



Catholic Relief Services

Water Supply & Sanitation Strategy

developed in East Africa



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Acknowledgements

This strategy is a product of the efforts of the East Africa Team. The principal authors are Dennis Warner, the Senior Water & Sanitation Advisor in CRS/HQ and Carmela Green-Abate, the Senior Health & HIV/AIDS Advisor CRS/East Africa. The strategy also benefited from input of all participants attending a Global CRS Water & Sanitation Workshop held in Mbita, Kenya in September 2003.

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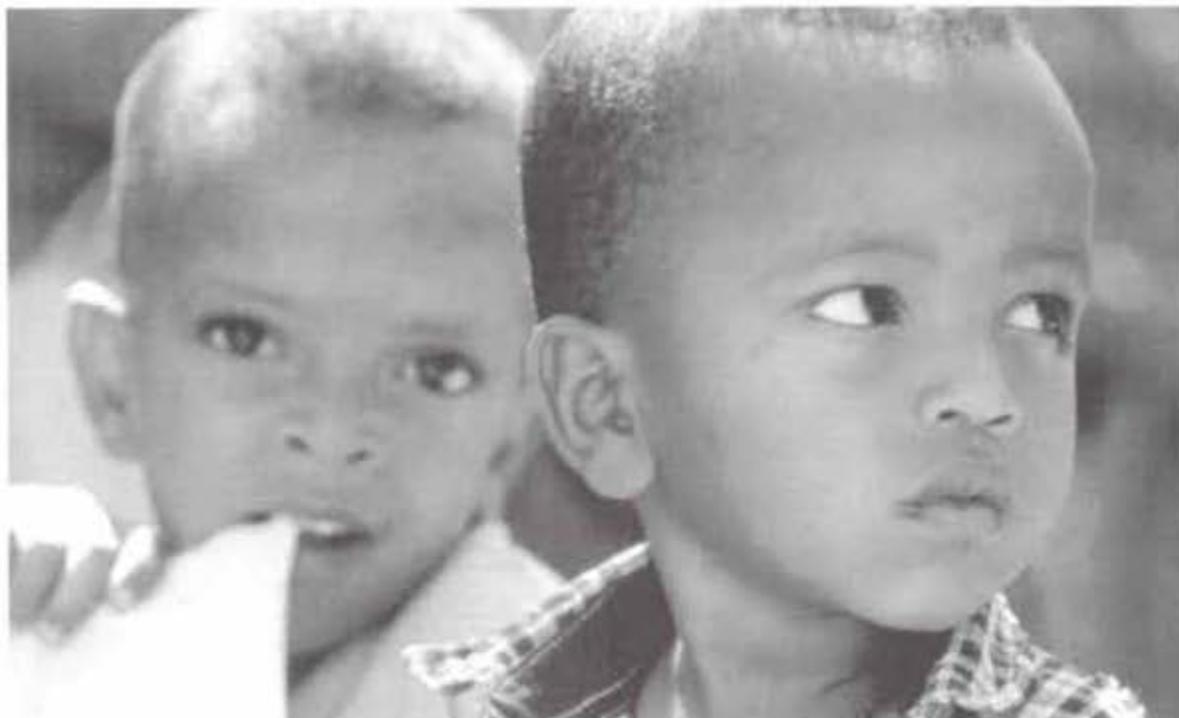
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Introduction

1. The Importance of Water Supply and Sanitation

It is well recognized that “*water means life*”, but it is equally true that “*sanitation means health*”. Without water, life is not possible. And without sanitation, human societies cannot remain healthy and life itself becomes endangered. These two simple propositions are the basis for the Catholic Relief Services (CRS) East Africa Regional Strategy for Water Supply and Sanitation.

Water and how it is managed, used and protected is essential not only for industrial societies in the wealthiest regions but also for small agricultural villages in the remotest corners of the developing world. In both areas, the physical, economic and environmental health of its peoples depend upon the availability of water and the sanitation practices followed by them.



The availability of safe drinking water and good sanitation can have a major influence upon both the control of diseases and the survival of children.

CRS is particularly concerned with poor and marginalized populations living in rural settlements and peri-urban slums. These areas have urgent and immediate needs for safe drinking water, appropriate forms of sanitation and excreta disposal, and access to water for agricultural and other domestic purposes. The common factor in all of these needs is health – its maintenance, its protection, and its improvement.

Available information paints a grim picture of the water and sanitation conditions in much of the developing world. Out of a global population exceeding six billion people, over two-thirds, perhaps four billion people, live in developing countries. In 2000, the latest year for which information is available, one-sixth (1.1 billion) of the world's population lacked access to improved water supply, while nearly two-thirds (2.4 billion)

were without access to improved sanitation (WHO and UNICEF 2000). The great majority of these people live in the poorer countries of Asia and Africa.

In Africa, Asia and even in the relatively prosperous region of Latin America, over one-half of the rural inhabitants lack improved sanitation, meaning sanitary forms of excreta disposal. The statistics for rural water supply are only slightly better: one-half of Africans, two-fifths of Latin Americans and one-quarter of Asians are not served with improved systems. CRS/East Africa covers Eritrea, Ethiopia, southern Sudan, Uganda, Kenya, Tanzania, Rwanda and Burundi. In CRS/East Africa, several countries have particularly acute needs for water and sanitation. Over 99% of rural dwellers in Eritrea, 94% in Ethiopia and 92% in Rwanda have no access to improved sanitation. Similarly, approximately 87% of rural people in Ethiopia, 69% in Kenya and 60% in Rwanda are forced to live without improved water supplies.

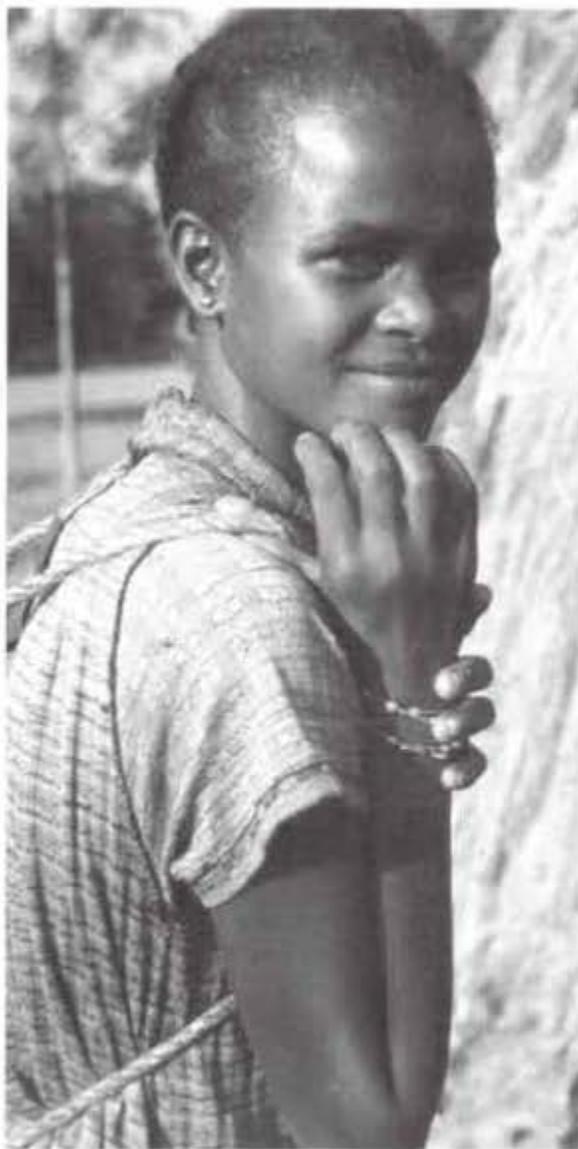
Water supply and sanitation services are strongly correlated with national health conditions. According to WHO (1997), poor environmental

sanitation, which includes the control of human excreta, other household wastes and the hygienic aspects of domestic water supply, is associated with nearly five billion cases of illness and over three million deaths annually. The great majority of these deaths and illnesses are attributed to diarrhea and dysentery, but significant tolls on health are taken by typhoid, dengue, helminths (worms) and cholera. All of these diseases are related to either unsanitary excreta disposal, poor personal hygiene and/or contaminated water supplies.

The influence of water and sanitation upon health is shown very dramatically in the case of child mortality rates. In sub-Saharan Africa more than one in five children will die before their fifth birthday. In several East African countries the child mortality rates are also high – 198 (per 1,000 live births) in Rwanda, 118 in Kenya and 166 in Ethiopia. By contrast, in the industrialized countries where water and sanitation services approach universal coverage, child mortality rates average less than 10 per 1,000 live births. Clearly, the availability of safe drinking water and good environmental sanitation can be a

major influence upon both the control of diseases and the survival of children.

While health may be the primary rationale in water and sanitation, it is by no means the only reason to invest in these services. Water is needed for a wide variety of domestic, agricultural, commercial and industrial uses. In rural communities, available water must be allocated to irrigation, livestock watering, food processing, beer brewing and other commercial activities supporting livelihoods. Water is indeed the element around which much of rural life in the developing countries revolves. At the same time, the indiscriminate disposal of human excreta and other wastes may seriously degrade the quality of ground and surface waters, affecting not only the immediate community, but also communities in other parts of the watershed. Thus, the misuse of water resources and the contamination of the environment with wastes can lead to disease transmission, economic hardship and intercommunal conflict rather than life and health, which in the end are the goals of water and sanitation.



2. The Need for a CRS East Africa Regional Water and Sanitation Strategy

Water supply and sanitation development have been a major aspect of modern international development assistance for over a half century. The experience of such systems, however, and especially of the smaller, low cost rural and peri-urban systems, has not generally been satisfactory. The developing world is marked with the skeletons of water and sanitation systems that failed because of lack of repair, improper use, vandalism or any of a hundred other reasons.

The need for good water and sanitation is widely recognized as an essential component of social and economic development. The provision of water supply and sanitation services addresses some of the most critical needs of people. Safe water and good sanitation are essential to the protection of community health by limiting the transmission of infectious diseases and by assisting in the maintenance of a sanitary home environment. At the same time, they contribute greatly to the enhancement of human dignity and economic opportunity by freeing people, mainly women and young children, from the drudgery of water carrying and providing more time for them to engage in other activities.

CRS' experience with water and sanitation development mirrors the successes and failures found throughout the sector. For nearly fifty years, or

almost as long as it has been in existence, CRS has supported the improvement of community water supply and sanitation systems. During this period, CRS has experienced many of the frustrations and problems faced by other development organizations, namely, field projects that seem straight-forward and well-designed, but results that often prove to be not fully satisfactory.

Program investment and the subsequent development of successful water and sanitation projects, however, are neither simple nor guaranteed to result in desired outcomes. While the technologies of most water and sanitation programs promoted by CRS are well known and easy to understand and apply, the critical acceptance and adoption of systems by the users is a complex process involving local needs, cultural perceptions and community involvement. A growing realization

Freeing women and young children from the drudgery of water carrying and providing more time for them to engage in other activities is just one of the many contributions safe water and sanitation can make to improve the lives of the rural populations of East Africa.

of the complexity of the development process has led the international community to undertake numerous studies, investigations and research inquiries into the nature of water and sanitation development and the factors that support desirable outcomes. Attention has focused on benefits, costs, technologies, education and training, local demand, community involvement, leadership and many other issues.

In recent years, the results of these inquiries have been widely circulated and have helped to shape a growing consensus among development experts as to methodologies and approaches that are most effective in providing good water and sanitation services in the developing world. It has become increasingly clear that addressing the water supply and sanitation needs of people, whether in urban centers or isolated rural communities, requires greater attention to the social, behavioral and participatory aspects than has been the case in the past. New insights into community health, behavioral psychology and demand-based development give promise to more effective and sustainable projects. Water and sanitation improvements can now be enhanced and strengthened through a variety of methodologies and techniques that draw upon these new insights.

CRS is an active participant in this search for better methods of planning and implementing sustainable water and sanitation programs. It now believes that the results of the worldwide research into more effective approaches for program and project development need to be incorporated into CRS planning methods for water and sanitation. Within CRS, the initiative for internal change has been taken by CRS/East Africa, Nairobi, Kenya.

In 2001, CRS/East Africa recognized that the existing framework for water and sanitation investments in the East Africa region needed to be strengthened with insights drawn from the emerging international consensus on project development. It decided, therefore, to develop a regional strategy for water supply and sanitation that would give guidance to CRS staff in the formulation of new programs and to ensure that the adoption and implementation of new methodologies fully reflects CRS principles.

The strategy presented in this document represents the culmination of a two-year effort to develop strategic guidance for CRS water and sanitation activities in East Africa. The strategy should be seen as a "bridge" linking the basic principles and concerns that motivate CRS as a

development and relief organization with the specific design and implementation of water and sanitation projects in the field. The principles and objectives of this strategy provide a framework for the application of project design concepts and criteria. In providing this framework, the strategy ensures that program planning and project design are consistent with CRS principles. In practical terms, the strategy is intended to assist CRS regional and country staff in planning effective and sustainable water and sanitation programs and projects that better meet the needs of the people of the region.

As all CRS programming is based on Catholic Social Teaching (CST) and justice principles and because water can potentially be a cause of division and conflict in some cultures and localities, CRS water and sanitation projects will always be reviewed using the "Do No Harm" analysis. Every water and sanitation project should address issues connected to water sharing and distribution. CRS should also continue to strive to expand access to safe water and sanitation for the people we serve. The "Do No Harm" framework has proven to be a useful and effective tool to ensure that projects promote peaceful relations among people and not contribute unintentionally to division and conflict (Anderson 1999).

3. Background to a Regional Water Supply and Sanitation Strategy for East Africa

The development of this water and sanitation strategy for East Africa is the result of a series of water-related studies, recently carried out in the region, in which CRS has either taken the lead or been a prominent participant. It was reinforced by the CRS agency-wide perception that its roles and responsibilities in the twenty-first century must include new strategies, expanded partnerships, effective technologies, greater resources and a more effective internal working environment.

Until recently, CRS did not have well-developed organizational-wide statements describing the specific role that water supply and sanitation played within the organization at either the global or regional levels. This did not mean that water and sanitation were insignificant or unimportant within the totality of CRS' work. In fact, within East Africa, CRS for many years has supported water supply and sanitation improvements in some of the most marginalized communities. These efforts constitute a growing component of CRS country programs.

Rather than follow specific policy guidelines for water and sanitation, CRS in the past directed this area with general statements relevant to the mission of the entire organization. Guidance was

also found in fundamental principles and basic goals that underlay all of the work of CRS. Since CRS had not previously developed any formal strategy on water and sanitation, either at the global or regional levels, the preparation of a strategy for East Africa had to be based upon both experience within the region and lessons learned from developmental studies outside East Africa.

There have been a number of key inputs that have shaped the development of this strategy:

- In 1998, CRS took the lead in conducting a United States Agency for International Development (USAID)-financed programmatic environmental assessment of small-scale irrigation activities in Ethiopia (Catterson et al. 1999). This study examined the environmental consequences of irrigation projects implemented by (Private Voluntary Organization (PVO) / Non-Governmental Organization (NGO) / CRS and its partners funded under the PL-480, Title II, Food for Peace Program.
- In 1999, another major input was a USAID-financed environmental study of potable water supply and sanitation projects in Ethiopia funded under Title II and implemented by NGOs (Warner et al. 2000). The deficiencies in project design and implementation that were identified in this study suggested a number of ways in which water and sanitation development could be improved.
- In August 2001, CRS/East Africa held a regional workshop in Dire Dawa, Ethiopia on water and sanitation planning. CRS staff from countries in East Africa and representatives of several partner organizations reviewed the two earlier Ethiopian studies and identified many of the main concepts that should be included in a regional strategy. These concepts were subsequently incorpo-

rated into CRS/Headquarters' proposals for global water and sanitation activities. The recommendations of the workshop were used to prepare a first draft of the CRS/East Africa Water and Sanitation Strategy.

- In March 2003, CRS/East Africa organized a USAID-financed workshop in Dire Dawa, Ethiopia to review the 1999 environmental study of potable water and sanitation projects and to formulate guidelines for future project development in Ethiopia (CRS/EARO 2003a). The resulting guidelines, which were approved by USAID in July 2003, were prepared with inputs from the NGOs, CRS and its partners funded by the Title II program in Ethiopia, as well as representatives of the Government of Ethiopia and USAID (CRS/Ethiopia 2003).
- In September 2003, CRS/East Africa convened a workshop in Mbita, Kenya to focus on the formulation of a regional water and sanitation strategy. Participating in this workshop were CRS country and regional staff from East Africa, plus representatives from CRS/Headquarters and other CRS regions in Africa, South East Asia and Latin America. The main outputs of the workshop were approval of the principal elements of the regional strategy and the adaptation of the July 2003 Ethiopian water and sanitation guidelines for use at the regional level (CRS/EARO 2003b).

The strategy contained in this current document, therefore, draws upon the outputs of the above studies and workshops as well as reviews of basic CRS principles, worldwide project experiences, regional CRS/East Africa programs and internal CRS reviews.

It is expected that this regional strategy will assist CRS and its partners to plan and implement programs and projects that better serve the water supply and sanitation needs found in many countries.



Overview of CRS Development Principles

(see Annex)

1. Strategic Foundations

The CRS Regional Water and Sanitation Strategy is built upon existing CRS concepts, which include basic principles, mission statements, goals and objectives, the current regional strategy statement, sectoral lessons learned and field experiences. The guiding principles for all CRS activities are drawn from the basic tenets of Catholic Social Teaching and CRS' mission statement. The strategy also recognizes CRS' vision statement which was adopted in 2002, which states that CRS' roles and responsibilities in the twenty-first century must include new strategies, expanded partnerships, effective technologies, greater resources and a more effective internal working environment. This will be achieved through pursuing the right to peace; transforming CRS responses to poverty and vulnerability; promoting participatory and responsive governance; expanding community; and, becoming an agile, innovative and responsive organization.

The core purpose of CRS is to strive for the realization of human dignity, engaging in relationships that alleviate human suffering; promote integral human development; change structures that undermine justice and peace locally, nationally and internationally; and, create the realization and expression of solidarity.

CRS has two main audiences, or constituencies, that it serves. The first group includes the poor and marginalized communities overseas. The U.S. Catholic community is now considered to be the second main audience because of the contribution it can make in alleviating injustice and in transforming the world through solidarity and right relationships with communities around the globe. CRS strives to build relationships that promote solidarity and human dignity. The special value of CRS is in these relationships and the benefits they bring to both the poor and marginalized overseas and the U.S. Catholic community domestically.

The CRS vision and its new strategic framework are highly dependent upon the partnerships, or relationships, that they establish to address people's immediate needs. Partnership is the CRS approach to interacting with other organizations. It involves "a mutual commitment to sharing risk and resources and working together for social transformation to achieve a shared vision of justice and solidarity for all persons"(CRS 2003).

The concept of partnership is based on three elements: a shared vision for addressing people's immediate needs, solidarity in working together for long-term change, and beneficial impact on the lives of the people served. Partnerships incorporate all three elements and are based on mutual trust and respect. They also include equality and reciprocity, with both partners learning from each other.

A common feature of CRS programs around the world is that most are implemented through local partners. CRS becomes operational only in exceptional cases of emergencies, new programs or when appropriate partners cannot be found. The traditional partners of CRS include organizations of the Catholic Church, other faith-based organizations, secular organizations and local governments. In addition, communities need to be treated as partners if sustainable change is to be achieved.

2. Definitions

Many terms are used in this document to describe the CRS Water Supply and Sanitation Strategy for East Africa. Terms such as policies, strategies, goals and objectives can have different meanings, depending upon the context in which they are used. To avoid misinterpretation, at least in the context of this strategy document, the following terms will be defined as shown.

Vision – An overarching perspective an organization has of its role in the world and within the international development community.

Guiding Principle – A fundamental tenet that guides or directs organizational actions. Such tenets may be moral, ethical, legal, social or technical in nature.

Operating Principle – A practical tenet, rooted in “Guiding Principles”, which is used to guide the design and implementation of programs and projects.

Policy – A statement describing an area of action to be undertaken by an organization. A policy provides a framework for organizational activities.

Strategy – One or more operational directives that define an approach to achieving an objective.

Program – A group of activities contributing to the achievement of an objective.

Project – A focused activity intended to achieve a specific outcome.

Purpose – The reason for undertaking a series of actions.

Goal – A desired state of being or achievement of an organization.

Objective – An achievable end point, contributing to the achievement of a goal.

Target – A specific accomplishment, usually defined numerically in terms of beneficiaries, expenditures or infrastructure.

Strategies are the links between broad conceptual statements of principles and goals on the one hand and specific plans of action as embodied in programs and projects on the other. They set out the methods and means for translating what is desired into what an organization actually does. In short, policies describe the *what*, strategies indicate the *how*, and programs and projects detail the *specific actions*.



CRS East Africa Regional Strategy Statement

Encouraging healthy practices in the use of water and sanitation is of key importance in CRS' strategy. Hygiene education and health promotion activities may include presentations, community training projects, and educational efforts targeted at teachers, health workers, community leaders and schoolchildren. ▶

In October 2002, CRS/East Africa and its country offices adopted an East Africa Regional Strategy Statement to guide both regional and country programs in the preparation of strategic program plans (SPPs) (CRS/EARO 2003c). The development of this regional statement was a direct response to the global CRS Strategic Framework for 2002-2006 (CRS 2002) and the need to better address regional problems of poverty, drought, civil and military conflict, displaced populations, economic stagnation and poor governance. The East Africa Strategy is a general guide to making strategic choices on overall program development in the region. It does not deal specifically with water supply and sanitation.

The East Africa region of CRS covers ten countries, eight of which have country offices (Burundi, Eritrea, Ethiopia, Kenya, Uganda, Rwanda, and

Sudan), one is managed from Nairobi (Tanzania) and two are outreach countries (Somalia and Djibouti). CRS/East Africa is using the new regional strategy in its eight country programs to develop strategic choices that are consistent with the global CRS Strategic Framework. Over the next two years, six of the country programs will prepare strategic planning proposals to guide their future development activities.

The CRS proposed strategy for the East African region contains a series of implementation objectives within five strategic priority areas, as follows:

1. The people CRS serves: poor and marginalized overseas & Catholics in the U.S.

Under the new global strategic framework, CRS in East Africa is expanding its traditional focus on relief and development aid in support of the poor and marginalized to now include its American Catholic constituency in programs of solidarity and partnership.

Objectives:

1. The people CRS serves in East Africa will have improved their livelihood security.
2. The people CRS serves take responsibility for a fully informed compassionate response to HIV/AIDS.
3. The people CRS serves are engaged in creating a culture of peace based on justice.



2. Partners

CRS/East Africa's primary strategy will be to enhance partnership with the local church as the partner of choice and reduce instances of direct project implementation as much as situations permit.

Objectives:

1. Partners and CRS in East Africa influence each other's strategies.
2. CRS partners advocate in the local and international arena on behalf of the people they serve.
3. Partners are effective in (1) strategic planning, (2) management, and (3) project design and implementation.

3. Capacities

While CRS will continue to build capacity to carry out its mission in the core programming areas of agriculture, micro-finance, health and emergency preparedness, it will particularly focus on improving its capacity in the new areas of peacebuilding, global solidarity and HIV/AIDS.

Objectives:

1. CRS/East Africa develops a "Sustainable Livelihoods" conceptual framework.
2. Integrated HIV/AIDS "operational guidelines" orient programs.
3. Staff are trained to use peacebuilding and justice analysis tools.
4. CRS and partner staff are skilled in fostering global solidarity relationships.

4. Organizational development

CRS/East Africa's strategy will be to identify staff skills and competencies essential to its strategic priorities, and then acquire and retain those skills.

Objectives:

1. CRS/East Africa applies learning for better management and programming.
2. Increase the number of national staff in positions of authority, especially the number of women.
3. CRS/East Africa has competent, skilled, motivated staff.
4. CRS staff are sensitized and well informed about HIV/AIDS and how it affects them and their families.

5. Funding and Support

CRS/East Africa will continue efforts to diversify its portfolio by transforming short-term emergency funding opportunities into longer-term rehabilitation and development efforts and by improving upon its already solid reputation for sound and transparent resource management.

Objectives:

1. CRS East Africa country programs have a diverse and leveraged funding portfolio.
2. CRS East Africa manages resources efficiently and transparently.
3. CRS East Africa markets its programs effectively.

CRS East Africa Water Supply and Sanitation Principles

1. Goals

Because water and sanitation serve so many essential purposes related to human welfare and quality of life, it has often been seen as the engine with the potential to transform a variety of sectors, including general economic development, community revitalization, public health, environmental protection, small-scale indus-

tries, and even political reform. Given the right circumstances, all of these outcomes are possible in water and sanitation development. Experience has shown, however, that projects that are planned and implemented within the framework of a clear set of interrelated goals and objectives have a greater potential for success than those that attempt to satisfy a diverse set of unrelated and often poorly-understood concepts.

CRS has always looked upon water and sanitation improvements as interventions intended to protect and improve the health of poor and marginalized communities. Moreover, major donors, such as USAID, are giving increased emphasis to the impact of water quality and quantity, excreta disposal, sanitary environments and human behaviors upon individual and community health. The single most important factor that can be found in all water and sanitation projects is the intention to improve, or at least protect, the health of the users of the projects. This point must

be made clearly evident in all CRS/East Africa programs.

Therefore, the primary goal of CRS/East Africa activities in water and sanitation is:

Improved health of families in East African communities through integrated and sustainable water and sanitation systems.

As indicated above, there are a range of secondary goals related to water and sanitation, such as sustainable livelihoods, environmental protection, behavioral changes and emergency response, but the dominant goal of water supply and sanitation development is the improvement of family and community health. This is the desired achievement that should motivate all CRS water and sanitation efforts in this sector.

The primary purpose of water and sanitation projects is to improve the health of associated communities. CRS is particularly concerned with poor and marginalized populations living in rural settlements and peri-urban slums. These areas have urgent and immediate needs for safe drinking water.



2. Operational Principles

CRS programs and projects for water supply and sanitation should be designed and implemented within a framework that incorporates its guiding principles, its mission and vision statements, its core purpose, and the overall goals and objectives relevant to water and sanitation. More than fifty years of experience, both within CRS and in other international organizations, has shown that some approaches in water and sanitation development are more effective in producing successful results than others. CRS has successfully used some of these approaches in the past but now must learn how to incorporate all of them into on-going program and project development. A small, but select, number of operating principles are considered to be crucial to achieving the CRS goal of improved health of families in East African communities through integrated and sustainable water and sanitation systems. The most important of these operating principles, and how they differ from conventional practices, are the following:

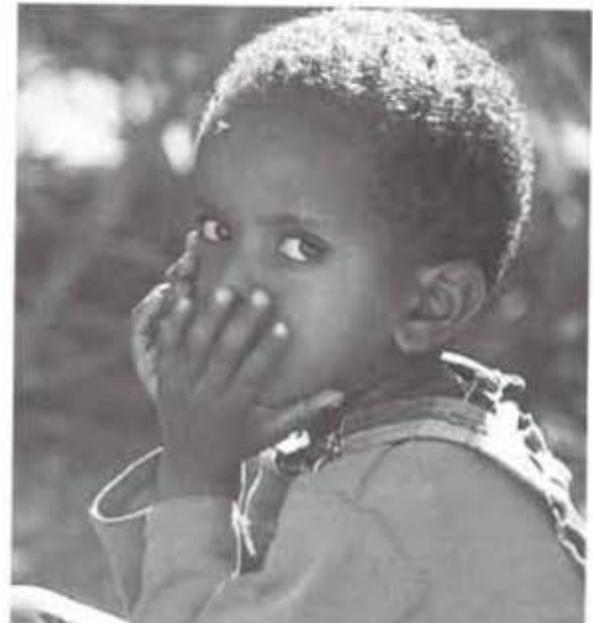
The primary purpose of water and sanitation projects is to improve the health of associated communities.

Health impacts are the most important outcomes of water and sanitation projects. By focusing on the health outcomes of projects, CRS can make the various elements of planning, design and implementation to be mutually supportive and to lead more directly to the desired goal of improved health of families and communities. This also requires the identification of appropriate indicators of health outcomes. Conventional approaches often become fixated upon construction of facilities or the estimated number of people being given "access" to new facilities. They commonly view project outcomes in terms of infrastructure changes, rather than improvements in family or community health.

Sanitation improvements must always accompany water supply improvements.

There is a growing body of evidence from the field that safe water supply by itself has only a minor effect upon community health if good sanitation conditions, especially proper excreta disposal facilities and practices, are not also addressed. Future CRS projects, therefore, must consider water supply, sanitation and hygiene education to be a package intervention that requires integration at all points of the development process. Conventional approaches rarely include any substantive improvement to sanitation facilities or sanitation-related behaviors. As a result, conventional water supply projects usually fail to achieve significant health benefits.

The influence of water and sanitation upon health is shown very dramatically in the case of child mortality rates. In sub-Saharan Africa more than one in five children will die before their fifth birthday. By contrast, in the industrialized countries where water and sanitation services approach universal coverage, child mortality rates average less than 10 per 1,000 live births.



Software considerations are more important to project success than hardware.

Software includes training, hygiene education, management and other issues related to people's practices and behaviors involving water and sanitation. Hardware includes the technical engineering and construction of facilities. Health outcomes and long-term project sustainability are more positively affected by good software approaches than by good engineering applications. Conventional approaches usually consider software as secondary issues, or even as an afterthought, in project development. They traditionally have concentrated on the relatively easy technical design and construction aspects of projects and have avoided the more difficult aspects involved in changing human understanding and behaviors.

Partnerships are essential for effective project development and sustainable change.

Project planning and implementation cannot be successfully performed in isolation from the project users or those organizations having concerns for the project, such as local implementing agencies, local government, community health facilities, and traditional leaders. Effective partnerships for CRS are based upon a shared vision and cooperative efforts with implementing agencies, other organizations whose support is essential for project success, and the community of users. Building these relationships usually requires considerable time and effort, especially in the early phases of a project. Conventional approaches often do not provide adequate recognition or sufficient time to work closely with partners. They tend to give priority to completion of project implementation rather than the establishment of a network of supportive organizations.

Project success is measured in terms of behavior changes in the use of water and sanitation facilities.

Human behaviors and the practices they support are the pillars upon which family and community health rest. Beneficial health outcomes will result if human behaviors can be changed to support improved personal hygiene, safe water handling, sanitary excreta disposal and other areas where people interact with their sanitary environment. CRS encourages positive behavior change that leads to improved practices for the management, operation and maintenance of water and sanitation facilities. Conventional approaches generally define project success in terms of the numbers and types of facilities constructed. Unless these facilities are used properly, which normally requires behavioral changes on the part of the users, they will result in few or no benefits to the community.

Project success can occur only through the empowerment of communities to take responsibility for and control of their water supply and sanitation needs.

Since projects are intended to address community needs, they can be effective only if the community members use the systems and outputs of the projects properly. To use and manage projects properly, communities must accept responsibility for meeting their water and sanitation needs, have sufficient authority to make the necessary decisions, and adequate control to influence the types of projects implemented. CRS supports the empowerment of communities as a means of assisting them to take ownership of both their problems and the necessary solutions. Conventional approaches, on the other hand, generally consider the primary involvement of communities in project development to be limited to the provision of local inputs, such as labor, materials and money. They rarely allow or assist communities to be in charge of the development process.

Emergency responses to natural and man-made disasters are based on considerations of both immediate needs and longer-term rehabilitation and development.

The occurrence of disasters and the corresponding emergency responses should be seen in the context of the overall development process in which each intervention builds upon previous efforts and leads in time to future activities. Similarly, emergency responses to meet immediate needs often can be designed to be the basis for subsequent interventions when the disaster is over and rehabilitation and reconstruction occur. CRS believes this can lead to both an efficient use of resources and a clear promise of future improvements for the affected populations. Conventional approaches normally address only the immediate needs and frequently provide emergency facilities that cannot be incorporated into the rehabilitation phase.

Emergency responses to meet immediate needs often can be designed to be the basis for subsequent interventions.



3. Strategic Objectives

In order to achieve the overall goal of the strategy, CRS believes that the following strategic objectives should guide the implementation of programs and projects. These objectives are presented in the general order in which they should be approached during implementation of projects.



Promote Community Participation and Empowerment.

In order to obtain the trust and support necessary for sustainable projects, it is essential to work from the beginning in partnership with the community in order to understand their needs and concerns. The participation of the community from initial planning through implementation and the eventual handing over of projects provides the foundation for this sustainability and empowers communities to take ownership of their water and sanitation systems. This process includes promoting gender equity, supporting the formation of water and sanitation committees, providing training in leadership as well as in water systems operation and maintenance, creating community financing schemes, and encouraging community monitoring and evaluation. In all areas, CRS will emphasize social and cultural acceptability and support the creation of an organizational structure that relies on community participation.

Promote Health-Related Behavioral Change.

To achieve the potential health benefits of water and sanitation services, CRS will promote changes in key health-related behaviors of people in participating communities. This will be accomplished by increasing their knowledge of the health impacts of water and sanitation, by changing their attitudes towards the role of water and sanitation in their daily lives, and by encouraging healthy practices in the use of water and sanitation facilities. Hygiene education and health promotion activities may include presentations, demonstrations, both formal and informal community training projects, and educational efforts targeted at teachers, health workers, community leaders and schoolchildren.



Promote Multiple Water Use and Environmental Protection.

The sustainability of water supply systems is dependent upon the overall sustainability of the water resources found in the area. In general, East Africa is a water-short region and competition for scarce water resources is continually increasing. CRS recognizes that all water needs, both upstream and downstream, must be considered when water projects are planned. To this end, CRS will promote multiple uses of water on a catchment basis in order to ensure that all valid needs are met. Such multiple uses incorporate not only domestic uses but also opportunities to incorporate agricultural and commercial applications that support the development of sustainable livelihoods. Multiple uses, thus, include both the wide variety of domestic water applications (drinking, cooking, washing, cleaning, personal hygiene, etc.) and the equally wide variety of agricultural and commercial applications (home gardens, livestock, poultry, beer brewing, small manufacturing, etc.). Sustainability of water resources also requires a healthy physical environment. CRS is committed to protecting the environment through integrated water use planning, natural resource management and sound project development.

Establish Appropriate Sanitation Facilities.

Sanitation facilities developed through CRS projects generally deal with problems of excreta disposal, personal hygiene, and environmental sanitation. To be sustainable, these facilities must be acceptable to the users and within their capacity to maintain them. CRS will insist that these facilities take into consideration the local cultural practices and employ an appropriate level of technology for the participating communities. Typical facilities may include latrines (pit, ventilated, or composting), hand washing points, bathing enclosures, clothes washing basins, wastewater drainage, drainage canals and community landfills.

Establish Sustainable Water Systems.

Depending on the geographic, environmental, socio-economic, and cultural realities of each project location, CRS will help each community decide on an appropriate water system. The systems currently in use by CRS range from the relatively simple—such as basic spring improvements, shallow wells, hand-dug wells, and boreholes fitted with outflow pipes, buckets, hand pumps, or electric pumps—to the more sophisticated, such as piped systems operated by gravity, electricity or solar energy. Other systems might include rooftop catchments, percolation pits, and aquifer-recharging ground catchments, such as ponds, earth dams and subterranean dams.



CRS Strategic Approaches for Water Supply and Sanitation

1. Indicators and Guidelines

As noted earlier, a strategy is the essential link between policies and activities. A strategy gives direction to the planning process through a set of operational directives that define an approach to achieving desired objectives. In the case of water supply and sanitation, the East Africa Water and Sanitation Strategy is a bridge between the CRS mission and vision statements and the planning of regional programs and projects.

The final step in the development of a CRS regional strategy for water and sanitation is the formulation of general guidelines that can be used in the planning of programs and projects at the country level. Fortunately, such guidelines already exist for East Africa. The publication in July 2003 of guidelines for the planning and implementation of USAID-funded rural water and sanitation projects in Ethiopia and the recent adaptation (September 2003) of those guidelines

to the East Africa region provide a useful framework for the practical application of the regional strategy. Moreover, the preparation of these guidelines, both those for Ethiopia and for the East Africa region, were influenced by preliminary drafts of the CRS regional strategy for water and sanitation and, therefore, are closely aligned with the new strategic principles and objectives of CRS/East Africa.

The regional guidelines specifically include policy directives required by USAID for Title II-funded projects, but are equally applicable to other funding agencies:

1. Sanitation must be linked to water supply.
2. Water quality monitoring must occur in all potable water systems.
3. The planning, design, implementation, operation and maintenance of potable water and sanitation projects must be in conformance with these guidelines.





The actual guidelines are divided into the three main phases of project development: (1) the planning phase, consisting of activities leading up to the approval of project funding; (2) the implementation phase, consisting of activities involving the creation of the project in the field; and (3) the sustainability phase, consisting of the activities carried out by the community and the local government to operate and maintain the water and sanitation system over the long term. Each phase contains a number of general indicators that are part of the project development process. Associated with each indicator are one or more guideline statements defining how the indicator is to be used in project development. The indicators and guideline statements constitute a framework within which projects are to be planned, implemented and sustained.

The following sections present a summary of the indicators and their corresponding guideline statements. A full description of the guideline statements is given in the report, *Guidelines for the Development of Small Scale Water Supply and Sanitation Projects in East Africa* (CRS/EARO 2004 forthcoming).

2. Planning Phase

The planning phase includes all activities leading up to project approval and funding. This phase covers many issues, including needs assessments, community mobilization, site reconnaissance, data collection, and project design. The critical need in the planning phase is to ensure that the community is a full partner in the decision-making process. The relevant indicators and their guideline statements for the planning phase are as follows:



Community participation

- CRS and its partners should begin working with the community as the first step in project development.
- CRS and its partners should build upon traditional community structures, where available.
- CRS and its partners should use participatory methods in working with the community.
- CRS and its partners should encourage communities to contribute part of the project cost in labor and local materials for the construction of the project.
- CRS and its partners should assist the community to establish effective links with local government technical bureaus and the private sector involved in the provision of maintenance and repair services and the supply of spare parts.

Needs assessments

- Projects should be based on needs identified by the community.

Water source identification

- All potential water sources should be identified.
- All projects should draw water from protected sources.
- Groundwater sources are generally preferable to surface water sources.
- Whenever surface water sources, especially rivers and streams, are considered for development, the communities immediately upstream and downstream should be consulted and involved in the decision-making process prior to implementation.
- Where possible, projects should use water sources that will remain reliable to meet the demand throughout the year and for the design life of the project.

Watershed considerations

- All projects should be considered as part of the overall watershed.
- Where possible, projects should be part of an integrated watershed management approach and support multiple uses of water.

Water quality

- Water quality should be a primary concern in all water projects.
- A continuous effort should be made to maintain drinking water quality at the highest practical level.
- All water sources should have acceptable water quality.
- All water sources/water systems should be regularly monitored for water quality.

Water quantity

- Projects should have the capability of supplying at least 20 liters of water per person per day to the service population.

Sanitary surveys

- Project approval must include a sanitary survey assessing health risks.

Water supply and sanitation committee

- A water supply and sanitation committee should be established at the onset of the project to define and manage its operations.

- Where appropriate, the committee should have a legal basis and be authorized to administer financial accounts.
- Project planning should reflect committee inputs.
- The committee should be representative of the community.
- Women should be fully represented on the committee.
- Women should be encouraged to take on leadership roles on the committee.

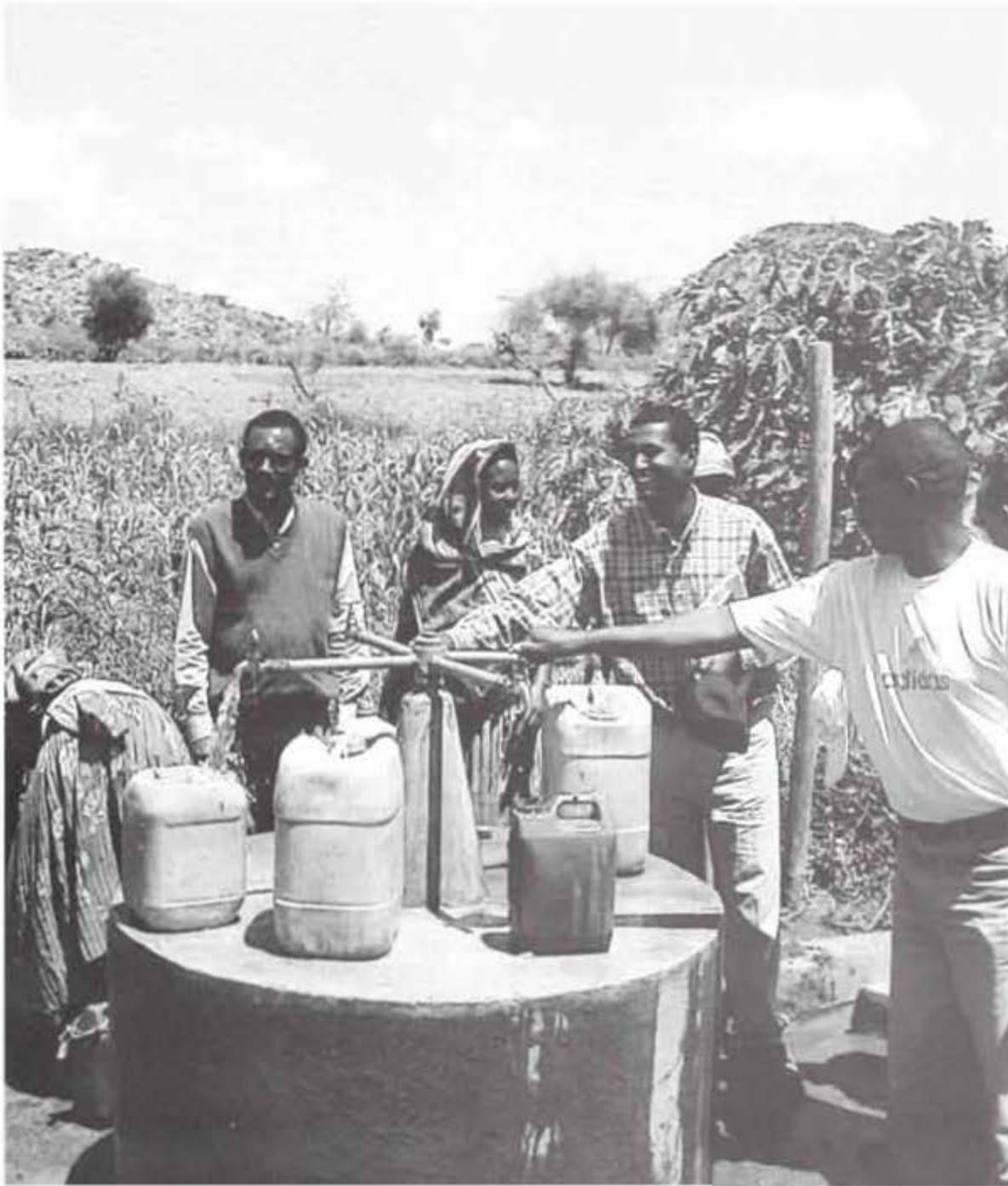
Project design

- Project should reflect generally accepted engineering practices.
- Project design should be supported by appropriate technical data.
- The choice of technology should reflect costs, community preferences and consideration of long-term sustainability.

Project appraisal

- Final project approval should include agreement by the water supply and sanitation committee, local government and the donor.





3. Implementation Phase

The implementation phase consists of activities involved in the creation of the project in the field. This phase is dominated by software activities, including involvement of the community, training on technical, management and financial matters, hygiene education, monitoring and reporting. The success of any construction activities will be dependent upon the effectiveness of the software efforts. Indicators and guideline statements for the implementation phase are as follows:

Community involvement

- CRS and its partners should ensure that the community remains fully involved during project implementation.
- CRS and its partners should remain sensitive to the changing needs and preferences of the community.
- CRS and its partners should encourage local government to be involved in program implementation.

Construction

- Projects should use local materials and practices wherever possible.
- Projects should use generally accepted construction practices.

Health/hygiene education

- All projects should have a hygiene education component that promotes behavioral change.
- Wherever possible, water and sanitation projects should be integrated with community health projects.

Training

- CRS and its partners should ensure that its personnel are adequately trained to plan, develop and support water supply and sanitation projects.
- CRS and its partners should be capable of working with communities on a participatory basis.
- CRS and its partners should assist the community to develop the skills necessary to manage and maintain the project.
- CRS and its partners should share experiences and best practices among themselves and also with other NGOs.
- CRS and its partners should encourage the sharing of experiences between communities.

Monitoring

- CRS and its partners should work with the water supply and sanitation committee to monitor the implementation of the project.
- CRS and its partners should assist the water supply and sanitation committee to develop a plan for the future monitoring of the system.

- CRS and its partners should encourage local government technical bureaus to monitor project implementation.

Reporting

- CRS and its partners should ensure that all reports and records are available to donors and the water supply and sanitation committee, as appropriate.
- CRS and its partners should maintain a basic set of technical reference documents in its country office.

Exit strategy

- CRS and its partners should develop a handing over plan for the transfer of its responsibilities at the completion of the project to the water supply and sanitation committee and local government technical bureaus, as appropriate.
- CRS and its partners should assist the community to establish an agreement with local government technical bureaus for major technical repairs that may be required in the future.

4. Sustainability Phase

The sustainability phase comprises the activities carried out by the community and the local government to operate and maintain the water and sanitation system over the long term. Included in this phase are the direct technical tasks of system operation and maintenance plus the essential software activities of community management, institutional relationships, monitoring and evaluation. The critical issue in the sustainability phase is the importance of continuous community involvement and support for the water and sanitation system. The indicators and guideline statements for this phase are as follows:



CRS encourages positive behavior change that leads to improved practices for the management, operation and maintenance of water and sanitation facilities.

Operations

- The community should be fully responsible for the continued operations of the water supply and sanitation system.
- CRS and its partners should continue to assist the community for an appropriate period of time following completion of project implementation.

Maintenance

- The community should have a plan to support and carry out routine maintenance and repairs.
- The water supply and sanitation committee should be responsible for carrying out the maintenance plan.

Community management

- The community should ensure that the water supply and sanitation committee reports regularly on the status of the water and sanitation system.

Institutional links

- CRS and its partners should assist the community to maintain effective links with local government technical bureaus.

Monitoring

- The community should have a plan for the routine monitoring of system operations and community sanitation and hygiene practices.
- The water supply and sanitation committee should be responsible for carrying out the monitoring plan.

Program evaluation

- CRS and its partners should carry out an external evaluation of projects at the completion of the overall program.

CRS Development Principles

The CRS regional water and sanitation strategy is built upon existing CRS concepts, which include basic principles, mission statements, goals and objectives, the current regional strategy statement, sectoral lessons learned and field experiences. The following describes the main factors that have been used to shape the strategy.

1. Guiding Principles

The guiding principles for all CRS activities are drawn from the basic tenets of Catholic Social Teaching:

Dignity and Equality of the Human Person

All of humanity has been created in the image of God and possesses a basic dignity and equality that comes directly from our creation and not from any action on our own part.

Rights and Responsibilities

Every person has basic rights and responsibilities that flow from our human dignity and that belong to us as human beings regardless of any social or political structures. The rights are numerous and include those things that make life truly human. Corresponding to our rights are duties and responsibilities to respect the rights of others and to work for the common good of all.

Social Nature of Humanity

All of us are social by nature and are called to live in community with others — our full human potential isn't realized in solitude, but in community with others. How we organize our families, societies, and communities directly affects human dignity and our ability to achieve our full human potential.

The Common Good

In order for all of us to have an opportunity to grow and develop fully, a certain social fabric must exist within society. This is the common good. Numerous social conditions — economic, political, material, and cultural — impact our ability to realize our human dignity and reach our full potential.

Subsidiarity

A higher level of government — or organization — should not perform any function or duty that can be handled more effectively at a lower level by people who are closer to the problem and have a better understanding of the issue.

Solidarity

We are all part of one human family — whatever our national, racial, religious, economic, or ideological differences — and in an increasingly interconnected world, loving our neighbor has global dimensions.

Option for the Poor

In every economic, political, and social decision, a weighted concern must be given to the needs of the poorest and most vulnerable. When we do this, we strengthen the entire community because the powerlessness of any member wounds the rest of society.

Stewardship

There is inherent integrity to all of creation, and it requires careful stewardship of all our resources, ensuring that we use and distribute them justly and equitably — as well as planning for future generations.

2. Mission

The fundamental motivating force in all activities of CRS is the Gospel of Jesus Christ as it pertains to the alleviation of human suffering, the development of people and the fostering of charity and justice in the world. The policies and programs of the agency reflect and express the teaching of the Catholic Church. At the same time, Catholic Relief Services assists persons on the basis of need, not creed, race or nationality. The CRS *mission statement*, written in 1985 and approved by the full United States Catholic Conference, gives active witness to the mandate of Jesus Christ to respond to human needs in the following ways:

- by responding to victims of natural and man-made disasters;
- by providing assistance to the poor and alleviating their immediate needs;
- by supporting self-help programs which involve people and communities in their own development;
- by helping those it serves to restore and preserve their dignity and to realize their potential;
- by collaborating with religious and nonsectarian persons and groups of goodwill in

programs and projects which contribute to a more equitable society; and,

- by helping to educate the people of the United States to fulfill their moral responsibilities in alleviating human suffering, removing its causes, and promoting social justice.

3. Vision

Adopted in 2002, the CRS *vision statement* summarizes the CRS perception that its roles and responsibilities in the twenty-first century must include new strategies, expanded partnerships, effective technologies, greater resources and a more effective internal working environment. The vision statement reflects CRS' view of how the world should be and sets a standard towards which the organization strives.

Vision Statement: *Solidarity will transform the world to:*

- cherish and uphold the sacredness and dignity of every person,
- commit to and practice peace, justice and reconciliation, and
- celebrate and protect the integrity of all creation.

The *visionary directions* represent the five areas on which CRS will concentrate in order to move in the direction of the vision statement. They provide a focus for the next ten years.

Visionary Directions:

1. Pursuing the right to peace.
2. Transforming CRS responses to poverty and vulnerability.
3. Promoting participatory and responsive governance.
4. Expanding community.
5. Becoming an agile, innovative and responsive organization.

4. Core Purpose

The core purpose of CRS is to strive for the realization of human dignity, engaging in relationships that do the following:

- alleviate human suffering;
- promote integral human development;
- change structures that undermine justice and peace locally, nationally and internationally; and,
- create the realization and expression of solidarity.

¹The discussion of mission, vision, core purpose, audience, goal and objectives, and simple rules are drawn from Catholic Relief Services Strategic Framework, 2002-2006.

All CRS strategies must include all four of these core purpose elements in order to carry out its mission effectively.

5. Audience

CRS has two main audiences, or constituencies, that it serves. The first group includes the poor and marginalized communities overseas. This was the original mandate of CRS, dating back to its founding in 1943. In 1995, CRS broadened its concerns in order to move beyond the material requirements of human dignity to target the underlying causes of injustice. The U.S. Catholic community is now considered to be the second main audience because of the contribution it can make in alleviating injustice and in transforming the world through solidarity and right relationships with communities around the globe.

In addition, CRS also welcomes the participation of other Americans who share its vision and commitment to a global system of justice to join the above two groups in a mission of solidarity.

CRS strives to build relationships that promote solidarity and human dignity. The special value of CRS is in these relationships and the benefits they bring to both the poor and marginalized overseas and the U.S. Catholic community domestically.

6. Goal and Objectives

The goal and objectives translate the vision statement and visionary directions into the detailed actions needed over the period 2002-2006. They represent the next step in moving from the general to the specific.

Goal:

The people CRS serves support each other to achieve their full potential, share equitably in the goods of the earth, and live in peace.

The following objectives link the four elements of the core purpose (meeting human needs, promoting integral human development, structural change, and solidarity) with the work of CRS overseas and in the U.S. These objectives are focused outcomes, represent changes from previous approaches, are verifiable, and can be achieved by the year 2007.

Objectives:

1. CRS, working with its partners, will have facilitated concrete changes to systems and practices that contribute to injustice.
2. The people that CRS and its partners serve are fuller participants in local, national, and global actions for the common good.

3. CRS and its partners will meet the basic needs of the most vulnerable through building sustainable local capacities.
4. CRS, its partners, and the people we serve demonstrate attitudes and behaviors that promote peace, tolerance and reconciliation.
5. CRS has systems, structures and culture that promote staff initiative and ownership, and achievement of its strategy.

7. Simple Rules

To assist CRS staff to make quick, decentralized decisions that are consistent with the overall strategy, CRS has created a number of simple rules for decision-making. These are agency-wide, general guidelines for setting policy and designing activities. Individual CRS departments or regions may need to modify or expand on these rules, as necessary.

1. Responsibility must come with authority and accountability.
2. Build the shortest path to a good decision.
3. Acquire and allocate resources consistent with planned outcomes and desired relationships.
4. Partners influence strategies, plans and priorities.

5. Fully develop and utilize national staff.
6. Value and be enriched by diverse perspectives.
7. Policy and advocacy are grounded in field realities.

8. Partnerships

A recent addition to the CRS Strategic Framework is an expanded understanding and commitment to the concept of “right relationships” as expressed in building “partnerships” with other organizations and communities. The CRS vision and its new strategic framework are highly dependent upon the partnerships, or relationships, that they establish to address people’s immediate needs. Partnership is the CRS approach to interacting with other organizations. It involves “a mutual commitment to sharing risk and resources and working together for social transformation to achieve a shared vision of justice and solidarity for all persons”².

The concept of partnership is based on three elements: a shared vision for addressing people’s immediate needs, solidarity in working together

for long-term change, and beneficial impact on the lives of the people served. All three elements must be present in a CRS partnership interchange. Partnerships are based on mutual trust and respect. They include equality and reciprocity with both partners learning from each other.

A common feature of CRS programs around the world is that most are implemented through local partners. CRS becomes operational only in exceptional cases of emergencies, new programs or when appropriate partners cannot be found. The traditional partners of CRS include organizations of the Catholic Church, other faith-based organizations, secular organizations and local governments. In addition, communities need to be treated as partners if sustainable change is to be achieved.

² This proposed definition of partnership and the issues related to it are drawn from Partnership Programming Guidance (draft), CRS Program Quality Support Department, Sept. 16, 2003.

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Water means life, but it is equally true that sanitation means health. Without water, life is not possible. And without sanitation, human societies cannot remain healthy and life itself becomes endangered. These two simple propositions are the basis for the Catholic Relief Services (CRS) East Africa Regional Strategy for Water Supply and Sanitation.

