

Annex I: GiFT (Governance-into-Functionality Tool)

Introduction: We are (Names) a team of consultants contracted by CARE to review the functionality and sustainability conditions as well as develop monitoring systems for GWI 1 water schemes in Otuke district. To do that, we are conducting assessment by interviewing community, districts leaders and NGOs implementing water projects in the district. The overall objective of the assessment is to identify governance and other factors affecting scheme functionality, and to develop a community-based, local government supported monitoring strategy / protocol to strengthen the governance of water schemes.

Effective governance of water and sanitation schemes is central to their long-term functionality. This tool provides a snapshot of the governance and functionality status of water and sanitation schemes and is thereby a way to explore current scheme preparedness for future sustainability and to plan how best to strengthen governance in order to support longer-term functionality, including at times of acute water stress in low-rainfall years. The tool is an assessment by users and managers; it identifies areas that require their attention, as well as that needed from those charged with providing external support, including government, NGOs and the private sector.

The interview will last approximately 30-45 minutes. We will take as little time as possible. Are there any questions before we start?

Snapshot table:

Data type	Answers			Notes
1. Basic data				
Date of interview (dd/mm/yy)				
1.1 Identification of scheme				
1.2 Scheme name				
1.3 Scheme type				
1.4 Extraction type				
1.5 Date of scheme establishment				
1.6 Date of rehabilitation				
1.7 Partner				
1.8 Village				
1.9 Sub-county				
1.10 GPS coordinates of WP	X:	Y:	Z:	
1.11 No of people served by the water scheme				
1.12 Total community population (village)				
1.13 Respondent composition	i. Male _____	ii. Female _____		
2. Functionality snapshot				
2.1 Is the scheme working and providing water today?	i. Yes _____		ii. No _____	
	iii. If no, how long has it not been working? _____ (approx. # of days)			
2.2 What has scheme functionality been like since establishment?	i. Very poor (nearly always broken down)			
	ii. Poor (only functioning 50% of the time)			
	iii. Fair (functioning up to 80% of the time)			

		iv. Very good (nearly always working)		
2.3	If poor or very poor, why?	i. No demand for scheme ii. Lack of funds iii. Mechanical failure iv. Poor management v. Conflict vi. Other, please specify:		
2.4	If the scheme has sometimes stopped, how was the problem fixed?	i. Only resolved after other outside intervention, e.g. NGO ii. Only resolved after government intervention iii. Resolved internally, people paid iv. Other, please specify:		
2.5	Has there been wider water resource protection around the scheme?	i. Yes _____	ii. No _____	
2.6	If yes, what has been done?	i. Buffer Zone protection ii. Terracing iii. Tree planting iv. Other ridging and bunding v. Artificial recharge vi. Other, please specify: <i>e.g. Sand dam construction</i>		
2.7	How do you describe the taste water?	i. Salty ii. Tasteless iii. Others (specify)		
2.8	How do you describe the color of water?	i. Milky ii. Clear iii. Brown iv. Others (specify)		
2.9	Has there been routine water quality check?	i. Yes _____	ii. No _____	
2.10	If users consume water for production, what is it for?	i. Horticulture ii. Animals iii. Brick making iv. Food / drink preparation v. Other, please specify		
<u>3. Sanitation Sustainability</u>				
3.1	What proportion of the community has access to latrine?	_____ %		
3.2	What proportion of latrines has accompanying hand-washing facilities?	_____ %		
3.3	If there are new community members, what have they done to access latrine?	i. Built their own latrines ii. Used existing latrines iii. Don't use latrines		
<u>4. Scheme Financing</u>				
4.1	Does the community raise funds to maintain water and sanitation facilities?	i. Yes _____	ii. No _____	
4.2	How are funds raised?	i. Pay per use (jerry-can) ii. Flat rate per household		

		iii. Other, please specify:		
4.3	Do these funds adequately cover operation and maintenance?	i. Yes _____	ii. No _____	
4.4	Do these funds cover capital replacement costs?	i. Yes _____	ii. No _____	
4.5	Is there a VSLA scheme linked to the water supply scheme?	i. Yes _____	ii. No _____	
4.6	Has there been preventative maintenance carried out in the last year?	i. Yes _____	ii. No _____	
5. Management approach				
5.1	What is the situation regarding the WASHCO?	i. Does not exist ii. Exists but does not function iii. Exists and functions		
5.2	Does the WASHCO hold meetings?	i. Regular meetings ii. Sometimes holds meetings iii. Never holds meetings		
5.3	Has WASHCO been trained on water scheme management?	i. Yes _____	ii. No _____	
5.4	Is there a caretaker or pump minder?	i. Yes _____	ii. No _____	
5.5	If yes, what is the situation regarding care-taking?	i. Exists but does not function ii. Informal voluntary based system exists for care-taking of the scheme iii. Formal system exists, care-takers are paid for their service		
5.6	Is there a mechanic within the community who undertakes repairs?	i. Does not exist ii. Exists and has repaired, but not successfully iii. Exists and has repaired successfully		
5.7	What is the role of women within WASHCO decision making?	i. No role ii. Limited role iii. As important as men iv. Main decision makers		
5.8	What is the composition of the WASHCO	i. Male _____	ii. Female _____	
6. User group				
6.1	For people living within the water scheme's coverage area, who uses the scheme?	i. Very few households (less than 10%) ii. Less than 50% of households in the community iii. More than three quarters of households iv. All households		
6.2	What is the dynamic in number of households around water scheme?	i. Reducing ii. Relatively stable iii. Growing		
7. Accountability and Responsiveness				
7.1	Have WASHCO elections held been open and transparent?	i. No ii. Elections are held but they are neither open nor transparent iii. Yes, both		
7.2	After the first WASHCO elections, has there been re-elections?	i. Yes _____	ii. No _____	
		i. No		

7.3	Does the WASHCO have by-laws, i.e. clear rules and procedures that are known and updated as required?	ii. Some rules and procedures known but there is some uncertainty over them iii. Yes, known and updated as required		
7.4	Does WASHCO report back to users, e.g. about financial status of the scheme?	i. Yes _____	ii. No _____	
7.5	If yes, what is the mechanism of reporting back to users?	i. Meeting ii. Notice iii. Report iv. Other (specify)		
7.6	Are written functionality records kept up-to-date?	i. No ii. Some records are kept but they are incomplete iii. Yes, full records are kept		
7.7	Are there audits and/or other financial checks carried out every year?	i. No ii. Yes, but not every year iii. Yes, every year		
7.8	Have you had any assistance with major problems/breakdowns which were beyond the community's ability to resolve?	i. Yes _____	ii. No _____	
7.9	If yes by whom	i. Local government ii. Private sector iii. NGO iv. Other (specify)		

8. Follow-up actions (enter 1 where action is needed 1 or 2 where action is not needed)

Action	Time frame	Responsible	Level of importance to future sustainability
8.1 Minor repair Description: <input type="checkbox"/>	i. Six month	i. WASHCO	i. Not critical
	ii. One year	ii. NGO	ii. Critical
	iii. Others	iii. Government	iii. Very critical
8.2 Major repair or rehabilitation Description: <input type="checkbox"/>	i. Six month	i. WASHCO	i. Not critical
	ii. One year	ii. NGO	ii. Critical
	iii. Others	iii. Government	iii. Very critical
8.3 New scheme Description: <input type="checkbox"/>	i. Six month	i. WASHCO	i. Not critical
	ii. One year	ii. NGO	ii. Critical
	iii. Others	iii. Government	iii. Very critical
8.4 Election of WASHCO <input type="checkbox"/>	i. Six month	i. WASHCO	i. Not critical
	ii. One year	ii. NGO	ii. Critical
	iv. Others	iii. Government	iii. Very critical
8.5 Recruitment of care taker <input type="checkbox"/>	i. Six month	i. WASHCO	i. Not critical
	ii. One year	ii. NGO	ii. Critical
	iii. Others	iii. Government	iii. Very critical

8.6 Recruitment of pump mechanic	i. Six month		i. WASHCO		i. Not critical	
	ii. One year		ii. NGO		ii. Critical	
	iii. Others		iii. Government		iii. Very critical	
8.7 Payment of user fee	i. Six month		i. WASHCO		i. Not critical	
	ii. One year		ii. NGO		ii. Critical	
	iii. Others		iii. Government		iii. Very critical	
8.8 Accountability (bye-laws, financial audit, financial reporting)	i. Six month		i. WASHCO		i. Not critical	
	ii. One year		ii. NGO		ii. Critical	
	iii. Others		iii. Government		iii. Very critical	
8.9 Water scheme protection (construction/rehabilitation of fencing water point, construction/rehabilitation of apron &soak pit)	i. Six month		i. WASHCO		i. Not critical	
	ii. One year		ii. NGO		ii. Critical	
	iii. Others		iii. Government		iii. Very critical	
8.10 Spare parts	i. Six month		i. WASHCO		i. Not critical	
	ii. One year		ii. NGO		ii. Critical	
	iii. Others		iii. Government		iii. Very critical	
8.11 Tool kits	i. Six month		i. WASHCO		i. Not critical	
	ii. One year		ii. NGO		ii. Critical	
	iii. Others		iii. Government		iii. Very critical	
8.12 Training WASHCO (describe)	i. Six month		i. WASHCO		i. Not critical	
	ii. One year		ii. NGO		ii. Critical	
	iv. Others		iii. Government		iii. Very critical	
8.13 Training Pump mechanics (describe)	i. Six month		i. WASHCO		i. Not critical	
	ii. One year		ii. NGO		ii. Critical	
	iii. Others		iii. Government		iii. Very critical	