



Photo Credit: USAID Expanding WASH
Expanding WASH project staff exhibiting at the Commemoration of the 2023 Global Hand Washing Day in Lusaka.

USAID EXPANDING WATER AND SANITATION PROJECT

ANNUAL PROGRESS REPORT #2 JANUARY 1 – DECEMBER 31, 2023

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Annual Progress Report #2

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
MWDS	Ministry of Water Development and Sanitation
NRW	Non-Revenue Water
NWASCO	National Water Supply 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 its second Annual Progress Report for the United States Agency for International Development (USAID) Expanding Water and Sanitation Project (USAID Expanding WASH), covering the second year of implementation from January 1 to December 31, 2023. The Annual Progress Report summarizes cumulative accomplishments, challenges and recommendations within the reporting period. It further evaluates existing and potential problems in implementation and variances from the Annual Work Plan (AWP) and Activity Monitoring, Evaluation and Learning Plan (AMELP).

PROJECT HIGHLIGHTS:

Below is a summary of progress the project made across different activities under each objective and Monitoring, Evaluation and Learning (MEL) activities:

Objective 1: Institutionalized Market-Based WASH Service Delivery, Financially Sustainable and Inclusive Management Models	Progress: <ul style="list-style-type: none">✓ Finalized the research on different market-based WASH service delivery models. The 3 models recommended for implementation under the project are the CU Managed Model for large, piped schemes near areas where CUs are active; Private Sector (Investment and Management) Model in locations with higher profitability; and Cooperative Community Managed Model for remote piped schemes.✓ Conducted IT training for CUs and LAs in all 12 project districts to support future migration from manual WASH data collection to a digital process.✓ Developed and started implementation of the Sanitation Behavioral Change Communication Strategy. 7 PWASHE members, 31 DWASHE members and 51 Health Care Facilities staff from across the 12 project districts were trained on the tools outlined in the Strategy.✓ Finalized the toilet catalogue that identify affordable, durable, and market-aligned toilets, which will be promoted during sanitation-improvement activities such as mason training and increasing household access to improved sanitation.
Objective 2: Increased Accountability of WASH Service Providers, Policymakers, and Civic	Progress: <ul style="list-style-type: none">✓ Issued four Grants Under Contract (GUCs) to support advocacy and social accountability work. Combined, the grantees have trained 16 CSOs, with over 75 total participants, in advocacy and social accountability.✓ Trained 17 Civil Society Organizations in advocacy and social accountability (trained by the project).
Objective 3: Increase Private Sector Participation (PSP) with Supporting Policy and Regulatory Reforms	Progress: <ul style="list-style-type: none">✓ Provided input to the draft 2023 Public Private Partnership Bill that has since been passed into law.✓ Provided input to the draft Water Supply and Sanitation Act.✓ Successfully hosted a PSE Forum and a WASH Entrepreneurship and Partnerships Summit.✓ Supported CUs to develop and evaluate project pipelines, out of which 6 priority projects were identified for procurement.
Activity Monitoring Evaluation and Learning	Progress: <ul style="list-style-type: none">✓ Finalized and piloted digital data collection tools for district officials.✓ Trained 28 Environmental Health Officers, District Managers and Information Officers in digital data collection tools.

I.0. INTRODUCTION

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 (RTII).

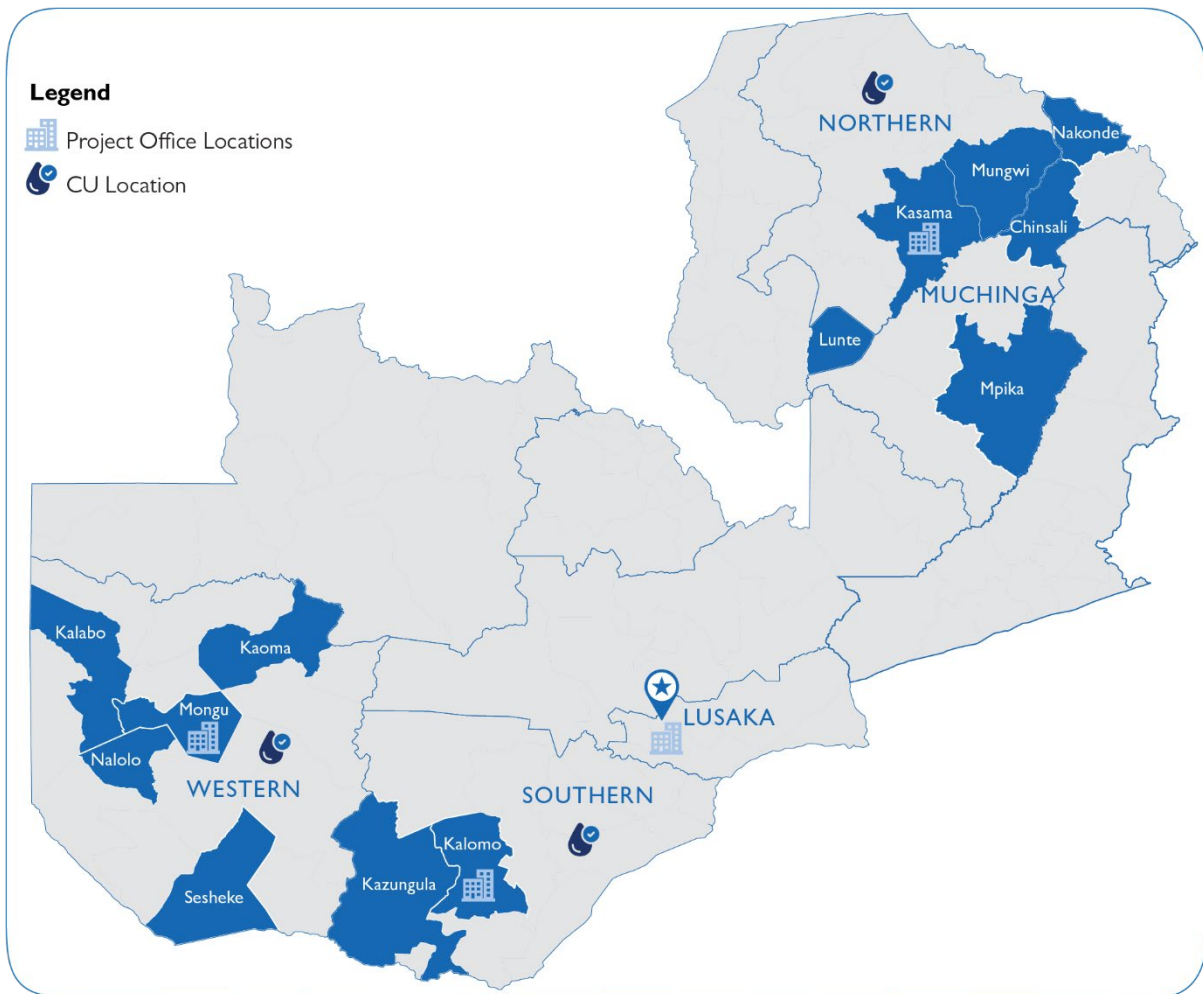


Figure I A map of the target geographies for USAID Expanding WASH.

The project provides support to three commercial utilities (CUs). 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).

To strengthen social accountability within complex, dynamic local systems, USAID Expanding WASH uses USAID’s Local Solutions Framework. 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 project is premised on three objectives, namely:

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

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

Throughout this Annual 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 and consistent as possible.

This report provides details on USAID Expanding WASH implementation in Year 2 of its operation. The structure of the report is as outlined below:

1. **Introduction:** This section details the key elements of the Expanding WASH Project
2. **Cumulative Achievements:** This section discusses progress made during the year.
3. **Activity Implementation Updates:** This section details activity implementation throughout the reporting period.
4. **Cross Cutting Activities:** The section reports on key crosscutting issues, including MEL Activities.
5. **Successes, Challenges, and Recommendations:** This section reviews the activity-wide and objective-level key successes, programmatic obstacles, and potential pivot points for the remainder of the project.
6. **Corrective Action:** this section of the report outlines some of the corrective action taken to address some major issues during project implementation

2.0. CUMULATIVE ACHIEVEMENTS

This section provides details on the cumulative achievements for the second year of the project, covering the period of January to December 2023. The achievements are outlined under the following sub-headings: Technical achievements, Project Deliverables and Reports, management and personnel, and Operations and Administration,

Technical Achievements

The project successfully implemented technical tasks as per 2023 workplan and made substantial headway towards achieving set project targets. During the year, the project set the foundation for construction works that are scheduled to start in 2024. Notable achievements include recruitment of the Local Engineering Support Firm (LESF), shortlisting of four Architectural and Engineering (A&E) Firms for potential engagement under the project, and the commencement of site verifications in the various districts to support applications for the Construction Fund.

The project also identified some potential partnerships that will be pursued in 2024. These include:

- Partnership with Sesheke District Council, Western Water and sanitation Company and the project to co-finance and implement a water supply improvement project for Katima Mulilo;
- Partnership between ChWSC, Lunte District Council and a private entity, for management of water schemes and boreholes with handpumps in Lunte District.

In order to improve citizens capacity for advocacy and social accountability, the project issued four Grants Under Contract (GUCs) to four Civil Society Organizations (CSOs). The four CSOs have engaged key stakeholders and conducted various trainings to improve citizens and service providers awareness of their various responsibilities with respect to social accountability. Furthermore, the project undertook capacity building activities for Seventeen (17) CSOs operating in the project target areas. The project will support the CSOs with implementation of their advocacy and social accountability work in 2024.

As part of its continued efforts to promote and create an enabling environment for private sector participation in WASH service delivery, the project hosted the inaugural Private Sector Engagement (PSE) Forum whose aim was to provide space for clear and direct dialogue, deliberation, and information exchange between the public sector stakeholders involved in WASH service delivery and relevant private sector actors, Key issues identified and flagged for follow up during the forum included the need for tariff structures that incorporate private sector fees/revenue models; the need for clarity on process for structuring and procuring partnerships; and processes for licensing and certification.

The project also organized the WASH Entrepreneurship and Partnership Summit in July 2023, which was attended by 38 private sector participants. The WASH Entrepreneurship and Partnerships Summit was private sector-facing, focusing on building capacity for private sector entities in several key areas to prepare them for partnering with the CUs.

The project submitted recommendations for inclusion in the 2023 PPP Bill, that was signed into law on December 22. A key recommendation by the project relating to the inclusion of companies such as water utilities in the definition of “Contracting Authority” was included in the new PPP law.

Project Deliverables and Reports

During the reporting period, USAID Expanding WASH submitted all contractual deliverables and reports as drafts and/or final products in line with Section F of the contract. The table below outlines the deliverables and respective timelines.

Table 1: Reports and Deliverables Completed During Reporting Period

Report/Deliverable	Status	Draft Date	Final Date	Approval Date
2023 Annual Work Plan	Approved	November 16, 2022	May 20, 2022	July 11, 2022
Construction Implementation Plan	Approved	October 14, 2022	January 14, 2023	April 13, 2023
Water Quality Assurance Plan	Approved	November 14, 2022	February 17, 2023	March 15, 2023.
FY22 Annual Progress Report	Approved	January 30, 2023	March 16, 2023	March 28, 2023
First Portfolio Review Presentation	Submitted	N/A	March 16, 2023	N/A
FY23 Q1 Quarterly Progress and Financial Reports	Approved	April 15, 2023	May 4, 2023	June 14, 2023
FY23 Q2 Quarterly Progress and Financial Reports	Approved	July 14, 2023	July 28, 2023	August 4, 2023
FY23 Q3 Quarterly Progress and Financial Reports	Approved	October 13, 2023	October 30, 2023	Dec. 21, 2023
Second Portfolio Review Presentation	Submitted	N/A	November 30, 2023	N/A
2024 Annual Work Plan	Pending	November 15, 2023	December 22, 2023	Pending

*Items marked as pending showcase the status of the report as of December 31, 2023.

Management and Personnel

In the period from January to June 2023, USAID Expanding WASH brought onboard four remaining staff members, including the Policy and Regulatory Specialist, Construction Fund Manager, Northern Service Delivery Coordinator, and the Lusaka Driver. By the end of July 2023, USAID Expanding WASH had recruited, onboarded, and trained all named positions in the project organization chart.

Operations and Administration

In this reporting year, project operations facilitated the engagement of consultants, and conducted procurement of essential services to support field operations and technical implementation. The project finalized the engagement and onboarding of several consultants and finalized the engagement of an engineering firm and the subsequent onboarding and orientation of the four engineers under the subcontract.

To expedite travel logistics and accommodation reservations for programmatic travel, the project pre-qualified lodges and hotels in implementing areas and completed commissioning of project vehicles by registering, insuring, and branding all four project vehicles. The project also renewed contracts for essential operations services and commodities, including office suppliers, health insurance, IT insurance, CommCare, and office lease.

During the year under review, the project continued to ensure compliance with local regulatory requirements, and in this regard, successfully concluded an external audit to review financial statements ending September 30, 2023.

3.0. ACTIVITY IMPLEMENTATION UPDATE

The sections below provide summary details on the project's progress on implementation of key project activities for the periods January to December 2023. The progress is itemized in the sections below, by objective and at task level.

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

Objective I seeks to improve social accountability by securing the minimum quality standards for market-based services and strengthening the institutional arrangements to ensure that these services reach customers. USAID Expanding WASH worked towards achieving this objective through comprehensive analysis and deliberate engagement of district, community, and private sector stakeholders, recognizing how co-implementation enhances governance, policy reform and sustained investment. The project worked with CUs and LAs to identify service-improvement projects for peri-urban areas, rural growth centers, and rural communities.

SUB-OBJECTIVE I.1: IMPROVE AND INSTITUTIONALIZE MARKET-BASED, PROFESSIONALIZED, FINANCIALLY SUSTAINABLE, ADAPTIVE, AND INCLUSIVE MANAGEMENT MODELS

TASK I.1.2: Establish flexible models for delegation of WASH service delivery.

The project finalized the research on different market-based WASH service delivery models. The research findings, which included the advantages and suitability of different service delivery models, were shared with MWDS for their buy in. The three models recommended for implementation under the project are the CU managed model; Private sector (Investment and Management) model; and Cooperative Community managed model. In line with the Private Sector model, the project facilitated site visits to potential delegated management locations and discussions between the ChWSC and private sector for delegated management of small WASH systems.

In 2024, the project will support CUs and LAs to implement professionalized service delivery models. This includes establishing management structures, developing business plans, adopting standard operating procedures/guidelines and management of delegated service agreements that improve the availability of reliable maintenance resources and technically skilled personnel. Planned activities include engaging a private sector entity to take up the delegated operation and management of piped schemes and water points.

Project will further seek to identify local rural entrepreneurs and facilitate the establishment of APMs cooperatives/associations to manage and repair boreholes and small WASH systems as profitable micro-businesses in an effective, efficient, and sustainable manner under a grant.

TASK I.1.3: Strengthen Data Systems, Technological Tools, and Information Platforms

The team, 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, verification, and transmission. The following topics were covered during the IT Training:

- 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

The Project will work to procure digital tools and support the 3 CUs and 12 LAs to migrate from manual to digital WASH data collection and ensure the efficient capture, analysis and transmission systems of WASH data from districts to regional and national levels by implementing the training provided in 2023.

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

TASK 1.2.2: Build CU and LA Capacity for Construction Management and Oversight

The Construction Management Expert and the Institutional Development Specialist undertook a construction capacity assessment that highlighted construction management and oversight gaps and challenges in CUs and LAs.

The following were the gaps and challenges identified:

- Limited skills in for solar boreholes and associated piped scheme rehabilitation and installation.
- Low skills set in planning, design and management of construction.
- Lack of design software tools such as EPANET, Modeling and AutoCAD, and
- Poor availability and use of O & M manuals, infrastructure specifications and drawings.

The Local Engineering Support Firm working with WASAZA will, in 2024, undertake capacity building activities in line with the assessment with a target to improve the ability of CUs and LAs 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

Following USAID approval of the Construction Implementation plan, the project engaged a Local Engineering Support Firm. The Local Engineering Support Firm provides engineering support services to assist in the quality assurance (QA) and quality control (QC) for the design and oversight of construction activities as well as support construction contract administration.

The Local Engineering Support Firm developed a Health and Safety Plan, Construction Quality Assurance and Surveillance Plan and Construction Cost Guide.

Four technically capable A & E Firms were short listed following the evaluation of proposals that were submitted in response to an Expression of Interest. The project targets to finalize the first set of designs and procure construction subcontractors by the end of first quarter of 2024 calendar year and to commence construction immediately after the 2023/24 rainy season.

TASK 1.2.4: Develop Asset Maintenance Management Systems and O&M Manuals

The project finalized the development of the Asset Management and O&M Manual and guidelines. 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 Manual guides 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 project will, in 2024, work to support the full adoption of the manual and guidelines that were developed by the Project.

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 social behavior change (SBC) strategy was developed based on the SaniFOAM framework. In line with the SBC strategy, the Provincial Teams worked with Environmental Health Technicians to collect data on existing sanitation practices, backgrounds, and status of villages (Tool 1).

TASK 1.3.2: Address Sanitation Priorities Through Market-Based Services

The project finalized a toilet catalogue of proposed designs for affordable, durable, and market-aligned toilets. The catalogue provides rural households with various options of suitable toilets that they can construct. Training of masons and development of sanitation supply chains will be linked to finalized toilet designs in the catalogue.

The catalogue includes Baruto toilet designs that were developed by the project. The Baruto toilets are a solution to providing access to durable and affordable sanitation facilities in rural parts of Zambia, in particular western province. The core idea behind the BARUTO toilet is to improve upon the Zambia's local western region practice of a basket-lined pit latrine model by employing single and double basket liners reinforced with single or double compacted clay around the baskets. The BARUTO toilet model design presents a promising solution that extends the lifespan of the latrines while improving their functionality.

Following approval for construction of demo toilets, Western Provincial project team supported the construction of the two Baruto model toilets by communities in Silowana ward of Nalolo district. The toilets were used to pre-test functionality and acceptability of designs.

TASK 1.3.3: Communication and Behavior Change

The project finalized the SBC strategy for sanitation and hygiene. The strategy guides implementation of activities to reduce open defecation and improve household sanitation access.

In line with the SBC strategy, the Provincial Teams worked with Environmental Health Technicians to collect data on Existing Practices, Backgrounds and Status of Villages (Tool 1). Tool 1 was used as the first step to probe what is obtaining in each village so that appropriate interventions could be applied for each village. This data driven approach will be used confirm specific behaviors and motivators that hinder good sanitation. This will further enable the design of responsive programs that will lead to the implementation of appropriate behavior change interventions. The project will implement full scale SBC activities which will include awareness creation and capacity building of rural households and masons in toilet construction, after which communities that attain Open Defecation Free (ODF) status will be verified.

Table 2 Objective 1 Progress Summary

Objective Activities	Timing	Expected Results	Year End Update
Sub-Objective 1.1: Improve and institutionalize market-based, professionalized, financially sustainable, adaptive, and inclusive management models			
TASK 1.1.2: Establish flexible models for delegation of WASH service delivery	6 months, January 2023– June 2023	Finalized research report on different market-based WASH service delivery models.	Task Completed. The project finalized the research on different market-based WASH service delivery models. The research findings, which included the advantages and suitability of different service delivery models, were shared with MWDS for their buy in.
TASK 1.1.3: Strengthen data systems, technological tools and information platforms	12 months, January – December 2023	Conduct training to build capacity in CUs & LAs to collect, verify, enter, and process WASH data. Provide ongoing IT support	<p>Task Completed. IT training for CU district managers, LA WASH Coordinators, and Environmental Health Officers was conducted in all 12 project districts and covered the following aspects:</p> <p>Data systems- Effective and accurate capture of WASH information into COMM care data system developed by project, NIS used by CU & NWASCO and how this will link to National WASH IMIS when finalized.</p> <p>Technological tools - Migration from manual data collection to use of smart phones.</p> <p>Information platforms- Revision of SAG Registers to include additional elements as agreed with MWDS.</p>
Sub-Objective 1.2: Enhance construction quality of small-scale water systems (new and rehabilitated hand pump boreholes and small piped-water schemes)			
Task 1.2.2: Build CU and Counterpart Capacity for Construction Management and Oversight	3 months, May 2023–July 2023	Assess CU & LA capacities in construction, management and develop capacity building plan	<p>Task Completed. Construction capacity assessments that highlighted construction management and oversight gaps and challenges in CUs and LAs were conducted.</p> <p>A capacity building Plan was developed to address the gaps identified. The project will in 2024, undertake capacity building activities in line with the assessments with a target to improve the ability of CUs and LAs to design, supervise, construct, and manage long-term O&M beyond the life of the project.</p>

Objective Activities	Timing	Expected Results	Year End Update
Task 1.2.3: Design and Operationalize a CF for New, Expansion, and/or Rehabilitation of Water and Sanitation Infrastructure	12 months, January 2023–December 2023	Identify Construction Fund Manager and establish Construction Fund to enable CUs and LAs to access direct investment into WASH infrastructure.	Task completed. The design and operationalization a CF for New, Expansion, and/or Rehabilitation of Water and Sanitation Infrastructure was finalized. Hired a Construction Fund Manager (CFM) and engaged Local Engineering Support Firm. The Local Engineering Support Firm developed the Health and Safe Plan, Construction Quality Assurance and Surveillance Plan and Construction Cost Guide. Four technically capable A & E Firms were shortlisted following the Evaluation of Expressions of Interest
Task 1.2.4: Develop Asset Maintenance Management Systems and O&M Manuals	3 months, January –March 2023	Review existing manuals and develop project specific Asset Management and O&M Manual and guidelines.	Task Completed. The project finalized the development of the Asset Management and O&M Manual and guidelines. 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.
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	3 months, October - December 2023	Determine Existing Practices	Task Completed. In line SBC strategy, the Provincial Teams worked with Environmental Health Technicians to collect data on Existing Practices, Backgrounds and Status of Villages (Tool 1 of SBC Strategy)
TASK 1.3.2: Address sanitation priorities through market-based services	3 months, Feb - April 2023	Set up improved supply chains that offer sanitation products suitable for the local conditions and for the preferences and financial capacities of the local communities	Not completed. A toilet catalogue of proposed designs for affordable, durable, and market-aligned toilets was finalized. Training of masons and development of sanitation supply chains linked to finalized toilet designs in the catalogue will be undertaken in 2024.
TASK 1.3.3: Communication and behavior change	12 months, January 2023 – December 2023	Tailored SaniFOAM framework Behavior-change strategy on open defecation and hygiene	SBC Strategy was developed and pending final USAID review. The project finalized the development of the social behavior change strategy. The strategy guides implementation of activities to address open defecation and improved sanitation access at the household level.

Specific Activities Undertaken in Quarter Ending December 31, 2023

During the period from October to December 2023, the project undertook several activities under the various Objective 1 tasks. Key amongst these was the engagement of GOPA as Local Engineering Support Firm and commencement of implementation of the SBC strategy.

A summary of the tasks undertaken is provided below.

- Task 1.2.3: Hired a Construction Fund Manager (CFM) and engaged Local Engineering Support Firm.

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

Objective 2 focuses on enhancing social accountability by equipping citizens—as constituents and as customers—with tools and spaces that enable them to advocate for high-quality services and hold service providers accountable to minimum standards. To achieve this, the Project will build capacity in the civil society organizations (CSOs) in advocacy and social accountability for improved WASH services. Furthermore, the project is working with grantees to accelerate capacity building of CSOs and subsequently equip citizens to be able to advocate for improved WASH services and demand social accountability from service providers, civic leaders, and policymakers for improved service delivery. In addition, the project is working with ward development committees to improve their community and resource mobilization skills and understanding of their roles and responsibilities and community development, especially with regards to WASH at community level.

SUB-OBJECTIVE 2.1: IMPROVE CITIZENS' CAPACITY TO HOLD WASH SERVICE PROVIDERS, POLICY MAKERS, 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

The project trained 17 CSOs in advocacy, social accountability and social inclusion between July and August 2023. Northern province combined training through two workshops in Mpika and Nakonde, Southern and Western provinces held trainings in the respective districts. The training package included topics such as advocacy, social accountability (tools and approaches); theory of change, WASH (approach, community participation and ownership, O&M and community contribution), participatory planning, gender and social inclusion and record keeping. The 17 trained CSOs comprised seven organizations for persons with disabilities, six youth groups and four women's groups drawn from 11 target districts. Lunte was not included as the CSOs identified failed to meet the selection criteria. A total of 78 CSO members participated in the training. The CSOs have developed and submitted action plans that the project will support in 2024.

Citizen empowerment will be done through training on advocacy and social accountability to be conducted by CSOs. For example, CSOs in Southern province are preparing WASH radio programs that will provide a platform for community members and service providers to discuss WASH service improvement issues. The CSOs have also engaged service providers to discuss the issue of disability friendly public toilets.

During the period under review, the project awarded four Grants Under Contract (GUC) to Young Women’s Christian Association (YWCA) – Western province; Rise Community Aid Project (RICAP) – Southern province; Centre for Future Generation (CFG) – Muchinga province and Kasama Christian Community Care Project (KCCC) – Northern province. The contract for KCCC was signed in November 2023 and the organization has submitted its Inception report for review as a first deliverable. The other grantees have made progress in implementing their workplans. Some of the activities undertaken by the grantees include:

- i. *Inception meetings:* These meetings were organized by the grantees at district level, to introduce their respective grant funded projects in relation to USAID Expanding WASH project and create project synergies with district WASH stakeholders. Out of a total of one hundred and sixty-three (163) people that attended the meetings, only seven were persons with disabilities.

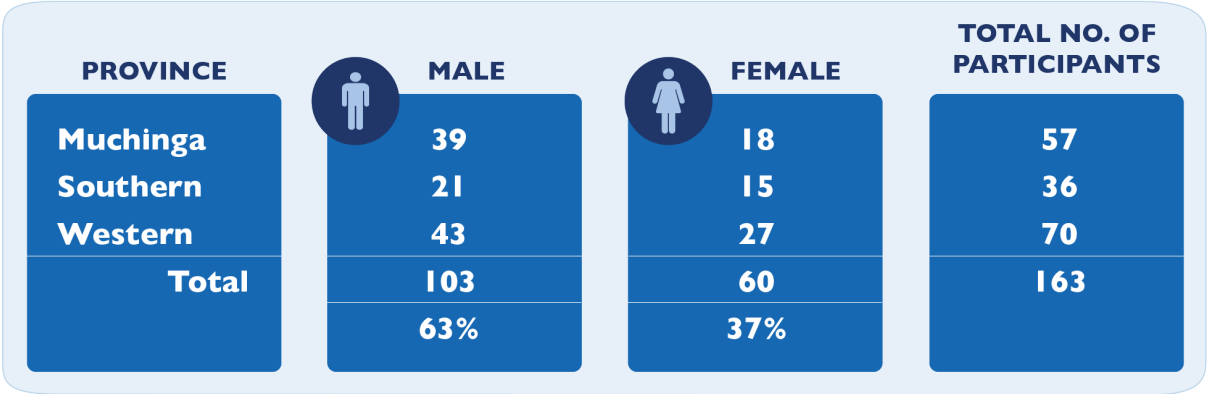


Figure 2 Number of people who participated in grantees inception meetings.

- ii. *Community level introductory meetings:* These meetings were conducted as a way of mobilizing the communities, community structures and traditional leadership for participation in the project activities. A total of six hundred (600) people participated in the meetings out of which 45 were persons with disabilities.

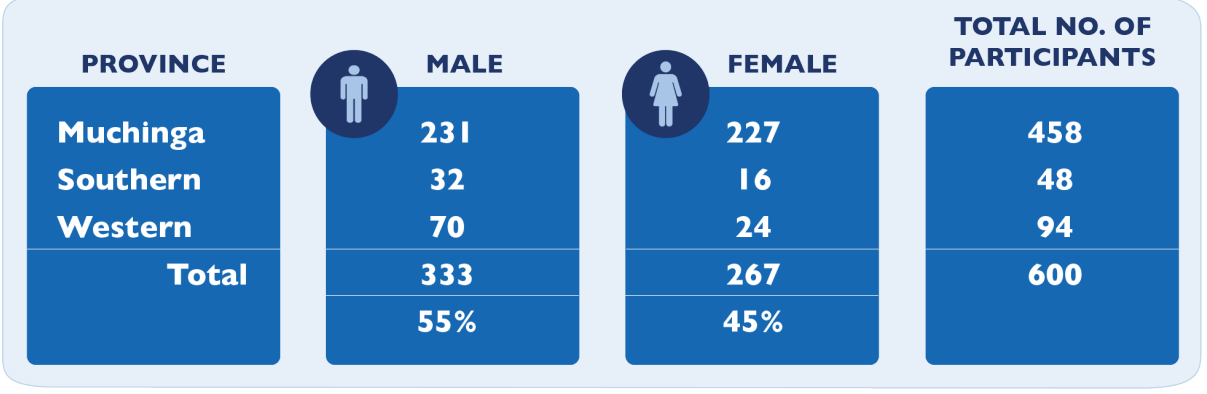


Figure 3 Number of people who participated in grantees community introductory meetings.

The number of participants in southern province was significantly lower compared to the other provinces because the grantee opted to meet a few (4) representatives from each ward instead of having general community meetings or ward level meetings. The grantee has since been advised to undertake community mobilization in a more inclusive manner and with the wider community.

- iii. *Training of CSOs: The grantees trained a total of 16 CSOs in advocacy, social accountability, and social inclusion. The figure below provides details of the CSOs trained.*

GRANTEE	DISTRICT	NAME OF CSO/CBO	CSO/CBO MEMBERS TRAINED
1. YMCA	Mongu	NAMUSO ADB	5
		Youth, Child Care Foundation (YCCF)	5
	Kalabo	Women's Lobby	5
		SEPO Community Initiative	5
	Kaoma	Zambia Youth League	5
		Motivational Forum Zambia	4
	Nalolo	Tohonolo Women's Club	5
		Namabuku Cooperative Society	5
	Sesheke	Maonde Unite Youth Club	5
		Kamu Disability Club	5
			49
2. Centre for Future generation (CFG)	Chinsali	Participatory Education & Action for Community Empowerment (PEACE)	5
		Chichetekelo Women's Advisory Organization	5
	Mpika	Development Organization for People Empowerment (DOPE)	5
		Space of Change Youth Organization	5
	Nakonde	Muchinga Skills Association	5
		Nakonde District Women's Association	5
			30

Figure 4 Number of CSOs trained.

In Southern province, the grantee has identified CSOs that it intends to train in the first Quarter 2024.

- iv. *Score card sessions in Southern province:* - a total of 39 community representatives were trained in the use of the community score cards, Kalomo (26) and Kazungula (13). Additionally, 6 representatives of service providers (4 from district councils and 2 from the CU) participated in the training. After the training, the grantees distributed score cards to 12 communities in Kalomo and to 6 in Kazungula (1 community per ward). The scoring was on water supply and sanitation services in the community. Only 9 communities submitted results in Kalomo and all 6 communities made their submissions in Kazungula. An Interface meeting was organized for the community representatives and service providers representatives to meet and discuss the scoring, come to an agreement on 'a fair score' (after exhaustive discussion), identify solutions to the problems and developed district action plans to address issues.
- v. *Stakeholder review meetings in Muchinga province:* CFG has been conducting their project review meetings with WASH stakeholders at district level (2 such meetings have been held to date). These meetings bring together the district WASH stakeholders that include CU and Council representatives, community members and representatives from the traditional leadership. These are district level internal monitoring meetings for the grantee as they provide an opportunity for the grantee to discuss their work, share challenges and develop possible solutions with stakeholders. The review meetings are an opportunity for the district WASH stakeholders to provide feedback to CFG on project implementation. Additionally, other

WASH issues affecting either party are discussed, solutions identified, and responsible persons assigned, and progress shared at the next meeting.

A total of 33 CSOs have been trained during the period under review with a total of 157 CSO members trained. The grantees will continue to work with the CSOs they have trained, and the initial step is to finalize their action plans for their respective communities. The project has planned to provide support to the 17 CSOs that it trained (technical- mentorship/coaching and financial support) for the implementation of their action plans.

TASK 2.1.2: Deploy Rigorous and User-Friendly Local Governance Tools

The training of CSOs by the project and the grantees provided a means of deployment of governance tools to the CSOs and service providers (especially the local authority) who participated in the CSO trainings as facilitators. Below is a list of the four tools that have been used by the project and the grantees in the training of CSOs.

- Government Policies/Guidelines – provides vision and direction including institutional framework and roles and responsibilities of actors in the WASH sector whilst setting the standard for performance.
- Service Charter - States what the service provider promises to deliver.
- Customer Charter - States the responsibilities of the customer/citizens.
- Citizen Report Card - Enables public participation in performance management of service providers.

TASK 2.1.3: Reinforce Public Platforms to Monitor Performance and Service Quality

During the period under review, the project identified full council meetings, engagement with local constituency offices, community radio programs, and townhall meetings as public platforms that could be used to monitor performance and service quality. In eight districts (5 Western & 3 Muchinga), the project through the activities of the grantees has been able to engage with the local constituency offices especially during the inception meetings at district level. Community radio programs have been used by the project mainly during commemoration of WASH international days (World Water Day, Global Handwashing Day and World Toilet Day). Radio programs are used for WASH advocacy and for community members to engage service providers on WASH service delivery issues. The project has supported six districts to commemorate these WASH related days. Unfortunately, other districts have not requested support as they do not have other sources of funding to meet their total budgets.

SUB-OBJECTIVE 2.2 IMPROVE INVESTMENTS AT THE NATIONAL LEVEL

TASK 2.2.1: Increase GRZ Resource Allocation for WASH

The project identified WDCs as structures that can mobilize additional resources for improved WASH service delivery at community level. The resources can either be from CDF or other available funding for the district. According to the WDC guideline, any funding awarded to a WDC project would have to be channeled through the council. Additionally, the WDCs are positioned to mobilize communities for effective participatory planning and management of their WASH facilities. During the period under review the project conducted participatory capacity assessment of 31 WDCs in 11 districts. The assessment has shown capacity gaps in understanding of roles and

responsibilities, low levels of knowledge in WASH, low reporting and monitoring skills, and resource mobilization. A training package is being designed to respond to these gaps and shall be completed by the end of January 2024 and training has been planned for February to end of March 2024.

TASK 2.2.2: Improve WASH Sector Cost Recovery

During the period under review, the project changed the approach of this task to align line with the focus on governance and social accountability of service providers (and consumers). The project has drafted a statement of work for a grantee to implement an awareness campaign for recurring payments for WASH services, expected to start by June 2024.

Table 3: Objective 2 Progress Summary

Objective Activities	Timing	Expected Results	Year End Update
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	January – December 2023	36 CSOs and 120 V-WASH committees identified.	Task completed. 50 CSOs and more than 150 V-WASH committees identified. These identified organizations will be capacity built for WASH advocacy and social accountability for improved services. The training will be done in phases. The trained organizations will focus on citizen empowerment and engagement of service providers.
	January - December 2023	CSO capacity assessment undertaken.	Task completed - the grantees have assessed 20 CSOs using PLOCA
	January – March 2023	1 socially inclusive WASH accountability training package developed.	Task completed. Socially inclusive WASH training package developed.
	March – September 2023	24 trainings conducted.	Task completed with 17 CSOs trained. Not all training sessions were done at district level or with each CSO resulting in 9 training sessions being held.
	February – March 2023	24 socially inclusive meetings held using public platforms.	Task completed in the quarter ending December 2023 mainly through grantee activities.
	January – December 2023	24 awareness meetings held and 24 communities knowledgeable of current impact of service levels. (a meeting to be held in 2 communities in each district. These 24 communities should exhibit improved knowledge)	Task delayed and has since been combined with awareness campaign under task 2.2.2 planned for 2024. The compilation of materials and impactful messaging for such a campaign was a challenge. The approach for 2024 is to use a grant to engage CSO to design effective campaign strategies and conduct the campaigns. This will also include use of the digital platform for information dissemination and assessment of consumers' understanding of their right to WASH services, their role in advocacy for improved services, the need to hold service providers accountable for improved services and their role as citizens in sustaining WASH facilities.
TASK tools	January – March 2023	2 meetings per district to review local governance tools.	Task completed with input from the provincial teams.

Objective Activities	Timing	Expected Results	Year End Update
Sub-Objective 2.1: Improve Citizens' Capacity to Hold Wash Service Providers, Policymakers, and Civic Leaders Accountable for Quality Service Delivery			
2.1.2: Deploy rigorous and user-friendly local governance	June – September 2023	2 sensitization meetings held (on existing public platforms to engage service providers and policymakers.	Task completed, but in the quarter ending December 2023, through grantee activities.
TASK 2.1.3: Reinforce public platforms to monitor performance and service quality.	January – March 2023	At least 3 public platforms being utilized in each district.	Task delayed as there is only 1 platform being used (community radio) and the grantees have engaged with the Constituency offices. The trained CSOs had not been funded during this period and therefore utilization of public platforms was affected.
Sub-Objective 2.2: Improve Investments at the National Level			
Task 2.2.1: Increase GRZ Resource Allocation for WASH	April – May 2023	4 provincial workshops held to discuss ways to increase access to CDF for WASH service provision.	Task delayed and has been replanned to target the WDCs for training in resource mobilization, furthering support to WDCs to guide community planning that is responsive to community needs (not just for CDF support but to other funding sources available).
Task 2.2.2: Improve WASH Sector Cost Recovery	January – December 2023	Support CUs to develop and implement cost recovery strategies.	Task delayed and has been reprogrammed for 2024. The task entailed dealing with many aspects of CU service delivery, to make the task more manageable. Objective 2 shall now focus on cost recovery in delegated management water schemes under the CU.

Specific Activities undertaken in Quarter ending 31st December 2023

During the quarter October - December 2023, the project undertook some activities under tasks in Objective 2. Below is a list of activities:

- 16 CSOs were trained by the grantees – 6 CSOs were trained in Muchinga province (30 members trained) and 10 CSOs were trained in Western province (49 members trained).
- 2 Community Score Card sessions were held in Southern province – the community score cards were distributed to 18 communities (12 in Kalomo and 6 in Kazungula) though only 15 shared their scores with the grantee. The local authorities were also oriented and provided with the score cards for self-assessment.
- 2 Interface meetings were held in Southern province to discuss the above-mentioned score card results. Action plans to address issues raised were developed.
3 district level project review meetings (stakeholder engagement) were held in Muchinga province to discuss the activities of the grantees and other WASH concerns in the respective districts.

OBJECTIVE 3: INCREASED PRIVATE SECTOR PARTICIPATION (PSP)

Private Sector Participation (PSP) is at the core of the USAID Expanding WASH approach and is key to its sustainability. Objective 3 focuses on promoting private sector participation and investment in the WASH sector and contribute to improved and sustained access to WASH services. Outputs from tasks under this objective have helped shape and inform tasks under other objectives. In this regard, objective leads have been taking part in PSE forums, noting outputs that impact and direct their respective tasks (e.g., policy and regulatory priorities for review and strengthening under Objective 3).

During the period under review, policy and regulatory frameworks were reviewed and some local private operators and stakeholders in the target districts engaged to identify constraints and opportunities relating to rural WASH service delivery. The project made key recommendations for policy and regulatory reforms aimed at improving WASH sector governance.

Although the Water Supply and Sanitation Act of 1997 allows PSP directly in the management of CUs, a more effective approach would create shared value by engaging businesses and private operators in investment partnerships and performance-based O&M, delegated management, and service contracts that complement CU capacities. To promote such partnerships, the project held workshops that provided a platform for the private sector to interact with CUs to explore areas of cooperation. In the same vein, the project is supporting MWDS with the development of a Private Sector Engagement Strategy whose completion and implementation is expected to support creation of an enabling environment and promote private sector investment and participation in WASH service delivery.

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

In 2023, the project team worked on refining the 9-priority pipeline projects that were identified with the CUs in the previous year. However, three of the nine potential projects could not proceed to the business case development stage under this tranche, and were relegated to the second

tranche, on account of questions around availability and ownership of land targeted for construction. The six projects that proceeded to the next stage are shown in the table below. Once additional data was collected, re-evaluation and sensitivity analysis were conducted and only two projects could proceed to be considered for tendering.

Table 4 Proposed Pipeline Projects

PROJECT NAME	OBJECTIVE AND RATIONALE	LOCATION
1 Vacuum Sanitation Trucks Service Contract for Mpika, Chinsali, and Nakonde	This project will provide proactive septage pumping and haulage services for pit latrines, public latrine toilets, and septic tanks by utilizing three trucks in a private sector sanitation service contract. This project will be under an exclusive contract for a specified period (10 years, for example).	Mpika, Chinsali and Nakonde Districts in Muchinga Province, Zambia.
2 Build, Operate and Transfer Contract for Shared Public toilets for Chinsali.	This project will provide communal public latrines through a private sector BOT contract. The project will improve access and quality of sanitation facilities in target provinces and address open defecation and contamination of water bodies (groundwater and surface water) from indiscriminately dumped human waste.	Chinsali
3 Vacuum Sanitation Trucks Service Contract for Kalomo and Kazungula Districts in Southern Province	This project will provide proactive septage pumping and haulage services for pit latrines, public latrine toilets, and septic tanks through two vacuum trucks in a private sector sanitation service contract. The project will improve sanitation services and standards in the target provinces, as well as address prevailing issues of overflow caused by floods during the rainy season.	Kalomo and Kazungula Districts in Southern Province, Zambia
4 Build, Operate and Transfer Contract for Public toilets for Nalolo	This project will provide communal latrines through a private sector build, operate and transfer (BOT) contract. The project will improve access and quality of sanitation facilities in target provinces, as well as address open defecation and contamination of water bodies (groundwater and surface water) from indiscriminately dumped human waste.	Nalolo District in Western Province, Zambia.
5 Build, Operate and Transfer Contract for Public toilets for Kalabo.	This project will provide communal latrines through a private sector build, operate and transfer (BOT) contract. The project will improve access and quality of sanitation facilities in target provinces, as well as address open defecation and contamination of water bodies (groundwater and surface water) from indiscriminately dumped human waste.	Kalabo District in Western Province, Zambia.
6 Build, Operate and Transfer Contract for Public toilets for Mongu	This project will provide communal latrines through a private sector build, operate and transfer (BOT) contract. The project will improve access and quality of sanitation facilities in target provinces, as well as address open defecation and contamination of water bodies (groundwater and surface water) from indiscriminately dumped human waste.	Mongu District in Western Province, Zambia.

Feasibility assessment of the six-project revealed that only the vacuum truck service contracts for ChWSC and SWSC were feasible, and two projects could proceed to be considered for tendering. Four of the pipeline projects could not proceed to the next stage mainly because they were not financially viable. The tendering of the two vacuum truck service contracts is expected to commence in the first quarter of 2024.

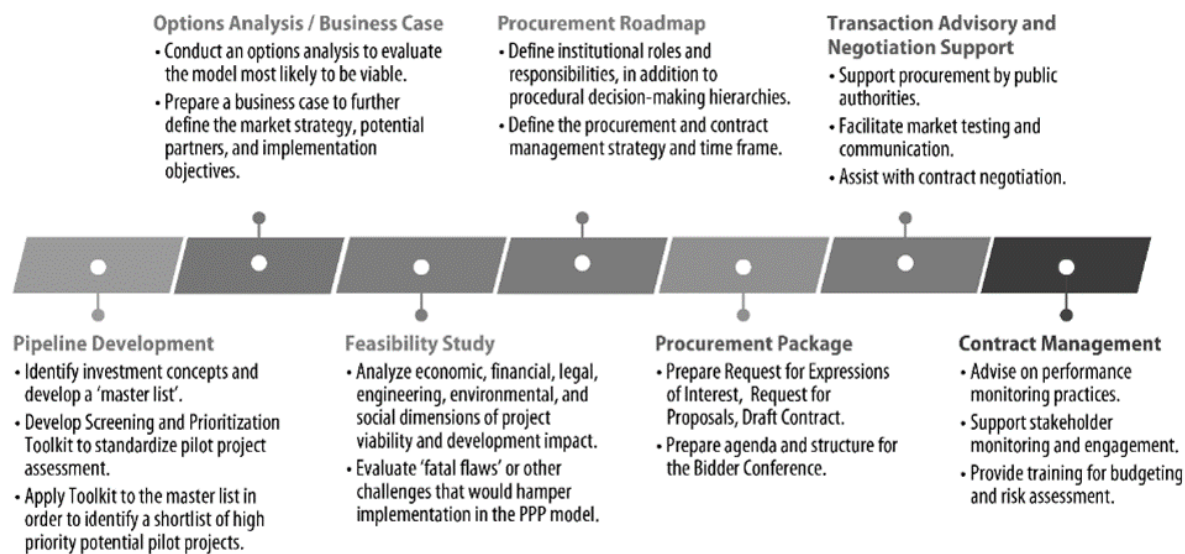


Figure 5 Pipeline to Securing Capital Investment

During the period under review, the project also supported ChWSC to explore potential for a delegated management partnership for water supply services in Lunte District. Tendering for this potential project will be undertaken in the second quarter of 2024.

TASK 3.1.2: Facilitate WASH Sector Dialogue Through a PSE Forum

In line with the PSE objective, the project held the inaugural WASH PSE Forum in February 2023 which focused specifically on the pipeline of projects identified using the Pipeline Development Toolkit Framework and enabling matchmaking for specific pilot transactions. The forum had 39 private sector players participating. The WASH Entrepreneurship and Partnership Summit, a private sector-facing follow-on event was held in July. The Summit focused on the building of capacity for private sector entities in several key areas to prepare for partnering with the CUs. There were 60 participants on the first day and 51 on the second. Several issues that affect PSP such as lack of cost reflective WSS tariffs raised during the summit will form part of the projects targeted advocacy with key WASH sector players in 2024. During the Summit, the project launched the WASH Private Sector Network. The Network serves as a platform for sharing information on upcoming opportunities for partnerships, dissemination of information related to market sounding and project events, and links to upcoming training registrations or virtual sessions. The Network will also enable networking between the private sector, encouraging teaming between provincial members and others, as well as the engagement of female-led businesses and provincial small and medium-sized enterprises (SMEs). Through the Network, members will have an opportunity to deliberate on issues that stifle their participation in WASH, engage institutions responsible for policy review and development such as PPDF and relevant government ministries. The PSE network is a listserv that will be anchored within WASAZA.

TASK 3.1.3: Strengthen GRZ and Private Sector Capacity to Implement PPPs

The project planned to strengthen GRZ and Private Sector Capacity in three ways:

- i. Targeting GRZ (specifically MWDS and Ministry of Local Government and Rural Development and LAs): Project identification, screening, and prioritization; project appraisal and structuring; and project procurement, contract management, and oversight. A

procurement capacity assessment was conducted for the CUs and LAs in May 2023 after which a training in procurement was planned for both. However, the project learnt that the Zambia Public Procurement Authority was conducting a country wide procurement training for all Local Authorities and therefore the project dropped the training for LAs from the plans and conducted procurement training for CUs.

- ii. Targeting CUs: Project identification and pipeline development. Specific capacity assessments that were undertaken under Objective 1 in year 1 continued in year 2. In addition to the capacity assessments under objective 1, the CUs also had procurement training following the capacity assessment in May. The training mainly focused on procurement of the private sector partnerships. The training was followed by the development of tender documents for the CUs with support from the project.
- iii. Private sector: PPP risks, benefits, procedural requirements, and standards. These were indicative areas for capacity building of the private sector. However, specific ones were identified through a needs assessment that was conducted prior to the summit where the capacity building on procurement was conducted.

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 2023, 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. While all the three CUs recognized their expanded mandate, they were not able to commence extension of service delivery to rural areas because they did not have the capacity and resources to do so. The strategic plans of the CUs demonstrated this position in that they did not contain any interventions or targets relating to the provision of water and sanitation services in rural areas and they also had not revised their operational structure to cater for service delivery in rural areas. To execute the expanded mandate, CUs needed to come up with workable management models for rural WASH service delivery. CUs will also require capacity development through construction of new WASH infrastructure, develop guidelines for rural WSS service delivery, recruitment of additional manpower and training technical staff.

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. Engagements with NWASCO, indicated that the outstanding guidelines are standard operating procedures. The project therefore developed terms of reference for short-term technical assistance to support this process. The consultant will be engaged in January 2024 for a period of three months.

The team also worked to develop the PSE and PSP Recommendations for NWASCO and CU Rural Water Supply and Sanitation Guidelines and Policies. Following confirmation from the CUs that the CUs and counterpart entities did not have specific standalone PSP guidelines in place, the Team conducted a desk review of existing strategies, policies, and guidance documents of relevance. Specifically, the Team reviewed 23 documents linked to the PSP aspects, which covered the following on the CU and government levels: Procurement Processes, Commercial Planning (revenue projections and past financial performance), Tariff Setting and Fee Schedules, Strategic Planning,

Technical and Operational Standards, Technical and Service Delivery Planning as well as Tools and Guidance Documents. From the review, several recommendations were made as follows:

- i. Streamline licensing and approval process for private sector actors participating in WASH PSP partnerships.
- ii. Develop PSP requirements for monthly and annual monitoring and operating reports for NWASCO and CUs.
- iii. Improve CUs' preparation of 5-year investment plans (including the identification of funding Sources) on an annual basis.
- iv. Establish national service standards for rural sanitation and Fecal Sludge Management to guide private partner operating requirements.
- v. Prepare Mapping of Ultimate CU Service Area and Current Coverage of Water and Sanitation Services.
- vi. Develop National/Local building codes addressed specifically to rural water and sanitation services.
- vii. Refine the required registration and approval of on-site sanitation facilities (Households) by CU.
- viii. Prepare standardized performance-based PSP and PPP contracts tailored specifically for Rural Water and Sanitation Services.
- ix. Develop performance-based financial incentives for PSP contracts in the WASH Sector.
- x. Prepare WASH design standards and standard designs for rural WASH facilities; and
- xi. Clarify tariff setting and changing principles for WASH-related PPP transactions.

The recommendations on tariffs and PSP will form part of the advocacy with MWDS and NWASCO in 2024.

SUB-OBJECTIVE 3.3: LEGISLATIVE IMPROVEMENTS TO COMMODIFY WASH SERVICES

TASK 3.3.1: Advance Necessary Legislative Improvement for Commodification of WASH Services

In 2023, the team made submission for legislative amendment to the Water Supply and Sanitation Service Bill in a letter to Ministry of Water Development and Sanitation (MWDS) on 31st July 2023. The following recommendations were submitted to the Ministry of Water Development and Sanitation:

1. Revise and strengthen policy and legislation by giving NWASCO authority and independence to approve the adjustment of water and sanitation tariffs. This would enhance the autonomy of the regulator and enable the sector at large charge market competitive tariffs. This is key if CUs are to progressively achieve full cost coverage and stop depending on government grants.
2. Enhance stakeholder participation in the process of developing and or revising water and sanitation tariff setting guidelines. This will ensure various interests are considered, secure a buy-in, build solidarity and ownership of the process by the wider stakeholders which is key to smooth implementation of new tariffs.
3. Provide clear distinction between policy and legal measures for urban water supply and sanitation and rural water supply and sanitation because the contexts in the two areas are different and therefore require different interventions.

The project further participated in a week-long workshop to review the Water Supply and Sanitation Service bill in readiness for its possible deliberation at the National Assembly in 2024. The Bill was not presented to Parliament in 2023 as there were outstanding issues to be addressed based on feedback from the Ministry of Justice. The meetings to review the Bill continued throughout the last quarter of 2023. The Bill is expected to be finalized in 2024.

The project team also made submissions to the Ministry of Finance and National Planning for consideration and possible incorporation into the 2023 PPP Bill. The Bill was successfully presented in Parliament and later enacted into law with one of our submissions incorporated into the new PPP Act No. 18 of 2023. With the incorporated submission into the new law, CUs can now act as contracting authorities and be able to initiate, engage and enter partnership with private sector institutions, without having to go through the Ministry of Water Development and Sanitation or the Ministry of Local Government or a Local Authority. This was previously not allowed before the PPP Act revision.

In addition, the project commenced discussions with the PPP department under the Ministry of Finance and National Planning with regards to the development of WASH PPP guidelines. The project and a core team from the PPP department developed a roadmap for the development and finalization of the guidelines in 2024.

During the period under review, the project provided support to MWDS around the development of a National PSE strategy whose objectives are:

- To promote PSP in the WASH sector by providing a platform through which the public and private sectors can interact on the various issues relating to WASH service delivery in Zambia; and
- To outline processes and approaches for identifying appropriate entry points and structuring partnerships for the private sector.
- The project presented a roadmap for development of the strategy to MWDS in August 2023 and was approved in September 2023. MWDS then constituted a technical working group to spearhead development of the strategy at the end of November. They requested the project to support the hosting of an inception meeting for the strategy development in December, but the meeting was postponed to January 2024.

Table 5: Objective 3 Progress Summary

Objective Activities	Timing	Expected Results	Year End Update
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	12 months, January–December 2023	Pipeline of WASH infrastructure and service delivery projects	Achieved. 9 priority projects were identified, and business cases developed.
		Engagement of at least 9 private sector partners	Activity was completed. The project engaged more than 9 private sector players through the PSE Forum in February and WASH Entrepreneurship and Partnership Summit in July.
		mobilize \$150,000 from co-financing sources	Not Completed. Project reached out to more than 15 potential co-financing sources including Local Authorities for the CDF envelope. An agreement was reached with Sesheke Council agreeing to mobilize K2million to co-finance the Katima Mulilo Water Project. A draft MOU on co-financing was developed and by the end of the year the MOU was being discussed in readiness for signing and implementation. Follow ups with the rest of the Local Authorities and other institutions on co-financing will continue in 2024.
TASK 3.1.2: Facilitate WASH sector dialogue through a PSE forum	12 months, January – December 2023	Hold an initial centralized PSE Forum which serve as a space for clear and direct dialogue, deliberation, and information exchanges between the public sector stakeholders involved and relevant private sector actors, including operators, contractors, suppliers, investors, and other enterprises.	Task Completed. Hosted the Inaugural WASH PSE Forum on 7 th and 8 th February 2023 and the WASH Entrepreneurship and Partnership Summit on 11 th and 12 th July 2023. The two meetings provided a platform through which Private Sector Institutions had dialogue with CUs and MWDS and this triggered the interest of the private sector to dialogue more with the CUs and has resulted in the creation of the PSE network.
TASK 3.1.3: Strengthen GRZ and private sector capacity to implement PPPs	12months, Jan–December 2023	Conduct capacity needs assessment to inform the design of a series of tailor-made trainings/workshops to orient GRZ, CUs, Private Sector and CBEs LAs on PSP.	Task Completed. Capacity needs assessments relating to procurement were conducted with local authorities and the CUs in May 2023. The procurement training was done for the CUs in October while the Zambia Public Procurement Authority conducted procurement trainings for the Local Authorities
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	12months, January – December 2023	Identification and review of the CU strategic plans and policies on rural WASH to establish the extent to which the revised mandate is reflected.	Activity was Completed. Reviewed the CUs strategies and produced a status report on findings.

Objective Activities	Timing	Expected Results	Year End Update
		Review of the Rural Water Supply and Sanitation Framework for Provision and Regulation in Zambia	Activity was completed. Reviewed the framework and identified guidelines yet to be developed by the CUs.
		Support the CUs with the development of guidelines for the expanded mandate for rural water supply and sanitation as prescribed by NWASCO.	Activity not completed. Produced a status report on guidelines and commenced procurement process for a consultant to develop guidelines reframed as Standard Operating Procedures by NWASCO. The consultant will commence work in January 2024,
Sub-Objective 3.3: Legislative Improvements to Commodify Wash Services			
TASK 3.3.1: Advance necessary legislative improvement for commodification of WASH services	12 months, January 2023–December 2023	Evaluate existing legislation and develop private sector market barriers priority list for review with policymakers and PSE through a forum.	Provided input to the draft WSS Bill in August 2023. The Bill is expected to be finalized and presented to Parliament in 2024.
		To facilitate dialogue and legislative/policy review that leads to improved business enabling environment and market entry for private sector.	Provided input to the 2023 PPP Bill in October 2023. The Bill is currently under review in Parliament.
		Produce legal opinions; offer direction on next steps and segmentation; categorize laws. Finalize road map and kickstart development of PPP guidelines	Activity not completed. Commenced the process of developing WASH PPP Guidelines to be finalized in 2024 in tandem with the PPP Bill. Activity not completed due to delays by MoF PPP Department in responding to proposed roadmap.

Specific Activities undertaken in Quarter ending December 31, 2023

In the last quarter of the year (October-December 2023), the team held procurement capacity trainings with all CUs based on the assessments conducted in May. Initially the trainings were to be done with both CUs and LAs. However, at the time of the training, the LAs were already being trained under a ZPPA country wide procurement training for all local authorities which would be concluding in April 2024.

The team also commenced rigorous engagement with potential co-financing sources in October 2023. The co-financier meetings aim to engage two types of partners:

1. **Financing Partners:** Financing partners are those entities which can provide financial support towards the initiatives supported by Expanding WASH or positioned to provide in-kind contributions with a financial value. Specifically, the discussions with these types of partners are tied to the pilot projects of the following CUs:
 - o Chambeshi Water and Sanitation Company (CHWSC)
 - o Southern Water and Sanitation Company (SWSC)
 - o Western Water and Sanitation Company (WWSC)
2. **Strategic Partners:** Strategic partners are those entities which would be able to provide support of a non-financial kind that would contribute towards the attainment of the overarching Expanding WASH objectives. Specifically, the non-financial support that could be provided includes:
 - o Advocacy support
 - o Capacity building support
 - o Technical inputs (for example, identification of pre-assessed entry points for private sector participation)

Out of a total of 24 entities who were contacted, 11 responded. The team has since met with the 11 who responded. There was no financial commitment made by any of them, but they were keen on strategic collaboration.

In the period under review, the team developed tender documents to support the SWSC Vacuum Truck service contracts. In addition, the team was part of the mission to ChWSC in November 2023 to review the proposed service management contract between ChWSC and Access Water. The discussion commenced at the Entrepreneurship and Partnership Summit in July. However, it was decided that ChWSC would not single source Access Water but rather through competitive bidding. The team will support ChWSC to develop the tender documents in 2024.

The team also commenced discussions with the Ministry of Finance PPP Department to develop WASH PPP guidelines. A focal team was constituted, and a series of meetings were held throughout the quarter. The process will conclude in 2024 as the guidelines are designed to align with the new PPP Bill.

4.0. CROSS-CUTTING ACTIVITIES

MONITORING, EVALUATION AND LEARNING

Overall performance results

During the period under review, the project made important achievements under Objectives One, Two, and Three through technical assistance, capacity building, and grant-funded activities. Several achievements stand out, including grantee engagement, WASH engagement meetings, and advancements in public-private partnerships.

USAID Expanding WASH made important contributions in the progress against Custom indicator Number 1 (Number of community-based WASH engagements targeting vulnerable groups (women and youth)). The project facilitated a total 53 WASH engagement meetings across 10 of the 12 districts. These meetings focused on water and sanitation related issues affecting project participants and developed action plans to address them. The action plans, once implemented, will support efforts to increase access to WASH services.

USAID Expanding WASH also achieved important milestones under its policy and regulatory strengthening efforts. During the reporting period, the project supported the review of the Public Private Partnership bill and successfully facilitated inclusion of CUs under the definition of “contracting Authority” in the Act. This now means that CUs can issue PPP contracts without necessarily going through the MWDS as was the case before. The PPP Bill was enacted into law in December 2023 and will help enable public-private partnerships in the WASH sector. The project engaged with the office of the Member of Parliament (MP) for Sesheke Constituency with the aim of leveraging \$80,419 for the Katimamulilo Piped water scheme project using public funds. The MP's office committed to set aside funds for the project through a letter to the USAID Expanding WASH project in June 2023. These funds are in the project's pipeline for new funding mobilized and will be made available for project use once the Memorandum of Understanding between Research Triangle Institute, Sesheke District Council and Western Water and Sanitation Company is executed.

During the reporting period, the project also engaged 39 private sector enterprises on the administrative and legal barriers to their full participation in the delivery of water and sanitation services. It is expected that the resolutions of these engagement meetings will help improve how these institutions work with government institutions to expand service delivery.

In 2023, the project also supported 3 grantees (Rise Aid Community Program, Center for Future Generation and Young Women Christian Association) to strengthen their capacity and to effectively implement their social accountability and advocacy activities under the project. As a result of this support, the grantees have been able to more effectively organize and implement community engagement activities and coordination with district-level stakeholders, as well as organizational financial management. USAID Expanding WASH will continue implementing the grant-funded activities with these grantees to build their institutional capacity performance as based on their unique capacity building plan.

Piloting of data collection tools

USAID Expanding WASH is working with existing community structures in all 12 districts to create the demand for sanitation. These structures include Sanitation Action Groups, Community Champions, and Environmental Health Technicians. The project developed a data-collection application based on this demand creation structure.

The objective of the pilot was to see whether the application will sufficiently support data collection and reporting and identify aspects of the application that would require improving before the application is used at full scale. USAID Expanding WASH piloted the application in health facility catchment areas in Mungwi, Lunte, Nalolo, and Sesheke districts. The project learned that the application is user friendly and can be used even in areas where there is weak internet connectivity; however, weaknesses were identified in specific areas that do not have existing community structures to support demand creation and reporting.

The project also learned that collecting and reporting data at the health facility catchment area level is not very useful, because aggregated data entered into the system only shows the total number of households gaining access, and a third party looking at the data would not know the necessary details. In contrast the primary data collected through the Sanitation Action Group shows the household size and therefore the number of actual people with or without access to sanitation or basic water. This information is kept in the source document at village level.

Borehole functionality assessment

In FY23 Q2, USAID Expanding WASH conducted a water facility functionality assessment to establish the baseline value for the expected key result of improving the functionality rate of boreholes. The project is expected to improve the functionality of boreholes by 30%.

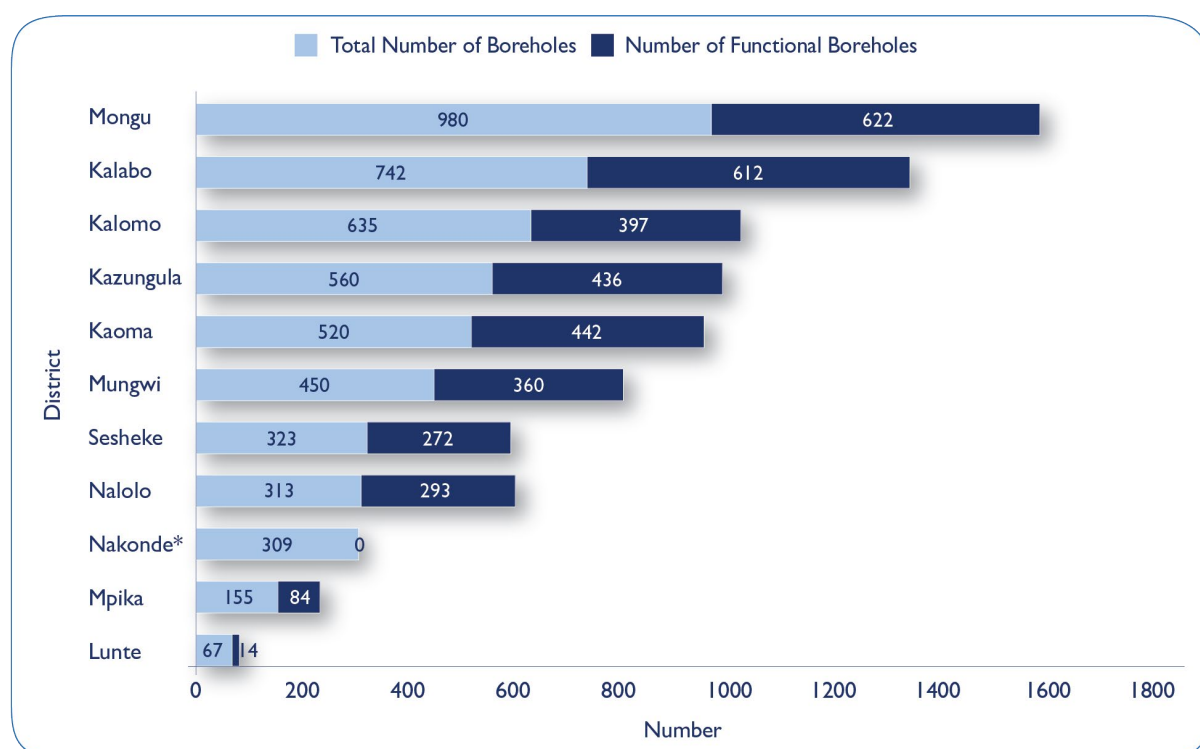


Figure 6 Functional boreholes over total number of boreholes

The project collected data from all the 12 project target district councils but only analyzed data from 10 districts because the data from the other two districts was not reliable. The results from the survey show that 69% of all the boreholes in the 10 districts are functional. The project is using this information to inform its interventions on rehabilitation of boreholes in the project areas. Figures 6 and 7 show the findings.

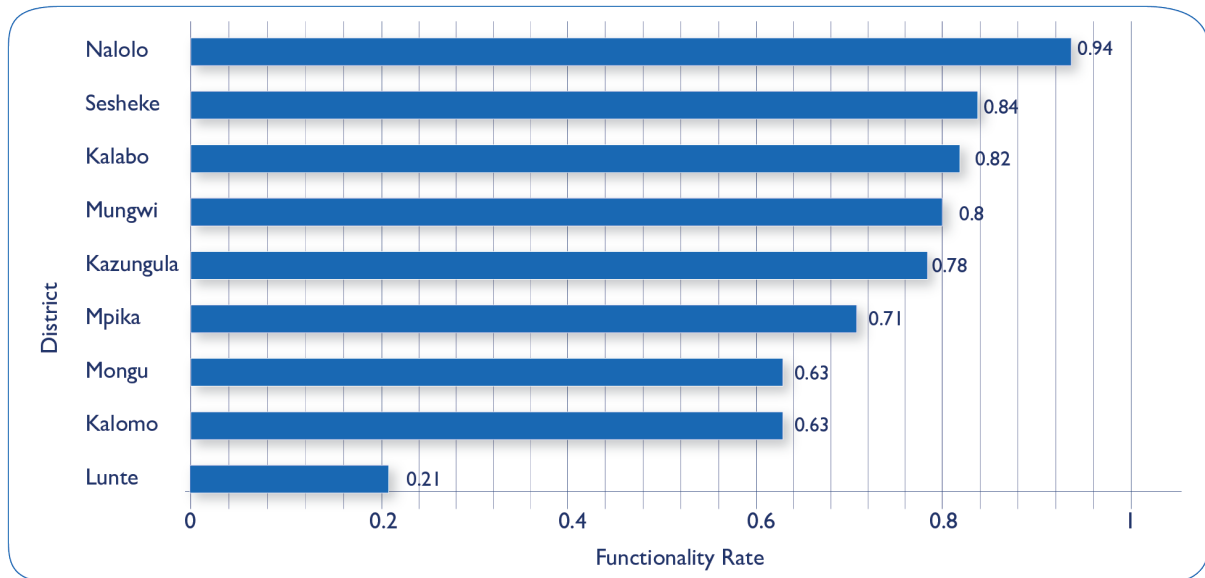


Figure 7 Borehole functionality rate by district

Activity Monitoring, Evaluation and Learning Plan (AMELP)

During the period under review, the project revised its AMELP to include changes that USAID made to the definition of indicator HL.8.2-4, and the inclusion of climate change adaptation related indicators EG 11-4 and EG 11-5. Indicator HL.8.2-4 is renamed to HL.8.2-8 which focuses on the number of institutions gaining access to basic sanitation unlike HL.8.2-4 which focused on the number of sanitation facilities provided in institutional settings. The project also included the changes on indicator HL.8.3-3 streamlining the measurement of improved performance using a simple performance metrics. These changes will be submitted to USAID for approval.

WASH data systems and CommCare 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.



Photo 1: Participants at the IT/CommCare training in Nalolo district. Photo Credit: [REDACTED]

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. Currently the system of household data flow is haphazard and inconsistent. The Community Champions collect the data using sanitation action group forms and then submit the forms to the environmental health technicians who submit the data to district health offices and District WASH coordinators office. 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.

Collaborating, Learning, and Adapting

USAID Expanding WASH brings stakeholders into the learning and adaptation cycle early and often by actively engaging and collaborating with them in gathering information, learning from data, and sharing findings. As the primary means to address learning systematically, the project's AMELP includes a learning agenda that identifies key learning questions. Through these learning activities, the project brings forward information from M&E data, learning and research questions, and lessons

learned to continually test assumptions, analyze the development hypothesis, and monitor changes in the local context to inform an adaptive management approach.

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. 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.

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. Through this collaboration, the project learnt that engaging members of parliament in project activities can help to further efforts to lobby the use of Constituency development fund to finance WASH projects.



Photo: 2 The Minister of Water Development and Sanitation Honorable Mike Mposha at the USAID Expanding WASH exhibition stand. Phot Credit: USAID Expanding WASH

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 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 Local Engineering Support Firm and will ensure that the A & E firm/s and construction contractors meet the environmental, social, health, and safety standards indicated in the approved CIP and EMMP. The project also initiated procurement of consultancy services of an environmental expert to help develop guidelines for integrating environmental mitigation measures from the EMMP into construction activities. The environmental expert reviewed the project's Environmental Mitigation and Monitoring Plan, the Construction Implementation Plan and the Water Quality Assurance Plan to glean out the environmental compliance requirements. Based on this review the consultant developed an environmental Mitigation and Monitoring training guide that will be used to train project staff. The guide provides practical instructions on how to implement monitoring and mitigation measures and how to integrate them in construction activities.

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 and droughts, to ensure that designs for flood and drought-prone areas can withstand the adverse effects of climate change.

Gender and Youth

A key priority of the USAID Expanding WASH Project is to create and maximize opportunities to enhance social inclusion and gender equality through public policy and direct field activities. Activities and tasks to support expected outcomes will apply a gender and socially inclusive lens. The project also will incorporate specific processes and indicators.

During this reporting period, the project through the grantees conducted district and community level activities. During the inception meetings held at district level, a total of 163 participants attended but only 37 percent (60) of these were female and 4 percent were persons with disabilities. This situation provided an opportunity for the project through the grantees to campaign for increased social inclusion in WASH activities.

However, the provincial picture for community mobilization and social inclusiveness indicates 45% (267) participation of women with 7.5% (45) of persons with disabilities. From the figure below, it can be noted that Muchinga had a good representation of women at 49.6% at community level followed by Southern province at 33%. Unfortunately, in Western province the women were underrepresented at only 25.5%. The project will provide technical support to the grantees to enhance social inclusion at community level with the Governance coordinators providing on the spot mentorship.

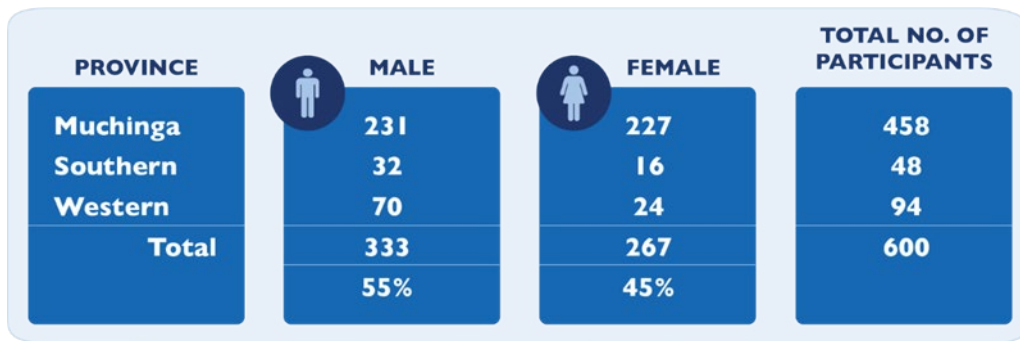


Figure 8 Number of people participating in advocacy activities disaggregated by sex.

During the review period 16 CSOs were trained by the grantees of these 4 were youth groups (3 in Western & 1 in Muchinga). There were 4 women’s groups trained (2 in each province) and only 1 group for persons with disabilities from Western province. The remaining 7 groups were empowerment and livelihood organizations not focusing on a particular gender or vulnerable grouping. The project trained 17 CSO comprising 6 youth groups, 4 women's groups and 7 associations of persons with disabilities.

In total 33 CSOs were trained comprising 10 youth groups, 8 women’s groups, 8 groups for persons with disabilities and 7 integrated groups focused on livelihood and empowerment.

Under Objective 1, the project conducted training in WASH data system management and oriented district staff on the CommCare program that it is using. A total of 67 government officers were trained comprising only 14 (20%) females and 53 males. This gap offers an opportunity for capacity building for CSOs to adequately mobilize female participation.

LOCALIZATION

To localize development processes, the project identified civil society organizations (CSOs) implementing activities in the USAID Expanding Water and Sanitation project areas and assessed their capacity to advocate for improved and high-quality water and sanitation services using the participatory local capacity organizational assessment tool. The project assessed 43 CSOs in 7 capacity domains and used this information to design capacity building training for CSOs. The project trained 33 CSOs in water and sanitation related advocacy and provided them with social accountability tools such as community scorecards. The project set these institutions on the path to supporting their constituents with knowledge and skills to hold service providers, civic leaders, and policy makers accountable.

During this reporting period, the project also made efforts to identify local entrepreneurs in the project implementation areas that have a role to play in the sanitation value chain. The project identified existing and trained masons, business entities that supply building materials and local artisans that make the basket linings for the latrine containment. Through this activity the project collected information on the different sanitation products and the available market, and it intends to use this information to devise the best sanitation supply chain model for rural areas. The project worked with local masons and community members in selected communities in Nalolo district to pilot the Baruto toilets. The project transferred knowledge and skills to the local artisans to build toilets better suited to the soil formation in Western province so that community members can provide solutions to their own sanitation challenges.

CHALLENGES AND RECOMMENDATIONS

During the period under review, the project implemented several activities as planned and did not experience significant challenges. Some of the challenges faced are outlined below.

CHALLENGES

Activity-wide

During the year under review, USAID Expanding WASH continued to evaluate several long-term challenges as project implementation progressed. Non approval of water tariff adjustments for water utilities remains a major concern for the sector. Despite the increased cost of operations arising from increased cost of key production inputs such as electricity and fuel over the past four years, NWASCO did not approve any tariff adjustment proposal for the commercial water utilities. This non approval of tariffs has resulted in utilities failing to meet the operation and maintenance cost coverage benchmark of 100 percent. As per NWASCOs Water Supply and Sanitation Sector Reports, the average O&M cost coverage reduced from 105 percent in 2017 to 81.6 percent in 2022. This will not only affect the CUs' capacity to provide service but also impact adversely on any prospects for private sector involvement in WASH service delivery.

Some activity specific challenges are highlighted below by objective.

Objective 1:

- Due to the need to harmonize the construction implementation with the contract modification on construction, there was a hiring delay for the Construction Fund Manager.
- Failed completion of SaniFOAM study by consultant delayed implementation of sanitation behavior change strategy. The consultancy was terminated, and a sanitation behavior change strategy developed using alternative resources.

Objective 2:

- Delayed on-boarding and staff turnover in Western Province resulted in delayed training of CSOs and WDC capacity assessments. The project supported backstopping for prioritized activities in the province such initiating CSO training which was conducted by the Governance Coordinator from Southern province.
- Delays in supporting the CSOs trained by the project affected utilization of public platforms by the CSOs. After training in July, the CSOs had to be mentored in the development of action plans and these were only finalized in Sept – Oct 2023.
- So far only 1 platform is being used (community radio) other platforms shall be used later after gathering more community information through score cards and interface meetings. Financial support to the CSOs has been planned for the period January – March 2024.

Objective 3:

- Delays in getting feedback from the CUs on the proposed service contracts for Kalomo and Kazungula as well as the proposed transaction with Access Water.

RECOMMENDATIONS

Despite the challenges highlighted above, the project team managed to record successes in key areas of the project as highlighted above. The project team will continue to evaluate and work towards addressing the challenges to ensure successful implementation of project activities. Key amongst the activities targeted for 2024 is advocacy for cost reflective tariffs for the sector as this is key for sustainable operations of the CUs and private sector involvement in service delivery.

CORRECTIVE ACTIONS

Table 6 Corrective Actions

#	Issue	Agreed Action Item	Current Status (December 2023)	Outstanding Action Items
1	Revision of AMELP to include changes to the definition of indicator HL.8.2-4, and the inclusion of climate change adaptation related indicators EG 11-4 and EG 11-5.	Revise AMELP to reflect changed definitions.	Revisions Made	Project to submit changes to USAID for approval.
2	GRZ policy on provision of WASH services in public institutions	Review impact on project activities	Yet to be concluded	Yet to conclude

CUMULATIVE EXPENDITURES SUMMARY

Table 7: Contract Details

Total Estimated Cost-Plus Fixed Fee	[REDACTED]
Start/End Date:	January 27, 2022 - January 26, 2027
Total Obligated Amount:	[REDACTED]
Total expenditure billed to USAID/Zambia (Through December 2023):	[REDACTED]
Expenditures incurred but not yet billed:	[REDACTED]
Total estimated expenditure for Year 2 (Both billed and not yet billed):	[REDACTED]

Estimated Cumulative Expenditures (Actuals and Accruals)	
CLIN	Estimated Cumulative Expenditures
	Through 12/31/2023
CLIN 0001 - Direct Cost	[REDACTED]
CLIN 0002 - Construction	[REDACTED]
CLIN 0003 - GUCs	[REDACTED]
CLIN 0004 - Indirect Costs	[REDACTED]
Total Estimated Cost	[REDACTED]
CLIN 0005 - Fixed Fee	[REDACTED]
Total	[REDACTED]

ANNEXES

Annex I: 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, RTII deploys a risk register to continually track potential risks and challenges during project implementation. Using adaptive management principles that promote collaboration, transparency, and accountability, RTII identifies potential mitigation measures for every risk or challenge that is identified. A summary of the risks and challenges as identified during the period under review are included in Figure 9 below.






	RISK / CHALLENGE	MITIGATION MEASURES
	Financial Risk: The Zambian Kwacha has varied significantly against the U.S. dollar since the project budget was created over one year ago. The variance and rising prices of monthly costs, such as the project office, could cause activity level budget overruns if not carefully monitored.	<ul style="list-style-type: none"> • Review the budget forecast monthly against actual expenditure. • Look for cost savings where possible, evaluating measure such as buying in bulk and getting potential discounts. • Make sure the project is not covering any tax or VAT charges, as the project has VAT exemption status from GRZ.
	Technical Risk: None completion of SaniFOAM study by consultant delayed implementation of sanitation behavior change strategy.	<ul style="list-style-type: none"> • Finalization of SBC Strategy using available data • Pretesting strategy before full implementation to ensure appropriate tools are applied to given sanitation situation
	Schedule Risk: Inadequate front-end planning and preparation for construction works due to pending approval of the project Construction Implementation Plan (CIP) may delay actual execution of construction work.	<ul style="list-style-type: none"> • Accelerate engagement of A&E Firm/s and construction sub-contractors.
	Technical Risk: Lack of cost reflective tariffs for the sector adversely affecting utility operations and prospects for private sector involvement in WASH.	<ul style="list-style-type: none"> • Enhance advocacy with key institutions namely: MWDS, NWASCO, MoF on the need for cost reflective tariffs in the sector.
	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.	<ul style="list-style-type: none"> • Leverage influence of other key partners, such as MWDS, to engage the unresponsive stakeholders. • Use Local Chambers of Commerce and Industry in the Provinces to identify potential private sector

Figure 9 Implementing status, challenges and risks

Annex 2: Indicator Table

The baseline values for the indicators in the table below are zero. The project was advised to use zeros as baseline as per USAID Zambia mission practice but there are baseline values for each indicator established through the USAID Expanding WASH Project baseline Assessment. The values show the current access to the services before the commencement of the USAID activity. The target values and actuals for all the indicators in year 1 are black because the activity is new, and the project implemented start up activities.

Table 8: Performance Indicator Table

Performance Indicators	Baseline	Year 1 Oct. 2021–Sept. 2022			Year 2 Oct. 2022–Sept. 2023			Year 3 Oct. 2023–Sept. 2024			Year 4 Oct. 2024–Sept. 2025			Year 5 Oct. 2025–Sept. 2026			Year 6 Oct. 2026–Jan. 2027	Life of Project JAN. 2022–JAN. 2027	Life of Project Target JAN. 2022–Jan. 2027	Cumulative Achievement
		Annual Target	Actual	Achievement (%)	Annual Target	Actual	Achievement (%)	Annual Target	Actual	Achievement (%)	Annual Target	Actual	Achievement (%)	Annual Target	Actual	Achievement (%)	Actual	Actual		
Goal-Level Indicators																				
HL.8.1-1	Number of people gaining access to basic drinking water services as a result of U.S. Government (USG) assistance		0		13,924		0%	69,621		0%	83,545		0%	111,393		0%		0	278,483	0%
		685,496.00	0		21,528		0%	64,582		0%	172,220		0%	172,220		0%		0	430,550	0%
HL.8.1-2	Number of people gaining access to safely managed drinking water services as a result of USG assistance		0		12,853		0%	12,853		0%	8,569		0%	8,569		0%		0	42,844	0%
		85,687.00	0		26,910		0%	26,910		0%	17,940		0%	17,940		0%		0	89,700	0%
HL.8.1-4	Number of schools and health facilities gaining access to basic drinking water services as a result of USG assistance	0	0		26		0%	34		0%	13		0%	13		0%		0	86	0%
HL.8.1-3	Number of people receiving improved service quality from existing basic drinking or safely managed water service as a result of USG assistance		0		31,695		0%	158,475		0%	190,170		0%	253,560		0%		0	633,900	0%
HL.8.2-1	Number of communities verified as open defecation free (ODF) as a result of USG assistance		0		168		0%	336		0%	252		0%	84		0%		0	840	0%
HL.8.2-2	Number of people gaining access to a basic sanitation service as a result of USG assistance	192,796	0		53,554		0%	107,109		0%	160,663		0%	214,218		0%		0	535,544	0%
HL.8.2-8	Number of health facilities and schools gaining access to basic sanitation and hygiene services as a result of USG assistance		0		26		0%	26		0%	26		0%	34		0%		0	86	0%
Objective 2: Increased accountability of WASH service providers, policy makers, and civic leaders.																				
Custom-1	Number of community-based WASH engagements targeting vulnerable groups (women and youth)				106	53	50%	159		0%	53		0%	53		0%		53	264	20%
Custom-2	Percentage of water utility consumers who pay according to consumption		0																80%	
Objective 3: Increased private sector participation.																				
HL.8.3-3	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		0		30	3	10%	45		0%	45		0%	30		0%		3	150	2%
Custom-3	Number of WASH-related reforms introduced, adopted, repealed, changed, or implemented		0		4	1	25%	4		0%	2		0%	2		0%		1	12	8%
HL.8.4-1	Value of new funding mobilized to the water and sanitation sectors as a result of USG assistance	\$	-		\$ 200,000.00	\$ 80,419	40%	\$ 800,000.00		0%	\$500,000		0%	\$500,000		0%		\$ 80,419	\$2,000,000	4%
CLD-9	Percent of USG-assisted organizations with improved performance		0%		85%		0%	85%		0%	85%		0%	68%		0%		0	85%	0%
PSE-2	Number of private sector enterprises that engaged with the USG to support U.S. Foreign Assistance		0		2	39	1950%	4		0%	2		0%	2		0%		39	10	390%
PSE-3	Number of private sector enterprises with improved participation in the local economy as a result of USG assistance		0		2		0%	4		0%	2		0%	2		0%		0	10	0%

¹ For Indicator HL8.4-1, the [REDACTED] is in the pipeline as it has been availed to the CU by GRZ but pending signing of the MOU for it to be considered as new funding mobilized by the project.

Annex 3: Impact Story No. 1

Empowered Voices: Community-led WASH Advocacy in Longe Ward Takes Shape

Following a three-day capacity-building workshop for community members organized by the Project in partnership with Young Women Christian Association (YWCA), in Longe Ward in Kaoma District, a 20-member WASH Advocacy Committee was formed.

Its objective is to spearhead advocacy for the provision of clean drinking water by sensitizing traditional leaders and other authorities to develop and adopt a WASH Advocacy Action Plan for Longe Ward.

This Committee was formed from members from the Ward Development Committee (WDC), Village Water Sanitation and Hygiene (V-WASH) Committee, Parent Teacher Committees (PTCs), Community Welfare Assistance Committees (CWACs), Neighborhood Health Committees (NHCs), and traditional leaders and students in Longe Ward in Kaoma District.

Given that one of the USAID Expanding Water and Sanitation Project's primary tasks is to empower citizens and build the capacity of civil society for advocacy and social accountability for high-quality and reliable WASH service provision.

To achieve this, it's important that citizens understand what rights they hold and are equipped with the proper information and tools to enable them to effectively engage with service providers in demanding equitable WASH services.

Understanding this, this past November, the project worked through Young Women Christian Association (YWCA) to organize a three-day capacity-building workshop for the advocacy committee?

For the people of Longe Ward, the training could not have come at a better time. Faced

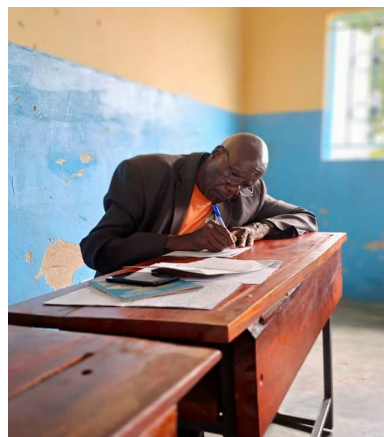


Photo: [REDACTED] During the Community Monitoring Visit. Photo Credit: USAID Expanding WASH

with an urgent need to increase access to safe drinking water, an advocacy group of twenty members was formed following the training, with representatives from each community. This group included an executive team of four members: Chairman, Vice Chairman, Secretary, and Vice Secretary. Mr. Rupert Mupatu is the Group Secretary for the WASH Advocacy Committee in Longe Ward. He describes how the knowledge and tools from the training workshop enabled him and the members of the Advocacy Committee to sensitize traditional leaders and eventually develop a WASH Advocacy Action Plan for Longe Ward.

“On November 24, 2023, five days after the training workshop, the other executives and I sat down and developed an action plan, which was later adopted by members of the Advocacy Committee,” he said.

"The first thing we decided to do was to inform the village headmen, as they were the stakeholders of all the villages. If the advocacy group went to the villages without their consent or knowledge, then we were likely to encounter conflicts. Fortunately, in the 20-member committee, we had one member who was a representative of the local chief and was also the secretary of the village headmen committee. We presented the subject of social accountability emphasizing the fact that boreholes and other materials should be made known to the people and should be accounted

for by the community and the Village Headmen as stakeholders," said Mr. Mupatu.

"We then went on to look at the citizens' rights and their entitlements. Next, we looked at the health aspect, which is water and sanitation; that people should have boreholes and the boreholes should be secure and protected. We also looked at sanitation, that people should have toilets and the toilets should be constructed in such a manner that they are away from homes, and they should have handwashing points," he added.

Ensuring the village headmen are informed and engaged is critical for securing the buy-in of traditional leadership in WASH governance, influencing the adoption of positive sanitation practices such as the construction of latrines, and strengthening the community's voice in the demand for improved service quality.

The WASH Advocacy Committee is using tools such as the Water and Sanitation Scorecard to map out water and sanitation problem areas in the zones. The scorecard provides a scoring system for standard performance indicators covering the quality of water, availability and cost, reliability of water supply, access, participation and functioning of V-WASH committees, and citizen satisfaction surrounding water and sanitation services.

This information is then used to create the advocacy action plan, a document that identifies the WASH problem areas in each zone, what steps will be taken to address the problems, who will be responsible for the solution, when the implementation will take place, and who will be responsible for monitoring the deliverables. These action plans are important as they enable the communities to analyze their own problems and build a plan to demand improved WASH services from service providers, civic leaders and policy makers.

"We cannot engage anyone before we are aware of the situation on the ground. At the moment, we have a three-week schedule to physically check the three zones for water points and meet with the committees responsible for the water points to ascertain how far they have progressed; whether there is enough water, where boreholes have broken down or dried up completely, and where there is nothing at all. We will also be looking at their finances to support the repair of those water points and any other associated issues," Mr. Mupatu said.

The WASH Advocacy Committee plans to use the new action plans to lobby for funding to support drilling more boreholes in the three zones, which will increase access to clean and safe drinking water for households in Longe ward.

"We have an area here in Longe Central with a population of over 2,000 people being serviced by only one borehole. After citing such problems, including the number of boreholes that are working, not working, and where there is none, our next step is to engage the Local Council through the Ward Development Committee and the Area Councilor. At the same time, we will encourage the community to apply for water points through the Constituency Development Fund. Our intention is to complete this assessment by January 4th, 2024. Since the Constituency Development Fund is concentrated on the construction of health facilities and schools, I believe that in 2024, the expansion of water services will be prioritized," said Mr. Maputa.

The project envisions to continue building the capacity of community members and civil society organizations to reinforce advocacy voices around improved and sustainable water and sanitation services in all the 12 project areas.

USAID EXPANDING WASH PROJECT FACILITATES PARTNERSHIP BETWEEN COMMERCIAL UTILITIES AND PRIVATE SECTOR

Following the WASH Private Sector Engagement (PSE) forum, a promising partnership between Chambeshi Water and Sanitation Company (ChWSC) and Access Water Zambia ensued.

USAID Expanding Water and Sanitation (USAID Expanding WASH) hosted a WASH PSE forum in February 2023. The WASH forum is a platform to foster partnerships between commercial utility companies and private sector enterprises. The forum serves as an opportunity for commercial utilities to alert the private sector of potential investment opportunities. The idea is that these partnerships will both support the commercial utilities to expand their service coverage in line with national level mandates and increase private sector investment to expand sustainable WASH service provision.

Access Water Zambia was one of the private sector organizations invited to attend the PSE forum. They have already experienced success with privatized solar-powered water systems in Zambia that focus on productive use in rural communities and were looking to hear ideas on how to expand their model. When Access Water Zambia heard about challenges of Lunte district from ChWSC, an idea for partnership was born. Access Water Zambia and ChWSC jointly visited Lunte district to see, in-person, the challenges that the

residents face in accessing water and sanitation services and to identify areas of collaboration. At the end of the visit, the two institutions agreed to work together under some form of delegated service agreement. This partnership is subject to meeting the utility company's procurement requirements.



A canal in Lunte district which currently provides unsafe water to the residents. Photo Credit: USAID Expanding WASH

When finalized, the partnerships will result in ChWSC delegating out the operation and maintenance of small, piped water schemes in Northern Province, that are currently non-functional, to Access Water Zambia. The goal will be to revive the water schemes using Access Water Zambia's model, showcasing that users will pay for water operations and maintenance when services are successfully delivered.

Through this partnership, Access Water Zambia would take over the operation and maintenance of 123 water kiosks in total, ensuring that end users have access to

sustainable basic drinking water services and ChWSC will extend their services to Lunte district, increasing their revenue and bringing services to an underserved community.

As Mrs. Carmen Brubacher, the Director for Access Water Zambia, said, “my organization brings to the partnership years of experience, knowledge and skills in operating and maintaining water infrastructure necessary to guarantee continuous access to the services and that the partnership will afford them an opportunity to contribute to improving the living conditions of residents of Lunte and other surrounding areas.”

ChWSC Director for Technical Services Engineer Charles Kapembwa said, “this partnership with Access Water Zambia could save the utility company resources they would have invested in Lunte district to construct new water infrastructure allowing them to invest it in other areas thereby further extending the coverage of their services to more underserved rural areas.”

The project intends to support the Ministry of Water Development and Sanitation to institutionalize and replicate this model of

partnerships in the WASH sector to ensure sustainable and quality.

Given the limited capacity of commercial utilities and local authorities, the Government of Zambia recognizes that private sector participation in the delivery of WASH services is critical in enabling the commercial utilities and local authorities to expand and sustain water and sanitation service delivery.

Despite understanding this, private sector participation in the provision of water and sanitation services in Zambia remains low, due in part to administrative and legal frameworks that are not conducive to involving private entities.

USAID Expanding WASH will continue to promote private sector participation in WASH service provision through facilitating matchmaking and partnerships between local authorities, commercial utilities, and private sector entities using the PSE Forum. This budding collaboration serves as an initial proof point of the success of the PSE Forum as a platform that allows public and private sector institutions to address barriers to private sector participation and hold discussions for policy and legal reforms.

Annex 5: Impact Story No 3.

CSOs / Citizens Empowered to Hold WASH Service Providers Accountable

Sixteen Civil Society Organizations had their capacity to hold WASH service providers accountable enhanced in a training of trainer's workshop organized by USAID Expanding WASH Project in July/August 2023.

As Zambia continues to make progress towards increasing access to water and sanitation services throughout the country, it is important to also continue the process of improving citizens' capacity to hold WASH service providers, policymakers, and civic leaders accountable for quality delivery of these services.

Understanding this, USAID's Expanding Water, Sanitation, and Hygiene project works with local stakeholders to empower citizens and build civil society's capacity to advocate for themselves and promote social accountability in WASH services.

During July and August of 2023, the project held trainings for local Civil Society Organizations (CSOs) using a training-of-trainers' methodology—in this, local CSOs are first trained as trainers on the tools, then go on to train others at the community level.

16 CSOs participated in this four-day event, during which topics included advocacy, social accountability, and social inclusion. The CSOs in attendance included five youth groups, four women's groups, and seven associations of persons with disabilities. 71 CSO members attended, and many came away with valuable lessons, in addition to their newfound capacity to train others in their communities.



Photo: 3 Civil Society Advocacy training participants in Kalabo. Credit USAID Expanding WASH project.

Understanding that citizen groups are crucial in holding public officials, policymakers, and service providers accountable for conduct and performance when delivering WASH services, the training emphasized the importance of social accountability, a topic which many CSOs were previously unfamiliar with.

This was the case with Juliet Musasa, of Teachers Against Child Abuse. She reflected on the training, saying that she learned, “How to help communities access safe water, build community leadership around social problems, deal with water issues, engage stakeholders around particular social problems, and help communities find solutions to their problems.”

Thanks to this training, Musasa is aware that community members should hold service providers accountable, and she plans to share this knowledge with the communities she works in, using the tools provided during the training.

One such tool is the Citizen's Report Card, which involves a participatory community survey intended to register users' perceptions surrounding the quality, adequacy, and efficiency of public services available to them, including WASH services.

The report cards help to hold public service providers accountable through civil society advocacy and the sharing of results via media

channels. Mirriam Katemaunga, with the Chinsali Disabilities organization, appreciated the social accountability tools as a way to, in her words, “Engage service providers without being confrontational.”

This sentiment was echoed by several training attendees, including Kevin Welesan from the Youth Advocate Organization, who remarked, “The training gave us tools and skills to build the capacity of the community members to begin to demand for quality services from those mandated to provide the services.”

During the training, each CSO developed short term work plans, focused on empowering citizens with skills and spaces to advocate for improved WASH services and demand social accountability from service providers. These workplans will run from October 2023 through March 2024, and include activities like district level meetings with stakeholders and service providers, community sensitization meetings, training of member associations, and radio programs.

The Cashew Growers Association of Zambia developed their work plan on training community members to track government budget and allocation to WASH projects, and

how to use social accountability tools (such as the community scorecard) to hold councilors, councils, and commercial utilities accountable. Another CSO, Chinsali Disabilities, plans to use the information they learned in the training to inform community members about the importance of sanitation and hygiene as well as educating about how best to engage leaders and policy makers on community-level social problems. Finally, the Youth Advocate Organization plans to use their newfound tools and skills to build the capacity of traditional leadership and community members to advocate for more allocation of community development funds towards WASH needs.

Achieving access to WASH services is just the beginning in the long road of creating and sustaining equitable services for all Zambian citizens. This training on advocacy, social accountability, and social inclusion marks another important step in the journey towards empowering individuals to better understand their rights---equipping citizens with the tools and knowledge they need to advocate for improved WASH services and hold leaders and service providers accountable will be crucial if this work is to be not only effective but also enduring.

