and steps, listed below, that will lead to the achievement of key results and annual targets.

SUB-OBJECTIVE 3.1: ENHANCE THE PARTICIPATION OF THE PRIVATE SECTOR IN WASH SERVICE PROVISION AND IMPROVING SERVICE RELIABILITY

TASK 3.1.1: Prepare a pipeline of WASH investment and management partnerships

This task is the second major step in the pipeline to securing private investment (see Figure 1, below). In the last quarter, options and business case analysis, economic, financial, social and financial feasibility was conducted to refine the pipeline priority projects identified in the first quarter. For some priority projects, the team is working on optimization of the financial models. This activity is expected to conclude by end of August.

Figure 1 Pipeline to Securing Capital Investment



TASK 3.1.2: Facilitate WASH sector dialogue through a PSE Forum

After hosting the inaugural PSE forum in February, the project refined the forums' structure in light of keen interest from MWDS, which indicated that PSE forums should be anchored in the formal structure of the Ministry by updating the Sector Coordination Framework of 2020, which does not say anything about WASH PSP. Further, MWDS requested that PSE forums be conducted on a schedule at national level similar to sector-coordination meetings, such as the Troika meetings and chief executive forum. The schedule will include the number of PSE forum meetings, their frequency, and their chairpersons.

In Q3, the project reached out to the Public Private Dialogue Forum (PPDF), a standalone forum chaired by the President of Zambia, which had previously stated the intention to form a WASH Technical Working Group (TWG). This was seen as an opportunity for a formal structure for PSE forums. However, in follow-up meetings, PPDF indicated that it was not going to form the WASH TWG, and instead matters related to WASH would be tabled through an appropriate thematic technical working group among those already existing. PPDF provided a matrix (see Table 3 below) that can be shared with the private sector to capture issues and challenges faced by proposed interventions, which could then be deliberated on in other thematic areas of existing TWGs.

TABLE 3: EXTRACT OF PPDF PRIVATE SECTOR MATRIX

Issue or Challenge	Description of Constraint	Proposed Intervention	Impact	Responsibility

As part of continuing engagement with the private sector, the project commenced preparations for the WASH Entrepreneurship and Partnerships Summit, scheduled for July 11-12. This was a private sector-facing event that focused on building the capacity of private sector entities for partnering with CUs, through improved understanding of the procurement process and market opportunities offered by such partnerships (which bolsters the appetite of the private sector to engage in such transactions). The summit offered an opportunity for the private sector to discuss issues inhibiting participation, as well as incentives that could promote participation. For example, the project had received a request from Access for Water on VAT exemptions for water revenue, which currently was a privilege that only CUs and LAs enjoyed. However, with profit margins so low in rural areas, this exemption would greatly benefit the private sector as well.

TASK 3.1.3: Strengthen GRZ and private sector capacity to implement PPPs

In Q3, USAID Expanding WASH commenced review of CU procurement policies to ensure they can be used for engaging the private sector. The project determined that LAs and CUs can use the Zambia Public Procurement Act and Regulations for procurement. The team then conducted procurement-capacity assessments with three CUs and nine LAs. Generally, there was good understanding of the public procurement process. However, gaps exist in understanding PSP, as well as the electronic government procurement system. The CUs and LAs do not have prior experience engaging the private sector, beyond typical purchase orders for goods and services. Only one of the three CUs was familiar with the electronic government procurement system (which has the aim of eliminating paper-based procurement by 2024). Therefore, the project will ensure that the core focus of the procurement capacity building training addresses preparing and launching PSP and PPP procurement. This training will include practical exercises covering REOIs and RFPs, as well as an interactive walk-through of the process. The team will ensure that the electronic government procurement system process is included in this training.

SUB-OBJECTIVE 3.2: STRENGTHEN THE POLICY AND REGULATORY FRAMEWORKS TO REMOVE BARRIERS TO PRIVATE SECTOR INVESTMENTS AND PARTICIPATION IN THE WASH SECTOR

TASK 3.2.1: Design and strengthen regulatory instrument for rural water supply

In Q3, the project reviewed CUs' strategic plans to understand the extent to which they reflect the expanded mandate for CUs to extend the provision of water and sanitation services to rural areas. Prior to this directive, water utility companies only provided service to urban areas and some peri-urban areas. All three utility companies in the project areas fully recognize this expanded mandate; however, judging from their strategic plans, none have clear targets on the provision of WSS services in rural areas, and none had revised their organizational structure to hire additional manpower. Building capacity will require mobilization of resources to new areas under CU jurisdiction, recruitment of personnel, and technical capacity to install new infrastructure.

The project team also reviewed the Rural Water Supply and Sanitation Framework for Regulation and Provision to identify guidelines that need to be developed for the provision of rural WSS. Six of eighteen proposed guidelines have been developed so far. The next steps are to support NWASCO and CUs on formulation of the outstanding guidelines, and also support CUs to ensure that already-developed guidelines are being adequately implemented.

Task 3.2.2 Develop appropriate enabling environment activities for the private sector

In Q2 and Q3, the project reviewed tariff guidelines and identified barriers to PSP, with a recommendation from NWASCO to kick-start advocacy on tariffs that promote PSP. The team reviewed tariff-setting guidelines developed by NWASCO in 2014 (revised in 2020) and produced a report covering policy provisions, PSP, objectives and principles of tariff setting, review of actual tariff-setting guidelines, and identified barriers to PSP in the WASH sector. The existing tariff guidelines do not incentivize the private sector, as they are skewed toward protecting consumers rather than supporting service providers to achieve full cost coverage to ensure safety and sustainability of service provision and a return on investment.

NWASCO has recently proposed the Cost Plus Tariff, by which customers pay for cost-of-service provision, plus a fixed percentage to the provider. This tariff is expected to cover the cost-of-service provision, and gradually lead to full cost recovery, including O&M, depreciation, provisions, capital costs, and interest repayment for water and sanitation service provision. This is a good approach if applied effectively and efficiently, as it allows service providers to earn sufficient revenue for O&M and obtain a return on their investment. However, the tariff guidelines do not support effective implementation of the Cost Plus Tariff, because the tariff-setting process requires WSS service providers to operate within the approved cost structure and agreed-upon parameters for Non-Revenue Water (a common problem for water utilities). This, coupled with the lack of transparent, predictable tariff setting mechanisms and a lack of clarity on pricing sewage and onsite sanitation, stifles private sector investment in the WASH sector. In Q4, the project will engage key stakeholders to advocate for review of the tariff setting guidelines and related policies, regulations, and laws.

This sub-objective also includes facilitation of a national PSE strategy in WASH by MWDS, through targeted technical inputs and drafting. MWDS has expressed interest in this idea. The aim of the strategy is for the Ministry to develop a document that can be disseminated to all CUs operating in

Zambia. The strategy will include the steps in the pipeline development process, PSE channels, such as meetings, dissemination workshops, networking platforms and the PSE forum process.

During Q3, the project used results of the WASH Investment Enabling Environment Diagnostic Report to identify specific areas for amendments to the existing PPP framework to address gaps and to come up with recommendations for potential improvements. These recommendations are summarized in figure 2 below. In Q4, the project will engage key stakeholders to present the proposed recommendations and support the reform process.

Figure 2 Summary of Medium to Long -term Recommendations

LEVEL	SUMMARY OF MEDIUM-TERM RECOMMENDATIONS	SUMMARY OF LONG-TERM RECOMMENDATIONS
Ministry of Finance Level Cross-Sectoral Regulations	<p>Amendments to the The Public-Private Partnership Act, 2009 (as amended):</p> <p>Amendment 1: Clarify definition of Contracting Authority under the PPP Act</p>	<p>Amendments to the The Public-Private Partnership Act, 2009 (as amended) and Public Procurement Act, 2021:</p> <p>Amendment 7a: Harmonize PPP Act and Public Procurement Act, through amendments to both acts</p> <p>Amendment 9: Harmonize and clarify roles of the PPP Technical committee, PPP Department and Contracting Authorities in PPP Act</p> <p>Amendment 10: Enable clarification and adjustment of (and deviations from) the sample PPP contract provisions provided for in the PPP Act</p>
Sector Ministry Level Sector-Level Regulations	<p>PPP Regulations (new instrument):</p> <p>Amendment 2 (alternative to 1): Address participation of CUs or SOEs in PPPs (contracting authority definition)</p> <p>Amendment 4: Elaborate and define the role of the sector Ministries and Regulators during PPP project development (especially initiation)</p> <p>Amendment 5: Clarify and detail the role of the Contracting Authorities post-PPP signature</p> <p>Amendment 7: Introduce the concept of small-scale PPP projects</p>	<p>PPP Regulations (new instrument) :</p> <p>Amendment 7b: Harmonize PPP Act and Public Procurement Act, through the PPP Regulations</p> <p>Amendment 8a: Prepare guidance documents how to assess and manage fiscal commitments (contingent liabilities) of Local Authorities and CUs stemming from PPP projects.</p>
Regulator-Level Guidance Documents	<p>Sector-specific regulations on PPP applicaiton / PSP participation (new instrument):</p> <p>Amendment 6: Sector-specific PPP regulations / instruments should be developed by the sector-ministries (e.g. WASH) to facilitate PSP process and project preparation, especially local / national level coordination, market risk allocaiton (contingent liabilities), KPIs and specifications</p>	<p>Sector-specific regulations on contingent liabilities in PPPs (new instrument):</p> <p>Amendment 8b: Prepare sector-specific guidance documents on how to manage fiscal commitments (contingent liabilities) of Local Authorities and CUs stemming from PPP projects.</p>
Regulator-Level Guidance Documents	<p>Amendments NWASCO Guidelines on Tariff Setting:</p> <p>Amendment 3: Amendments to reflect PPP / PSP strucutes in Tariff Setting</p>	<p>Amendments to Public Procurement Regulations 2022</p> <p>Amendment 7c: Harmonize PPP Act and Public Procurement Act, through amendments to Public Procurement Regulations.</p>

SUB-OBJECTIVE 3.3: LEGISLATIVE IMPROVEMENTS TO COMMODIFY WASH SERVICES

TASK 3.3.1: Advance necessary legislative improvement for commodification of WASH services

In Q2 and Q3, in line with Objective 2.1.3, the project had planned to engage private operators and local stakeholders via D-WASHEs, to advance policies for rural WASH, identify gaps in the regulatory and legislative framework, and create a road map to guide change. The team planned to use social accountability platforms such as full council and WDC meetings to engage the private sector at the district level, and gain insight on how existing regulations and legislation promote or inhibits participation in WASH service delivery. This activity was deferred to Q4, after completion of CSO training and awarding of community mobilization grants.

ACTIVITY MONITORING EVALUATION AND LEARNING

OVERALL PERFORMANCE RESULTS

In Q3, the project continued to implement activities to lay the foundation for the achievement of key results and targets. The project developed and submitted for approval its construction implementation plan, which is critical to ensuring the quality of water and sanitation facilities that will increase access to sustainable water and sanitation services by project beneficiaries. Even though the project did not achieve any targets during the period under review, it has made significant progress on tasks that will ensure the achievement of annual targets.

WASH DATA SYSTEMS AND COMM CARE TRAINING

USAID Expanding WASH is working to strengthen the data systems, technology, and information platforms in 12 project districts in Muchinga, Northern, Southern, and Western provinces. The quality of WASH data used for project monitoring, planning, management, and decision-making around professionalized service delivery to a large extent depends on the correct and complete entry of information into source documents.

In Q2 the project conducted a WASH data systems assessment that revealed various gaps and challenges in data entry into source documents. In Q3, the project conducted WASH Data Tools and CommCare training for environmental health officers and technicians, district information officers, and district WASH coordinators from seven project target districts in western and southern provinces. The project is working to build the capacity of CUs and LAs to accurately capture, analyze, and transmit rural WASH coverage data from districts to the regional and national level. The IT capacity-building training focused on the development of improved data capture and IT systems in CUs and LAs integrated and aligned to existing and planned systems at the national level (NWASCO and MWDS). The project trained 38 staff from district health offices, LAs, and CUs operating in Mongu, Kalabo, Sesheke, Kaoma, Kalomo, Kazungula, Mpika, Lunte, Mungwi, Nakonde, Chinsali and Nalolo districts.



Participants at the IT/CommCare training in Nalolo District.
Photo: Mutinta Nhandu

MANAGEMENT

OPERATIONS

In Q3, the project extended the period of performance for the SaniFOAM consultant from April 30 to July 30, 2023. The no-cost extension was necessitated by the fact that the consultant was involved in an accident that adversely affected completion of their tasks.

The finance and operations team supported the engagement of a Communications Consultant and Environmental Consultant. These positions were competitively advertised. The advertisement for the Communications Consultant closed on June 7, and the team is currently processing applications. The Environmental Consultant advertisement closed on June 24.

The RFP for engagement of a Local Engineering Support Firm was posted on April 26, and a bidders' conference was held on May 11. This meeting was attended by the Program Manager, Project Coordinator, Project Associate, Chief of Party, Finance and Operations Director, Service Delivery Lead, and Procurement Specialist. The deadline for receipt of proposals was May 23, and evaluation of proposals is expected to be completed by mid-July.

The finance and operations unit conducted sourcing and evaluation of potential suppliers to provide mobile money services and identified the finalist to be engaged. Service with the selected supplier, Airtel, commenced in May.

The project office lease, set to expire on April 24, was renewed for two more years. Health insurance for staff was also renewed for one-year, effective June 15, following a competitive process.

In June, the project received shipping documents for two of the three vehicles procured from Toyota Gibraltar. The vehicles are currently in Lusaka, at the offices of Global Logistics, the agency engaged to facilitate clearance and registration of the vehicles. The two vehicles arrived in Lusaka on June 16 and will be deployed to provincial offices for project implementation. The third vehicle is expected to arrive in August.

From May 21-24, RTI International Senior Contracting Manager Abrar Sattar was in-country and provided technical support to the country office team.

STAFFING

The Policy and Regulatory Specialist and Driver reported for work on April 5 and May 15, respectively. Orientation and onboarding for both staff was successfully completed by May 30. The team identified a candidate for Construction Fund Manager, who started on June 26.

The finance and operations team worked on staff contract renewals for eight staff whose contracts ended on June 14. These contracts were extended for two years, from June 15, 2023 to June 14, 2025.

Table 4, below, shows project staff recruited in Q3 and their respective start dates.

TABLE 4. PROJECT STAFF	
POSITION TITLE	START DATE
Policy and Regulatory Specialist	April 5, 2023
Lusaka Driver/ Admin Support	May 15, 2023

TABLE 4. PROJECT STAFF

POSITION TITLE	START DATE
Construction Fund Manager	June 26, 2023

Please see Annex I for the full organizational chart which includes staff names.

COMMUNICATION AND REPORTING

In FY23 Q3, USAID Expanding WASH continued its regular communication with USAID by the following means:

Weekly emails: The project provided updates to its COR through weekly emails providing details on accomplished activities.

Biweekly meetings with the COR and Alternate: The project held biweekly meetings (virtual and physical) with the COR and alternate COR on agreed dates and times, to discuss updates on progress and implementation challenges. Further, the project used these meetings to seek feedback and guidance from the COR. These meetings were typically attended by the Project Manager, COP, and other key project staff, as necessary.

CROSS-CUTTING ACTIVITIES

GENDER AND YOUTH

In Q3, most project activities were socially inclusive. Low social inclusiveness was, however, noted during engagements with WDCs. To ensure social inclusion at the community level, the CSO training tool kit incorporates the need for social inclusiveness in WASH programming.

Under Objective 1, the IT training conducted for district health information officers (DHIOs), WASH coordinators, and PHOs involved 66 officers in 11 districts. Unfortunately, only four of these were female, a low percentage. While the project cannot directly influence the recruitment patterns of the government, additional resources should be provided to include female district-level participants in such meetings. In future engagements, the project team will endeavor to ensure adequate representation of women by including female staff at levels lower than those targeted.

In reviewing grants applications, the project team ensured that proposed activities are socially inclusive. The project team will provide GYSI guidance to grantees once grants are awarded.

Under Objective 3, each pipeline project had to pass screening criteria comprised of four aspects, one of which was Sustainability and Impact. This criterion addresses social inclusion with regards to youth empowerment and gender equity. All eight qualified projects passed this criterion.

GRANTS UNDER CONTRACT (GUC)

The team conducted pre-award assessments and site visits from March 4 to April 24 for four shortlisted applicants: 1) Young Women Christian Association, 2) Rise Community Aid Program, 3) Centre for future Generations, and 4) Centre for Water Sanitation and Rehabilitation, and identified three of the four applicants for consideration of award: Young Women Christian Association, Rise Community Aid Program, and Centre for Future Generations. The grants will each last 15 months.

On June 1, the project submitted requests for approval of three GUCs for the above-named applicants to USAID and received approval on June 23. All three GUCs are scheduled to start on July 5. One of the organizations earlier identified for potential award of a grant was not selected, after the project conducted pre-award and site assessments.

LOCALIZATION

In Q3, the project conducted a training in WASH data tools and CommCare to address identified gaps. The training was part of the project's ongoing capacity-building efforts to strengthen LAs and CUs in evidence-based management of WASH services delivery.

COLLABORATING, LEARNING, AND ADAPTING

In Q3, USAID Expanding WASH collaborated with CUs, LAs, and DHOs in its 12 target districts to build the capacity of government staff in the generation, collection, and transmission of WASH coverage data. The project is working with key government departments to strengthen data-management systems by training staff responsible for data management in WASH data elements and the tools they are supposed to use to collect the data.

USAID Expanding WASH collaborated with the Sesheke constituency office to find the best way to finance water supply projects in the area. The project held a meeting with the constituency office and tentatively agreed to co-finance one small piped water scheme in Sesheke.

In Q3, USAID Expanding WASH exhibited its work and presented papers at the Zambia Water Forum and Exhibition (ZAWAFE), June 12-14. The project chaired morning sessions in the themes “Enhancing Resilience through Water” and “Water and Sanitation Governance and Institutional Strengthening,” and delivered three presentations: “Sustainable Water Supply and Sanitation for Community Resilience through Market based Service Delivery Model,” “Strengthening Private Sector Participation in WASH,” and “Human and Institutional Capacity Building for Water Supply and Sanitation.”



The Minister of Water Development and Sanitation Honorable Mike Mposha at the USAID Expanding WASH exhibition stand

Photo Credit: USAID Expanding WASH

The plenary session also discussed inadequate human resource for the operation and maintenance of water infrastructure. One resolution was the need to review existing approaches to O&M, especially for rural water supply infrastructure. Suggestions included transferring the responsibility for O&M of rural water supply from traditional area pump minders to CUs, since these have a more structured and reliable O&M program.

ENVIRONMENTAL MANAGEMENT

ENVIRONMENTAL COMPLIANCE

In Q3, the project initiated the recruitment process for a Design and Oversight Engineering firm and will ensure that the firm and its subcontractors meet the environmental, social, health, and safety standards indicated in the approved CIP and EMMP. The project also initiated procurement of consultancy services by an environmental expert to help develop guidelines for integrating environmental mitigation measures from the EMMP into construction activities. In Q3, the project did not implement any construction activities, and therefore mitigation measures in the EMMP were not implemented or monitored.

CLIMATE ADAPTATION

In Q3, the project built the capacity of LAs to integrate climate change adaptation into the water point site selection process. USAID Expanding WASH, together with LAs in project areas, developed a site-selection criteria checklist that requires the selection of water point and sanitation facility sites less prone to the effects of climate change, such as floods, to ensure that designs for flood-prone areas can withstand the adverse effects of climate change.

SCHEDULES

Some activities planned for execution in the reporting period experienced delays, for various reasons. The team will accelerate implementation of these activities to ensure completion by the target dates. Details of the delayed activities are outlined in the table below:

TABLE 5. SCHEDULES				
TASK	ACTIVITY	PLANNED TIMELINE	REVISED TIMELINE	COMMENT
1.2.3	Design and operationalize a CF for New, Expansion, and/or Rehabilitation of Water and Sanitation Infrastructure	July–November 2022	April - December, 2023	Significant delay in putting in place the Construction Team due to the construction modification and the Construction Implementation Plan (CIP) that needed USAID approval. The CIP was approved on April, 13
1.3.3	Formative research on sanitation and hygiene behavior using the SaniFOAM approach	January–February 2023	February – July 2023	Delay due to non-responsiveness of initial bids. Study was de-scoped
	Draft a behavior-change strategy to address open defecation and hygiene, consulting with women, youth, and persons with disabilities and leveraging existing research on WASH SBC from Globalwaters.org and other platforms	February–March 2023	July-August 2023	Affected by delayed completion of SaniFOAM study, which is key input for the strategy
2.2.2	Support CUs to use appropriate billing and planning tools, with socially inclusive customer tracking tools	January – March, 2023	August – September 2023	Rescheduled to align with capacity-building activities under Objective I (Task 1.2.4)
	Support technical assistance to CUs for improved operating efficiencies	January – February, 2023	September 2023	Rescheduled to align with capacity-building activities under Objective I

CHALLENGES

In FY23 Q3, USAID Expanding WASH continued to evaluate long-term challenges as project implementation progressed. These potential challenges include:

- Delays in receiving data on proposed project sites, and other information required to optimize models for pipeline projects earmarked for PSP. In some cases, CU district managers do not have laptops, and have also complained that some of the proposed sites are far from the office, and they do not always have transport. The project has decided to engage data collectors to address this challenge, and to engage LAs on how best to improve turnaround time.
- Under an uncertain policy framework, businesses risk losing their investments and ultimately not meeting expected standards for service provision. In the WASH sector, the right conditions for private investment are created through effective pricing policies and cost-recovery principles. Digital tools and technology can make billing and revenue collection more efficient, reduce NRW, and make partnership models more cost-effective.
- Low levels of O&M cost coverage from revenues of CUs, mainly as a result of low tariffs, may affect CUs' sustainability and their capacity to take on additional responsibilities. None of the 11 CUs in the country has been allowed a tariff adjustment over the past three years, despite the increased cost of inputs such as electricity, fuel, and water-treatment chemicals.
- Coronavirus disease 2019 (COVID-19) restrictions in Zambia were lifted at the end of Q2 FY2022. There is a continuing risk that emerging variants may cause implementation delays.

IMPLEMENTATION STATUS, CHALLENGES, AND RISKS

As with any project, unexpected situations may arise that could derail project implementation if not carefully tracked. As part of project implementation, RTI deploys a risk register to continually track potential risks and challenges during project implementation. Using adaptive management principles that promote collaboration, transparency, and accountability, RTI identifies potential mitigation measures for every risk or challenge identified. A summary of the risks and challenges identified this quarter is included in Table 5 below.

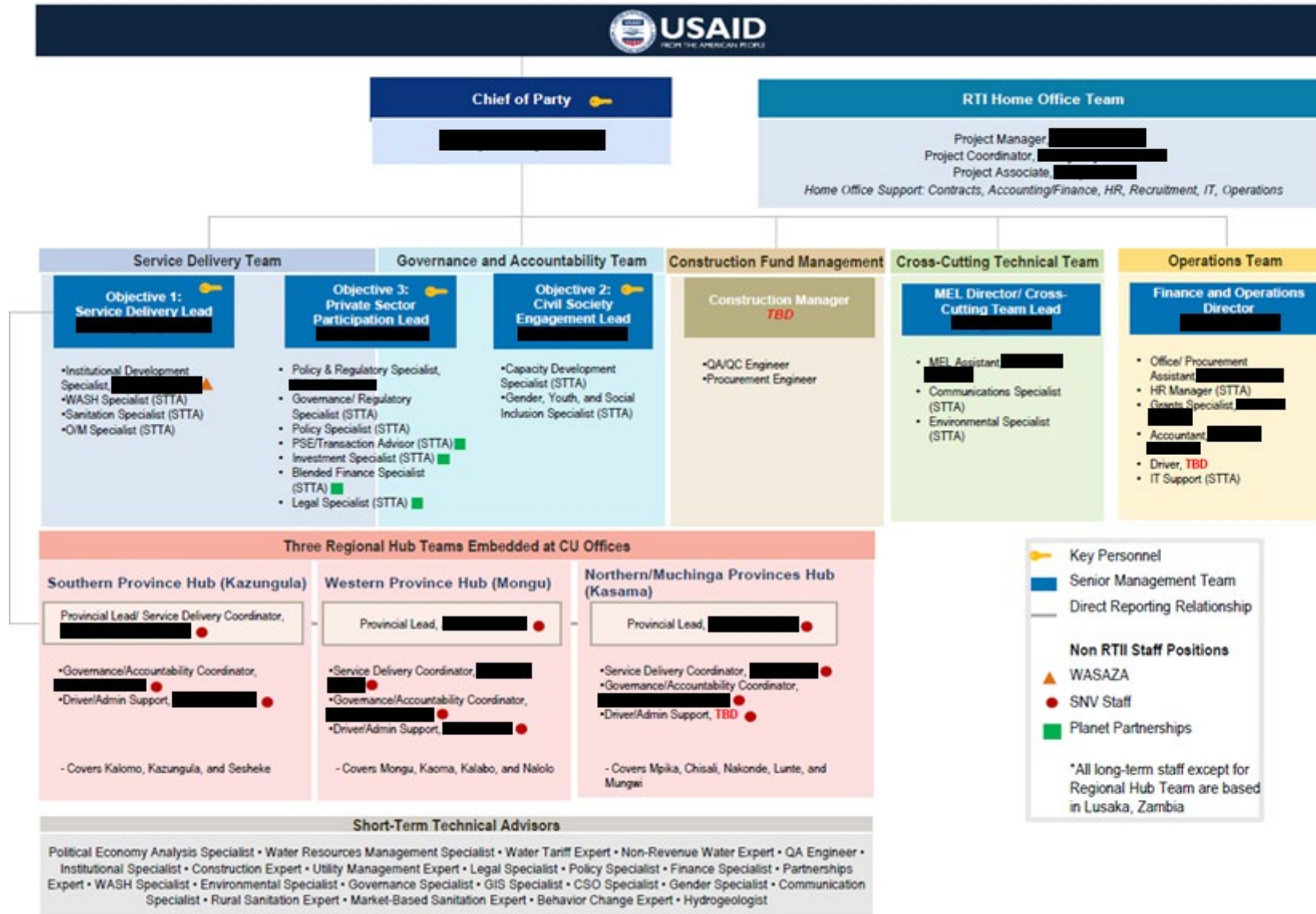
TABLE 6. CHALLENGES AND RISKS	
RISK / CHALLENGE	MITIGATION MEASURES
<p>Schedule Risk: Delayed commencement of construction activities may lead to non-attainment of targets. Significant preparatory work and necessary approvals from USAID must be undertaken well in advance.</p>	<ul style="list-style-type: none"> • Work with partner USAID projects to identify important lessons learned in construction, such as building oversight, setting scoring criteria, etc., to facilitate environmental compliance reviews once appropriate documentation is received • Recruit Construction Fund Manager to adequately prepare for construction activities
<p>Technical Risk: Some identified private sector stakeholders envisaged to be part of the private sector dialogue and private sector engagement forums have been unresponsive to project communications. These groups have delayed or canceled several meetings, and the project has been unable to identify POCs.</p>	<ul style="list-style-type: none"> • Leverage influence of other key partners, such as MWDS, to engage unresponsive stakeholders
<p>Technical Risk: Low levels of O&M cost coverage from CU revenue, mainly as a result of low tariffs, may affect CU sustainability and capacity to take on additional responsibilities. None of the 11 CUs in the country has been allowed a tariff adjustment over the past three years, despite the increased cost of inputs such as electricity, fuel, and water treatment chemicals</p>	<ul style="list-style-type: none"> • Project team to engage regulator and MWDS on the need for consistency with respect to tariff reviews.

NEXT-QUARTER ACTIVITIES AND MILESTONES

In Q4, the project will continue to work toward implementation of key tasks as outlined in the work plan. Table 6, below, includes expected project milestones and deliverable submissions in Q4.

TABLE 7. ACTIVITIES AND MILESTONES		
MILESTONE/DELIVERABLE	RELATED ACTIVITY	DATE
Quarterly Notification of Changes Certification	Reporting Requirements	10 July 2023
Quarterly and Financial Report Submission	Reporting Requirements	15 July 2023
Complete SaniFOAM Framework Assessment	Objective 1	7 July 2023
Undertake capacity building in operation and maintenance of WASH Infrastructure to be constructed covering CUs, LAs and Teams that will operate the new WASH Infrastructure.	Objective 1	30 September, 2023
Finalize research on different market-based WASH service delivery models for rural growth centres and rural areas	Objective 1	15 July 2023
Finalize new grant RFA for capacity building of Environmental Health Technicians, Community Champions and Area Pump Menders with support equipment (bicycles, tool kits, smartphones)	Objective 1	14 July 2023
Award first project grant	Objective 2	1 July 2023
Training of CSOs in advocacy and social accountability (two regional trainings to be conducted)	Objective 2	July 2023
Support CUs on appropriate billing	Objective 2	August 2023
Host WASH Entrepreneurship and Partnership Summit	Objective 3	July 2023
Specific Pilot Project Market Sounding Support	Objective 3	July 2023
Revised Pilot Project Financial Analysis Report	Objective 3	July 2023
PSE and PSP Recommendations for NWASCO and CU Rural Water Supply and Sanitation Guidelines and Policies	Objective 3	July 30, 2023
Recommendations for PSP Framework Amendments	Objective 3	July, 2023
Specific Pilot Project Procurement Support	Objective 3	Septemebr,2023

ANNEX I. ORGANIZATIONAL CHART



ANNEX 2. INDICATOR TABLE



USAID Expanding Water and Sanitation Project

PERFORMANCE INDICATOR TRACKING TABLE

#	Performance Indicator	Baseline	Year 1		Year 2		Year 3		Year 4		Year 5		Year 6		LOP Target	
			(Jan. 27, 2022–Sept. 2022)	(Oct. 2022–Sept. 2023)	(Oct. 2023–Sept. 2024)	(Oct. 2024–Sept. 2025)	(Oct. 2025–Sept. 2026)	(Oct. 2026–Jan. 2027)	Target	Actual	Target	Actual	Target	Actual		
Goal-Level Indicators																
			Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual
G1	No. of people gaining access to basic drinking water services as a result of USG assistance (HL.8.1-1)	Minimum	685,496	-	13,924	0	55,697	83,545	125,317	-	278,483	0				
		Maximum		21,528	0	86,110	150,692	172,220	-	430,550	0					
G2	No. of people gaining access to safely managed drinking water services as a result of USG assistance (HL.8.1-2)	Minimum	85,687	-	12,853	0	12,853	8,569	8,569	-	42,844	0				
		Maximum		26,910	0	26,910	17,940	17,940	-	89,700	0					
G3	No. of institutional settings gaining access to basic drinking water services as a result of USG assistance (HL.8.1-4)		-	-	26	0	34	13	13	-	86	0				
Objective 1: Institutionalized market-based WASH service delivery, financially sustainable and inclusive management models																
1.1	No. of people receiving improved service quality from existing basic drinking or safely managed water service as a result of USG assistance (HL.8.1-3)		TBD		31,695	0	158,475	190,170	253,560	-	633,900	0				
1.3	No. of communities verified as ODF as a result of USG assistance (HL.8.2-1)		TBD	-	336	0	252	168	84	-	840	0				
2.1	(custom) No. of community-based WASH engagements targeting		0	-	106	0	53	53	53	-	50% (264)	0				

	vulnerable groups (women and youth)														
2.2	No. of people gaining access to a basic sanitation service as a result of USG assistance (HL.8.2-2)	192,796	-	53,554	0	107,109	160,663	214,218	-	535,544	0				
2.3	No. of basic sanitation facilities provided in institutional settings as a result of USG assistance (HL.8.2-4)	-	182	0	122	122	182	-	608	0					
Objective 3: Increased private sector participation															
3.1	(custom) Percentage of water utility consumers who pay according to consumption	-	0	-	80%	0									
3.2	Number of water and sanitation sector institutions strengthened to manage water resources or improve water supply and sanitation services as a result of USG assistance (HL.8.3-3).	TBD	-	30	0	45	TBD	45	30	-	150	0			
3.3	(custom) No. of WASH-related reforms introduced, adopted, repealed, changed, or implemented	0	-	4	0	4	2	2	-	12	0				
3.4	Value of new funding mobilized to the water and sanitation sectors as a result of USG assistance (HL.8.4-1)	TBD	-	\$200,000	0	\$800,000	\$500,000	\$500,000	-	\$2,000,000	0				
3.5	Percent of USG-assisted organizations with improved performance (CBLD-9).	-	0	-	85%	0									
3.6	Number of private sector enterprises that are engaged with the USG to support U.S. Foreign Assistance objectives (PSE-2)	-	2	0	4	2	2	2	-	10	0				
3.7	Number of private sector enterprises with improved participation in the local economy as a result of USG assistance	2	0	4	2	2	2	10	0						

ANNEX 3. CONSTRUCTION - PROCEDURES & SITE SELECTION CRITERIA

The Expanding WASH Project is currently providing support towards undertaking detailed assessments and validation of Tentative Projects and sites together with other pending project applications from communities at each Local Authority. As part of the support, the Expanding WASH project oriented the DWASHE committees, LAs and CUs in necessary steps to be undertaken to effectively validate project sites.

This site validation process begins with the review of Tentative Projects and sites together with accompanying applications from communities and other supporting documents. The review is being undertaken by the DWASHE committees in each of the 12 districts with support from the Expanding WASH Provincial Teams. The DWASHE committees comprise of the WASH Coordinators, representatives from MOH & MOE and other district stakeholders.

After review of the Tentative projects and sites, water and sanitation needs assessments are undertaken. The water and sanitation needs assessment process verifies the communities/villages and locations that have the most critical need.

The following key steps and guidelines are followed in implementing the Water and Sanitation needs assessment:

- a) The DWASHE committee reviews and ranks the application forms from communities in order of need and priority
- b) The DWASHE committee must be fully involved to encourage district transparency, ownership and fairness through confirming that the communities that rank higher in score, using the criteria, are prioritized for the project intervention. No individual or institution should dictate target communities without the involvement of all key stakeholders at district level. The assessment will be done through administering a checklist and questionnaire by DWASHE Members (At minimum -WASH Coordinator, District Health Officer or equivalent, District Education Board Officer or equivalent) and the USAID Expanding WASH Project team
- c) In the case that the selected location does not meet these above requirements, the USAID Expanding WASH project team will advise the DWASHE committee to resubmit other sites for consideration.

The following additional criteria are followed in assessing acceptability and validating selection of new Borehole locations:

- a) Location must have no other well-functioning borehole or protected water source within 500m radius or 30 minutes round trip
- b) Selected sites must be 500m away from the public cemeteries, 30m from the latrines and 30m from animal kraals.
- c) Distance between the proposed site and next site must not be less than 100m apart.
- d) Landowners for the proposed sites must consent by filling the land tenure form
- e) Community selected to receive borehole must have a total population of at least 250 persons

- f) Community must be willing and committed to safeguard investment and pay an initial capital contribution amount of K1,500 and thereafter continue to contribute towards sustained operation and maintenance of water point. This must be confirmed inwriting by chairperson of VWASHE Committee.
- g) Community must be willing and committed to ensure adequate sanitation and hygiene around location of new water point. This must be confirmed inwriting by chairperson of VWASHE Committee.
- h) The DWASHE committee will conduct a field appraisal to confirm populations, locations, criticality of need and sanitation / hygiene status of sites before final endorsement of sites
- i) The Design Engineers and sub-contractor will undertake other scientific assessment of the selected sites covering water quality and other aspects and advise the potential for drilling a successful well. If the three sites fail, the process of site selection will be redone with advice from the siting team on were the best potential of finding a successful.

The following additional criteria are followed in assessing acceptability and validating selection of new Small Piped Water Schemes sites:

- a) Location must have no other well-functioning small, piped water scheme within 500m radius
- b) Community selected to receive borehole must have a total population of at least 500 persons
- c) Community must be willing and committed to safeguard investment and pay an initial capital contribution amount of K4,000 and thereafter continue to contribute towards sustained operation and maintenance of water point. This must be confirmed inwriting by chairperson of VWASHE Committee
- d) Community must be willing and committed to ensure adequate sanitation and hygiene around location of new water point. This must be confirmed inwriting by chairperson of VWASHE Committee.

ANNEX 4. SUMMARY OF RESEARCH FINDINGS ON SERVICE DELIVERY MODELS

S/N	DESCRIPTION	TYPE OF MODEL	KEY FINDINGS & LESSONS
1	Gundu Water Scheme, Southern Province	Cooperative Model	<p>1.The Scheme has been able to mobilise its own capital to construct and gradually expand its network and infrastructure. The Cooperative model has been run as a small business and sustained operations since 2018. The scheme has limited skills and capacity to design la larger system to cater for the increased demand for new connections and undertake detailed water quality testing and management.</p> <p>2.The Establishment of Cooperatives or similar business-oriented Community teams to manage small, piped water schemes is one possible option that can be adopted by the Expanding WASH project. However, there will be need to building capacity in such structures in water quality management and other technical aspects and link them to the relevant CU under a formal agreement</p>
2	Access for Water, Luapula Province	Insurance Private sector delegated Model	<p>1. Access Water achieves sustainable O&M of hand pumps and piped schemes through communities paying a monthly insurance fee to Access Water. The insurance fee guarantees a monthly maintenance visit by trained Access Water Technicians as well as repairs and maintenance without any additional costs to the consumers for any replacement parts.</p> <p>2. Population/ communities served by piped water scheme and water points as well as type and state of Infrastructure are key factors considered by Access Water before taking over any operations.</p> <p>3.Access for water expressed interest in expanding their activities into the northern region of Zambia which is in close proximity with Luapula province.</p> <p>4. Model presents a potential alternative for the operation and management of rural water points and piped schemes by private sector.</p>

3	Kaunga Lueti Water Scheme, Western Province	Water Committee Model	<p>1.It was observed that Kaunga Lueti Scheme appeared to be a white Elephant which was underutilized with a very poor payment culture. Despite being fairly new infrastructure, the scheme might not be able to attract private sector.</p> <p>2.The Expanding WASH Team felt that the best way to support the scheme to have a professional running the system was to introduce an approach that would at least cover operational costs but not necessarily generate profit and attract private sector.</p> <p>3. The visit to Kaunga Leuti demonstrated that it might be very difficult to establish private sector lead or business-oriented models in all project areas due to low profitability levels in some remote schemes that were very difficult to access and had very small populations.</p>
4	Northern Region Water Schemes	Water Committee Models	<p>1.The Provincial Team visited 17 schemes in Mungwi, Mpika and Chinsali districts to assess ownership, operation and maintenance status and consumer profiles. The visits revealed that schemes are managed by Committees comprising teachers and representatives from surrounding villages that draw water from the schemes.</p> <p>2. The scheme generally exhibited poor operation and maintenance skills. Water quality management was poor, and schemes had no business focus. Collection of user fees was poor.</p>
5	Southern Region Water Schemes	Water Committee Models	<p>1.The Provincial Team met Mukuni Water Scheme Committee and the cooperative society that manage Makunka water scheme in Kazungula district to obtain further details on operations, challenges and service delivery model used.</p> <p>2.The visits confirmed that schemes were poorly managed, and collection of user fees was a challenge.</p>

ANNEX 5. IMPACT STORY I

New Baruto toilet design provides a solution to open defecation in western Province

Every year, residents of the Kaunga Lueti rural health catchment area (area of operation for Kaunga Lueti Health Post) in Lowana Ward in Mongu district struggle to construct and maintain their toilets. Anne Kasaku, the Environmental Health Technician for Kaunga Lueti Rural Health post says many households in the area do not have toilets and resort to open defecation because it is difficult to construct a durable latrine in the sandy soils of western province. “When they construct toilets, they are so poorly designed and constructed that they collapse within weeks of construction due to sandy soils that collapse inside and many residents get tired of rebuilding every time they collapse, and they just give up and use the bush instead,” said Anne.

This situation is not only unique to Kaunga Lueti area, but extends to the entire western province. The 2018 Zambia Health and Demographic Survey report indicates that the proportion of the population engaging in open defecation is highest in western province (50%) and lowest in Copperbelt, Lusaka, and Northern (1% each).

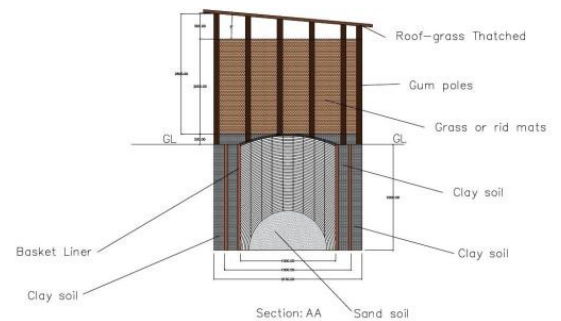
These numbers depict a sobering reality about access to basic sanitation in western province, which has remained low due largely to geographical challenges and poor structural designs.

The commonly used traditional pit latrine design, often used in loose sand or waterlogged sandy peri-urban and rural areas of western province, often proves inadequate in the face of local conditions, with loose sand and waterlogged sandy soil resulting in a total pit collapse. Furthermore, the traditional design and construction process renders the latrine too low and narrow to accommodate persons with disabilities who use a wheelchair and too dangerous for children small enough to fall into the wide drop hole.

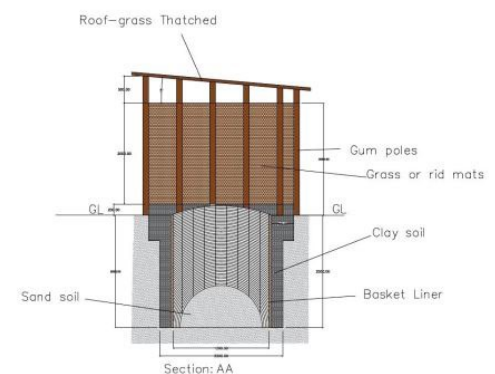
To help improve the durability of traditional sanitation facilities in western province, USAID’s Expanding Water and Sanitation project has supported local authorities to create a Barotseland Rural toilet with three different design options that address the design failures of the current traditional pit latrine. The Baruto toilet substructure uses a basket liner and clay soil, which has the dual benefit of strengthening the substructure and preventing the sandy soils from collapsing inside, as well as reinforcing the structure’s exterior strength.

According to engineer [REDACTED], the USAID Expanding Water and Sanitation project provincial service delivery lead, redesigning the traditional pit latrine will address its design failures and improve structural integrity.

“Toilets will not collapse because the substructure is built using basket lining covered by two layers of clay soil inside and outside the basket lining. Toilets designed and built to suit the soil type of western province will



Pictured: Baruto toilet substructure showing two layers of basket in between two layers of clay. This design prevents the outer walls from collapsing inside, specifically in wetland areas.



Pictured: Baruto toilet substructure showing one layer of basket inside and one layer of clay designed to prevent the outer walls from collapsing inside. This design is made specifically for upper land areas.

improve overall sanitation and public health outcomes in rural areas in the five districts of western province, while promoting inclusiveness and sustainability,” said [REDACTED].

All three design options can be built using locally available materials, and in the coming weeks and months the project will work with local authorities to build model toilets and market them as a sustainable, affordable, long-lasting toilet, that provides a private and dignified user experience for all.

ANNEX 6. IMPACT STORY 2

Sesheke Constituency Office to partner with USAID Expanding WASH to co-finance the Katima Mulilo water project

Katima Mulilo is a peri urban area 7 kilometres west of the Sesheke central business district with an estimated population of 4,000. This number has grown exponentially over the last four years, creating more demand for social services and outpacing improvements in existing water and sanitation infrastructure that would be needed to meet the increased demand.



Sesheke MP with USAID Expanding WASH project at the constituency office after the meeting. Photo by Costa Chitanda.

According to Patricia Nambeye, the Western Water and Sanitation Company’s (WWSC) Shesheke District manager, the current infrastructure is inadequate to meet the demand for water and sanitation services. *“In 2008 the company constructed a small, piped water scheme to meet demand. Since then, however, the population has grown, and the current water infrastructure cannot meet the ever-increasing demand for water and sanitation services. The current water infrastructure was designed to service a small population and for the company to meet this ever-increasing demand we need to expand our distribution network and install new pumps,”* said Nambeye.

Malambo Masiye, a resident of the Mwanawasa area in Katima Mulilo, says his family and other residents are struggling to access safe water. *“The closest access point is 500 meters from home and the utility company is failing to supply water consistently. Sometimes we go for months without a drop of water coming from the tap and so we resort to drawing unsafe water from the Zambezi River,”* reported Malambo.

To address this challenge, the Western Water and Sanitation Company proposed an expansion of their current infrastructure that involves upgrading water intake and rising mains, installing



USAID Expanding WASH staff taking a tour of Katima Mulilo area to appreciate the need for expanding water and sanitation services. Photo by Costa Chitanda.

new overhead tanks, and creating a distribution network that will serve an estimated 4,000 and improve the safety of women and girls who are currently traveling long distances to draw water from the Zambezi River. Lacking the financial capacity to execute this ambitious project, the utility approached USAID's Expanding Water and Sanitation project with a proposition to partner in expanding and improving local water and sanitation services.

To ensure that this work would be both collaborative and locally led, the USAID Expanding Water and Sanitation project, together with the WWSC, engaged the Sesheke members of parliament about the idea of the Sesheke constituency and the project co-financing the Katima Mulilo water project. The members of parliament agreed to co-finance and committed to mobilize K6 Million from CDF towards the project, with the constituency office committing 1,000,000 Kwacha from the 2023 constituency development fund.

In the wake of this success, the project will continue to adopt this co-financing approach in mobilising funds from the constituency development fund in Mongu, Sesheke, and Nalolo. These collaborative efforts will support future projects aimed at increasing access to water and sanitation services in western provinces, as well as fostering new partnerships with private sector entities and commercial utilities that will help maintain and improve both new and existing water and sanitation infrastructure.

ANNEX 7. IMPACT STORY 3

USAID EXPANDING WASH PROJECT ENHANCES GOVERNMENT CAPACITY TO COLLECT QUALITY WASH DATA

The availability of timely, accurate, and reliable WASH service coverage data is crucial to improving not only existing WASH services, but also to improving the decisions made surrounding expanding WASH service delivery infrastructure. And at the heart of reliable data collection is the availability of a trained workforce empowered with the tools necessary to accurately capture and transmit WASH service coverage data.

Understanding this, USAID's Expanding Water and Sanitation (USAID Expanding WASH) project assessed the IT and WASH data management systems currently used by the Ministry of Water Development and Sanitation and commercial utilities operating in Northern, Muchinga, Southern and Western provinces to measure the capacity of the current information management systems to provide crucial data. The findings revealed that there is no comprehensive data management system in place to accurately collect WASH services coverage data in rural and urban areas. As a result, the National Water Supply and Sanitation Council (NWASCO) uses its own systems to collect water and sanitation services coverage data from the urban and peri urban areas, while local authorities in the project's target districts use fragmented and often inconsistent paper-based data systems to capture water and sanitation service coverage data in rural areas.

Compounding this problem, the data that the commercial utilities and local authorities collect is not consistent with the data needed to accurately report on WASH services coverage, according to the Joint Monitoring Program (JMP) indicators. The result of these gaps is that local authorities, commercial utilities, and district health offices are not able to estimate with reasonable certainty the coverage of their water and sanitation services, nor are they able to make informed decisions about where resources should be invested to improve service delivery.



Participants at the IT/CommCare training in Sesheke District. Photo: Mutinta Hinghandu

To improve the quality of data that the Ministry of Water Development and Sanitation, commercial utilities, and local authorities generate, USAID Expanding WASH is working with these institutions to build their capacity to collect quality data. As a first step, the project conducted a capacity building training for 38 environmental health technicians and officers, district water and sanitation officers, and commercial utility district managers on a new Information Management System and the Water and Sanitation monitoring framework that the Ministry of Water Development and Sanitation is using to monitor WASH services delivery. The training was designed to clarify the roles and responsibilities of all the staff involved in WASH data collection.

During the training, participants reviewed the current coordination mechanisms and tools for collecting and submitting WASH data. They also learned about the data elements that they will be collecting using the new information management system and how they will need to report on the different water and sanitation service levels. Participants learned that the new system and tools will be automated and include built in monitoring to minimise errors in entering data from source

documents. This new integrated system will also collect data from both rural and urban areas, making it available for decision making in real time.

Through practical lessons on how to best use the new data collection and reporting tool, including how to enter data and submit reports, the training equipped participants with both the tools and skills they would need to collect quality and reliable WASH data. According to Kingsley Chibale, the Western Water and Sanitation Company's Sesheke District Manager, the training on WASH IT systems and CommCare alerted the commercial utilities to the importance of not just collecting data but also collecting various types of data (demographic data for instance) in detail.

The trained staff will now pass on this new knowledge to other environmental health officers and government officers at the sub district level, who will in turn disseminate the information to volunteers involved in the collection and submission of WASH data. These new practices will also be integrated into the WASH services demand creation trainings for community volunteers and sanitation action groups, to ensure that they understand how the project is measuring service coverage and what data should be collected. Following the training, participants are now required to collect disaggregated population data from each household in each village benefiting from the project interventions and use that data to ascertain service coverage.

By enabling communities to understand exactly how many people have access to specific WASH services, this new tool will empower them to use this information to engage service providers, traditional civic leaders, and local authorities in a shared mission of improving and expanding access to WASH services for all.

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