

*The National Strategy for the Rural Water Supply and Environmental Health Sector*

**Lao People's Democratic Republic**

**Peace Independence Democracy Unity Prosperity**

**The National Strategy for the Rural Water Supply and Environmental  
Health Sector**

**May 2004**

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## **Foreword**

It is with pleasure that I introduce the first revision of the National Strategy for the Rural Water Supply and Environmental Health Sector. The original Strategy for this most important sector, was developed and adopted in 1997.

The theme of this revision is to strengthen the objectives for the sector based on lessons learned through implementation since the original Strategy was adopted, and to introduce a common approach for all those working in the sector.

The theme of the original Strategy was to promote community ownership of water and environmental health provisions whilst providing the community with the skills required to operate and maintain their services in a sustainable manner.

The implementation of the original National Strategy for the Rural Water Supply and Environmental Health Sector has received constant support from the Government at all levels.

The role of the Strategy is to set objectives, and identify the means to attain goals that comply with the National Policy outlined by the Party and the Government, particularly those policies aimed at reducing poverty and promoting activities that will allow Lao to graduate from the ranks of least developed countries by 2020. The Strategy shall be instrumental in attaining target coverage for Rural Water Supply and Environmental Health provisions, and for these provisions to be sustainable in the long term.

By 2020 the Government aims to achieve 90% access to improved water supply, in both rural and urban areas, and 80% use of hygienic latrines. Before reaching this stage, efforts will be required to achieve the periodic targets set:

2005: 66% access to water supply and 47% latrines

2010: 75% access to water supply and 60% latrines

2015: 85% access to water supply and 70% latrines

The National Strategy for the Rural Water Supply and Environmental Health Sector places great emphasis on monitoring and evaluating the sustainability and coverage of rural water and environmental health provisions

In line with socio-economic growth and lessons learned from sector development, it is certain that this revised Strategy will require further changes and improvement. The content of the Strategy and the methodologies used for implementation will evolve accordingly, while the fundamental principles of the Strategy, which places the user at the center will remain the same.

On behalf of the Strategy steering committee at the Ministry of Public Health, I would like to extend our acknowledgment for the participation to each Ministry, Departments, local and foreign organization including donors and cooperating partners, but in particular Sida and UNICEF, in preparing this revision, and hereby declare the revision

of the National Strategy for the Rural Water Supply and Environmental Health Sector effective.

Thank you.

Dated.....  
Minister of Public Health,  
Vientiane, ...

## **Preface**

This is the first revision of the National Strategy for the Rural Water Supply and Environmental Health Sector. The original Strategy was developed from 1994 and approved by our Minister in November 1997. The Strategy became the standard guideline and tool for implementation in the National Rural Water Supply and Sanitation Programme.

The Sector Strategy is revised to create confidence for all stakeholders, communities, government agencies, international organisations and to contribute to the implementation of the national sector programme.

The Strategy assists in identifying and achieving goals and adopting lessons learned in many fields, for example:-

- Lao formulated and lead activities aiming toward sustainability
- Human resources development and promotion, resulting in efficient sector management in the fields of administration, finance and technology.
- Strengthened planning and coordination capacity which express community commitment and demands and allocates government resources accordingly
- Reduced dependence on external financial resources, and emphasis on programmes which reduce poverty
- Developed and utilized sector implementation guidelines

Following the principles established in the original Strategy, Nam Saat at all levels shall continue to develop capacity to support the sector.

The objectives of the Strategy are required to be adopted by all parties operating within the sector. Following a common guideline will improve coordination, management and planning within the sector, and reduce risks of duplication

Nam Saat shall promote the Strategy and establish capacity to monitor and evaluate project progress and work toward improved and increasingly appropriate implementation within the sector.

Nam Saat shall advance equitable access to water and environmental health services for all, but shall actively promote assistance to ethnic minorities and inhabitants of remote areas.

Sida granted assistance for preparing the original Strategy in 1997, and for supporting pilot projects following the principles, and for revising the Strategy in 2004.

### **1998 - 2002**

Sida funded support to Nam Saat/UNICEF Transition Phase, when the Strategy was actively promoted through projects in Bolikhamxai, Huapan, Sekong and in an additional 11 provinces through UNICEF

The World Bank fund for rural infrastructure development projects in Oudomxai, Pongsaly and Luang Namtha and Jica funds for projects in Bokeo and Luang Nantha. In addition other international organisations also provided support.

**2002 - 2004**

Sida funded support to the Nam Saat/UNICEF Consolidation Phase and projects in Bolikhamxai, Huapan, Sekong Bokeo, Xayaboury, Kham Moune Savanakhet and Saravane

BTC fund for projects in Savanakhet, Saravane and Vientiane Province

NGOs support projects in additional provinces, but adhere to the principles of the Strategy.

The revision of the Strategy promotes a common approach for the sector based on communities demand for services and implementing the 7 Steps Implementation Process. Central Nam Saat undertakes the role of regulator, facilitator and monitor and evaluates programme successes and progress.

The Nam Saat role as coordinator, facilitator and sector monitor provides the opportunity for all sector stakeholders to share from implementation experiences and together with the Strategy provide a secure platform for donors to confidently work within the sector, and incorporate national policy, for example in the poverty reduction programme.

Nam Saat would like to take the opportunity to thank the Ministry of Health for leadership and thank Sida, UNICEF, BTC, WSP-EAP, UNDP/UNV, WHO, NGOs and other donors for their continued contributions to the sector and assistance in strengthening Nam Saat.

Nam Saat additionally wish to extend their thanks to colleagues in the Committee for Planning and Co-operation, Ministry of Education, Ministry of Communications, Transport, Post and Construction, Ministry of Agriculture and Forestry, Lao Women's Union, Lao Youth Union, Science Technology and Environment Agency, Ministry of Foreign Affairs, Ministry of Industry and Handicraft, Ministry of Labour and Social Welfare, Ministry of Defense, Ministry of Security, Nam Papa Lao, the Mekong Committee, the private sector and others for their collaboration and support.

We believe that the Strategy opens avenues for continued support and cooperation in the sector for the years to come.

With highest regards

The Director  
National Centre for Environmental Health and Water Supply  
Vientiane

## **1. Introduction**

This is the first revision of the original National Strategy for the Rural Water Supply and Environmental Health Sector adopted in 1997. The Sector Strategy may be periodically revised in order for the approach to remain up to date and to guarantee Lao ownership. The present Strategy revisions are based on implementation experience, new needs and fresh ideas gained since 1997.

The Strategy establishes the overall framework and broad guidance for all those involved in the Rural Water Supply and Environmental Health Sector.

The Strategy is not intended to impose a centralised approach or top down management of the sector. On the contrary the Strategy reinforces government decentralisation policy and the need for bottom-up planning, meaningful community participation and encourages innovative approaches at local levels.

The National Centre for Environmental Health and Water Supply (Nam Saat or NEW), under Department of Hygiene, Ministry of Health, is the lead sector agency responsible for rural water and sanitation sector activities. However within the sector there are at least a further three ministries, each having donor support for implementation of RWSS provisions (Annex A3 Prime Ministers Decision No 37 dated 30/9/99).

Overall coordination of the water sector, as for all development sectors, is the responsibility of the Investment and Economic Cooperation Committee.

### **1.1 Developing the Strategy**

Until 1997 the sector had no overall guiding principle to channel internal or external resources, and provide overall direction. In earlier years, work in the sector was largely driven by external donor support.

In 1991 the Swedish International Development Cooperation Agency (Sida) began support to the Rural Water Supply and Sanitation sector. This support was channelled initially through cooperation with UNICEF.

In 1994, Sida began to concentrate on institutional strengthening for the sector at central level, and provided funding for World Bank's WSP-EAP to undertake the role. This support resulted in the preparation in 1997 of the National Strategy for the Rural Water Supply and Environmental Health Sector. The Strategy stresses the importance of service quality and sustainability, rather than quantity of services provided.

The Strategy focuses broadly on raising public awareness, broad public participation in the development process, and creating an enabling environment for those demanding RWSS provisions.

Users in more easy to reach areas, where people generally can better afford investment costs are increasingly encouraged to request private venture assistance, rather than expect



government support. In these zones traditional Nam Saat responsibilities for construction are being progressively handed over, and Nam Saat has become the facilitator rather than the provider of services.

Nam Saat increasingly focuses on providing assistance to the inaccessible and poorest zones, where water and support are scarce and where need is the greatest.

Nam Saat, actively promotes feed back. Nam Saat continues to rely on active feedback from *all* stakeholders to provide sector data. Evaluating and monitoring positive and negative experience from project implementation continues to have importance as experience provides information to progressively improve the quality and relevance of government support.

Feedback on the relevance of the content of the Strategy based upon experience gained in its application has lead to the need for this revision. The need was particularly highlighted in the Sector Forum held in June 2001 where the original Strategy was reviewed.

It is expected that in future a light review of the Strategy should take place annually, with more major reviews at longer intervals.

## **1.2 Initiating the Strategy**

Sida funding to Nam Saat since 1998, and the agreement between Sida and MoH for support, established a firm foundation to test and implement the basic principles proposed in the original and revised Strategy.

The Strategy promotes:-

- (i) community participation from a bottom up based approach
- (ii) planning from the grass roots level (supported by District and Provincial level Nam Saat)
- (iii) strengthened collaboration and cooperation between Nam Saat and its partners and supporters at all levels
- (iv) assisted new internal and external sector investment (external support agency (ESA), as well as private sector sourced)

With Sida support, Nam Saat began the first slow steps to introduce the participatory approach shortly after the Strategy was approved.

The initial steps were to develop capacity at Central and then Provincial levels to support the objectives of a community lead approach to RWSS. To large extent the training process at central and provincial levels was completed in 2003. Training of district staff and communities is taking place.

The Strategy places emphasis on the growingly important role for District and the community, which is supported by the Lao government's decentralization policy.

The decision of the government to decentralize administration to provincial or lower levels has been the greatest support to the approach proposed in the Strategy. The government has

also supported the participation of private sector enterprises. This decision supports construction at community level, though the skills of the private sector, particularly at district level, often need developing. Nam Saat through the Strategy is able to assist the private sector to improve its capacity and support the needs of communities.

The Strategy has required the development of new skills at central levels.

The focus for Nam Saat is the development of approaches, which lead to sustainability, rather than the task of providing simple RWSS construction in a village. Nam Saat now focuses on appropriate supporting activities to educate and train communities to manage their own water and sanitation provisions, on equity of approach and on poverty reduction through RWSS provisions. The key is that communities understand the impact of provisions, and agree that good management of these provisions will have a positive and long lasting influence on their community as a whole.

Nam Saat is promoting a uniform implementation approach, which will allow duplication of implementation procedures and simplify monitoring and evaluation of completed projects. This process is known as "The 7 Steps". The revised Strategy aims at harmonizing sector activities through operational guidelines (Annex D) linked to the 7 Steps.

Effective monitoring and evaluation of the sector is essential. Each RWSS project, government or donor financed, should adhere to the principles of the 7 Steps so the sector can learn from experience implementing a unified approach. The community remains at the center of all RWSS approaches, and all stakeholders should resist the temptation to revert to a donor lead or centrally dominated approach to the sector.

### **1.3 Revising the Strategy**

In 2003 Swedish Development Assistance to Lao PDR entered into a Consolidation Phase for 18 months.

Revising the original Sector Strategy, based on lessons learned from the previous phases of support has been a major component of the Consolidation Phase. Although the original Strategy placed emphasis on community lead approaches, it did not focus on the practical aspects of implementation, for example how communities are to choose technologies or construct, manage and maintain their water supply or sanitation provisions.

The revised Strategy takes steps to address these neglected areas by presenting operational guidelines based on the 7 Steps approach to project implementation.

Implementing the approaches presented in the Strategy should ensure that communities, particularly those in more remote and inaccessible areas, are better provided with the skills and tools essential to sustain their water and sanitation provisions in the long term.

## **1.4 The Revision Process**

The revision process started in 2002 with the establishment of the Strategy Revision Committee. The inaugural meeting of this committee took place on 12/03/2003 when the approach for the revision was discussed.

During May 2003 an initial draft revision was prepared in English and Lao, extracting the main principles from the original Strategy. This draft document was presented to the Strategy Revision Committee and other sector stakeholders at a workshop in June 2003. Based on comments and suggestions, this document was revised. The revised document was carefully reviewed by Nam Saat staff and revised once again.

The final revisions were made in October 2003, and the final draft Strategy prepared for peer review in November 2003, prior to presentation to the Minister of Health.

Peer review took place between November 2003 and March 2004 and was concluded at a presentation of the draft revision at a workshop in Thalat. Based on comments from the workshop and the peer review the draft was finalized in April 2004 for presentation to the Minister.

The revised Strategy places more emphasis on monitoring and evaluating projects through institutionalizing milestone indicators and a formalized reporting procedures.

## **2. Objectives**

### **2.1 The National Water Supply and Environment Health Objectives**

Following the Direction and National Framework for the Health Sector of Lao PDR, Nam Saat is required to contribute towards sector goals by achieving substantial water and sanitation coverage with particular emphasis on the eradication of poverty throughout the country.

Nam Saat support to the National Framework achieves:-

1. improved sustainability of rural water supply, and sanitation facilities
2. improved health and socio-economic impact from using clean water and sanitation services
3. reduced morbidity and mortality rates, and decreased infection rates, particularly amongst women and children

### **2.2 Strategic Objectives**

The objectives promoted in the original Strategy have to large degree been successfully piloted over the past several years. Lessons learned have fed back and evolved in the revised Strategy. Proven techniques and approaches will continue to be elaborated and scaled up in future implementation:

Linked to the National Framework for the Health Sector, Nam Saat's overall strategic objectives will provide guidance and support to:-

- improve access, use and sustainability of water supply and sanitation facilities in rural areas
- maximise health and socio-economic benefits from access to water supply and sanitation facilities.

### **2.3 Specific Objectives**

In order to achieve sustainability and maximum benefits from water and sanitation provisions, Nam Saat recognizes that implementation requires the active interest and participation of users at all stages. Nam Saat will nurture user responsibility for provisions.

Nam Saat will ensure that the users will have participated in the decisions which initiated the project, and will have participated in project implementation. The users will be the owners. When construction is completed Nam Saat will have ensured that the owners will be sufficiently skilled managers and operators of their water and sanitation facilities to ensure sustainability. The users will demonstrate willingness to pay for services they need and value.

Nam Saat will provide guidance, technical assistance and support to:-

- improve and increase health and hygiene education in remote rural areas
- improve the environmental health conditions for rural populations
- encourage the increased quantity and quality of new and existing water supply and sanitation facilities in the poorest and least accessible areas.
- improve community based management, participation, and maintenance of water supply and sanitation facilities
- improve the rural poors' living conditions
- reduce mortality and morbidity rates amongst children and adults
- ensure emphasis on gender issues at all levels in water supply and sanitation planning, provision and management
- ensure that water supply and sanitation facilities have minimum negative environmental impacts

## **3. Strategic Directions**

The Strategy emphasizes a user centred participatory approach, based on willingness to pay and informed community choice.

The directions put emphasis on:-

- (i) government support for decentralised planning and implementation
- (ii) community-based management and financing (including cost recovery)
- (iii) water and sanitation use, sustainability (both financial and operational sustainability) and impact (both economic and health impact) - rather than just on coverage
- (iv) building on good traditional practices and on step by step upgrading of systems
- (v) formalizing the central role of women at all levels in water and environmental health management

- (vi) ensuring positive environmental impact

There is programmed emphasis on the cross cutting issues of; gender, behavioural change through fully integrated participatory hygiene education, (including integrated school hygiene) on equitable access to services for the poor, on serving the more remote areas largely inhabited by ethnic minorities, and on processes which arrange external support to strengthen Lao capacity to take the lead.

The necessity to promote innovation, appropriate technology, local manufacture of hardware and spare parts and provision for system design services are foundations for developing the approach promoted through the Strategy.

It is recognized that Lao PDR presently has a relatively low demonstrated demand for RWSS technology, due partly to poverty and partly to the lack of public awareness. As the public progressively demand services through implementation of the Strategy, support and services should be available so as not to restrict demand. Suppliers of services and manufactures, can be encouraged to enter Lao by offering a favourable business environment, and a potential market.

Amongst other important developments are the rehabilitation of existing schemes (not just from a technical, but also from a social, institutional and operation and maintenance viewpoint) though emphasis on community ownership and responsibility, and the contribution to government health strategies for controlling diarrhoeal disease, particularly cholera.

Most importantly of all perhaps, the Strategic directions create demand for building Lao institutional capacity and human resources to service all the developments and turn them into action.

#### **4. Strategic Principles**

Six principles feature strongly in the approach:-

- (i) The foundation of all stages of implementation, and management of facilities, is the participation of all cooperating partners, in particular the community
- (ii) Water plays a major role in the promotion of primary health care and poverty reduction
- (iii) Water supply and sanitation must contribute towards the sustainable environment
- (iv) Water is often the key catalyst in the processes of rural development
- (v) Rural water supply and environmental health have a key place in the overall management of water resources
- (vi) Changes in people's behaviours and practices are needed for RWSS projects to achieve their objectives and this requires people's need related to information, education and communication (IEC) to be properly addressed

#### **4.1 Participation and Implementation**

Implementation will be fully linked with community capacity development. Participation processes will promote informed choice, and the concept of a step by step development in service levels. Participation will ensure use, sustainability and impact, and will promote and build concepts of community based implementation and management at every step.

*(The concept of "informed choice", where the advantages of each option are set out alongside the financial and operational responsibilities of the communities, and the expected life and advantages / disadvantages of the system, is fundamental. The optimum balance between investment and maintenance costs and scheme lifespan will need to be further explored. In some cases higher initial costs may be justified if they lead to a longer system life and lower maintenance costs.)*

Working with villages, requires specific knowledge about people's habits, traditions and attitudes, not only concerning clean water and environmental health, but also how they live and work together, cooperate with one another, how they make decisions, and how they solve problems. As the Lao PDR is a rich multi-ethnic country, this information is varied and not so easy to obtain. However it is vital when trying to introduce discussion and decisions on alternative water and sanitation developments, to distinguish between useful healthy practices to be built on, and inappropriate habits that gradually need to be changed from within.

Recognising that the participation of women, elders, mass organizations and influential village leaders is critical, Nam Saat intends to promote and support women extension workers.

#### **4.2 Identification of Villages Demand**

Nam Saat focuses on the sustainability of provisions based on community demand. Nam Saat places emphasis on facilitating and supporting community owned and operated facilities, over their full life, rather than just implementation and construction support.

Nam Saat is instructed to give priority to more remote areas when formulating annual planning. These remote areas have the highest incidence of poverty and disease. Cash incomes are marginal, markets are inaccessible, and private water supply ventures are almost non-existent. Therefore, Nam Saat central will concentrate government support activities for RWSS to these areas.

A key concept is recognising and responding to demand, even from poor communities.

Nam Saat's support shall be primarily targeted at those communities who express and demonstrate a demand and willingness to participate and to be responsible for and maintain improved services. The district will be required to recognise community demand and prioritise appropriate communities for RWSS support. Nam Saat acknowledges this as the only possible approach to ensure long-term sustainability.

### **4.3 Demand**

Demand needs to be developed. This will be achieved by Nam Saat through the development and operationalisation of a coherent communication strategy which identifies target audiences and IEC approaches (Annex D).

Demand will first be encouraged at National level through public awareness campaigns involving for example the use of the mass media and focused presentations. This will be followed by demand creation in project areas by a participative communication process involving particularly interpersonal communication channels. This will raise awareness of the benefits of water supply and sanitation improvements (health, time saving, convenience, socio-economic spin-offs).

Following this process is an important component in simultaneously building the technical component of the intervention.

*("Demand" is understood by Nam Saat to be lasting economic demand, the expressed willingness of a community to pay towards part of the investment and the entire operation and maintenance costs of a particular water and sanitation improvement. This expressed demand must be based therefore on a clear commitment on the part of the community through a process of dialogue leading to "informed choice")*

If demand is to be properly met, there are implications on the need for appropriate communication processes and improved dialogue and communication skills on the part of Nam Saat and other agencies, to enable them to meet the communication needs of ethnic minority and illiterate target groups. At the same time, there are also implications on the availability of resources to respond to demand for technical provisions.

Whilst established demand for services will be the primary filter, communities expressing an equal demand in any particular provincial socio economic or access zone, will be further prioritised by taking account of their social economic and health related needs, and by making allowance for the equity considerations expressed in the Strategy.

### **4.4 Local Ownership**

The community is to be the owner and operator of all new RWSS provisions. This means that the community, the users, will contribute toward the construction costs and pay all the long-term "recurrent" costs for operation and maintenance for the life of the scheme.

To facilitate community ownership local people are encouraged to play a leading role at every stage of development.

Community ownership, desirable in general, must be carefully handled in the context of the location of water facilities. As an example, a water point might become a "public", a "community" or a "semi-private" facility, depending on location and what has been agreed.

Community support must be appropriate and timely, and the advice informed and honest. Coupled with the concept of community ownership of clean water and environmental health provisions, is the promotion, and support of village responsibilities and opportunities, and 'privileges' that go with them.

These 'privileges' include the choice of technology and service level, options for choosing cash or "in kind" contributions, having access to information and support services etc.

The community need be aware of the responsibility for regular maintenance and proper use of the new facilities. It is important that the communities fully understand the responsibilities that go with a particular choice of technology or service level. These responsibilities include not only initial contributions of cash and labour, but also the recurrent costs (of spare parts etc.), over the working life of the scheme.

Support from Nam Saat must also be open-ended, rather than limited only to planning and implementation phases. Communities may need continuing, albeit low-key, "lifetime" support and advice on hygiene related issues, and on operation, management and maintenance. Communities have a right to know where to ask for help if they need it, and to expect assistance to be forthcoming. These issues will be reflected in the communication process between Nam Saat and target communities.

#### **4.5 Focusing on the Strengthening of Behavioural Change**

Nam Saat recognises that technical interventions, even if based on informed choice and with good prospects for sustainability, will not have the desired health impact (and probably not the desired economic impact either), unless there is proper use of sanitation facilities linked to a gradual change in hygiene related behaviour within the community.

Additionally for maximum health benefit, people need to understand how to better: protect the water source, draw water, transport it to their homes, treat it at household level for drinking, and store it.

Whilst new water and sanitation facilities must work and be sustainable to have an impact, they must also be used and maintained properly.

Increasing effort will be given to the following principles of hygiene education to assist bringing about behavioural changes:-

- (i) appropriate hygiene education interventions need to be fully integrated at every step in the RWSS project cycle, including planning and construction, and also cross-linked with other suitable community development activities
- (ii) lasting behavioural change must come from within the community
- (iii) current behavioural patterns should not be discarded, but rather should be built upon, strengthening what is good and reducing the incidence of what is less good
- (iv) hygiene education is an aid to behavioural change and therefore is most successful when participatory and internalised
- (v) young people are most receptive to change, and also readily carry messages home to their parents. Visitors to clinics may also be more receptive to health related dialogue. A large part of the hygiene education effort will therefore be directed to school hygiene education and integrated school and dispensary water supply and sanitation programmes



- (vi) behavioural change is a long term change that needs to be reinforced over many years, spanning the entire operational life of new water schemes or latrines
- (vii) people respond to stimuli and messages in different ways. Hygiene education approaches will therefore explore and develop the most appropriate techniques / media for Lao PDR taking into consideration its cultural and linguistic diversity and literacy levels

These principles will be fundamental in keeping the focus on the community and its needs and on appropriate solutions to its health-related problems. They will be central to the Nam Saat IEC approach.

#### **4.6 Protection of Sources**

The self monitoring and safeguarding of water quality will be promoted through knowledge transfer, leading to lifetime protection of water sources by the community, and proper transportation, storage and use of water, rather than only necessarily intermittent quality checks at the source.

Self-monitoring by the community will enable potential problems, to be readily monitored, reported, and remedial action agreed with the community as the ultimate managers of the water system.

#### **4.7 RWSS Procurement and Technical Considerations**

Both donors and Nam Saat have considered improving the procurement processes.

For promoting sustainability, cost effectiveness and Lao ownership, Nam Saat provincial and district staff, in the long-term, will increasingly make purchases on their own.

Communities too should be encouraged to handle local procurement directly. This applies to identifying service providers in the private sector, actively participating in tendering processes, purchasing or supplying construction materials, as well as to spare parts for ongoing operation and maintenance.

Local procurement will build markets and demand for Lao services, Lao-made products, and promote local distribution and small scale enterprise.

#### **4.8 Training Needs**

To promote and motivate active participation from the entire community, Nam Saat staff at all levels will need training in grassroots development approaches such as participatory rural appraisal, participatory situation analysis, participatory monitoring and evaluation with villagers and interpersonal communication and facilitation.

#### **4.9 Setting and Regulating Standards**

There should be very close liaison between Nam Saat, and the cooperating organisations identified in PM Decision No.37 on Management and Development of Water Supply Sector (Annex A3) in order to ensure appropriate standards and consistency in the application of standards for different sectors.

The Ministry of Health, together with Nam Saat, have prepared water quality targets for drinking water (Annex A5). Appropriate standards for: water supply and sanitation installations, equipment, water, quantity and service access, industry, community and household waste disposal, sewage systems, hazardous waste management, and preventing pollution of water, air, and land are still urgently required.

Enforcement and regulatory activities will require provincial-based personnel, who will need training and supervision.

On water quality, the emphasis will be on setting practical standards and norms that are achievable and can be easily monitored. Each water source proposed for public consumption shall pass a quality test prior to commissioning. There will be much more attention to protection of rural water quality at source rather than inspection. The community will be the key to protecting the sources of their own water supplies, but will require understanding and education to support their responsibilities. For more elaborate water provisions the community may be trained by Nam Saat to undertake periodic quality tests for chemical and bacterial indicators.

## **5. Process**

The development process for rural water and sanitation provisions may be divided into two exclusive sets of activities.

Firstly there is the government planning process. This process should be initiated by grass roots community demand, but once started the community loses control of the process until funds and support are allocated.

Secondly, particularly once support is allocated, activities take place with the active participation of the recipient community.

Nam Saat have taken initiatives to describe the process in 7 Steps (Annex C1). The revised Strategy presents the 7 Steps with the view to formalize the approach and form operational guidelines.

## **5.1 Planning Process**

The government planning process is required primarily for annual planning at central levels and preparation of the budget. For all sectors, the Government stresses the concept of grassroots planning, with priorities for action coming from the villages, districts and provinces rather than from a central authority.

For the Sector this process results in essentially two levels of planning. The first level of planning takes place at local level. Communities demonstrate their need for water and sanitation and these requests are forwarded to their district. If acknowledged the request is forwarded to the province for appraisal. When community's needs are considered a priority the plan is passed on by the province to Nam Saat central, where the second level of planning adds the community's project to the annual plan and allocates a budget.

Priority projects should be based on demand, or a balance between what the community need, want, and what they are in principle willing to contribute toward construction and operation costs. In order not to lose sight of the principle of grass roots planning, higher levels within the planning system will limit themselves to the minimum possible intervention with locally generated plans, mainly ensuring that these plans comply with the Strategy

At central level a critical part of national planning will continue to include networking with External Support Agencies (ESAs), sector partners (e.g., Irrigation Department, WASA, Nam Papa Lao) and inter-sectoral partners (e.g. the Rural Development Committees, the Ministry of Education, various departments of the Ministry of Health, and the Lao Women's Union, Youth Union etc). It will be helpful for each organization to review the others' annual plans, and search for areas of possible collaboration. This will help to maximize resource potentials at all levels.

Nam Saat when formulating their own annual plans, budgets, and future development plans place conformity with the Strategy as its guiding principle.

Nam Saat Sector planning, adheres to the following principles:-

- (i) effective planning requires a participatory, bottom-up process which should be fully Lao-led and owned **AND** based on reliable and timely data
- (ii) plans should reflect community demand and informed choice. Planning shall be based on sound assessments of the situation needs and resources, (human, financial and material) of technical potential, and upon past experience
- (iii) promotion of appropriate planning will be given a high priority by management in partnership with other stakeholders
- (iv) planning will be based on a clear principle of equity. The opportunities for those that can afford to take initiatives themselves will be maximised, whether through the emerging private sector or independently
- (v) government and ESA funded support will be focused on those that need it most, and will support the fair sharing of resources
- (vi) planning will take into account the need to ensure not just coverage (the physical installation of new systems), but the need to ensure use, long-term sustainability

- and positive impact, both from a health and from an economic and environmental point of view
- (vii) water sector planning, at all levels, will be fully in line with and supportive of the overall guiding Government development policy
  - (viii) coordination with other sectors and with the donor network, in order to maximize resources and lower costs, avoid duplication, and enhance complementarity are essential components of the planning process
  - (ix) sector planning will contribute to the achievement of the principal goals in prevention and health promotion of the Ministry of Health

## **5.2 Coordination and Networks**

Nam Saat aims to use all possible opportunities to support their role as facilitator and supporter of the RWSS sector.

In general the Nam Saat network will coordinate with other agencies and participate in multi-sectoral projects. In this way Nam Saat can fully integrate rural water supply and environmental health; into the interlinking Primary Health Care, Integrated Rural Development, Water Resources Management and Sustainable Environment sectors.

Other sector agencies may in turn also benefit from linkages with Nam Saat. Nam Saat has positive experiences with community-based and demand responsive approaches, with inter-sectoral work, with Sector Forums and with the development of the Strategy which supports decentralised planning and investment planning.

The private sector are also cooperating partners with Nam Saat and will be encouraged to work closely. They will also be encouraged to sponsor and provide appropriate training for Nam Saat staff and others in community support activities, in providing services such as drilling and construction, design, project management and consultancy services.

Nam Saat and the private sector will work together in developing market research, in designing appropriate products, and in sharing technology and business methods from the water sector in other countries. If, as is desirable, handpumps, spare parts, items of equipment and services are to be locally sourced in Lao PDR, it will be essential that Nam Saat encourages the private sector, but equally develops and applies sufficient safety and quality standards, to ensure that purchasers and clients are getting value for money.

In many wealthier operational areas there is potential for a progressive and properly regulated handover of activities to the private sector. Nam Saat will actively explore these opportunities.

## **5.3 The 7 Steps Implementation Process**

The Strategy was launched in November 1997. The Sector Forum in June 2001 undertook a process to simplify implementation of the Strategy. The Sector Forum devised a consensus 7 Step approach, based on lessons learned since 1997 and in light of the government push toward decentralization. The 7 Steps was to form the foundation for future implementation.

Field surveys and site visits during the Strategy revision process indicated that the 7 Steps should be formalized by establishing a set of operational guidelines. These guidelines should be followed by all implementing projects in order to track progress. The 7 Steps must be adequately supported and promoted by legislation.

The first stage of the implementation process is the inclusion of any particular community in Nam Saat's annual plan. The inclusion in the annual plan should represent a community's demand, their willingness to participate and recognition that the community warrants national programme support.

Where ever possible Nam Saat, at all administrative levels, will ensure that all RWSS activities either follow the 7Steps presented below, or support its adherence.

**Table 5.1 The 7 Steps Implementation Process**

<b>THE 7-STEP PROCESS</b>	<b>IMPLEMENTATION OBJECTIVES</b>
Step 1 Promotion of RWSS Provisions	Government commits to actively promote rural water and sanitation through mass media and local campaigns. The influence of these campaigns generates community demand for water and sanitation facilities to which District Nam Saat responds with a participatory community support programme
Step 2 Technical Feasibility and Commitment	Nam Saat conducts a participatory community support programme, and together with the community identifies the most appropriate technical solutions. The community approve the technologies and commit to be responsible to operate and maintain any provisions constructed.
Step 3 Application Process	Based on community willingness to participate, the district Nam Saat assists the community to prepare RWSS application for adoption at district level and this application is forwarded, through the approvals system to central level for inclusion in the national plan
Step 4 Prepare HRD Plans	Based on community preparing an application Nam Saat makes a local training needs assessment for technical needs and local health awareness.
Step 5 Develop RWSS Village Action Plan	Nam Saat assists the community identify and train the WATSAN Committee and Village Health Volunteer (VHV) and together with these people prepares a village action plan. The result of the village action plan is that the community signs a Memorandum of Agreement with Nam Saat, and Nam Saat undertakes a detailed design and cost estimate for the approved technologies.
Step 6 Implement village action plan	Nam Saat and the community prepare for implementing the village action plan which may entail the identification and appointment of a contractor to construct the approved project or for the community to do all the work themselves. Nam Saat supports the community at all stages of construction and ensures that construction quality is adequate and water quality reaches agreed standards The conclusion of the village action plan is that the process has provided the community with the services they required. If the services reach the community requirement the WATSAN Committee signs a completion certificate. Nam Saat and the contractor ensure that the community is adequately trained to operate and maintain the completed project.
Step 7 Monitoring, evaluation and learning from lessons	The final stage in the 7 steps with respect to the project cycle is when District Nam Saat, together with community, self assess the impact and success of the RWSS provisions and adapt and adjust

THE 7-STEP PROCESS	IMPLEMENTATION OBJECTIVES
	future provisions and approaches to suit local needs. Nam Saat additionally operationalised a monitoring and evaluation process for all completed provisions and maintains a data base.

Monitoring, evaluation and progress reporting, and sharing lessons learned are essential components of the Strategy, and a central role of Nam Saat. Application of the 7 Steps requires support by active monitoring and evaluation procedures, and an effective reporting mechanism.

Monitoring will commence at community level, be evaluated at district level and be tracked at provincial and central levels.

#### **5.4 Monitoring, Evaluation and Reporting**

Monitoring, evaluation, reporting, and two-way feedback, especially planning at all levels, must be founded on accurate data and timely feedback.

Gathering and disseminating information is at the heart of the sector. Unless timely and accurate information is available to each of the partners, including communities, the sector will be neither efficient nor be able to develop and adapt.

Nam Saat supports a learning and information based approach to sector work, so that new ideas and new information are constantly being extracted and fed back into the work of those involved at every level.

The 7 Steps Operational Guidelines proposes the formal levels and type of reporting required.

Lessons will be drawn and shared not only from positive, successful experiences, but also from those that are less successful.

Nam Saat at district and provincial levels are responsible to keep their local administrations well informed and pass information to Nam Saat central. Nam Saat central similarly liaises horizontally with planning units within the Ministry of Health, the Committee for Planning and Cooperation, the Ministry of Foreign Affairs, and other ministries, and vertically with its local Offices.

Collecting and sharing accurate and relevant data at all levels will become a fundamental foundation of sector planning, revising guidelines and approaches, and other phases of the project cycle to:-

- (a) gain new knowledge at every stage of the project cycle
- (b) develop specific insight from activities such as case studies
- (c) apply, and feed new knowledge back into ongoing work

This approach must become common to all those implementing the Strategy.

#### **5.4.1 Monitoring and evaluation unit**

Nam Saat shall address as a priority the two key needs related to monitoring and evaluation:-

- the immediate short-term need to get an improved straightforward monitoring and reporting system in place, even if it is not comprehensive in scope
- the longer term strategic needs of the sector, when aspects such as use, sustainability and impact must be properly assessed based on accurate data.

At the central level, responsibility for monitoring and evaluation will rest with at least one permanent exclusively assigned staff member in the M&E/IEC unit, periodically assisted by selected teams from various units of Nam Saat.

Besides their regular work, this person would be called upon to assist pre-scheduled monitoring and evaluation assignments or add monitoring duties to other field visits. Staff responsible for monitoring and evaluation shall also be designated at regional, provincial and district levels. All would occasionally work with external ESA evaluation teams.

With this in mind, the M&E/IEC unit responsibilities are as follows:-

- (a) responsible for summarising regular monitoring reports, periodic evaluations, and any other field results, and analysing the Programme's effectiveness.
- (b) supplying feedback and recommendations to management, planning and implementation units.

A key task of the central M&E/IEC unit in the beginning will be the establishment and strengthening of local monitoring and evaluation capacity.

Where it is feasible and cost-effective, monitoring and evaluation efforts for rural water and environmental health will be combined with the monitoring efforts of other departments within the Ministry of Public Health.

This flexible, responsive approach to planning and feedback will enable the sector to adapt to new needs and a fast changing environment. It will help build a more dynamic programme, able to adapt to the demands of the future.

Above all the monitoring and evaluation system will have objectives, and be designed for specific uses. Information assembled will be shared with sector partners and be to an accuracy and reliability suited to the needs of the end user.

#### **5.4.2 Appropriate and realistic monitoring**

For each aspect of the Nam Saat Programme, standardised reporting procedures, including goals, objectives, activities, indicators of results and sources of verification will be created. This system will form a baseline for the monitoring and evaluation process.

A standardised monitoring form for regular information collection and reporting purposes will be developed.

Training of province, district and village leaders will be provided to enable Nam Saat to produce accurate and timely reports. Special emphasis will be given to development of new monitoring indicators following the 7 Steps. These will include indicators to give information on degree of participation and community "ownership", on community based management, and on use, sustainability and impact.

Behavioural change will also need monitoring, as well as problems, solutions and the longevity of schemes.

## **5.5 Training**

Adequate and appropriate training is the key to developing the sector. In the past many projects have moved too quickly toward construction leaving little capacity to manage completed projects and little understanding of how to best utilize facilities for the long term benefit of the community.

The Strategy places the users at the center of the approach. District level officers will need training on community participation. This will include: listening skills; identifying how to help villagers with determining demand and identifying village level priorities; assessing how to respond to demand; and how to present and discuss the implications of alternative courses of action.

For effective program implementation, Nam Saat plans to advance a Human Resource Development (HRD) unit at the central level, with some staff occasionally assigned HRD duties at decentralised levels.

The central HRD Unit's tasks will include:-

- (a) formulating long and short term human resource development plans;
- (b) conducting an annual needs assessment at all levels, to review current staff needs, establish future personnel quotas, set assignments and revise job descriptions.

HRD plans shall ensure to increase the proportion of both women and ethnic minorities at every level in the water supply and environmental health sector. Training in integrated, participatory rural development for all Nam Saat staff is becoming critical as clean water supply and environmental hygiene become major components of larger projects.

Likewise, community development specialists could benefit from Nam Saat technical and hygiene education training programmes. Such training should stress the development of community-based management, self reliance and cost recovery.

### ***5.5.1 Training for women and ethnic minorities***

Recognising the Government's policy to promote women and ethnic minorities, Nam Saat will seek special funds and opportunities to strengthen the involvement of women and representatives of ethnic groups into all activities and at all levels. Within the village, women are often critical for the success of water user groups and environmental health efforts.



In more remote ethnic minority areas, women often can help break through language and cultural problems.

Within the entire Nam Saat network, women's involvement is severely lacking in both technical, non-technical and managerial positions. Addressing this imbalance will need special emphasis and a training focus.

New mechanisms such as externally funded internships and secondments will be explored.

### ***5.5.2 Village health volunteers and village WATSAN committee training***

In addition, Nam Saat intends to develop a license or a "certificate of training" in the relevant water and sanitation skills for Village Health Volunteers and members of the Village WATSAN Committee. In this way trained and skilled cadre would be recognisable wherever they move.

## **6. Financing**

Lao Government commitment to the rural water and environmental health programme will need to be increasingly reflected in financial and human resource terms, with clear plans being laid for transitions to ensure the financial sustainability of the sector.

The challenge is to create a system which encourages sustainability of services which are Lao-led and Lao-managed, but at the same time respects the limitations and requirements of donors. Donors will undoubtedly increasingly want to see further commitment from Nam Saat and Government to the concepts of the revised Strategy under implementation.

Supporting agencies will be encouraged by Nam Saat to model such a progressive transfer of financial responsibilities, particularly to provincial and district levels. Given the appropriate training in financial management, this will be the key to allowing the RWSS Sector to become rapidly more fully Lao-managed, as capacity, accountability and transparency is built up.

### **6.1 Sector Coordination**

As the Lao economy continues to grow, and the focus and levels of donor assistance change, the anticipated transitions will need to be coordinated and planned.

There will also be a likely increase in the proportion of private sector investment, and shifts in the type and style of development assistance. At the same time the private sector will increasingly invest in water supply and sanitation provisions.

There is a need to further build on sector coordination, information exchange and cooperation amongst and between the various institutions involved in water resources management, rural development, primary health care and sustainable environment. This includes the internal Lao government offices, the emerging private sector and external supporting partners.

Improved sector networking would help Nam Saat to reinforce its working relationship and guiding role with various ESA institutions.

The 7 Step operational guidelines are intended to be used to improve coordination of the working partnership between Nam Saat and ESAs and NGOs working in support of the clean water and environmental health sector.

## **6.2 Financial Allocation Procedures**

The planning process determines the level of government finance available for project activities. Government budgets can be supported by donors, but donor funding should be considered part of the government budget for the sector and be accounted for in the government planning process, even if the donor funds are not allocated by the Ministry of Health.

The implementation of the 7 Steps requires funding for 3 distinct sets of expenses:-

- firstly there are costs related to recurrent expenditures of Nam Saat at all administrative levels, these include wages, training for Nam Saat staff, maintenance of buildings, stationary, communications, transport, fuel, electricity etc.
- secondly there are the costs associated in supporting the 'software aspects of the 7 Steps. These include promoting the national target programme at national and local levels, health campaigns and training community cadre including the preparation of training material, support to the participative approach, surveys and detailed technical designs, supervision, monitoring and evaluation at central and local levels etc.
- thirdly is the cost for the support required to assist communities in construction and training for operation and maintenance. The bulk of the funds for construction in National Target Programme areas may come from government sources (though support from donors may contribute).

Nam Saat plans the costs associated with each project planned for construction during the annual planning horizon.

The planning process follows the principles of the 7 Steps. Communities are encouraged to participate in RWSS projects. Each province has an idea of how many projects can be supported annually and which communities are local priorities. When a local priority community requests support these can be added to the District Plan. This plan is then forwarded to Province for approval and then to Nam Saat Central to be added to the annual plan. Nam Saat Central send their plan to the Ministry of Health for final approval prior to submission to the Ministry of Finance.

The Ministry of Finance allocates funds to the Ministry of Health, which in turn reallocates funds to the Department of Hygiene. Nam Saat Central makes application to the Department of Hygiene for funding based approved workplans. At Provincial level the Provincial Health Departments allocates funds to Nam Sat Provincial based on approved activities supporting 7 Step activities.

The Province may elect to release funds to District level if it is deemed that a District has the management capacity to utilize funding correctly.

Once funding is allocated, project activities may commence. The 7 Step cycle on average will take two years to complete in each community. Year 1 is identification of demand and preparation in those communities and then planning technical provisions. Successful implementation of the first steps of the cycle will lead to the next steps in the second year. Year 2 is construction, and training for the community to manage sustainable RWSS provisions.

## **7. Organisation**

### **7.1 Legal framework**

The Water Law and Hygiene, Prevention and Health Promotion Law will also be used to clarify roles and responsibilities, and to facilitate working partnerships with other agencies in the water resources sector.

- The Water and Water Resources Law (No 02-96/NA of 11/10/1996) of the Lao Government,
- The Decree to Implement the Law (No 204/PM 9/10/01)
- The Hygiene, Prevention and Health Promotion Law (No 04/NA of 10/4/01)

will be the basis for defining the future role of rural water supply and environmental health, in the context of integrated water resource management.

The Water Law and Hygiene, Prevention and Health Promotion Law will also be used as the foundation for more detailed preliminary proposals to Government for further legislation and regulation, specifically for rural water supply and environmental health. This will include setting and enforcing water and sanitation standards and norms.

### **7.2 Nam Saat's Roles**

Currently the Nam Saat has responsibility for water supply in the rural areas, and environment health for both rural and urban areas.

The mandate for Nam Saat refers in particular to the key role as a facilitator and supporter of essentially community based efforts to improve rural water supply and sanitation services.

Nam Saat has the following scope of work and responsibilities

- Nam Saat is the lead agency responsible for supporting, coordinating and facilitating all rural water supply and environmental health activities.
- Nam Saat is responsible for promoting appropriate planning, placing emphasis on partnership, participation and management, with sector partners.
- Nam Saat is responsible to ensure support for:- decentralisation, community based management and planning, improved capacity for operation and maintenance, adequate initial and recurrent financing arrangements, implementation linked to public participation and improved behavioural change

- Nam Saat is responsible to ensure the use and long-term sustainability of water and sanitation provisions, the positive impact of such provisions from a health and from an economic and environmental point of view.
- Nam Saat is responsible to plan for appropriate community training and support public participation

An improved institutional framework will facilitate communications between villages, Districts, Provinces, Regions and central policy makers and planners, as well as horizontal access to various departments and ministries related to the water sector.

## **ANNEXES**

### **A Legal Framework**

- A1 The Water and Water Resources Law (No 02-96/NA of 11/10/1996)
- A2 Decree to Implement the Water and Water Resources Law (No 204/PM 9/10/01)
- A3 PM Decision on Management and Development of Water Supply Sector (No 37/PM 30/9/99)
- A4 Hygiene, Prevention and Health Promotion Law (No 04/NA 10/4/01)
- A 5 Water Quality Targets (No 953 MoH/14/7/03)

### **B Draft Decision on the Organization and Scope of Work of the National Center for Environmental Health and Water Supply**

### **C Technical Appendices**

- C1 The 7 Steps Implementation Process
- C2 Glossary of Terms

### **D The 7 Steps - Operational Guidelines and Implementation Process**

### **E Government Process for Project Financing**

**Annex A1**

(No. 02 11/10/1996)

**WATER AND WATER RESOURCES LAW.**

**LAO P.D.R.**

**UNOFFICIAL TRANSLATION**

**BY**

**ADB TA 1764-LAO (SRIDP).**

Lao Peoples Democratic Republic.  
Peace, Independence, Democracy, Unity, Prosperity.

No. 106.

Presidential Statement

concerning the Use of Water and Water Resource Law.

Based on the Constitutions of Lao PDR, item No 1 of article 53 under Group V;

Based on the resolutions of the Ninth Regular Parliament Meeting concerning the endorsement of the Water and Water Resource Law Act as per letter No. 005 dated October 11, 1996;

Based on the proposal made by permanent Representatives of Parliament as per letter No. 08 dated October 16, 1996;

The President of Lao Peoples Democratic Republic has issued as:

Article 1 - To announce the adoption of the Water and Water Resource Law/

Article 2 – This statement is effective from the date shown below.

Nouhak PHOUMSAVANH  
The President.

Vientiane, November 2, 1996.

Lao Peoples Democratic Republic  
Peace, Independence, Democracy, Unity, Prosperity.

Parliament House

No. 05.

Endorsement of the Parliament of the Water and Water Resource Law.

Based on Article No. 40, item 2 of the Constitution and based on Article No. 2, item 2 of the Constitution Law of the Lao People Democratic Republic;

Based on the proposal made by HE Kham Ouane BOUPHA, Minister, Ministry of Justice, Lao Peoples Democratic Republic;

After a long and in-depth study of the proposed Law, the Ninth Regular Meeting of the 111 Parliamentarians in the afternoon session of October 11, 1996,

**AGREED**

Article 1 - To unanimously endorse the Water and Water Resources Law.

Article 2 – The endorsement is to be effective from the date set out below.

Samane VINHAKET.  
Parliamentary Chairman.

Vientiane, October 11, 1996.



## **WATER AND WATER RESOURCE LAW.**

### **GROUP 1- GENERAL PROVISIONS.**

#### **Article 1 – The Role of the Water and Water Resource Law.**

The Water and Water Resources Law provides Principles, Regulations and Measures governing the Management, Exploitation, Development and Use of Water and Water Resources within Lao PDR; with the aim to protect and sustain Water resources and Water particularly with regard to the assurance of water in sufficient quantity and of sufficient quality to satisfy the national needs in terms of domestic, agricultural, industrial uses and the uses of other sectors in such manner as to protect the Natural Environment.

#### **Article 2 – Water and Water Resource.**

For the purpose of this Act, Water is defined as the natural liquid substance which is the basic element of Water Resource. Water Resources are natural resources, living and non-living, which are in the water and include aquatic weeds, sand, gravel, fish, minerals, etc.

#### **Article 3 - Water Sources and Basins.**

A Water Source occurs when water is collected or stored, or where there is a natural movement, either permanent or temporary. Water Sources may be on the ground surface, underground or in the atmosphere.

Surface Water is a water source on the ground surface in a continuous line or at a specific location, such as rivers, streams, swamps, reservoirs or ponds.

Underground Water is the water source located under the ground in strata, in layers, in bulk or mixed with the soil.

Atmospheric Water is the water source located in the atmosphere as cloud, rain snow, fog, etc.

A River Basin is the land and forest from the upstream reach of the river to the effluent of that river where all rain water falling within its boundary will tend to flow towards the effluent of the river, as a water resource system.

#### **Article 4 – Ownership of Water Resource and Water.**

Water Resources and Water are the property of the people of Lao PDR as a whole. The Government acts on behalf of the people to manage and to evenly and equitably share the uses of the water. Individuals and organisations will have the right to use the water for specific purposes only when authorisation is given by the concerned authority, except for use of a minor nature, as indicated in this Law hereafter.

**Article 5 – Promotion, Development and Protection of Water and Water Resources.**

The Government promotes the Exploitation, Use, Preservation and Protection of Water and Water Resources and the control of related harmful effects.

**Article 6 – Basic Principles in Water and Water resource Management and Use.**

Water and Water Resource management and use must follow the principals of national planning, and the planing cycle, as set out in Article 22 of this Law.

**Article 7 – Duty to Preserve Water and Water Resource.**

In order to preserve and to use Water and Water Resources in the most effective way, individuals, organisations and communities have a responsibility to strictly obey the Water and Water Resources management and use Regulations.

**GROUP II – WATER RESOURCE AND RIVER BASINS SURVEY, REGISTRATION AND CLASSIFICATION.**

**Article 8 – Survey and Registration.**

The Ministry of Agriculture and Forestry in directly responsible for the survey and inventory of Water Resources and River Basins, nation wide, in collaboration with relevant agencies and local authorities.

**Article 9 – Water Resources Classification.**

To assist National Planning in Lao PDR, Water Resources are to be classified as follows:

- (i). Drinking Water and Domestic Water Sources are sources of water to be specifically reserved for human consumption and use.
- (ii). Reserved Water Sources are sources of water reserved for natural wild life and other living creatures, including activities related to environmental protection.
- (iii). Water Sources for Irrigation are sources of water for Agriculture, Forestry and Livestock production.
- (iv). Water Sources for Hydropower are sources of water for hydropower production.
- (v). Water Sources for Industry are sources of water for industrial use.
- (vi). Water Sources for water Communication are sources of water for water transport and navigation.

- (vii). Water Resources for Recreation are sources of water for recreation.
- (ix). Water Resources for Health and Hygiene are sources of water for health and hygiene.

**Article 10 – Types of River Basins.**

River Basins are classified into three types:

- (i). Main River Basin, is the Basin of the Mekong River, within Lao territory.
- (ii). Tributary River Basin is the Basin of the Tributary River of the Mekong, or other river in Lao territory.
- (iii). Small Basins are the Basins of Water Resources that flow into Mekong tributaries and other rivers.

The organisation stated under Article 8 of this Law is responsible for classifying and defining boundaries of these River Basins.

**Article 11 – Water Resource and River Basin Planning.**

The planning of Water Resources and River basins must be based on surveys undertaken and data collected. This in to ensure that water and water resources are managed in the most effective way and in accordance with priorities and targets.

**Article 12 – Water Resource and Water Distribution.**

The Government will determine the distribution of Water and Water Resources in order that they will be equitably and sustainably shared and that targets may be met.

**GROUP III – USES OF WATER AND WATER RESOURCES.**

**Article 13 – Purpose of the Utilisation of Water and Water Resources.**

Water and Water Resources may be legally used for different purposes such as: family domestic use; irrigation; fishery; agricultural production; livestock; hydropower; industrial production; navigation; sport; recreation; cultural; medicinal; etc.

For Hydropower and Irrigation, there will be specific Regulations for Uses.

Water Resources may also be available for multi-purpose use as appropriate.

The use of underground water must be reserved for drinking purposes and its use for medium and large scale activities must receive prior authorisation by the responsible organisation.

**Article 14 – The Right to the use of Water and Water Resources.**

Individuals, communities and organisations have the Right to use Water and Water Resources for family domestic or business purposes.

The Right to use Water and Water Resources are classified into Small Scale Right to Use, Medium Scale Right to Use and Large Scale Right to Use.

The Rights to use Water and Water Resources must be in accordance with National Water Resource Planning.

**Article 15 – Small Scale Use.**

The following purposes are considered Small Scale Use:

- \* family domestic use and community requirement, cultural use and sport.
- \* fishing, fisheries and for other water life.
- \* soil, sand gravel, aquatic weeds which are situated in, or nearby the Water Resource.
- \* basic agriculture, forestry and livestock production needs of the family.

The above Small Scale Use will always be permitted except where there are restrictions by concerned Ministries or Local Authorities.

**Article 16 – Medium Scale Use.**

The following purposes are considered Medium Scale Use:

- \* small weir or dam across, or to change the direction of flow of, a stream; a rock wall, dyke to be used as a roadway or reservoir for irrigation or hydropower generation, livestock or fisheries.
- \* extraction of sand, gravel, soil, minerals, trees or aquatic weeds which are situated in or near the water resource and which will create minor harmful effects to the existing natural environment.
- \* small scale pump installations to pump water for agricultural use other than for production for family consumption.
- \* tourism, sport and culture.

### **Article 17 – Large Scale Use.**

The following purposes are considered Large Scale Use:

- \* medium and large scale reservoirs for irrigation, domestic water supply and hydropower generation.
- \* installation of structures, industrial plant, workshops, other large equipment within the Water Resource zone; or across or nearby a Water Resource.
- \* the use of a high quantity of water for industrial production or processing.

### **Article 18 – Operational Systems for Use of Water.**

Small Scale Users need not seek permission for use. The Medium Scale User and Large Scale User must seek and receive permission and the use of the resource must be registered. In the case of Large Scale Use, a feasibility study including an environmental impact study, sociological study and overall plan must be submitted with adequate solutions to any defined problems before the use of the resource is allowed.

### **Article 19 – Water and Water Resource Management.**

Management of Water and Water Resources will be centrally controlled as follows:

Permits for Large Scale Use will be issued by the Government. Permits for Medium Scale Use may be issued by the ministry concerned, except where the use is considered important, then it must be issued by the Government.

Management, monitoring and control of Water and Water Resources use are the responsibility of concerned sectoral agencies and local authorities

## **GROUP IV - WATER RESOURCE DEVELOPMENT AND MANAGEMENT.**

### **Article 20 – Water Resource Development Schemes.**

Water Resource Development Schemes are those related to construction, exploitation, installation, improvement, extension, rehabilitation of catchment, ponds, underground works, ditches, dikes or pipe works, storage of water on the surface, underground or in the atmosphere for any purpose as stated in Article 13 of this Law, including flood, drought and erosion protection schemes.

### **Article 21 – Water Resource Development Activities.**

Except in the case of Small Scale Use, individuals or organisations may not initiate any development works unless Right to Use has been authorised by the concerned organisations.

**Article 22 – Principles in Water Resource Development Management.**

Principles to be adopted are as follows:

- (i). development must be in accordance with the National Social, Economic and environmental Master Plan; Sector Development Plans and the Implementation Plan of each National Program.
- (ii). development must ensure the preservation of Water and Water Resources, Nature, the environment and Scenic Beauty of the countryside.
- (iii). development must be undertaken in such way as to provide protection from the harmful effects of water.
- (iv). development must be controlled by the relevant organisation responsible for Water and Water Resources.

**Article 23 – Management of Water Resource Development Schemes.**

Government organisations responsible for Water and Water Resource Management will issue regulations concerning water resource development. Individuals and organisations undertaking Water Resource Development Activities must properly maintain work in good order and safe condition. Individuals and organisations benefitting from any Water Resource Development must contribute to the operation and maintenance of these schemes.

**Article 24 – Funds for Watershed and Water Resource Protection.**

Development of Water Resources must contribute funds for Watershed and Water Resource protection.

**Article 25 – Promotion of Watershed and Water Resource Protection for Hydropower Development.**

The Government will encourage the use of water sources for large, medium and small scale Hydropower Generation wherever suitable. Water sources must be used to their full potential, and where possible, hydropower development should be planned to provide other benefits.

Planning should be comprehensive, covering the whole river basin. Hydropower projects must be developed with due concern for environmental protection, flood protection, water supply, irrigation, navigation, fisheries and others.

**Article 26 – Encouragement of Reservoir Development for Agricultural Purposes.**

The Government encourages the development of reservoirs for Agriculture, Forestry and Livestock production. Local authorities have the responsibility to promote and support these activities through the provision of credit facilities, exemption of taxes, etc.

**Article 27 – Change of Direction of Flow.**

In medium scale Water Resources Development, the change of direction of flow must only follow the approval of Government. For large scale Water Resources Development, change of direction of flow must also be approved by the National Parliament.

**Article 28 – Human Resettlement.**

If Water Resources Development requires Human Resettlement, the developer or project must make adequate arrangements and funding for such resettlement.

**GROUP V – WATER AND WATER RESOURCE PROTECTION.**

**Article 29 – Water and Water Resource Protection.**

Individuals and organisations are required to protect Water and Water Resources from drying up or becoming spoilt or polluted. Water and Water Resources must be used in the most economical way and in such way as not to adversely effect the environment or scenic beauty of the countryside. Furthermore, forest and land resources within the watershed must be protected in accordance with Water Resource, Forest and Land Allocation Plans. In order to preserve the water resource, the Government will reserve areas and determine protection procedures for all water resources.

**Article 30 – Water and Water Resource Protected Zones.**

The Government will determine Water and Water Resources Protected Zones to ensure adequate supplies of water of sufficient quality to serve the drinking and domestic needs of people in both urban and rural areas. Protected Zones shall be delineated with boundary fencing. No development including building, agriculture, industry, extraction of rock, sand or minerals nor cemeteries will be allowed within the Protected Zone. The discharge of wastewater and the dumping of garbage, chemicals, mine tailings or any harmful material will not be allowed within the Protected Zone.

In the event that the quality and quantity of water available for human consumption is threatened, the Government will extend the area of the Protected Zone and add additional protective measures.

**Article 31 – Restrictions.**

In order to protect Water and Water Resources in the most effective manner, individuals and organisations are not allowed to undertake the following activities adjacent to Water Resources:

- \* exploit, use or destroy Water or Water Resources.
- \* cut trees.

- \* excavate, clear or undertake land levelling which will create erosion.
- \* dump materials which will adversely effect, or pollute, the Water Resource

Except where authorised, it is not permitted to undertake the following activities adjacent to Water Resources:

- \* to construct any building.
- \* to extract sand, gravel or rock.
- \* to excavate drainage lines, modify or change public swampy areas and ponds including the property of individuals where such change may adversely effect the public.
- \* to obstruct the flow of water in natural water sources or navigational ways.
- \* to obstruct the flow of water in natural water sources or navigational ways.
- \* to change the direction of flow, construct dikes, install gates or excavate medium or large drains.

As well as the above restrictions the Government must promote Tree Planting and Reforestation in Protected Zone.

### **Article 32 – Water Quality Standards.**

The Government will control the standard of Waste Water to be discharged to water resources and elsewhere.

### **GROUP VI – RIGHT OF WAY.**

#### **Article 33 – Right of Way.**

Water must be allowed to follow its natural course.

#### **Article 34 – Natural Right of Way.**

Land owners must allow the natural flow of water to proceed downstream, unhindered. If the natural flow of water is obstructed, the land owner creating the obstruction will be responsible for all resultant loss to upstream or downstream land owners who are adversely effected by the obstruction.



**Article 35 – Legal Right of Way.**

Individuals or organisations having obtained a permit to develop a Water Resource shall have the right to convey all types of water, including waste water, by pipe or trench through land owned by other individuals or organisations provided there is no harm or loss to these other land owner(s). Where harm or loss does occur, the developer will compensate the other land owner(s).

**Article 36 – Rights of Land Occupiers.**

Where water passes through, or adjacent to, the land of another occupier, that occupier shall have the right to the use of the water. That land shall also contribute to the cost of construction, and operations and maintenance.

**Article 37 – Government Rights.**

Government organisations managing Water and Water Resources have the right to install equipment, construct structures or reticulate electricity, necessary for water distribution or control of water quality, on, or across, the land of another land owner. The other land owner(s) will be duly compensated for any loss or harm done.

**Article 38 – Resolution of Disputes.**

Disputes will be resolved by the mediation of Local Authorities. If agreement, at this level cannot be reached, the dispute will be referred to the Court.

**GROUP VII – HARMFUL EFFECTS, CONTROL AND PROTECTION OF WATER.**

**Article 39 – Harmful Effects of Water.**

Harmful effects of water includes flood damage, damage by rising and falling river levels, saline intrusion, waste water pollution, lack of water, sedimentation and erosion.

**Article 40 – Flood Protection.**

Relevant authorities at all levels must take a lead role and use effective measures to control flooding and protect from subsequent damage in accordance with the overall National Plan. During flash floods or any emergency, local authorities will make decisions necessary to reduce the damage and loss.

To control and protect against floods, all levels of all authorities have the right to requisition materials, labour and Government budget, and the mobilisation of organisations and individuals. Once the flood situation has passed, all equipment will be returned to the owners and payment will be duly made to compensate for any loss or damage.

All elements of government authorities and the community must cooperate in the control of flooding and prevention and reduction of subsequent damage.

**Article 41 – Erosion and Protection.**

Relevant Government agencies at all levels are responsible, and must take all practical measures, for the control and protection of erosion by water. Activities such as construction work; logging; mining of minerals; extraction of sand or gravel; and speeding boats, that are likely to cause erosion, are prohibited.

Additionally, in order to effectively control erosion, all relevant Government agencies at all levels must have plans for erosion protection structures and must initiate tree planting programs and take other suitable measures along river banks.

**Article 42 – Waste Water Protection.**

Waste Water is previously used water which may be reused after treatment. Polluted Water is Waste Water containing dirty or contaminated substances which cause the water to be a danger to the environment. All individuals and organisations must observe the regulations concerning the control of polluted water.

Activities likely to damage Water Resources, the environment or quality of human life are prohibited. The discharge of water or dumping of waste into a water source is prohibited if such discharge or dumping will lower the quality of the water source.

Waste water from industries, factories, abattoirs and hospitals must be treated prior to discharge to water sources.

The public has a responsibility to report prohibited discharge or dumping of waste water, or other waste, to relevant Government agencies.

**Article 43 – Monitoring and Checking.**

In order to protect Water and Water Resources and the Environment, avoiding adverse effects and loss of life or property relevant Government agencies must regularly monitor and check the following:

- \* Standard, quality and quantity of water as determined.
- \* Proper use of Water and Water Resources in accordance with defined types and operational systems,
- \* That development is executed in accordance with National Socio-Economic and Environmental Planning and to the Water Resource Allocation Plan.
- \* That regulations and other provisions under the Water Law are followed.

Additionally, a fund for Water and Water Resources Protection should be established.

**GROUP VIII - INTERNATIONAL COOPERATION ON THE USES, MANAGEMENT AND DEVELOPMENT OF WATER AND WATER RESOURCES.**

**Article 44 – Development and Management of International Water and Water Resources.**

Exploitation, use, management, protection and sustainable development of International Water and Water Resources must be in accordance with International Laws or agreements among countries. The uses and preservation of international water sources and water resources must respect each others equality, independence, authority and integrity.

**Article 45 – Dispute Resolution for International Water and Water Resources.**

Disputes relation to the exploitation, use, management and protection of international Water and Water Resources between Lao PDR and neighboring countries will be resolved by the Government of Lao PDR and the government of the respective country on the basis of friendship, using diplomatic avenues according to international agreement.

**GROUP IX - INCENTIVES AND PENALTIES.**

**Article 46 – Incentives for Individuals and Organisations upholding the Water Law.**

Individuals and organisations successfully protecting, developing, exploiting, using and preserving Water and Water Resources within the Water Law and protecting the Environment with the most effective results and in accordance with the national Economic Plan, the Water Sources Allocation Plan and the Preservation and Protection of the Environment Plan, will be awarded with felicitations and other incentives to be determined by the Government from time to time.

**Article 47 – Penalties.**

Individuals or organisations offending, under the provision of this Water Law will be educated, fined and imprisoned according to the seriousness of the case. In case individuals or organisations are found to be guilty, under criminal law, all equipment and vehicles used in the offence will be seized by the Government and construction work will be demolished and removed.

**GROUP X – FINAL PROVISIONS.**

**Article 48 – Responsible Organisations.**

The Government of Lao PDR is authorised to issue detailed regulations related to this Water Law in order to make it effective.

**Article 49 – Effectiveness.**

This Water Law will become effective ninety days after the official Presidential announcement and previous regulations and provisions in conflict with this Water Law are cancelled from that date.

Vientiane, 11 October, 1996.  
National Parliament Chairman

Samane VINHAKAT.

**Annex A2**

(No. 204/PM 9/10/01)

LAO PEOPLE'S DEMOCRATIC REPUBLIC  
PEACE INDEPENDENCE DEMOCRACY UNITY PROSPERITY

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**DECREE  
TO  
IMPLEMENT THE LAW ON  
WATER & WATER RESOURCES**

Lao People's Democratic Republic  
Peace Independence Democracy Unity Prosperity

Prime Minister's Office

No. 204/PM

Decree to Implement the Law on Water and Water Resources

- Based on Article 13, Paragraph 7 of the Law on Government of the Lao People's Democratic Republic, No 01/95, dated 8 March 1995;
- Based on the Law on Water and Water Resourced, No. 02/96/NA, dated 11 October 1996;
- Based on the agreement reached at the Meeting of Government Council, 25-26 August 2000, No. 28/PM, January 2001;
- Based on the proposal by the Water Resources Coordinating Committee, No. 44/WRCC-PMO dated 29 August 2001;

**The Prime Minister issues the following Decree:**

**Chapter I**

**General Provisions**

**Article 1: The Importance of Water and Water Resources**

1. Water and Water Resources are important to provide the basic needs for the people, for socio-economic development of the country and for the ecological system. Lao PDR is an Asian country rich in natural resources and particularly in water and water resources. The availability of these resources has created favorable conditions for the livelihood of the Lao people and the resources provide an important potential for the socio-economic development of the country.
2. All Lao people shall protect and manage water and water resources in a sustainable way. The Ministries, agencies and local authorities at all levels shall create public awareness and understanding among all people of the importance of water and water resources and the need to participate in the protection and management of these resources.

## **Article 2: Objective of the Decree**

1. The objective of this Decree is to implement the Law on Water and Water Resources and to establish the responsibilities of different ministries, agencies and local authorities with regard to the management, exploitation, development and use of water and water resources. The Decree shall also ensure efficient development and use, conformity with the socio-economic development planning, an increase in production, an improvement of the living conditions of the people and sustainable use of water resources.

## **Article 3: Organisations Responsible for Water and Water Resources**

Ministries and agencies responsible for the management, exploitation, development and use of water and water resources are:

1. Ministry of Agriculture and Forestry (MAF):- responsible for the management, exploitation, development and use of water and water resources in the fields of agriculture, for the prevention and control of flooding in agricultural areas, for the survey and collection of meteorological and hydrological data of Mekong, its tributaries and other rivers outside the Mekong Basin and for preparing, updating and disseminating the inventory of water sources and river basins.
2. Ministry of Communication, Transportation, Post and Construction (MCTPC): - responsible for the management, exploitation, development and use of water and water resources in the fields of communication, transportation, town water supply, urban drainage, protection of river banks, prevention and control of flooding. In addition, MCTPC is responsible for collection of hydrological data and hydrographic surveys for navigation.
3. Ministry of Industry and Handicraft (MIH): - responsible for the management, exploitation, development and use of water and water resources in the field of electricity, industry, mining, for drainage from industries, and for handicraft activities.
4. Ministry of Public Health (MPH): - responsible for the management, exploitation, development and use of water for the rural domestic consumption and health care.
5. Ministry of Trade and Tourism (MTT) is responsible for the management, exploitation, development and use of water and water resources in the field of tourism.
6. Science, Technology and Environment Agency (STEA): - responsible for ensuring coordination between different line agencies in establishing rules and regulations pertaining to the management of the environment, and water resources.
7. Lao National Mekong Committee (LNMC): - responsible for coordinating different line agencies to carry out studies, and implement policies, strategic plans, and programs of Mekong development projects in Laos which are included in the Development Plan of the Mekong River Commission, which is being prepared in coordination with countries in the Mekong Basin region, other countries and donors. LNMC is responsible for drafting laws and regulations that may be necessary as a result of the Chiang Rai Agreement dated April 1995.

8. Water Resource Coordinating committee (WECC): - responsible for coordinating line agencies in drafting of strategies and action plans, programs and regulations necessary for the planning, management, use and protection of water and water resources. It is also responsible for monitoring, control, promotion and reporting on the implementation of activities related to water and water resources.
9. The above ministries and agencies shall coordinate with the local authorities in the detailed determination of responsibilities and scope of activities within their sectors.

#### **Article 4: Management, Exploitation, Development and Use of Water and Water resources**

1. Management – is issuing and implementing rules and regulations, and evaluating, monitoring and controlling exploitation, development and use of water and water resources.
2. Exploitation – is making use of water and water resources, such as through drilling and digging to serve people's needs.
3. Development – is an activity for exploitation, gathering, or collection from surface water source or underground water source for a specific purpose.
4. Use – is taking water and water resources and carrying out some activities in or on water sources, to serve a specific purpose in order to benefit from it.

#### **Article 5: Planning for the Management, Exploitation, Development and Use of Water and Water Resources**

1. The management of water and water resources is divided into 2 levels: the National level and the River Basin level.
2. The WRCC and the LNMC shall coordinate the line agencies and local authorities in drafting the National Water Resources Plan (NWRP), and the water resources plan at the River Basin level, for the management, exploitation, development and use of water and water resources and shall submit these plans to the Government of Lao PRD (GOL) for consideration and approval. The NWRP shall aim to support the socio-economic goals of the GOL in order to promote the exploitation, development, and use of water and water resources, to protect [these resources], and to prevent and monitor negative impacts on water and water resources. The plan shall set out the national objectives, strategies and priorities for water resource development and management, including the institutional issues.
3. In case there are no plans for the management, exploitation, development and use of water and water resource in a river basin, the WRCC and LNMC shall prepare guidelines for the management, exploitation, development and use of water and water resources by the sectors. These guidelines shall be prepared through coordination with line agencies and relevant local authorities and shall submit these guidelines to the Government for consideration and approval.



## **Chapter II**

### **Survey, Inventory and Classification of Water Sources and River Basins**

#### **Article 6: Survey and Inventory**

1. The purpose of the survey is to collect data for the Inventory. The Inventory shall be used for the management of water and water resources.
2. The MAF through coordination with line agencies, WRCC and local authorities shall be responsible for the survey of water sources and river basins.
3. The Inventory of water sources and river basins must include data pertaining to the name, categories, size and characteristics of water sources.

#### **Article 7: Classification of Water Sources**

1. Classification of water sources for one specific purpose or multiple purpose use must be based on the quality, quantity and geographical location of the water sources.
2. The relevant ministries shall determine the ambient standards for quality and quantity for classification of water sources according to their objectives through coordination with WRCC and local authorities and submit these standards to the GOL for consideration and approval.
3. The ministries responsible are those specified in Article 9 of the Law on Water and Water Resources.

#### **Article 8: Types of River Basins**

1. The MAF, in coordination with WRCC and local authorities, is responsible for determining boundaries and classifying river basins to provide the basis for the management of water and water resources and submitting these boundaries and classifications to the Government for approval.

#### **Article 9: Water Sources and River Basin Allocation**

1. The WECC and the LNMC, through coordination with the line agencies and local authorities, shall be responsible for preparing River Basin Plans (RBP) and water resource management plans (WRMP). The WRCC shall submit these plans to the GOL for consideration and approval.
2. The RBP and WRMP must be in harmony with the National Socio-economic Plan and the Land and Forest Use Management Plans.

3. The relevant ministries shall manage water distribution plans within their ministries to meet the requirements of the approved RBP and WRMP.

### **Chapter III**

#### **The Use of Water and Water Resources**

##### **Article 10: Management of Groundwater**

1. The management of groundwater must be based on the purpose of the use.
2. Groundwater used for domestic purpose and health care is managed by MOH.
3. Groundwater used for industry and handicraft is managed by the MIH in consultation with the MOH.
4. Groundwater used for agriculture and forestry is managed by MAF in consultation with the MOH.
5. Individuals and organisations that would like to exploit and use groundwater for medium and large-scale uses shall apply to the competent authority.
6. The WRCC will settle any disputes regarding the use of groundwater.

##### **Article 11: Sizes of Water Use**

1. The relevant ministries in cooperation with the WRCC and local authorities shall prepare standard categories for water use within their sector and submit these to the GOL for approval to achieve consistency between different ministries.
2. The relevant ministries shall coordinate with the local authorities to determine if any small-scale use is to be prohibited within their sectors.

##### **Article 12: The Licensing of Water Use and Water Resources Development Activities**

1. The relevant ministries shall issue regulations on the licensing medium-scale water use and water resource development activities within their sectors. Local authorities shall be involved in licensing medium scale water use. The Government must approve medium scale water use that is important.
2. Individuals and organisations that, wishing to undertake large-scale water use and water resource development activities, shall apply to the relevant ministries to gain the approval of the GOL. The application for large-scale water use must be accompanied by a feasibility study and environmental impact studies.
3. The relevant ministries shall be prepare guideline on the preparation of feasibility studies, and environmental impact studies in accordance with Article 8 of the Environmental Law.

4. The ministries, the WRCC, LNMC and local authorities shall monitor and control development of water resources and water use and report to the Government on a regular basis.

## **Chapter IV**

### **Development of Water Resources and Management of Water Resources Development Activities**

#### **Article 13: Principles for the Management of Water Resource Development Activities**

1. The relevant ministries and the local authorities shall ensure that water resources development activities are in conformity with the socio-economic development plan, master plan, sectorial and provincial development plans, and approved construction plans.
2. The relevant ministries and local authorities shall propose Water Resources Development Plan to the State Planning Committee for approval. A project document shall include a feasibility study, environmental impact study and a community participation plan.

#### **Article 14: Management of Water Resource Development Activities**

1. The relevant ministries and local authorities shall ensure that individuals, and organisations maintain infrastructure in a good and safe condition. These ministries and authorities must also ensure that consumers and those people who benefit from water development activities contribute to the supply of information and to the maintenance costs of water development activities.

#### **Article 15: Water Sources and Water Resources Protection Fund**

1. The WRCC shall propose regulations to establish and manage a Fund for the protection of water sources and water resources, in coordination with the relevant ministries and the Ministry of Finance, and submit these regulations to the GOL for approval.
2. Conditions attached to licenses for water use and for water resource development activities must require contributions to be made to the Water Source and Water Resources Protection Fund.
3. Regulations on the Water Sources and Water Resources Protection Fund shall conform to regulations on other funds in order to avoid overlapping and ensure harmonisation.

#### **Article 16: Promoting Protection of Water Source and Water Resource for Electricity Production**

1. The MIH shall ensure hydropower development projects follow the River Basin Plan consistent with the principles of integrated water resources development, and the Water Allocation Plan, in order to avoid any inconsistencies with other sectorial plans.

2. If no water resources allocation plan exists, planning for the development of hydropower projects shall take place in consultation with the WECC, ministries and relevant local authorities.
3. The cost of hydropower projects must include contributions to be made to the Water Sources and Water Resources Protection Fund.

### **Article 17: Support for People to Build Reservoirs**

1. The MAF shall train local staff so they can lead people in planning and constructing reservoirs for use at family, collective, village, district and provincial levels for agriculture, forestry and livestock.
2. The local authorities shall facilitate the construction of reservoirs for agriculture, forestry, livestock and other purposes.
3. The cost of constructing and maintaining large reservoirs must be met from a fund established for that purpose.

### **Article 18: Diversion, Alteration of Water Flow or Change to a Natural Channel**

1. The WRCC and LNMC shall coordinate with different ministries and local authorities in preparing regulations concerning diversion of rivers and streams, alteration of water flow or change to a natural channel and shall submit these regulations to the Government for approval.

### **Article 19: Notification and Public Consultation on Water Resources Development**

1. All water resource development projects, particularly construction of dams, irrigation schemes, and the diversion of rivers and streams must go through a public consultation process with the people in those locations.
2. When a water resource development project is expected to have an impact on the natural or social environment, the ministries and local authorities shall issue a notification and inform the people about the water resource development project through newspapers, public notices and other means. The ministries and local authorities, depending on the type of projects, shall determine the duration for such notification. The ministries and local authorities shall organize public hearings in the relevant location. The developer or its representative shall attend such public hearing and provide detailed explanation and information on the proposed mitigation measure. All costs associated with the public hearing shall be the responsibility of the developer.

### **Article 20: Resettlement of People**

1. Where water resource development activity must necessarily resettle people, the ministry in charge of that project shall establish an ad-hoc committee comprising representatives

of the relevant ministries, the developer and local authorities. The ad-hoc committee shall recommend a resettlement plan and regulations for the project to the GOL for approval.

2. The implementation of the resettlement plan shall start with making people fully aware of the plan.
3. The cost involved in the resettlement of people and compensation must be included in the cost of the water resource development activity
4. The resettlement must ensure that the people have better living conditions in their new location.

## **Chapter V**

### **Protection of Water and Water Resources**

#### **Article 21: Protected and Reserved Areas for the Conservation of Water Resources**

1. The MAF in coordination with the ministries, WRCC and local authorities shall determine protected and reserved areas, establish rules and regulations, boundaries, prohibited activities and organisation responsible for the management of such area. Protected and reserved areas that are important must be submitted to the GOL for approval.
2. In protected and reserved areas, it is prohibited to carry out activities as provided in Article 31 of the Law on Water and Water Resources.

#### **Article 22: Reserved Water and Water Resources Area for Domestic Water Supply**

1. The MCTPC shall, in coordination with the MAF, determine reserved area in order to ensure water supply to urban areas.
2. The MPH shall, in coordination with the MAF, determine reserved areas in order to ensure water supply to rural areas.
3. The MCTPC and MPH shall, in coordination with the local authorities, develop regulations to implement management of water and water resources in reserved area, including defining prohibited activities, in order to ensure water quality and quantity for both urban and rural populations,

#### **Article 23: Water Quality Standards**

1. STEA is responsible for the management and control of wastewater discharge.

2. The MCTPC is responsible for determining water quality standards of water and treatment methods for wastewater from urban area that is discharged into the water and other sources.
3. The MOH is responsible for determining water quality standards for drinking water and wastewater, including methods of treatment of wastewater, related to health activities.
4. The MAF is responsible for determining water quality standards for agriculture and its wastewater and also for methods of treatment of this wastewater.
5. The MIH is responsible for determining water quality standards for industry and handicraft activities and their wastewater and also for methods of treatment of this wastewater.
6. The local authorities shall, in coordination with the relevant ministries, be responsible for issuing regulations on dumping waste and noxious materials into water and other places and for implementing controls for water quality, discharge of wastewater and dumping of waste.

## **Chapter VI**

### **Undeniable Facts**

#### **Article 24: Undeniable Facts**

1. The developer of water resources shall clearly indicate on the application form the potential damages that may occur to individuals or organisations as a result of undeniable facts. The developer shall also propose measures, to solve the problems.
2. Before undertaking water development activities, solutions to problem arising from undeniable facts must be mutually agreed between the developer and the party that is expected to suffer damage.
3. The license for water resource development must clearly indicate the rights and obligations of all parties pertaining to undeniable natural and legal facts.
4. The ministries and local authorities issuing water resources development licenses shall monitor the implementation of the agreed measures to solve the problems related to undeniable facts.

#### **Article 25: Compensation for Damages**

1. The relevant ministries and the local authorities shall consult with the land occupier and resolve problems related to damages arising from installation and construction sites for distributing, inspecting or improving water quality, including the laying of electricity lines and water pipes through such land. In case the parties could not reach an agreement, the matter should be taken to the court.

## **Chapter VII**

### **Prevention and Control of Water Damages**

#### **Article 26: Prevention and Control of Flooding**

1. The prevention and control of flooding must follow the rules, regulations established by the National Disaster Management Committee.
2. The local authorities at all levels must take initiative in measures to prevent flooding and shall encourage people to provide equipment, labor and use government and private budgets to prevent and control flooding. Individuals and organizations shall assist local authorities in the prevention and control of flooding.

#### **Article 27: Prevention and Control of Erosion**

1. The MCTPC shall be responsible for the establishing rules and regulations and for implementing measures to prevent and control erosion on riverbanks.
2. The MAF shall be responsible establishing rules and regulations, undertaking management, and implementing other measures to prevent erosion in forest and agricultural land.
3. It is prohibited to carry out activities that would cause erosions such as: construction, logging, taking gravel, sand and minerals. The following activities shall be carried out: plantation of trees along river, banks, construction of embankments.

#### **Article 28: Wastewater Treatment and Prevention of Pollution**

1. Individuals and organisations shall treat wastewater before it is discharged to a water source or another place to meet the standards determined by the ministry concerned with the purpose of their project.
2. The relevant ministries and local authorities are to manage waste and noxious materials so as to avoid damage to the surface and underground water sources.

#### **Article 29: Monitoring and Control**

1. The relevant ministries, the WRCC and local authorities are responsible for the monitoring and control of the implementation of measures provided in this Decree and shall report to the GOL on a regular basis.
2. There are 3 types of monitoring and control:
  - Regular control
  - Control with prior notice
  - Control without prior notice

## **Chapter VIII**

### **International Cooperation on Water and Water Resources**

#### **Article 30: International Water and Water Resources**

1. All matters related to international cooperation in regard to the exploitation, use, management, protection and development of international water and water resources within the Mekong River Basin are under the control of LNMC and WRCC.
2. All matters related to international cooperation in regard to the exploitation, use, management, protection and development of international water and water resources which are outside the Mekong River Basin are under the control of the WRCC.
3. The MFA and the LNMC shall be responsible for the resolution of disputes related to international water and water resources.

## **Chapter IX**

### **Application of Privileges to Productive Persons and measures Against Offenders**

#### **Article 31: Application of Privileges to Productive Persons**

1. The relevant ministries and local authorities shall grant privileges to individuals and organisations that have outstanding achievements in the protection, development, exploitation, use, conservation of water sources and water resources.

#### **Article 32: Measures Against Offenders**

1. Individuals and organisations that have contravened the Water and Water Resources Law or this Decree will be educated, penalised or punished in accordance with the Laws of the Lao PDR depending on the seriousness of the violation. In case of civil compensation or criminal punishment, additional measures may be taken such as: any structure which is illegal under the Water and Water Resources Law or this Decree shall be demolished.

## **Chapter X**

### **Final Provisions**

#### **Article 33: Implementation**

1. Ministers and those of equivalent rank, provincial governors, municipal governor, and chief of the special zone shall implement this Decree according to the responsibilities specified in this Decree.



**Article 34: Entry Into Force**

1. This Decree shall become effective from the date of signature. Rules and regulations that contradict this Decree shall be void.

Vientiane, 9 October 2001

Prime Minister

Bounnhang Vorachit

**Annex A3**

37/PM 30/9/99

Lao People's Democratic Republic  
Peace Independence Democracy Unity Prosperity

**Prime Minister's Office**

**No. 37/PM**

**Prime Ministerial Decision**  
**on**  
**Management and Development of Water Supply Sector**

Referring to the Law No. 01/NA dated 08 March 1995 on the Government of Lao People's Democratic Republic;  
Based on the proposal No. 438/SPC dated 13 September 1999 of the President of the State Planning Committee;  
Based on the proposal No. 3154/MCTPC dated 09 September 1999 of the Minister of the Ministry of Communication Transport Post and Construction.

**The Prime Minister of the Lao PDR issues a Decision**

**Article 1: General Objective**

This Decision has an objective defining the policy of the Government of the Lao PDR on management and development of water supply sector to inform ministries, their departments, their authorities and their institutes, provincial governments, water supply entities, consumers, non-government organizations, donor organizations and other stakeholders of the strategies, targets, and operational frameworks aiming at concentration of all efforts for the effective and sustainable financing, development, and management of water supply and wastewater management systems in urban and rural area throughout the country.

In addition, this Decision is a policy of the Government in terms of sector administration, regulation, financing, cost recovery, utility operation, community awareness and participation, human resource development, water resources and private sector participation.

**Article 2: Division of Responsibilities on Sector Administration**

**2.1** The Ministry of Communication Transport Post and Construction (MCTPC) will carry out the function of:

- facilitation and coordination of the development process for water supply and wastewater management systems in urban and rural areas throughout the country, and

- Promotion and mobilization of all available resources toward achieving the set goals and objectives.

The Department of Housing and Urban Planning (DHUP) will assist the Minister of MCTPC in state administration on the water supply sector as follow:

- setting out short, medium and long term strategies on water supply development,
- planning of staff training on planning and management of water supply systems, and
- studying of regulations, standards, technical specifications, and performance indicators of water supply systems operation, in collaboration with the Water Supply Authority (WASA)

The WASA will carry out the function of:

- assisting the Minister of MCTPC in technical issues of the Water Supply Sector, including redevelopment of the MCTPC strategic plan in water supply and wastewater management system which set out in more detail planning, action plan and detailed projects in urban and rural areas throughout the country,
- setting norms, regulations, technical standards and technico-economic specifications on water supply and wastewater management systems, and
- Directing on behalf of the MCTPC the management and monitoring the implementation of the water supply sector policy.

**2.2** The Ministry of Public Health shall be responsible for the facilitation, coordination and direction of all rural water supply, and urban and rural environmental hygiene activities throughout the country.

The National Center of Environmental Health and Water Supply (NEW) shall be responsible for the management of technical aspects in promoting rural water supply, and urban and rural environmental hygiene throughout the country.

**2.3** The Ministry of Finance (MOF) will carry out the function of:

- investment support and financial arrangement for all funds utilized in the development of water supply and wastewater management systems, and environmental hygiene, and
- Financial support in the short- to medium-term to NPSEs where commercial targets cannot readily achieved.

**2.4** The Water Resource Coordination Committee (WRCC) will be responsible for coordination of planning, management, monitoring, water and water resource protection in order to secure the sustainable development and use of water and water resources.

**2.5** Provincial Governments will be responsible for:

- coordination, facilitation, and investment support in the development of water supply and wastewater management systems, and environmental hygiene;
- collaboration with the Department of Communication Transport Post and Construction (DCTPC) of the province concerned in finding out suitable solution to assist low income households which cannot afford the cost of sanitary facility,
- setting by-laws on water supply sector within the province concerned,
- direction of water supply and sanitation sector project implementation in the province concerned,
- collaboration with the WASA in proposal for admission of water sources development through the WRCC in accordance with the Prime Minister's Decree No. 09/PM dated 08 February 1999 on Organization and activities of the WRCC,
- institutional arrangements for the implementation and management of centralized wastewater management systems as for water supply when these systems become economically and financially viable, but until such time on site treatment will be pursued and the implementation and management of the facilities shall be the responsibility of the individual owner, and
- Rural water supply, and urban and rural environmental hygiene in the province concerned.

Nam Papa State-owned Enterprises (NPSEs) shall be responsible for:

- management and operation of all water supply and wastewater management system and development of raw water in urban and rural areas within their respective provincial boundaries. The operation shall be on commercial principle and in accordance with three-year rolling corporate plans; and
- compliance of the management of sanitary facilities with the sanitation regulation issued.

NPSW, which cannot readily achieve the commercial target, shall receive financial and technical support from the central government as well as from provincial government concerned

All communities throughout the country shall be responsible for protection of water supply and wastewater management systems, and environmental hygiene within the area they live.

### **Article 3: Establishment of the Water Supply Authority's Regulatory Board**

**3.1** The Prime Minister will approve the establishment of the Water Supply Authority's Regulatory Board to assume functions of key decision making and direction including consideration of regulatory matters and complaints or grievance from any consumer or Nam Papas entity.

**3.2** The Water Supply Authority's Board has a Secretariat, which is housed in the MCTPC and comprises of nine (9) members as follows:

a Vice Ministry of MCTPC	as Chairman
the Director of DHUP, MCTPC	as Vice Chairman
a representative of the Ministry of Justice,	as a general counsel
a representative of the Ministry of Finance,	as a financial adviser
a representative of the Science, Technology and Environment Authority,	as an environmental adviser
a representative of the Prime Minister Office.	as a member
a representative "industrial consumer"	as a member
a representative "residential consumer"	as a member
the Director of the WASA,	as a member

**3.3** The Secretariat of the Board has the Director of the WASA as full-time Secretary General and a number of full-time officers and is responsible for coordination and production of report on action plans of the water supply sector.

**3.4** Each Government member on the Board is nominated by their respective ministry and then approved by the Prime Minister. Positions on Board are part-time for a period of three year with no limitation on renominations.

**3.5** The two private sector representatives are selected by invitation and appointed on the basis of their standing in any community.

#### **Article 4: Financing of Sector Operations and Cost Recovery**

**4.1** All capital investments for water supply and wastewater management system are the responsibility of the NPSEs. They may request permission from the government to utilize a combination of debt financing and retained earning as sources of funding.

**4.2** Where low levels of consumer affordability do not permit NPSEs to generate sufficient revenues to acquire funds in this way, the provincial and central governments may consider supporting investments with grants from budgetary resources on a case by case basis. In such cases, the WASA and the DCTPC of the province concerned will provide technical assistance.

**4.3** Where external assistance is provided by a donor agency, MCTPC will facilitate and coordinate the level and direction of development funding, and MOF will disburse the fund.

The funds may either be provided to the NPSEs as debt, a mix of grant debt, or provided completely as a grant.

For the debt component, financing arrangement between the MOF and a NPSE will be determined in accordance with donor and Government requirements, and affordability levels, on a case by case basis. In any case the Government will require an interest rate on loans of at least 6-7 percent per annum.

Full debt service is sought on all loans, excepts where this requirement needs to be relaxed because tariff levels are constrained due to low affordability levels in the consumer population.

For external loans, the Government will assume the foreign exchange risk. The NPSEs will repay debt under onlending agreement at the exchange rate prevailing on the date the principal loan agreement is signed.

NPSEs are responsible for setting tariff to generate sufficient revenue to meet the cost recovery for all water supply and wastewater system, but this tariff should be within the constraints of affordability and willingness to pay of consumers. However, no system shall have a tariff less than that required meeting all recurrent costs including operating and maintenance costs. Where necessary, tariff should be set to generate surplus revenue in order to meet a proportion of depreciation or debt service.

**4.4** NPSEs shall adopt uniform province-wide tariffs to maximize the potential to cross-subsidize the poorer townships and communities.

**4.5** NPSEs shall set tariffs in a progressive block rate structure for each consumer category with a lifeline block for the poorer groups in the community.

**4.6** When setting the lower block tariff of the domestic consumer category NPSEs should aim at an affordability level of around 3 percent of the household income.

**4.7** For higher block tariff, NPSEs should aim for a higher level of around 5 percent of the household income to enable cross-subsidy between the different income groups in the community, whilst at the same time promote conservation of the resource,

**4.8** NPSEs shall adjust tariffs in a function of the component cost of labor, power and/or fuel, chemicals, and materials and in accordance with the guidelines set down by WASA. NPSEs shall seek approval of the provincial Governor concerned for tariffs adjusted.

## **Article 5: Utility Operation**

**5.1** NPSEs shall be responsible for management and operation of all metered water supplies within their respective provincial boundaries. They will operate on commercial principles, and in accordance with three year rolling corporate plans, which should be reported to WASA. All water production and consumption shall be fully and accurately metered.

**5.2** NPSEs shall implement the nonrevenue water (NRW) recommended by WASA aiming at maintaining NRW levels of no more than 30 percent.

**5.3** NPSEs shall adopt and maintain full commercial accounting systems, and shall prepare annual financial accounts, which should be reported to WASA.

**5.4** Accounts receivable of NPSEs shall not exceed three months of billings. NPSEs shall adopt a strict disconnection policy for consumers whose bills are more than three months overdue. All NPSEs shall adopt a target of 90 percent collection efficiency for water bills as standard policy.

**5.5** NPSEs shall operate and maintain their system in accordance with performance indicator such as water use efficiency, water quality, reliability of supply, staff utilization and the level of consumer complaints.

**5.6** NPSEs shall make provision for depreciation in accordance with norms, regulation and laws issued by the state. All depreciation provision shall be maintained in a dedicated account for such purpose and shall constitute and expense item in the PNP budget, and qualify as a tax-deductible item.

### **Article 6: Community Awareness and Participation**

**6.1** All beneficiary communities participate in the development of water supply and wastewater management systems from the beginning stage until during the period of operation and maintenance.

**6.2** AT the project preparation stage, all beneficiary communities shall be consulted on the needs, expectations, affordability, and willingness to pay for improved facilities. Feedback shall be incorporated into project design.

**6.3** After the project has been completed and has been commissioned, NPSEs shall mount regular consumer surveys to gauge the level of public appreciation of the service provided. Feedback shall be incorporated into operation and maintenance of the systems.

### **Article 7: Human Resources Development**

**7.1** Nam Papa Vientiane (NPV) shall develop skill and provide training courses and workshops, and disseminate information and manuals on all training and capacity building it has received. NPV shall also provide technical assistance to all Provincial Nam Papa State-owned Enterprises (PNPs) on project implementation.

**7.2** PNPs shall adopt a policy of ongoing skill development for all area and shall be responsible for the cost of trainees attending the courses and training fees. PNPs shall allocate an adequate budget for training purposes, and shall establish a dedicated account for such purpose. Training costs will be eligible as an expense item in the PNP budget as a tax-deductible item.

### **Article 8: Sector Development**

**8.1** The Government's goal is to provide 24-hour per day access to safe drinking water for 80 percent of the urban population by the year 2000. To meet this goal, Government has prepared a sector investment plan, which is appended, and constitutes an integral part of this

statement. The plan has been prepared with the intention of bringing about equitable development benefits for all regions of the country.

**8.2** The Water Supply Sector has an investment plan as follow:

- continuing investment in Vientiane and identifying the financing needs of provincial capitals to the year 2012,
- Identifying the financial needs of small town communities to the year 2020.

**Article 9: Private Sector Participation**

**9.1** The Government requires an appropriate regulatory framework for the involvement of the private sector in order to ensure open and effective competition.

**9.2** The WASA in collaboration with the DHUP, establish a regulation on promotion of private sector participation in the development of water supply and wastewater management system and submit to the Government for approval.

**Article 10:** The MCTPC, MOF, State Planning Committee, other line ministries concerned, and provincial governments shall be informed and implement this Decision effectively.

**Article 11:** This Decision is effective from the date of signature.

Vientiane, 30 September 1999

The Prime Minister of the Lao PDR

**Sisavath KEOBOUNPHANH**



**Annex A4**

**Annex A5**

**LAO PEOPLE'S DEMOCRATIC REPUBLIC  
PEACE INDEPENDENCE DEMOCRACY UNITY PROSPERITY**  
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Ministry of Health

NO. 953/MOH

**MINISTER'S RESOLUTION**

- Based on the Prime Minister's Decree No. 020/PM on the organization and implementation responsibilities of the Ministry of Health
- Based on the Consultation Meeting organized by the National Center for Environmental Health and Water Supply, Department of Hygiene and Prevention collaborated among WHO – UNICEF and other concerned organization for water supply and drinking water on 29 May 2003 at the Lao Plaza Hotel.
- Based on the proposal from the Department of Hygiene and Prevention.

**The Minister of Health  
Agreed that:**

Article 1: Agreed to rectify the Water Quality Targets of drinking water quality in the legal parameters and targets for the standard of drinking water in the Lao PDR.

1.1 Objectives:

- To propose the parameters for checking of water supplies to the population.
- To propose the legal parameters targets for the standard of drinking water in the Lao PDR.
- To provide clean and safe drinking water and regular water quality surveillance in the normal period or in emergency situation.

1.2 Water Quality Targets:

- This water quality targets are set for service providers/constructors of rural water supplies.
- The water quality targets are set to achieve an agreed level of water quality in rural areas.

- In specific catchment's areas, where mining or industrial activities suggest an increased public health risk due to substances/parameters, those parameter should be tested using the present World Health Organization (WHO) recommended guideline value.

1.3. Target Parameters:

- The selected parameters and its maximum allowed values indicated in the table below are the result of a consultative process within different Ministries, Departments and Water Sector Agencies.
- The selected country specific parameters and maximum values are based on prioritizing those parameters that will have greatest health impact on all the population and to which the poor may be particularly vulnerable.
- 

Parameters and maximum values indicated in the Lao PDR are as follows:

No.	Parameters	Unit	Suggested Targets of MOH
1	PH	pH	6.5 – 8.5
2	Turbidity	NTU	< 10
3	Taste and Odor		Acceptable
4	Conductivity	US/cm	1000
5	Iron	mg/l	< 1
6	Manganese	mg/l	< 0.5
7	Arsenic	mg/l	< 0.05
8	Fluoride	mg/l	< 1.5
9	Nitrate	mg/l	40
10	Thermo tolerant coliform	No. /100 ml	0
11	Total Hardness	Mg/l	< 500
12	Residual Chlorine in Chlorinated water supply	Mg/l	0.2

Article 2: All the organizations including government, private, the Governmental International Organizations and Non-Governmental Organizations (NGOs), other sectors, which supply and provided clean and safe water to populations in the rural areas in compliance these values.

Article 3: This Resolution is effective from the date of signature.  
 Vientiane, 14 July 2003  
 Minister of Health  
 Signed and sealed  
 H.E Dr. Ponemek Dalaloy

**Annex B**  
**DRAFT January 2004**

Lao People's Democratic Republic  
Peace Independence Democracy Unity Prosperity

Ministry of Health

No. \_\_\_\_/MoH  
Vientiane, \_\_\_\_\_

**Decision**  
**On the Organization and Scope of Work of the**  
**National Center for Environmental Health and Water Supply**

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- Based on: the Prime Minister's decree 37/PM dated 30/9/1999 assigning rights and responsibilities to different authorities, including the Ministry of Health, the Environmental Health and Water Supply Center, in supplying water in rural areas and ensuring urban and rural sanitation and hygiene.
- Based on the Prime Minister's decree 204/PM of 9/10/2001 on the implementation of the Law Water and Water Resources,
- Based on Decision 1427/MoH dated 15/10/1999 of the Minister of Health appointing the National Center for Environmental Health and Water Supply,

The Minister of Health  
Issues the following Decision

**Section I:**  
**Name, Position and Function**

**Article 1:** Title: National Center for Environmental Health and Water Supply (NEW)

**Article 2:** Location: The National Center for Environmental Health and Water Supply is a Center belonging to the Hygiene and Prevention structures of the Ministry of Health.  
Function: It is a technical body assisting the Department of Hygiene and Prevention in supervising and managing environmental health activities both in rural and urban areas and countrywide rural water supply and acting as advisor, facilitator and inspector and encouraging performance at each level.

**Section II:**  
**Mandate of the Centre**

**Article 3: Rights**

- 3.1 The right to supervise the performance of functions and duties described under Article 2 and Article 3; The right to manage the Center's accounting system, budget and financial assistance in accordance with financial rules (budget, loans, grants), keep an independent accounting system, and allow financial control by the Ministry of Health when required.

- 3.2 The right to manage and apply policies towards the Center's personnel through the submission of the Center's review and opinions to higher authorities for consideration.
- 3.3 The right to review, give comments and request opinions on matters relating to the organization, appointments, promotions, transfers, removals of and sanctions against officers under the Center's responsibility through the Department of Hygiene and Prevention of the Ministry of Health; Assist the Department of Hygiene in examining and drafting legal documents: laws, decisions, regulations, measures, resolutions, recommendations, instructions, notices, and handbooks relating to hygiene-prevention and health promotion for submission to the Ministry.
- 3.4 The right to propose appointing and canceling ad hoc committees or project coordination units under the Center's responsibility to carry out missions as required with the approval of central departments.
- 3.5 The right to directly report to the Ministry's leadership in urgent cases and brief central departments thereafter.
- 3.6 The right to participate in the drafting of agreements and memorandums with relevant domestic and international organizations or the private sector with the approval of the Department of Hygiene and official authorization of the Ministry of Health.
- 3.7 The right to enter into relations and cooperation and sign memorandums or technical cooperation agreements at the relevant level under approved master agreements.
- 3.8 The right to coordinate and organize the implementation of technical works with the relevant agencies within its scope of work and with the approval of the Ministry of Health's departments concerned.
- 3.9 The right to submit training programs, supervise the use of technical facilities, administer activities, and expend its budget in accordance with the rules and regulations and the approved plan;
- 3.10 The right to convene local leading officers involved in its scope of work and parties concerned with the approval of the Ministry of Health's departments.
- 3.11 Monitor and encourage the timely and effective execution of plans and programs of different projects within the Center and in local areas in line with the Law on Hygiene, decisions and regulations.

#### **Article 4: Tasks**

- 4.1 In coordination with the Department of Hygiene and Prevention and various agencies, examine, outline and disseminate technical policies, strategies, decisions, regulations and standards relating to countrywide rural water supply and environmental health.
- 4.2 Provide technical support, coordination and services in rural water supply and urban and rural sanitation based on the sectoral policy enacted by the Minister of Health.
- 4.3 Control the quality of drinking water in rural areas and remedy effects from sub-standard water sources based on the Decision of the Minister of Health on drinking water quality standards.
- 4.4 Contact and coordinate with public and private sectors and international assistance agencies the promotion of water supply in rural areas and countrywide environmental health.
- 4.5 In coordination with the Department of Hygiene, extend technical support to the control of environmental health and water supply to ensure the application of proper measures to prevent and control health effects according to the Law on Hygiene, Health Prevention and Promotion.

- 4.6 Develop human resources development plans and upgrade the skills of technical staff at different levels as required from time to time.
- 4.7 Develop and translate programs, projects and decisions into detailed activities in conjunction with the grassroots and agencies concerned to ensure efficient implementation.
- 4.8 Consolidate short and long-term sectoral plans set by local authorities, develop appropriate plans, emphasizing on ownership and participation in joint management with parties concerned.
- 4.9 Encourage local ownership to ensure sustainable project activities.
- 4.10 Monitor and encourage the timely and highly efficient implementation of programs and projects.

### **Section III** **Organizational Structures**

#### **Article 5: Personnel Structure**

##### 5.1. The Director

- The Director of the Center is appointed or removed by the Minister of Health at the proposal of the Department of Organization and Personnel, is directly responsible for all success and failure in the management of the Center's work, and receives allowances due under Category 6 under Decree 173/PM/93.
- Makes decisions in accordance with the mandate, duties and rights assigned by the Ministry of Health and principles of centralized democracy.
- Supervises planning processes and report the Center's activities to the departments concerned and higher authorities on a regular basis.
- Signs all the Center's documents and in case of impediment or absence, the Director is required to temporarily assign his authority to a deputy to act on his behalf based on due assignment in writing

##### 5.2. Deputy Directors

- The Deputy Directors are appointed or removed by the Minister of Health at the proposal of the Department of Organization and Personnel.
- The Deputy Directors assist the Director in leading and managing all work within the Center, and are also responsible for other assignments from the Director.
- A Deputy Director can also be appointed to act as the Director during the latter's absence and are given allowances under Category 7 of Decree 173/PM/93.

##### 5.3. The Center for Environmental Health and Water Supply also includes a number of Chiefs and Deputy Chiefs of Divisions and technical staff as required.

5.3.1 The Division Chiefs and Deputies are considered and appointed at the Director's proposal with agreement from the Department of Hygiene and Prevention for submission to and approval by higher authorities.

5.3.2 Division Chiefs assist the Director in performing his duties of guiding the execution of technical activities and are directly responsible for the success and failure of technical activities within their divisions and units under their responsibility. Should

- he be unavailable or absent, their deputies will be appointed to act on his behalf based on due written assignments.
- 5.3.3 The Deputy Chiefs of Division assist their Chief of Division in performing their duty of guiding the implementation of technical work, and are responsible directly for the failures and technical work within their Divisions and Units under their responsibilities.
- 5.3.4 The Center's personnel include technical and administrative staff. Such staff shall be given assignments basically according to the requirements and the positions prescribed in the Center's organizational structures.
- 5.3.5 The Center's personnel is responsible for guiding technical activities, encourage and assist, study and manage implementation, and promote rural water supply and environmental health as provided under Article 3 and Article 4 above.

### **Article 6: Organisational Structure**

The organizational structures of the National Center for Environmental Health and Water Supply comprise the following Divisions:

- 6.1 Administrative Division:
- 6.1.1 General Administration Section
- 6.1.2 Human Resources Management Section
- 6.1.3 Information Education Communication and Monitoring Evaluation Section.
- 6.2 Rural Water Supply Promotion Division
- 6.2.1 Surface Water Section
- 6.2.2 Ground Water Section
- 6.3 Environmental Health Division:
- 6.3.1 Environmental Health Inspection Section
- 6.3.2 Environmental Sanitation Promotion Section

### **Article 7:**

Tasks of each Division:

- 7.1 The Administration Division comprises 3 sections:
- 7.1.1 The General Administration Section is responsible for:
1. Administration work, receiving visitors, protocol, arranging ordinary and extraordinary meetings of the Center or of any body within the Center, maintaining records of incoming and outgoing letters, copying and filing system, reproduction and publishing, distribution, management of the Center's official stamp and the name stamps of the Director and Deputy Directors.
  2. Facilitate communications and coordination within the Center and with other organizations.
  3. Following implementation guidelines, participate in staff training for all project management and implementation.
  4. Management of fixed and movable assets of the Center and in water supply and hygiene projects in the country.
  5. Administration of finances and accounting under the guidance of the Director of the Center.

6. Financial management (budget, salary and project money) and preparing project budget plans for salaries, technical allowances, operation costs (electricity, water supply, fuel, construction and renovation costs).
7. Personnel management, maintenance of staff statistics and policy management
8. Personnel management of professional staff (technical) and maintenance of staff statistics within the Center.
9. Office management and provision of lodging facilities.
10. Equipment management and supply (inventory list, purchasing, and supplying)

**7.1.2** The Human Resources Management Section is responsible for:

1. Consolidating human resource development plans, recording staff training statistics and content of the training, training manuals, training equipment and materials.
2. Coordination with the technical sections to establish a plan for each period .
3. Coordination with cooperating partners to monitor and report on project achievements in each period.
4. Management and coordination with the Science and Technology Research Committee and organizations concerned under the leadership of the Division Chief.
5. Arranging meetings for the Monitoring and Evaluation Committee to review project implementation progress reports under the leadership of the Division Chief and report to higher levels.
6. Arranging training on gender awareness issues and supporting gender equality
7. Arranging training for rural water supply and environmental sanitation administration and management, schedules, seminars and field visits.

**7.1.3** The Information Education and Communication Monitoring and Evaluation Section is responsible for:

1. Monitoring and evaluating projects
2. Collection base data of projects and reporting on project progress.
3. Assessing the implementation of strategies and improving strategies based on such assessments.
4. Arranging training courses on M&E for staff at all administrative levels.
5. Coordinating with the Environmental Health Division and Rural Water Supply Division
6. Development and distribution of materials
7. Devising and supporting approaches for IEC and community participation
8. Providing training for staff at all administrative levels on IEC

**7.2** The Environmental Health Division has two Sections:

**7.2.1** The Environmental Health Inspection Section has the following responsibilities:

1. To provide technical assistance to the grassroots to prevent health effects from environmental pollution
2. To coordinate with RWSS sector implementation organisations, and cooperating partners
3. To supervise and provide technical skills at each administrative level for controlling environmental and public health impact
4. Water quality control:  
Providing technical skills to grassroots and promote skills in water quality control and remedies, and inspect the quality of performance by grassroots through the collection of samples for laboratory analysis at the central level.



5. Food hygiene control: Promote the consumption of quality and healthy food, reduce diseases, and enhance protection of food from environmental pollution.
6. Jointly with the environmental health impacts control coordinating team, report the implementation of outlined rules and regulations.
7. Control of impacts from pollution on the basis of rules and regulations:
  - Inspection of water, air and terrestrial pollution and collection of samples for laboratory analysis
  - Inspection of sanitation in hospitals and public utilities: inspection of internal and external environmental conditions, medical equipment, air-water-terrestrial pollution, waste disposal, disease prevention measures applied by the medical personnel, patients and individuals.
  - In coordination and cooperation with authorities concerned in authorizing new important constructions, such as the ministries of CTPC, industry, agriculture and forestry, commerce, the Science, Technology and Environment Agency, the Food and Drug Department and others...

**7.2.2** The Environmental Health Inspection Section is responsible for:

1. Promoting hygiene (waste water and solid waste disposal) in rural and urban areas.
2. Coordinating the promotion of sanitation and hygiene awareness.
3. Researching and developing appropriate information, promoting community awareness raising techniques for waste water and garbage disposal and latrine use, and also promoting the rehabilitation of environmental sanitation techniques.
4. Promoting household and school latrine usage: promotes hygiene education, knowledge for communities, teachers and pupils, including different techniques of latrine construction
5. Providing technical and management skills in the safe disposal of garbage and waste water to grassroots staff.

**7.3** The Rural Water Supply Division comprises 2 sections:

**7.3.1** The Surface Water Section is responsible for:

1. Assuring compliance with the Strategy, and assisting local levels in preparing project implementation plans.
2. Developing technical standards, rules and regulations in its scope of work.
3. Providing skills for planning, surveying, design and construction of surface water systems, including gravity flow systems, piped rural water supply and water collecting recipients.
4. Researching and promoting effective and efficient participatory implementation methods, standard technical specification design and appropriate technology for constructing and managing water provisions.
5. Controlling the quality of surface water supply systems.
6. Survey surface water sources to gather basic data.

**7.3.2** The Ground Water Unit is responsible for:

1. Ensure compliance with the Strategy at local levels.
2. Researching efficient participatory implementation methods, standard technical specification design, and appropriate technology for constructing and managing water supply.

3. Train technical staff and communities in mechanical and manual construction of deep wells, shallow wells, installations of water pumps and ground water survey.
4. Monitoring the quality of new ground water supply systems' construction.
5. Assisting the center in developing technical standards, rules and regulations.
6. Surveying ground water sources to gather basic information.

**Article 8: Personnel**

- |                             |                   |
|-----------------------------|-------------------|
| ▪ Director                  | 1 position        |
| ▪ Deputy Directors          | 2 positions       |
| ▪ Chiefs of Division        | 3 positions       |
| ▪ Deputy Chiefs of Division | 6 positions       |
| ▪ Technical staff           | 35 – 39 positions |

Total: 47 – 52 positions

- Recruitment is carried out from the lower to higher positions.
- When necessary, the Center for Environmental Health and Water Supply may recruit a number of temporary employees with the agreement of the Department of Hygiene of the Ministry of Health.

**Section IV:**  
**Working Principles.**

**Article 9:** The Center for Environmental Health and Water Supply works under the following principles:

1. The Director and Deputy Director's management shall be based on the principles of centralized democracy, teamwork, shared responsibilities and enhanced genuine democracy.
2. Develop defined workplans, with clear job descriptions and responsibilities, with the aim to achieve realizable goals and objectives according to the Center's actual conditions, evaluate, assess and report to the Department of Hygiene and Prevention of the Ministry of Health on a regular basis.
3. Concentrate on regular implementation monitoring and evaluation
4. Follow guidance of Government hierarchy, coordinate with departments and local authorities concerned, such as institutes, centers, hospitals, schools, divisions, units and the three mass organizations in order to improve and develop the Center
5. The Center for Environmental Health and Water Supply implements its rules, rules of the Department and decisions of the Minister of Health on the Center's organization and mandate.

**Section V:**  
**Final Provisions**

**Article 10:**

The Environmental Health and Water Supply Center has a round official stamp. Within the upper circumference is written Ministry of Health, there is a small star on either side, and on the lower is written Department of Hygiene and Disease Prevention, and in middle of the stamp is written National Center for Rural Water Supply and Environment Health.

**Article 11:**

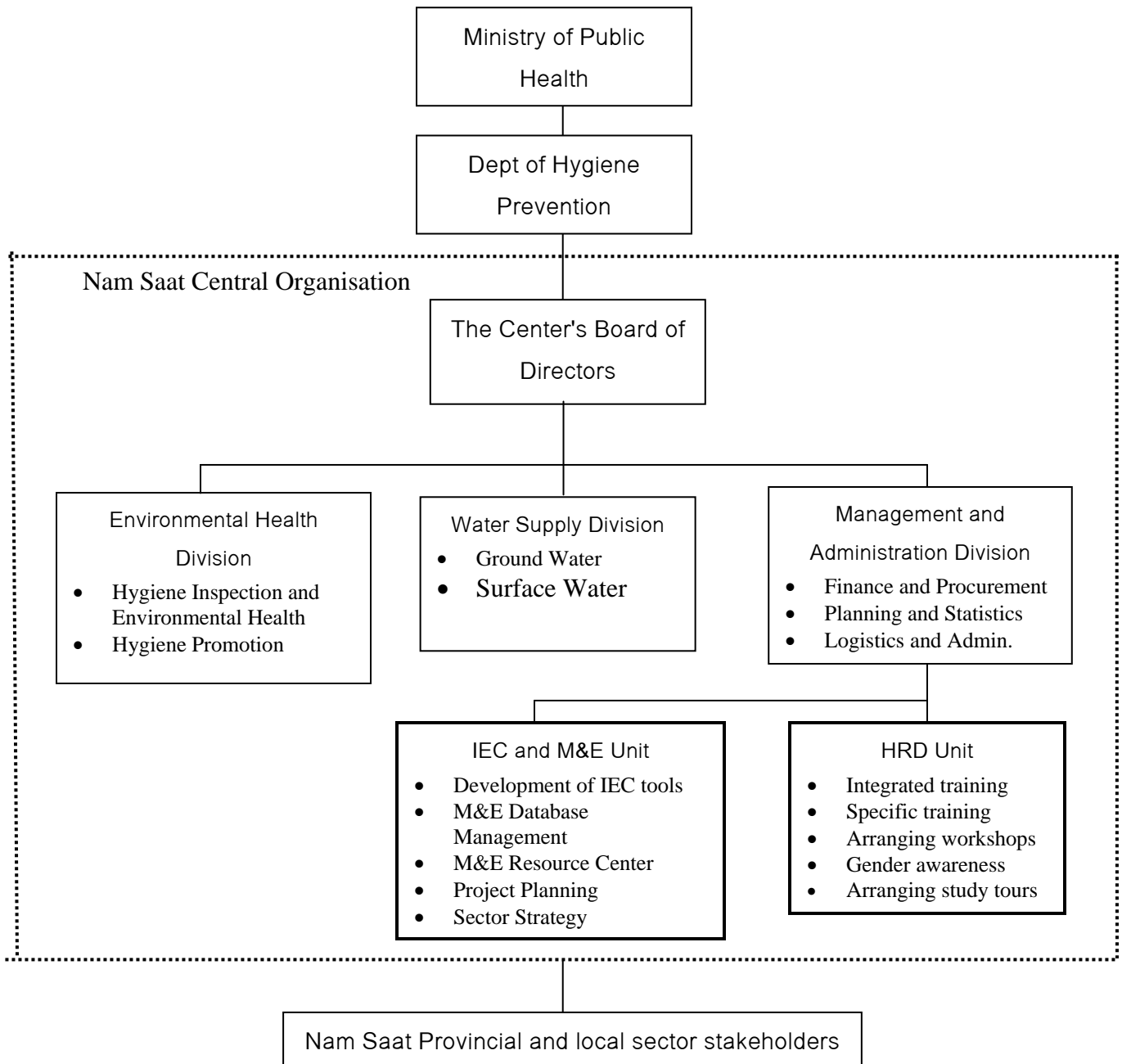
The National Center for Rural Water Supply and Environment Health and the relevant Departments of the Ministry of Health, Institutes, institutes, centers, hospitals, schools under the Ministry of Health, and the Health Departments of provinces and Vientiane City, special zone and organized concerned are to acknowledge and implement this Decision.

**Article 12:**

This Decision is effective from the date it is signed.

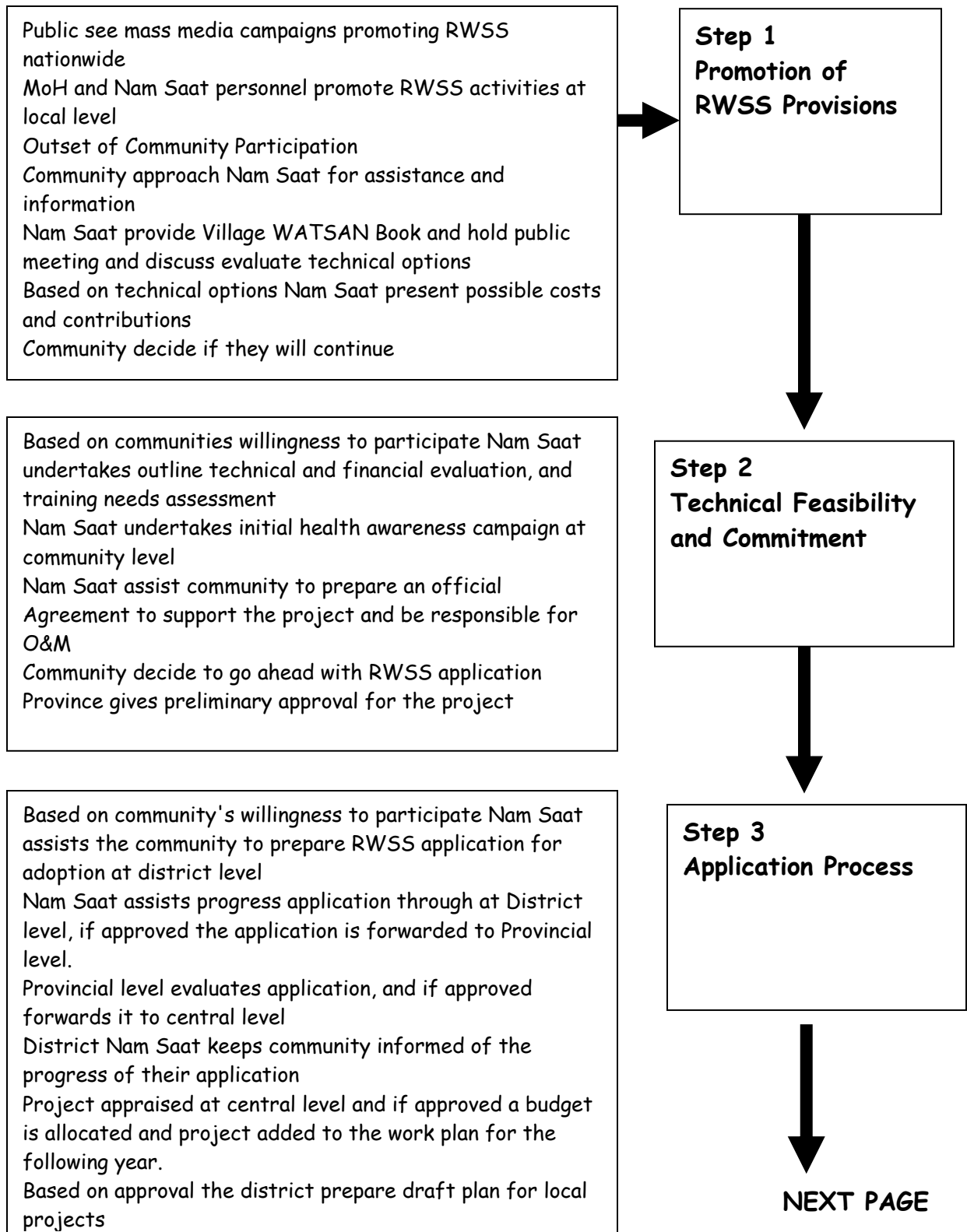
Minister of Health.

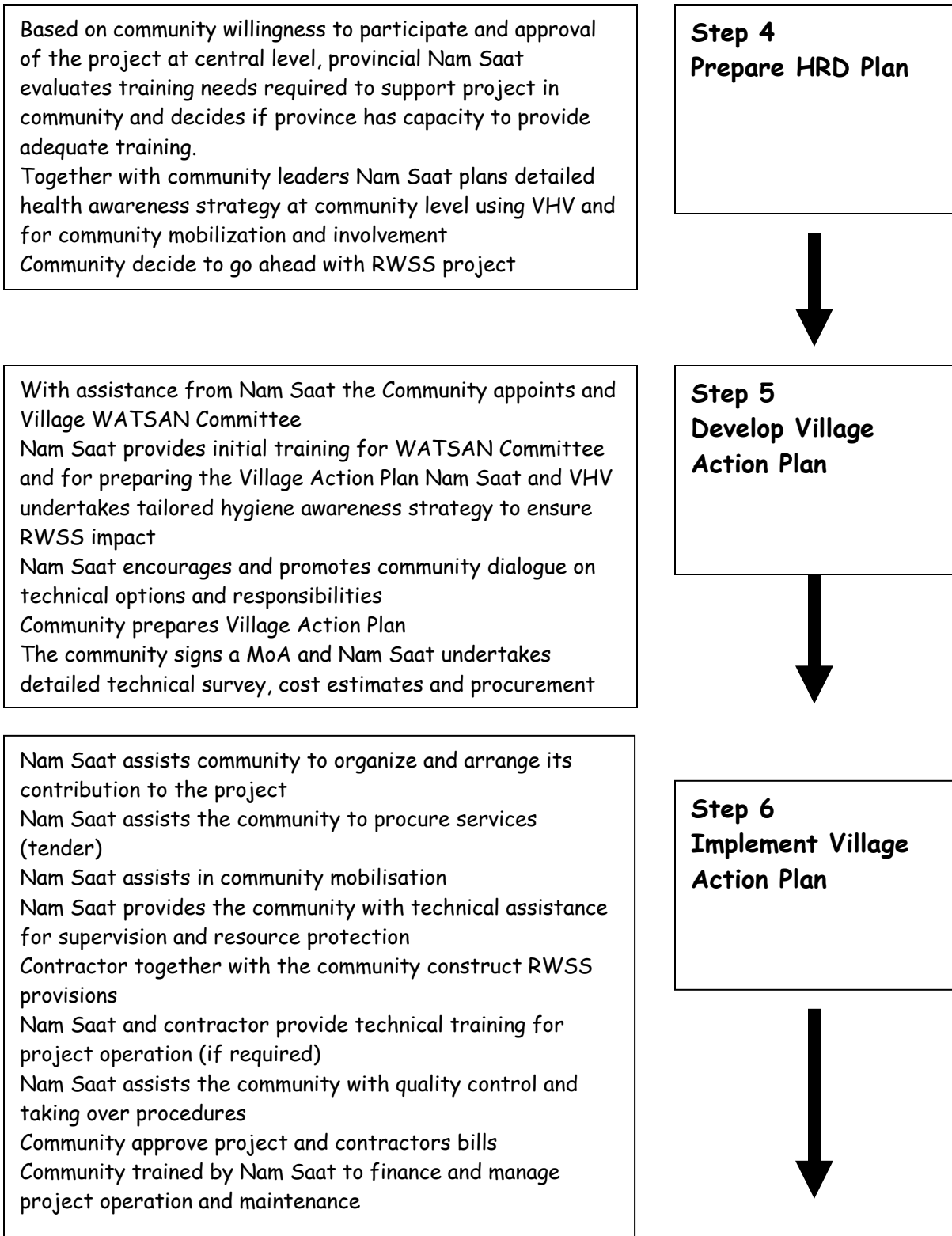
### Organogram of the Center



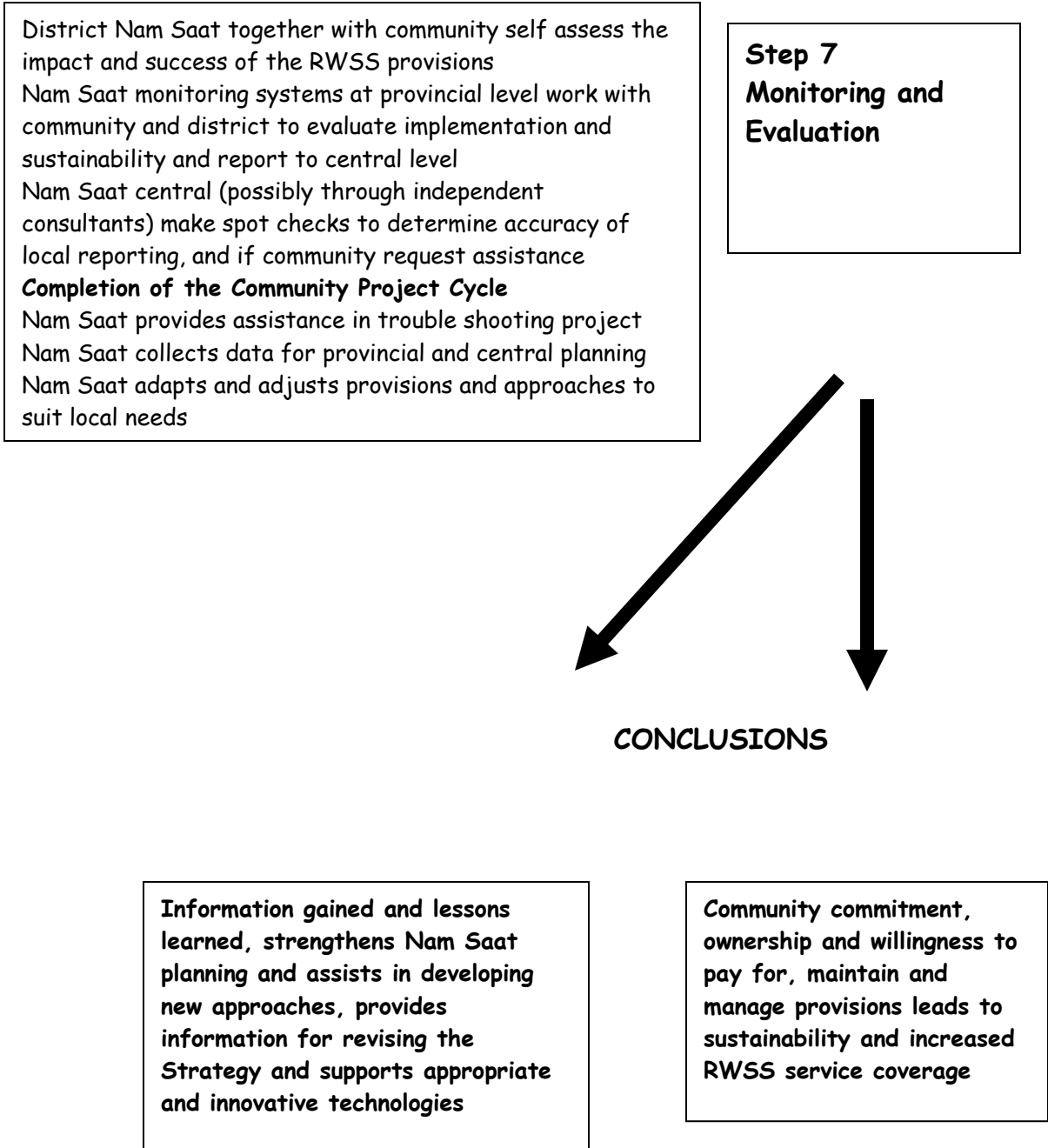
## Annex C1

### Seven Steps Implementation Process





**NEXT PAGE**



NB: VHV are volunteers identified by the community who are trained by the public health dept and Nam Saat and who will ensure the cleanliness of the RWSS provisions, and be the first level to respond should a public health problem occur within the community.

## Annex C2 Glossary

English/ ພາສາລາວ	MEANING	ຄວາມໝາຍ
Accountability/ ຄວາມໂປ່ງໃສ	Reporting honestly and in full, on the uses of the finances, personnel, time and resources	ມີການສະຫລຸບລາຍງານຢ່າງຈິງໃຈ ສັດຊື່ ຖືກຕ້ອງ ແລະອີງຕາມແຜນການນຳໃຊ້ທຶນຮອນ, ຈຳນວນພະນັກງານ, ເວລາ ແລະແຫລ່ງຊັບພະຍາກອນ
Bottom - up / ແຕ່ລຸ່ມຫາເທິງ	Coming out of opinions and decisions of the main beneficiaries (not from the decisions of a few powerful authorities)	ແນວຄິດຈິດໃຈ ແລະການຕັດສິນໃຈ ແມ່ນມາຈາກຊາວບ້ານຜູ້ຊົມໃຊ້ທີ່ເປັນພື້ນຖານຕົ້ນຕໍ (ບໍ່ແມ່ນມາຈາກພະນັກງານຜູ້ມີສິດຮັບຜິດຊອບບາງຄົນ)
Case study/ ການສຶກສາຄົ້ນຄ້ວາສະເພາະກໍລະນີ	Research on an ongoing or previously conducted activity, or group of activities to learn about the resulting benefits and problems over a period of time	ເຮັດການສຶກສາຄົ້ນຄ້ວາ ວຽກງານທີ່ກຳລັງປະຕິບັດ ແລະໄດ້ປະຕິບັດຜ່ານມາ ເພື່ອຮຽນຮູ້ກ່ຽວກັບໝາກຜົນທີ່ເປັນປະໂຫຍດ ແລະເຫັນໄດ້ບັນຫາຫຍຸ້ງຍາກໃນໄລຍະຜ່ານມາ
Capacity building/ ການເສີມສ້າງຄວາມຮູ້ຄວາມສາມາດ	Actions which gradually improve the abilities of the people and institutions to operate efficiently and effectively	ກິດຈະກຳຕ່າງໆ ທີ່ປັບປຸງຄວາມສາມາດໃຫ້ຊາວບ້ານ ແລະສະຖາບັນ ເປັນແຕ່ລະກ້າວ ເພື່ອປະຕິບັດໃຫ້ມີປະສິດທິພາບ ແລະມີປະສິດທິຜົນ.
Community Action Plan/ ແຜນການປະຕິບັດຂອງບ້ານ	Detailed plan, written by a community and its supporters for conducting a community activity or series of activities over a given period of time. The plan provides the steps of what will be done, when, where, and by whom, and what inputs are needed from the community, government and external agencies (NGOs and ESA s) and what outputs are expected.	ແຜນງານປະຕິບັດລະອຽດ ຊຶ່ງດຳເນີນການກະກຽມໂດຍຊາວບ້ານ ແລະຜູ້ຊຸກຍູ້ຊ່ວຍເຫລືອ ໃນການນຳພາ ການຈັດຕັ້ງປະຕິບັດກິດຈະກຳຕ່າງໆຂອງຊຸມຊົນ ຫລື ຊະນິດຂອງກິດຈະກຳທີ່ໄດ້ກຳນົດໄວ້ໃນໄລຍະຜ່ານມາ. ແຜນການດັ່ງກ່າວ ແມ່ນສ່ອງແສງເຖິງບາດກ້າວຂັ້ນຕອນໃດແດ່ທີ່ຈະຕ້ອງປະຕິບັດ, ເວລາໃດ, ຢູ່ໃສ, ແມ່ນໃຜເປັນຜູ້ເຮັດ, ແລະຕ້ອງໄດ້ມີການປະກອບສ່ວນ ຈາກຊາວບ້ານ, ຈາກລັດຖະບານ ແລະອົງການຊ່ວຍເຫລືອຈາກພາຍນອກ (ເຊັ່ນ: ອົງການສາກົນທີ່ບໍ່ຂຶ້ນກັບລັດຖະບານ ແລະອົງການຊ່ວຍເຫລືອຈາກສາກົນອື່ນໆ), ແລະຄາດໝາຍຜົນທີ່ໄດ້ຮັບມີຄືແນວໃດ.



<p>Community Contribution/ ການປະກອບສ່ວນຂອງຊາວບ້ານ</p>	<p>Community's share the cost of implementing a development activity. Community inputs can be calculated in terms of labour, local materials and cash, according to local resources and ability to pay.</p>	<p>ຊາວບ້ານໄດ້ມີການປະກອບສ່ວນເຂົ້າໃນການຈັດຕັ້ງປະຕິບັດກິດຈະກຳຕົວຈິງ. ການປະກອບສ່ວນຂອງຊາວບ້ານ ແມ່ນສາມາດຄິດໄລ່ເປັນແຮງງານ, ວັດຖຸທ້ອງຖິ່ນແລະເງິນສົດ, ໂດຍອີງຕາມແຫລ່ງຊັບພະຍາກອນ ແລະມີຄວາມສາມາດຈ່າຍໄດ້</p>
<p>Community dialogue/ ການສົນທະນາຊຸມຊົນ</p>	<p>An approach stimulates community decision-making and community cost sharing about a particular development activity. The approach also assesses the level of knowledge and current practices within a community.</p>	<p>ແມ່ນວິທີປຸກລະດົມຊຸກຍູ້ໃຫ້ຊາວບ້ານມີຄວາມຕັດສິນໃຈ ແລະເຂົ້າຮ່ວມກິດຈະກຳການພັດທະນາຕ່າງໆ. ວິທີການນີ້ແມ່ນຍັງປະເມີນໄດ້ກ່ຽວກັບລະດັບຄວາມຮູ້ຄວາມສາມາດ ແລະພາກປະຕິບັດຕົວຈິງພາຍໃນບ້ານ</p>
<p>Community participation/ ການເຂົ້າຮ່ວມຂອງຊາວບ້ານ</p>	<p>Everyone in community regardless of gender or socio-economic status is encouraged to provide opinions, make decisions and assist in the implementation of an action</p>	<p>ໝົດທຸກຄົນຢູ່ພາຍໃນບ້ານ ຕ້ອງເອົາໃຈໃສ່ດ້ານບົດບາດຍິ່ງ-ຊາຍ ເຂົ້າຮ່ວມວຽກງານ ຫລື ຊຸກຍູ້ດ້ານສັງຄົມ-ເສດຖະກິດ, ເພື່ອເຮັດໃຫ້ມີການປະກອບສ່ວນອອກຄຳຄິດຄຳເຫັນ ແລະເຂົ້າຮ່ວມຢ່າງພ້ອມພຽງໃນການຈັດຕັ້ງປະຕິບັດຕາມແຜນງານ</p>
<p>Community WATSAN Committee/ ຄະນະກຳມະການຄຸ້ມຄອງລະບົບນ້ຳສະອາດແລະອະນາໄມ</p>	<p>A group selected by the community, which is trained and responsible for the operation, repair and management of all activities related to water supply, sanitation and hygiene, including the collection of water user fees.</p>	<p>ກຸ່ມຄົນທີ່ຖືກຄັດເລືອກຈາກຊາວບ້ານ ແລະເຂົ້າເຈົ້າໄດ້ຮັບການອົບຮົມ ແລະມີໜ້າທີ່ຮັບຜິດຊອບໃນການ ປະຕິບັດ, ການສ້ອມແປງ ແລະການຄຸ້ມຄອງບໍລິຫານ ໝົດທຸກກິດຈະກຳທີ່ກ່ຽວຂ້ອງກັບວຽກງານນ້ຳສະອາດ, ອະນາໄມ ແລະສຸຂະພິບານ, ເຊິ່ງປະກອບດ້ວຍການເກັບເງິນຄ່າໃຊ້ນ້ຳ</p>
<p>Cultural sensitivity/ ຄວາມຮູ້ສຶກກ່ຽວກັບຄະນິບທຳນຽມ</p>	<p>Showing intelligent awareness or sympathetic understanding of the cultural ways of others.</p>	<p>ແມ່ນການສະແດງເຖິງຈິດສຳນຶກດ້ານພູມປັນຍາ ຫລື ແມ່ນການເຂົ້າໃຈໂດຍພື້ນຖານ ກ່ຽວກັບຂະນິບທຳນຽມປະເພນີ ເຊິ່ງກັນແລະກັນ</p>
<p>Decentralized planing/ ແຜນມອບໝາຍໃຫ້ທ້ອງຖິ່ນເປັນເຈົ້າການໃນການປະຕິບັດ</p>	<p>Planing emerges from the opinions and desires of grassroots communities ,districts and provinces, and is sent upwards to central Government (opposite of centralized planning: central authorities make all decisions and send plans to lower levels for implementation)</p>	<p>ແຜນງານ ແມ່ນລິເລີ່ມມາຈາກແນວຄິດຈິດໃຈ ແລະຄວາມຕ້ອງການຂອງຊາວບ້ານຢູ່ຂັ້ນພື້ນຖານ, ຂັ້ນເມືອງ ແລະຂັ້ນແຂວງ ແລ້ວຈຶ່ງສົ່ງສະເໜີໄປຫາສູນກາງລັດຖະບານ (ແຕ່ກົງກັນຂ້າມກັບການສ້າງແຜນການຢູ່ຂັ້ນສູນກາງ: ຜູ້ຮັບຜິດຊອບຢູ່ຂັ້ນສູນກາງ ເປັນຜູ້ກະກຽມສັງລວມເອົາເປັນແຜນງານເລີຍ ແລ້ວລົງ</p>

		ແຜນງານກ່າວໃຫ້ບັນດາແຂວງເພື່ອຈັດຕັ້ງປະຕິບັດ)
Demand based planning/ ແຜນການສະເໜີຕາມພື້ນຖານ ຄວາມຕ້ອງການຕົວຈິງ	Planning which emerges out of the needs and desires of the users and customers of services and goods.	ແຜນງານທີ່ສ້າງແສງຈາກສະພາບຄວາມຮຽກຮ້ອງຕ້ອງການຕົວຈິງຈາກຊາວບ້ານຜູ້ຊົມໃຊ້ ແລະລູກຄ້າທີ່ຢາກໄດ້ການບໍລິການ ດ້ານວັດຖຸ ແລະອຸປະກອນຕ່າງໆ.
Development/ ການພັດທະນາ	Change that makes improvements in a condition of well being or situation.	ແມ່ນການປ່ຽນແປງສາມາດເຮັດໃຫ້ການປັບປຸງ ເງື່ອນໄຂຕ່າງໆ ເຮັດໃຫ້ມີການຢູ່ດີກິນດີ ແລະມີສະພາບດີຂຶ້ນ
Environmental Health/ ການະນາໄມສິ່ງແວດລ້ອມ	Health that relates to a person's living and working environment (human and animal waste, sanitation, waste water, air pollution inside and outside of houses, toxic waste)	ແມ່ນບັນຫາດ້ານສຸຂະພາບ ຊຶ່ງມີການພົວພັນກັບແວດລ້ອມຂອງຄົນທີ່ອາໄສຢູ່ ແລະແວດລ້ອມໃນການເຮັດວຽກ (ອາຈົມຈາກຄົນ ແລະສັດ, ການອະນາໄມ, ນ້ຳເປື້ອນນ້ຳເສຍ, ມົນລະພິດທາງອາກາດຢູ່ພາຍໃນ ແລະພາຍນອກຂອງເຮືອນຊານບ້ານສ່ອງ, ແລະເປັນສິ່ງເສດເຫຼືອທີ່ເປັນທາດເບື້ອ)
Equal rights/ ສິດທິສະເໝີພາບ	Every person regardless of race, nationality, gender, ethnicity, social and economic status is entitled to the same rights and privileges by international law.	ໝາຍຄວາມວ່າໝົດທຸກຊົນຊາດ, ບໍ່ວ່າສັນຊາດ, ຍິງ-ຊາຍ, ກ່ຽວກັບມະນຸດຊາດ, ສະພາບສັງຄົມ ແລະເສດຖະກິດ ທັງໝົດນີ້ແມ່ນຖືເປັນສິດສະເໝີພາບ, ມີສິດຖື ແລະມີຄວາມຮັບຜິດຊອບຕໍ່ໜ້າທີ່ຕາມກົດໝາຍສາກົນ
Equity of service/ ມີຄວາມເປັນທຳໃນການໃຫ້ ການບໍລິການ	Government services are provided fairly and justly to all persons, without discrimination.	ການຈັດທາງການບໍລິການຂອງລັດຖະບານ ແມ່ນເປັນໄປຢ່າງຖືກຕ້ອງ ແລະເປັນທຳ ໄປເຖິງໝົດທຸກຄົນ ໂດຍບາດສະຈາກການແບ່ງແຍກເຊິ່ງກັນ ແລະກັນ
External Support Agencies (ESAs)/ ອົງການຊ່ວຍເຫຼືອສາກົນ	Multilateral and bilateral donors and development agencies which provide funds, goods, services and advisory support to developing countries	ຜູ້ໃຫ້ການຊ່ວຍເຫຼືອແບບຫລາຍຝ່າຍ ແລະແບບສອງຝ່າຍ ແລະອົງການພັດທະນາຕ່າງໆ ໃຫ້ການຊ່ວຍເຫຼືອສະໜັບສະໜູນດ້ານງົບປະມານ, ວັດຖຸອຸປະກອນ, ການບໍລິການ ແລະເປັນຊ່ຽວຊານທີ່ປຶກສາໃຫ້ບັນດາປະເທດຊາດທີ່ກຳລັງພັດທະນາ
Evaluation/ ການປະເມີນຜົນ	An assessment of the positive and negative effects of something (a project or program in the case of development) and the significance of these activities.	ການເຮັດການປະເມີນເຖິງຜົນກະທົບດ້ານບວກ ແລະດ້ານລົບຕໍ່ສິ່ງໃດສິ່ງໜຶ່ງ (ຢູ່ໃນກໍລະນີມີໂຄງການພັດທະນາ) ແລະມີຜົນງານທີ່ດີຈາກການປະຕິບັດກິດຈະກຳຕົວຈິງ

Gender/ ວຽກງານບົດບາດຍິງ-ຊາຍ	Relations and differences between men and women in a society and culture.	ການພົວພັນ ແລະຄວາມແຕກຕ່າງລະຫວ່າງເພດຍິງ ແລະເພດຊາຍຢູ່ໃນສັງຄົມ ແລະດ້ານປະເພນີວັດທະນາທຳ.
Gender Awareness/ ຈິດສຳນຶກດ້ານບົດບາດຍິງ-ຊາຍ	Efforts to broaden women and men's social attitudes about each other's capabilities in learning and work.	ຄວາມພະຍາຍາມທີ່ຍາກເສີມຂະຫຍາຍພຶດຕິກຳ ທາງດ້ານສັງຄົມຊຶ່ງກັນແລະກັນຂອງເພດຍິງ ແລະເພດຊາຍ ກ່ຽວກັບຄວາມສາມາດໃນການຮຽນຮູ້ ແລະການເຮັດວຽກງານ
Gender balance/ ຄວາມດຸ່ນດ່ຽງດ້ານບົດບາດຍິງ-ຊາຍ	A situation that gives equal opportunity to women and men in learning, decision-making and demonstrating their abilities.	ແມ່ນສະພາບການໃຫ້ສິດທິ ແລະໂອກາດເທົ່າທຽມກັນລະຫວ່າງເພດຍິງ-ຊາຍໃນການຮຽນຮູ້, ການຕັດສິນໃຈ, ແລະສະແດງອອກທາງພາກປະຕິບັດ ຕາມຄວາມຮູ້ຄວາມສາມາດ
Goal /ຈຸດມຸ້ງໝາຍ	The overall purpose of a plan of actions.	ຄາດໝາຍໂດຍລວມຂອງການປະຕິບັດກິດຈະກຳແຜນການ
Guiding Principles/ ບັນດາຫລັກການທົດຊື້ນຳ	A set of rules and common approaches established for development activities.	ການສ້າງບັນດາກົດລະບຽບ ແລະວິທີການປະຕິບັດແບບດຽວກັນ ເພື່ອການພັດທະນາຕາມກົດຈະກຳຕ່າງໆ.
Hygiene/ ສຸຂາພິບານ	The practice of keeping oneself and one's and one's living and working areas clean in order to prevent illness and disease.	ພາກປະຕິບັດຕົວຈິງທີ່ເຮັດໃຫ້ບຸກຄົນຜູ້ກ່ຽວຂ້ອງໄດ້ອາໄສ ແລະເຮັດວຽກຢູ່ບ່ອນທີ່ສະອາດປອດໄພ ເພື່ອປ້ອງກັນການເຈັບເປັນແລະພະຍາດ
Hygiene Behavior/ ການປະພຶດດ້ານອະນາໄມ	Attitudes and practices related to hygiene at home, work and community.	ພຶດຕິກຳ ແລະທັດສະນະນິດໃສໃຈຄໍ ເຊິ່ງພົວພັນເຖິງສຸຂະອະນາໄມຢູ່ພາຍໃນເຮືອນ, ບ່ອນເຮັດວຽກ ແລະຢູ່ພາຍໃນຊຸມຊົນບ້ານ
Hygiene Awareness/ ຈິດສຳນຶກດ້ານສຸຂະອະນາໄມ	Efforts to broaden people's attitudes about practicing hygiene (personal habits involving hand washing , bathing, storage and use of water, food preparation, disposal of human; and animal wastes, and prevention of pollution)	ຄວາມພະຍາຍາມເພື່ອໃຫ້ຄົນມີແນວຄິດ ປັບປຸງປ່ຽນແປງດ້ານສຸຂະອະນາໄມ (ເຊັ່ນ: ຄວາມພຶດຕິກຳຂົນເຄີຍຂອງບຸກຄົນ ກ່ຽວກັບການລ້າງມື, ການອາບນ້ຳ, ການເກັບກັນນ້ຳ ແລະການນຳໃຊ້ນ້ຳ, ການປຸງແຕ່ງອາຫານ, ການກຳຈັດອາຈົມຄົນ ແລະສັດ, ແລະການປ້ອງກັນມົນລະພິດແປດເປື້ອນຕ່າງໆ)
Informed choice/ ການສະເໜີແນະນຳທາງເລືອກ	Women and, men, rich and poor in a community are given a variety of technology options and choose the most cost-effective, appropriate technology as per their own situation and ability to pay	ມີການສະເໜີແນະນຳໃຫ້ຜູ້ຄົນພາຍໃນບ້ານທັງຜູ້ຍິງ ແລະຊາຍ, ຈະຮັ່ງ ຫລື ທຸກຍາກ ກ່ຽວກັບເຕັກໂນໂລຢີດ້ານນ້ຳສະອາດ ແລະອະນາໄມ ແລະຊາວບ້ານເປັນຜູ້ຕັດເລືອກເອົາ ປະເພດທີ່ຄຸ້ມຄ່າລາຄາແທດເໝາະ, ເຕັກໂນໂລຢີທີ່ແທດເໝາະ, ອີງຕາມສະພາບເງື່ອນໄຂຂອງທ້ອງຖິ່ນ ແລະຄວາມອາດສາມາດ

		ຂອງການຈ່າຍປະກອບສ່ວນໄດ້.
Inter-Sectoral Partnerships/ ພາກສ່ວນຮ່ວມງານຈາກ ຫລາຍຂະແໜງການ	A group of offices or departments from different branches of government or organizations working together on a common objective.	ໝວດພະນັກງານທີ່ມາຈາກຫລາຍການຈັດຕັ້ງສັງກັດຂອງຝ່າຍລັດຖະບານ ແລະອົງການສາກົນ ມາຮ່ວມເຮັດວຽກນຳກັນແລະມີຈຸດປະສົງອັນດຽວກັນ
Learning Process/ ຂັ້ນຕອນຮຽນຮູ້ຖອດຖອນບົດ ຮຽນ	New learning is gained continuously from monitoring and evaluation, case studies of past experiences, pilot projects new approaches and new technology.	ການຮຽນຮູ້ແບບໃໝ່ແມ່ນຖືກປະຕິບັດຢ່າງຕໍ່ເນື່ອງຈາກການຕິດຕາມກວດກາ ແລະປະເມີນຜົນ, ການສຶກສາຄົ້ນຄ້ວາດ້ານປະສົບການຜ່ານມາ, ໂຄງການຕົວ ແບບ ໂດຍການນຳໃຊ້ວິທີການໃໝ່ແລະເຕັກໂນໂລຊີແບບໃໝ່.
Non-Governmental Organization (NGO)/ ອົງການຊ່ວຍເຫລືອສາກົນທີ່ບໍ່ ສັງກັດລັດຖະບານ	Private organizations that do not gain profit and focus humanitarian and development activities for the benefit of society.	ອົງການສາກົນແລະເອກະຊົນທີ່ຊ່ວຍເຫລືອໂດຍບໍ່ຫວັງຜົນກຳໄລ ແລະລົງ ເລິກຊ່ວຍເຫລືອເພື່ອມະນຸດສະທຳ ແລະຫລາຍໆກິດຈະກຳພັດທະນາເພື່ອຜົນ ປະໂຫຍດຂອງສັງຄົມ.
Objective/ ຈຸດປະສົງ	The specific purpose or purposes of a plan of action. Objectives must be actions of change that are achievable and measurable.	ຈຸດປະສົງສະເພາະ ຫລື ຈຸດປະສົງຂອງການປະຕິບັດແຜນງານ, ຈຸດປະ ສົງຄາດໝາຍ ຕ້ອງແມ່ນກິດຈະກຳການປ່ຽນແປງ ເຊິ່ງຈະນຳໄປສູ່ຜົນສຳເລັດ ແລະສາມາດວັດແທກໄດ້
Local ownership/ ຄວາມເປັນເຈົ້າການຂອງທ້ອງ ຖິ່ນ	The primary beneficiaries of the action of change are the main decision-makers and the responsible body for the action.	ຜູ້ທີ່ໄດ້ຮັບຜົນປະໂຫຍດໃນເບື້ອງຕົ້ນ ໃນການຫັນປ່ຽນໃໝ່ ແມ່ນຜູ້ມີອຳນາດ ໃນການຕັດສິນໃຈຕົ້ນຕໍ ແລະເປັນຜູ້ຮັບຜິດຊອບໃນການປະຕິບັດກິດຈະກຳ ຕ່າງໆ
Procurement / ການຈັດຊື້ວັດຖຸປະກອນ	A system of purchasing and distributing goods needed for an activity.	ການຈັດຊື້ ແລະການແຈກຢາຍວັດຖຸປະກອນສຳຫລັບການປະຕິບັດກິດຈະ ກຳໃດໜຶ່ງ ຈະຕ້ອງເປັນລະບົບ
Roles and Responsibilities/ ບົດບາດທີ່ຮັບຜິດຊອບ	The assignment of authority and specific tasks to individuals or groups involved in performing a task.	ການມອບຫມາຍຄວາມສິດຮັບຜິດຊອບ ແລະໜ້າທີ່ສະເພາະ ໃຫ້ບຸກຄົນ ຫລືໃຫ້ຄະນະທີ່ມີສ່ວນພົວພັນ ໃນການຈັດຕັ້ງປະຕິບັດໜ້າທີ່.

<p>Transparency/ ຄວາມໂປ່ງໃສ</p>	<p>The act of performing duties in an honest and open manner, leaving no doubts in anyone's mind about the activity.</p>	<p>ຄວາມປະພຶດໃນການປະຕິບັດຕາມໜ້າທີ່ຮັບຜິດຊອບ ຢ່າງມີຄວາມສັດຊື່ບໍລິສຸດ ແລະເປີດເຜີຍ, ບໍ່ໃຫ້ມີຂໍ້ສົງໄສໃດໆ ທັງໝົດກ່ຽວກັບກິດຈະກຳປະຕິບັດ</p>
<p>Vision Statement/ ບົດ ຄວາມສະແດງເຖິງວິໄສທັດ</p>	<p>A desired change, in the long-term, which shows wisdom and imagination.</p>	<p>ຄວາມປາດຖະໜາໃຫ້ມີການປ່ຽນແປງໄລຍະຍາວເຊິ່ງມັນສະແດງອອກເຖິງຄວາມສຸຂຸມຮອບຄອບແລະການມີຈິນຕະນາການ</p>
<p>Village agreement/ ສັນຍາ ກັບຊາວບ້ານ</p>	<p>A statement which gives the details of desired activities, the time schedule and the roles and responsibilities of all parties assisting in the activity. It is signed by all villagers participating in the activity with local administration or by an agency nominated by the community</p>	<p>ບົດຄວາມທີ່ເວົ້າເຖິງລາຍລະອຽດທີ່ຕ້ອງໃນການປະຕິບັດກິດຈະກຳ, ມີຕາຕະລາງເວລາແລະມີບົດບາດແລະໜ້າທີ່ຮັບຜິດຊອບ ຂອງພາກສ່ວນຕ່າງໆໃນການຊຸກຍູ້ສະໜັບສະໜູນການປະຕິບັດກິດຈະກຳ. ຈະຕ້ອງໄດ້ຮັບການເຫັນດີຈະເຂົ້າຮ່ວມຈາກຊາວບ້ານທັງໝົດ, ໂດຍແມ່ນ ອຳນາດການປົກຄອງທ້ອງຖິ່ນ ຫລື ພາກສ່ວນທີ່ກ່ຽວຂ້ອງທີ່ໄດ້ມອບໝາຍເຊັນຮັບຢັ້ງຢືນໂດຍຊຸມຊົນ.</p>
<p>Water User fees/ ການເກັບ ເງິນບຳລຸງຮັກສາ</p>	<p>A local system of fees collected regularly within communities for maintenance, repair and extension of community water systems.</p>	<p>ລະບົບການເກັບຄ່າໃຊ້ນ້ຳເປັນປະຈຳ ຢູ່ພາຍໃນຊຸມຊົນສຳຫລັບການບົວລະບັດຮັກສາ, ການສ້ອມແປງ ແລະການຂະຫຍາຍລະບົບນ້ຳຕ່າງໆໃນຊຸມຊົນ</p>

## **Annex D**

### **The 7 Steps - Operational Guidelines**

#### **Introduction**

The following describes the iterative participatory process required to implement the 7 steps.

The foundation of the 7 Steps is that the community (or recipients) which **want** RWSS provisions are fully involved within the project cycle of providing such facilities, and are willing to undertake full responsibility, including the financial and technical management of the completed provisions.

At all stages in the cycle the recipients must indicate their willingness to continue to participate in the project process. The recipients' willingness to participate in the process is an essential project indicator which will be monitored by Nam Saat staff.

Correspondingly, the commitment by Nam Saat to support the village during the project implementation (7 Steps) should also be documented so as to confirm and clarify their role in the cooperation between the parties in the project.

The meaningful participation of the recipients (who will be the users) will develop a sense of ownership and responsibility toward the provisions during the project cycle. Nam Saat will be responsible to develop community capacity and responsibility, and promote the benefits sustainable provisions can bring to the users.

It must be appreciated that patience is required to follow a participatory approach. Implementing projects with the recipients will usually take longer than simply providing a facility.

Commitment to the participatory process by the authorities, government and community requires confidence that the process will lead to the desired goal of improved RWSS sustainability and impact.

The project cycle, from planning for implementation, up until completion of the works could take two years (The project cycle Annex 1).

The consequence however of following a participatory approach, combining the skills and resources of the government and community, should result in projects which will clearly belong to the users, and remain sustainable for many years. The users should have the resources and confidence, to operate and manage the RWSS provisions without substantial government assistance, but should the need for assistance arise the government should be available to step in to support the users.

## **The 7 Steps Process**

### **Step 1 -Promotion of RWSS Provisions**

The Ministry of Health and other Ministries place promotion of RWSS provisions high on their national agenda, and ensure sufficient budget to undertake national campaigns, through mass media, government institutions and mass organisations.

The objective of these campaigns being, to create demand for RWSS provisions, and popularize the participative approach. The national campaigns should demonstrate the approach and indicate which communities may be able to access government subsidy or donor support. (Examples of national promotion are the UNICEF/Meena campaign using cartoons and the promotion of the Three Cleans and the National Poverty Eradication Focus Districts).

Future national promotion should be more focused on the active participation of the community and building relationships of cooperation between RWSS users and government specialists.

The Department of Health (DoH) and Nam Saat, together with other organisations and donors at provincial level organize campaigns promoting participation in RWSS provisions and inform the public of the assistance the government is willing to provide. These campaigns should be designed to respond to the needs of the public in the province. It is important that focus communities, particularly those identified as in need, or those in remote areas, have access to messages from such campaigns. It is anticipated that provincial radio broadcasting, e.g. radio dramas, documentary and question & answer programmes, in both the national language and appropriate ethnic languages will be utilised as part of the awareness raising campaigns.

At district level, DoH and Nam Saat personnel, possibly with assistance from local NGOs supporting the sector, promote RWSS activities, explaining what assistance may be forthcoming from government (or donors) and what community responsibilities and privileges are probable for various service levels and technologies. A range of low cost communication materials will be utilised in this process and the use of traditional folk media will also be explored.

The **Outset of the Community Participation Process and Project Cycle** is when interested communities approach Nam Saat for further assistance and information, through their local administration.

District Nam Saat shall decide, based on provincial development guidelines, if it will respond to community demand for government (and/or donor) assistance, or suggest an alternative approach. For example where a richer community, or a community which already has adequate water and sanitation provisions applies for support an alternative approach should be suggested.

For richer communities, or where the community would like to upgrade their facilities, Nam Saat may still be in a position to provide technical assistance, and the Province may have a policy to adopt a 7 Step style of approach for all RWSS provisions, but without the applying government (or donor) financial support.

If District Nam Saat considers the community is eligible to receive government (or donor) support, the community is provided with a Village WATSAN Book (VWB) which is used as a record of the process, from application to managing and operating the completed provisions. The VWB is an important element of the M&E System which is further described in the “M&E Guidelines”.

The first step recorded in the VWB is the community's written application for support. This application uses the format recommended in the VWB. District Nam Saat can assist the community preparing their application. The written application is considered the first milestone (MS1) in tracking the participatory process. Records of the application should be kept by the community (in the VWB) and by District Nam Saat.

District Nam Saat decides if the application is properly completed, and should the community request fulfill the required criteria, District Nam Saat will arrange initial public meetings in the community to explain:-

- the project cycle,
- the type of support which may be available,
- the responsibility of the community in construction

Through a simple technical evaluation Nam Saat:-

- identifies together with the community, the technical provisions which may be appropriate.
- explains the responsibility the community will have if these technologies are to be adopted.
- discusses the project implementation cycle, and together with the community prepares an anticipated implementation schedule.

The community can indicate their acceptance of this provisional schedule, and indicate when they are likely to be busy with agricultural or other activities, which would prevent participation in the project cycle.

Community and District Nam Saat at this stage decide if they wish, in principle, to continue the process and the community, in principle, agree to contribute towards the costs of building the project and undertake to be fully responsible for the final provisions.

Materials to be used/developed:

- *National radio and provincial radio, including ethnic minority broadcasts*
- *National campaigns for health and hygiene and water and sanitation*
- *Low cost printed communication materials e.g. posters, leaflets, etc.*
- *Village WATSAN book.*



Monitoring indicators

**Milestone 1 (MS1)**

- *the initial written project application for support (MS1)*
- *the receipt of the VWB,*
- *initial understanding between Nam Saat and the community can also be in the form of a note in the VWB*

Annual financial requirements for implementing the 7Step project cycle

Central Budget

- *National awareness and IEC campaigns through mass media*
- *Preparation of communication materials*
- *Preparation and distribution of the Village WATSAN Book*

Provincial/District

- *Local IEC campaign*

District

- *Follow through on community demand for RWSS provisions*
- *Distribute Village WATSAN Book and assist community to apply for support*

## **Step 2 Technical Feasibility and Commitment**

Based on the mutual agreement to proceed with the project District Nam Saat undertakes a community awareness campaign focusing initially on the link between safe drinking water and health. This is to capture the community imagination of the benefits of improved water facilities and develop the community willingness to pay for RWSS services. At the same time as the community awareness campaign, Nam Saat staff undertake an outline evaluation of appropriate technical options, and through a process of community dialogue provide the community with a provisional cost estimate for alternative water supply options. The community must be made aware that higher service levels usually require greater technical skills to operate, and involve greater construction and operation costs.

At a public meeting the community decides to go ahead with their application. This decision is logged in the VWB. (MS2). The decision documents which technical option the community consider most appropriate to their needs and resources, that the community is ready to undertake to operate and maintain, without assistance, any facilities agreed by the community and provided by government or donor, and that the community will ensure that the poorest households in the community will be able to benefit from the new water supply facilities.

District Nam Saat supports the community application at the provincial level. The province in turn provides provisional approval for the project if it complies with their target programmes.

Materials to be used/developed:

- *Village WATSAN Book*
- *Provincial radio and provincial radio, including ethnic minority broadcasts*
- *Appropriate communication materials/media for safe water promotion to facilitate inter-personal communication*
- *Community dialogue information kit (water supply technical options)*

Monitoring indicators

### **Milestone 2 (MS2)**

- *the village decision (MS2) to proceed (Go Ahead Agreement) with the formal Project Application is documented in the VWB*
- *minutes of the discussion at a public meeting on the conditions for project implementation is documented in the VWB and provides another INDICATOR of the community's willingness to take on their role in the project implementation process and, in particular, future O&M responsibility*

Annual financial requirements for implementing the 7Step project cycle  
Provincial/District

- *Community awareness campaign and provisional technical design and cost estimates*
- *Assistance to the community preparing for the project*

### **Step 3 Application Process**

Based on community's willingness to participate and the Province's provisional approval of the project, Nam Saat assists the community to prepare the official RWSS application for government assistance (MS3) included in the VWB.

This application must first be approved at District Level Administration.

District Nam Saat (or District Development Committee for Health) assists in progressing the application through at district level.

Once the application is approved by the District it is forwarded to Provincial level for consideration. At provincial level the application is evaluated and once approved it is forwarded to Central Nam Saat.

At central level the application should be assessed to see if it complies with the RWSS Strategy and national planning objectives. Central Nam Saat should not make any detailed technical assessment, as this is the responsibility of the community, district and province. *(Central level taking too greater role in project preparation will lead to a top down approach, which is to be avoided.)*

If the project suits national criteria it can be added to the Ministry's annual budget for the following year.

District Nam Saat keeps community informed of the progress of their application.

Based on central Nam Saat approval and inclusion in the National Plan (MS4) and the availability of a budget, the district informs the community that the project will be supported and provides the community with a provisional implementation plan which is logged in the Village WATSAN Book.

Materials to be used/developed:

- *Village WATSAN Book*
- *Format for RWSS Application Form*

Monitoring indicators

#### **Milestone 3 and 4 (MS3, MS4)**

- *written Project Application (MS3) formalizes and confirms the initial informal request for project assistance and is used to initiate project incorporation in the national plan.*
- *the fulfillment of the application process is documented and the project added to national plans and budget allocated (MS4, which can be a note in the VWB, that district Nam Saat has informed the community of the government's approval)*

Annual financial requirements for implementing the 7Step project cycle

Provincial/District

- *Recurrent expenditure for project planning process*

District

- *Keeping the community informed of progress with their application*

#### **Step 4 Prepare HRD Plan**

Prior to project implementation and based on the communities continued willingness to participate, provincial Nam Saat evaluates training needs required to support the PIP in community, and decides if the district and/or province has capacity to provide adequate training. Should support be required Central Nam Saat or local organisations can provide assistance. A training budget needs to be available at provincial level.

Nam Saat explains to the community the need for a health awareness campaign at community level and the importance of a Village WATSAN Committee to manage the new supply facilities and their construction. Community leaders identify Village Health Volunteers (VHV) for training. Decisions to select VHV and WATSAN Committee members and suggestions about the training to be provided are documented in the Village WATSAN Book. It is suggested that at least 2 members of the WATSAN Committee be women, and that if only one VHV is selected she shall be a woman. If more than one VHV is selected at least one volunteer shall be a woman.

The community should be made ready for their involvement in the project at this stage and identify possible additional candidates for technical or financial training and these people registered in the VWB.

This is the last opportunity for the community to simply withdraw from the development process as the following stages require large government expenditure.

Community decide with Nam Saat and government officials to go ahead with RWSS project

Materials to be used/developed:

- *Village WATSAN Book*
- *Format for training needs assessment*

Monitoring indicators

- *HRD Plan documented in the VWB*
- *As the “7 Steps” proceeds to the formal planning stage, Nam Saat and the community prepare notes in the VWB on possible WATSAN Committee members and Village Health Volunteers, and outline the main elements of the training to take place for preparing the village action plan and future O&M needs*

Annual financial requirements for implementing the 7Step project cycle

Provincial/District

- *HRD needs assessment*
- *Preparation of draft training programme (possibly in ethnic minority language) for Village WATSAN Committee and VHV*

District

- *Coordination with the community preparing for the project*

## **Step 5 Develop RWSS Village Action Plan**

Nam Saat assists the community identify the members of the WATSAN Committee and VHV and formally establishes the posts. Details of the people appointed are contained in the Village WATSAN Book (MS5).

Nam Saat provides initial training for WATSAN Committee (and village leaders) in preparing the Village Action Plan (VAP) and trains the VHV.

Together with the WATSAN Committee and VHV Nam Saat plans and initiates a health awareness campaign within the community. The health awareness campaign should be tailored to local customs whenever practical. In many ethnic minority communities this campaign may need to be in the local language. Details of the training provided and health promotion campaign activities are documented in the VWB.

Nam Saat encourages and promotes community dialogue and listens to community needs and together with the community a Village Action Plan is prepared and approved by the community. (the VAP is included in the VWB)

The community, through their WATSAN Committee, formally commit, through a Memorandum of Agreement (contained in the VWB (MS6)) to proceed with project and request Nam Saat to undertake a detailed technical survey, cost estimates, procurement plan and an estimate of probable operation and maintenance costs.

Materials to be used/developed:

- *Village WATSAN Book*
- *Appropriate training materials for; (i) training WATSAN committee members, e.g. contracts, water quality monitoring, community mobilisation, technical operation & maintenance, and (ii) training Village Health Volunteer, e.g. facilitation skills, health awareness campaigns, sanitation & hygiene*
- *Appropriate communication materials/media to facilitate inter-personal communication for health awareness campaign*
- *Community dialogue information kits for sanitation technical options.*
- *Provincial radio, including ethnic language broadcasting*
- *Format for Village Action Plan*
- *Format for Memorandum of Agreement*

Monitoring indicators

### **Milestone 5 and 6 (MS5, MS6)**

- *WATSAN committee members are formally elected/assigned and their names recorded in the VWB (MS5) The WATSAN committee take responsibility for the VWB and also constitute the persons whom which Nam Saat will communicate with on RWSS matters*
- *The main elements of the RWSS Village Action Plan (incl survey results, designs etc) shall be outlined in the VWB*

- *The village, through the WATSAN committee, signs the “Memorandum of Agreement” (MoA MS6) which details the responsibilities of the community, Nam Saat and the contractor (if appointed). The MoA is a “contract” between the parties.*
- *the MoA is the final INDICATOR of all parties commitment to the project.*

Annual financial requirements for implementing the 7Step project cycle

Provincial/District

- *Undertaking the training programme*
- *Detailed design and cost estimates*
- *Prepare tender documents*

District

- *Coordination with the community preparing for the project*

Central

- *Provide support for training design and tendering*

## **Step 6 Implement RWSS Village Action Plan**

Nam Saat assists community to organize for the project.

Nam Saat assists the community (probably the leaders of the WATSAN Committee) to procure services (tender), or decide how the construction is to be done. The community will be the owner of the services, so they should have the last say in the decision of whether to construct themselves, or which contractor should be appointed, type of services to be provided and at what cost. Where practical the community as a whole is encouraged to be involved in this process, and a transparent tender should be encouraged, if a contractor is to be used.

The WATSAN Committee arranges community contributions in cash or kind to support the construction process.

Nam Saat assists community mobilization (and to support the successful contractor) gain way leave, mobilise labour and/or materials etc.

Nam Saat provides the community with training and technical assistance for supervision of construction. The community should understand who is responsible for which activities and understand to whom to complain should the agreed design be changed, a contractor fail to give adequate quality of workmanship etc.

Nam Saat will be responsible that works provided by a contractor reaches an agreed standard and that water resources, particularly for public water provisions (serving more than 9 households) reach a minimum quantity and quality.

Nam Saat will arrange for the test of all new water sources, and the result of this test shall be recorded in the VWB. Where appropriate Nam Saat will provide the community with additional skills to protect their water resources. It is generally more practical to ensure the quality of resources by protection, but periodic quality analysis will be required for public water supplies. Results of test should be documented in the Village WATSAN Book.

Nam Saat, (and the contractor,) shall provide technical training for the community in project operation (if required). This is particularly important for piped water schemes or where hand pumps or motorized pumps are installed on public provisions.

When the project nears completion, Nam Saat and the community will approve and sign the project Completion Certificate (MS7, and to be contained in the VWB). Any faults identified shall be remedied before the Completion Certificate is signed. Payment for a contractor will not take place without a signed Completion Certificate. Where a contractor is used the Completion Certificate shall be prepared by the contractor and contain a detailed description of the works completed. (eg. "As constructed drawings" for complex schemes) and the results of the water quality analysis.



The form of Completion Certificate should ensure that the recipients (perhaps 50% of the community), and not just the community leaders provide their approval for the completed provisions.

The community similarly approves the contractor's bill. Without the approval Nam Saat shall not release funds to the contractor. (approval of the bill documented in VWB)

Payment to the contractor shall be made by the responsible authority (the Province) and payment registered as Milestone 8 (MS8). The completion of Milestone 8 should guarantee that the project has been completed in accordance with the 7 Steps and that the community have been fully committed to the project and fully trained to operate and maintain the project in a sustainable manner for the future.

When the project is completed the community should have already organised themselves, through the WATSAN committee, to finance and manage project operation and maintenance.

Each household, which uses the services, shall contribute to the costs of operation. Ideally users should pay for the services they use, ie. metered water connections, but this may not be appropriate in many cases. Whatever means to collect revenue is used the tariff imposed should be agreed by the community, should be affordable to all and cover all operating and replacement costs and any levies the government may impose.

Nam Saat undertakes to provide technical assistance and training to the community for 'trouble shooting' the completed project should need arise. The community shall be aware that these services may require payment.

**Materials to be used/developed**

- *Village WATSAN Book*
- *Format for Project Completion Certificate*

**Monitoring indicators**

**Milestone 7 and 8 (MS7, MS8)**

- *community prepared to participate in the construction process*
- *community participates in the tendering process and award of contract, details recorded in the VWB*
- *construction phase with community contributions and observations recorded in VWB*
- *prior to preparing the Completion Certificate any faults are remedied*
- *Completion Certificate (MS7) provides proof, of the community's approval of the completed provisions, construction, training etc. It documents that the community has checked that the project has been implemented according to their Village Action Plan and that water quality achieves the desired standards*
- *The signed Completion Certificate is a prerequisite for provincial authorities to release payment to the contractor. M8 will then be a copy of the payment certificate (elsewhere recorded) to be added to the VWB*

- *The payment certificate marks the end of the 7 Steps construction process, but not the end of Nam Saat contact with the community*

Annual financial requirements for implementing the 7Step project cycle  
Provincial/District

- *Training programme for WATSAN Committee and RWSS technicians*
- *Provide support to the tendering process*
- *Project supervision*
- *Water quality test*
- ***Construction bill (or bills for materials used)***

## **Step 7 Monitoring, Evaluation and Learning from Lessons**

When projects are complete the community will be trained and encouraged to monitor the performance of their project.

A system which can be reviewed by District Nam Saat shall be established using the VWB. The VWB shall contain names of responsible persons, minutes of WATSAN meetings, records of maintenance, breakdowns, training, health problems in the community and income and expenditure.

This **completes the formal project cycle** but the community and Nam Saat shall maintain communications in order to ensure water quality and provisions sustainability.

Nam Saat together with the community will undertake regular monitoring at project level, probably annually, which may include testing water quality for public water supplies. This information will be used to support provincial and national planning activities.

Nam Saat at provincial and district level will have developed a good understanding of the sustainability of local provisions and adapt implementation approaches to suit lessons learned in their locality.

Lessons learned at provincial levels will be shared with Nam Saat Central and approaches adjusted to suit where appropriate.

Nam Saat Central should undertake random spot checks at all project levels to ensure that projects have been completed as reported, that construction quality reaches expectations and the community are satisfied with the provisions and approach, and to ensure that monitoring and evaluation (M&E) process are up to date and accurate. These spot checks may include water quality tests for public water supplies.

Materials to be used/developed

- *Village WATSAN Book*
- *Based on lessons learned develop and revise IEC materials*

Monitoring indicators

**Based on the M&E Guidelines, RWSS Indicators required to:-**

- *monitor and evaluate sustainability RWSS provisions and determine national RWSS coverage and identify communities with need*
- *monitor Nam Saat and other agencies' implementation of RWSS projects*
- *provide details for national planning and campaigning*
- *revise strategic approach*

Annual financial requirements for implementing the 7Step project cycle

Provincial/District

- *Monitoring project sustainability*

District

- *Coordination with the community and collection of RWSS data*
- *Assisting the community*

Central

- *Spot checks on the project*
- *Preparation of annual reports on sustainability and coverage*

## **Conclusions**

### **Sustainability**

Introducing a fully participatory approach does not provide a quick, or simple, solution to technical problems. Involving the public in decisions will require time and effort on behalf of the project implementers. However a participatory approach, with the community owning and operating provisions, will lead to sustainability, particularly if the community are properly trained, the technology is appropriate and the community ready and willing to pay for services they value and appreciate.

### **Monitoring and Evaluation**

The monitoring process, and evaluation of the success of projects lies at the heart the participatory approach and the Strategy. Nam Saat shall emphasize the role of M&E in all future project activities.

Monitoring systems shall be based on dialogue with the users and designed to provide accurate and verifiable project information, which can be used evaluate the success of the national programme. The Village WATSAN Book shall be the genesis of all information and the district will be the unit where this information is collected and stored. Essential data shall be forwarded by the district to the province to be included in provincial data-base and this data base will be used to update Central level data on the sector and movements of finance.

Standardized reporting procedures will be introduced which will encourage information to be included on a national data-base. New information about approaches which have lead to sustainability can influence approaches nationally and assist in adjusting the Strategy.

Nam Saat will share implementation experience with colleagues and other ministries promoting the decentralized participatory style of implementation.

Annex 1

**ADD IN EXCEL SHEET FOR 7 STEPS**

Annex 2

	<b>STEP 1 Promotion of RWSS Provisions</b>	<b>Recipient-beneficiary</b>	<b>Information Sources</b>	<b>Implementing Agency</b>	<b>Responsible Organisation</b>	<b>Input days</b>
	Prepare Annual Plan (Target Programme) National IEC Campaign  Local IEC Campaign and Outreach Process <b>The Outset of Community Participation Process and Project Cycle</b>	Nation Nation Target communities	D/P Admin NSC NSC/P	NSC NSC NSP	MoH NSC/MoH NSC	
<b>MS1</b>	1 Community Application for RWSS Provisions Community provided with Village WATSAN Book (VWB), and makes written application 2 Positive evaluation of application 3 Public meeting at community 4 Provisional decision to go ahead with RWSS support	NSD Community  NSD Community  NSD	Community NSC  Community NSC/P/D Community	NSD/NGO NSD  Community NSD/NGO NSD/NGO	NSP NSD  Community NSP Community	
	<b>STEP 2 Technical Feasibility and Commitment</b>					
<b>MS2</b>	1 Community awareness campaign 2 Outline technical evaluation including cost estimates Agreement to support the project and be responsible for O&M 3 Province gives preliminary approval for project	Community Community NSD NSD	NSC/P Community/NSD Community NSP	NSD/NGO NSP/NGO Community/NSD NSP	NSP NSP Community NSP	
	<b>STEP 3 Application Process</b>					
<b>MS3</b>	Official application 1 District Appraisal and Approval 2 Provincial Appraisal and Approval 3 Central Appraisal and Approval (and addition to MoH plan) 4 Feedback to community	NSD Community Community Community Community Community	Community Community NSD NSP NSC/P/D Central Admin	Community District Admin Province Admin Central Admin NSC/P/D NSC/MoH	Community NSD NSP NSC/MoH NSC NSC	
<b>MS4</b>	Project included in National Plan and budget available					
	<b>STEP 4 Preparing HRD Plan</b>					
	1 Local training needs assessment for sustainability of new provisions 2 Prepare training for Village Health Volunteers	Community Community	Community NSC	NSD/P NSD/P	NSP NSC	

	<b>STEP 5 Developing Village Action Plan</b>	<b>Recipient</b>	<b>Information Sources</b>	<b>Implementing Agency</b>	<b>Responsible Organisation</b>	<b>Input days</b>
<b>MS5</b>	Identify WATSAN Committee	Community	NSD/P	Community/NSD	Community	
1	Training for WATSAN Committee and VHV to prepare Village Action Plan	Community	NSD/P	NSD/P/NGO	NSP	
2	Undertake health awareness campaign to ensure RWSS impact	Community	NSC/P	NSD/P/NGO	NSP	
3	Dialogue with communities on technical details and responsibilities	Community	NSP	NSD/P/NGO	NSD	
4	Preparation of the Village Action Plan (VAP)	NSD/P	Community	Community/NSD	NSD	
<b>MS6</b>	Signed MoA, technical survey and detailed design	Community	NSP	NSD/P/NGO	NSP	
	<b>STEP 6 Implementing Village Action Plan</b>					
1	Preparations for implementation, mobilisation and organization	Community	Community	NSD/P	WATSAN Committee	
2	Procurement Process (resulting in tender or purchase order)	Community	NSC	NSD/P	WATSAN Committee	
3	Community Contributions		NSP	WATSAN Committee	WATSAN Committee	
4	Technical Assistance during construction	Community	NSP	NSD/P	NSP	
5	Construction (if undertaken by contractor)	Community	NSD/P	Contractor	Contractor	
6	Technical Training during construction	Community	NSP/D/contractor	NSD/contractor	NSP	
7	Quality Assurance for water quality and completed works	Community	Community/NSP	NSD/WATSAN Committee	WATSAN Committee	
8	Community approve project completion	NSP	Community	NSD/WATSAN Committee	NSD	
<b>MS7</b>	Project Completion Certificate	NSP	Contractor	NSD	WATSAN Committee	
9	Community approve the payment of bill for the completed works	NSP	Community	NSD	WATSAN Committee	
<b>MS8</b>	Release of funds for completed works based on MS7 and 9	Contractor	WATSAN/NSD	NSP	NSP	
9	Local management and financing	Community	NSP	WATSAN Committee	WATSAN Committee	
10	Community prepared for Operation and Maintenance role	Community	NSP/D	WATSAN Committee	WATSAN Committee	



	<b>STEP 7 Monitoring and Evaluation</b>	<b>Recipient</b>	<b>Information Sources</b>	<b>Implementing Agency</b>	<b>Responsible Organisation</b>	<b>Input days</b>
1	Community Self Monitoring of project and performance	Community/NSD	Community	Community	Community	
2	Monitoring and evaluation	NSC	Community/NSD	NSP/C	NSC/P	
3	Random spot checks of completed projects	NSC	Community	Independent agency	NSC	
	<b>The Completion of Community Project Cycle</b>					
	Data Collection from province	NSC	NSD	NSP	NSC	
	Incorporating lessons learned	NSC	NSD/P/C	NSC	NSC	
	Spot checks	NSC	Community	NSC	NSC	

*MS milestones presenting measurable indicators of project progress and community participation*

*NSD can be considered a part of the District Coordination Committee (DCC) for health related activities, in some cases the role of NSD and DCC is interchangeable.*

*MoA Memorandum of Agreement which indicates the responsibilities of the two parties, i.e. Nam Saat (MoH) and the Community*

# Annex E

## Government Process for Project Financing

### 1. The Budget Process

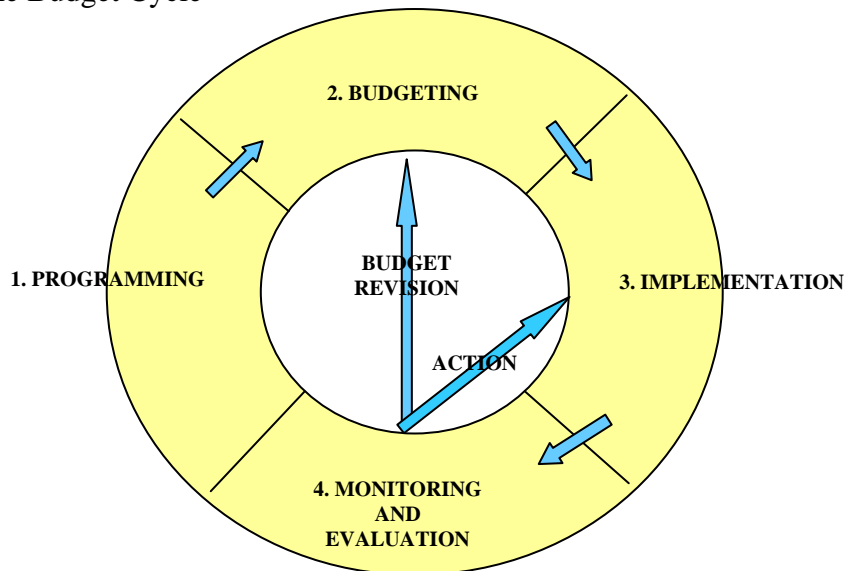
#### 1.1 The budget cycle and basic r

The **budget cycle** is illustrated below, and it is important to understand the complete budget cycle starting with programming, finishing with evaluation and monitoring.

Budgeting work involves the whole organization and continues for the whole fiscal year.

- *Programming* is the core and the first step in the budgeting cycle. Governmental prioritizations, forecasts, long-range plans, surveys, inspections, etc are considered and should give estimations on activities to be carried out.
- The second step, *budgeting*, involves quantification and pricing of the activities and to decide on the financing of activities.
- The third step, *implementation*, involves procurement, contracting and supervision of the activities.
- The fourth step, *evaluation and monitoring* involves budget follow ups, quality and quantity controls and audits, which should give proper information for necessary actions and possible budget revisions.

Fig 1.1 The Budget Cycle

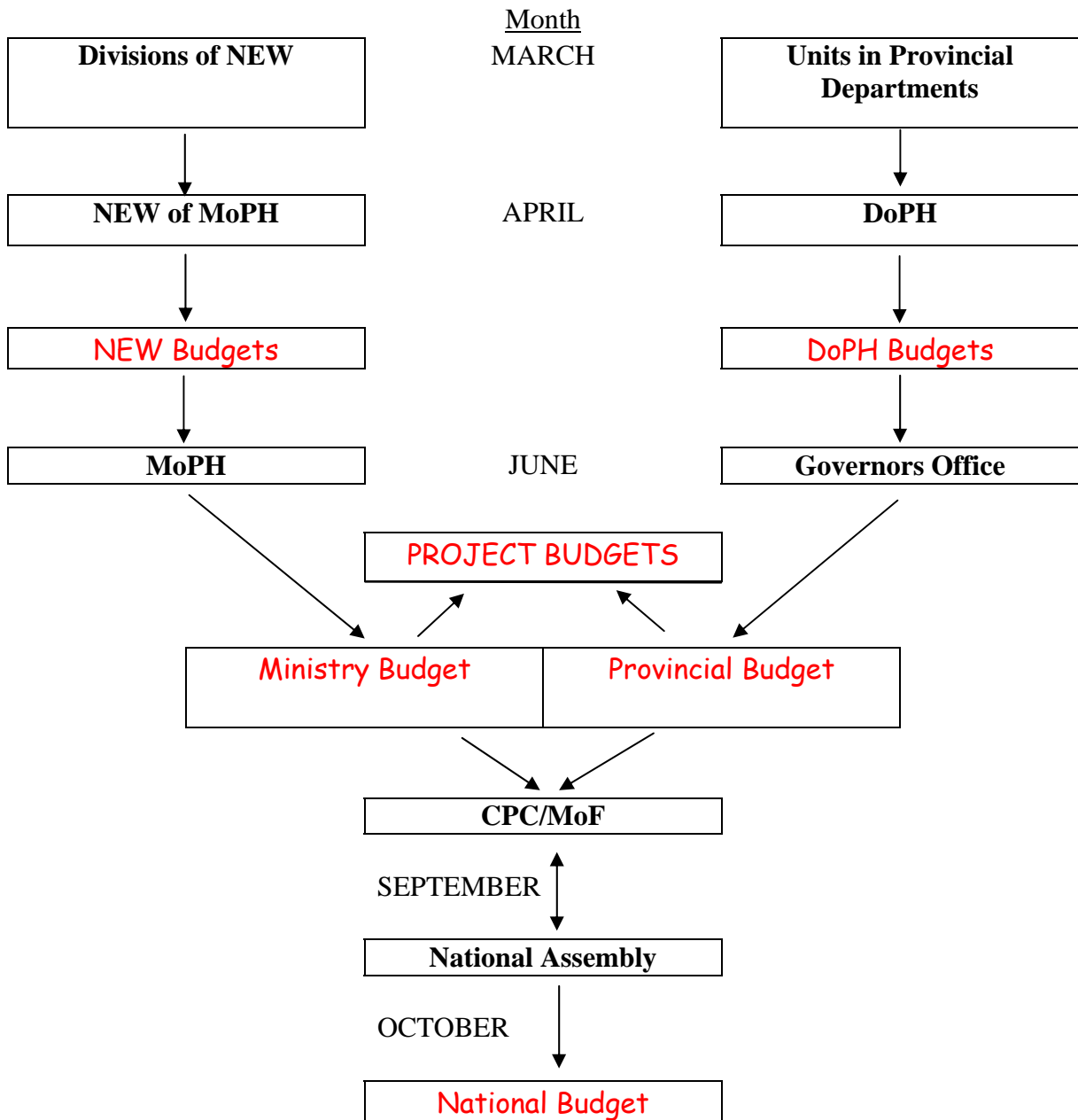


**Basic aspects** to consider in order for an effective budget to be achieved are:

- *Information* – Necessary information must be available, and overall plans and objectives must be understood
- *Participation* - The budget is built on participation from all parties
- *Responsibility* - Responsibilities are clear, accepted and understood by all parties
- *Follow ups* - Actual results are regularly and timely compared with the budget (monthly, quarterly, half yearly, annually)
- *Revision* - If basic assumptions are changed the budget is revised

## 1.2 The Budget Process

The annual **budget process** is as indicated in the figure below, and following description:



**March:** Divisions of National Centre for Environmental Health and Water Supply (NEW) and units of Department of Public Health (DoPH) prepare budgets for planned works during the coming fiscal year.

**April:** Divisions submit budget proposals to the financial division for compilation of a budget for NEW. DoPH units submit budget proposals to the budgeting unit of NEW for compilation of a DoPH budget.

**June:** When budget activities and amounts are agreed, NEW submit budget proposals to Department of Planning and Budgeting in MoPH for compilation of a ministry budget. DoPH submit budget proposals to department of planning and cooperation in the Governor's office for compilation of a Provincial Budget.

**July:** Budget activities and amounts are agreed and approved by the minister/governor. Draft ministry and provincial *investment budgets* are sent to the Committee for Planning and Cooperation (CPC).

Draft ministry and provincial *administration budgets* are sent to the Ministry of Finance (MoF). CPC/MoF provides comments to draft budget proposals including expected ceiling amounts.

**September:** Final draft budgets are submitted to CPC/MoF.

The ministry and provincial budgets are finally approved by the National Assembly.

**October:** The National budget is finalized and the new budget year becomes effective.

The National budget includes budgets for the line ministries and for the provinces.

**Budget revisions** are done after six months in accordance with the budget law and it follows the budget process described above.

### 1.3 Budgeting for Projects

**Budgets for projects** must harmonize with, and originate from MoPH and DoPH budgets. This means that project budgets are prepared at the same time as preparation of budgets for MoPH and DoPH.

**July:** Project budget is compiled by Department of Planning and Budgeting by extracting project activities from the MoPH and DoPH/provincial budgets. Project budgets must continuously be updated in accordance with changes in the budgets of MoPH and DoPH. Department of Planning and Budgeting submits budget information and follow-ups to CPC in accordance to the regulation for projects budget planning and execution, No 1804/MoF.

**August:** Preliminary project budget is submitted to donor.

**September:** Project budget is finally updated in accordance with any changes in the MoPH and/or DoPH/provincial budget.

**October:** The project budget is finalized and the new budget year becomes effective. The project budget must be reconciled with the final budget of MoPH and DoPH. Any discrepancies must be solved and the project budget must be updated accordingly.

The project management must approve considerable changes in the project budget. The actual expenditure must be within the approved frame of the work plan. Any significant over spending or **reallocations** should be reported to the project management, the minister and the governor with full explanations.

**Budget revisions** are done after six months in accordance with the budget law and it follows the budget process described above.

## **2. Disbursements**

Investments are managed by the following organizations.

- MoPH Activities included in the Ministry of Public Health budget.
- DoPH Activities included in the Department of Public Health /provincial budget.

The flowchart below (fig 2.1) describes approval and disbursement procedures for MoPH and DoPH.

Approval of expenditures follows the structure of MoPH and DoPH and requires regular undating, corresponding to possible changes.

Disbursement for activities financed 100% by the Lao government shall follow Regulation 1706/MoF 22/10/2001.

Foreign funded projects shall follow the Regulation for Disbursements of Projects No 1803/MoF.

Both regulations are further detailed in 2397/MoF dated 22/11/2002, regarding administration expenses. Any additions or modifications agreed with the donor have to be detailed in a separate document and amended to these financial guidelines.

### **2.1 Utilisation of Funds managed by MoPH**

Activities in the Water and Environmental Health Sector require projects to originate at the community level. Budgets are essential for support for two levels of activity. Firstly to support the preparation of community messages, creating demand for services, and for development of community capacity to ensure sustainability of provisions. Secondly based on community demand, the construction of water and sanitation facilities requires a budget. The community contributes toward the budget provided by government and agrees to operate and maintain the provisions once constructed.

Please refer to Fig 2.1 below for a description the budget approvals and disbursement procedures:-

- A.** Supplier/contractor submits invoice directly to the procuring/managing division/unit in MoPH or via DoPH.
- B.** DoPH reviews invoice and submits payment request together with invoice to procuring/managing division/unit in MoPH.
- C.** Procuring/managing division/unit reviews payment request.
- D1.** Payment request is submitted the Financial Unit (FU) of the department for accounting and follow up. Payment order prepared by FU is then submitted, via Department of Planning and Budgeting (DoPB), to the Minister for approval.
- E(1&2).** Funds managed by MoPH, foreign. Payment is initiated directly through Special Account managed by MoPH.

**F.** Funds managed by Ministry of Finance (MoF), local and foreign. For activities financed 100% by local funds, payment order is sent via Department of Budgeting (DoB) to Department of Treasury (DoT) in MoF.

For activities co-financed by local funds and for foreign funds, payment order is sent directly to Department of Treasury (DoT).

**G.** After approval by the Director of DoT, payment of local funds is initiated through account in the National Treasury.

**H.** Payment of foreign funds is initiated through Special Account managed by MoF.

**I.** Direct payments, foreign, from donor to supplier and other withdrawals from loan accounts are submitted to the Donor via the Department of External Finance (DoEF) in ministry of Finance.

**J.** After approval by donor the payment is initiated through loan/grant account directly to the supplier.

## **2.2 Utilisation of Funds Managed by DoPH**

**A.** Supplier submits invoice to DoPH.

**K.** Funds managed by DoPH, foreign. After approval by director of DoPH payment is initiated directly through sub account to special account managed by DoPH.

**L.** Funds managed by DoPH, local and foreign. After approval by director of DoPH payment order is submitted to the Governor for approval.

**M.** The payment is initiated from Department of Finance through account in Provincial Treasury for local funds or through special account for foreign funds managed by the Governor office.

**N.** In the case of community contribution, the payment is initiated through the community's funds.

## **2.3 Withdrawals from Loan/Grant Account**

Specific rules and procedures for disbursement from loan/grant accounts are further described in other documents, such as project documents, agreements and disbursement handbooks. For details see to those documents.

Withdrawals from loan/grant accounts are submitted to the Donor via the Department of External Finance (DoEF) in Ministry of Finance.

Withdrawal application is used for:

- Reimbursement of payments already made by MoPH/DoPH from its own resources
- Advance to Special Account
- Replenishment of Special Account
- Direct payment to supplier

After approval by donor the disbursement is initiated through loan/grant account in the following ways.

- Reimbursements are transferred to the source from which the payment was made
- Advance disbursement from the loan/grant account is deposited in the Special Account in order to finance eligible expenditures
- Replenishments of Special Account are transferred to the Special Account. If sub accounts are agreed with the donor, replenishments of sub accounts are done upon submission of transfer request from the sub component. See annexed form.
- Direct payments to supplier are disbursed directly to the account of the supplier.

Fig 2.1 Approvals and disbursement procedures

