

**Improving sanitation on farms:
Lessons from the Farmdweller Sanitation
Pilot Programme and the Emerging Western
Cape Model**

by

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1. Improving sanitation on farms: Lessons from the Farmdweller Sanitation Pilot programme and the Emerging Western Cape Model (KV 132/1/01)
2. Health and Hygiene Awareness (KV 132/2/01)
3. Formative Assessment of Project Initiation (KV 132/3/01)
4. Formative Assessment of Subsidies, Technology Options and Choice (KV 132/4/01)

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Executive Summary

The Department of Water Affairs and Forestry (DWAF) and the National Sanitation Co-ordination Office (NaSCO) have prioritised sanitation support to the rural sector, where sanitation backlogs are most acute. The rural program has concentrated on community projects, which target households in the former homeland areas. There is at present a policy vacuum around channelling funds and other support to households who live on privately owned land but do not enjoy secure title.

Farmdwellers are in a particularly difficult position in terms of accessing basic services. Many rely exclusively on their employer – the farmer – for a living and a place to live, and without access to external support, many farmdwellers' basic needs and rights are simply not met. Local authorities have a responsibility to all their constituents, including farmdwellers.

This Report is the culmination of a rigorous evaluation of the Western Cape Farmdweller Sanitation Pilot Programme. The objective of the Sanitation Pilot Programme was to develop and test methodologies, approaches and mechanisms to ensure that the special circumstances of farmdwellers are addressed. The aim of the research was both formative and summative and constituted an essential component of this important strategy policy research and implementation initiative.

The formative evaluation was a reflective activity that accompanied pilot project implementation, adding value to learning from the project process after execution and contributing towards completion of project milestones that followed.

The methodology of formative assessment consisted of:

- triangulating the information generated by the pilot *together* with the research project's analysis of literature, process documentation and file investigations;
- presenting draft reports as material for active co-analysis by local, district and regional role-players in participatory workshops;
- incorporating the outcomes of these interactions in reports for each of the following milestones of the pilot project.
 - Project initiation
 - Health And Hygiene Awareness
 - Subsidies, Technology Options and Choice

The methodology of the summative evaluation consisted of:

- Conducting a number of stakeholder workshops that were used to crystallise the formative lessons;
- Using workshop findings to develop a sanitation business plan framework at regional level and to make recommendations to inform policy guidelines at national level.

In summary the report makes following policy and institutional recommendations:

1. The policy principles outlined in the 1998 Draft Policy Guideline for Farmdweller Sanitation are sound and should be re-affirmed at high level.
2. National policy on farmdweller sanitation should be addressed as a component of the revised national sanitation policy, and should not be seen in isolation from other aspects of sanitation or water services provision. The revised national sanitation policy document should provide a framework for addressing backlogs and achieving sustained improvements on farms.
3. Farmdwellers should not have to suffer poor sanitation where the farmer is unwilling or cannot afford to provide adequate facilities. DWAF, in consultation with local government, should provide clear guidance on how to utilise the Water Services Act's provision for Water Services Intermediaries to compel farmers to improve water and sanitation services to people living on farms. Compliance and progress should then be monitored through WSDPs and water audit mechanisms.
4. Where the local authority is in a position to provide material assistance for farmdwellers, such improvements should be made in accordance with the Water Services Act and national sanitation policy. Government should provide clear and practical guidelines for local authorities on how to translate national sanitation policy into sustainable improvements on farms.
5. Where the local authority or Water Services Authority applies to national government for funds to achieve improvements, for example through DWAF's CWSS programme, applications should be considered against very clear criteria regarding targeting the most needy recipients, technology type, cost per unit (taking into account local conditions), provision of an integrated health and sanitation programme, clear arrangements around operation and maintenance by the farmdweller and farmer, respectively, and so on. These criteria must be applied consistently and communicated to local authorities as a matter of urgency.
6. The Water Services Act should be revised to make explicit reference to farmdwellers, and to clarify roles and responsibilities around the provision of water and sanitation services on farms. These revisions should be reflected in expanded regulations in terms of the Act, and addressed in local, regional and national monitoring frameworks.
7. Service provision to farmdwellers must be addressed as an integral part of integrated development planning, with detailed information around targets, funding and time frames set out in the Water Services Development Plan. DWAF – particularly regional offices - must undertake to promote awareness of the need to address farmdweller servicing in all WSDPs.
8. Sanitation for farmdwellers must be addressed as part of an integrated strategy by a Municipality to achieve improved sanitation throughout its area of jurisdiction.

9. Farmdweller sanitation needs a champion, and DWAF should take this on – at least until local government is better able to. Regional DWAF offices should be given responsibility for focussing the attention of local government on farmdweller sanitation, and reporting to DWAF head office on progress. Provincial Sanitation Task Teams in each province are a key resource to guide local government and other roleplayers.
10. An Implementation Guideline to complement the existing Draft Policy Guideline for Farmdweller Sanitation should be developed. Aimed at DWAF, municipalities and implementation agents, the guide should synthesize the main issues discussed in this report and the programmes lessons to date.
11. DWAF personnel responsible for WSDP support must ensure farmdweller issues are addressed within WSDPs, together with appropriate targets and indicators.
12. DWAF and NASCO should jointly convene a national workshop for PSTTs to brief them on farmdweller sanitation and equip them to lobby Local Government to start tackling farmdweller sanitation in concrete and practical ways.

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Appendices

Appendix A: Western Cape Business Plan Framework

Acronyms

BP	Business plan
C-MIP	Consolidated Municipal Infrastructure Programme
DC	District Council
DFID	UK Department for International Development
DM	District Municipality
DVIP	Double Ventilated Improved Pit latrine
DWAF	Department of Water Affairs and Forestry
EHO	Environmental Health Officer
IDP	Integrated Development Plan
NaSCO	National Sanitation Co-ordination Office
O&M	Operation and Maintenance
PSC	Project Steering Committee
PSTT	Provincial Sanitation Task Team
RSC	Regional Steering Committee
TOR	Terms of Reference
UDS	Urine Diversion System
VIP	Ventilated Improved Pit latrine
WSA	Water Services Authority
WSDP	Water Services Development Plan

1 Introduction

Farmdweller sanitation is generally very poor. Available information suggests that between 50 and 80% of farmdwellers have inadequate sanitation. The health impacts are severe; even worse is the impact on individual self-esteem.

Four pilot programmes were initiated in 1998 to explore ways of improving sanitation on farms: projects in the Northern Cape, Western Cape and Free State were initiated with funding from DFID, via NaSCO; in the Eastern Cape, the DWAF regional office set aside funds for a regional programme to address both water and sanitation services on farms. The pilot programmes were constructed within the framework of NaSCo 'Draft policy guidelines for a sanitation support initiative for farmdwellers'.

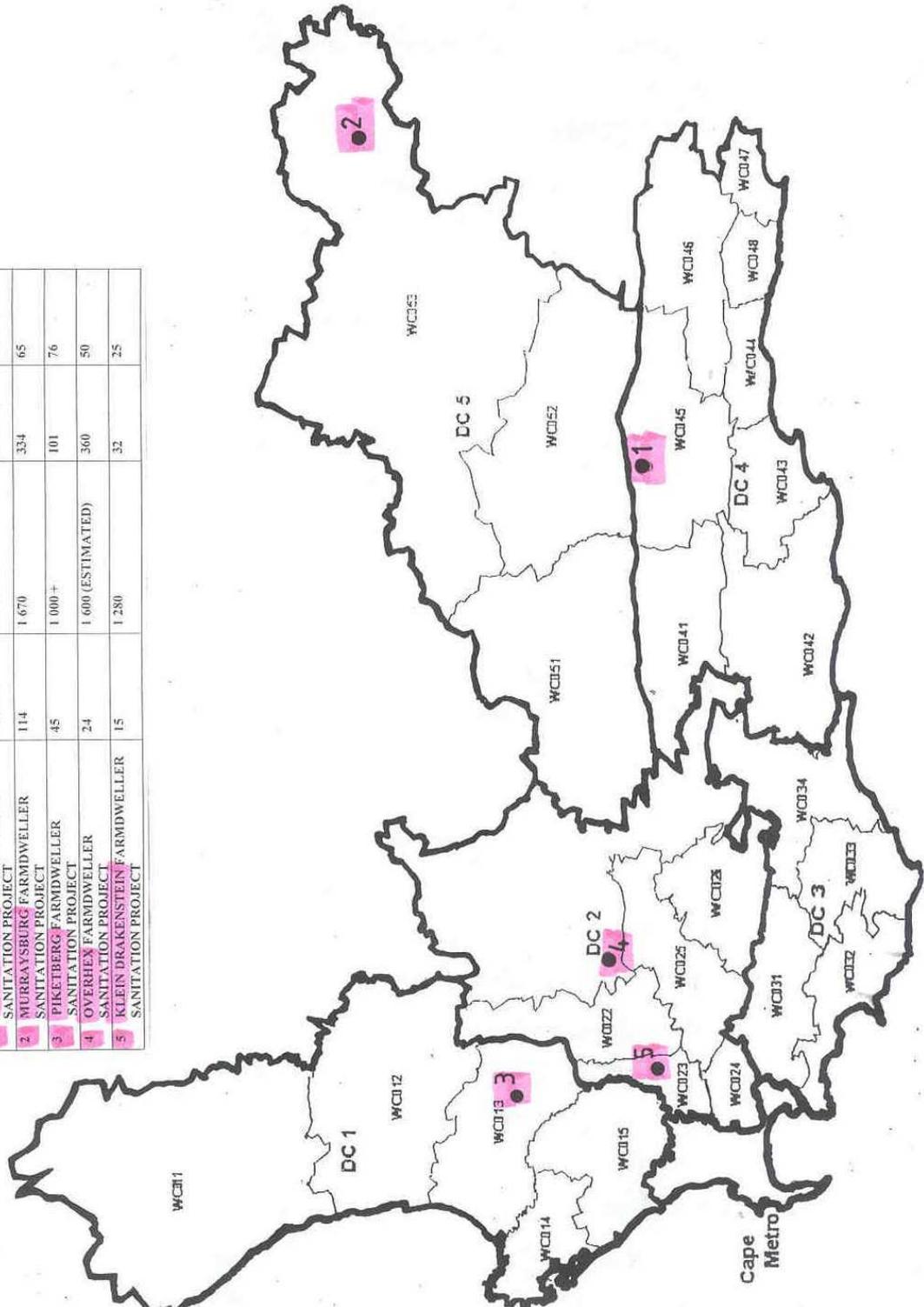
This report is the final report of the Evaluation of the Farmdweller Sanitation pilot programme the Western Cape and is based on three interim reports which focused on the evaluation of "Project Initiation", "Health and Hygiene Promotion" and "Subsidies and Hardware Delivery". This report sets out the lessons of these interim reports as crystallized at a national workshop at Esselin Park in November 2000, and presents the emerging Western Cape model as a framework to initiate, implement and sustain regional sanitation initiatives within the policy framework.

Participants at the national workshop re-affirmed the policy principles and broad approach set out in the 1998 'Draft policy guidelines for a sanitation support initiative for farmdwellers', and recommended that they be included as a section of the revised National Sanitation Policy document. Policy and procedural recommendations are made throughout this report, and it is proposed that DWAF is the appropriate agency to champion these.

Figure 1: Location of Western Cape Farmdweller Sanitation Pilot Projects

WESTERN CAPE FARMDWELLERS PILOT PROJECT

NAME OF PROJECT	NUMBER OF:			TOILETS
	FARMERS	FARMDWELLERS	HOUSES	
1. MATJESRIVIER FARMDWELLER SANITATION PROJECT	20 (MR)	200 (MR)	40 (MR)	40 (MR)
2. MUREAUSBURG FARMDWELLER SANITATION PROJECT	114	1 670	334	65
3. PIKETBERG FARMDWELLER SANITATION PROJECT	45	1 000+	101	76
4. OVERHEX FARMDWELLER SANITATION PROJECT	24	1 600 (ESTIMATED)	360	50
5. KLEIN DRAGENSTEIN FARMDWELLER SANITATION PROJECT	15	1 280	32	25



2. Overview of the Farmdweller Pilot Projects in the Western Cape.

The map in Figure 1 provides the location and information for the five farmdweller projects that were initiated in the Western Cape in early 1999. Sanitation and health promotion activities were undertaken as part of every project. By the end of 2000:

- Hardware had been built at only one project site – Murraysburg, in the Central Karoo;
- The Project co-ordinator and two of the project leaders had withdrawn from the pilot and;
- Two of the pilot project sites (Piketberg and Matjiesrivier) ceased participation after Phase A when project leaders and the project co-ordinator departed and it became apparent that the business plans for capital subsidy would not be approved.

The provincial pilot programme was initially co-ordinated by a consultant. At project level, the co-ordinator recruited local community leaders to function as project leaders, working closely with DC Environmental Health Officers. Co-ordination was taken over by a PSTT sub-committee, that included NaSCO and DWAF representatives towards the end of the project.

Project sites were identified at short notice by the District Council on the basis of pre-existing applications by farmers to the DC for funding assistance for flush toilets. Thus participating farms were self-selected by farmers, rather than on the basis of a more objective survey of conditions and needs on farms. The evaluation of the project initiation phase of the pilot projects is presented in Appendix B1.

In each project, a local community leader was identified to undertake health, hygiene and sanitation promotion. The initial implementation model drew a clear separation between 'Phase A' and 'Phase B' – as in the DWAF model – and addressed only Phase A; it made no provision for building toilets on farms beyond a very limited demonstration phase. There was little exploration of viable alternatives to flush toilets or making improvements to existing pit latrines, despite clear evidence that the DCs' existing approaches to improving farmdweller sanitation have not always been effective - with many existing flush toilets malfunctioning or abandoned, and little accompanying health and hygiene education. An evaluation of the health and hygiene awareness program conducted as part of the pilot project is presented in Appendix B2.

It seems that neither the DCs nor project leaders were made aware at the start that this was a pilot programme which sought to test new policy guidelines and develop new approaches to improving farmdweller sanitation. As a result, the Western Cape pilot projects have struggled because of a widespread expectation that the purpose of the pilot programme was primarily to deliver flush toilets to farmdwellers at the request of farmers, with funding assistance from DWAF.

Subsidy policy was explicit from the start of the programme: DWAF would make R600 available per participating farmdweller household for a basic level of service, where the District Council was not providing any form of additional subsidy. Unfortunately key members of the programme management team were ambivalent about eligibility criteria, and this led to mixed messages and problems with the way the projects were approached – culminating in the rejection of business plans to fund toilet construction in

four of the five sites. An evaluation of the hardware delivery phase is presented in Appendix B3.

2.1 Overview of Three Pilot Sites

(as provided by project leaders at the national workshop)

i) Overhex (near Worcester)

Input from project leader (a local school teacher.)

Focus: Improving sanitation at a farm school and in the homes of children attending farm schools.

Project selection: The DC selected the farms through contact with teachers.

Existing facilities: Most farms in the area have flush toilets with septic tanks and soakaways, often funded with DC subsidies. In some places farmers have installed full bathrooms.

There is allegedly a lot of resistance to providing VIPs – most people live close to towns, and so expect a flush toilet. They don't feel a VIP necessarily offers "upliftment".

PSC: Comprised of farmdwellers, farmworkers, farmers, DC and DWAF, which worked well.

Health and hygiene: The PL visited each home at least four times, and reached about 300 families.

BP: The PSC applied for funds to build toilets on farms that had not already received the DC subsidy. DWAF rejected the project Business Plan because it proposed flush toilets with co-funding by the DC.

Project outcomes: There has been a significant improvement in general cleanliness, and facilities are better maintained with less fouling in the vicinity of toilets. This includes a community hall on one farm.

Health and hygiene is crucial, but people need facilities to be able to put their learning into practice. Some new toilets were built using the DC subsidy.

ii) Klein Drakenstein (Stellenbosch area)

Input from project leader (a health-worker), and EHO with Wynlands DC.

Site selection: The District Council designated a site for the pilot programme where there were already good linkages with local farmers. A project committee was established, with a local health-worker as Project Leader. Initially 23 participating farms were identified, but this dropped to 17.

Project participants were not clear at the start of the project that the DWAF subsidy would not pay for flush toilets; many had pit toilets, and expected an upgrade to a flush toilet.

Making contact with farmers proved difficult, as several farms changed hands, while on others farmers were not always available for meetings..

The health and hygiene focused closely on the farmdwellers. Meetings were set up at times to suit the farmdwellers, taking into account working hours and seasonal pressures. Access was an ongoing problem and made it difficult to involve farmdwellers. Time for meetings was given half by farmers giving time off work, and half by farmworkers giving up their own leisure time. Farmdwellers were brought to one central farm, where a farm health worker was trained from each farm to work with the EHO and other health workers.

Lack of clarity over funding and subsidies led to ongoing difficulties and tensions, with allegations of 'unmet promises'. Project members felt the technical choices were limited and in fact were not a choice at all, if only VIPs would be approved. This emanated from the fact that the subsidy policy had not been clarified adequately at project level from the start.

BP: The BP was rejected because it proposed double subsidies and a higher level of service than the subsidy policy can support.

Outcomes: An important achievement of the project is to have trained on-farm health promoters. Moreover the DC's environmental health programme is now integrating health and hygiene promotion into its farmdweller subsidy programme.

New toilets have been built primarily on the farms of the more affluent farmers, using farmers' and DC resources.

iii) Murraysburg

Input project leader (a retired principal), and EHO from the Klein Karoo DC.

Site identification: The DC identified the area as needing support in 1998. A project steering committee was established in February 1999 with representation from the TRC, Agricultural Union, Farmworkers' Union, an EHO and the project leader. Again, lack of clarity around the project's objectives prompted tension when it became clear that flush toilets would not be funded. Five of the eleven participating farms dropped out when it emerged that R600 would be made available only for VIP latrines.

Health and hygiene: Very useful awareness programmes were run, but it seems there is still a perception within the project that flush toilets are the only acceptable option.

Outcomes: The project was planned to run over eight months. On-farm routines and seasonal activities led to delays, but to date 28 toilets have been built. Six of these are VIPs, with farmers providing co-funding for other septic tank systems in the remainder.

Farmdwellers contributed their labour in building the toilets, raising questions about compensation to them for their input if they leave the farm.

2.2 Summary Programme Evaluation Lessons

- Programme participants learnt the hard way how important it is to define objectives, roles and responsibilities from the start.
- Inappropriate targeting, with farms and farmdwellers identified for inclusion in the project which were not those who most needed subsidies.
- Inadequate capacity within DWAF to support the development of BPs by DCs and their consultants, and inadequate capacity to appraise them. One important outcome of the programme was a clear focus on BP writing as a capacity building exercise.
- The increased demand for environmental improvements created by the health and hygiene awareness programmes, particularly where they targeted schools or were able to piggy-back with TB programmes.
- Separation between Phase A and Phase B impacted negatively on community organization and development and the functioning of PSC's. Awareness programmes must run throughout the life of the project, rather than as a separate component.
- Building of demo toilets and preparation of the BP came too late in the project to frame project options and expectations usefully, or provide a useful baseline of information.
- Mixed messages from regional DWAF around what the capital subsidy would be used for retarded progress.
- The programme approach has been revised comprehensively, and is now being implemented as set out in the business plan framework in Appendix A.

3 Key Recommendations from the Evaluation

3.1. Programme Support

3.1.1 DWAF's role

Until local government has the resources to fund farmdweller sanitation without external support, funding of the farmdweller sanitation programme should fit primarily within DWAF's capital programme.

DWAF's ability to fund capital improvements in rural areas on behalf of local government is declining, as this role is increasingly taken on through more direct government funding mechanisms. It is imperative that DWAF and the respective PSTTs lobby actively to ensure that DWAF does not remain the only agency making funding provision for improvements to water and sanitation services for farmdwellers.

Farmdweller sanitation programmes should receive assistance from DWAF in the same way as any other capital programme, with the same criteria for funding, health promotion, levels of service and transfer of responsibilities. Farmdweller sanitation should be mainstreamed in DWAF programming, and not be treated as a special case with its own bureaucracy and procedures.

DWAF should provide a subsidy for a basic level of service, up to a maximum subsidy amount. Water infrastructure should be funded to a maximum of 50% of the capital cost, within predetermined criteria.

DWAF should promote the use of subsidies to improve or upgrade existing facilities, rather than default to installation of new hardware in all instances.

Regional DWAF offices should encourage WSAs to dedicate a portion of the overall available capital budget to fund improvements on farms.

Capacity to implement sanitation improvement programmes is generally weak and under-developed. DWAF must gear up to be able to offer guidance to local authorities; this means it will have to recruit or assign dedicated staff to sanitation and farmdweller water services. Equally, local authorities must be encouraged to take sanitation more seriously, through allocating and supporting the necessary staff. PSTTs have a key support role to play in developing this capacity nationally, and lobbying for closer attention to sanitation needs.

DWAF must develop specific WSDP guidelines to alert local authorities / water services authorities to what is expected of them in assessing and tackling farmdweller sanitation.

DWAF should challenge any WSA which does not address farmdweller water and sanitation needs in its WSDP.

Strategy development must focus on local conditions and concerns to ensure local ownership of programmes.

3.1.2 Harmonising municipal and DWAF programmes

DWAF and municipalities frequently have different priorities, time-frames and spending criteria in their respective business planning processes. To mainstream farmdweller sanitation, municipalities need a coherent approach to sanitation, which includes farmdwellers, and which is compatible with DWAF's approach. If this is not achieved, separate municipal and DWAF-sponsored farmdwellers could undermine each other through different approaches to subsidies, levels of services and so on.

As a matter of urgency, clear protocols and procedures must be developed to address joint DWAF – municipal capital programmes.

District Municipalities need to be given information on time-frames for accessing funds via DWAF. This needs to be linked with WSDP planning frameworks.

3.1.3 Integrating farmdweller sanitation into broader development frameworks

Farmdwellers need to be addressed in each instrument of local development planning:

- Integrated Development Plan – an overall assessment of local needs, with the municipality's overall objectives, priorities and strategies for multi-sectoral development and delivery
- Water Services Development Plan - a water sector needs assessment, municipality or Water Services Authority's objectives, strategies and targets for water sector development and delivery
- Business Plan – a local authority's detailed plan for development and delivery around particular project or programme objectives. The BP can be used to motivate for funds from DWAF or other funding sources.

IDPs and WSDPs must include farmdweller sanitation; without this, they should not be approved. DWAF must regulate this.

WSDPs should have clear M&E indicators to show advances in farmdweller sanitation.

Sanitation improvement should be one aspect of an integrated programme which seeks to improve conditions on farms and relations between farmdwellers and farmers

It seems that District Municipalities will have overall responsibility for planning and funding services, although many will have limited capacity to implement improvement programmes. In some areas, Category B municipalities will probably take primary responsibility for implementing farmdweller programmes. Business plans should be drafted with Category B inputs.

On-farm needs assessment data must be collected in a format compatible with WSDPs and other planning and budgeting tools.

Programme and project Business Plans should be a response to a needs assessment, and should be in line with priorities and targets indicated in the WSDP. Local authorities should be called to account where there are evident services backlogs on farms, yet no Business Plan to address this.

3.1.4 Advocacy

A comprehensive marketing strategy is needed to lead a farmdweller sanitation advocacy programme. This programme must target organised agriculture and local government as the first priority.

Marketing strategies must go beyond hardware provision, and must highlight the importance of health and hygiene information.

Advocacy programmes need to be underpinned by legislation to compel farmers to take the necessary steps to ensure adequate sanitation facilities are provided on farms, with sanctions for those who disregard it. The Water Services Act's provision for Water Services Intermediaries should address this.

A clear policy framework is essential, to mobilise farmers and District Councils and underpin a coherent implementation plan. The framework should reflect the key lessons of the pilot programme in the way it outlines broad roles and responsibilities and emphasises particular approaches to decision-making, health promotion and funding.

Marketing the need for better sanitation must include farmdwellers, so that they put pressure on farmers, councillors and DMs to address sanitation in their planning and budgeting.

These initiatives should be led by DWAF in the interim, with District Councils increasingly taking this on themselves.

3.1.5 Subsidies

Provision of cash subsidies to farmers is not necessarily the most effective way of achieving better sanitation on farms. Experience to date shows that –

- Capital subsidies frequently lead to a focus on hardware provision.
- Capital subsidies tend to put undue emphasis on delivering new hardware, rather than exploring the reasons why existing facilities have failed or are deficient. Delivery often happens through 'quick fix one size fits all' approaches that override significant differences in conditions, needs, on-farm dynamics and willingness to contribute between farms.
- Capital subsidies can limit or retard improvements, by creating bottlenecks around subsidy budgeting and administration, and encouraging reliance on ad hoc or erratic external funding sources.
- Externally-funded building programmes frequently exclude farmdweller beneficiaries from planning and decision-making

Capital subsidies should be used cautiously to achieve clearly defined goals and objectives. They should be seen as a way of making safe sanitation accessible to farmdwellers, rather than as a special dispensation for farmers.

Capital subsidies for farmdweller sanitation should be used as part of an integrated health improvement programme, which in turn should form part of a broader development initiative that enables operation and maintenance by the user.

3.2. Programme Initiation

3.2.1 Mobilising local government

Farmdweller sanitation is not a priority for local government, because of

- Lack of capacity and resources
- Demarcation and restructuring pressures
- Poor communication between regional DWAF and district councils to motivate them to address this
- Farmdweller sanitation is seen as a private issue between farmers and farmdwellers

Local government need to be made aware of the importance of sanitation for public health – particularly in the context of AIDS, TB and the threat of cholera outbreaks – and given advice on the range of options available to them to achieve improvements.

A series of workshops should be convened by NaSCO and / or DWAF in each province to mobilise District Municipalities around farmdweller sanitation. Ideally PSTTs should take the lead in this, and, as a follow-up action, explore setting up district level sanitation forums to provide support to local government.

It is imperative that both councillors and officials attend, to ensure that District Municipality staff working in farmdweller sanitation have the support they need at higher level. Topics should include –

- What is expected of them, in terms of national sanitation policy and the Water Services Act
- why sanitation matters for public health, and what the health content of a sanitation initiative should address
- hardware options, including repair or improvement of existing facilities
- requirements for sustainable operation and maintenance
- identification and training of local project leaders
- farmdwellers, rather than farmers, as the primary targets and beneficiaries

Where funding is available from central or provincial government, municipalities should be motivated to apply for it and to use it effectively to achieve improvements on farms; where external funds are not readily available in the short-term, municipalities should be persuaded to use their own resources – such as the equitable share, and existing staff - more creatively to ensure their constituents' basic needs are met.

3.2.2 Who is responsible for funding improvements?

At present, too few farmers are doing enough to ensure farmdwellers have adequate sanitation, especially where they do not have secure tenure in terms of the Extension of Tenure Security Act. Very few District Municipalities have the resources or experience to address sanitation improvement adequately on farms.

Farmdwellers should not have to suffer poor sanitation where the farmer is unwilling or cannot afford to provide adequate facilities. Accordingly, a high level policy decision is

needed on who has primary responsibility for providing adequate water and sanitation facilities for farmdwellers living on farms: is it the farmer? The local authority? Or the farmer, with assistance from the local authority where feasible?

If there is agreement that on-farm services are the primary responsibility of the farmer, DWAF, in consultation with local government, should provide clear guidance on how to utilise the Water Services Act's provision for Water Services Intermediaries to compel farmers to improve water and sanitation services for people on farms. Compliance and progress should then be monitored through WSDPs and water audit mechanisms.

DWAF and local government should work closely with organised agriculture to promote awareness and understanding of these requirements.

If the local authority has a responsibility to ensure farmdwellers' water services rights and needs are addressed, government must provide very explicit guidelines on what this means in practice, what local government's priorities should be, and what kinds of interventions are desirable and effective.

National Workshop participants felt that the farmer should have primary responsibility for providing adequate amenities, but that some form of external assistance should be available as well where required.

Where the local authority is in a position to provide material assistance for farmdwellers, such improvements should be made in accordance with the Water Services Act and national sanitation policy. Government should provide clear and practical guidelines for local authorities on how to translate national sanitation policy into sustainable improvements on farms.

Where the local authority or Water Services Authority applies to national government for funds – for example through DWAF's CWSS programme – to achieve improvements, applications should be considered against very clear criteria regarding targeting the most needy recipients, technology type, cost per unit (taking into account local conditions), provision of an integrated health and sanitation programme, clear arrangements around operation and maintenance by the farmdweller and farmer, respectively, and so on. These criteria must be applied consistently and communicated to local authorities as a matter of urgency

3.2.3 Levels of service

Particularly in the Western Cape, there is a view that flush toilets are the only acceptable kind of toilet, and that government subsidies should be increased accordingly.

There is, however, clear evidence of widespread poverty and serious sanitation problems in most parts of the country. In view of the size of the backlog, the cost of providing flush toilets on the scale required is prohibitive. Until most farmdwellers have access to at least a basic functioning sanitation facility, there is no good reason to exempt certain areas from national policy on funding for basic services.

Where farmers, District Councils and others have the means to provide a higher level of service using their own resources, they should be encouraged to do so. All toilet

technologies should be offered as part of a comprehensive programme offering consultative decision-making, health and hygiene information and clear agreements around maintenance roles and responsibilities.

3.2.4 Technical options

Poor sanitation is often approached as a problem of technology, for which the remedy is a more sophisticated technology. Often delivery of hardware is achieved at the cost of broader health improvement, and hardware improvements are not necessarily maintained or sustained.

People need toilet hardware for a range of reasons – dignity, privacy, convenience, status, safety, and so on, quite apart from health considerations. All too often status and convenience issues are foregrounded, at the cost of sustained health improvement or viable maintenance. There are countless examples on farms of well-intentioned toilet building programmes which have failed, because

- toilets were provided in a vacuum, without taking into account farm dwellers' other needs and priorities
- poor design or construction made the toilet hardware impractical, unacceptable, unusable or unsafe
- the system's operating requirements were not understood adequately. For example, septic tank soakaways generally fail in wetlands and clay soils.
- the human requirements of the toilet hardware were overlooked. Any toilet will fail if it is not properly used, cleaned and maintained, with clear agreements around who does what.

Confusion persists around the basic design principles and requirements of the various technical options. This needs to be addressed through a series of workshops targeting farmers' and farmworkers' organisations, DC staff and other key roleplayers.

3.2.5 Internal project integration

Through NaSCO, DFID agreed to fund the non-hardware aspects of the pilot programme, on the grounds that as a donor it should fund programme development rather than infrastructure. DWAF, District Councils and individual farmers would be responsible for hardware costs. An unfortunate unintended consequence of this approach was that the health and hygiene components of the pilots were run quite separately from the toilet hardware aspects in the Western Cape pilots. This meant that hardware options were not addressed as just one aspect of achieving better health, hygiene and sanitation. Equally, provision of new hardware was seen as the necessary climax of the project, rather than just one of a number of possible outcomes.

Careful planning will be needed in future to ensure that projects are tackled in a more integrated fashion. Where co-funding of the project is needed by two or more agencies, there must be efficient and seamless administration of the funding to ensure there are no delays in funding flows, or bias towards toilet building.

This underlines the importance of clarity and agreement from the start on programmes objectives and approaches by all participants.

3.2.6 Involving farmdwellers

Farmdweller representation and participation on project steering committees has been very problematic. Where they do sit on the committee, their participation is often weak because of a lack of experience and because of on-farm power relations. To address this, project leaders need to give special attention to equipping them to input effectively on the committee. Roles and functions on the PSC need to be clearly defined and agreed, and farmdweller representatives may need special facilitation support to enable them to fulfil their roles.

Poor participation by farmdwellers in sanitation programmes can be overcome to some extent by a skilled facilitator. For this reason, project agents must have good people skills and facilitation skills, and be encouraged to explore opportunities within the project for broader community development.

3.2.7 Mobilising farmers

Creative thinking is needed to motivate farmers to address sanitation improvement – for example, by stressing the benefits of a workforce which believes its basic needs are acknowledged. This needs to be buttressed with a formal marketing strategy to mobilise farmers to: a) understand the importance of good sanitation, and b) take steps to improve it where necessary.

Advocacy programmes need to be underpinned by legislation to compel farmers to take the necessary steps to ensure adequate sanitation facilities are provided on farms, with sanctions for those who disregard it. The Water Services Act's provision for Water Services Intermediaries should address this.

Water Services Intermediary agreements between farmers and DMs must include health and hygiene promotion as an integral part of sanitation servicing. DMs must take on a regulatory role to check that on-farm toilets are adequate and that farmdwellers have access to health and hygiene information.

Once the respective roles of farmers and local government have been clarified, local government should draft by-laws to assist with the implementation of policy.

Organised agriculture at all levels must be targeted, as a key partner in achieving improved sanitation.

Farmers' wives are often involved in on-farm training or health programmes, and could play a valuable role in sanitation programmes.

Farmer to farmer advocacy and learning programmes should be encouraged.

Farmers must be involved in projects right from the start, and must be closely involved with project planning and BP development. Their support is needed to gain access to the farm and to farmdwellers, to secure time-off for health and hygiene promotion, for material resources for toilet construction, ongoing maintenance and so on.

3.2.8 Project involvement

Participants involved in this pilot programme were:

- Farmdwellers
- Farmers
- Fieldworkers
- NGOs / Consultants
- DC EHOs
- Some DC / TRC elected representatives
- Regional DWAF
- PSTTs
- National DWAF
- NaSCO

Key stakeholders remain outside the process of programme development, project planning and implementation.

The Dept of Welfare / Social and Population Development must be drawn into local and provincial programming as a matter of urgency. The department has well-established networks, complementary programmes and initiatives that should be linked to strengthen the farmdweller programme.

Attempts to engage with organised agriculture at local, district, provincial and national level have generally not succeeded. In view of their influential role, they are an essential partner. Perhaps District Councils should be mobilised as the first priority, and farmers' associations mobilised with their support.

Communication within District Councils remain a problem, with councillors sometimes not aware of the close involvement of EHOs in local projects. It is essential that project teams engage with both elected representatives and officials, and that high-level decision-makers are fully informed of a project's objectives and support needs.

Local government is not ready to take on farmdweller sanitation without additional support, and DWAF has limited capacity of its own. In the Western Cape, the PSTT has been decisive in guiding and supporting the pilot programme.

National DWAF needs to set policy and the funding framework for farmdweller sanitation, and work closely with Regional DWAF to build capacity to implement this policy and strategy.

Regional DWAF needs to build strong relationships with local government, to assist it in addressing its water services mandate. In time DWAF will retreat to a regulatory role.

Local government needs to build linkages with existing fieldworkers and community development people. It needs to offer them recognition and, wherever feasible, funding.

3.3 Project Implementation

3.3.1 Needs assessment

As part of integrated development planning, local authorities need to undertake a baseline survey of conditions on every farm under their jurisdiction to assess the nature and extent of inadequate sanitation, and assist in setting realistic targets to remedy this with available budget and resource allocations. An EHO might be the appropriate official to lead this assessment.

Sanitation needs should be defined broadly to include safe waste disposal and health and hygiene information. In relation to hardware, needs assessments must move beyond counting toilets, and assess whether existing facilities are in use, safe and hygienic.

If necessary, DWAF should invoke the Water Services Act to ensure that municipalities include farmdwellers in all assessments of infrastructure and servicing backlogs, and that their needs are reflected in WSDPs.

Municipalities need to define delivery targets – for example, ‘every farmdweller in the district should have access to at least a basic level of service within five years’ – and be held to account by local residents and DWAF in meeting targets set out in their WSDPs.

Farmdwellers themselves must be involved directly in defining needs and assessing priorities on farms.

3.3.2 Targetting

Projects must prioritise the most needy farmdwellers.

During the pilot programme there was a clear tension between the moral imperative of targeting the most needy farmdwellers, and the practical benefits of working with co-operative farmers willing to invest in making improvements; the most needy farmdwellers were not necessarily the recipients of hardware subsidies available to ‘willing farmers’. However, through working with ‘willing farmers’, the pilot programme has been able to lay the basis for an approach that should now seek to target the most needy farmdwellers.

Using the Water Services Act, DWAF and local authorities need to put pressure on farmers to address the needs of farmdwellers, particularly the most needy. DWAF must hold farmers and Water Services Authorities to account where they don’t.

3.3.3 Business planning

Business planning offers a valuable opportunity for all participants to think through how the project will be run and who will do what. Equally, the process can be used as a vehicle to develop co-operative partnerships. BPs must directly reflect the objectives and priorities of the WSDP and IDP.

District Councils and DWAF have different formats and time frames for business planning, often reflecting very different funding criteria and programme approaches. Project members need to be very clear what these differences are, and draft their BPs accordingly.

Project proponents have had numerous problems trying to get business plans approved by DWAF. Policy frameworks and funding criteria have not always been clear, allocations for sanitation are often ad hoc, and once BPs are submitted to DWAF the process often stalls due to minor problems with formatting or missing information. Once the BP has been improved, there is often inadequate implementation capacity within DWAF or the District Council.

Following a regional workshop convened by the Western Cape PSTT and DWAF in September 2000, DWAF's Project Development Support Directorate drafted a clear procedural framework for preparing and appraising BPs. This information should be shared through training workshops in other provinces.

3.3.4 Monitoring

Monitoring needs to be built into each project and programme from the very beginning.

Monitoring is needed at all levels of a sanitation improvement programme, but different roleplayers will ask different questions, and need the information for different purposes. Basic needs assessment, delivery against defined targets, accountable use of funding, quality of service, whether facilities are still used or in working order after a year, benefit perceived by users, impact of the programme over time - all require clearly defined performance indicators, tracking systems and individuals assigned to take responsibility for gathering the information.

Business Plans need to outline the project's intended outcome, not just how and where money will be spent building what. Outcomes need to move beyond provision of hardware, and look at health and social improvements as well. KPIs and milestones need to be identified while the BP is being developed, and the BP itself needs to be used as a monitoring tool.

KPIs must be developed to monitor progress and problems at programme level. There is a lot of project level monitoring – but not enough at programme level.

The role of farmdwellers themselves in monitoring needs to be considered carefully.

DWAF must work closely with municipalities to develop a broad sanitation tracking system to build a comprehensive picture of sanitation provision at provincial level. This must be updated regularly to reflect progress in meeting targets defined in WSDPs.

Information flows need to be two-way – not merely 'up' to DWAF – to facilitate local planning and implementation.

3.3.5 Project teams

Each of the four provincial pilot programme has evolved its own approach to working on farms – sending in a consultant or NGO, training local community leaders, training on-farm trainers and so on. Each has implications for how the project is led and run.

Within each project, the respective roles and responsibilities of sanitation project leaders / agents and District Councils officials (especially EHOs) need to be negotiated, clarified and agreed. PLs have a valuable role to play, from assisting the DM to identify project sites and beneficiaries, to assisting with local decision-making around hardware improvement, to ensuring long term health and hygiene awareness.

Responsibility for managing the project agent needs to be assigned and agreed at the start of the project.

PSCs and / or project managers must develop clear Terms of Reference for project agents which focus on outcomes rather than tasks. Implementation of these TOR should be managed closely and continuously with clear monitoring indicators.

DWAF must take responsibility for briefing project agents fully on national sanitation policy, as well as prevailing subsidy policies.

NGOs and consultants working on farms on behalf of DWAF have no authority of their own, and need far closer support and involvement by DWAF and District Councils to be effective in persuading farmers and local authorities to take action.

Project leaders should be recognized as a community development resource to be utilized in other initiatives as well to promote integrated development. Where they have proven their worth and credibility, they should ideally be funded directly and continuously by the DM, rather than ad hoc in discrete projects by external funders.

The ongoing reliance on external consultants to develop and implement programmes raises questions as to whether local government (and DWAF) is giving serious attention to developing its own internal capacity.

3.3.6 Logistics

To overcome the logistical challenges posed by remote locations and long distances between farms, those working to improve farmdweller sanitation must link with other service providers already working in the area and on farms – such as mobile clinics, DC community development programmes and services provided by the Departments of Social and Population Development / Welfare, Health and Home Affairs.

The reality, though, is that most services in outlying areas are overstretched and underfunded, though. Wherever possible, local lay health workers should be trained - ideally among farmdwellers - to enable them to run the projects themselves. Women in particular should be recruited for this. On larger farms, or areas of concentrated farm populations, the Departments of Health or Welfare should explore training and

employing local health workers on farms – even if this is only possible for a few hours a week and for limited pay.

3.3.7 Health, hygiene and sanitation improvement

The objectives of health, hygiene and sanitation promotion need to be defined in clear and simple terms. They must address issues identified in the needs assessment, rather than being general and generic.

Sanitation improvement needs to be marketed as one integrated package, rather than having health and hygiene promotion components separate from hardware improvement. The old distinction between Phase A and Phase B has not proved helpful on farms, where funding and implementation relationships are different to village projects, and where long distances, long work hours and small farm populations make more creative, seamless and efficient approaches essential.

‘You can’t have toilets without health and hygiene information, and there’s no point having health and hygiene information if you don’t have a toilet.’ It doesn’t matter whether hardware is improved first, and then followed up with health, hygiene and sanitation information – or the other way around. What matters is that there is close integration of the various aspects of the project without long delays or stoppages.

How much contact time with farmdwellers is needed for health and hygiene promotion? Representatives from the Free State said two days, or 16 hours was sufficient.; representatives from the Western Cape said health and hygiene awareness needed to continue throughout the life of the project, and that two-thirds of *all* project time needed to focus on health and hygiene promotion – with technical interventions being seen as a component of health and hygiene promotion.

3.3.8 Technical options

Confusion persists around the basic design principles and requirements of the various technical options. This needs to be addressed through a series of workshops targeting farmers’ and farmworkers’ organisations, DC staff and other key roleplayers.

There is still considerable misgiving and mistrust about VIPs, especially in the Western Cape. VIPs are just one of a number of possible low cost technical options, and the full range of options should be explored. However, an important reason why VIPs are unpopular in some areas is that many so-called VIPs are in fact simple pit latrines, and consequently smell, attract insects and vermin and are unstable. Because the design principles of a VIP are so simple, they are often assembled crudely in a bad imitation of the real thing; the simpler the design principles, the less room there is for mistakes.

Project teams should be encouraged to work with ‘what’s there’ – local materials, local skills, local preferences and, above all, existing facilities. Often it is possible to upgrade or repair existing facilities, thereby achieving greater coverage with good facilities for the same cost.

Communal VIPs should be avoided at all costs as O&M is invariably a problem. As a result the facility soon fouls, is vandalised or simply abandoned. Where funds are limited, it would make more sense to upgrade or improve existing facilities.

3.3.9 Roles and responsibilities around on-farm O&M

Before any hardware is upgraded or installed, the farmer and each farmdweller household should sign an agreement or contract spelling out in broad principal their responsibilities around day to day maintenance and repair of wear and tear.

Who	What
Farmdweller	Cleaning Basic day to day maintenance Repair of damage due to vandalism or misuse
Farmer	Normal wear and tear (replacement of vent pipes, screens, seats, doors, pit sealing etc) Desludging
Local authority	Overseeing that facilities are in good working order
DWAF	Overall regulation

There is a high turnover of labour on many farms. This means that health, hygiene and sanitation promotion initiatives need to be ongoing to ensure effective coverage. Equally, on-farm training around basic maintenance of VIPs needs to be repeated regularly, and maintenance agreements need to be renegotiated between the farmer and every incoming farmdweller household.

Ideally, on every farm, one farmdweller should have responsibility for inducting new farmdwellers around health, hygiene, operation and maintenance, and alerting the farmer to particular maintenance needs.

DCs should play a regulatory / oversight role to ensure on-farm sanitation is adequate and in good working order.

DWAF should prepare a brief guide on safe desludging and waste disposal and make this available to local authorities to distribute to farmers.

4. The emerging Western Cape model

In response to the key recommendations that emerged from the evaluation of the pilot programme, the research team has initiated the development of a Western Cape model which uses the DWAF Business Plan process as the core of programme development. Issues addressed include -

- What is the broader context of planning and implementation
- Planning horizons and financial deadlines
- Who participates in developing the business plan
- Using the business plan to frame the programme and determine outcomes
- Using the business plan to set targets, identify performance indicators and track progress

The Business Plan Framework in Appendix 1 sets out the emerging Western Cape Model in detail. It is the product of a capacity building process at the PSTT facilitated by the research team.

4.1 The Project Cycle

Core to the Western Cape approach is the following principles:

- There will be no separation of Phase A and Phase B into differentiated social (behaviour) and technical (toilets) aspects. Rather than adopt a linear progression of steps (from social and then to technical), these aspects will be integrated within a Health & Hygiene Awareness-based project cycle.
- Health and Hygiene Awareness will be integrated into a project cycle that enables target households to make sustainable behavioral changes and continue to operate, maintain and improve their basic hygiene and environmental conditions
- Target communities must be involved in identifying their problems, constraints and opportunities from the outset of project implementation, and participate fully in decision-making. As sustainable sanitation improvements involve changes in the way people think and behave, it is essential that they identify their own needs and solutions. The users of improved sanitation will thus expand on the Baseline Information against which they will evaluate the improvements.
- Knowledge about hygiene behavior that is based on putting up barriers against disease transmission and contamination, will be the basis for local demand for improved sanitation, constructing toilets, and managing and maintaining facilities.
- The building of toilets is integrated with the Health & Hygiene Awareness approach as the construction of an effective barrier against contamination. Emphasis on barriers that will need to be managed and maintained by the household, rather than supplied through infrastructure that belongs to the landowner, will be maintained throughout the project cycle as shown in the chart that follows.

W. Cape Sanitation Programme Implementation Gant Chart

Item	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
	<i>Year "n"</i>			<i>Year "n+1"</i>					
Project Initiation									
BP preparation									
Baseline Mapping									
Development framework									
Planning Support									
Project Implementation									
PSC Reps									
H&H Promotion									
PSC Training									
Tech Options Support									
Builder Training									
Implementation Support									
PSC Support									
Local Supervision & monitoring									
Monitoring and Evaluation									
Community Reps									
Mentoring									
PSC Support									
Evaluation									

4.2 Regional Capacity Building Guidelines

- **Develop DWAF regional capacity around business planning development and appraisal**

After an assessment of pre-appraisal and project tracking capacity within DWAF regional offices, the PSTT and DWAF convene a BP writing workshop for District Councils, project leaders and other roleplayers to plan for application for funds for the programme. Particular attention must be paid to business plans that were not approved in the previous cycle to highlight programme approval criteria. Improvements to the business plan framework is iterative process based on best practice.

Regional and national DWAF then agrees on a procedure to support a quick turnaround on BP submissions.

- **Develop a health and hygiene programme at DC level**

The priority is to build the local authority's understanding of the importance of health and hygiene promotion in a sanitation improvement programme, as providing hardware alone has limited impact.

From there, build the capacity of local authority staff and project leaders to undertake effective health and hygiene promotion programmes that address locally identified needs. It is essential that everyone involved in the project has a common understanding of the project framework and its objectives.

Develop a Phasing Guide, to assist project members to guide the development of a coherent programme of sanitation improvement. Hardware and software interventions need to be closely integrated.

Develop an Implementation Tool Kit, with materials appropriate to local conditions and designed to support participatory methodologies.

- **Develop the capacity of regional DWAF and EHOs to provide support on technology options within resource constraints**

Everyone involved in farmdweller projects – DWAF and DC staff, project agents and leaders etc - needs a thorough understanding of the range of possible hardware options, and their broad operating principles. They need further information on what each option costs to install and maintain, costing variables, what their strengths and weaknesses are in particular environments, and what modifications are possible to make a given technology work in a particular area.

This is probably best achieved through field trips to working examples, and through sharing information on problems and successes in other areas.

Project members need to be able to promote understanding of a suite of options suitable for a particular area. This needs to inform project identification and project planning from the start.

Project members need to be encouraged to work with local materials and builders, and available resources.

Project leaders should have sufficient information and confidence to be able to write the BPs.

- **Develop a protocol for basic service delivery**

Carry out a district level needs assessment to identify the scale of need and priorities.

Identify available resources – DC funding, DWAF funding, equitable share funds, farmers' resources, non-material inputs, etc – and decide on programme goals and objectives.

Develop clear targeting criteria: focus on the most needy farmdwellers, rather than just farmers who have applied to the DC for funds.

Identify a project area and potential farmdweller beneficiaries, based on an assessment of most pressing need. Check and discuss targets with local roleplayers.

Focus on what the most pressing sanitation-related health and hygiene issues are. Avoid seeing health and hygiene promotion as a limited phase that happens before the real work of hardware provision begins.

Assess how - or whether - a hardware improvement programme will link to the health and hygiene improvement programme. For example, if a previous toilet improvement programme in the area has failed, focus more on addressing the reasons for this, and ways of rehabilitating the existing hardware. If people have facilities but are not using them, explore why this is so and devise a programme that addresses the underlying problems.

Plan the phasing and timing of the various project components so that they reinforce each other.

Adequate provision must be made for non-capital costs of the programme – time for local consultations and building partnerships, training workshops to transfer skills to locally-based personnel, on-farm facilitation, and so on.

- **Share information and lessons learnt**

Programme experience should be written up and shared at the PSTT meetings, project meetings and particularly during the annual Sanitation BP development process.

4.3 Integrated Approach to Health and Hygiene Awareness

- **Awareness: Assess Situation**

PHAST and PRA methodologies will be adapted and applied to engage target households to inform Baseline Information specific to each project site. This methodology employs focus groups and collective workshops rather than individual questionnaires, to ensure community participation in assessment.

A Situation Analysis will be compiled to inform the initial stage of integrating Health & Hygiene Awareness with Technical Options (toilets as a barrier) into all stages of the project. The target community participants will actively co-analyse and cross-check the outputs.

While tested PHAST tools/techniques are available for participatory assessment, additional visual materials to reflect farmdweller conditions will be developed for effective practice that reflects local realities and priorities.

A Community Sanitation Map will provide a Baseline tool that will be used for community planning and for local steering groups to monitor progress. Photographs of flash-points identified by residents will assist in capturing baseline conditions, developing PHAST materials and diarizing progress.

Baseline conditions will be properly investigated from a local perspective prior to setting up local committees. Builders and Health Workers will emerge during this initial investigative process to enable local project steering .

- **Awareness: Informing Options and Choices**

External (sources of) data and information that is relevant to the area and the specific project site, will be presented to the community as background to the activities that enable the community to prioritise and plan to improve their sanitation conditions.

PHAST tools will enable participants to sort the issues, opportunities and constraints that they have identified to inform their judgement, choices and decisions. All educational outputs, messages and strategies will be co-developed with participant learners, on the basis of their existing knowledge as a departure point. Local Health Workers will be trained to facilitate Hygiene projects.

Toilets and toilet-building will be part of Health & Hygiene projects. Local Builders will be trained during the exploration of affordable options (demo phase). Health impacts, Hygiene behaviors and Technical options for sanitation improvements will inform integrated and locally developed plans and strategies.

External experience, expertise and information will be provided as support (technical and social) to local level decision-making, planning and implementation. Local Builders and Health Workers will be supported to develop their organisational and project management capacity, through the formation of a Project Steering Committee for each project.

- **Awareness: Participatory Planning**

A Regional Steering Committee will be constituted to facilitate linkages with on-farm organisational capacity. To ensure that decision-making is based on user demand for sanitation improvements, local organisational capacity and community building will form the basis of project support plans.

Target community participants will be facilitated to make input into planning based on their experience and knowledge of local conditions and capacities. Their contributions will include:

- Formulating a Vision for the project
- Prioritising and ranking in order to inform decision-making
- Action-Planning: Sorting out steps towards achieving aims
- Establishing and building local skills, capacities and contributions
- Identifying specific responsibilities, tasks and functions on household and at community level.
- Identifying and targeting support needed, training and trainees
- Defining the functions of and procedures for local organisation
- Establish procedures for linkages with external role-players, incl. Owner

Apart from PHAST materials and a Community Sanitation Map, suitable tools such as household Application Forms, material and cost breakdowns of affordable toilets, materials distribution record-keeping sheets and progress monitoring spreadsheets, will be developed for local Project Steering Committee use.

- **Awareness: Implementing local strategies**

Based on the agreed Plan, an Action-Plan will be developed with target participants. This will spell out the sequence of steps, responsibilities and time-frames for local responsibility in delivery phase.

Project leaders will support the local Project Steering Committee (PSC) members in carrying out their tasks, thus enabling PSC support to the community for project progress purposes. Project Leaders will report to the Regional Steering Committee, convey PSC decisions and provide minutes.

Training of builders and health workers will go hand-in -hand with construction of “demo-toilets”, and form part of the Awareness programme. The “demo” toilets will be designed according to the choice and input of the target community, will utilise the national programme subsidy (up to R600) and be built by local Builders at volunteer households with self-prepared sites.

The operation and maintenance of demo toilets will include hand-washing and other demonstrable hygiene awareness indicators that the community have identified and decided upon. Health/Hygiene Awareness iprojects will be selected by the community participants, and monitored locally by Health Workers. Project leaders provide support and materials to Health Workers.

Where feasible, local schools that the target households’ children attend will be encouraged to participate in monitoring improvement of health in the school children.

- **Awareness: Participatory Monitoring and Evaluation**

Indicators for monitoring and criteria for evaluation will be linked to the agreed Development Framework and locally developed Plans. Agreement on the indicators and criteria that will enable judgement of successes and failures will be facilitated during planning and implementation.

The Baseline Information will provide the reference point from which changes and improvements will be measured/evaluated. Community Sanitation Maps will be utilised as a visual monitoring tool that is accessible to all participants.

Monitoring by means of qualitative and quantitative indicators emerging from field-level evaluation will be recorded by the Project Leader and reported to the Regional Steering Committee.

An inclusive Evaluation Workshop will be conducted by the Regional Steering Committee to facilitate the validation of evaluation outcomes by stakeholders.

- **Technical Options and Builder Training**

- Self provision: Awareness of this principle in approaching affordable and appropriate options will be a key output of a joint PSC training workshop.
- Local conditions: Awareness of local conditions for construction will include local skills and capacities as well as ground conditions and materials available.
- Costing of feasible Options for Choice: An on-site process of developing options will incorporate training in resource management (R600 limit to subsidy, contribution to design by local builders, household contribution, quality control).

5 Unresolved Programme Target Issues

Who is responsible for sanitation for :

- Farm schools – Is it the Department of Education, DWAF or the local authority? The farmer has no moral obligation to assist children not related to his employees.
- Farmdwellers who live on a farm, but are not part of the immediate family of farm employees; farmers will not take responsibility for providing for them, and they experience difficulties in accessing support from local government.
- Tenants on rented farmland who are not employed by the farmer. (E.g. the entire farm is rented to a settlement of tenants.) The local authority won't assist on privately owned land in these circumstances.
- Employees of very poor farmers (including emerging farmers)
- Farmworkers at their workplace (rather than their homes): Many farmworkers work all day far from toilet facilities. Can the farmer be compelled to provide adequate workplace sanitation in terms of the Basic Conditions of Employment Act?

6. Summary of policy and institutional recommendations

1. The policy principles outlined in the 1998 Draft Policy Guideline for Farmdweller Sanitation are sound and should be re-affirmed at high level.
2. National policy on farmdweller sanitation should be addressed as a component of the revised national sanitation policy, and should not be seen in isolation from other aspects of sanitation or water services provision. The revised national sanitation policy document should provide a framework for addressing backlogs and achieving sustained improvements on farms.
3. Farmdwellers should not have to suffer poor sanitation where the farmer is unwilling or cannot afford to provide adequate facilities. DWAF, in consultation with local government, should provide clear guidance on how to utilise the Water Services Act's provision for Water Services Intermediaries to compel farmers to improve water and sanitation services to people living on farms. Compliance and progress should then be monitored through WSDPs and water audit mechanisms.
7. Where the local authority is in a position to provide material assistance for farmdwellers, such improvements should be made in accordance with the Water Services Act and national sanitation policy. Government should provide clear and practical guidelines for local authorities on how to translate national sanitation policy into sustainable improvements on farms.
8. Where the local authority or Water Services Authority applies to national government for funds to achieve improvements, for example through DWAF's CWSS programme, applications should be considered against very clear criteria regarding targeting the most needy recipients, technology type, cost per unit (taking into account local conditions), provision of an integrated health and sanitation programme, clear arrangements around operation and maintenance by the farmdweller and farmer, respectively, and so on. These criteria must be applied consistently and communicated to local authorities as a matter of urgency.
9. The Water Services Act should be revised to make explicit reference to farmdwellers, and to clarify roles and responsibilities around the provision of water and sanitation services on farms. These revisions should be reflected in expanded regulations in terms of the Act, and addressed in local, regional and national monitoring frameworks.
10. Service provision to farmdwellers must be addressed as an integral part of integrated development planning, with detailed information around targets, funding and time frames set out in the Water Services Development Plan. DWAF – particularly regional offices - must undertake to promote awareness of the need to address farmdweller servicing in all WSDPs.
11. Sanitation for farmdwellers must be addressed as part of an integrated strategy by a Municipality to achieve improved sanitation throughout its area of jurisdiction.

12. Farmdweller sanitation needs a champion, and DWAF should take this on – at least until local government is better able to. Regional DWAF offices should be given responsibility for focussing the attention of local government on farmdweller sanitation, and reporting to DWAF head office on progress. Provincial Sanitation Task Teams in each province are a key resource to guide local government and other roleplayers.

7. The Way Forward

1. DWAF must review the policy and practical implications of this report and assign responsibility internally for the necessary follow-up.
2. DWAF must clarify government's view on who has primary responsibility for farmdweller sanitation. If farmers are deemed responsible, DWAF and DPLG should agree on ways to utilise the Water Services Intermediary clauses of the Water Services Act – with appropriate sanctions as necessary. If local government is assigned some responsibility, DWAF and DPLG should formulate a coherent framework to programming and communicate this to clearly to individual municipalities.
3. DWAF should lobby DPLG and the Department of Finance to make provision for funds to improve water services for farmdwellers through C-MIP and other channels. Clear allocation and utilisation mechanisms must be negotiated with individual DMs.
4. DWAF must develop an Implementation Guideline to complement the existing Draft Policy Guideline for Farmdweller Sanitation. Aimed at DWAF, municipalities and implementation agents, the guide should synthesize the main issues discussed in this report and the programmes lessons to date. Some of the topics that must be addressed include:
 - Sanitation-related health improvement strategies
 - What a basic Level of Service is
 - The range of affordable sanitation technical options
 - Improving or upgrading existing amenities
 - Pragmatic environmental impact assessment
5. DWAF personnel responsible for WSDP support must ensure farmdweller issues are addressed within WSDPs, together with appropriate targets and indicators.
6. DWAF and NASCO should jointly convene a national workshop for PSTTs to brief them on farmdweller sanitation and equip them to lobby Local Government to start tackling farmdweller sanitation in concrete and practical ways.
7. At that workshop, DWAF should share the Western Cape model which uses the DWAF Business Plan process as the core of programme development. Issues to address include -
 - What is the broader context of planning and implementation
 - Planning horizons and financial deadlines
 - Who participates in developing the business plan
 - Using the business plan to frame the programme and determine outcomes
 - Using the business plan to set targets, identify performance indicators and track progress
8. DWAF and NASCO should convene a follow-up workshop in 2001 to assess progress and re-appraise the recommendations made at this workshop. Participation should be broadened to include a wider range of roleplayers.

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Appendix A:
Western Cape Farmdweller Sanitation BP
Framework

BUSINESS PLAN

**Western Cape Regional
SANITATION PROGRAMME**

Project:

BUSINESS PLAN PREPARED BY:

1. INTRODUCTION

1.1 Executive summary of the Business Plan

This Sanitation Programme provides support to disadvantaged communities (rural and peri-urban) who do not have access to formal housing delivery mechanisms to create healthy environments. The programme will be based on:

- ❖ Appropriate targeting and empowerment of communities
- ❖ Support to local authorities to implement and sustain the programme
- ❖ Integration of Health and Hygiene Awareness throughout Project Cycle
- ❖ Access to an appropriate basic levels of service

The provision of information and support will enable disadvantaged communities to access government funding to improve their environmental sanitation conditions, including appropriate and affordable sanitation facilities.

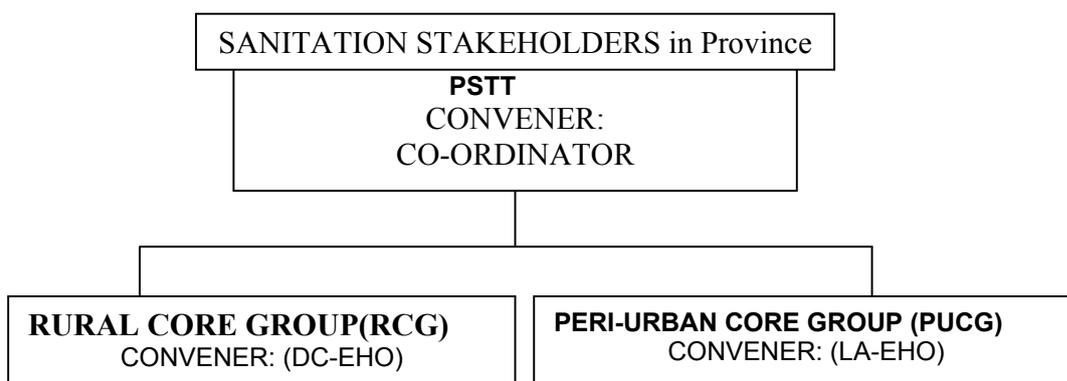
1.2 Programme Name: Western Cape Sanitation Programme

This phase of the Programme is targeting disadvantaged rural communities in theareas which all are situated in the Western Cape.

1.3 Approval of the Sanitation Project Steering Committee (SPSC)

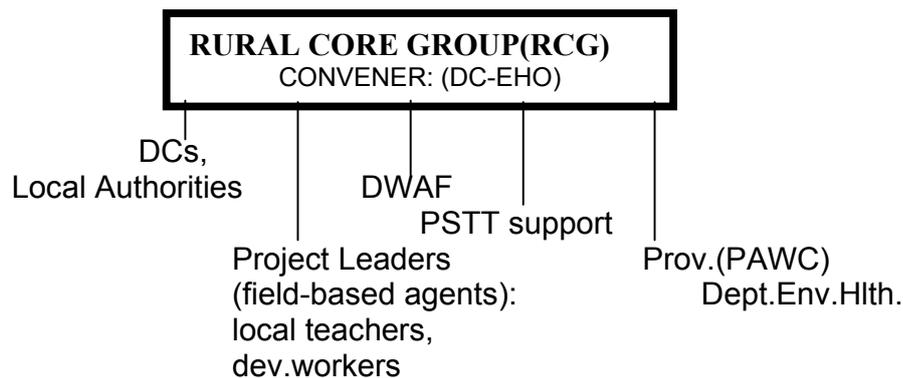
The Provincial Sanitation Task Team (PSTT), Western Cape, provides the appropriate sanitation forum for a regional programme steering role. Its consists of stakeholders who represent the key role players in the implementation of a Provincial Farmdweller Sanitation Programme. The PSTT includes active representation of key role-players:

- Department of Water Affairs & Forestry
- District Councils
- Provincial Administration Western Cape: Health
- Farmdweller Pilot Project Evaluation team
- Project Leaders (field-based project agents linking up with DC's EHO)



The PSTT has a committed and functional task team in its Rural Core Group (RCG) that is convened by a District Council EHO and meets regularly. The RCG provides support and strengthens stakeholder engagement and collaboration to help create a healthy environment for disadvantaged communities through the provision of information and support to change their existing sanitation behaviours.

Support to disadvantaged communities will enable them to access government funding to enable provision of an appropriate and affordable sanitation facility. The RCG aim is to build capacity within responsible Local Authorities to implement projects in an effective and sustainable manner.



The constitution of Project Steering Committees (PSC) at project level will also be implemented as projects develop. This PSC will be an effective, functional decision – making structure at grassroots level. Participant understanding of the true purpose of the project, and thus the functions of the PSC, will enhance the committee’s ability to support local community capacity to contribute, shape, own, operate and maintain sanitation improvements. It will enable disadvantaged communities to be actively engaged in participatory project development from the outset.

Proposed local PSCs at project level will consist of the following:

- Each community will select representatives to serve on a local PSC
- Community representatives (at least 50% woman) forming a health-workers and Builders sub-committees.
- Project Leader(Fieldworker) 1
- Water Management Area : Water Services Co-ordinator(DWAF)
- Environmental Health Officer(EHO) 1

Note. Other related role-players may be linked through the PSC as identified during the project (e.g. NGO’s)

2 MANAGEMENT STRUCTURE

2.1 DWAF RDP PROGRAMME MANAGERS

National: CD. Water Services:

Department of Water Affairs & Forestry

P/bag x313

PRETORIA

0001

Tel no. (012) 336 8811

Fax no. (021) 336 7283

Provincial:

Department of Water Affairs & Forestry

P/bag x16

SANLAMHOF

7532

Tel no. (021) 9507100

Fax no. (021) 9482948

2.2 RESPONSIBLE LOCAL AUTHORITIES (CURRENT)

The following District Councils EHO's that will take part in this programme and eventually form part of the PSC at project level is:

PROJECT	DISTRICT COUNCIL	EHO	
			Tel no.
			Fax no.

PROJECT	LOCAL AUTHORITY	EHO	
			Tel no.
			Fax no.

The Programme acknowledges that local authorities are in a period of transition. The PSTT will engage relevant stakeholders once their organograms have been finalized.

There will a period of transition during which the EHOs assigned to projects will remain the District, Local Council or Municipal link to each project.

3. PROGRAMME DESCRIPTION

The projects within this programme will follow the project cycle described below. M&E processes during implementation will be used to refine this framework in future.

3.1 LOCATION

Provide a map to indicate location;

3.2 AIMS AND OBJECTIVES

The aim of this programme is to provide access to support for sustainable environmental sanitation improvements to those households who are in need of adequate basic sanitation and hygiene.

The Objectives of the sanitation programme are:

- To reduce exposure to sanitation related diseases.
- Effective disposal of or hygienic management of human and animal excreta, refuse, wastewater and disease vectors.
- A local PSC that has a definite role to play in the project and other future projects that the community may embarked on.
- The empowerment of the pivotal role of women, specifically in the domestic and community environment.
- Provision of information, including technical support, to inform the choice of an affordable and appropriate sanitation facility.
- Assistance to communities to create a safe and sustainable hygienic environment to live and prosper in.
- Support and assistance to Local Authorities for the successful implementation of sanitation projects within their respective jurisdictional areas.
- To monitor attitudinal and behaviour changes in disadvantage communities, of health, hygiene and sanitation practices, so as to inform the evaluation of the impact of the programme.

The approach that is explained in the Business Plan below, aims to enable communities to construct behavioral and technical systems that create effective barriers to transmission and contamination routes.

As this will involve sanitation management on a household level the proposed integrated Health and Hygiene Awareness approach aims to enable the community to make sustainable behavioral and environmental changes with regards to sanitation systems and basic hygiene conditions.

Core to the Western Cape approach are the following principles:

- Knowledge about hygiene behavior that is based on putting up barriers against disease transmission and contamination, will be the basis for local demand for improved sanitation, constructing toilets, and managing and maintaining facilities.

- Health and Hygiene Awareness will be integrated into a project cycle that enables target households to make sustainable behavioral changes and continue to operate, maintain and improve their basic hygiene and environmental conditions.
- There will be no separation of Phase A and Phase B into differentiated social (behaviour) and technical (toilets) aspects. Rather than adopt a linear progression of steps (from social and then to technical), these aspects will be integrated within a Health & Hygiene Awareness-based project cycle.
- Target communities must be involved in identifying their problems, constraints and opportunities from the outset of project implementation, and participate fully in decision-making. As sustainable sanitation improvements involve changes in the way people think and behave, it is essential that they identify their own needs and solutions. The users of improved sanitation will thus expand on the Baseline Information against which they will evaluate the improvements.

The building of toilets is integrated with the Health & Hygiene Awareness approach as the construction of an effective barrier against contamination. Emphasis on barriers that will need to be managed and maintained by the household, rather than supplied through infrastructure that belongs to the landowner, will be maintained throughout the project cycle.

3.3 THE SCOPE OF WORK AND FUTURE PLANS:

SCOPE OF WORK

The initial phase of this programme will engage needy communities that are already identified and targeted in the implementation of an approach which has been derived from hard lessons learned by stakeholders during the Farmdweller Pilot Project.

FUTURE PLANS FOR SANITATION PROJECTS IN THE AREA

The provincial-wide Sanitation Needs Assessment that is sanitation specific is provides a framework for the development projects for Western Cape Sanitation Programme with the aim of:

- Eradication of the backlog in sanitation facilities for disadvantage communities in the Western Cape.
- Extending Health & Hygiene promotion to rural schools and disadvantaged communities not yet part of the sanitation programme.
- Inclusion of Health & Hygiene promotion as a prerequisite to obtain funds from DWAF and DC'S sanitation programmes. DC,s to adopt and integrate this Health & Hygiene programme through it's Health Department. The District Council will through it's Health department, participate in this Health and Hygiene program through the Health workers
- Capacity Building & Training for responsible Local Authorities to create an environment for the smooth transition of this implementation function in terms of the Water Services Act(Act 108 of 1997)

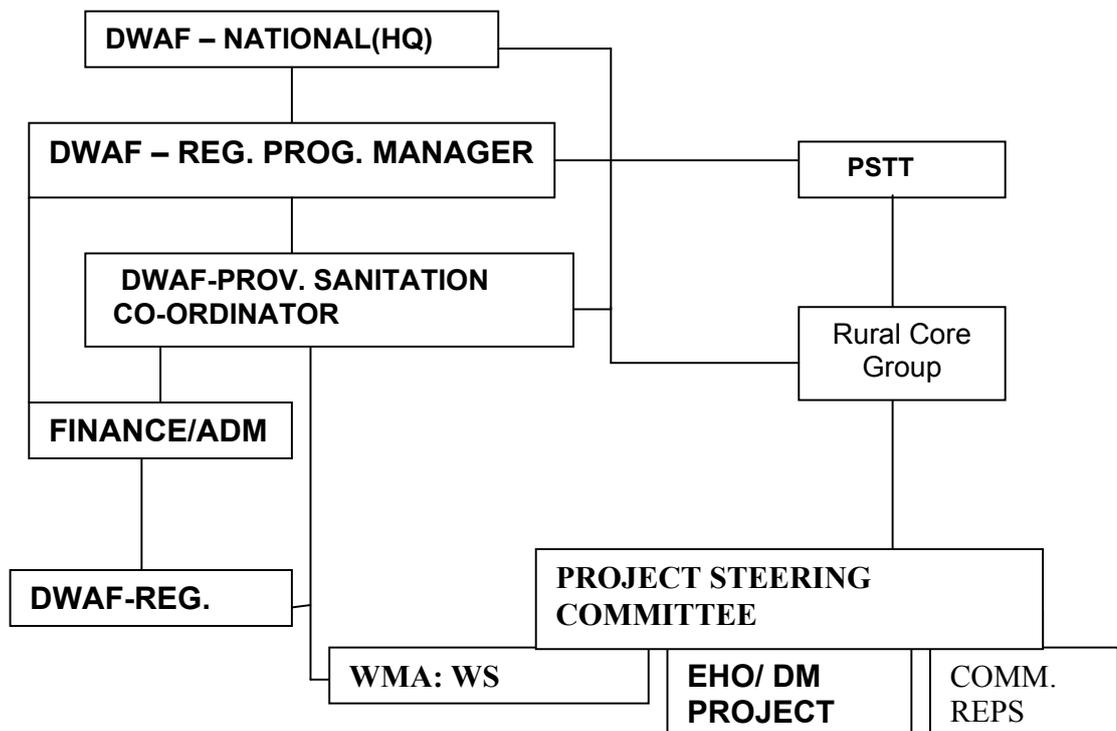
4 CONFORMITY WITH DWAF AND RDP GUIDELINES

The role of the PSTT has been to clarify essential elements, such as appropriate targeting, in line with national sanitation policy guidelines. Socio-economic indicators of poverty and need have been centralised as the rationale for provincial sanitation projects.

Key principles are entrenched in the development of a Western Cape framework so that each project Business Plan may be guided from conception to delivery by RDP guidelines that are translated into practical implications.

4.1 PROGRAMME MANAGEMENT

The following layout illustrates the different levels of management for this programme and linkages at local, provincial and national level:



The programme will be managed at local implementation level by the Project Steering Committee (PSC). It will consist of representatives from DWAF, Rural Core Group (RCG) members and community representatives who will form the biggest stakeholder group in the PSC. Through the RCG information will be forwarded to the PSTT with regards to the project.

DWAF representatives will in-turn report to the Provincial Co-ordinator who will co-ordinate with the Finance & Administration sections. The Provincial Co-ordinator will also correspond with the Programme Manager, who will report to Head Office (HQ).

The PSTT will continue to act in a Sanitation Programme Steering Committee capacity and therefore play a key role in the co-ordination the sanitation implementation program.

4.2 FINANCIAL AND ECONOMIC POLICY

The national sanitation policy and programme guidelines will be applied to the neglected sectors of the population who are unable to afford access to high levels of service.

The R600 per household subsidy will not be supplemented by a subsidy from local authorities in order to provide high levels of service, but will be disbursed by the District Council to those who cannot afford to provide adequate sanitation on private or non-serviced land.

Relevant documents relating to various contract agreements will be attached to the Project Business Plans. Attached will also be the estimated cost for a PSC endorsed sanitation facility.

Once BP's are approved by HQ funds for the respective projects will be transferred to the relevant DC's account. The DC's will be held responsible for the proper financial administration during the implementation of the project. The DC'S will be advised by the PSC in terms of bulk purchasing of materials necessary as soon as a decision with regards to the sanitation facility has been finalised. The PSC will make sure that the community will also benefit from the funds allocated to the projects, e.g. if Builders paid for the construction of sanitation facility. Community members who are actively involved in the PSC will be adequately re-imbursed for related costs.

The Provincial Co-ordinator will scrutinise the application of funds and oversee the distribution very closely.

4.3 INSTITUTIONAL ROLES AND LINKAGES

The DWAF provincial Sanitation Coordinator is an active member of the PSTT, which will continue to advise and steer project implementation, monitoring and evaluation. (see 4.1)

The Local Authority for the district (DC - Implementing Agent) assigns an EHO to each area in which projects are located. The EHO manages liaison with the Local Authority and will work with Project Leaders and local Project Steering Committees (PSCs) on the ground. The EHOs report to their Council regularly and liaise with the DWAF Regional Sanitation Coordinator and the PSTT on project progress.

4.4 COMMUNITY PARTICIPATION AND EMPOWERMENT/ COMMUNICATION STRATEGY

A Project Cycle – Integrating Health and Hygiene Awareness:

Targeting and Entry

The initial Baseline Information is collected to establish the target - rural households with no or inadequate sanitation services or facilities, poor environmental hygiene and household conditions, and socio-economic indicators of poverty.

Based on liaison with the local authority, through the appointed Environmental Health Officer (EHO) located in the area, this baseline serves to inform the intervention's entry strategy. The EHO and Project Leader gather further information, do spot household investigative visits, make contact with farm-owners/farmers and develop a Business Plan (BP). Local authority, land-owner and residents' approval and commitment is assessed and supported by signed letters from key roleplayers.

The BP is submitted for pre-appraisal to the regional DWAF Sanitation Coordinator and PSTT, after which approval is applied for access to sanitation support through the DWAF:Pretoria offices. An approved BP will be presented to the local authority, land-owners and target beneficiaries to initiate the project. This approach will facilitate proper understanding of their undertakings and commitments without raising expectations beyond the scope of the project, or prior to the approval that will enable the project.

Situation Analysis

PHAST (and PRA) is to be applied to engage the target households in gathering additional Baseline Information that is specific to each farmdweller community or project site. This methodology employs focus groups and workshops, and begins the Health and Hygiene Awareness (educational and project development) process. Existing local knowledge will form the baseline, or departure point, for Health and Hygiene Awareness output and sanitation improvement strategies that will be co-developed with participant learners.

By participating fully in completing Baseline Information and a Situation Analysis, residents will themselves see the need to construct barriers to transmission and contamination routes. While the available and tested PHAST techniques are designed to apply this principle, appropriate materials for on-farm conditions will need to be developed to facilitate effective practice.

Institutional linkages for ongoing organising and monitoring purposes will be properly investigated from a local perspective *prior* to setting up structures for the project.

A local PSC will be constituted to establish affirmative links with local/user organizational capacity in order to ensure that decision-making is based on user (as opposed to farmer) demand for sanitation improvements. Facilitating this aspect of organizational capacity

building is a key to user participation in the project. Community input will play a dominant role in:

- Assessing, planning, implementing, monitoring and sustaining improvements on the farm and within each household.
- Defining the functions of and procedures for local organisation
- Establish procedures for linkages with external role-players, incl. landowner
- Electing representatives and establishing communication requirements for effective representation

Planning:

Health and Hygiene Awareness activities will include exploring technical options for sanitation improvements, which will all be integrated to inform locally developed plans. PHAST techniques will be adapted to enable participants to sort the issues, opportunities and constraints that they have been engaged in identifying, into material that informs their judgement, choices and decisions.

External experience, expertise and information will be incorporated into community level knowledge while co-developing plans. External (sources of) data and additional information that is relevant to the area and specific project, such as groundwater levels, will be presented to the community. This information will be incorporated into planning activities at appropriate times to enable the community to prioritise, make choices and decisions, and inform plans to improve their sanitation conditions.

Educational output, messages and strategies will be co-developed with participant learners, on the basis of their existing knowledge as a departure point. While the available and tested PHAST techniques are designed to apply this principle, appropriate materials for farmdweller conditions will need to be developed to facilitate effective practice.

Target participants will be facilitated to make input into planning based on their experience and knowledge of local conditions and capacities. Contributions will include:

- a Vision for the project
- Action-Planning: Sorting out steps towards achieving aims
- Identifying specific responsibilities, tasks and functions on household and a community level.
- Establishing local skills, capacities and contributions
- Identifying support needed, training and trainees

Implementing:

The Health and Hygiene Awareness strategy that the community has evolved will be integrated into the progress of improving sanitation systems, and their operation and maintenance.

Local monitoring of progress will be based on the agreed Action-Plan, which will spell out the sequence of steps, responsibilities and time-frames. The Action Plan will also guide the local PSC members and the Implementing Agent in monitoring, thus enabling their provision of particular support needed for on-farm progress.

Training of Health Workers, Builders and the construction toilets, handwashing facilities, etc., will go hand-in-hand, forming part of the Awareness programme. The toilets will be designed with a bias towards self-provision, low-cost and basic sanitation levels. Accordingly, the choice of the target community will utilise the DWAF subsidy (of up to R600), and household contributions. Supplementary financial investments will be negotiated with the land-owner.

Participatory Monitoring and Evaluation:

Health and hygiene indicators will be selected by the community participants, relayed to the local PSC and monitored locally. Linkages between local, district and regional monitoring will be established during the course of project reporting. The local school that target household children attend will be encouraged to participate in monitoring improvements of health and hygiene behaviour and related performance in the school children.

Criteria for evaluation will be drawn from the agreed Plan. Agreement on Indicators for monitoring and Criteria for evaluation that will enable judgement of progress, successes and failures will be facilitated during planning sessions prior to implementation.

The Baseline Information will provide the reference point from which changes/improvements will be measured. Components for evaluation will be according to stages of progression in the project cycle. Qualitative and quantitative indicators emerging from field-level self-evaluation will be processed by a regional Task Team for presentation to PSTT stakeholders.

4.5 EDUCATION, TRAINING AND CAPACITY BUILDING

The Western Cape programme is based on Capacity Building with the main focus of ensuring sustainability. Training relates to various aspects of capacity building within disadvantaged communities. E.g. mentoring and support to the established PSC, provisioning of information to make informed decisions regarding their sanitation behaviours and attitude.

The ultimate aim of training and capacity building is to ensure sustainability. Training is only one way of building capacity - other examples are mentoring, access to resources and support, improving power relations. Capacity building and training should ensure people develop skills for solving problems, and should stimulate local capacity to implement creative solutions.

- The community can get involved in educating others by organising the awareness workshops, producing posters and exploring other innovative ways of spreading awareness. The Project Leader must develop appropriate and relevant PHAST materials, that local people will identify with/relate to, to enable this process.
- The role of the District Council (Health Department) in the sustainability of hygiene improvements lies in the identification and training of health workers on farms. The Health Department can be involved by training the health worker (chosen by the group of farmdwellers on a farm) with sanitation as one of the modules. It is very important to target women as they are usually the most committed, dependable and

stable members of the communities. The project will strive to upgrade the training of the health workers on farms as they can be used as local trainers on future projects.

- Teachers of local schools can be involved in promoting Health and Hygiene Awareness in their classes. Involving children offers hope for sustainability because as children grow into adults they will continue to implement improved sanitation practises. They will also immediately influence other children and adults in their communities.
- Building skills that focus on basic sanitation and affordable top structures will be made accessible locally to potential builders, particularly farmdweller women.
- Local Project Sanitation Committee members who are farm dwellers will be targeted for capacity building of the different skills needed, such as, to communicate across levels, negotiate agreements, organise meetings and workshops.

4.6 FOCUS ON WOMEN

The programme will make a definite impact to empower women away from their traditional assumption role of cleaning of toilet facilities. They will play a pivotal role in the assessment, education of other community members during workshop, technical options selection and monitor and evaluation of the project.

As women are in most cases seasonal/casual workers, they indicate their willingness to build or help construct their toilets. On farms there are many single, divorced and abused women, and widows, who the project can target to train as builders and on-farm health workers.

Evidence shows that when women truly incorporate behaviour changes into the pattern of household lives, passing on these behaviour changes to their children. They are also positioned to monitor hygiene behaviour, thus increasing the sustainability of improved sanitation conditions.

At least 50% of the local PSC members will be women.

4.7 LABOUR INTENSITY

Rather than making use of construction companies, local builders and local labour will focus on self-provision of basic sanitation systems as a deliberate way of maximising labour intensity. Construction companies come with their own labourers as it is not cost-effective to use needy and poor local communities, some of whom may be unemployed.

During the project implementation of the programme the PSC will ensure that the labour content will come from within the beneficiary community. They will identify unemployed community members that will financially benefit from the project during the construction phase.

4.8 EMPLOYMENT POLICY

Builders must come out of the local communities, because they have the skills. On farms, there must be a written agreement between the farmer and the farmdweller (builder) on construction of toilet infrastructure.

The DC does not have an employment policy regarding community Health Workers but will negotiate with farmers to pay a bonus to an on-farm/community health workers. The District health department makes efforts to source support from beneficiaries such as employers.

In communities, the local PSC will make decisions regarding the employment of Builders, quality controllers and community health workers, with the agreement of the DC.

4.9 WAGES AND LABOUR STANDARDS

Onsite labour and dwellers will be utilized. Builders and labour in employment of the owner requires that there must be a written agreement between the owner and the dweller, to differentiate between contributors. If the dweller builds the toilet “after hours”, the dweller labour is a household contribution. However, if the dweller builds during working hours, the wages for labour is a owner contribution.

Quality control will be the responsibility of the DC, in consultation with the local PSC.

4.10 CONSULTANTS AND OTHER SERVICE PROVIDERS

Rather than making use of consultants, the Local Authority (currently District Council) will be the Implementing Agent and administrator of Western Cape Farmdweller projects. The District Council will employ the services of an appropriately qualified agent who is field-based, called a Project Leader.

Criteria for the appointment of Project Leaders are based on field capacity, acceptability by the target community, experience in community development initiatives, adult education experience and a minimum standard of education which enables adequate report-writing. Mobility and existing linkages with role-players such as the Health and Education departments will qualify a Project Leader for appointment by the DC, which will be approved by the local PSC.

4.11 TENDER PROCEDURES

The Western Cape programme is based on the capacity of Local Authorities to implement projects with assistance by field-based agents, called Project leaders, rather than private consultants who tender for a contract. Contractual arrangements with the Project leader will be the responsibility of the DC.

4.12 FINANCIAL PROCEDURES

DWAF will pay out the finances to the District Council who will be responsible for administration and reporting to DWAF.

4.13 THE GROUND WATER PROTECTION PROTOCOL AND THE ENVIRONMENT

The programme will ensure that where projects is initiated that the guidelines of the above-mentioned protocol will be strictly adhered to. Workshops will be conducted to inform beneficiary communities, PSC and Local Authorities and DC's – EHO Project Leaders about the relationship between environmental conservation, water and sanitation practises and practical methods to ensure a clean environment.

4.14 TECHNICAL DESIGNS

Cost estimates will influence technical designs. Various options will be presented to the community target households, based on estimated costs.

Local ground conditions and access to building supplies will influence technical designs. Information on the options listed below should be completed in the business plan as a starting point for project deliberation, by communities and local PSCs, on realistic choices.

Option 1

Prefabricated Galvanized Zinc superstructure

Option 2

Concrete superstructure

Option 3

Blocks superstructure

Option 4

The archloo

This is a Very low cost VIP construction (materials at R450 including door, seat, wash basin, tap and vent) A further reduction of 30% is anticipated.

They are very low cost because of the small amount of material deployed, and the roofing (usually expensive and maintenance intensive) is an intrinsic part of the structure The structures are constructed by plastering multiple layers on a hessian cloth as it hangs between 2 wooden forms. The structure and hessian can then be removed

(hessian can be left in situ as reinforcement). A similar approach is applied to the pedestal/pitcover, and the vent pipe.

Strong structures have been constructed from 6:1 cement mortar, 6:1 cement stabilised soil, and clay and grass mixtures (clay and grass requires longer drying time between layers).

The Archloo can be used widely on a Linux like open license agreement, which allows rural workers to share and develop techniques without the handicaps associated with proprietary developments.

Pour Flush Toilet

The first solution is called "Sulabh Shauchalaya," is a low-cost, pour-flush water-seal toilet with twin leach pits for on-site disposal of human waste.

This technology has many advantages. It is affordable, even by the poorer sections of society, as there are designs to suit different levels of income. Flushing requires only two litres of water, instead of the 10 litres needed by other toilets. It is never out of commission since, with two pits, one can always be used while the other one is being cleaned. The latrine can be built with locally available materials and is easy to maintain. It has high potential for upgrading because, while it is a stand-alone, on-site unit, it can easily be connected to a sewer system if and when one is introduced in the area. The toilet is also culturally acceptable in as much as it remains free from filth and foul odours.

Other considerations:

The urine diversion

The Dry toilets rely on a special toilet bowl that diverts the urine to an absorption pit or to a container where it is collected for use as fertiliser. The faeces fall into the chamber below the toilet and are dehydrated to destroy pathogenic organisms, so that the substance can be used as a fertiliser and soil conditioner

The maintenance of the system involves a set of simple activities. After defecating, the user sprinkles dry material such as ashes or lime (or a mixture of dry soil or sawdust with ash or lime) over the faeces. Every week the contents of the chamber should be stirred with a stick and more dry material added. The separation of urine from faeces and addition of dry material, reduce unpleasant odours and flies, which are serious problems of traditional latrines. The toilet's double chamber allows the contents on one side to lie idle, while the family continues to use the other side. The chamber fills up in not less than six months, which allows the other side to dry and the pathogens will be removed, the chamber can be emptied and disposed or used as a soil conditioner.

Septic tanks :

Waste water from toilets flows via pipe into the first chamber of a septic tank. Due to the large volume, there is hardly any current and solid particles tend to settle on the tank

floor, resulting in cleaner water. Additionally, particular anaerobic microorganisms, which grow naturally in the waste water under the absence of oxygen, feed on the organic substances contained in the waste water. By doing so, the organic matter is digested, partly converted into gas (methane and carbon dioxide), stabilized and not able to rot any more. Stabilized particles clog together and also settle on the floor of the tank. Some floating substances will surface and generate a scum. Of course this process of digesting sludge requires some time which is why the tank is designed to hold the waste water for a few days. To increase contact time with microorganisms the water flow from the inlet to the outlet should be as long as possible. This can be achieved by constructing the inlet, overflow and outlet diagonal to each other, across the tank, and also by directing the streams vertically by pipes.

After this treatment process in the first chamber, the partly cleaned water overflows into the second chamber, which, as mentioned above, is about half the size of the first chamber. In order not to allow any larger particles to flow over, the overflow is constructed in such a way that the overflowing water first has to climb up to the water level and then flow over. The upward motion of the water prevents heavier particles from flowing over.

The second chamber is almost free of larger particles and the microorganisms therefore can concentrate on attacking the remaining organic substances. The same process of feeding, digesting, stabilization and settlement takes place as in the first chamber. The amount of substances to be removed, however, is much less. Retention time in the second chamber, due to its size, is about half as long as in the first chamber. The outlet should be constructed in the same way as the overflow, in the diagonal corner to the overflow.

5. PROJECT DESCRIPTIONS

Individual Project Descriptions and details which may differ from area to area and project to project are provided in the attachments to the Programme Business Plan

The following points provide elements to a common framework that will be adhered to by each project submission.

5.1 OBTAINING BASELINE INFORMATION

Through an initial needs assessment the target (local community) was identified as a needy community. A target area that is in dire need of a sanitation support has been identified by the EHO of the Breede River District Council.

PHAST will be used to assess the situation with the community. This process will ensure that the whole community plays an active role in identifying their own needs. The same tool can be utilized to build the resourcefulness of the group. Furthermore, opportunities that can be created to cater for the farm workers will be identified, e.g. health workers and representatives on local PSC.

Information that is needed from the community perspective to expand on the baseline will include the following:

- What services are currently available to the communities, and who are the providers of these services?
- Existing programs that are currently running on the farms or vicinity.
- How many residents are using existing and available facilities?
- What alternative do they practice if no facilities are available?
- Employment – where are the residents employed?
- How many residents are unemployed? Other sources of income?
- Environmental sanitation conditions – hygiene conditions in and around the house.
- What water and sanitation related illnesses are prevalent in the target area?
- Organisational structures that exist – where and to whom they link and what are their functions – who are the representatives on the structure?
- The skills, talents and resourcefulness of the community

The Baseline Information gathered will be used to focus the health, hygiene and sanitation awareness approach. Additional information needed will be collected through individual household visits, and from external sources by the Project Leader. Statistics from the Health Department would verify the information obtained from the community.

5.2 HEALTH AND HYGIENE PROMOTION

The primary target group will be the households in the respective communities and the focus of the health and hygiene messages will be determined by the results of the information gathered in the baseline.

As Health and Hygiene awareness forms a pivotal component of sanitation delivery, it must not only be provided at the beginning stages of the project but integrated with technical constructions of barriers against transmission.

PHAST is an appropriate methodology for this health, hygiene and sanitation awareness-based project.

The objective will not only be to teach hygiene and sanitation concepts, but to enable people to overcome constraints to changes that improve conditions. The approach is designed to promote community management of sanitation facilities.

The method focuses on participatory learning and can therefore be successfully applied to the whole project cycle. The community will identify their own needs and plans for improvements that are within their means with the subsidy provision.

The district Health department will be engaged in the education of the Health workers on the farms. It is envisaged that the community on the different farms identify individuals to be trained as Health workers to ensure sustainability of an ongoing awareness program. The Department of Health, through its district health officials, should monitor the change (if any) of the use of hygienic sanitation methods during their periodic visits to the area.

Time frames for health and hygiene promotion must be adapted to enable the integration of awareness with planning solutions, implementing these and evaluating their achievements. A minimum of intensive engagement over 6 weeks, allowing for at least 4 x 2 hour workshops with community groups, will be supplemented with household visits by the Project Leader.

Operation and maintenance will include hygiene awareness indicators that the community have decided upon, e.g. hand-washing, toilet cleanliness.

5.3 TRAINING OF LOCAL BUILDERS

Communities have indicated their willingness to be responsible for the building of the toilets. Where additional training is needed the local PSC will consider training to ensure adequate standards are achieved. The project will conduct technical training, drawing from local and area resources and with support from the PSTT (includes DWAF).

Once the builders or quality controllers are chosen, they will be trained to provide local support constructing systems, for both building of latrines and in the basic functioning of latrine.

5.4 ASSESSING PREFERRED COMMUNITY SANITATION OPTION

An emphasis on local solutions in the selection of technology and construction techniques can be an important component in cost saving and in promoting sustainability. This is only half the picture, however, as the acceptance and proper use of new facilities determine the value of the project in the longer term.

Different sanitation options that are presented to the community must look at sustainability of the options in respect of operating and maintenance costs. Choosing options that the community cannot afford or operate is due to a lack of understanding the implications of costly, inappropriate and unsustainable choices being given.

5.5 TECHNICAL CONSIDERATIONS

Consideration of technology must look at specific areas and locations as the technical aspects of sanitation systems are different when addressing the local conditions. Ground conditions vary, and there may be water but the supply is irregular, access to building supplies and materials, and socio-economic conditions all combine to impact on the design and construction.

By example, the following areas described below, have particular conditions which constrain or suggest and thereby influence workable options and choices.

Central Karoo (Murraysburg Farmdweller Pilot Project)

The ground is very shallow followed by hard rock this poses a problem in digging pit for the latrines and septic systems. Most of the farms have no access to water at all times which cause a disadvantage to septic systems. A thin soil cover results in digging being very difficult and slow so granting of 30% should be considered where the farms experienced the hard rock.

This was evident in farm De Put, where farmdwellers constructed their toilets with a basic level of service and were willing to maintain the facilities because they have accepted the conditions. In a pilot project situation, it may be enough just to gain insights that will help stakeholders to harmonise all technological elements in future initiatives. It is imperative to learn such lessons and possibly replicate them to the rest of the areas or use the skill to educate the surrounding farmdwellers.

Breede River District (Overhex)

The ground water in this region is very shallow and poorly drained - during winter standing water bodies are common. The soils are relatively thick and this restricts the installation of soak-aways as the water surfaces during high rainfall seasons. Exploring different options that will target the needy e.g. VIP is not waterborne system but on existing structures increasing the size of the tanks will serve as part of the solution. The alternative of providing each septic tank with its own drainage system will be too expensive to construct.

In this area the basic level of service is not promoted, however the poorest who do not have the basic level of service will be able to improve their conditions through this project.

Winelands District (Klein Drakestein)

The soil conditions in this area are not hard, therefore digging pits will not be a problem.

In this area the subsidy system is largely used to supplement a high level of service. VIPs have been requested and provided to a minimal extent, whereas in contrast this project will focus on targeting the poorest without basic or adequate sanitation

5.6 Environmental impact

In all areas the risk of ground water pollution is very low, except in the Breede River valley, where the soil is predominately clay and poorly drained. The water level rises and overflows during high rain fall season (winter).

The proposed sanitation systems do not pose a significant threat to ground water, therefore no specific protection measures are required.

In Murraysburg a thin soil cover results in digging being difficult and slow. Granting of additional 30% subsidy should be considered where the record of rock was encountered within 1m of surface. See Groundwater Assessment.

5.6.1 Environmental Sanitation and Solid waste

Most commonly drums are used for solid waste collection systems, emptying the drums on regular basis.

The waste is taken to a hole and incinerated. In some cases, where the ground is too hard to dig a hole for waste disposal e.g. Murraysburg, the waste is dumped on the ground on an identified piece of land. When the wind blows plastic bags and rubble get blown about which could lead to unhygienic conditions.

5.7 Establishing the cost of delivery and contributors of funds

The draft calculations of the cost of VIP toilets with different options which are shown in the tables serve as a starting point from which the most viable option can be the chosen. The design and specifications for the latrine are based on guidelines for a ventilated improved pit latrine produced by the National Building Institute of the Council for Industrial and Scientific Research (CSIR). A number of design modifications may be made to improve the cost effectiveness and affordability.

6. DELIVERY

6.1 MAIN CONCLUSIONS AND FINDINGS

The baseline information will provide the reference point from which changes or improvements will be measured. Monitoring and evaluating activities must be an integral part of on going activities and carried out in a systematic way by project staff (leaders), users and other role players. More recently attention towards the need to ensure that sanitation efforts are sustainable, not only in terms of maintaining the facilities but also ensuring that the end-users are empowered with the necessary information to use and manage those facilities.

6.1.2 Preferred Community Sanitation Option

Some of the needy communities have provided themselves with pit latrines which are not in good condition, where the top structures are not stable.

Local Conditions are core to technical considerations (see 4.14).

Costing of feasible Options for choice is imperative to informing decisions that will lead to sustainability

6.2 Contributions

To build capacity, the community shall be exposed to the building process so that households have the option of self-provision. A number of assistants to self-providers, and possibly builders with skill, will emerge while the construction of toilets takes place. These will be supported by the project to access further information and skills training required for basic sanitation construction.

7. COST ESTIMATES

(TO BE INCLUDED AS PART OF INDIVIDUAL PROJECT BUSINESS PLANS)

8. TIME PLAN

The targeting, initial pre-project liaison and development of Business Plans takes place from July to end November of the year preceding implementation.

The project time plan is contingent on BP approval being granted in early December, to enable intensive implementation over a six-month period. Delivery will be completed by the end of June.

9. EVALUATION, MONITORING AND REPORTING

Interaction between DWAF (Regional Sanitation Coordinator), the Implementing Agent (DC- Environmental Health Officer) and the PSTT, will continue throughout the project

9.1 PURPOSE

Monitoring, reporting and evaluation will be conducted according to contractual agreements, and payment of claims will be contingent on reporting against Key Performance Indicators (KPIs) that will be agreed within contractual arrangements.

9.2 MILESTONES AND KEY PERFORMANCE INDICATORS

- Expanded Baseline Information and Situation Analyses with clearly demonstrated community input will be completed. The identification of farm workers of each farm involved in the project for the health-workers and builders sub-committees , and the establishment of the local PSC will be reported with minutes of the first PSC meeting.

- The RSG will put forward a time plan in agreement with the DWAF Regional Sanitation Coordinator, which will be presented to the PSC and the PSTT.
- Plans and Action Plans as approved by the local PSC will be reported. A social contract clarifying roles and responsibilities between the dwellers and the farmer/owner will be drawn up. Contributions from dwellers and farmer/owner will be committed to in conjunction with these agreements.
- Training programmes and emerging curricula for health workers, builders and local school- teachers will be reported to the local PSC and the PSTT task team. A progress report of the Health and Hygiene Awareness activities in relation to the project cycle will be submitted monthly.
- Progress on community input, achievements and failures in the construction of facilities and improvements in hygiene behaviour will be reported after two months.
- The local PSC will decide how to deal with arising constraints and issues, as well as the quality control.
- The completion of toilets as planned will be followed by an evaluation by the DWAF Regional Sanitation Coordinator and the DC to determine whether the funds were utilised for the intended purpose.

9.3 MONTHLY REPORT

The Project Leader will submit a monthly report of progress against KPIs to the EHO of the D/Council and the PSC.

The monthly reports will be submitted to the PSTT task team prior to their regular meetings. Either the EHO, the Project Leader or the project's local PSC representative will attend these PSTT meetings and undertake to report back to the PSC.

The contractual agreements between DWAF and the Implementing Agent (District Council) will be managed by the DWAF Regional Sanitation Coordinator, who will also represent the PSTT.

The DWAF Regional Sanitation Coordinator will be responsible for reporting to DWAF:Pretoria in accordance with requirements.

9.4 QUARTERLY REPORT

Report from Project Leader / EHO and District Council to the DWAF Regional Sanitation Coordinator who will submit a report with comments to the PSTT, prior to the PSTT Quarterly meeting in April.

The PSTT task team will provide a written Quarterly report to DWAF.

9.5 MONITORING AND EVALUATION

Monitoring of the Implementing Agent will be the responsibility of the DWAF Regional Sanitation Coordinator who will work closely with the District Council (Implementing Agent), to ensure that the District Council is fulfilling its functions and responsibilities.

The local PSC will be responsible for monitoring progress in each project site, based on reports submitted monthly. A PSC representative will report to the PSTT task team on a monthly basis.

10. OTHER

10.1 REIMBURSEMENT OF STEERING COMMITTEE MEMBERS

The local PSC will manage a budget for covering the costs of ensuring farmdweller participation in PSC meetings, PSTT meetings and additional workshops arising, such as stakeholders evaluation sessions.

This budget will not exceed R75 per farmdweller PSC member, attending verified PSC meetings, PSTT meetings and any workshops arising that may need to be conducted with a focus on their project

Formative Assessment of Project Initiation

by

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Report to the Water Research Commission on the Project

EVALUATION OF THE WESTERN CAPE FARMDWELLER SANITATION PILOT
PROGRAMME

Project Leader: A. LAGARDIEN

WRC Report No KV132/3/01

October 2001

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	(May/June)	

The publication of this report emanates from a project entitled: EVALUATION OF THE WESTERN CAPE FARMDWELLER SANITATION PILOT PROGRAMME – WRC K8/354.

Three reports associated with the above project are:

1. Improving sanitation on farms: Lessons from the Farmdweller Sanitation Pilot programme and the Emerging Western Cape Model (KV)
2. Formative Assessment of Project Initiation (KV) **Available on request**
3. Health and Hygiene Awareness (KV) **Available on request**
4. Formative Assessment of Subsidies, Technology Options and Choice (KV) **Available on request**

Disclaimer

This report has been reviewed by the Water Research Commission (WRC) and approved for publication. Approval does not signify that the contents necessarily reflect the views and policies of the WRC, nor does mention of trade names or commercial products constitute endorsement or recommendation for use.

WRC Project - Evaluation of Western Cape Farmdweller Sanitation Pilot Programme. Project Initiation.

Introduction

The acceptance of pilot project models depends largely on stakeholder engagement in validating the context information of the pilot projects. Programme sustainability is linked to the extent to which institutional capacity is built through stakeholder participation in strategy formulation and pilot project execution.

The research team, in this review of the pilot project initiation phase, has provided, through the formative approach to the evaluation, opportunities for communication and validation of project information and for stakeholder involvement in strategy formulation. This process will continue in the next phases of evaluation as set out in the research framework.

Progress Report

The evaluation in this phase consisted of a desktop study, a project initiation workshop and a project initiation report.

1. Desktop Study

A summary report and a questionnaire was prepared to facilitate stakeholder input.

1.1 Project Summary Report No 1.

A Summary Report for January to June 1999 (Appendix 1A) was prepared for circulation to stakeholders. The Summary Report, based on project documentation, provides information under the following headings:

- Broad NaSCO Project Parameters.
- The Consultants Brief
- Project Specifics (provided by consultant to fulfill brief)
- Stakeholder involvement at Regional Level
- Baseline information.

A summary report for the Health and Hygiene Awareness Programme for May and June is included under Appendix 2A. This appendix will be circulated for validation and input for the next phase of evaluation.

1.2 Questionnaire

Stakeholders were requested to review the project report and to provide input by:

- Identifying three key NaSCO Project Parameters (Question 1)
- Identifying the key elements of the Consultants Brief (Question 2)
- Commenting the following Project Specifics in the context of the each of the five pilot sites: (Question 3)
 - Project Steering Committee (PSC) function and communication

- Situational Analysis
- Health Awareness Programme
- Project progress
- Project constraints
- Project Opportunities.

Table 1: Stakeholder Questionnaire Responses to-date (Appendix 1B)

Grouping	Contact Person	Reponses	Q1	Q2	Q3
NaSCO	K. Eales	No			
	M. Briesley	Yes	X	-	
DWAF	H. Lyons	Yes	X	X	X
District Councils	H. van der Westhuisen	Yes	-	-	X
Farmers Union	E. Jordaan	No	Numerous requests have yet to evoke a response		
Farmworkers Union	C. Diedericks	No	Numerous requests have yet to evoke a response		
Prov. Dept. Agriculture	A.Roux	Yes	X	X	-
Prov. Dept. Health	D. Louw	Yes	X	X	-
Prov. Dept. Education	M. Semmelink.	No	Numerous requests have yet to evoke a response		
PSC Murraysburg	D. van Rensburg	No... Co-ordinator was requested to liaise with Project leaders			
PSC Matjiesrivier	G. Hendricks				
PSC Overhex	S. Rabie				
PSC Klein Drakenstein	H. Keyster				
PSC Piketberg Berg	E. Truter				

2 Project Initiation Workshop

In consultation with the Farmdweller Core Group, a workshop was arranged by the research team at the 23 July PSTT meeting. This workshop was scheduled for the 6 August. . The Farmdweller Core Group as well as the Project Leaders (PLs) were invited to attend and to provide input on the basis of the Summary Report and Questionnaire.

Subsequently, the District Council representative tendered an apology and offered to co-ordinate district council input at their regional meeting on 13 August. This input is reflected as a stakeholder response in the table above.

The Project Co-ordinator omitted to invite the PLs and re-scheduled this contact for the 23 August. This arrangement fell through on the day at the project co-ordinator's request. An opportunity to interact directly with the PLs is still being pursued.

The project initiation workshop took place on the 6 August as scheduled and was attended by the DWAF representative, the NaSCO representative, the PSTT convenor and the Project co-ordinator.

The workshop was facilitated by researcher , D. Cousins, who used the Summary Report and Questionnaire framework to synthesize the inputs . The outputs of this exercise, elements of which are taken up in the Project Initiation report that follows, is set out in Appendix 1C.

3 Project initiation Report:

3.1 Stakeholder Involvement:

Stakeholder project involvement and input at regional level is facilitated through a the Farmdweller Core Group (FCG). The FCG is a subcommittee of the Provincial Sanitation Task Team (PSTT). A Project Steering Committee (PSC) was established for each pilot to co-ordinate district and local level input.

Regional level:

- Despite regularly attending PSTT meetings, regional representatives from Department of Water Affairs and Forestry (DWAF), Department of Agriculture and District Councils indicate lack of information and poor communication as impediments to their direct involvement in project development and progress.
- Provincial Departments of Health, Education and CMIP may have been sidelined by a perceived lack of role development for these departments within the current pilot programme.
- Requests have been made, both formally and informally to Western Cape Farmworkers and Farmers Organizations to provide stakeholder input. These invitations has not brought any involvement from them. Farmworkers and Farmers Organisations are not represented on the FCG.

If the current trend continues, all indications are the working model being developed for farmdweller sanitation will not harness any further regional support beyond the current DWAF subsidy. An audit of the of potential resources and opportunities that are available within these organisations may be important before discounting their direct involvement in the programme

District level

- Respondents to the questionnaire and participants in the project initiation workshop were unanimous in indicating that the key to successful programme development was that a District Steering Committee (DSC) should be established take ownership of the pilot programme.
- The negative responses from the District Councils' representatives and the lack of engagement by organised farmers and farmworkers may be symptomatic of the need for a functional DSC structure within the pilot project.
- The District Council response relates concerns about the lack project progress (accessing subsidy funds), lack of information and poor communication.
- DWAF relates concerns with regard the lack of involvement of its Area Managers in the project.

The concerns of stakeholders at district level require attention if the model being developed is to address the project ownership and hence, programme sustainability issues.

Local level:

- A Project Steering Committee (PSC) was established during the initial meeting within each district site. Invitations to attend the first meeting had been distributed to farmers, farmdwellers and relevant local organisations. While the resulting attendance varied from poor to mediocre there were relatively few farmdwellers and a majority of farmers in all cases. Weak farmdweller organisation, lack of mobility and time constraints of farmdwellers were accepted as an inevitable limitation to farmdweller representation on the PSC.
- The PSCs were intended to replace the policy guideline of a DSC structure, with the district EHO relied upon to liaise with District Councils. Communication to DCs of PSC meetings and project progress has evidently not been successful. The involvement of EHOs in each site is variable: their active involvement in working with farmdwellers appears to be limited by virtue of their extensive duties and traditional role of direct liaison with farmowners.
- Project Leaders (PLs) were selected according to proposed criteria, and based on the preference of the PSC. While it was considered a strength to select a local person known to the community, the role of the PL in relation to both the PSC and the DC has not been specified.
- Local schools were identified as key mechanisms for indirect communication with farmdweller households early in the project. Reports of objectives, strategies and progress in respect of schools are not detailed enough to enable a judgement of the impact of working with schools, in the pilot in the medium/long-term.
- Linkages with local Department of Health supported initiatives have been limited to requested health talks organised by the PLs, where they have identified a need for expert information during Health & Hygiene Awareness implementation. In one site 'health workers' have been engaged in field activities.

The PSC role in contributing to project activities is minor, and secondary to that of the PL, who plays a lead role in liaison, targeting, facilitating and evaluating implementation. The PL functions do not appear to fit an equivalent role, or mix of roles, in any of the existing, institutionally supported capacities. Sustainability of these functions beyond the life of the pilot appears not to have played a primary part in informing the design of PL or PSC activities.

3.2 Baseline Information

Regional and District level:

- The pilot projects have not as yet collated any details of the extent and coverage of existing health and subsidy programmes pertaining to farm dwellers in the pilot areas.

Although there are isolated reports of linkages with district health programmes and subsidy application systems, the level of integration and access to existing district and regional resources is not clear and on the basis of evidence provided thus far, remains largely unexplored.

Local level:

- All sites have a reported district pilot overview (collated in Appendix 1A –Item 5). Each site's initial farm assessments and farmer willingness reports no longer match subsequent project initiation profile, and therefore need to be updated. Situation Analyses per site offer different degrees of detail: the Klein Drakenstein site (Winelands District) is most useful and relevant to pilot and project brief.
- Variable economic status of farming enterprises within specific pilot areas may be relevant. Numbers and profile of participating farms and targeted farm dweller households per site are needed to build an adequate picture of the pilot. Reports have not provided an update on the profile of actual project participants, area covered by pilot within district or a description of the pilot sample.

At this stage, it is therefore not possible for the research team to characterize each pilot site with the information available. In the absence of site characterization (baseline information), the evaluation of the focus and strategy for each pilot project will be difficult because of the lack of context.

3.3 Conclusion

On the basis of the formative evaluation thus far, the FCG has:

- embarked on a process to address the District Council and DWAF concerns and;
- initiated measures to improve the form and timing of communication between the Project Consultant and stakeholders.

Appendix 1A: **Project Initiation Summary Report (Jan-June 1999)**

1. Broad NaSCO Project Parameters:

- Emphasis on Health and Hygiene Promotion Programme targeting farmdwellers.
- Application made jointly by Farmowner and farmdweller. (R600 max)
- CSS 1994 Western Cape Farmdweller 35,5% (limited survey).
- Current District Council/farmer arrangements to include farmdweller as well.
- Develop local organizational capacity so that Water Services Authority can carry out its function wrt to Farmdwellers.
- Adopt an area-based approach- District councils to play a pivotal role in co-ordinating the programme,
- Programme to be premised by a well-informed assessment of the need.
- District Farm Sanitation Steering Committee (DSC) to be set up to build support, plan , prioritize and co-ordinate.
- Farmdwellers and farmers representatives must play a prominent role in DSC
- DSC team to plan and implement
 - Health and hygiene Promotion
 - On –Farm sanitation programme and farmdweller support
 - Training in latrine construction
- Pilot schemes to be developed to provide working models.
- Farmdwellers lodge applications (countersigned by farmer) within duly constituted structure.
- Funds paid directly to construction agent, DC responsible for quality control.
- Farm schools are eligible for DWAF subsidy- workplace sanitation facilities are not subsidizes.

2. Consultants Brief

Preliminary Brief: Contract 1

- Establish Areas of greatest need for farmdweller programme
- Establish what resources district councils are prepared to commit to this programme
- Develop broad implementation strategy, which focuses on boosting capacity of public sector to promote rural sanitation.
- Focus on farmdwellers
- Where possible Identify previously disadvantaged for opportunities to provide programme support.
- Identify key stakeholders and set up PSC's
- Make proposals for flow of capital subsidy component from DWAF and investigate feasibility of indirect subsidies
- Design and implement Health and Hygiene Promotion Intervention at one site and prepare a detailed business plan.

Consultant's Proposal: Contract 2

(in the absence of a copy of the formal brief for implementation stage)

- Awareness programme incorporating all levels of stakeholders.
- Motivate famdwellers to make informed decisions about own personal health hygiene and sanitation practices.
- Test national policy on sanitation especially access to state funding to private landowners.
- Empower District Councils on crucial issues for a successful programme
- Ensure construction of adequate sanitation facilities at pilot sites.

3. Project Related Specifics (taken from consultants reports)

3.1 Pilot Site Identification:

- EHO's and Western Cape Agricultural Union agreed that EHO's would approach local farmers unions to determine whether farmers would be interested in participating.

3.2 Selection of Project Agents (PA) :

- Project agents from community, facilitation skills and health experience, own transport .
- Mr. McPherson responsible for training and orientation: Content of health and sanitation programme.

3.3 Project Steering Committees

- Responsible for detailed business plan including timeframe , tasks & budget.
- Monitoring and evaluation criteria.
- Content of awareness campaign.
- Time and procedure for regular meetings.

3.4 Phast co-ordinator:

- Train trainers & Prepare Toolkit for use on farms

3.5 Project Co-ordinator:

- Reporting to farmdweller Core Group
- Monitoring PSC's and PA's
- Communication between role players.

3.6 Project Programme:

- Recruitment of Project agents
- Establishment of PSCs
- Training and orientation of PA's
- Strategic Workshop per pilot (based on situational analysis)
- Phast implementation
- Technical workshop
- Groundwater protocol workshop
- Health and Social Awareness Programme
- Capacity Building for Construction Phase
- Demo Toilets
- Construction phase

4. Stakeholder Involvement

A.Lagardien June '99

<i>Level</i>	<i>Stakeholder</i>	<i>Involvement</i>	<i>Issues</i>
Region	DWAF H. Lyons	PSTT, FCG	Promotion, support, subsidies, WSDP's
	Prov CMIP F. Hugo	PSTT	IDP's, funding
	District Council Health Depts	PSTT & FCG	Planning, managing Subsidies, target
	Dept of Agriculture A. Roux	PSTT & FCG	Need to assist farmers?
	Farmer's Union*	-	-
	Farmworkers Association J Abrahams	Isolated PSTT Meeting	-
	Prov Dept of Health	PSTT	-
	Prov Dept of Education	PSTT	-

5. Baseline Information

5.1 March/April Reports

Pilot Project	Stakeholders District	Stakeholders Local	Features	Issues
Murraysburg	F. Macpherson# D. van Rensburg- EHO	K. v der Berg (chair) J. Butterworth L. Retief H. v der Merwe A. Renoster*	Extensive farming 34% communal tap 63% no flush toilet	Plans for toilets Level of subsidy? Farmer contribution “DLV” questions
Matjiesrivier	B. le Roux#- Rural Coun G .Hendricks-EHO	J. Barnard J. Joseph L Fortuin- teacher	Small farmers 61 farmdwellers 1 Toilet 2 primary schools	Need evident Labour offered Water availability?b
Overhex	L. Karriem# - teacher D. du Toit (local FU) A. Van Zyl –DWAF S. Rabie-EHO	W . Naude (chair) J. Naude	Focus on Farm School 50% flush, 50 % VIP's	Toilets & drainage at school?
Klein Drakenstein	A . Pietersen# H. Keyster – EHO	D. Joubert (chair) W. Grobbelaar S . Ferris* T. Adams* Mr. Rust	No specific info Subsidy system	No report?
Piketberg Berg	S. van Huffel# E. Truter- EHO G Esau (VOR)	K. Abner* T. Jason* Mr. Butcher	54 units no flush 4 schools R3600 (X4) subsidy per farm PHAST pilot	Two subsidies?

- Project Leader (PL)

* Farmdweller representative

5.2 Baseline Information : May Report

Pilot Project	Situational analysis	PSC meetings	Programme Features	Issues
F. Macpherson# Murraysburg	Not available	23 Feb* 26 March 7 May*	24 farms have applied for subsidy. Hard soil/groundwater 3 options chosen	-Increase subsidy -Withdrawal - Demos
B. le Roux#- Matjiesrivier	Not available	Not available	Water scarce- VIPs suggested Application process?	- Technology choice?
L. Karriem# Overhex	General info 26 farms/354 families	22 Feb	Planned co-operation with health workers, Phast training for improvement focus Farmers meeting School programme	-Evaluation - Maintaining farmer interest
A . Pietersen# Klein Drakenstein	20 farms infrastructure (98f /23p); population (775) – poor state of maintenance	23 Feb	Many flush toilets Maintenance problem Water quality –yellow	-Demo details
S. van Huffel# Piketberg Berg	9 farms Population (97 families) Infrastucture (58f/13p)	18 Feb	-	-

f- flush toilets, p- pits

*minutes of PSC available in Project report.

5.3 Baseline Information :June Report (No PL reports received from co-ordinator)

Items for July noted

- Toolkit development requires Input from Health department.
- Demo Toilet targets & options
- Geohydrological workshops
- Subsidy confirmation

6. Suggested Discussion Points for Project

1. To what extent is the programme model being developed in the pilot to addressing NaSCO parameters and Stakeholder requirements.
2. What are the key programme elements and output for the pilots for the main stakeholders.
3. On the basis of the reports tabled thusfar, what are the main issues in each pilot against the background of points 1 and 2 above:

Please complete the following table, your input will be appreciated as formative feedback to the PSTT:

Alvin Lagardien August 1999

Farmdweller Sanitation Project - Project initiation and stakeholder involvement Questionnaire

Stakeholder Grouping :.....

1. Key NaSCO parameters (choose 3 main items)	1. 2. 3.
2. Key consultants Brief Elements : (Choose key outputs)	
3. Comment on Project Specifics.	<i>Each District council/PSC/ PA to comment on their respective pilot project. Other stakeholders may comment in general</i>
PSC function & Communication	
Situational analysis	
Health Awareness	
Project Progress	
Project Constraints	
Project opportunities	

Appendix 1B:
Completed Questionnaires: Project Initiation

District Councils	- Hannalie van der Westhuizen
DWAF	- Hester Lyons
NaSCO	- Marie Briesley
Dept of Agriculture	- Andre Roux
Dept of Health	- Danie Louw

WEST COAST DISTRICT COUNCIL

Rig alle korrespondensie aan:
Address all correspondence to:

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19 Augustus 1999

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WES KAAP PLAASARBEIDER SANITASIEPROGRAM

U faksimileë gedateer 4 Augustus 1988 en telefoniese gesprek op 19 Augustus 1999 het betrekking.

Ses van die Distrikraade was teenwoordig en het hul kommentaar mondelings gegee. Die gevoel was dat elke Distrikraad 'n verteenwoordiger stuur na die volgende PSTT en dat daar dan 'n vergadering om 09h00 die oggend is sodat elke Distrikraad self sy probleme deurgee.

(1) KLEIN KAROO

Bewusmaking is te lank.
Probleme met huidige gebied (Gaan gebruik word vir natuurreservaat).

(2) WYNLAND DISTRIKRAAD

Te veel projek-duplisering vind plaas ten opsigte van bewusmaking ensovoorts.

- Stel voor dat projekte 1 forum gebruik

- Raadslede moet betrokke wees;
- Wynland gee al klaar subsidie vir R1 600.00 (R600 van Waterwese reeds ingesluit)

(3) SUID-KAAP

Hy voel dat elke Raad geld moet ontvang en eie projek hanteer.
Daar word te veel gepraat en te min gedoen.

(4) OVERBERG DISTRIKRAAD

Het nie 'n projek nie en kan nie terugvoering gee oor proses.

(5) BREËRIVIER DISTRIKRAAD

Het reeds uit eie fondse die projek gedoen, want dit gaan te stadig. (Direkteur het eintlik gedink geld is klaar ontvang).

(6) SENTRAAL KAROO

Kommentaar aangeheg.

(7) WESKUS DISTRIKRAAD

Is geld (R600.00) nog beskikbaar.
Weet nie of die "health awareness" gedoen word nie.
Die projek loop te stadig. Baie vrae is onbeantwoord.
Swak kommunikasie tussen Publicon en Distrikraad.
Swak kommunikasie tussen Distrikraad en projekteier.
Baie vergaderings en geen vordering.

3/...



+02013675

SENTRALE KAROO

DISTRIKRAAD / DISTRICT COUNCIL

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P1/14

11 Augustus 1999

Mev H van der Westhuizen
Weskus Distrikraad
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MOORREESBURG
7310

Mevrou

DISTRIKRAAD GESONDHEIDSDIREKTEURSVERGADERING : PLAAS- ARBEIDERS SANITASIE PROJEK BY DISTRIKRADE

Hiermee wens ek onder u aandag te bring dat, weens onvoorsiene omstandighede, ek nie 12 en 13 Augustus 1999 se vergadering te Calitzdorp Spa kan bywoon nie. Voorspoed vir julle vergadering en samesprekings.

Wat betref die Plaasarbeiders Sanitasie Projek te Murraysburg in ons Distrikraad Streek, kan ek nie baie kommentaar lewer nie, aangesien ekself nie baie betrokke daarby is nie en die Omgewingsgesondheidsbeampte wat die aangeleentheid hanteer is met verlof en was al met verlof voordat ek die verslag van jou verkry het op 6 Augustus 1999.

Mev Aletta van Sittert het op 4 Augustus 1999 ons Streek besoek, maar ek was nie teenwoordig tydens haar besoek nie en het ook tot op datum geen terugvoering van die samesprekings verkry nie.

Daar is egter 'n paar dinge wat ek wil aanhaal, naamlik :

1. Is daar fondse geallokeer en beskikbaar by Departement van Waterwese vir die Sanitasie Projek?

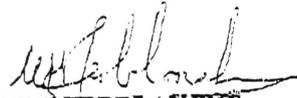
(As daar nie fondse is nie, wat is die doel van al die werksinkels, vergaderings en samesprekings in die Kaap, ander plekke of in ons Streek? Dit kos die Distrikrade geweldig baie geld om die persone betrokke by die projekte, te laat deelneem aan die werksinkels en vergaderings.)

2. Baie boere het alreeds purtoilette en wil dit graag opgradeer na spoeltoilette. Kan die fondse daarvoor aangewend word?
3. Die maandelike R600.00 beskikbaar vir konstruksie, is in baie gevalle te min. Is daar 'n moontlikheid van verhoging in befondsing?

4. Soos uself weet, is in ons Streek nie so 'n groot behoefte nie, maar wel in gebiede soos Natal en Noord-Transvaal. Het ons nie miskien 'n ander behoefte wat aangespreek moet word nie.

Bogenoemde vrae is moontlik al beantwoord en ken julle die antwoorde. Indien wel, ignoreer maar my insette. Indien nie, sal ek en my Raad graag antwoorde daarop wil hê.

Groete


W H TERBLANCHE
DIREKTEUR GESONDHEID

WHTJ/es

Farmdweller Sanitation Project - Project initiation and stakeholder involvement questionnaire
Stakeholder Grouping : ...H.Lyons DWAF.....

<p>1. Key NaSCO parameters (choose 3 main items)</p>	<p>1. Develop local organizational capacity so that WSA can carry out its function 2. DSC to be set up to build support, plan, prioritize and co-ordinate 3. Emphasis on Health and Hygiene promotion programme target farm dwellers</p>
<p>2. Key consultants Brief Elements : (Choose key outputs)</p>	<p>Identify key stakeholders and set up PSC Focus on farm dwellers Establish what resources DC are prepare to commit to this programme As people from the community are used as PA more capacity building is required for awareness programme.</p>
<p>3. Comment on Project Specifics. PSC function & communication</p>	<p>Communications to DWAF Area Managers in connection to PSC meeting not working. Constitution on PSC meetings to be set up (Example how frequent to meet, representatives ect.) Minutes of meetings not available.</p>
<p>Situational analysis</p>	<p>Not enough information available. Need more detail regarding number of farms, toilets, farmworkers, farm owners involved in each area. Maps?</p>
<p>Health Awareness</p>	<p>Need more detail of programme. What is included in programme? What is content of issues addressed by programme? What is results? Is there any evaluation of progress?</p>
<p>Project Progress</p>	<p>Seems on track.</p>
<p>Project Constraints</p>	<p>Clarify ownership of project.</p>

<p><i>Project opportunities</i></p>	<p>Empower farmworkers Provide toilets Develop WC Province Improve health status of farmdwellers Building relationship between all roleplayers for future projects Assist DC in role as WSP</p>
-------------------------------------	--

Farmdweller Sanitation Project - Project initiation and stakeholder involvement questionnaire
Stakeholder Grouping : ... Nawa Busley

<p>1. Key NaSCO parameters (choose 3 main items)</p>	<p>1. Stakeholder participation 2. Willingness of stakeholders (DC) to accept approach and to take ownership of it. 3. Involvement of end users in the whole process to ensure ownership and behavioral adjustments</p>
<p>2. Key consultants Brief Elements : (Choose key outputs)</p>	
<p>3. Comment on Project Specifics.</p>	<p>Each District council to comment on their respective pilot project. Other stakeholders may comment in general</p>
<p>PSC function & communication</p>	
<p>Situational analysis</p>	
<p>Health Awareness</p>	
<p>Project Progress</p>	
<p>Project Constraints</p>	
<p>Project opportunities</p>	

Farmdweller Sanitation Project - Project Initiation and stakeholder involvement questionnaire

Stakeholder Grouping : DEPT OF AGRICULTURE

<p>1. Key NaSCO parameters (choose 3 main items)</p>	<p>1. Farmdweller and farmer representatives must play prominent role in DSC 2. Pilot actions to be developed to provide working models 3. Programme to be premised by a well-informed assessment of the needs</p>
<p>2. Key consultants Brief Elements: (Choose key outputs)</p>	<p>Develop broad implementation strategy, which focuses on diversity & equity of public sector to promote rural sanitation</p>
<p>3. Comment on Project Specifics.</p>	<p>Each District council/PSC/PA to comment on their respective pilot project. Other stakeholders may comment in general</p>
<p>PSC function & communication</p>	<p>I have received little information on the progress/proble projects to comment on this aspects.</p>
<p>Situational analysis</p>	
<p>Health Awareness</p>	
<p>Project Progress</p>	
<p>Project Constraints</p>	
<p>Project opportunities</p>	

PROV ADMIN : WESTERN CAPE PROV ADMIN: WES KAAP	Dept of Health Dept van Gesondheid
METROPOLE REGION PRIVATE BAG X15 PAROW 7500	METROPOOLSTREEK PRIVAATSAK X15 PAROW 7500

VIR AANDAG :
FOR ATTENTION : MR A LAGARDIEN

FAKSNOMMER : TEL NOMMER :
FAX NUMBER : 9596662 TEL NUMBER : 9596666

ONDERWERP :
SUBJECT : FARM DWELLER SAN PROJECT: QUESTIONNAIRE

The following aspects are regarded as important areas to provide the necessary framework for the establishing of the above-mentioned project.

**Farmdweller Sanitation Project – Project initiation and stakeholder involvement
Questionnaire**

1. Key NASCO Parameters	1. DSC team to plan and implement- Health and hygiene Promotion - On Farm sanitation programme and farmdweller support - Training in latrine construction 2. Pilot schemes to be developed to provide working models 3. Adopt an area-based approach- District Councils to play a pivotal role in co-ordinating the programme
2. Key consultants Brief elements	- Design and implement Health & Hygiene Promotion Intervention at one site and prepare a detailed business plan. - Motivate farmdwellers to make informed decisions about own personal health hygiene and sanitation practices. - Ensure construction of adequate sanitation facilities at pilot sites.
3. Comment on Project Specifics.	None

Please accept my sincere apologies for the late response.
Kind Regards.

DATUM :
DATE : 02/09/99 .

VAN : Mr D Louw FROM :	TEL NO / TEL NR : (021) 918-1559 FAKS NO / FAX NR : (021) 949-8153
---------------------------	---

APPENDIX 1C

PROJECT INITIATION WORKSHOP

NARRATIVE: WRC Project Workshop Number 1 – Farmdwellers Sanitation Programme (6th Aug.1999)

The first workshop was conducted with a focus group drawn from the PSTTFarmdweller Core Group, representing a ‘programme managers’ perspective and responses. This group comprised NaSCO (Farmdweller Policy co-ordinator), Project Agent (Publicon), DWAF (PSTT Co-ordinator) and PSTT (Chairperson).

The participants were asked to consider the provincial programme retrospectively (i.e. March to end of June) from a regional point of view. Suggested discussion questions were:

- To what extent is the programme developing in respect of the draft policy ?
- What are the key programme elements, and outputs ?
- What are the main issues ?

Project Initiation: Baseline Information and Stakeholder Involvement

- **Policy - Broad NaSCO Parameters:**

A list of programme guidelines drawn from the draft policy document was presented in the sequence in which they occurred in the original document. The group discussed their meaning, grouped and re-sorted the sequence, and then prioritised the **key parameters** as follows:

1. Emphasis on Health and Hygiene Promotion Programme targeting farmdwellers.
2. Develop local organisational capacity so that Water Services Authority can carry out its function with respect to Farmdwellers. DSC to plan and implement: Health and Hygiene Promotion; On-Farm sanitation programme and farmdweller support; Training in latrine construction. District Farm Sanitation Steering Committee (DSC) to be set up to build, support, plan, prioritize and co-ordinate.
3. Farmdwellers and farmer representatives must play a prominent role in DSC. Current District Council/farmer arrangements to include farmdweller as well.
4. Pilot schemes to be developed as working models.

- **Programme - Consultants Brief :**

A list drawn from the documented Preliminary Brief: Contract 1 and the Consultant’s Proposal: Contract 2 was presented. **Key outputs** in the provincial programme were linked to the draft policy parameters, and identified as follows:

1. Make proposals for flow of capital subsidy component from DWAF and investigate feasibility of indirect subsidies.
2. Design and implement a Health and Hygiene Promotion intervention at one site and prepare a business plan.
3. Establish what resources DCs are prepared to commit to this programme
4. Develop broad implementation strategy, which focuses on boosting capacity of private sector to promote rural sanitation.
5. Establish areas of greatest need for farmdweller programme.
6. Test national policy on sanitation especially access to state funding to private landowners.

After interpretation of the draft policy into the provincial context was examined and matched collectively, the identified programme outputs were further discussed in order to establish **the main issues**. These were identified as:

- DCs' involvement in broad strategy: gap in implementation strategy.
- DC workshop to promote Health and Hygiene approach ("shift from a toilet building exercise to H & H targeting farmdwellers") experienced resistance.
- How are business plans to be developed/awarded if not in the environment: What is meant by "capacity building": When?, and How?
- Policy makers were not accessed: decision-makers, not just line functions of DC.
- DCs need to be closer to PSCs.

- **Project Related Specifics:**

- **Pilot Site Identification:**

- DC did initial survey, co-designed questionnaire for choosing pilot sites with Farmworkers Union – this involvement got lost.
- "Establish areas of greatest need" has been shifted ("can of worms"): Were DCs involved and aware ?

- **Selection of Project Agents:**

- Project Agents are Project Leaders from the community. There was a need to develop local capacity.
- Question of developing local capacity (content of health and sanitation programme): through what level of management?

- **Project Steering Committees:**

- The PSC is replacing the DSC: what is the District level linkage?
- Emerging relationships, for example: Rural Councillor is a chairperson on one PSC.
- Role of Project Leaders in PSC: Do Project Leaders link to the DCs?
- The project level make up and structure has evolved: intention/need to "grow it upwards" has not worked.
- DCs will need extra staff for a project/programme to be possible.

- **Project Programme:**

Key Issues highlighted:

- **PSCs Function and Communication:**

- DWAF role in PSC – communication to DWAF of meetings, etc.
- Framework for reporting: Quantitative table; Qualitative report; Checklist. Minimum of Key Elements.
- Report on flag issues and plug into programme concerns.

- **Health Awareness:**

- Replicability scale scope trade-offs
- Perceive situation, and Respond: WHO? Is the PSC looking and responding or just the PL?
- What is the Health & Hygiene curriculum – in hand, and emerging ? CONTENT. ISSUES. WHAT?
- Water, Sanitation, Hygiene, within one hour. Other issues arise.

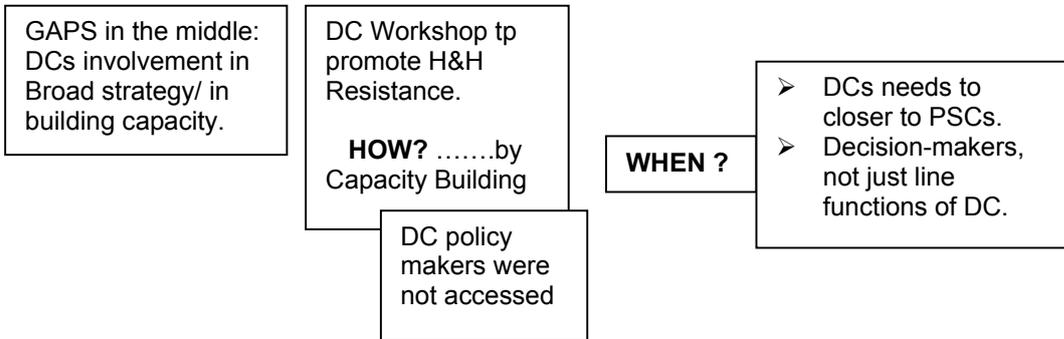
- **Situation Analysis:**

- What do we mean? Are we talking about the same thing? Link to business plan.
- Identification of pilot sites: situation analysis informs choices.
- SCOPE and DEPTH per site/area. What is needed?
- Opportunities to overcome beliefs re: flush toilets are clean.

The Project leaders participation in a validation workshop is essential to the completion of the Formative Assessment of Project Initiation milestone, particularly in respect of Project Specifics.

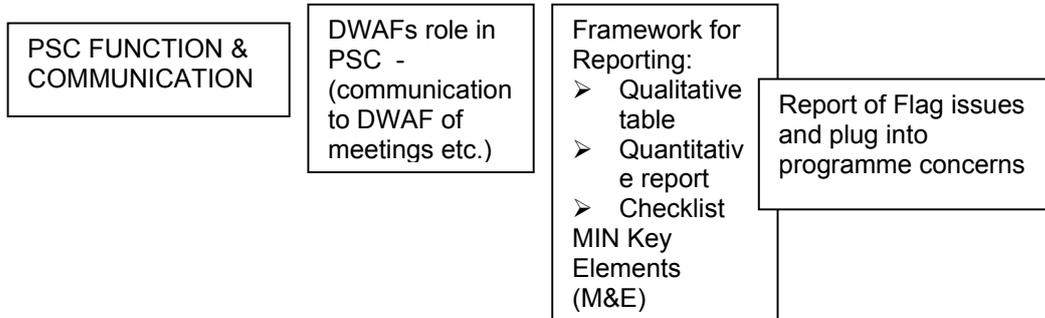
Output Diagram of WRC Project Workshop 1

Consultants Brief:

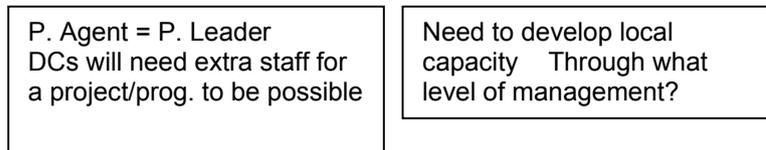


Project Related Specifics:

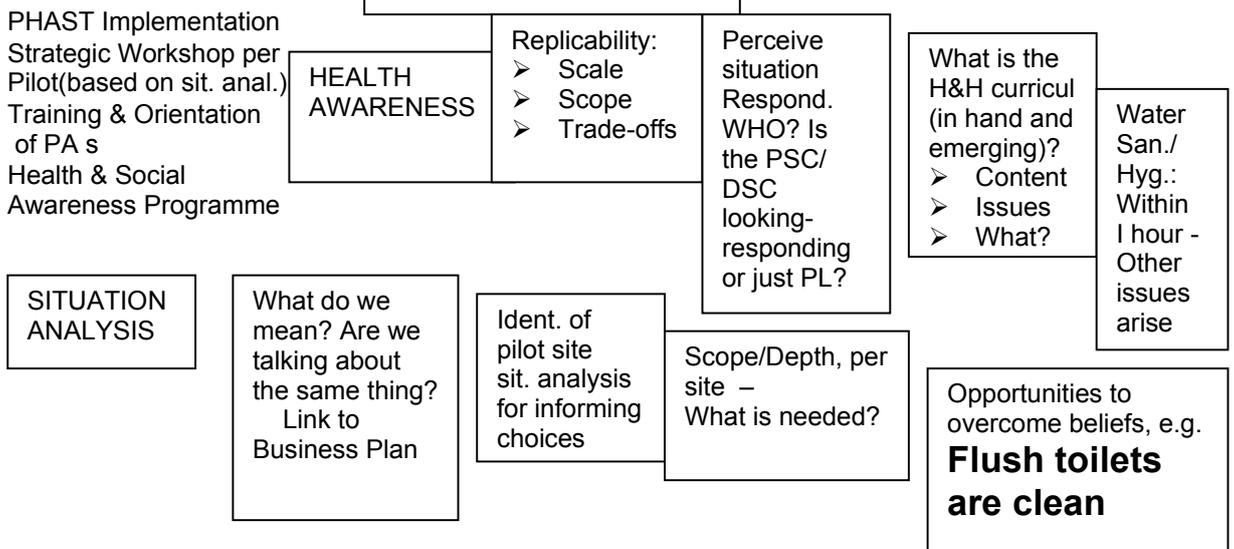
- Establish PSCs

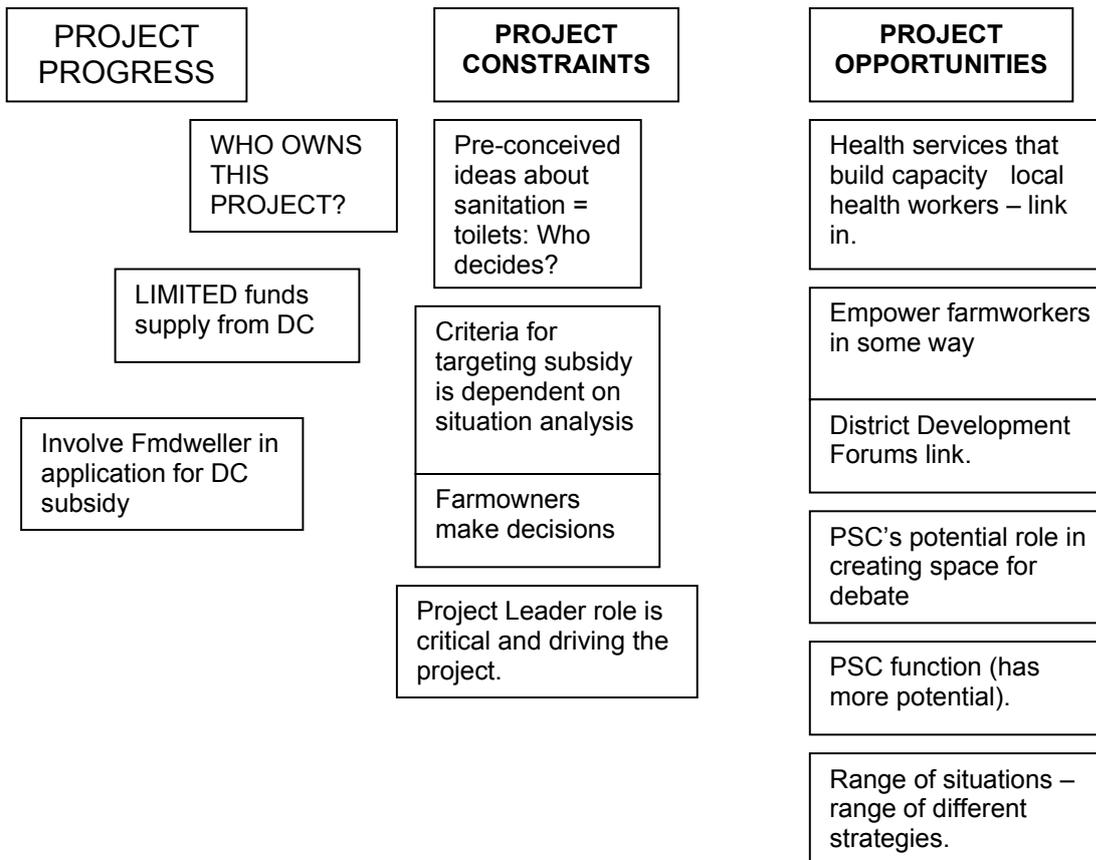


- Recruitment of PA s



- PHAST Implementation
- Strategic Workshop per Pilot(based on sit. anal.)
- Training & Orientation of PA s
- Health & Social Awareness Programme





Note:

Project Leaders review of draft report relating to their level of work will contribute further insight from their perspective.

Appendix 2A:
Health and Hygiene Awareness Summary – May/June

1. Summary Report

Pilot site	Capacity	Resources	Target	Methodology
Murrays-Burg	F. McPherson EHO PHAST Trainer (2 visits)	PHAST tools (2). Health services inaccessible. Greater distance between farms.	10-24 farms. 120 persons.	Group sessions, household visits. Expectations raised by hygiene awareness (toilets). Change to be evaluated. Process and contents of PHAST/ awareness inputs not recorded.
Matjies-Rivier	B. Le Roux Teachers PHAST Trainer (2 visits)	PHAST tools (2). Posters to be made. Health services not involved.	Farm owners. 109 persons (who?). Farmdweller/ workers. School pupils.	School session. Church talk. Group sessions, household visits. Expectations raised by hygiene awareness (toilets). Changes are expected. Process and contents of group sessions not recorded/reported.
Overhex	L. Karriem Clinic sister Teachers PHAST Trainer (2 visits).	PHAST tools (2). Health services accessible - Health talk planned.	Farmers. Farmworkers- 354 families. 6/26 farms- 9 visited. School pupils.	Group sessions, household visits: critique household environment . Farmers/Workers expectations. Change based on observations of P.L. on return visits, farmers feedback, evaluation (2 farms). Water-awareness Campaign. School programme (unspecified).
Klein Drakenstein	A.Pieterse EHO Health Workers PHAST Trainer (on-site training session)	PHAST tools (2). Time constraint for sessions. Local health services. Education materials self-developed.	17 farms. 60 farm- dwellers, (Lanquedoc – 30 hseholds). School	Group sessions, household visits: Health hazards identified, Water/Health information sessions, Other issues arising – health and social are noted. Baseline is contained in the situation analyses of farms – measured change in reference to specified locations possible. School sessions.
Picketberg	B.McPherson- PHAST trainer. S. van Huffel EHO (involvement not clear).	PHAST tools (not specified). Posters. Appropriate PHAST materials to be developed (location specific).	94 farm- dwellers: 7 x group sessions on 3 farms : 6 farms- linked to DC subsidy. School.	Expectations raised by hygiene awareness (toilets). Water-awareness campaign. Process and contents of group sessions not recorded/reported.

2. Local – District linkages

<i>District Pilot site</i>	<i>Issues</i>
Murraysburg	Subsidy focus of PSC/farm owners. EHO actively involved – formal DC Health support not clear. Health services relatively inaccessible. Greater distance between farms. Expectations raised by 'hygiene' awareness (for toilets/subsidies).
Matjiesrivier	Expectations raised by hygiene awareness (for toilet subsidy). Health services not involved. Relatively poorer farmers. PSC role and linkage to EHO/DC Health not evident in P.L. reports.
Overhex	Health services accessed for information dissemination. EHO role unclear – PSC/ D.C. communication linkage not clear. Farmers decide on improving conditions (Water supply, Toilets) – are District health role-players involved in on-farm pilot? Relatively well-resourced farmers – greater affordability for high level service.
KleinDrakenstein	Scope of pilot project unclear. Health Workers are accessed – formal linkage unclear (Dept.Health). Time constraint for sessions identified and expressed early in project reports – implications for district implementation. Other issues arising – health and social – access to linkages with other programmes requested. Tracking of process and progress appears to be feasible, but not yet adequately captured or organised for communication to DC Health.
Picketberg	EHO involvement not clear – D.C. link not clear. Appropriate PHAST materials called for early in project reports - to be developed (district specific). Expectations raised by hygiene awareness (toilets) – link to DC subsidy policy (re)formulation for farm dwellers not evident on DC level. Group session process and contents not reported – gap in DC capacity-building on approach to servicing farm dwellers.

Health and Hygiene Awareness

By

D. COUSINS AND A. LAGARDIEN

Community Projects Office
Peninsula Technikon
Bellville

Report to the Water Research Commission on the Project

EVALUATION OF THE WESTERN CAPE FARMDWELLER SANITATION PILOT
PROGRAMME

Project Leader : A. LAGARDIEN

WRC Report No KV132/2/01

October 2001

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The publication of this report emanates from a project entitled: EVALUATION OF THE WESTERN CAPE FARMDWELLER SANITATION PILOT PROGRAMME – WRC K8/354.

Three reports associated with the above project are:

1. Improving sanitation on farms: Lessons from the Farmdweller Sanitation Pilot programme and the Emerging Western Cape Model (KV)
2. Formative Assessment of Project Initiation (KV) **Available on request**
3. Health and Hygiene Awareness (KV) **Available on request**
4. Formative Assessment of Subsidies, Technology Options and Choice (KV) **Available on request**

Disclaimer

This report has been reviewed by the Water Research Commission (WRC) and approved for publication. Approval does not signify that the contents necessarily reflect the views and policies of the WRC, nor does mention of trade names or commercial products constitute endorsement or recommendation for use.

**WRC Project – Evaluation of Western Cape Farmdweller
Sanitation
Pilot Programme.
Health and Hygiene Awareness.**

Introduction

The extent to which farmdweller sanitation policy guidelines are translated into a pilot programme is ultimately located in project implementation on the ground. The emphasis that is placed on Health & Hygiene Awareness to achieve the goals of sanitation policy suggests that the capacity of stakeholders to develop a strategy which can be effectively implemented is addressed in developing pilot project models.

The research team's review of the Farmdweller Sanitation Pilot Programme has required definition of the Health & Hygiene Awareness programme and its implementation in the pilot project. Definition of what constitutes Health & Hygiene Awareness has been required to enable communication across levels of stakeholders for the purpose of their participation in validation.

While the formative approach to evaluation has continued, this project milestone review has been dominated by the validation of local level information.

Progress Report

The evaluation of this phase consisted of a desktop study, field visits, a project leaders workshop and interviews with District Council health officials.

Establishing the strategy, scope and target of the Health & Hygiene Awareness programme formed a significant part of the research team's task during this phase of inquiry. The validation of local level information has preceded the process of validating the research team's review of this milestone at district and regional levels.

3. Desktop Study

Summary reports on project information and Health & Hygiene Awareness specific aspects were compiled, and a questionnaire was prepared to facilitate project specific input.

1.1 Project Documentation

The research team studied project reports from February to September 1999. Project documentation reviewed by the research team comprised:

- Draft Policy Guidelines (DWAF, April 1998)
- WRC Project Workshop Number 1 Report
- Project Co-ordinator's summary reports
- Individual District Monthly Reports

The WRC Project Workshop 1 report provided information relevant to the Health & Hygiene Awareness programme that has been validated by stakeholders. Initially project reports available to the research team were in the form of narrative summaries compiled by the Project Agent. The need for more detailed information led the research team to request, through the Farmdweller Core Group, for individual District Monthly Reports on activities within each district. The Project Leaders¹ reports on individual district sites for the period February to August were subsequently provided to the research team by the project agent, followed by reports for September.

A summary of information for July, August and September 1999 is compiled (Appendix 1A) under the following headings:

- Progress
- PSC meetings
- Features
- Issues

3.2 Questionnaire

The previous Project Initiation questionnaire had not been distributed to Projects Leaders as requested by the research team. A similar format was therefore maintained, with minor adjustments to facilitate input on project specifics.

The questionnaire allowed for linkages of Health & Hygiene Awareness to the project milestone of subsidy and technology options. Project Leaders were requested to review reported information and provide input for the period ending September, on the following project specific aspects:

- Coverage: farms/ No of people
- PSC Function: Members/ No of meetings/ Decisions made
- Situation Analysis: Worst Case/ Best Case
- Subsidies: Details/ Applications/ Criteria and conditions
- Technology Options
- Project Progress: Constraints/ Opportunities

¹ There are five Project Leaders (facilitators) who are based in each district site and managed by the appointed project agent. Each Project Leader is responsible for conducting a Health & Hygiene Awareness programme within one pilot site, consisting of a group of farms in one area within the district.

The completed Project Leader questionnaires are collated in Appendix 1C with summaries of the responses in Appendices 1C and 1D.

4. Field Visits

In a Farmdweller Core Group Meeting (date?), an agreement was obtained for WRC Field Visits to each of the district pilot sites. Initial arrangements were postponed due to evaluative site visits being conducted by the Project Co-ordinator during the agreed week. A meeting was convened to confirm an itinerary and Field Visits were subsequently arranged by the Project Co-ordinator's assistant in consultation with Project Leaders. The Project Co-ordinator's assistant accompanied the research team on two of the four field visits, which were led by the Project Leaders.

Open-ended interviews were conducted with Project Leaders while visiting farms and farmdweller households selected by them. For observation purposes the research team had requested to visit a sample of farmdweller situations comprising a range of different conditions, chosen by the Project Leader at their own discretion. One to three farms were visited in four of the five district sites. Arrangements to visit the fifth district pilot site have been twice postponed due to unavailability of the Project Leader.

A summary of the data gathered and the issues that emerged from field visits are included in Appendix 2.

3. Project Leaders Workshop and District Council Interviews

3.1 Project Leaders Workshop

In consultation with the Project Co-ordinator, a Project Leaders Workshop was arranged for 30th September. The workshop was attended by all Project Leaders and observed by the Project Co-ordinator's assistant.

The workshop facilitated the validation of local level information obtained from project reports and field visits, and included a probing exercise for both generating and cross-checking detailed descriptions of Health & Hygiene Awareness practices. Project Leaders provided information on their self-selected "Worst Case " Situations, improvements and the sequence of activities. Output drawn from this exercise is set out in Appendices 3A to 3D.

The Project Leader Questionnaire framework was used for probing input on project specifics, probing for baseline information and PSC functions. A summary of Project Leader input from this workshop is contained in Appendices 1C and 1D.

The Project Leader Questionnaire was distributed at the end of the workshop's group processes for their individual input.

3.2 District Council Interviews

District health officials were invited to engage with the local level information on Health & Hygiene Awareness in respect of capacity, programme and practical implementation. While a district level validation workshop had been planned, and a Health & Hygiene questionnaire prepared to facilitate input, most of the invited officials apologised, with just two of the five district sites represented by health officials. This led to an adjustment of the research team's plan. The WRC Report No 1 and summarised Health & Hygiene review material was presented. This was followed by an open-ended interview.

A transcript of this district level input is provided in Appendix 4.

4. Health & Hygiene Awareness Report:

4.1 Capacity

The Farmdweller Core Group (FCG), a sub-committee of the Provincial Sanitation Task Team (PSTT) convenes regularly to advise and steer the pilot project. The FCG is constituted to link the pilot project to the existing and potential capacity of regional and district level role-players in health, sanitation and organised agriculture.

In the validation of *Broad NaSCO Project Parameters* (WRC Workshop 1) a District Farm Sanitation Steering Committee (DSC) had been proposed as a forum for engaging District level stakeholders to "build, support, plan, prioritize and co-ordinate". The review confirmed that the steering function was envisaged for the purpose of ensuring stakeholder involvement in developing the pilot project.

In the process of validating the WRC Project Initiation Report in terms of key programme outputs, the project co-ordinator explained that a Project Steering Committee (PSC) was set up in each district site to for the purpose of capacity building. In respect of project specifics, the project co-ordinator explained that selection and management of "Project Leaders from the community", rather than project agents, was initiated by the project co-ordinator to "develop local capacity."

Regional level:

- There is no evidence of regional stakeholders facilitating linkages to regional programmes of provincial departments of Water Affairs & Forestry, Health,

Environmental Health or Agriculture. By late August, the DWAF representative's input on Health & Hygiene Awareness was: "I don't know what is happening".

- Communication gaps between role-players have recurrently been identified by the FCG (15 June 1999). The WRC review finds that this trend continues in respect of Health & Hygiene Awareness. While the formative evaluation input to the FCG contributed to a project Management Team being set up to meet regularly, regional stakeholders have not engaged in developing the pilot programme's conceptualisation or strategy of health, hygiene and sanitation awareness beyond the supply of rural subsidies.
- Regional level input indicates a lack of any regional programmes targeting farm dwellers, which appears to have precluded any regional level involvement in Health & Hygiene Awareness.

Potential linkages with existing or potential resources and opportunities on a regional level (for example, DWAF's ISD programme, Dept. Health's Community Health Worker initiative), have not been pursued in order to involve regional level capacities in the pilot project. A lack of identification of existing and potential regional programmes and initiatives has discounted the capacity of the Health & Hygiene Awareness programme to engage the long-term interests of regional departments of Water Affairs & Forestry, Health, Environmental Health, Agriculture and Education.

District level:

- The district sites comprise of pilot areas within five districts. PSCs are constituted largely by farm owner participants in the pilot areas. A district Environmental Health Officer and an appointed Project Leader are the most active members in each of the local PSCs. The PSC role and functions, as reflected in reports of meetings and decisions, does not appear to influence or impact on district Health & Hygiene Awareness approaches. Project leader capacity, and their reports on progress, is relied upon. An example from one site is an early PSC decision to utilise, remunerate and train on-farm Health Workers to conduct Health & Hygiene Awareness², which was not carried out, but is being put forward by PLs as a post-pilot project recommendation.
- Individual Environmental Health officials (EHOs) who have engaged with the pilot project delineate their capacity as confined to monitoring standards of infrastructure and linking farm owners to DC subsidy policies and resources. Their capacity to represent or influence District Councils remains questionable.

² Minutes of the Klein Drakenstein Sanitation Pilot Project PSC meeting held on 10th March 1999 (4th meeting).

- In the validation process of the WRC Project Initiation Report (6th Aug.) stakeholders agreed that there was a lack of “DCs (District Councils) involvement in broad strategy”. A “DC workshop to promote Health & Hygiene approach” reportedly “experienced resistance”. While questions were posed about alternative “capacity building - When? And How?” approaches, the proposal that, “DCs need to be closer to PSCs”, does not address the lack of capacity of the PSCs to influence pilot project models of Health & Hygiene Awareness.
- The district level approach to sanitation improvement continues to be limited to subsidies and monitoring of sanitation infrastructure. While individual EHOs are receptive to the concept of Health & Hygiene Awareness, and express support for awareness to be integrated with sanitation improvement initiatives, this is perceived as beyond the capacity of the district departments of Environmental Health and Health Services. There is no documented evidence of a pilot project strategy to address perceptions and issues concerning capacity. The capacity to forge linkages on a district level relies on Project Leader progress reports to individual EHOs and pilot area PSCs.

A ‘DSC’ (a district level steering body) role and function has not been fulfilled by the end of September. The PSCs’ limited role and decision-making function indicates that it is unlikely to resolve the issue of District Council awareness or ownership of the pilot experience. District Councils and existing district health initiatives have not been linked in a capacity-related strategy to the pilot project’s conception of Health & Hygiene Awareness.

Local level:

- The dependence of farm dwellers on farm owners for sanitation improvement has been stressed as an insurmountable barrier to farm dweller capacity to initiate improvements. One influential factor is the persistent project reporting that improved sanitation is dependent on farm owner provision of toilets or higher levels of service. However, during the limited field visits the observations by the research team of farm dweller resourcefulness did not confirm this perception. In two sites there was clear evidence of good quality pit latrines built by farm dwellers without assistance from farm owners, while there were three clear cases of provision-reliant systems that were unhygienic and faulty. Baseline information of local realities might have been utilised as hard evidence to shift entrenched perceptions regarding capacities.
- As local institutional and organisational issues have not been conceived as part of health, hygiene and sanitation awareness, the local level capacity to engage in these issues has not been explored. In one pilot site a PL had conducted a session in which farmworkers and farmers communicated their expectations of each other, which indicates that this type of initiative could perhaps have been encouraged in developing the pilot project as a model. In

local contexts where farmer support for developing the capacity of farm dwellers for self-improvement, operation and maintenance was reportedly in place, no links to on-farm farm dweller forums or organisational initiatives have been developed.

- Training and follow up support in the recommended PHAST methodology was minimal. While a shortfall of training and a lack of appropriate materials were identified as a constraint by PLs in April reports, this has not been addressed by the end of September. With minimal training support, and inadequate time to conduct participatory health, hygiene and sanitation awareness directly with farm dwellers, the capacity of the PLs. to adopt a PHAST approach is reduced to a very limited health and hygiene information transfer. As locally appropriate materials are core to the PHAST methodology, the failure to provide for the necessary artwork and production of materials obviously impacts on the capacity of PLs to conduct PHAST exercises.
- Opportunities for increased and potentially sustainable capacity that have been identified on a local level, but not yet exploited as part of the pilot project, are potential linkages to existing initiatives regarding health. These include NGO Rural Women's organisation on farms and on-farm Health Workers supported by district Health Services.

Judging capacity on a local level is directly related to the context created by programmatic decisions and the provision of support. The capacity of Health & Hygiene Awareness to influence social conditions, particularly that of farm dweller dependence on farm owners for improved sanitation has not been pursued.

The local level capacity to approach Health & Hygiene Awareness as a participatory (or PHAST) strategy is limited by local acceptance of pre-conditions within the pilot project design. The PSC, Project Leader and farm dweller capacity to respond to locally specific conditions, and to plan and conduct Health & Hygiene Awareness accordingly has been very limited.

4.2 Programme

The narrative of policy guidelines and programme documentation provided to the PSTT and the project agent state that health, hygiene and sanitation must target farm dwellers. To quote from draft policy guidelines: "One strategic implication is that if the programme targets the end-user – which it must, to be effective – the emphasis must lie with a programme of health and hygiene promotion designed to achieve lasting behaviour changes." (DWAF, April 1998). Key parameters that were validated in WRC Project Workshop No. 1 placed priority on the expectation that there would be: "Emphasis on Health & Hygiene Promotion Programme targeting farm dwellers".

Regional level:

- An issue of interpretation of Health & Hygiene Awareness (or promotion) and consequent adjustments to the programme brief has emerged in programme decision-making. The difficulty of engaging District Councils and targeting farm dwellers appears to have justified a programme which preferences the motivation of farm owners to participate in order to gain access to a subsidy for latrine building. This constitutes a shift in the purpose of the programme, as it avoids policy-driven undertakings to challenge traditional beliefs, roles and procedures in gaining access to regional resources.
- Western Cape: DWAF's role in programme development and management has been minimal. Despite its vested authority as a primary recipient of progress reporting the DWAF representative has been unable to gain access to sufficient information to make comments on the Health & Hygiene Awareness programme.
- Health & Hygiene awareness and emergent issues are conceived of as programmatically independent of technology issues, both in respect of existing and potential approaches. The conception of a distinct "Phase A" (Health & Hygiene Awareness) and "Phase B" (subsidy and technology delivery) is recurrent in programme and project co-ordinator reporting, despite repeated emphasis on an integrated approach in policy guidelines and the consultants brief.

The programmatic separation of Health & Hygiene Awareness from technical aspects of sanitation in the pilot project appears to be acceptable to regional stakeholders in that the consultant has maintained this orientation despite FCG contentions and advice against such an approach. The purpose of the project, that of targeting farm dwellers or "end-users.....to achieve lasting behaviour changes" has been effectively replaced by a primary target of farm owners to access regional resources for latrine building.

Regional level stakeholders have continued to invest in a thinly spread Health & Hygiene Awareness programme based on a subsidy motivation to farm owners, which constitutes a radical shift from improving sanitation by means of health and hygiene motivation to farm dwellers . The implication is that there is no policy-led development of a working model, which is different from traditional approaches.

District level:

- Whereas the validated policy parameters required a "DSC to plan and implement: Health & Hygiene Promotion", the programme does not involve the PSC (which has replaced the DSC) in contributing to health and hygiene awareness, other than by receiving reports of progress from the PL periodically.

- Environmental Health officials and officers conceive of the pilot project's Health & Hygiene Awareness programme as an independent and separate programme, distinct from ongoing district council approaches to health, hygiene and sanitation. It is unlikely that District Council conceptions differ as the EHO functions as the key link to the programme and reports on project progress.
- In the Project Agent's summary programme reports, the narrative of Health & Hygiene Awareness progress clearly contrasts with more concrete output revolving around farm owner expectations of delivery of subsidies and demand for flush toilets as sanitation improvement.

The interpretation of the Health & Hygiene Awareness programme by district role players has gained acceptance as a short-term benefit. As a separate project add-on to existing programmes, Health & Hygiene Awareness has not influenced or impacted on traditional approaches. Engaging district level stakeholders in interacting with and contributing to programme formation has been neglected, resulting in increasing distance from responsibility for an effective programme.

Local level:

- It has emerged in the review that a programme goal is to achieve a pre-determined coverage, with the result that Health & Hygiene Awareness consists of thinly spread contact with farm dwellers. The programme dictates the spread of a limited number of person-hours over farms with a large number of farm dweller households. Expectations that "lasting behaviour change" will be achieved are unrealistic given the limitations and constraints imposed by the pilot project's programme design.
- While PHAST³ is put forward as a descriptor of programme methodology, the Health & Hygiene Awareness programme defines outputs prior to engagement. The programme has not been calculated in terms of the feasibility of engaging participants with education methods such as PHAST. The programmatic adaptation pre-determines the scope and limits the content of an awareness programme, which restricts the potential participation of farm dwellers in defining health, hygiene and sanitation improvements.
- Project reporting shows evidence that the Project Leaders, EHOs and the PSCs conception of Health & Hygiene Awareness is as a separate phase (Phase A) from technical sanitation improvements (Phase B). This approach has impacted on the potential to engage local level role-players, such as

³ The PHAST methodology consists of active participant investigation of local conditions, creative exploration of options and their feasibility, informational input *as needed*, decision-making by participants and subsequent responsibility for organising and maintenance of improvements. An incremental sequence which is responsive to local specifics is inherent in the PHAST methodology.

farmdwellers and on-farm Health Workers, in influencing the course of the pilot project. Their longer-term involvement in farmdweller sanitation improvement *by means of* Health & Hygiene Awareness is thus jeopardised by the pre-conceptions of the programme.

- A located aspect defined in the programme is to “Design and implement a Health & Hygiene Promotion intervention at one site and prepare a business plan.” The selected site has failed to differentiate from the general programme definition that is applied across sites.

The Health & Hygiene Awareness programme has adapted to fit into pre-determined programmatic conditions of achieving coverage. This approach demands a spread of contact which has diminished the opportunity for engaging participants in developing a longer term programme based on acceptance of responsibility for improving their health, hygiene and sanitation. If achieving coverage is to dominate models of Health & Hygiene Awareness programmes, then the goal and design is in contradiction with “ a programme of health and hygiene promotion designed to achieve lasting behaviour changes.”

6.3 Implementation

The extent to which conventional approaches to sanitation are influenced is dependent on stakeholders’ understanding of what Health & Hygiene Awareness means in practice. The narrative summaries of project reporting have not adequately revealed the content and procedures of implementation which has severely constrained communication. Change in traditional attitudes and approaches to sanitation improvement cannot be facilitated if Health and Hygiene Awareness implementation is invisible to stakeholders.

Policy guidelines are explicit in motivating the integration of Health & Hygiene Awareness in the farmdweller sanitation intervention, stating that:

“Without building farmdwellers’ awareness of the links between better health, safe waste disposal and good hygiene practices, they have few incentives to change their behaviour.”(DWAF April 1998).

Regional level:

- Regional stakeholders stated that they had no involvement in the implementation of Health & Hygiene Awareness in the pilot project.

Opportunities provided by the pilot project have included the development of criteria for gaining access to the current subsidy in line with policy. The implementation of Health & Hygiene Awareness has not been utilised by DWAF to influence local authorities despite the commitment of provincial resources.

District level:

- The direct link between hygiene and sanitation is in line with the understanding of EHOs and the District Council departments of health. While receptive to the idea of the PHAST approach, emphasis on the active participation of farmdweller “end-users” in transforming their sanitation conditions is perceived as beyond the scope of their mandate and capacity.
- The District Council’s role and function in relation to the pilot project, conceived as a “separate formal project”, has been to liaise with farm owners and receive reports from Project Leaders (PLs).
- An ongoing role of EHOs in promoting health and hygiene is described as responding to identified environmental health problems on farms by linking farmers to “informal” district clinic-based health services. This health extension service is viewed by EHOs as having “no target”, unlike the “formal” DWAF-owned pilot project. The Health & Hygiene Awareness implemented by Project Leaders is seen as a separate project dependent on external funding. One of the opportunities that has been lost as a result is linkage to ongoing support of on-farm Health Workers by District Health services.

As farm owners continue to be seen as responsible for the provision of farmdweller sanitation improvements, support from District Council will continue to target farm owners. The pilot project has not made an impact on this perception nor demonstrated alternative strategies on a district level.

Local Level:

- To gain access to farmdwellers, farm owners were initially motivated to buy into the project by presentations which raised awareness of a subsidy benefit to farmdweller participation in Health & Hygiene Awareness. When Project Leaders were appointed (March) they initially contacted farmer-owners to arrange site visits. Active farmdweller engagement in Health & Hygiene Awareness began in May. Implications are that farmdweller targeting needs to account for an extensive period of repeated liaison with farm-owners.
- While site-specific conditions of health, hygiene and sanitation were assessed by Project Leaders, there is no record of farmdwellers being actively involved in assessment and analysis of problems and exploring opportunities. Minimising the involvement of learners in making decisions about improvement options is not conducive to “lasting behaviour changes”.
- Local conditions do not appear to have informed the content and activities of Health & Hygiene Awareness implementation. A lack of recorded baseline information undermines the measurement of impact, so that judging improvement has relied entirely on Project Leader observations. A severe shortcoming of this approach is that it does not engage farmdwellers.

- As the PHAST approach is reduced to three pre-selected “tools” used in a once-off group session for a maximum of two hours, there is no evidence of participatory methodology. As the evaluation of comparative methods consisted of comparing the effective transfer of information, based on what information learners remembered best, it may be deduced that the aim of Health & Hygiene Awareness is to inform learners.
- Individual Project Leaders did request local extension from clinics (associated with district health programmes) to make once-off informational inputs and to provide poster/pamphlet material, on topics such as worm infestation and TB management. These materials were shared between Project Leaders in operating in different district sites. Requests to the project agent to provide for appropriate material development were not addressed.

In each pilot site the appointed PLs are the sole Health & Hygiene Awareness facilitators. They have all experienced and reported constraints in relation to what they are expected to achieve. According to PLs minimal impact on existing conditions, attitudes and behaviours has been possible. The shortcutting of a learner-centred methodological sequence into a once-off group session is an adaptation to constraints which preclude the involvement of learners in making decisions about sustainable sanitation improvements. Engaging farmdwellers in developing and applying appropriate indicators themselves would be preferable to reliance on inspections by external agents (such as the PL, farm owner or an EHO) as has been suggested by the model developed.

Conclusion

Contradictions between what policy guidelines are saying and what the project agent is doing are emerging.

- Minimal input on Health & Hygiene Awareness was available from regional and district level stakeholders who claimed not to be practically involved nor sufficiently aware of project implementation to be able to comment. The distance of decision-makers and stakeholders (on all levels) from the site of practice reduces capacity and impacts on the ability of health and hygiene educators to work effectively. A pilot project opportunity to engage regional, district and local health service providers in direct experience of an educational approach to sanitation improvement has been neglected.
- The experience, knowledge and skills of appointed project management and field-level project agents should match with the requirements suggested by policy goals, in particular for the challenging social, institutional and educational aspirations emphasised by farmdweller sanitation policy guidelines.
- PHAST has not been tested in this pilot project. If feedback from Project Leaders had been addressed in April or May there might have been an

opportunity to field test a limited application of this recommended methodology. The ability of a programme to respond to local realities and remain in accordance with project goals may rest in the ability of programme managers to facilitate an effective communication flow between levels of role-players.

Appendix 1A– Monthly Summaries July to September

July

Pilot Project	Progress	PSC Meetings	Features	Issues
F. Macpherson# Murraysburg	Technical options and role of DC in delivery discussed.	14/07	Farmers interested in subsidy Role of DC being developed	Concern over progress. Demos considered impractical
B. le Roux#- Matjiesrivier	Awareness continues- uncertainty over impact of proposed reserve in the area	13/07	Exclusion from DC funding –reserve proclamation Unhygienic school facility	- Concern over slow progress towards hardware delivery
L. Karriem# Overhex	Situation analysis document being prepared. Cleaner yards and basic hygiene improvement noticeable.	?	Individual visits continuing	?
A . Pietersen# Klein Drakenstein	Package for H&H program developed	?	Alcohol abuse	-hardware delivery contract issues to be discussed
S. van Huffel# Piketberg Berg	Discussions with EHO Guidelines for evaluation to be developed. Certificates to be issued as part of monitoring improvement	1/07	Interest in continued H&H by farmers	Tapping into existing health worker network on farms

August

Pilot Project	Progress	PSC Meetings	Features	Issues
F. Macpherson#	Technology options chosen	4/08	Role of District Agricultural	Application process and

Murraysburg	VIP's: Demo sites: Grootplaas and Toorfontein Role of farmer as service provider confirmed in PSC Groundwater protocol complete	27/08	Union and Rural Council in future of the project being discussed	maintenance undertakings Impact of H&H programme not clear
B. le Roux#- Matjiesrivier	One to one H&H visits	3/08	Local structures not utilized District council not linked into project	Training and role of project leader
L. Karriem# Overhex	11 farms visited 2 Farms identified for demos	?	"Agreements" brokered between farmer & workers on expectations	-Hardware delivery process
A. Pietersen# Klein Drakenstein	H&H continues Primary school visit	3/08 5/08	?	-Future of Sanitation committee and contracts - Need for demos questioned
S. van Huffel# Piketberg Berg	2 farms visited Issue of certificates to households	?	Too many "awareness" programmes Comparison of impact of visual and oral presentations Communal "pits" in disrepair	-EHO assistance in compilation of plans

September

Pilot Project	Progress	PCC Meetings	Features	Issues
F. Macpherson# Murraysburg	8 farms visited Loan of posters obtained from clinics	?	-Water Conservation considered important	-Design of subsidy application form

B. le Roux#- Matjiesrivier	Schools session Geohydrologist visit		-Lack of interest in Geohydrologist visit - Rainwater harvesting	-District Council lack of participation - Access to water supply a problem
L. Karriem# Overhex	13 farms visited – visual inspection and interview	?	Quote R3000 / toilet too expensive	-poor water quality and water access problem on certain farms - Soakaways not functioning - Health worker network suggested
A. Pietersen# Klein Drakenstein	5 farms visited , 9 sessions conducted Geohydrologist visit to 3 farms Health workers issued with certificates	?		- sustainability of health programme beyond pilot - Farmer questionnaires and survey
S. van Huffel# Piketberg Berg	WRC project site visit	6/09		- Identify healthworker network

Appendix 1B: Health & Hygiene Awareness Summary - Local Level Implementation Summary

(Drawn from Project Reports, Field Visits and PL Workshop)

1. How are farmdwellers targeted for Health & Hygiene Awareness?
 - In all district pilot areas PLs aim to cover all farmdwellings on all farms as per list received by them.
 - In some cases the PLs verified that the relevant District Council drew up a list of farms, while in others the PL ascribed the source of the list to Publicon.
 - The number of target farms has in some cases been adjusted, as negotiated by the PL with Publicon.
 - According to PL reports, the PSC has not made decisions about targeting or content of H&H Awareness strategies.
 - In all cases Farm-owners have been engaged by the PL to improve environmental hygiene conditions.
2. How is the District EHO linked to P.L. strategy for Farmdweller H&H Awareness?
 - EHOs have not been involved in facilitating hygiene awareness of farmdwellers.
 - The role of EHOs is linked to the farm owner, monitoring standards in environment/infrastructure.
 - In 2 sites the EHOs have been more active members of PSC, largely in relation to DC policy.
3. Are farmdwellers actively involved in informing the contents (and curriculum) of H & H Awareness?
 - *Initial visits are conducted by PL observation of problems with household members. In some cases these are recorded by PLs (not been reported formally, but contained in 1 case in the 'situation analysis').*
 - *PLs have experienced time constraints in working actively in specific farmdweller h/h environments.*
 - *In some cases the group session with farmdwellers have been conducted with reference to the farmdwelling environment. Lack of time availability of farmdwellers has been experienced as a constraint.*
 - *2–3 PHAST 'tools' are utilised during the group session: 3-Pile Sorting (Behaviors); Contamination Routes & Barriers; Story with a Gap (good and bad situations).*
 - *As a result of feedback from farmdweller-learners, the PHAST Trainer and some PLs have called for farmdweller-appropriate materials to be developed. This has not been done to date.*
 - *PLs have identified needs for health information (e.g. Worms, TB) and accessed education materials/information/talks from District Health resources.*
4. How are changes due to H&H intervention assessed or measured?
 - After a group session has been conducted, an evaluation visit is conducted by PLs, in which their observations inform an evaluation of the impact of H & H Awareness strategy.
 - Publicon has conducted an evaluation field visit, which included interviews with sample household members. A narrative report has thus far been submitted.
5. Who will sustain hygiene improvements in farmdweller households?
 - In all cases the inspection of farmdweller environments by farmer owner is viewed as important.
 - Farmowner is viewed as responsible for improving environment and providing resources.
 - In 1 case the Farm owners and Farmdwellers were engaged in identifying their expectations of each other.

Appendix 1B (contd.): Health & Hygiene Awareness Summary:

Local Level: Capacity, Resources, and Implementation

<i>Pilot site</i>	<i>Capacity: a) learners b) educators</i>	<i>Materials</i>	<i>Methodology</i>	<i>Features</i>
Murrays-Burg	a) 10-24 farms. 120 farmdwellers. b) F. McPherson (P.L.) PHAST Trainer (2 visits)	<i>PHAST tools (3):</i> <ul style="list-style-type: none"> • 3 Pile sorting • Contamination Routes • Story with a gap <i>Health information and Posters (clinic)</i>	<i>1x Group session with each household. 2x household visits: assessment, evaluation.</i> Process and outcome of PHAST/ awareness inputs not reported.	Health services inaccessible. Greater distance between farms. Expectations for toilets have been raised by hygiene awareness
Matjies-Rivier	a) <i>Farm owners.</i> 109 <i>Farmdwellers.</i> School pupils. b) B. Le Roux (P.L.) PHAST Trainer (2 visits)	<i>PHAST tools (2):</i> <ul style="list-style-type: none"> • 3 Pile sorting • Contamination Routes 	<i>1x Group session with each household. 2x household visits: assessment, evaluation.</i> School session. Church talk. Process and outcome of group sessions not recorded/reported.	Posters to be made. Health services not involved Expectations for toilets raised by hygiene awareness.
Overhex	a) <i>Farmers-26 farms</i> 354 <i>families.</i> School pupils. b) L. Karriem (P.L./teacher) Clinic sister PHAST Trainer (2 visits).	<i>PHAST tools (3):</i> <ul style="list-style-type: none"> • 3 Pile sorting • Contamination Routes • Story with a gap <i>Health talks.</i>	<i>1x Group session with each household. 2x household visits: assessment (critique household environment), evaluation of changes (based on observations of P.L. on return visits, farmer's feedback).</i> Water-awareness Campaign. School programme (unspecified).	PL: teacher at local school – links/network. <i>Health services accessible Farmers/Workers expectations of each other.</i>
Klein Drakenstein	a) 17 farms. 60 <i>farmdwellers,</i> (<i>Lanquedoc-30 h/h.</i>) School b) A.Pieterse (PL) Health Workers (on farm) PHAST Trainer (on-site training session x 60 learners)	<i>PHAST tools (2):</i> <ul style="list-style-type: none"> • 3 Pile sorting • Contamination Routes <i>Health services. Education materials self-developed.</i>	<i>1x Group session with each household.</i> 2x household visits: assessment, evaluation. Health hazards identified, Water/Health information sessions, School sessions.	Link to District Health services outreach projects. Link to on-farm Health Workers. Time constraint for session. <i>Other issues arising: health and social issues are noted - limited response.</i> Liaison with farm owners

Appendix 1B(contd.): Health & Hygiene Awareness Summary:

Level: Capacity, Resources, **and Local** Implementation

<i>Pilot site</i>	<i>Capacity:</i> <i>a) learners</i> <i>b) educators</i>	<i>Materials</i>	<i>Methodology</i>	<i>Features</i>
Picket-berg	a) 94 farmdwellers: (7 sessions/3 farms) 6 farms. School. b) B.McPherson (PHAST trainer.) S. van Huffel (PL)	PHAST tools (3): <ul style="list-style-type: none"> • 3 Pile sorting • Contamination Routes • Story with a gap Posters.	Water-awareness campaign. 1x Group session with each household. 2x household visits: assessment, evaluation. Process and outcome of group sessions not recorded/reported.	Appropriate PHAST materials/ diagrams to be developed (location specific). Water Awareness materials. Expectations for toilets raised by hygiene awareness Potential liaison with NGO project/ on farm farmdweller organisation. Liaison with farm owners.

Additional Notes to the Project reports:

1. Limited training time for limited resource persons per district pilot site.
2. Trainer support/follow up visits very limited in relation to brief, scope and expected impact.
3. Time constraints of field-level applications. Half-hour sessions for group work is not adequate (at least two hours per session needed - PL).
4. Lack of location/target specific Baselines (i.e. pre-intervention behaviors and specific problems identified) will make it difficult to specify/measure/validate any changes. (Klein Drakenstein Baseline is contained in the situation analyses of farms – may be used to measure changes in reference to specified households.
5. Scope of PHAST application is unclear. Realistic site-specific goals need clarification in overall plans, action plans and reporting of progress.
6. Number and profile of participants: targeted; that attend group sessions. Recorded regularity of attendance may assist monitoring of H&H awareness activities.
7. Lack of recording or reporting of processes, contents and outcomes of group sessions/meetings/household visits weakens report of pilot H&H awareness activities and evaluation of successful application.
8. *Method of observation of household environment could be refined and recorded.*

Notes to extractions from PHAST Methodology for Farmdweller Pilot Project:

9. Limited range of PHAST tools accessed to PLs (2) has limited adaptation to site specific issues.
10. Shortcutting of methodological sequence weakens participant scope for ownership of responsibility. (e.g. Incidence, treatment/prevention of health problems “tool” not utilized prior to education “tools”).
11. Limiting the application of PHAST methodology to **Hygiene And Sanitation** education sessions excludes involvement of recipients in **(P, T)** decision making: household management decisions, identifying indicators of change, implications of solutions - options and costs, Tech. Choices, and responsibility for sanitation improvements (e.g. Roles and Responsibilities, Family Dynamics = h/h responsibilities?).

Appendix 1C: - Project Leader Questionnaire –End of September

Project:.....

Comment on Project Specifics: Coverage Farms / No of People	<i>Each Project leader to comment on their respective pilot project.</i>
PSC function 1.(F,FW,DC, DWAF) 2.Numberof mtgs 3.Decisions:	
Situational analysis 1. Worst case	
Situational analysis 1. Best case	
Subsidies 1. Details (Contributions) 2. Application Form 3. Criteria and conditions	
Technology options 1.For demos 2. Plans/Construction	
Project Progress	
Project Constraints	
Project opportunities	

Appendix 1D: Project Leader Input on Pilot coverage and PSC Function (Feb to Aug)

(Collated at Project Leader Workshop- 30 September 1999)

	Overhex	Murraysburg	Klein Drakenstein	Matjiesrivier	Piketberg
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N° of Farms	21	12 (24) ⁴	21	33	9(14)
N° of Households	286	46	209	142	101
N° of Schools	1	1	1	2	
PSC Stakeholders					
• <i>Farmers</i> ⁵	4	4	3	1	3
• <i>Farmworkers</i>	1	1	2	2	2
• <i>DC reps</i>	1	1	2	(1?) ⁶	1
• <i>DWAF reps</i>	-	-	-	-	(2?)
N° of Meetings	4 (1)	7 (7) ⁷	5 (6)	3 (1)	4(-)
PSC Decisions					
<i>February</i>	Setting up Project Steering Committees, election of Chairperson and appointment of project leaders				
<i>March</i>		12 farms withdraw subsidies too low			
<i>April</i>					
<i>May</i>				- PSC recommends use of "owner-builders" in construction	
<i>June</i>	- "Lys van verantwoordelike" accepted - No Demo Toilets to be built - All 120 subsidy applications approved		- No demos to be built suggest exploring "relocatable toilets"		
<i>July</i>	- Request for geohydro survey			- Awareness to continue through PSC	- Awareness to continue and include 3 schools
<i>August</i>	- Build Demos to get money - Demo sites identified - PL to get quotations from nominated contractors		- Build Demos		- Invite all farmers to geohydro talk - No Demos to be built

Appendix 1E: Project Leader Questionnaire Input

(Collated at Project Leader Workshop- 30 September 1999)

	Overhex	Murraysburg	Klein Drakenstein	Matjiesrivier	Piketberg
Subsidies					

⁴ Indicates original N° of farms targeted

⁵ All PSC chairpersons are from the farmer grouping

⁶ indicates poor attendance

⁷ Indicates N° of minutes available in reports

- Contributions	R600 from DWAF	R600 from DWAF	R600 from DWAF R1000 from DC	DC rejected applications?	R600 from DWAF R3000 from DC
- Application	DC form to be distributed	No form yet	PL not involved	-	14 Farms applied- PL not involved
- Criteria	None	PL not involved	PL not involved	PL not involved	PL not involved
Technology Options					
- Demos	PSC decision –Flush Toilets	27 August – 3 options chosen	PSC to meet	No decision	No Demos
- Plans	DC has standard plans?	Available	Farmer	DC has plans?	Farmer/EHO
- Construction	Contractors nominated by DC	Farm labourers	Farmer		Farmer
Project Constraints					
Project Constraints	Started with too little info Time	Time	Time	No “Kleinboere” forum	Time
Project Opportunities					
Project Opportunities	Develop a network of health workers	“build bridges between people”	Sustainability dependent on EHO’s and DC’s	Develop “Kleinboere” forum Building “gesonde toilette”	Building health worker capacity

APPENDIX 2: REPORT OF FIELD VISITS (September)

Local Level: *PROJECT INITIATION and H&H AWARENESS*

Emerging Issues: On-site Interview data

Pilot Site	Constraints	Opportunities	Issues
Picketberg:	<ul style="list-style-type: none"> • DC involvement unclear re: policy/pilot project. • Targets: Farm owner, individual h/h – no on-farm “community”. 	<ul style="list-style-type: none"> • Linkages to other active Health programs (NGO). • Link to on-farm worker organisation building. • Slide material for “demo” type capacity building. • Differences between farms: explore why? 	<ul style="list-style-type: none"> • PSC role and function minimal. • Faulty system (not pit). • Dependant entirely on Farmer’s attitude.
Klein Drakenstein	<ul style="list-style-type: none"> • Number of farms (too many). • Wealthy farms on list - amongst poorer, needy. • Spread vs. Time per h/h to facilitate change. 	<ul style="list-style-type: none"> • Clinic sister link – support from District Health. • On-farm Health Workers. • School holiday program. • Link emerging social and health issues to access assistance. 	<ul style="list-style-type: none"> • PSC role and function unclear. • Criteria for DC subsidy. • Farmdweller conditions entirely dependent on relationship with Farmer.
Overhex	<ul style="list-style-type: none"> • H&H education spread over too many farms. 	<ul style="list-style-type: none"> • School-based selection of sites. • Poorer farms targeted. • Farmer/farmdweller relationship can be facilitated. 	<ul style="list-style-type: none"> • Technology model: flush systems not adequate -example of health hazard. • Self-help farmdweller pits: diverse solutions on site.
Matjiesrivier	<ul style="list-style-type: none"> • Widening spread vs narrowing focus on small-scale “family” farms. • Dependant on Publicon decision-making. • DC/EHO withdrawal from pilot project involvement. 	<ul style="list-style-type: none"> • School provides poor <i>management</i> demo. • Greater opportunities for local organisation, cross- learning. • Range: 3 types of ‘dweller’ including tenants. 	<ul style="list-style-type: none"> • PSC not instrumental. • Gap in “awareness” and target farmdwellers responsibility is evident. • Emphasis on farm owners as targets.

REPORT OF FIELD VISITS (September)

Local Level: **PROJECT INITIATION and H&H AWARENESS**

Field Site Visits – Narrative of Details:

1. PICKETBERG (West Coast District)

Buglers Post (Features)

Pamona (Differences)

2. KLEIN DRAKENSTEIN (Paarl District)

Wildepaardejagt (Foreman narrative – responsibility issue)

Farm owner (Narrative)

3. OVERHEX (Breerivier District)

1. (Ouma interview)

2. (Learner interview)

3. (Technology comments)

School (Design comments)

4. MATJIESRIVIER (District)

1. (Features - farmworkers)

2. (Features observed: Tenants, Absentee landlords)

3. (“Family Farms” narrative)

Appendix 3A: Project Leaders Workshop **Health & Hygiene Awareness focus**

A focus group session within a Project Leaders Workshop programme was utilised to gain a deeper and more detailed description of PL education-related activities. In order to focus the respondents on their site-related and specific practices, they were asked to describe their role in one particular location of their choice, individually. Each PL was requested to recall their first visit to “the worst” (most unhygienic and unhealthy) group of farmdwellings in their particular district pilot site. After ‘remembering’ all the details (individually, silently and in their imaginations) they were asked to reconstruct their observations and interactions with those particular households. To avoid the repetition of references to procedures which had not thus far revealed much about their activities, they were asked to draw simple illustrations to represent health and hygiene conditions that they saw as significant.

The following sequence of questions and stimuli were facilitated by the researcher over two sessions of about 1.5 hours each, with a lunch-break between. The information offered by the PLs was recorded and cross-checked for correct interpretations while being written up. The information offered was visibly displayed to the whole group, offering opportunity for additions or refinements by respondents.

The Process:

1. What was the “Worst Case” in your pilot site?

Each Project Leader was asked to recall the “worst case” situation they had engaged with, identify the name of the farm and illustrate the health/hygiene problems they had identified initially. They then shared the significant health and hygiene problems they had identified in the worst cases they had recollected with the group, and these were noted and displayed in a table.

2. After (about) six months of applying your health and hygiene awareness programme, what changes have taken place?

They were asked to highlight changes after implementation and explain these, writing up each of the activities they had conducted at that particular site on cards, and placing these in sequence beneath the description of identified problems and changes per site.

3. Health & Hygiene Awareness implementation

Each PL was asked to describe each of the elements of their health and hygiene awareness strategies, beginning with their very first actions and each subsequent action, in sequence. These were recorded in the form of a flow as they described them, and displayed to the group as shown in the diagrams. During recording additional details were probed, as indicated alongside the flow diagrams. This information includes specific tools and materials used by each Project Leader, and specifies other persons involved in Health and Hygiene Awareness activities.

The information that was captured during participants’ responses was collated as in Appendix 3B, 3C and the flow diagrams in Appendix 3D.

Appendix 3B:

Project Leader Input on “Worst Case” Situation, Improvements

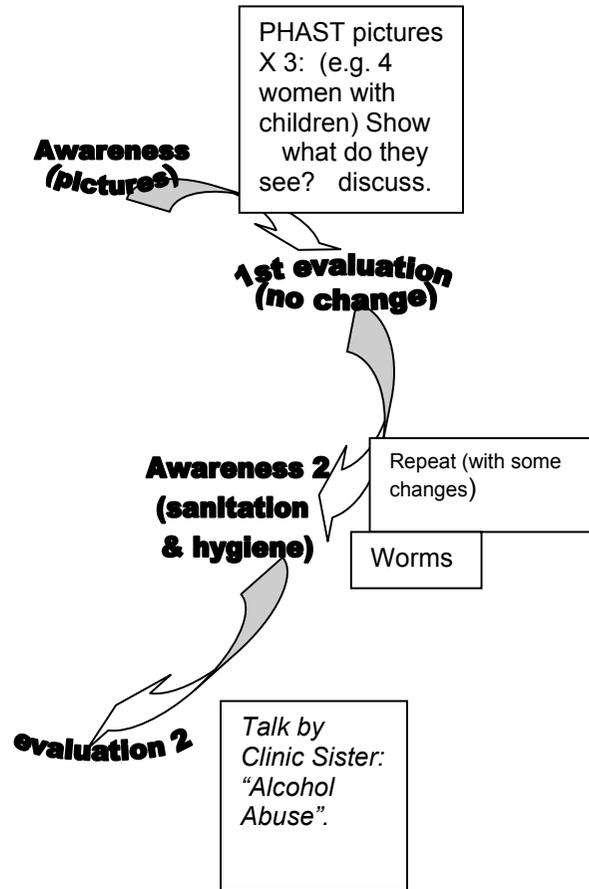
Overhex	Murraysberg	Klein Drakenstein	Matjiesrivier	Piketberg
<p><i>GELUKWAARTS:</i></p> <ul style="list-style-type: none"> ▪ 1 toilet ➤ 1 leaking tap/ moss ▪ electricity available ▪ Toilet: squatting plate blocked, foul odour ▪ Faeces all over ▪ Water, sludge out of ground from toilet ➤ Dirt everywhere (40% improved) ➤ Inside dirty ▪ Tar coating dripping from ceiling ▪ Open wiring ▪ Fireplace rudimentary ▪ Children playing in mud 	<p><i>KWAGGASDRUF:</i></p> <ul style="list-style-type: none"> ▪ Stream, footbridge ▪ 4 houses, 12 people ➤ Dirt, papers, plastic everywhere ➤ Fireplace – no chimney: black inside ▪ 1 toilet – broken pit, flies ▪ summer hot/winter cold ▪ toilet – wooden floor, more faeces outside ➤ 1 tap leaking 	<p><i>LANQUEDOC:</i></p> <ul style="list-style-type: none"> ▪ 23 houses /terraced ▪ Pig sty near houses ▪ Effluent from top terrace flows through to lower terraces ▪ Dirt outside containers ▪ 1 leaking tap ▪ some with gardens ▪ Dam for swimming – also alternative water ➤ 1 water tank (bigger) for all houses ▪ No flush when dry ▪ Old houses crumbling with pits not useable ➤ Very wet, leaking drain ➤ Toilets in progress 	<p><i>LATANA:</i></p> <ul style="list-style-type: none"> ▪ Rented ▪ 4 houses, 1 toilet ▪ Toilet broken, full, dirty inside and out ▪ Communal tap ➤ No gardens ➤ Heaps of rubble-dump ▪ Tins, food, flies 	<p><i>DENNEGEUR:</i></p> <ul style="list-style-type: none"> ▪ 2 houses – 1 pit ▪ Slab: wooden, cracked, dirty, seat broken ➤ Wet: tap, pipe leaking ➤ House dirty, not swept ▪ Fence broken around house ▪ Only 1 couple per house ▪ Managed, rented ▪ Construction of sheets for waste near house, not emptied ▪ Superstructure sheets for toilet, dilapidated ▪ No gardens

Appendix 3C: Project leader input Health & Hygiene Awareness Activities (March – Sept)

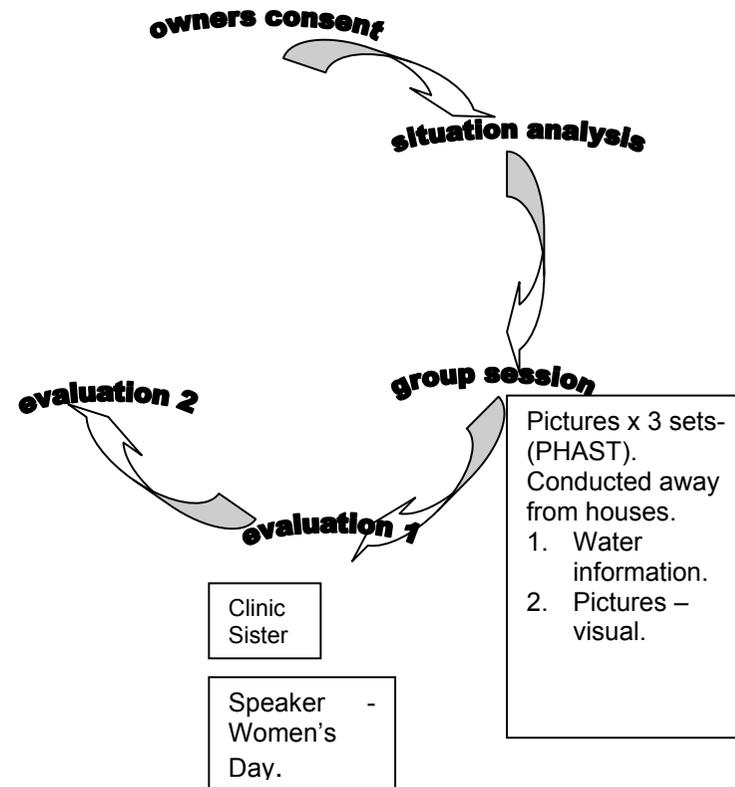
	Overhex	Murraysberg	Klein Drakenstein	Matjiesrivier	Piketberg
Mar					
Apr	Assessment. Questionnaire: Identify problems.	1. <i>Arranged visit with farm owner.</i>	1. Introductory visit: for awareness of project.	Awareness at 1 st visit. No changes at toilet.	<i>Situation Analysis.</i>
May	Group session.	2. <i>Sum up situation on farm.</i>	2. Situation analysis: written report.	Second visit.	Awareness sessions.
Jun		3. <i>Discussion with owner.</i>	3. Group sessions with situation in mind.		
July	Individual visits.	4. <i>Awareness session with farmworkers.</i>	4. Visit the houses, yards (at the same time as sessions).	Awareness session of sanitation and hygiene.	
Aug	Visit.	5. <i>Discussion with owner.</i>		Assess situation.	Evaluate.
Sep		6. <i>Owner explained conditions.</i>		Tenant farmer waits for project to progress.	Revisit.
		7. <i>Visit: Farmworkers improved a bit from initial visit.</i>			

Appendix 3D: Flow diagrams of Health and Hygiene Awareness Programme

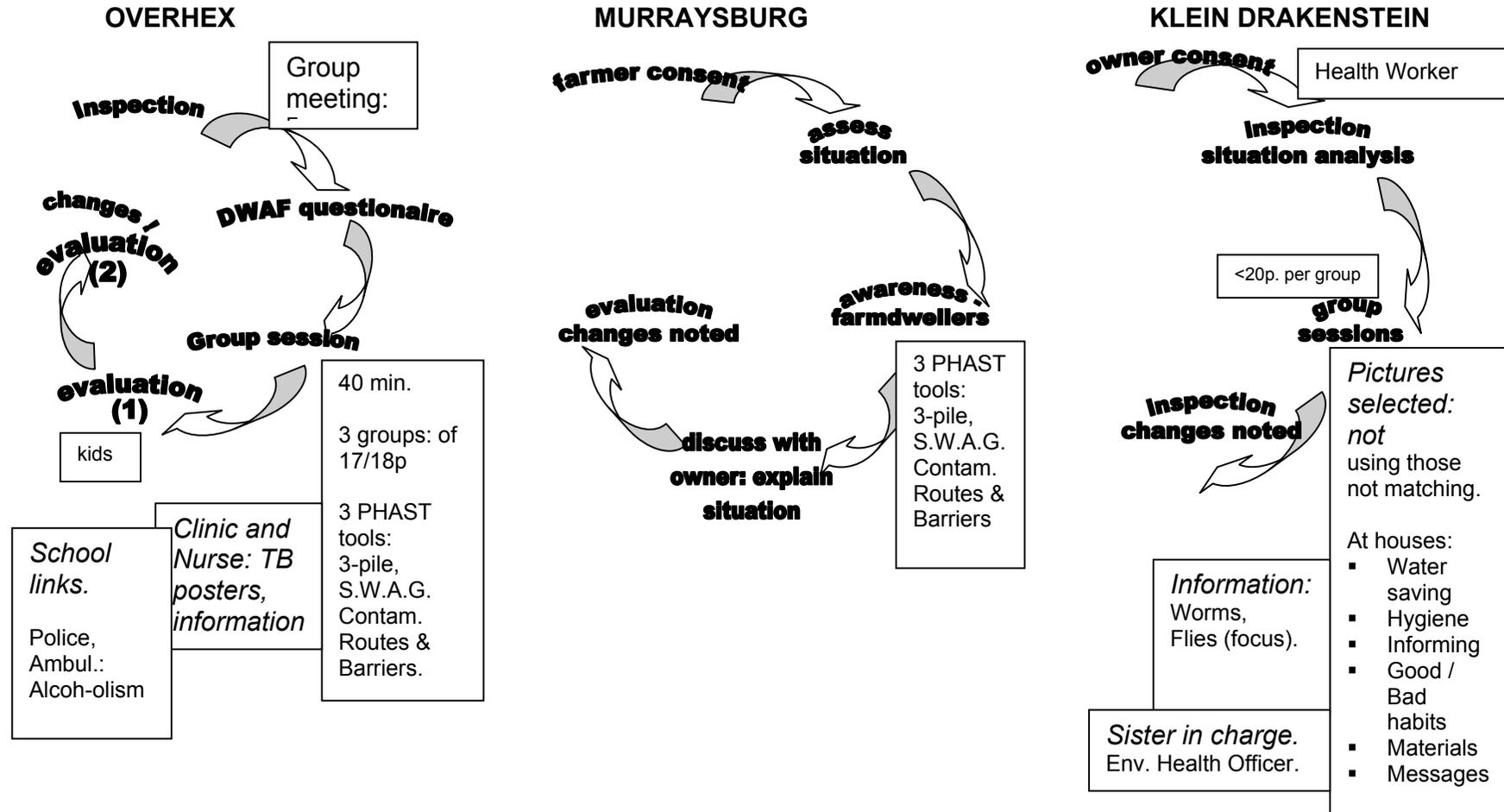
MATJIESRIVIER



PICKETBERG



Appendix 3D (contd): Flow diagrams of Health and Hygiene Awareness Programme



Appendix 4: District level: Health & Hygiene Awareness Transcript of focus group interview (5th November 1999)

Despite a date having been agreed with the research team for a DC Workshop, due to other commitments apologies were received from 2 of the 5 participating DCs, and the 5th representative did not attend. Thus, a focus group interview was conducted with those attending, in the place of the planned workshop.

Participants: Overberg D.C. (Env. Health officer): *Overhex*
Wynland D.C. (Env. Health manager): *Klein Drakenstein*

As an introduction to the interview the WRC research framework was presented and explained. Emphasis was placed on the function of the interview as reviewing Health & Hygiene Awareness implementation from Project Initiation until the end of September. Summary WRC reports that were presented as background, and for comment, prior to focusing on the H. & H. Awareness programme included:

- Report No 1 : Project Initiation
- Project Initiation Summary Report (Jan- June 1999)
- Health & Hygiene Awareness Summary (MAY/JUNE)
- Local - District Linkages

A descriptive update was also given on the completion of gathering data from local level inquiry into H & H Awareness implementation and the process of field visits, interviews and a PL workshop.

DC Input:

1. To what extent did the H&H Awareness pilot programme fit with DC programmes?

Klein Drakenstein:

- Linked with TB project that has been running for 4-6 years.
 - Farmers in the pilot site serve on both committees.
 - Sister working on project.
 - Too many households for one person, too extensive (pilot).
 - Farmers request for someone to talk to the people - DC can do once-off visits.
-
- Funding for educational purposes is a DC issue.

Overhex:

- The farms are those surrounding the school. We have a continuous programme, but this (pilot) is more specific and connected to the school.
- DC Environmental Health gets feedback/reports, but does not interfere.
- Local clinic can be contacted if there are health problems.
- School sanitation ownership issues need to be addressed: DC, Dept Education, Farmer landowners are all involved. DC finances hardware without education as one of its projects.

2. How do you see the function of the PL?

Klein Drakenstein:

- PL did the job much better than we would have as officials would - well accepted by farmers and farmdwellers.

Overhex:

- PL doing a fine job, involves farmers and the people.
- PL has not much to do with me but has our support – the pilot is a project of DWAF's while the DC has been going on for years.

3. How do you see the function of the DC?

Klein Drakenstein:

- DC was not involved from the beginning – it came to my department (Env. Health). The Council is aware of the pilot but has not formally decided to accept it – must still decide.

Overhex:

- While DC was involved from the beginning, initiated the project and brought role-players together, PL has since been doing her own thing. We have been available for advice, as a resource.
- The pilot has a specific target as a formal project.

4. What other sanitation-related health programmes does the DC have?

- Water and sanitation are just one of the many jobs that we (Env. Health) do. We monitor and react if there is a problem. The idea is that we prevent.
- Clinic programmes are part of the ongoing educational process: TB, AIDS, chemical poisoning, extension and posters – not formal, but more random and ongoing.
- Health and hygiene is done through general extension, informal and not so specific: presentations and talks (are available as support on request or where a need is identified).

5. How would DC conduct H&H awareness, specifically for farms and farmworkers?

- DC does not have the capacity – needs funding for specific projects.
- DC can manage it, and contract out the work,
- EHO can recommend and propose to the Council.
- The capacity of the person being contracted:
 - Acceptable to the community – owners and workers.
 - Able to work outside office hours
 - Utilizes informal health network
 - Has adequate skills and knowledge (e.g. teacher, community worker).
- DC could be funded in the form of a subsidy to manage and administer H&H Awareness as an agent of project with clear guidelines and a syllabus, spelling out what is expected.
- If DC gives a subsidy to a farmer, then he should keep a space open for H&H awareness.
- The farmer should know where the subsidy is coming from - there should be one subsidy through the DC.

The session closed with arrangements to meet with DC Health and Building Control Officers (rather than engineers as suggested by the researchers) to investigate technology options. Due to the timing of pilot project implementation in this respect, it was agreed that these meetings should take place early in January.

Formative Assessment of Subsidies, Technology Options and Choice

By

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Report to Water Research Commission on projects

EVALUATION OF THE WESTERN CAPE FARMDWELLER SANITATION
PILOT PROGRAMME

Project leader: A. LAGARDIEN

WRC Report No KV132/4/01

October 2001

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**WRC Project- Evaluation of Western Cape Farmdweller
Sanitation Pilot Programme.
Report No 3: Subsidies, Technical Options and Choices.**

1. Introduction

One of the challenges in the farmdweller sanitation pilot project was to develop a model based on the existing DWAF national sanitation programme to support the delivery of sanitation facilities to farmdwellers who are not the owners of the facilities on the farms.

The relationship between DWAF (the funder & regulator), the district council (the service provider), the farmer (the landowner) and the farmdweller (the end-user) is therefore complex and requires a clear definition of roles and responsibilities within the following context.

- The funder supports the service provider to provide services in terms of the funder's programme funding policy.
- The service provider creates a framework in line with policy, available resources and local conditions to deliver to the intended target community in a systematic and sustainable manner.
- The access to support funding is intended to mobilise the farmers to support and undertake improvements to on-farm sanitation in a manner which achieves reasonable ownership by end-users

In this phase, the research team investigated the extent to which pilot project model has developed the roles and capacity of the stakeholders in relation to the above by reviewing the application for subsidies, technology options and choice of level of service in the pilot project.

During the course of this review period, the long delay in the formulation of the business plans, problems identified during appraisal of the business plans and the subsequent departure of the implementing agent and project leaders has retarded the progress of the research team. This has delayed the completion of this report.

The formative lessons in this phase were presented at the rural stakeholders workshop and has resulted in joint effort by the Provincial Sanitation Task Team and DWAF (national) to address the model deficiencies identified in this report.

2. Background

The evaluation of this phase consisted of a desktop study, field visits, and workshops with stakeholders.

2.1 Desktop study

The research team studied reports from January-December 1999. Project documentation reviewed by the research team comprised:

- DWAF Report on District Council subsidies in the region
- Business plans submitted to apply for sanitation subsidies
- Three Monthly reports from pilot project implementation agents district councils.

The following summaries are compiled for the appendices:

Appendix 1A – Progress Reports -October, November and December

Appendix 1B – District Council Subsidy Evaluation Report

Appendix 1C – Groundwater Report

Appendix 1D –Technology options in Business Plans

2.2 Field visits

The research team visited three of the five pilot projects during this phase to validate the situation and gather information. Open-ended interviews were conducted with the project leaders while visiting farms and farmdweller households selected by them. The research team was taken to farms with different site conditions and to demo toilet sites where different levels of service featured. Visual inspections were conducted and where possible, discussions were held with the farmers and farmdwellers.

The information was elicited by unstructured questions, and because of time constraints not all farms in the pilot could be visited. A summary and visits and a selection of photos are contained in Appendix 1E.

2.3 Workshops and meetings

Workshops and Steering committee reports relevant to this phase are contained in Appendix 1F. Issues regarding the departure of the implementing agent and associated project concerns raised by the stakeholders are set out in this appendix.

3. Report.

3.1 Subsidies

Regional level

The reason for the region not procuring funding from the national sanitation budget was brought sharply into focus in this phase of the project. The business plans were compiled and submitted very late in the pilot project and

generally did not meet the requirements of the appraisal committee at DWAF in Pretoria.

- Mixed messages by regional representatives and the implementing agent about the intended target of DWAF hardware subsidies have created expectations outside the existing sanitation subsidy policy framework. This has resulted in three of the five pilot areas not being able to procure sanitation subsidies.
- A summary report commissioned by DWAF on sanitation subsidies from District Councils is included in the Appendix 1C. As a result of the delay in completing this report, it has not been used by District Councils to inform the pilot project approaches by comparing practice to policy. The issue of accessing funds from DWAF remains a problem because the Business Plans are not targeting the most needy communities. Requests were made for double subsidies for high levels of service on more affluent farms.
- From the stakeholder point of view, a provincial strategy based on the DWAF sanitation programme policy, targets and available resources is imperative. (see Appendix 1F)

District level

- There is no common understanding regarding policy and criteria for access to the national sanitation budget. There is debate about subsidies as a support mechanism for the needy in contrast to subsidies as a mechanism for reimbursing farmers for capital costs incurred by farmers irrespective of level service. This debate continues to be raised in the region despite the national policy framework targeting of the needy. (see Appendix 1F)
- The cost of contractor supplied Flush systems (which was the only choice in 3 pilot areas) has resulted in requests for increased and double subsidies and failure of the business plans to procure DWAF subsidies. See Appendix 1C.
- There is a need for district councils to develop strategies in line with DWAF's national sanitation policy criteria as an alternative to the existing District Council subsidy systems. Implementation of a sanitation subsidy programme in the region along DWAF policy guidelines will set up appropriate targeting and delivery mechanisms so that needy communities can compete on an equal footing for district council funds in the future. The current farmer-centred, "first-come", "first-served", supply-driven approach by district councils serves the more affluent farmers.

- The process of formulation of Business Plans for the pilot has failed to develop the capacity of district councils in the region to submit business plans that can compete for national sanitation funding within the policy framework. This matter requires urgent attention if this project is to be sustained. Recommendations to this effect are contained in the conclusion section of this report.
- Except in the case of Murraysburg, the research team found no evidence of a process for application and disbursement of subsidies being formally developed with the PSCs.

Local level

- Farmers requested or applied for the subsidies and determined the recipients for hardware delivery prior to the launch of the pilot projects. The process of applying for a subsidy could therefore not be used in developing social contracts with users. In Overhex, the PL explored the development of agreements between farmers and farmdwellers for farmdweller maintenance of environmental improvements. Ownership and O&M would be facilitated by this approach.
- Business Plans lacked variation. Other than the hard ground conditions in Murraysburg, which led to a request for increased subsidy, site specific information did not influence strategy formulation as set out in the business plans.
- Business plans were compiled very late in the project execution; despite input from the research team to the contrary during the project initiation phase. Project steering committees and project leaders were relegated to signatories on the business plans. (see Appendix 1E)
- The process of formulating the business plans by the project agent had little or no involvement of the PSCs and project leaders. This coupled with the delay in formulation and approval resulted in a supply driven approach to hardware delivery.

3.2 Technology options

Regional level

- The mixed messages from regional DWAF representatives created expectations for a high level of service and increased subsidy.

- The information in the groundwater and the subsidy evaluation reports on local conditions in the pilot areas were did not impact on the choice of technology options.
- There is a need to address failure of existing systems and explore rehabilitation or upgrading of existing infrastructure on a regional basis. (see Appendix 1E)
- It would evident that DWAF Area managers did not have the capacity to provide technical input on options specific to the local conditions. This capacity building opportunity in this regard for area managers as part of the pilot was not exploited in the region given the lack of their involvement the business plan formulation and appraisal process.

District level

- District council's health officers together with the farmers determined the options without the involvement of project leaders and the communities. See Appendix 1B.
- To date formal plans, specifications and costing for the sanitation facilities provided in the project were not obtainable from district councils. Given the variation in construction, sizing of tanks and soakaways, quality assurance and operation and maintenance will be problematic given the contractor driven approach.
- Manual excavation in the hard ground conditions in Murraysburg and Matjiesrivier required much time and effort. Scarce water was used to "soften" the ground overnight to make manual excavation possible. (see Appendix 1E – fig. 16)
- Failure of existing on-site disposal systems because of ground conditions was not addressed at design stage of option selection.
- Given that the subsidy is for basic level of service and that the water supply is intermittent in some cases, District councils, by opting for the high level of service, have neglected the sustainability and affordability of sanitation facilities.
- The opportunity to develop a range of appropriate options in response to specific local conditions was not explored. Predisposition to "flush" systems and expensive superstructure has precluded exploring this in the pilot projects.
- There is a lack of capacity at district council level to provide support in the choice of appropriate technology options. From interviews, there is little evidence of any distinction being made by EHO between the aesthetic considerations and the collection and treatment mechanisms

of the various sanitation technologies when making comparisons in discussions.

Local level

- Other than a general handout, there was no other evidence of input from the implementing agent regarding appropriate technology options. The technology options “workshop” on the project programme appears to be a cursory reference to the general handout at PSC meetings at two sites. The groundwater protocol and geohydrological surveys were disjoint, involved only farmers and left no latent capacity with local stakeholders in the programme. (see Appendix 1A – December report)
- Project leaders were not involved in facilitation of user involvement in environmental improvements and hence choice of technology options. It was evident that the problem was the approach with which the district councils addressed the issue of option selection. This was left to the farmers.
- Rehabilitation of existing facilities and self- provision of toilet facilities were generally ignored in the rush to build “flush” systems
- The risk of groundwater contamination is very low in the all the pilot areas. Soil conditions in Overhex presents a problem for on-site system. A high water table results in effluent emerging at surface during winter. (see Appendix 1D)

3.3 Choice

Regional level

- Regional DWAF acceptance of existing preference for the promotion of high levels of service has constrained the opportunity to explore appropriate and affordable options.

District Council level

- Given the lack of capacity and support for implementing a sanitation programme that targets the poor and technical options appropriate to local conditions, the pilot continued existing practice. (in-house flush toilets seem to be the natural choice even if inappropriate when compared to the standard of the existing house/shelter)

Local level

- Having been given the choice between flush and VIP, the farmers invariably chose flush toilets. As a consequence of the district councils targeting of the more affluent farmers, this choice did not present an immediate problem for the pilot from an affordability point of view. Murraysburg was the only area to consider a basic level of surface.
- The choice of the type of facilities was made by the farmers and environmental health officers. There is evidence that this supply driven approach adversely affects the sense of ownership of facilities by the users. (see Appendix 1E)
- The farmdwellers were relegated to signatories on applications nine months after the commencement of the project.

4. Conclusions

In response to the formative evaluation by the research team, PSTT stakeholders have developed the following strategy to draw on the lessons of the Interim reports.

- ***Development of Capacity of the Regional Office to initiate and support the development of Business Plans for a regional farmdweller sanitation programme in line with national sanitation policy.***

Meetings have been held with the Regional Water Services Directorate and the National Sanitation Directorate of DWAF subsequent to the Annual Rural Stakeholders Workshop. This has resulted in a Business Plan workshop to be facilitated by the National Business Plan Appraisal Committee being planned for the 11 September 2000. This will be attended by DWAF region, District Council and current pilot PLs and will draw on the rejected business plans and research lessons for input. The outcome envisaged in the short term is success in applying for current regional sanitation budget. In the medium term the goals are developing the pre-appraisal capacity of regional office and developing the capacity of the District Councils to implement a programme along national policy guidelines.

- ***Develop Health and Hygiene Awareness Programme at District Council level (given resource constraints) to create demand for sanitation improvements in the targeted farmdweller community.***

The PL field experience together with the research teams recommendations will form the basis for District Councils to frameworks for targeting, promoting and sustaining a sanitation programme. The programme target, an implementation toolkit for project leaders, PSC operation and integration of project phases are key considerations for the

capacity building workshop for stakeholders that has scheduled for October.

- ***Develop the capacity of Regional Office and District Council EHOs to provide support to PSCs on technology choice and hardware delivery within the policy framework as part of the regional sanitation programme***

Field trips and the research findings will provide the backdrop to a capacity building exercise among the regional area managers and district councils involved in the provision of basic sanitation facilities to the target community. In the short term, it is envisaged that this capacity will be developed during the writing of business plans for the next phase of the programme. Developing a suite of options appropriate to funding constraints and delivery mechanisms that suit local conditions. In the medium term, a District Council (as water services provider) protocol for a basic level of services to farmdwellers will be the goal.

Only when the above challenges have been met will the region be able to compete for national sanitation programme funding and sustain a programme serving the needs of the poor in terms of the policy guidelines.

The outputs of phases set out in the conclusions will form the basis of the Final Report for this research project.

Appendix 1A: Monthly Report Summaries

October Report Summary

Pilot Project	PSC meetings	Features	Issues
Murraysburg F. Macpherson	15 Oct? ¹	-Water waste decreased dramatically -Water conservation discussed -VIP and Flush demo toilets constructed (Toorfonfein) -Application forms amended to include consensus signatures	- DWAF Ground water protocol report outstanding -Alcohol and drug abuse noted
Matjiesrivier B le Roux G Hendricks	? ²	-3 farms visited -1 farms, 8houses, self constructed pit -VIP Demo toilet at Waterkloof -General cleanness improved	-Alcohol and drug abuse noted -Need formal sessions with PL on H&H impact
Overhex S. Rabie L Karriem	No meeting held	-14 farms visited -1 farm transformed VIP to storage facility Oude Wagensdrift -Toilets at schools finished -Agricultural women's club established	-Quotations awaited for demo toilets -Men reluctant to help women in keeping the hygiene
Klein Drakenstein A Pietersen H Keyser	29 Oct?	-Content of the BP discussed -Focus on school sanitation	-Few people are at home during the day -Workshop held but 10 people attended
Pieketberg Berg E Truter	?	-Project leader resigned - Lack of security -Unhygienic pit latrines	-Little lifestyle/behavioural changes -DC taking over the role of PL

¹ No PSC minutes available

² No PSC meetings reported

(II) November Report Summary

Pilot Project	PSC Meetings	Features	Issues
Murraysburg F. Macpherson D. Van Rensberg	01 Nov?	-DC and PSC approved the BP -Farmdwellers aware of water conservation -Demo's being built	Alcohol and Drug abuse still a problem
Matjiesrivier B le Roux G Hendricks	02 Nov?	-4 farms, Demo toilets visited -Impact of health and hygiene not clear	-Promotions to be done formally
Overhex L Karriem S. Rabie	10 Nov?	-Demo on Viinola farms -Flush toilets with septic tank and soakaway at community hall, -Geohydrologist visited 4 farms - BP submitted to DC	-Water pressure for advised flush not adequate at Nonna. -Houses situated in a wetland at Alma Gelukwaarts
Klein Drakenstein A Pietersen H Keyser	?	-10 Farms visited -BP submitted to DC for approval	-Groundwater pollution from one toilet
Pieketberg Berg E Truter	03 Nov?	-Tweefontein had applied for 20 subsidies for bathrooms to DC -Of the 9 Farm owners participating in the project 7 were reluctant, 2 interested to identify of health workers to sustain health program. - Inclusive DC Farmdweller subsidy to be increased to R5750	-Health and hygiene impact still not clear

(III) December Report Summary

(based on Project leader input in Implementing agent's report)

- *this was the last report received from the Implementing agent*

Pilot Project	Next Phase	PL's Comments on sanitation options handout	Geohydrological survey	Geohydrological Workshop
Murraysburg F. Macpherson D. Van Rensburg	Contract between the Farmers and farm dwellers w.r.t construction/use/maintenance The farmers construct the toilets themselves and the DC helps with the monitoring	The information was discussed during the PSC meeting; they decided to convey it to the community.	7 farms were visited and farmers were present on 4 farms.	Due to distances- to get the communities together is difficult
Matjiesrivier B le Roux G Hendricks	The project leader could not be present at the meeting			
Overhex L Karriem S. Rabie	A number of ad hoc study groups exist amongst the farmers. Sanitation is addressed on this basis	Only 2 farmers indicated that VIP would be considered. This will be done with DC's who prefers high level of service	3 farms visits	25 farm owners attended
Klein Drakenstein A Pietersen H Keyser	Sanitation will become a standing point in TB prevention and farmer meeting groups	The information was discussed during a PSC meeting and conveyed to community.	7 farms visited.	7 farmers attended
Pieketsberg Berg E Truter	The farmer does Construction of toilets. EHO will take the role of the project leader	The information was discussed and conveyed to communities, other sanitation options than flush systems would mean that the DC would withhold its subsidy	3 farms were visited	Due to scheduling another meeting farmers was held at the same time

Appendix 1B: Summary of District Council Subsidy Evaluation Report

Pilot Project	Amount	Criteria	History	Issues
Murraysburg F. Macpherson D. Van Rensburg	Not included in evaluation (possibly because there are no DC subsidy)			
Matjiesrivier B le Roux G Hendricks	One school visited, Received R12 000 –R15000 for construction of 4 VIP's (now abandoned)	No stated	For the past five years DC constructed the bucket and pit systems, Spent R200 000	Lack of education/knowledge caused the ventilated pipes to break
Overhex L Karriem S. Rabie	R3000 water + sink	First come first serve basis 3 application per farm	By 1998 TRC approved subsidy of R285 000 and R105 000 was paid out	No hot water, The ground is hard so it decreases labour power tendency
Klein Drakenstein A Pietersen H Keyser	R 600 DWAF R1000 DC	First come first serve basis Farmers apply through DC's	316 applications by 44 farmers were received and a total of 46 bathrooms constructed and subsidised	Subsidy is too small and the workers accept the choice of the farmer
Pieketberg Berg E Truter	-Water R1000 -Electricity R750 -Bathroom R3000	First come first serve basis 4 subsidies per year per owner.	147 bathrooms constructed since 1994, 36 farms visited which represent 24,4% of the applications	Communications problem from the agricultural union and its members

Appendix 1C: Summary of Groundwater Report

Pilot Project	Assessment	Identified problems	Geohydrology
Murraysburg F. Macpherson D. Van Rensburg	Based on low density of toilets and prevailing aquifer system, risk for ground water contamination is low	Wind pump too close to houses Effluent from soak-away surfacing in Grootplaas	Major aquifer system, which has low vulnerability to contamination. Depth 10-20m
Matjiesrivier B le Roux G Hendricks	Based on low density of toilets and prevailing aquifer system, risk for ground water contamination is low	No problems identified	Major aquifer system, which has moderate to high vulnerability to contamination. Depth 4m
Overhex L Karriem S. Rabie	Prevailing shallow groundwater level results in continual problems with on site sanitation systems	High water table results with effluents emerging at the surface during winter. Houses at Alma farm are in a wetland	Poor aquifer system, which has low vulnerability to contamination. Depth 3m
Klein Drakenstein A Pietersen H Keyser	Based on low density of toilets and minor aquifer system, risk for ground water contamination is low	Effluent discharged into a surface drainage channel.	Depth of water table is 15-20m
Pieketberg Berg E Truter	Based on low density of toilets and minor aquifer system, risk for ground water contamination is low	No specific problems identified	Major aquifer system, which has good groundwater with a Depth in excess of 50m

Appendix 1D: Business Plans – Technology Options Summary

Pilot Project	Cost	Suggested delivery	Choice	Issues
Murraysburg F. Macpherson	Flush R1970 VIP R1920 Aqua privy R2000	There is Sufficient capabilities and skills to built toilet on the farms	Demo toilets flush, VIP and aqua privy system	-Promotion of health and hygiene in rural areas -Water conservation
Matjiesrivier B le Roux G Hendricks	R1000-R1500 R990 excluding bricks	Local community will assist the contractor	VIP'S	-Water problem -None of the farmers have tenure -Farmers have no capital
Overhex S. Rabie L Karriem	Demo toilet R2000	Local community will assist the contractor in the building especially those who are skilled	On-site flush system	Water pressure problem
Klein Drakenstein A Pietersen H Keyser	Wetland system R8 553.42 vat (inclusive) Owner can contribute R2000	Labour intensive, farm workers will be utilized in assisting the contractor in the wetland system	On-site flush appropriate and cost effective	Extension of health and hygiene in the rural part of the district
Pieketberg Berg E Truter	NO Information available			

Appendix 1E: Technology Options data from Field Visits

1. PIKETBERG (West Coast District)

NOTE: This site intervention was to comprise of a H&H Awareness programme, to be adapted from the PHAST approach and led by a PHAST trainee as an additional Project Leader (PL). There was no demonstration toilet aspect built into the “PHASE A” approach at this site. However, expectations of applying for DWAF subsidies were created at DC level.

Subsidy system:

- West Coast DC provides R3,600 for bathroom, toilet: up to 4 per year per farm, on application by farmer on a ‘first-come, first-served’ basis.
- Higher levels of service than national policy stipulates for access to national DWAF subsidy.

BUGLER’S POST farm

Observations:

- 21 out of 24 farmdweller houses were occupied: upgrading strategy targets 4 houses per year using DC subsidy system – Project Leader deduces a farmer preference for productive worker-households.
- Evidence of poor maintenance and drainage around pump resulting in stagnant water in public pathway.
- Solar panels on upgraded houses.

Target:

- Farmer has decision-making role about development of facilities.

Technology:

- 3 Communal toilet systems not in working order. 2 are old and abandoned (but with childrens’ faeces outside and inside shelter), and 1 is currently being utilised, but not correctly.
- This system is not a ‘pit latrine’ as reported, but possibly a version of non-functional pour flush (not clear).
- Drainage systems for waste water are various: open or soakaways.
- Upgraded houses have flush toilets in bathrooms added onto old houses (started 10 years ago with DC subsidy).

Roles and Functions:

- The EHO is the DC and subsidy application link to farmer, who is the sole linkage with farmdwellers.

Operation and Maintenance:

- Project Leaders had interactions with farmer about environmental hygiene-related problems, including toilet infrastructure.
- The revisit conducted by PLs to individual households to assess possible changes/improvements did not address user responsibility in operating and maintaining the communal systems in place.

PAMONA

Technology:

- Flush sanitation systems and yard taps are provided by the farm-owner for permanent farmdwellers.
- There are no facilities supplied to seasonal workers – their housing facilities are not serviced.
- The PL has not explored the VIP option for targeting seasonal workers sanitation conditions (they are reportedly making use of the veld).

Roles and Functions

- The farm-owner is the chairperson of the Project Steering Committee,
- The farm-owner supplies services and is assisted in the form of a DC subsidy for high levels of service.

Operation and Maintenance

- The farmer inspects sanitation conditions regularly, and interacts with households.

(Extract from) Interview with Project Leaders

- Apart from conducting H&H sessions (2 x 2hrs), PLs have not undertaken the consultation or organisation of farmdwellers around technology aspects of sanitation improvements – this has been left to the DC (EHO) and the farm-owner as the primary target of the project.

2. KLEIN DRAKENSTEIN (Wynlands District)

Field Visit 1

Target:

- The PL was provided with a list of applicants for DC subsidies, which promotes high levels of service (water-borne systems) and operates on a first-come, first-served basis.

Technology:

- There is no demand for VIPs or options other than water-borne systems from the farms targeted by the pilot project.
- The limitation of choice is a direct result of these farms having been drawn from the lists of applicants for the subsidy of higher levels of service promoted by the DC.

Roles and Functions:

- The PL did not have any involvement in, or knowledge of, technology options and choices – this was the responsibility of the EHO.

Farm-owner Interview:

- The Farm-owner, who is also the chairperson of the PSC, stated that while the wealthier farmers (such as himself) welcome the H&H programme, the need for the R600 subsidy only exists among the poorer farmers in the area. These are not included on the pilot project target list that was given to the PL, who reported that she “drives past” the needy farms.

Field Visit 2

Target:

- The EHO reported that a farm-owner in his district, outside the pilot site area, had been pressurised by farmdwellers into improving pit latrines to VIPs. The DC had received an application for subsidy of the improvement, and would most likely utilize their current subsidy system that is designed for higher levels of service.

Technology:

- There is reportedly no demand for VIPs or options other than water-borne systems from the farms targeted by the pilot project. – Therefore a demo toilet of a water-borne system was chosen by the EHO, PSC and the farm-owner.
- The building plans were not immediately available from the EHO. The demo system (both top structure and slabs covering the drainage/filtering system) was shabbily finished and not attractive.
- The existing communal pit latrines appeared to be clean and maintained, and in use.
- The demo toilet was built into the verandah of one of a cluster of farmdweller houses.
- There was no water available for flushing at the time of the visit – this is apparently due to rotation of water supply across the farm.

Roles and Functions:

- The PL did not have any involvement in, or knowledge of, technology options and choices – this was the responsibility of the EHO.
- The EHO emphasized that in his opinion it is imperative that toilets are allocated individually and attached to or part of the house, which suggests an avoidance of the VIP option.
- Building of the demo-toilet was contracted by the EHO to a private contractor.
- The design of a filtration was the responsibility of the EHO – little technical support was provided for an effective design resulting in a dubious demo.

Farmdweller interview:

- A farmdweller member of the household stated that their demo water-borne toilet facility had not been used, and that the communal pit latrines are still utilised by the household. He explained that this was due to the irregular water supply.
- He had no knowledge of the process of selecting options.
- He is aware that the decision to replicate the demo at all the houses in the cluster had been made, but did not know by whom.
- The household of farmdwellers where the demo has been erected is due to relocate.

3. OVERHEX (Overberg District)

Characteristics:

- A water-borne upgrading of sanitation facilities has been completed at the Overhex school, (**fig. 1**) which has been central to targeting farmdweller households and farms in this district site.
- The upgrade has not taken the poor drainage conditions surrounding the area into account, resulting in overflow into the main playground area in the rainy season. Some attempt has been made to correct this problem, but distant contractual arrangements have constrained corrective action throughout the project.
- Poor or inaccessible project management and technical support is indicated, which is reportedly related to communication lines, roles and responsibilities of Public Works, DC, and Dept of Education being unclear.
- A proposal to conduct a H&H Awareness programme at the school, involving the school governing body in a school sanitation management function (to manage the disparate roleplayers) was tabled by a PHAST-trained PL, and gained DC and District Health Forum approval.
- Although supported in principle by all stakeholders, no located funding support is forthcoming from any of the departments approached (Dept Education, DWAF, Dept Health).

Target:

- The PL indicates that there are needy farms and farmdwellers who may be targeted for the R600 subsidy for basic sanitation, and that these may be readily located.
- The target and the criteria for access to the DWAF subsidy was not made clear to the PL during project implementation.

Technology:

- Self-provided pit latrines are in evidence where farmdwellers are not provided with sanitation services – examples of both adequate and inadequate self-provided structures are in evidence. (**fig. 2 to 6**)
- A “best case” site with provision of a water-borne system, with toilets in each dwelling, demonstrated poor technical support to DCs in that the system was not functioning adequately, thus comprising a health hazard.
- The demo system that was erected is water-borne, and is located at a communal structure where there is no evidence of need. It is situated on a wealthy farm. The farmdwellers expect successful applications for housing subsidies that will include water-borne sanitation. (**fig. 7 & 8**)

Roles and Functions:

- The PL was not involved in the Business Plan development nor the process of application for subsidies. The BP was produced entirely by the IA and apparently approved by the DC. It was submitted by regional DWAF, but was not approved by HO due to its divergence from criteria for approval.

4. MATJIESRIVIER (Klein Karoo District)

NOTE: The Business Plan for this site was approved conditionally, based on the choice of basic levels of service for needy targets for whom no DC subsidy was in place. After the funds were handed over the DC by DWAF, a PSC meeting (at which both the IA and the regional DWAF sanitation coordinator were present) resulted in an application to utilise a DC provision of inequity funds together with the R600 DWAF subsidy. In addition, a suggestion

that the double subsidy would enable higher levels of service than had been approved has resulted in the rejection of the proposed project.

Characteristics:

- The site includes a range of users: needy and un-serviced small-scale farm-owners; tenant labourers; commercial farmer-tenants; commercial farm-owners.
- A local primary school serves as a meeting point.

Target:

- There was no indication of any differentiation between the diversity of targets in this site.
- The PSC chairperson was unaware of the criteria for access to DWAF funds.

Technology:

- Despite very hard and rocky ground, there was evidence of self provision of pit latrines as a result of demonstration by neighbours of tenant-labourer status.
- In contrast, a cluster of households on a commercial farm made use of one shallow pit latrine that was in poor condition, resulting in a health hazard to households in close proximity.
- At the local school, a well-built but poorly operated bucket system was in evidence.

Roles and Functions:

- No attempt had been made to incorporate an O&M health impact linkage with reference to the condition of the existing bucket system at the school.
- The PL has separated the health and hygiene aspects of “PHASE A” awareness from technology aspects as belonging to “PHASE B”, which is not seen as a related PL responsibility.
- The PL role was understood to be that of H&H Awareness, comprising individual household visits for informing farmdwellers of existing health hazards – there appeared to be no engagement in exploring options for farmdweller-driven improvements.
- PSC chairperson concerns were entirely focused on access to subsidy, and PL appeared not to be informed of the application process – apart from supplying information as requested (such as lists) they were waiting for instructions from the IA.
- The involvement of the DC (EHO) had been minimal with no direct relationship with the PL or PSC – none of the district roleplayers were engaged in the Business Plan development.

5. MURRAYSBURG (Central Karoo District)

NOTE: The Business Plan for this site was approved conditionally, based on the choice of basic levels of service and where no DC subsidy was in place. This is currently the only project being implemented and which has proceeded with the delivery phase according to contractual agreements.

Characteristics:

- Farms spread out over large distances – farm-owner neighbours are thus not clustered as are the farmdweller settlements within farm boundaries.
- Hard soils/rocky with variable rainfall patterns but adequate groundwater supply.
- Distance from hardware supplies suggest the challenge of organising associative access to building materials, as considered by the EHO involved in the pilot project.

Target:

- We passed several farms where there were no toilet facilities at all, although much evidence of electricity and TV satellite dishes having been provided. The PL explained that local priorities for services were as follows: Firstly Water, then Electricity and lastly Sanitation.
- Despite the criteria of basic sanitation that targets the needy not being adequately clear to the PL or EHO, there is less service-provider (DC and farm-owner) resistance to the VIP option in this area.
- While the level of farmdweller involvement in choices and decision-making is low, conditions have limited buying in of outside building contractors, which in turn has led to more innovation emerging from the ground through farm-owner/farmdweller involvement in design and construction.

Technology:

- Hard ground conditions pose a challenge to the digging of deep pits and soakaways. This leads to the engagement of farm dwellers in lengthy and laborious digging.
- On some farms there are claims to adequate water supply for upgrading pit latrines to on-site water-borne systems.
- Demo toilets included VIPs and Septic tanks. An initial choice of an Aqua-privy demo was rescinded by the PSC.

EHO Interview:

- “Ons het verkeerd begin” – from the start there was more discussion of flush toilets, and questions of water pollution and adequate water supply were pursued.
- The problem with VIPs is that the ground is hard. On enquiry about how septic tank holes are dug, the EHO said it presented the same problem.
- EHO stated that there are needs for basic sanitation and use of the R600 subsidy in this district.

GROOTPLAATS

Target:

- There were no toilet facilities at individual households.
- Out of 10 households, 2 applications for subsidies had been approved.

Technology:

- The demo toilets were converted pit-latrines at the farm school site: 1 VIP and 2 flush with a septic tank. **(fig. 9)**
- The flush toilets were not operating on the day of the visit due to a lack of water supply (the dam was empty).
- The ground was hard and rocky, resulting in a small tank – the tank was in good working condition. **(fig. 10)**

Roles and Functions:

- The farm-owner had built the demo toilets at the nearby school building.
- The EHO had provided support to the farm-owner.

TOWERFONTEIN

- Demo toilets: a VIP and a Flush (septic tank) built as communal resource near a cluster of houses. **(fig. 11)**
- Pit latrines previously supplied had smelt bad and been too far from the houses.
- Hand washing facilities were provided – soap supplied initially to encourage hand washing had not been replaced by users. **(fig. 12)**
- Farm-owner was enthusiastic about continued efforts to improve sanitation conditions and practices.

DE PUT

- A farm dweller who has designed, supervised and been engaged in constructing VIPs, had gained his building skills as an employee of building contractors.
- An old water tank was being converted to serve as a top-structure for a septic tank toilet, erected for seasonal (shearers) use. **(fig. 13)**
- The VIP demo had been followed by a VIP being provided for each farm dweller household. **(fig. 14)**
- Building had been conducted smoothly and effectively by farm dwellers (no external assistance). **(fig. 15)**
- The digging of hard ground had been laborious but successful.
- The slab had been designed for moving once holes were full – poles set in the concrete slab – on the farm dweller builder initiative.
- The VIP was said to be “best” for local conditions – the PSC had approved the decisions of farm-owners as to which technology option was chosen.



OVERHEX Fiedtrip



MURRAYSBURG FIELDTRIP

APPENDIX 1F:
Steering committee meetings and Workshops

(I) REPORT BACK from RURAL STRATEGY WORKSHOP (Overhex, 13th July)

RURAL SANITATION PROJECTS (PSTT Stakeholders)

Projects	Problems/Needs
<p>Central Karoo District Council: Farmdweller Pilot Project</p> <ul style="list-style-type: none"> - D van Rensburg (EHO) - F. MacPerson (Project leader) 	<ul style="list-style-type: none"> • Awareness should continue after toilets are built • Many farms need improved sanitation
<p>MRC: Boland/Overberg Schools Survey</p> <ul style="list-style-type: none"> - J. Fincham (MRC) 	<ul style="list-style-type: none"> • Information relating parasite prevalence to sanitation, clean water is available • Service providers & community needs to address problem
<p>Wynlands District Council: Health & Hygiene Awareness</p> <ul style="list-style-type: none"> - H. Keyser (EHO) - Amina Peterson (PL) 	<ul style="list-style-type: none"> • Awareness should continue after toilets are built
<p>PAWC Health dept: Environmental Pollution Control</p> <ul style="list-style-type: none"> - S. Nomdo (Env Health) 	<ul style="list-style-type: none"> • Community organisation building • Education that addresses waste management
<p>Khayalitsa – Health</p> <ul style="list-style-type: none"> - Rob Clarke 	<ul style="list-style-type: none"> • People have no experience of modern amenities • Education drive needed • Animals included in cycle
<p>West Coast District Council: Dept Health target poor/sanit.</p> <ul style="list-style-type: none"> - H vd Westhuizen 	<ul style="list-style-type: none"> • Awareness should continue after toilets are built • Accommodate (x2) different standards (levels of service)
<p>Overhex Farmdweller Pilot Project</p> <ul style="list-style-type: none"> - L. Karrim (PL) 	<ul style="list-style-type: none"> • There are farms which can use VIPs, where flush is a problem • Schools need education and improvement opportunity to be addressed
<p>Rural Health Trust</p> <ul style="list-style-type: none"> - J. Bader 	<ul style="list-style-type: none"> • Health Worker training to educate farm people

<p>WRC Evaluation Project</p> <ul style="list-style-type: none"> - A. Lagardien (Researcher) <p>DWAF Needs Assessment – draft Terms Reference</p> <ul style="list-style-type: none"> - K. Eales (NaSCO) - L. Visagie (DWAF) - C. Johnson (DWAF) 	<p>Key issues:</p> <ul style="list-style-type: none"> - Need to harness regional support - Need to link with existing programmes - Need to access provincial resources - Need to address failure of existing systems, explore re-habilitation and self provision of toilets - Need to target, based on need - Need to develop protocol to adapt Levels of Service, based on resources <ul style="list-style-type: none"> • Need to develop a Provincial Strategy based on resources and targets • Need to gather each depts surveys together, locate gaps, build a picture from available information. • Need to build consensus on Needs, Gaps, Priorities
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Stakeholder Questions/Responses- NEEDS ASSESSMENT and a PROVINCIAL STRATEGY

1. What is the SOURCE of the Problem - technology or behaviour?
2. Do people know what HEALTH RISKS are related to toilet use? – the basis for DEMAND.
3. DCs are tired of Needs Assessments and Consultants – Need: What is the Problem? Why is it a Problem? What to do about it?
4. Needs are DIFFERENT in different communities, and look different for different levels.
5. What are the Approaches and Educational opportunities?
6. WHO is going to MAKE IT HAPPEN? Systems must match needs on the ground – How will a Provincial Strategy DO this?
7. Areas where DWAF should intervene to be based on need – the GREATEST need.
8. HOW do we reach “where the need is greatest”? Where are the targeted?
9. Farms focus, Schools focus: What about Schools opportunity?Need to get to homes as well.
10. What do you do to get access to resources?

3. Agreeing on a Starting Point - PSTT Rural Core Group

- HOW DO WE IDENTIFY AREAS OF NEED?
 - Use Local People, NGOs, District Councils
 - Format of a Survey (affordability, poor)

- NEEDS / DEMANDS FOR FACILITIES
 - District Council information is available (areas of greatest need, settlement patterns)
 - Initial targeting on a local level
 - WSDPs, GOPs

(II) PSTT: Rural Core Group Meeting - 16th August 2000

Present:

Zeinab Suleiman, Lionel Visagie, Mondri Bikitsa, Thomi Mphane, Deborah Cousins, Thabo Lehepe, Johan Murray, Alvin Lagardien.

Apologies:

Henrik Keyser (convenor), Kathy Eales (NaSCO), Jane Crowder (NaSCO)

Clarify business of meeting:

Reports and information - responsibilities between meetings.

Report-back on Farmdweller Pilot Projects: Letters to DCs.

Business Plan Workshop

Access to 1st Order Strategy information; PSTT role and stakeholders' input

DWAF:WC Needs Assessment; TOR development.

1. Report-back on Farmdweller Pilot Projects_(L. Visagie)

1.1 Letters to DCs: West Coast DC has received a letter (7 March 2000). No others have yet – Lionel has asked Thabo for details.

Resolution: Outstanding letters on why BPs were not approved for the 3 district projects will be sent to DCs by end September (L. Visagie).

1.2 Matjiesrivier: DWAF:WC (L. Visagie) was present and Letter was written by IA (Publicon) requesting double subsidy *after* BP approval – meeting was informed by L.Visagie that according to policy this would not be acceptable, but DC/PSC said they want to go ahead. Funds already paid over – need some clarity, awaiting a response.

1.3 Murraysburg: D. van Rensburg sends detailed monthly progress reports to DWAF(full report presented to Rural Workshop). Lionel will report to PSTT,WRC.

1.4 Contractual Issues: Status of IA (Publicon) unclear to DWAF, although a letter to Publicon from DFID was copied to PSTT and Hester Lyons, stating end of contract – no more funds. In a letter to DC, Hester Lyons instructed them to pay R11,000 to Publicon for BP support and Implementation –

PSTT queries this as:

a) Project Leader is doing the work with DC EHO;

b) Publicon was paid for BP development as part of DIFID (PHASE A) contract, which has been terminated with permission to utilise remaining DIFID funds within agreed budget limit for “support and implementation”

Resolution: L.Visagie to clarify 1.2 and 1.4. PSTT advises payment for community-level facilitation direct to Project Leader by DC as IA at their discretion – no role for Publicon.

1.5 Murraysberg BP is incomplete – no Addendums in DC or PSTT possession.

Resolution: DC (Danie van Rensburg) to receive complete BP with all addendums within 2 weeks (L. Visagie).

2. Business Plan Workshop

An outcome of PSTT Annual Stakeholders meeting was a request for guidance in compiling BPs by DCs and Project Leaders. Tumi Mphane indicated that this support was available, which was followed up by Zeinab Suleiman.

2.1 Thomi explained that as HO approval of Western Cape BPs entails appraisal by different teams, those who write up BPs need to be aware of the critical

- issues that they look for. A common problem is that the consultancy mode has resulted in submitting BPs that look the same regardless of different conditions and needs in each site. A “live” BP is used as a training tool.
- 2.2 Who should attend?: The Strategy Workshop said clearly that targeting the poor, based on local need and demand, is the issue. We need to empower those with the interest in seeking out the target and avoid the “baggage of levels of service debate”. The experience of the Farmdweller pilot has shown that EHO and PL partnerships can identify the development demand on the ground (consultant route has failed). Local Authority responsibility for delivery must be supported.
- 2.3 Re: DWAF decision to conduct Needs Assessment *first*. Tumi explained that this expenditure alone will not result in an allocation of a budget from national funds for the next year. As we have until March 2001 to expend funds on sanitation projects, the BP workshop will enable speedy applications. Simultaneous BP development for timeous implementation (before March 2001) was agreed as the best option for the region.

Resolution: Date for BP workshop confirmed for 11th September. DWAF:WC to organise workshop and logistics (ZS). PSTT to coordinate those who qualify in districts (DC and LV): PLs and EHOs are to be targeted.

3. DWAF: WC Needs Assessment

- 3.1 Access to 1st Order Strategy information: (L. Visagie) What is available is not a final report – not yet fully developed – some information is accessible for DWAF Needs Assessment.

- 3.2 TOR development:

The Needs Assessment TOR must spell out objectives and what information is wanted i.e. to know what the demand is for the purpose of addressing the sanitation backlog and for implementation purposes. We don't need a document. The brief must be written by DWAF:WC in order to enable a process of appointment, and the appointment of a consultant.

PSTT role and stakeholders' input:

NaSCO's draft was submitted to DWAF and PSTT stakeholders have made their input at Strategy Workshops - summary of key points has been submitted.

Lionel Visagie reported on application from S.Cape: he will explore the opportunity of a situation analysis (characterising the area first), through and around the school they have targeted for upgrading.

Resolution:

- Up to R90,000 should be spent on the Needs Assessment. Zeinab Suleiman will write up the TOR and Brief for consultant so that the appointment of a consultant can be facilitated (Zeinab Suleiman will communicate by when, in writing, to L.Visagie, Tumi Mphane and PSTT Coordinator).
- Based on the allocation of the remaining R230,000 the existing capacity of EHOs and PLs to target the needy will be supported simultaneously. The BP Workshop will enable the development of BPs which target the needy, based on worst cases. Participants will be asked to bring real needs to the workshop as training material. (Lionel Visagie will facilitate preparation of participants in districts, and follow up BP development over 2 months, following up with Thabiso).

Resolutions:

- Outstanding letters on why BPs were not approved for the 3 district projects will be sent to DCs by end September (L. Visagie).

- L.Visagie to clarify 1.2 and 1.4. . PSTT advises payment for community-level facilitation direct to Project Leader by DC as IA at their discretion – no role for Publicon.
- Murraysberg BP is incomplete – no Addendums in DC or PSTT possession. DC (Danie van Rensberg) to receive complete BP with all addendums within 2 weeks (L. Visagie).
- Date for BP workshop confirmed for 11th September. DWAF:WC to organise workshop and logistics (ZS, LV). PSTT to coordinate those who qualify in districts (DC and LV): PLs and EHOs are to be targeted.
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- Based on the allocation of the remaining R230,000 the existing capacity of EHOs and PLs to target the needy will be supported simultaneously. The DWAF BP Workshop will enable the development of BPs which target the needy, based on worst cases. Participants will be asked to bring real needs to the workshop as training material. (Lionel Visagie will facilitate preparation of participants in districts, and follow up BP development over 2 months, following up with Thabiso).