



# **COMEQS SOLIDWASTE PROJECT**

## **PHASE 1 REVIEW STUDY REPORT**

**By**

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## Executive Summary

CARE International in Zambia is an international NGO that has worked in Zambia for over 20 years, focusing on humanitarian response and development in rural and peri-urban areas. CARE has been implementing projects in the areas of health and HIV/AIDS, maternal and child health, water and sanitation, social protection, governance, education, gender equality, economic empowerment and environmental conservation among others. To achieve sustainability of its interventions and ensure true ownership in communities of the processes supported by our work, CARE Zambia works with existing community structures and engages participating communities to increase their capacities to be responsive to their own developmental challenges.

One of the fundamental challenges facing our communities is that of Solid waste management. In a bid to address this challenge CARE Zambia is implementing the Peri Urban Community Driven Models for Equitable Services (COMEQS) Solid Waste Project in two peri-urban settlements of Lusaka District (Chipata and Ng'ombe) since October 2014. CARE is working in partnership with Peoples Process on Housing and Poverty in Zambia (PPHPZ) and three Water Trusts of Chipata, Chaisa and Kanyama. The partners are also collaborating with Lusaka City Council, Lusaka Water and Sewerage Company (LWSC), and Ward Development Committees (WDCs) and Community Based Solid Waste Enterprises (CBEs) from the four settlements. The duration of the project is four years, October 2014 to September 2018. Phase 1 covering two settlements only (Chipata and Ng'ombe) is from October 2014 to March 2017. Phase 2 will cover all four settlement, including Chaisa and Kanyama and to run from April 2017 to September 2018. Prior to the roll out of phase 2 the project instituted a review process.

The phase 1 review process that used mixed methods of enquiry was undertaken for the purpose of informing stakeholders in areas of improvement during roll out to phase 2 settlements. The key review question *was to access the viability of the Tariff Bundling (TB) and the Enhanced Direct Payment (EDP) model*. The review had five subsequent questions:

- 1) What progress has the project made in implementing the planned activities?
- 2) What progress has the project achieved with regards to the achievement of results or outcomes?
- 3) How sufficient are the project strategies in reaching the desired outcomes?
- 4) What barriers/challenges did the project face?
- 5) How effective are the project operational systems and processes for the implementation of Phase 1?
- 6) What recommendations can be made to guide the rolling out of Phase II

**Review Objective 1: Progress of project implementation:** the review team deduced that 34 out of 39 (87%) of planned activities under phase 1 were completed. Five activities were not implemented (private sector engagement, social accountability design, social accountability promotion, annual innovation fairs & securing service contracts with private transporters) owing to a number of factors among them shortened implementation of tariff bundling in Chipata settlement which initially was scheduled for 12months (April 15- March 16) but reduced to 7months (Sep 16- March 17) due to delayed sign off of the model (July 2016).

**Review objective 2: Progress towards achievement of results:** In Chipata under the TB model, waste tonnage collected increased from 308 tons per month to 1,415 tons after effecting TB in September, 2016 while in Ng'ombe (EDP), waste tonnage collected marginally increased from average 317 tons per month to 400 tons per month in the period under review. With regards to **CBEs Revenue, the review indicates that:** revenue for CBEs in Chipata increased from monthly average of K27,000 before Sep 2016 to monthly average of K82,500 between Sep 16 to Feb 17 after effecting tariff bundling approach. In Ng'ombe (EDP), revenue increased from K4, 950 before the inception of the project to a high of K34,000. It was also evident from the reports of CBEs and project reports that number of subscribers have increased in Ng'ombe from 2106 to 2955.

**Review Objective 3: Project strategies are sufficient to reach desired outcomes:** In 5 months period (Sep 16- Feb 17): highest collected K107, 566.00 (Oct 16), lowest of K63, 102.00 in Feb 17. The CBEs in Chipata reported an average monthly of K82, 500.00 which is 200% more than before TB. This implies that the project strategies are to some extent sufficient and may only need some strengthening.

**Review objective 4: Effectiveness of operational Systems:** The Review process showed that the project has put in place various operational systems and processes to ensure smooth implementation of the project activities in phase 1. For example the project has designed a data management system that facilitates for data collection at all levels of the project targeting input from various stakeholders.

**Review Question 5: Barriers To Achieving Results:** The project faced a number of challenges in relation to the implementation of the two models in the different settlements. The review indicated the following as challenges affecting the implementation process of Tariff Bundling: The process of getting the TB model approved delayed the implementation of the project in Chipata, hence shortening the time of learning for the project implementation team. The model was only signed off by LWSC on 12 July 2016. . The supply of water by unlicensed individuals in Chipata settlement attributed to loss of income by the Water Trust and implies that the CBEs are also collecting waste from individuals who are not buying water from the Water Trust. Exportation of waste from neighboring settlements that are outside the coverage of the project has led to an increase in the tonnage collected from outside the settlement. The challenges affecting EDP, related to poor accessibility of some areas affecting CBE operations, lack of community understanding of the value of paying for waste collection and inadequate transport systems. Other general challenges included inadequate enforcement of by-laws, delayed collection of waste by local authorities to be transported to Chunga landfill, the WDCs and CBEs lack capacity to enforce community policing and bad road access to Chunga landfill are among many other challenges sited.

It is evident that the project has recorded a high performance with regards to the implementation of the project activities. The project has shown the use of inclusive project planning processes, evident from compositions of the stakeholders invited for all the project planning meetings. The Project equally recorded significant progress in achievement of the desired results in term of changes of income and increase in waste collected at community level. There is need though to ensure effective operationalization of the developed business plans by the CBEs to ensure diversity with regards to the income streams.

There is need therefore to ensure that LCC and the Police re-enforce by-laws of waste management so that they are jointly implemented to influence waste management behaviour at community level. The project need to ensure that the roll out of phase 2 is not delayed to ensure a longer learning period for the project. CARE/PPHPZ should engage LCC & Kanyama CBEs to determine appropriate transport to buy owing to its bigger population. LCC should improve its secondary transportation system and ensure effective landfill management. The project needs to also advocate further for the potential of increasing revenue streams through recycling of waste.

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## **Abbreviations and Acronyms**

CBEs	Community Based Solid Waste Enterprises
CBO	Community Based Organisation
CGC	Chipata Garbage Collection
COMEQS	Peri Urban Community Driven Models for Equitable Services
CWT	Chipata Water Trust
EDP	Enhanced Direct Payment
ER	Expected Results
FGD	Focus Group Discussion
FLW	Front Line Workers
GRZ	Government of the republic of Zambia
HWC	H.W Waste Collectors
PPHPZ	Peoples Process on Housing and Poverty in Zambia
KII	Key Informant Interview
LCC	Lusaka City Council
LWSC	Lusaka Water and Sewerage Company
MOU	Memorandum of Understanding
NGO	Non-Governmental Organisation
NSWMS	National Solid Waste Management Strategy
NUSS	National Urban Sanitation Strategy
NWSSSWP	National Water Supply, Sanitation and Solid Waste Policy
PIP	Project Implementation Plan
TB	Tariff Bundling
SWM	Solid Waste Management
WASH	Water, Sanitation and Health
WDC	Ward Development Committees
WMA	Waste Management Association
WT	Water Trust Organisation
ZDHS	Zambia Demographic and Health Survey



# 1 INTRODUCTION

This is a study report of the end of phase 1 review CARE Zambia **Peri Urban Driven Models for Equitable Services (COMEQS) Solidwaste Project** implemented in two peri urban areas of Lusaka City between the periods October 2014 to February 2017. The COMEQS was piloting two revenue models in solid waste management: **Water-waste *Tariff Bundling and Enhanced Direct Payment***.

Waste management is a complex task involving numerous waste fractions, a range of technological treatment options, and many outputs that are circulated back into society. A systematic, interdisciplinary systems management framework is therefore inevitable to facilitate the planning, implementation, and maintenance of sustainable waste systems especially for informal settlements. There are a number of factors that further compound the aspect of solid waste management, key to note is the element of *willingness to pay*. A predictable revenue collection system is essential to make a reliable waste collection service and incentivize the community based solidwaste enterprises to stay in the business. Given the need to remove increasing generated waste from communities and high cost of transporting waste, flow of funds should be adequate and consistent. In a bid to address the challenge of low willingness to pay, CARE-Zambia with support from Comic Relief and CARE –UK is implementing a pilot project that is meant to increase revenue for delegated Community Based Solidwaste Enterprises (CBEs).

The project was strengthening the capacity of CBEs to deliver a good and consistent waste collection service. With Tariff Bundling, the waste collection fees are bundled with water while with EDP the project is undertaking activities to facilitate increased subscription as a way of aiding income growth for the CBEs. This report provides findings deduced from a review process that was conducted in the Phase 1 pilot settlements of Ng’ombe and Chipata of Lusaka city.

## 1.1 Purpose and objective of the Review

The purpose of the review was to assess the effectiveness of the project implementation process as stipulated in the project’s Detailed Implementation Plan (DIP).

The phase 1 review was required to inform stakeholders in areas of improvement during roll out to phase 2 settlements. The review also reflected CARE’s commitment to improve its capacity and services.

The objectives of the assessment were:

- (a) To assess progress of implementing planned activities of both TB and EDP models
- (b) To assess progress towards achievement of results or outcomes
- (c) To assess if the project strategies are sufficient to reach desired outcomes
- (d) To identify barriers to achievement of outcomes
- (e) To assess operational systems and processes of implementing phase 1
- (f) To provide recommended actions to guide rolling out of TB model in phase 2

## **1.2. Background**

CARE International in Zambia (CARE Zambia) is an international NGO that has worked in Zambia for over 20 years, focusing on humanitarian response and development in rural and peri-urban areas. CARE has been implementing projects in the areas of health and HIV/AIDS, maternal and child health, water and sanitation, social protection, governance, education, gender equality, economic empowerment and environmental conservation among others. To achieve sustainability of its interventions and ensure true ownership in communities of the processes supported by our work, CARE Zambia works with existing community structures and engages participating communities to increase their capacities to be responsive to their own developmental issues.

## **1.3. Solid Waste in the Context of Lusaka**

Sub-Saharan Africa today is in the midst of a dramatic urban transition that will persist well into the 21<sup>st</sup> century, the transition will result in increased urban population in most cities. It is estimated that between 2010 and 2035 (UN-HABITAT 2014), the urban population will more than double from approximately 298 million to 697 million. By mid-century, it is estimated that over 1 billion people will live in urban areas. While urbanization has the potential to act as an engine of economic growth and human development —when properly planned for—it also brings with it enormous challenges.

Not least among these is the challenge of improving waste management services. As cities rapidly grow, so does the amount of waste that they generate. Changing human consumption patterns and the changing structure of economic activity generate various types of waste that must be appropriately managed to ensure sustainable development and a decent standard of living for all urban residents. In low-income countries, in particular, rapid urban growth is putting extraordinary pressure on limited urban resources for the provision of these essential basic services, further straining capacity in urban management. Furthermore, inappropriate policies have contributed to the growth of life- and health-threatening slums, where urban waste management services are often woefully inadequate.

The City of Lusaka has almost 70% of its population living in peri-urban areas and/or unplanned settlements which are not easy to access due to lack of roads. Additionally, the peri-urban areas are mainly low income areas and this includes a majority of poor people some of whom are unemployed. The status of these areas has made it difficult for the private sector to provide solid waste services. The city of Lusaka is not exempt from the challenges of solid waste experienced at a global scale, the city generates 1000tons of waste per day; and only 30% is taken to Chunga Landfill (LCC, 2014). This challenge is compounded by a number of factors that include: inadequate transport and financial resources by the local authorities that are mandated to provide this service to the general population. To help address this Lusaka City Council agreed to involve Community Based Enterprises to provide primary collection in peri urban areas, which they accomplish using muscle power and hand-tools, moving material to communal collection points with wheelbarrows. The Lusaka City Council then provides secondary collection to move the waste to the dump site. The CBEs can be considered as semi-formal with about thirty established to date.

The COMEQS project is currently working in two settlements of Lusaka Ng'ombe and Chipata with plans of rolling out tariff bundling to other two settlements (Chaisa and Kanyama) once approval is granted by LWSC.

#### **1.4. Waste management policy environment in Zambia**

The Environmental Management Act of 2011 is the principal law on environment. This provides for the requirements for handling waste such as the licensing or permitting process for collection, transportation, treatment and disposal of waste. Other supporting pieces of legislation with regard to waste management include the Local Government Act of 1991, Public Health Act of 1930, Mines and Minerals Act of 1995, National Health Services Act of 1996, and Ionizing Radiation Act of 1975 and the 1994 National Environmental Action Plan (NEAP) also identifies waste as a key environmental problem. The 2004 National Solid Waste Management Strategy (NSWMS) provides guidelines on the implementation of strategies. Lusaka City also has the 2003 Solid Waste Management Strategy.

#### **1.5. The COMEQS Project Intervention logic**

In a bid to help address the waste management challenges in informal settlements of Zambia, CARE Zambia is implementing the Peri Urban Community Driven Models for Equitable Services (COMEQS) Solid waste Project in four peri-urban settlements of Lusaka District since October 2014. CARE is working in partnership with Peoples Process on Housing and Poverty in Zambia (PPHPZ) and three Water Trusts of Chipata, Chaisa and Kanyama. The partners are also collaborating with Lusaka City Council, Lusaka Water and Sewerage Company (LWSC), and the Ward Development Committees (WDCs) and Community Based Solid waste Enterprises (CBEs) from the four settlements.

The duration of the project is four years, October 2014 to September 2018.

- Phase 1 covering two settlements only (Chipata and Ng'ombe) is from October 2014 to March 2017. Enhanced direct payment was implemented in Ng'ombe settlement from September 2015 while effecting the tariff bundling implementation in Chipata started in July 2016 due to delay in signing off the model.
- Phase 2 will cover all four settlement, including Chaisa and Kanyama where TB will be rolled out; and is proposed to run from May 2017 to September 2018.

##### **1.5.1. Project goal**

The main goal of the project is to pilot the viability of two -revenue collection models Tariff Bundling and Enhanced Direct Payment and provide recommendations on the best and most viable model to deliver SWM for scaling up to other areas. Which will ultimately result into improve environmental conditions for the targeted community in peri urban settlements of Lusaka.

### **1.5.2. Project Purpose**

*To improve solid waste management through increased revenue for CBEs in targeted peri urban settlements of Lusaka.*

To reach the goal and purpose, the project is primarily piloting two waste revenue collection models of ‘**Tariff bundling**’ and ‘**Enhanced Direct Payment**’.

- In tariff bundling the waste fee is paid through water fee and collected by Water Trusts (currently in Chipata only but the project will work with Water Trusts in Kanyama and Chaisa in Phase 2) through water vendors at kiosks or monthly water bills for connected customers.
- In Enhanced Direct payment, the waste fee is paid directly to the CBEs. In Phase 1, the two methods were piloted in Chipata and Ng’ombe respectively. The justification for enhancing direct payment method is arising from the fact that out of 37 recognized settlements in Lusaka only eight have water trusts. In settlements where Water User Committees manage the water points, the enhanced direct payment method would provide an alternative to the water utility for up scaling in those settlements without water trusts.

### **1.5.3. Planned Outcomes**

- i. Improved access to solid waste services by urban slum dwellers
- ii. Improved capacity for water trusts to manage tariff bundling revenue, and CBEs to deliver solid waste service
- iii. Municipal Authorities influenced to consider improved alternative waste revenue collection methods
- iv. Cross-learning, collaboration and joint advocacy promoted with COMEQs settlements, program partners and other stakeholders

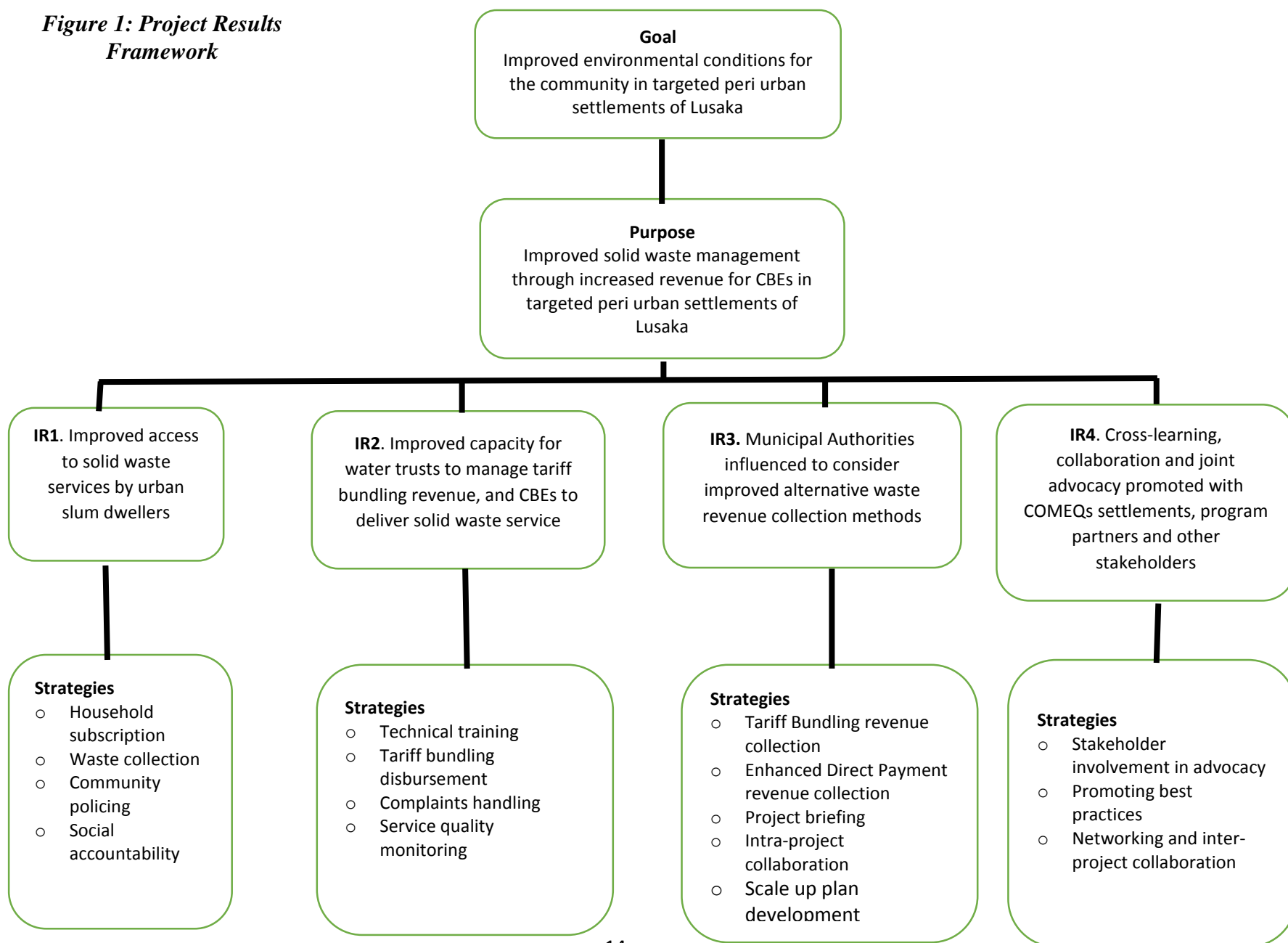
### **1.5.4. Some Expected Results**

- The overarching result of the project is to provide recommendations on the viability of the two models-TBM and EDP.
- 310, 748 total number of people benefitting from improved solid waste access (Direct beneficiaries 130 CBE workers; Frontline Workers 428 PPHPZ, Water Trust & WDC staff; and Other beneficiaries 310, 209 community members)
- 71% (from 5.4% at baseline) as percentage of waste collected compared to total waste generated
- Increase in level of user satisfaction with the two solid waste tariff payment methods implemented (water-waste tariff bundling and enhanced direct payment)
- 100% of trained CBE waste collectors demonstrating increased technical knowledge and skills in waste handling
- Increase in CBEs gross income per month as a result of the tariff bundling and enhanced direct payment models

### 1.5.5. Overall Results Framework for the Project

Figure 1 below shows the results framework for the project, showing the goal, purposes and four key result areas for the project. The results framework also shows the various envisaged strategies of the project. A **results framework** of the project is used as a management tool, to guide the program implementation assessed in direct relationship to progress in achieving **results**, at the outputs, outcomes, and impact levels.

**Figure 1: Project Results Framework**



## 2.0. METHODOLOGY OF THE REVIEW

This review employed a mixed methods approach of data collection; using primary and secondary data sources and combining both qualitative and quantitative data elements with the use of the following approaches:

- Desk reviews for secondary data
- Focus Group Discussions (FGDs)
- Key Information Interviews (KIIs) with selected stakeholders
- In-depth Interviews (IDIs) with project beneficiaries and
- Observations and on-spot checks through field visits

### 2.1. Review Questions

The key review question *was to access the viability of the TB and the EDP model*. The review had five subsequent questions:

- 1) What progress has the project made in implementing the planned activities?
- 2) What progress has the project achieved with regards to the achievement of results or outcomes?
- 3) How sufficient are the project strategies in reaching the desired outcomes?
- 4) What barriers/challenges did the project face?
- 5) How effective are the project operational systems and processes for the implementation of Phase 1?
- 6) What recommendations can be made to guide the rolling out of Phase II

### 2.2. Data collection

In order to triangulate and complement some of the quantitative data collected, additional qualitative data approaches were used as well. The following were the approaches itemized in detail:

1. Secondary data collection involved document review with reference to COMEQs related relevant internal and external documents, and
2. Primary data collection through;
  - a) **Focus Group Discussions (FGDs)** using semi-structured interview guide with a group of about (6 to 15) men and women who were direct beneficiaries to the COMEQs project in Chipata and Ng'ombe urban slums. A total of 2 FGDs were conducted separately for each settlement. These discussions aimed at assessing how acceptable tariff bundling and enhanced direct payment models were in the respective communities.
  - b) **Key Informant Interviews (KIIs)** were solicited from project staff and other personnel well knowledgeable about the project. These interviews helped to assess the progress the project has made so far in as far as its implementation is concerned.

### 2.3. Sample Selection Process

This review was purposively conducted in Chipata and Ng’ombe urban slums in Lusaka, the COMEQS phase 1 project areas.. 2 FGDs were conducted with project beneficiaries. 12 In-depth Interviews were conducted with key informants comprising of project staff, project partners including CBEs and key institutions. The breakdown of review subjects is as shown in table 1 below.

### 2.4. Sample Size per Settlement and approach of Data collection

The table below depicts how the sample was selected from the various sources:

*Table 1: Selection of Sample size*

	<b>KIIs</b>	<b>FGDs</b>
Chipata	1 WDC 1 WT 2 CBEs	1 Community Discussion
Ng’ombe	1 WDC 3 CBEs 1 WT	1 Community Discussion
Other Institutions	1 LCC 1 WMA 1 CARE/PHPZ	
<b>Total</b>	<b>12</b>	<b>2</b>

### 2.5. Study Limitations

The review team was faced with a number of limitations during the process which included:

**Limited Time:** the team had planned for two focus group discussion in each settlement but only conducted one in each settlement due to time.

**Non Availability Of Some Key Personnel In Strategic Institutions:** the team had a challenge with conducting key informant interviewers with LWSC has the personnel who manages the department responsible for peri urban work and who has full understanding of the project was on sick leave hence the interview had to be rescheduled until after the dissemination workshop. It must be mentioned that this in itself didn’t affect the quality of data as the team used other means for triangulation purposes.



## **2.6. Analysis and Documentation Process**

All data collected from secondary (document reviews) and primary sources such as In-depth interviews, FGDs and KIIs were compiled appropriately. The analysis was done in line with the review objectives as well as capturing the COMEQs log frame indicators. Data collected from the FGD and KIIs was analyzed through thematic analysis with particular focus on specific objectives outlined in this review. In addition, verbatim from the FGDs and KIIs were incorporated into the review report to enhance the assessment findings.

### 3.0. REVIEW FINDINGS

The findings of the review process are under five thematic themes deduced from the review objectives, these are: Review of implementing of planned activities, review of progress towards achievement of outcomes, examining sufficiency of project strategies to reach desired results, assessing the barriers to achieving results and review of the operational systems and process of implementation in phase 1 of the project.

#### 3.1. PROGRESS OF IMPLEMENTING PLANNED ACTIVITIES

##### 3.1.1. Key Assessment Questions

- Which key activities have been completed, in progress, delayed or cancelled?
- How inclusive was the internal project review and project planning progress and how did this affect the implementation process?
- How did the project team react to changes in the external environment and how were they addressed?

##### 3.1.2. Review Findings

A review of the Project Implementation Plan and Consolidated Narrative Report indicated that the project had a total of 39 activities out of which 34 activities were implemented indicating an 87% completion rate.

The review established that five activities were not implemented. These are: 1) Undertaking of private sector engagements through market Linkages, 2) Design of the social accountability system, 3) Social accountability (Citizens Charter) implementation or operationalization, 4) Annual innovation fairs, and 5) Securing of service contracts with private transporters

During the FGD with the Project Team, the review learnt that the factors accounting for non or delayed implementation of above activities were as follows:

***Undertaking of private sector engagements through market Linkages:*** the project had early envisaged to undertake recycling activities as another stream of promoting income growth for the CBEs. However this activity was suspended due to the delayed approval of TB model and delayed commencement of the implementation process for the project.

***Design of the social accountability system and Social accountability implementation:***

The design processes took longer than anticipated. At the time of the review, the designed system (using the Citizens Charter) was awaiting sign off by the Lusaka City Mayor.

***Annual innovation fairs:*** Due to the shortened period of implementation the CBEs didn't have enough time to generate innovate ideals for exhibition. .

***Securing of service contracts with private transporters:*** The CBEs were still in the process of negotiating for affordable contracts with private transports as their income continues to grow.

It was further established that the implementation of the tariff bundling model was shortened from the initial 12 Months (April 15-March 16 ) to 7 Months ( Sep 16-Mar 17 ) due to delayed sign off

of MoU (July 2016), which significantly affected the implementation of subsequent planned activities.

## **3.2. PROGRESS TOWARDS ACHIEVEMENT OF OUTCOMES**

### **3.2.1. Key Assessment Questions**

- Is the project on track to achieve its goal and purpose by September 2018?
- What is the progress towards the achievement of the outcomes?
- How did activities and outputs contribute to achieving the outcomes?
- Is there need to review and change focus and priorities in order to achieve the goal and purpose?

### **3.2.2. Findings on Tariff Bundling**

Under the TB Model three key parameters were used to deduce the achievement of project outcomes. These are waste collected, change in revenue and number of people accessing Solid waste management services. The findings are below:

#### **3.2.2.1. Waste Collected**

A review of CBEs' documents and the project baseline report indicated that in Chipata settlement, the waste tonnage collected from households and business entities increased from 308 tons per month to average of 2004 tons per month after effecting tariff bundling in September 2016. Chipata CBEs also picked up additional waste from drainages and historical disposal sites. Figure 2 show the tonnage of waste collected from Chipata between September and December 2016.

Figure 2: Tonnage of Waste -Chipata

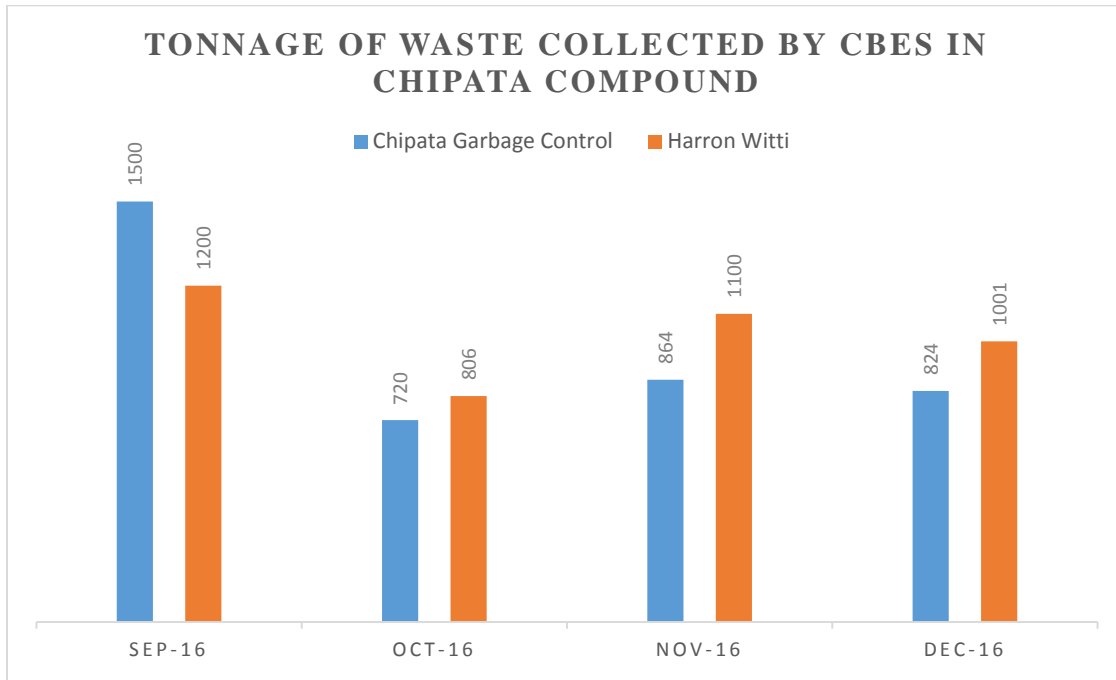


Figure 2 above shows the amount of waste collected by the CBEs in Chipata compound. Results show that at the point when the TB model was introduced in the compound in September 2016, CGC collected a total of 1500 tons of waste while HW collected 1200 tons. The tonnage levels reduced in October 2016 to 720 and 806 tons by CGC and HW respectively, November 2016 saw a slight increase in the tonnage of waste collected to 864 and 1100 tons by CGC and HW respectively. In December 2016, CGC and HW collected 824 tons and 1001 tons respectively. The first month of TB-September indicates a higher tonnage due to the fact that the CBEs cleared out some historical waste and waste from drainages in the settlement. October shows a decline in tonnage due to the fact that most people in this month opt to burn the waste generated. November to December 2016 shows an increase in tonnage as the waste generated at household level increases in the rain season.

### 3.2.2.2. Tariff Bundling Revenue

In Chipata, revenue for CBEs increased from monthly average of K27, 000 before Sep 2016 to monthly average of K82, 500 between Sep 16 and Feb 17 after effecting tariff bundling approach.

### 3.2.2.3. Number of people accessing SW service

In Chipata, all the 18, 667 households with more than 95,041 people (100%) are accessing improved solid waste collection service, an increase from 7,140 households before TB implementation.

### **3.2.3. Findings of the review on Enhanced Direct Payment method**

Three parameter were used to measure progress towards the achievement of project outcomes; waste collected, CBE Revenue ad number of people accessing SW Services.

#### **3.2.3.1. Waste Collected**

In Ng'ombe (EDP), waste tonnage collected marginally increased from average of 317 tons per month to 400 tons per month

#### **3.2.3.1. CBEs Revenue**

In Ng'ombe (EDP), revenue increased from K4, 950 before project to a high of K34, 000

#### **3.2.3.2. Number of people accessing SW Service**

In Ng'ombe, 2,955 households with 17,771 people accessed improved waste collection services, an increase from 2106 households and 11,583 people before the project

### **3.3. SUFFICIENCY OF STRATEGIES TO REACH RESULTS**

The COMEQS project has been using a number of strategies to ensure implementation of the various project activities since inception. The strategies are dependent on the level of the activity in the results chain. In an interview with the key informant for the water trust it was indicated that:

*“Good partnership between CBEs and WT is facilitating the smooth implementation of TBM in Chipata Compound” (interview, 2016 in Chipata compound)*

The project is anchored on piloting two key models **TBM** and **EDP** all the strategies are targeted at ensuring effective implementation of the two models.

#### **3.3.1. Key Assessment Questions**

- How effective was tariff bundling approach being implemented?
- How effective was enhance direct payment approach in relation to subscriber recruitments, enforcement of by-laws community policing etc.
- How effective are the other project strategies being implemented (Household subscription waste collection and technical training?)

### 3.3.2. Review findings on effectiveness of Water – Waste Tariff bundling strategy

#### 3.3.2.1. Reduced tariff for solid waste collection

The TB model envisaged that it will reduce the total monthly charge households were paying under direct payment. Under direct payment, LCC WMU had put a ceiling of K30 per month per household. The review found out that, in TB price structure and for water kiosk users a 20 liters water container cost 50 Ngwee, out of which 10 Ngwee goes towards the provision of solid waste management services in the community and 40ngwee for water. For customers with individual water connections that the rising block water tariff was K8.83 per 1000litres for consumption between 0 to 6000litres and for consumption between 6000 to 30,000litres the charge was @ K9.72 per 1000litres. At 6 x 20litre containers of water per day per family size of six, the total amount of money the family would spend on solidwaste was K18 which was less than K30 the local authority ceiling per month. The review deduced that TB was effective in reducing the household monthly spend on solidwaste.

**Project support activities for TBM:** The project has implemented a number of activities to support increase revenue collection through this model and the activities include:

- ✓ Awareness Raising,
- ✓ Customer Subscription,
- ✓ Monitoring Compliance,
- ✓ Community Policing,
- ✓ Incentivizing Good Customers,
- ✓ Service Quality Monitoring

#### 3.3.2.2. Increased revenue for CBEs

Another objective of TB was increase revenue for CBEs. It was deduced from data compiled by the WT and CBEs that within the first five months of implementation i.e. from Sep 16- Feb 17 the income collected increased to **K107,566.00** which was collected in the month of October while the lowest collected amount was **K63, 102.00** in the month of Feb, 2017The monthly average income for the CBEs in Chipata per month is about **K82, 500** which represent a 200% income increase more than before the TB was introduced. The two CBEs business plans projection of K218, 000 per month. The review observed that the TB model objective of increasing CBEs monthly revenue was achieved, however, the revenue failed short of business plans projection.

Figure 3: Monthly Revenue from TB-Chipata

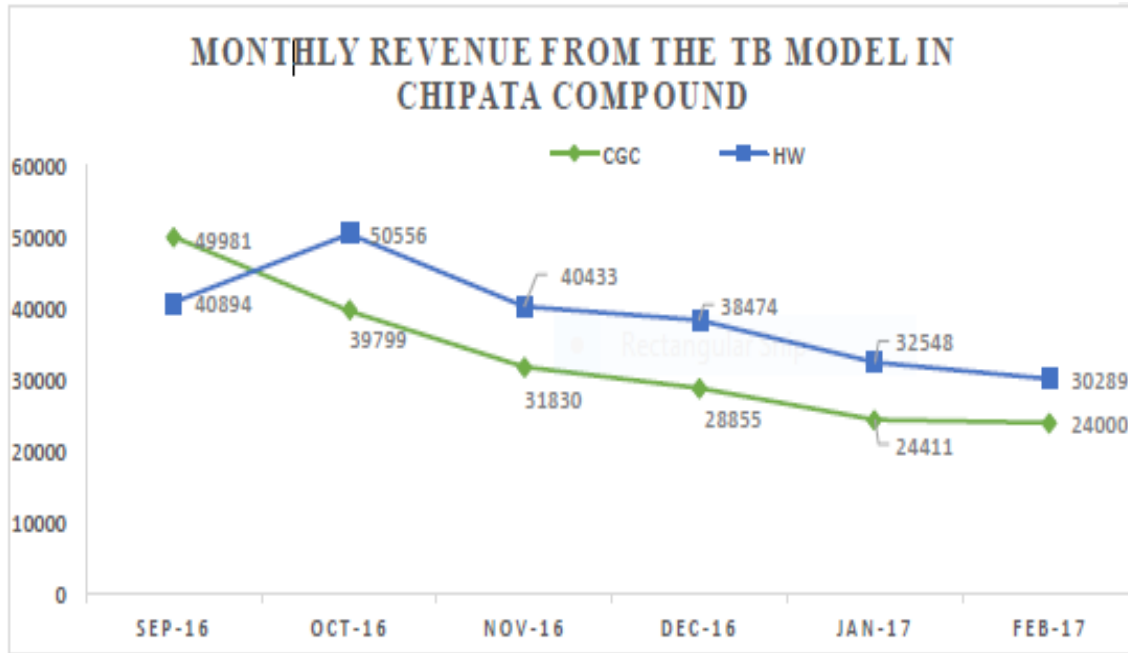


Figure 4 above shows the trends of revenue for CBEs in Chipata compound. It shows that there has been decrease in revenues from Sep 2016 to Dec 2016.

### 3.3.2.3. Factors accounting for the reduced TB revenue

A number of factors were attributed to the findings and observation of the trend with regards to the implementation of TBM, which included the following:

- **Reduced water production and reduced water sales:** Compared to the time when the model was developed, CWT has experience reduced water production.
- **Reduced water demand from CWT:** During the assessed period (rain season), the CWT experienced low demand for water as households used alternative rain water for other uses.
- **Illegal water sales by private borehole owners:** The number of boreholes in the settlement had increased who are vending in the commodity at a reduced price of 50ngwee per 2x20ltr containers compared to CWT tariff of 50ngwee per 1x20ltr container. It was found out that some community members opted to purchase water from the private borehole owners than the Water Trust.
- **Power supply outages:** CWT experienced power outages which meant that the water supplying hours reduced.
- **Other revenue streams (recycling & fines) not effected:** In the business plans, CBEs projected that selling recycled materials and fines from illegal waste dumpers would bring in revenue. However these two revenue stream were not implemented.

### **3.3.3. Review findings on effectiveness of Enhanced Direct Payment strategy**

Enhanced Direct Payment is a model that is being implemented in Ng'ombe settlement in Lusaka where CBEs collect revenue from customers (households and business entities) who have subscribed within designated zones. Enhancing direct payment was done through awareness raising, increasing customer subscription, monitoring compliance to waste subscription, community policing to deter illegal dumpers, incentivizing good customers to encourage them to continue subscribing, and service quality monitoring of CBEs.

The review found out that all community members interviewed expressed happiness with the waste collection process in their respective areas. However, they bemoaned the poor customer relations by some CBEs. Their concerns bordered more on poor attitudes some waste collectors.

On customer subscription, the EDP has enabled CBEs increase their customer base from 2106 to 2955. The project target was to have 40% (5,522) of the 13,804 households subscribe to the CBEs. It can be deduced that customer subscription had increased by 40%. Some respondents interviewed said that the high cost of waste collection services at K30 per household per month was high for the poor residents in the community. Below are some statements from the respondents:

*“I think there is need for proper planning, look at how people are paying for TV license, water and electricity, if they can pay for these services, it's possible too to pay for the collection of garbage,” (Male Participant in Ng'ombe compound).*

*“All what is needed is for stakeholders to plan just like other service providers such as ZESCO. If a collection fee like TV levy is properly structured, people will pay. It is just common sense that everyone should also be able to pay for the waste they generate” (Female Participant in Ng'ombe Township).*

Other community members confirmed that they have ended up sending young ones to dispose of the waste wherever possible due to lack of money to pay for waste. This in turn is what is causing illegal and indiscriminate dumping of waste in the community.

This situation was equally confirmed by CBEs. All CBEs interviewed expressed concern over high levels of non-subscription to waste collection by community members. They further confirmed that other community members have ended up disposing off waste in the nearby stream and drainage systems, causing blockages.

#### **3.3.3.1. Increased revenue from EDP**

EDP had an objective ultimate objective of increasing revenue for CBEs. Statistics deduced from the baseline report indicates that all four CBEs in Ng'ombe had an average monthly income of K4, 940 which was collected in 2014 before the start of the COMEQS project. The income has since increased with the implementation of EDP to K32, 258

A review of the Ng'ombe CBEs business plans showed that their projected monthly revenue was K158, 790.00. It can be shown that while the revenue for CBEs had increased by 553%, it still failed short of 4 CBEs' business plans projections.



### 3.3.3.2. Factors Accounting For the Findings of EDP

A number of reasons were cited for the marginal increase in the revenue for the CBEs. These factors include:

- **Low Subscriptions:** the number of subscribers are increasing at a very slow rate in Ng'ombe which is affecting the rate at which the income is increasing.
- **Non-Compliance To Subscribe:** when compared do the population of Ng'ombe CBEs are still recording a low number of subscribes
- **Capitalizing On Other Revenue Streams:** the Business plan had indicated several other stream of income that include recycling and fines effected on illegal dumpers, however these have been acted on.

### 3.3.3.3. General Community /CBE Feedback on EDP

Through a focus group discussion held in Ng'ombe the following was the feedback:

General satisfaction with the waste collection process by CBEs: the community expressed some level of satisfaction with the services provided by the CBEs although it was clear that more needed to be done to ensure a cleaner environment

Some CBEs not reaching customers: the recipients of the services equally indicated that the CBEs need to increase their investment in transport if the whole population of Ng'ombe was to be covered effectively.

Poor public relations by some waste collectors: it was also reported that some CBEs needed to work on developing better relations with the community. High operation cost of waste collection business coupled with Households unable to pay SW tariffs were the general views from the community.

### 3.3.4. Review findings on effectiveness of other project strategies

The review deduced that four other key strategies were used on the project to support the implementation of the two main models TB and EDP. The other four key strategies were:

#### a) *Use of Participatory Processes*

- The project was anchored on the use of participatory approaches in the implementation of the activities. The review noted that there were 14 partners participating on the project bringing on board competencies and interests. The review further observed that the project did facilitate for participation at community level and institutional level partners in Annual Reviews & Planning which helped in brought all stakeholders' inputs.

### ***b) Information Sharing***

Since COMEQS is a pilot project they frequently shares information with various stakeholders to promote learning in the WASH sector. Through **Advocacy work**: community events as advocacy fora; engage with Civic leaders (the Mayor/Deputy/Councilors); joint messaging; policy submission to parliamentary committee on SW are some practical aspects used for information sharing.

### ***c) Partnerships***

By design, the COMEQS project is built on the premise of strengthening and developing new partnership. This is helping in creating awareness for the models that are being piloted. **This is evident through collaboration which has resulted in** increased sector networking & sharing information (collaboration meetings, WASH nights), built relationships, joint monitoring: joint learning opportunities

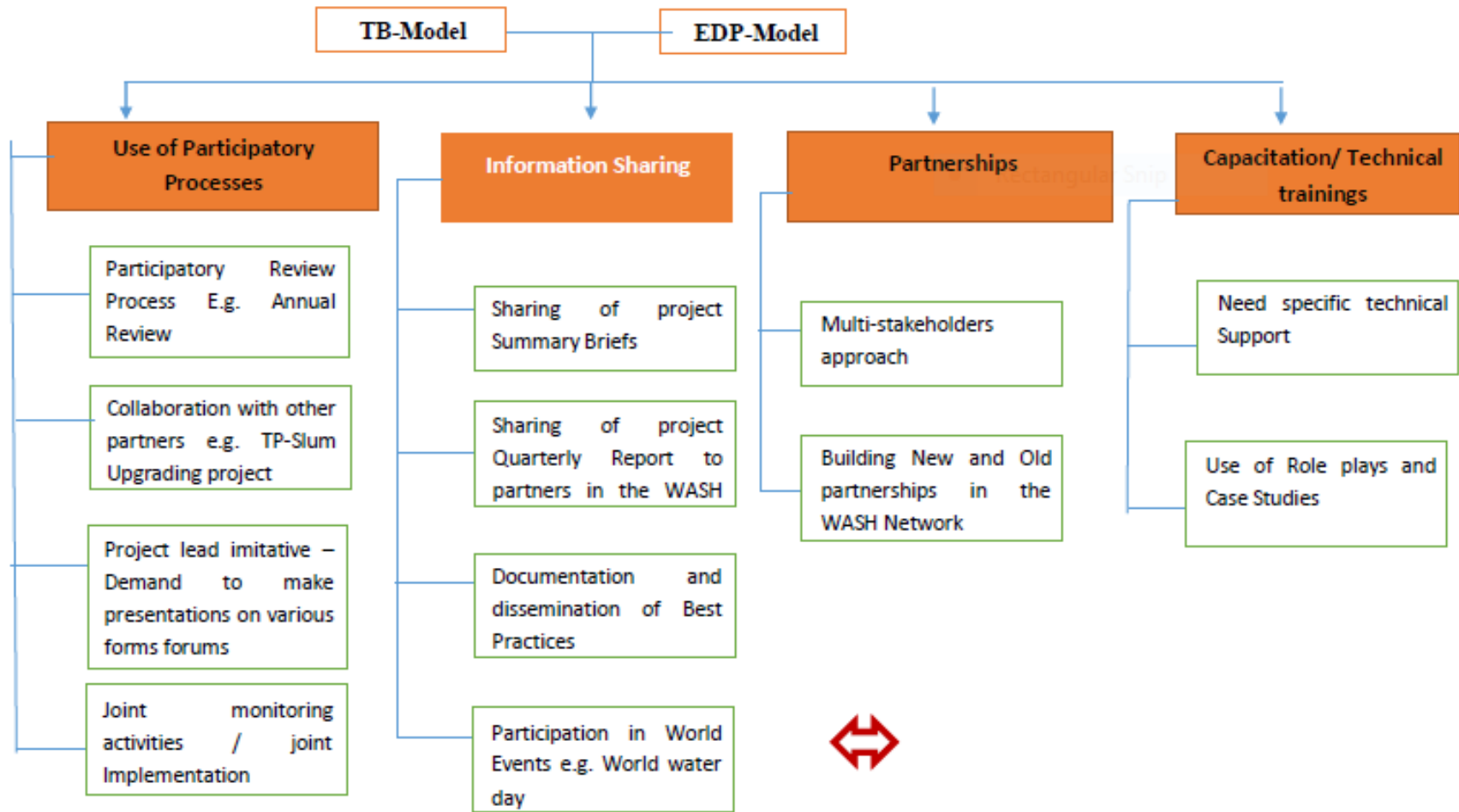
### ***d) Capacitation / technical trainings***

To enhance performance of the various players on the project, technical trainings were provided for various players. For example through **Knowledge & Skills strengthening**: Hands on skills strengthening, technical support (e.g. WASAZA trained two CBEs in business development), and business re-orientation of CBEs

The four key strategies are further broken down into sub strategies as indicated in figure 3 below. Based on the results achieved so far on the project it can be qualified that the tabulated strategies are aiding the achievement of project main purpose of identifying viable revenue model.

Figure 5 gives an illustration of the strategies employed on the project to ensure achievement of project activities. These strategies are used across the various project outcomes.

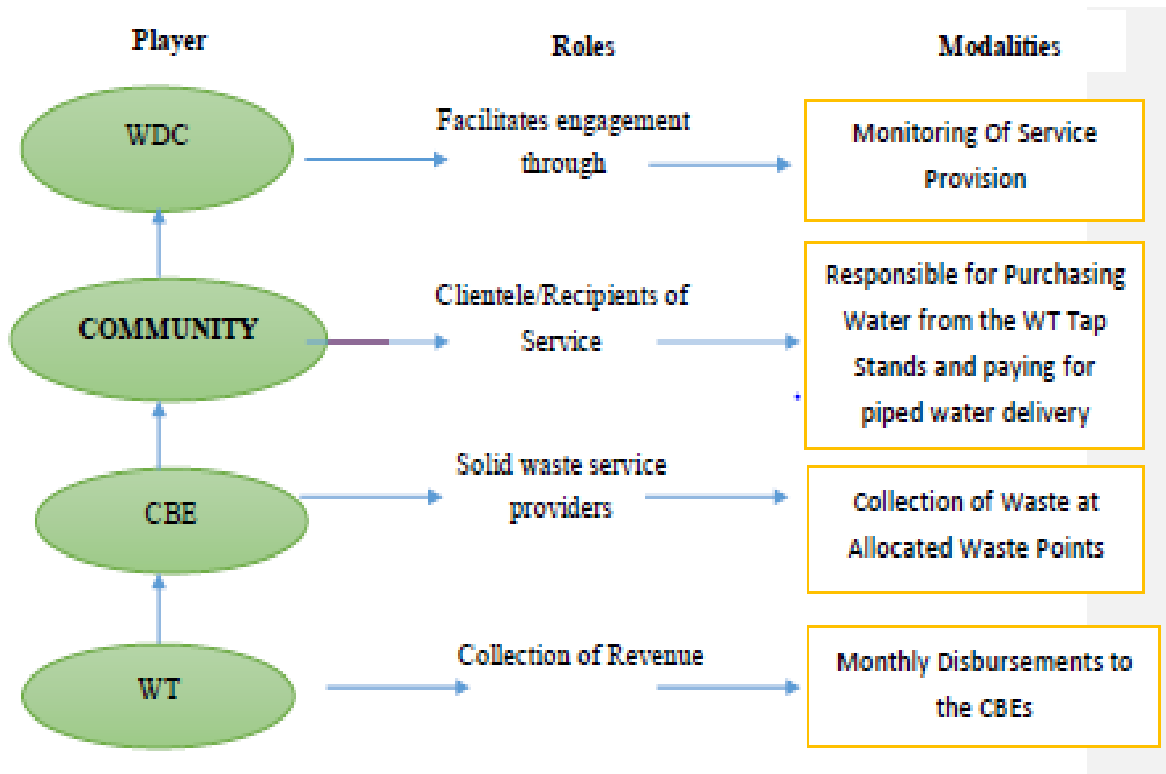
Figure 4: Strategies Used On the Project



### 3.3.5. Assessing other positive effects of TB approach

A number of positive where observed with the implementation of TB in Chipata apart from increase waste tonnage and income. Figure shows increased community stakeholders' R & R, and participation among the various players facilitating the implementation of TB at community level.

Figure 5: Increased community stakeholders' R & R, and participation



One of the thrusts of this review was to establish if and how the TB model is working in Chipata compound. Figure 6 below shows the Link between the various players in the TB Model.

It was observed that a very strong link between CBE, WT, WDC and the Community in the implementation process existed as illustrated in figure 4 above.

## 3.4. OPERATIONAL SYSTEMS AND PROCESS OF IMPLEMENTATION

### 3.4.1. Key Assessment Questions

- i. How effective was the system to measure progress towards the project objectives?
- ii. Was there a systematic way of collecting, reporting and using data at all project levels?
- iii. How has project data used to make management and technical decisions?
- iv. How have the project's monitoring and impact data been used beyond this project?

### 3.4.2. Findings of the Review

The review process showed that the project has put in place various operational systems and processes to ensure smooth implementation of the project activities in phase 1.

#### i. Systems for Data Collection

The project has a Data Management system in place that is anchored on four key principles

##### a) *Routine data collection by various stakeholders*

The review of project documents and feedback sessions from the two settlements indicated that the project has an operational system used to measure progress towards the project objectives. This is evident of a systematic way of collecting the project data. The data is collected by various stakeholders on the project, the data collected is both qualitative and quantitative with clearly defined time lines. The six CBEs received training on the handling and management of the data as can be seen from the quote below:

*“We usually have one on one sessions with the M&E person. At first we didn’t understand what data tools are but now we are expertise in collecting data we can collect data tonnage on a monthly basis..... (Interview with CBE in Ng’ombe, 2017)*

##### b) *Data sharing*

The project has a robust data sharing systems with partners in the network, with data shared quarterly, annually and as and when any stakeholder demands for the data.

##### c) *Data feedback system*

The project does allow for feedback on the data collected once the data is shared, however this needs to be strengthened and continuous to allow for the making of strategic project decisions.

#### ii. Sub-Grant Agreement

The review observed that CARE had signed sub-grant agreements with two partners (PPHPZ and CWT) who received funds for project activity implementation. The agreement was a contract management system/tool that guides the parties on the aspects of project management such as obligations, conditions, and financial and program reporting. It was found out that CARE conducted an orientation workshop with partners on the agreement.

#### iii. Risk Assessment –Continuous Risk Reporting Mechanisms

During the review it could be seen that the project has a continuous risk reporting mechanism that allows for the undertaking of remedial measure once a risk is identified, for instance the aspect of private borehole selling water was identified within the first month of the roll out of TB in Chipata and activities around how this could be addresses where structured.

**iv. Monthly Management Meeting**

The key project implementers CARE and PPHPZ used to have monthly management meeting as a way of keeping abreast, however review of the project documents indicate these meetings have not been held for a while, there is need to restart this system for effective scaling up of the project.

**3.5. BARRIERS TO ACHIEVING RESULTS**

**3.5.1. Key Assessment Questions**

- i. What challenges have been faced during the implementation of COMEQS Solid Waste project?
- ii. What was the project response to these challenges?
- iii. What are the major factors in limiting achievement, if any?

**3.5.2. Findings of the Review on challenges related to the implementation of TB Model**

The project faced a number of challenges in relation to the implementation of the two models in the different settlements.

**i. Delayed process of having the TB model approved**

The long process of getting the tariff bundling model approved by LWSC delayed the implementation of the project in Chipata, hence shortening the time of learning for the project implementation team.

**ii. Illegal water sales by Private Boreholes**

Although this aspect seemly to be largely outside the scope of the project. The sale of water by unlicensed individuals in Chipata settlement can be said to have attributed to loss of income by the Water Trust and implied that the CBEs are also collecting waste from individuals who are not buying water from the Water Trust. It must be mentioned that the project had facilitated the formation of a Taskforce to engage both LWSC and Private borehole Owners and find measures to help resolve the issue. The review learnt that LWSC had issued a letter to Private Borehole Owners to stop selling water to the public.

**iii. ‘Exportation’ of waste from neighbouring settlements that are outside the coverage of the project**

The review learnt that the residents from Kabanana and Mazyopa settlements, surrounding Chipata, to dump their waste in Chipata hence increasing the waste tonnage collected and operational costs. The fact that the project is just covering Chipata settlement, the surrounding settlements that have water supplied by the CWT feel the project should be extended to the other settlement.

**iv. Inadequate transport for the CBEs**

The CBEs are still highly dependent on the project tractor to collect waste in the settlement. The two CBEs are hiring private transport but the scale at which this is needed is limited due to cost. It must be mentioned however, that one CBE (HW) has purchased extra

Compactor Truck for waste collection. The review also learnt that CGC had equally started the procurement process. It is expected that once the two additional trucks start operating, the secondary transport challenge in Chipata would be significantly addressed. The HW compactor truck is quite large that it could also be utilised in Phase 2 settlements.

**v. Inadequate transport for secondary transportation of waste bin containers**

The review learnt that secondary collection of waste containers to Chunga Landfill was a challenge. CBEs said that WMU had not been able to facilitate quick transportation of waste containers due to the breakdown of their Hook lift Trucks.

**vi. Inaccessibility of the Chunga Landfill**

Accessibility to the Chunga Land fill presented challenges to the operations of the CBEs especially in the rain season. When it rained trucks queue up and sometimes get stuck. These caused long haulage time and limited the number of trips to the dumpsite. We learnt that at times the landfill get closed for two to three days, making it difficult for the CBEs to dispose of the waste

**vii. Lack of operationalization of the Business Plans**

While the project supported the CBEs develop their business plans, it appeared the CBEs were having challenges translating the documents into operational tools. The review did not find evidence of CBEs reviewing their cash flows and re-plan their operations in view income fluctuations affected by the reduced water sales, low customer subscription and non-implementation of some initial proposed income streams.

**viii. Lack of clarity on who is responsible for clearing drainages**

The review found out that CBEs were collecting silt from drainages in addition to collecting waste from open spaces. CBEs said that they did that in order to facilitate and measure change in waste behaviour. . However, CBEs also complained of increased waste haulage as a result. The review further learnt that LCC had engaged Private Contractors collect silt from the drainage. So, it appears, there was lack of clarity on what works each party (CBEs and Drainage Contractors) were responsible for.

**3.5.3. Findings of the review on challenges related to the implementation of the EDP model**

**i. Lack of operationalization of the Business Plans**

The CBEs seem to have limited capacity to ensure effective operationalization of the Business plans, despite the trainings received. This challenge is applicable to both TB and EDP although CBEs under the TB are making steps to operationalization the Business plans. There was no evidence of CBEs reviewing their cash flows in view of fluctuating inflows experienced.

**ii. Poor accessibility of some areas affecting CBE operations**

Due to the informal arrangements of the housing units in Ng'ombe settlements, some areas in the settlement are inaccessible making it difficult to collect waste effectively.

**iii. Income fluctuations**

Changes in the incomes of the CBEs makes it challenging for the CBEs to make financial projections and improvements to business operations

**iv. Ongoing lack of community understanding of the value of paying for waste collection**

Despite the improvement in the number of waste subscribers in Ng'ombe the community still has challenges understanding the payment system of per kilograms of waste collected. A quote below from the FDG indicated that more awareness still needs to be done to ensure understanding of the payment system.

*.....I pay 8 kwacha for weekly collection why should I pay more when I have three bags of waste..... (FDG, Ng'ombe, 2017)*

**v. Low capacity of the CBEs to cover the operational zones frequently**

The operational zones for the CBEs in Ng'ombe are big compared to the number of CBE Waste Collectors, this puts a lot of pressure on the CBEs to effectively collect waste from the households.

**vi. Frequency of waste collection**

Respondents said that the CBEs only collect waste once in a week in the allocated zones, which was felt insufficient to ensure a cleaner environment.

**vii. Reliance on LCC WMU secondary collection transport which is irregular**

At current revenue inflows, the EDP Model relies on low operational cost and ultimately depended on subsidized LCC WMU secondary transportation of waste. However this transport system is irregular and, thus, affects the operations of the CBEs negatively.

**3.5.4. General project implementation challenges**

**i. Inadequate enforcement of By-Laws**

The Council, Community and other stakeholders lack the capacity to enforce waste management related By-laws

**ii. The WDCs lack mandate and capacity to enforce community policing**

The project strategy of community policing was not effective. The WDC lacked mandate to implement and link it to LCC fast track court system. However, regulation was also necessary in EDP to increase waste subscription and reducing illegal dumping. The community policing mechanism needs to be strengthened if behaviour at community level with regards to illegal dumping and lack of subscription is to be addressed.

**iii. Bad road access to the Chunga Landfill**

This is common especially during the rainy season this trends to increase haulage time and in most cases the tractor get stuck implying threat the number of trip made to the landfill



are reduced and ultimately the waste collected from the community is also less.

The actions needed to address the above mentioned challenges are tabulated in the recommendation section of the report.

### **3.6. LESSONS LEARNT AND BEST PRACTICES TO GUIDE ROLLING OUT PHASE 2**

#### **3.6.1. Lessons Learnt**

- i. The project has several opportunities that have not been seized effectively by the key implementers notable is the presence of Ward Development Committees, the project has not maximized on the presence of this structure
- ii. For the facilitation of the trainings conducted, the project may need to rethink who facilitates a training in an event that the key implementer (Among the key project implementers (PPHPZ, CARE) tasked to undertake a training is in need of the same capacitation.
- iii. Multi-partnership and a multi-sector approach has also helped to create visibility for the project hence leading to a growth in the project linkages not limited to the WASH sector.
- iv. The rain season poses challenges of reduced water sales but increased waste tonnage and inaccessibility of the land fill
- v. Drainage maintenance ought to be given attention by LCC and contractor so that the scope of work is clearly defined; and CBEs are made aware what work they are supposed to be responsible.

#### **3.6.2. Best Practices**

The project has a number of best practices that can be used to enhance the achievement of project results:

- **Co-ordination of activities by different players at community level**

It was evident during the review that various project activities are clearly coordinated by the different partners on the project. Although institutions responsible for enforcements need to be engaged more to ensure effective implementation of the waste management by-laws which are instrumental in ensuring a clean environment after the CBEs have done their work. This can be seen from the quote below from one of the community members during the focus group discussions.

*“Many times we have catch illegal waste dumpers and taken them to the police who have repeatedly refused to address the issue saying it is not part of their responsible despite them been a law enforcer” (Ng’ombe FDG, 2017)*

- **Good partnerships between CBEs and WT as a result of continuous engagement to facilitate smooth implementation of TBM**

As indicated in figure 4 the TBA is anchored in a good working relationship and common understanding between WT, CBEs, WDEC, and Community. The link and line of communication among these players at community level is a good mechanism of fostering change in waste management behaviour as was shown on the project. This link needed further strengthening if the project is to outperform in the next phase.

- **Peer to peer learning (although this needs to be scaled up)**

The project has also used peer to peer learning at a way of strengthening the capacity of the key implementing partners

- **Hands On Orientation To Handling The Project**

For some key technical skills the project equally used a hand on approach to train some of the CBEs, this is also a continuous process that is highly recommended as the capacity of the CBEs to handle project data is vital for learning and replication on the project.

## 4. CONCLUSIONS AND RECOMMENDATIONS

### 4.1. Summary of Review Findings

- Increased waste tonnage collected in Chipata settlement from 308 tonnes per month to monthly average of 2,004 tons between September and December 2016.
- Increased revenue for Chipata CBEs from average of K27, 000 collected through direct payment method to the monthly average of K82, 500 after tariff bundling approach indicating 205 increase in revenue collected through the TB Model. The highest revenue was K107, 566.
- 34 out of 39 (87.2%) planned activities under phase 1 were implemented from March 2016 to March 2017
- In Chipata, 100 % of the 18,667 households with more than 95,041 people (100%) are accessing improved solid waste collection service, an increase from 7,140 households before tariff bundling. This implies that 100% of the population of Chipata now has access to solid waste service through the TB Model.
- In Ng'ombe, up to 2,955 households with 17,771 people accessed improved waste collection services, an increase from 2,106 households and 11,583 people before the project. Prior to EDP the CBEs in Ng'ombe collected waste from 15% of the Households with the implementation of EDP the CBEs have recorded a 40 % increase of waste collected from 13,803 Households.

### 4.2. Conclusions

**Progress of implementing planned activities:** it is evident that the project has recorded a high performance with regards to the implementation of the project activities at 87% completion rate. The project has shown the use of inclusive project planning processes, evident from compositions of the stakeholders invited for all the project planning meetings.

However a number of activities on have been delayed on the project these include:

- Completion of the social accountability system
- Undertaking of Joint Monitoring review
- Promoting of innovations among CBEs.
- Market Linkages

A review of the DIP reveals gaps in some key areas:

- Framework of undertaking market linkages:** the activity of facilitating market linkages needs to be revised in terms of modalities of how this project will implement this activity.
- Approach of mainstreaming and integrating gender:** CARE-Zambia needs to consider how gender elements can be included on the project as this is vital for the sustainability of the project in the future, this may call for the revision of the project DIP.
- Activities tailored at promoting inclusive governance:** CARE and PPHPZ need to consider undertaking of activities on the project that promote inclusive governance as structures at community levels are already in existence.

- iv. **Recycle activities** Despite recycling not been a key activity on the project, the project can provide some form of technical support through market linkage so as to help the CBE diversify the income streams. Alternative CBEs can be capacitate to help household begin to recycle waste at household level through innovate payment systems for households generating less waste.

**Progress towards Achievement of Outcomes:** the Project has recorded significant progress in achievement of the desires results in term of changes of income (200%) and increase in waste collected (550% under TB) at community level. There is need though to ensure effective operationalization of the developed business plans by the CBEs to ensure diversity with regards to the income streams.

**Sufficiency of Strategies to Reach Results:** The project strategies can be deemed sufficient as the project has been able to achieve and implement most of the planned activities. However, a number of key elements need to be strengthened however as the review deducted weakness around the following elements:

- i. **Enforcement of by-laws:** the project is been affected negative by a weak enforcement of by laws in the two settlements.
- ii. **Community Policing:** Community policing is literally been done on a very small scale on the project
- iii. **Promoting of innovations among the CBEs:** the CBEs are lacking in terms of innovations to grow they businesses and expand the income streams
- iv. **Relationship with institutions like LWSC:** the Relationship with LWSC also needs to be constantly natured to a level where the institution begin to see its relevance and contribution to their work.

**Barriers to achieving results:** it can be concluded that the most critical challenge on the project is lack of adequate transportation for both primary and secondary transportation of waste for both models., for TB the challenges are compounded by the existence of private bore holes and slow rate of subscription despite the awareness activities that have been implemented in Ng'ombe settlements.

**Operational systems and process of implementing phase 1:** From the review it was deduced that the project has an effective operational systems that are helping in achieving project outcomes, however there is need to strengthen data assessment especially in Ng'ombe, data quality assessment processes should be conducted frequently to ensure authentic reporting at CBE level.

### 4.3. Recommendations

Following the various matters identified during the review, these are the recommended actions that can be considered prior to the roll out of phase 2,

Table 2: Recommended Action for each Stakeholder

<b>Issue/Observation</b>	<b>Recommended Actions</b>	<b>Stakeholder to address the Action</b>
<p>1. Inadequate enforcement of By-Laws on solidwaste and hygiene</p>	<p>LCC and the Police should ensure that by-laws of waste management are jointly implemented to influence waste management behaviour at community.</p>	<p>PPHPZ /CARE should facilitate the undertaking of awareness programmes to ensure effective implementation of By-laws. This can be done through:</p> <ul style="list-style-type: none"> <li>i. Printing of By-laws and placing them in strategic police stations</li> <li>ii. Conducting workshops with Council police and ZPS to increase knowledge levels on solid waste issues.</li> <li>iii. The project should facilitate a community sensitisation meeting by ZEMA to explain the Environmental Management Act</li> </ul>
<p>2. Private Borehole Owners selling water</p>	<p>LWSC and LCC to jointly hold discussions with private borehole owners and stop them from selling water but ensure they subscribe to waste collection using EDP in Chipata were TB is been implemented.</p>	<p>CARE, PPHPZ, Community taskforce and LWSC to follow-up the letter with support from NWASCO</p> <p>NWASCO should introduce a legal framework for managing private borehole owners supplying and (selling) water to the public.</p> <p>Ministries of Local Government (Local authorities), Min. of Health should work with Ministry of Home Affairs (the Police) to increase fight the scourge of illegal waste dumping.</p>

<p>3. Un subscription to the waste collection service</p>	<p>LCC/WDC/Local ZPS to work together to implement the community policing mechanism to encourage user subscription</p>	<p>LCC to consider increasing incentives given to individuals who take action on illegal dumpers</p> <p>WDC to lead a community Taskforce to do regular household inspection of subscription compliance</p>
<p>4. Lack of operationalization of Business Plans</p>	<p>Adequately support the implementation of this activities through Peer to Peer learning</p>	<p>CARE/PPHPZ should provide for ongoing business support to operationalise the business plans.</p> <p>CBEs should be preparing monthly financial reports to help them monitor income and expenditures</p> <p>CBEs should consider increasing their income streams, e.g. recycling which could also reduce their waste tonnage (and operational costs)</p>
<p>5. Tractor and Trailer seem inadequate transport system in settlements with large populations</p>	<p>Ensure a consultative process and scoping is done prior to the purchase of the suggested transport</p>	<p>CARE/PPHPZ should engage LCC &amp; Kanyama CBEs to determine appropriate transport to buy given its bigger population</p>
<p>6. Delayed start of Implementation</p>	<p>The Project Team must share project reports and follow through for feedback as a basis to encourage the commencement early decision making processes by LWSC</p>	<p>CARE/PPHPZ should engage LWSC to quicken start of phase 2 in order not lose more time</p>
<p>7. Land fill management</p>	<p>LCC should improve its landfill management</p>	<p>LCC should engage all organisations implementing solidwaste interventions or have WASH work in the city to consider contributing</p>

		towards the cost of repairing the landfill compactor
8. Inadequate secondary transportation	LCC should improve its secondary transport	<p>LCC and CARE should discuss the possibility of the project repairing a WMU Roller Truck and assign it to the project settlements.</p> <p>CARE/PPHPZ should engage H.W Waste Collector who has bought a Compactor Truck on the possibility of hiring it out to Kanyama and Chaisa CBEs</p> <p>Kanyama CBEs with potential for more tariff bundling revenue should be engaged to jointly procure a waste collection truck</p> <p>CARE/PPHPZ should engage LCC &amp; Kanyama CBEs to determine appropriate transport to buy by the project given its bigger population</p>
9. Inadequate water supply hours	Chipata Water Trust to improve on water supply hours to allow residents draw water for longer time.	<p>CWT to isolate the distribution lines to allow residents on the upper side of compound have extended supply hours and draw more water.</p> <p>LWSC should consider funding network expansion works in peri urban areas</p>

			where they have delegated to Water Trusts.
10. Delayed accountability implementation	Social	LCC to expedite sign off social accountability system (Citizens Charter) to promote SW provider/user engagement	CARE and LCC to follow up and update regularly on this this matter so that it is addressed before the commencement of Phase 2
11. Promotion of innovative events	of	Accelerate the implementation of innovation events in Phase 2 in order to encourage cross learning.	CARE and PPHPZ should draw up a concept note on how innovation events should be held. The concept note should be shared with all potential participating organisations to start preparing.
12. Unclear scope of work on drainage clearance		CBEs & Drainage Contractors to clarify who and how drainage waste/silt is handled	LCC and WDCs should meet the two parties and address the matter
13. Waste Recycling/Re-use Market Linkages		Explore modalities of how this can be effected	<p>CARE/PPHPZ should engage WASAZA to do a scoping study to explore the linkages with the waste management industry so as to explore the possibility of partnerships in recycling of glass, plastic and paper as well as sorting at source.</p> <p>CARE/PPHPZ should engage Keepers Zambia Foundation on how the latter's Recycling Project in Chipata and Ng'ombe could be used to inform market linkage opportunities that the former could explore in Chaisa and Kanyama.</p>



<p>14. Enhancing delivery project</p>	<p>The project should consider some value addition strategies that enhance participation, gender mainstreaming and governance</p>	<p>The project should facilitate engagement with political leadership to create a stronger buy in of the project</p> <p>The project should adapt and incorporate gender focused activities into the project DIP</p> <p>Structure that promote Inclusive governance at community levels must be strengthen with necessary capacitation undertaken.</p>
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**5. ANNEXESS**

**5.1. Terms of References**

**SCOPE OF WORK FOR REVIEWING IMPLEMENTATION OF PHASE 1**

# OF COMEQS SOLIDWASTE PROJECT

## KML&I Unit, CARE Zambia

February 2017

### 1. Background

CARE Zambia is an international NGO that has worked in Zambia for over 20 years, focusing on humanitarian response and development in rural and peri-urban areas. CARE has been implementing projects in the areas of health and HIV/AIDS, maternal and child health, water and sanitation, social protection, governance, education, gender equality, economic empowerment and environmental conservation among others. To achieve sustainability of its interventions and ensure true ownership in communities of the processes supported by our work, CARE Zambia works with existing community structures and engages participating communities to increase their capacities to be responsive to their own developmental challenges.

### 2. The COMEQs Project

CARE Zambia is implementing the Peri Urban Community Driven Models for Equitable Services (COMEQS) Solidwaste Project in two peri-urban settlements of Lusaka District (Chipata and Ng'ombe) since October 2014. CARE is working in partnership with Peoples Process on Housing and Poverty in Zambia (PPHPZ) and three Water Trusts of Chipata, Chaisa and Kanyama. The partners are also collaborating with Lusaka City Council, Lusaka Water and Sewerage Company (LWSC), and Ward Development Committees (WDCs) and Community Based Solidwaste Enterprises (CBEs) from the four settlements.

The duration of the project is four years, October 2014 to September 2018.

- Phase 1 covering two settlements only (Chipata and Ng'ombe) is from October 2014 to March 2017. However, effecting the tariff bundling in Chipata started in September 2016.
- Phase 2 will cover all four settlement, including Chaisa and Kanyama and to run from April 2017 to September 2018.

### 3. Project Goal

The main goal of the project is to improve environmental conditions for the community in targeted peri urban settlements of Lusaka.

Purpose: To improve solid waste management through increased revenue for CBEs in targeted peri urban settlements of Lusaka.

The project is implementing two waste revenue collection models of '**Tariff bundling**' and '**Enhanced Direct Payment**'. Tariff bundling- waste fee paid through water fee and collected by Water Trusts. Enhanced Direct payment- waste fee paid directly to the CBEs. In Phase 1, the two methods were piloted in two separate settlements. The justification for enhancing direct payment method is arising from the fact that out of 37 recognized settlements in Lusaka only eight have water trusts. In settlements where Water User Committees manage the water points, the enhanced direct payment method would provide an alternative to the water utility for up scaling in those settlements without water trusts.

Planned Outcomes:

- v. Improved access to solid waste services by urban slum dwellers

- vi. Improved capacity for water trusts to manage tariff bundling revenue, and CBEs to deliver solid waste service
- vii. Municipal Authorities influenced to consider improved alternative waste revenue collection methods
- viii. Cross-learning, collaboration and joint advocacy promoted with COMEQs settlements, program partners and other stakeholders

#### 4. Some Expected Results

- o 310, 748 total number of people benefitting from improved solid waste access (Direct beneficiaries 111 CBE workers; Frontline Workers 428 PPHPZ, Water Trust & WDC staff; and Other beneficiaries 310, 209 community members)
- o 71% (from 5.4% at baseline) as percentage of waste collected compared to total waste generated
- o Increase in level of user satisfaction with the two solid waste tariff payment methods implemented (water-waste tariff bundling and enhanced direct payment)
- o 100% of trained CBE waste collectors demonstrating increased technical knowledge and skills in waste handling
- o Increase in CBEs gross income per month as a result of the tariff bundling and enhanced direct payment models

#### 5. Purpose and objectives of the phase 1 review

The phase 1 review is required to inform stakeholders in areas of improvement during roll out to phase 2 settlements. The review also reflects CARE’s commitment to improve its capacity and services. Therefore, the purpose of the review is to assess the effectiveness of the project implementation process as stipulated in the Project Implementation Plan (DIP).

The objectives of the assessment are:

- (a) To assess progress of implementing planned activities of both TB and EDP models
- (b) To assess progress towards achievement of results or outcomes
- (c) To assess if the project strategies are sufficient to reach desired outcomes
- (d) To identify barriers to achievement of outcomes
- (e) To provide recommended actions to guide rolling out of TB model in phase 2

#### 6. Coverage and scope

The review will cover both phase 1 project settlements (Chipata and Ng’ombe). Within the specific objectives outlined in section 2 above, the review is tasked to explore and answer the questions outlined in the draft data collection framework below:

Objective	Proposed assessment questions to assist in data collection
To assess progress of implementing planned activities	<ul style="list-style-type: none"> <li>o How inclusive was the internal project review and planning processes and what effect did this have on the implementation process?</li> <li>o Which key activities have been completed, in progress, delayed or cancelled?</li> <li>o How did the project team react to changes in the external environment and partner’s needs and capacities, if any? Have changes been documented and justified?</li> <li>o What were the gaps in the project implementation plan and how were they addressed by the project staff?</li> <li>o To what extent has integration of gender equality and inclusive governance contributed to progress?</li> </ul>

To assess progress towards achievement of results or outcomes	<ul style="list-style-type: none"> <li>○ What is the progress towards the achievement of the outcomes?</li> <li>○ How did activities and outputs contribute to achieving the outcomes?</li> <li>○ Is the project on track to achieve the goal and purpose by September 2018?</li> <li>○ Is there a need to review and change focus and priorities in order to achieve the goal and purpose?</li> </ul>
To assess if the project strategies are sufficient to reach desired outcomes	<ul style="list-style-type: none"> <li>○ How effective was tariff bundling approach being implemented in relation, but not limiting to the following, TB application and approval process, awareness raising, tariff adjustment, monthly calculation and payment of revenue due to CBEs, use of TB funds by CBEs, service quality, service coverage, monitoring TB process and results to inform institutional and regulatory stakeholders?</li> <li>○ How effective was enhanced direct payment approach being implemented, in relation, but not limited to the following, use of equipment, allocation of waste zones to CBEs, subscriber recruitment, flexible payment modalities, enforcement of by-laws, community policing, awareness raising, monitoring EDP process and results to inform institutional and regulatory stakeholders?</li> <li>○ How effective are the other project strategies being implemented (Household subscription, Waste collection, Community policing, Social accountability, Awareness Raising, Technical training, Service quality monitoring, Project briefing, Intra-project collaboration among project partners, Networking and inter-project collaboration with other sector stakeholders)?</li> <li>○ What innovations were developed and implemented by the project. If any, what positive results are evident?</li> <li>○ What was the quality and nature of the relationship between CARE Zambia, LCC, LWSC, WMA, WDCs, WT and CBEs, and other stakeholders/projects that the project is collaborating with?</li> <li>○ What are the effects of this relationship on progress towards the objectives?</li> <li>○ Are the roles and responsibilities of each partner clear and understood?</li> <li>○ What coordination mechanism (s) exist? Are they useful and effective?</li> <li>○ Which Government structures and systems have an impact on the project and what were their effects on implementation, including commitment and resources?</li> <li>○ How does the M&amp;E system contribute to evidence-based decision making?</li> </ul>
To identify barriers to achievement of outcomes	<ul style="list-style-type: none"> <li>○ What challenges have been faced during the implementation of COMEQS Solidwaste Project?</li> <li>○ What was the project response to these challenges?</li> <li>○ What are the major factors in limiting achievements, if any?</li> <li>○ How can these be overcome within the remaining project period?</li> </ul>
To assess operational systems and processes of implementing phase 1	<ul style="list-style-type: none"> <li>○ How effective was the system to measure progress towards project objectives?</li> <li>○ Was there a systematic way of collecting, reporting and using data at all project levels?</li> <li>○ How has project data used to make management or technical decisions?</li> <li>○ Is the project staff or front line workers sufficiently skilled to continue collecting project data/information and to use it for project revisions or strengthening?</li> <li>○ To what extent did the project strengthen other existing data collection systems (i.e. government)?</li> <li>○ Do the project staff, local level partners, and the community have a clear understanding of what the project has achieved?</li> </ul>

	<ul style="list-style-type: none"> <li>○ How have the project’s monitoring and impact data been used beyond this project?</li> <li>○ Discuss types and sources, timeliness, and utility of external technical assistance the project has received to date.</li> <li>○ What technical assistance did the project need that was not available? How could implementing organisations better plan for the technical assistance needs of the project?</li> <li>○ What impact has logistics (procurement and distribution of equipment, supplies, vehicles, etc.) had on the implementation of the project?</li> <li>○ Is the logistics system sufficiently strong to support operations and activities that are intended to be sustained?</li> <li>○ Describe the morale, cohesion and working relationships of project personnel and how this affected project implementation.</li> <li>○ Describe the level of staff turnover throughout the life of the project, and the impact it has had on project implementation.</li> <li>○ What management lessons have been learnt in terms of planning, human resources, logistics, information management, and technical support?</li> <li>○ How will implementing organisations share and internalize these lessons?</li> </ul>
To provide recommended actions to guide rolling out of phase II	<ul style="list-style-type: none"> <li>○ What lessons and best practices could be drawn from the project?</li> <li>○ Which ones can be included in the National Solid Waste Management Policy soon to be reviewed or replicated in other projects?</li> <li>○ What are key factors in ensuring sustainability of achievements?</li> </ul>

## 7. Methodology

This review will use an exploratory research design with the use of the following data collection approaches:

- Desk reviews for secondary data
- Focus Group Discussions (FGDs)
- Key Information Interviews (KIIs) with selected stakeholders
- In-depth Interviews (IDIs) with project beneficiaries

However, this review will be done in phases:

**Stage 1:** The Project Team from CARE and PPHPZ will prepare: Work plan Activity Status Table, Summary of Progress, Indicator Tracking Sheet, and Monitoring Data based on the project M&E system. The Review Team will compile, structure and analyze available quantitative monitoring and reporting data provided by CARE Zambia and PPHPZ project team. The Review Team will also collect any relevant secondary data from LCC, LWSC and Waste Management Association.

**Stage 2:** The Review Team will collect primary data using in-depth interviews (IDIs), Key Informant Interviews (KIIs) and Focus Group Discussions (FGDs) with front line workers of WDCs, Chipata Water Trust and CBEs, and from community members.

**Stage 3:** The Review Team will compile a draft review report. There will be a meeting with organizations interviewed to validate the findings. With comments from the validation meetings, the Review Team will revise the report and submit to CARE Zambia for further comments. The Review Team will present the findings to stakeholders at a workshop. The final draft report will be later submitted to LWSC, LCC and Comic Relief. CARE Zambia will then engage LCC and LWSC to roll out phase II.

## 8. Roles in Managing the review process

### 8.1. KML&I Unit

CARE International Zambia's Knowledge Management, Learning and Innovations Unit (KML&I) Unit in collaboration with CARE UK and the COMEQS Project Team, will facilitate the review process: coordinating meetings, ensure usefulness of the review methodology and ensure quality of reporting. If need be, KML&I Unit will contract a local consultant with sector (solidwaste experience) to peer review the draft report and attend both validation and stakeholder dissemination meetings.

### 8.2. COMEQS Project Team

The COMEQS Project Team will provide secretarial and managerial support and assist in gathering relevant information. The team will consists of: 1 Project Manager, 1 M&E Officer, 1 Community Mobilisation Officer and 1 Finance & Administration Officer. CARE and PPHPZ senior program team will provide technical backstopping as needed during the review process, and ensure follow-up plan of recommendations and lessons learned are implemented. The project team will also: arrange interviews, sites to be visited and logistics for fieldwork/meetings; provide responses to the Review Team during data collection; and provide responses to the draft report, recommendations and action plan.

### 8.3. Review Team

The Review Team will conduct the assessment of the phase 1 implementation of the COMEQS project. The Review Team will consist of at least 4-6 members including the team leader. The following are proposed: 1 CARE Zambia KML&I staff, 1 CARE UK Management Coordinator, 1 PPHPZ M&E Officer, 1 LWSC staff and 1 LCC Public Health/WMU staff.

## 9. Key Tasks for the review

- Perform a desk review of the documentation to understand the project context
- Develop the detailed review plan and approach based on this SOW
- Solicit views, ideas, suggestions, and collect data and information on what has worked and not worked, what needs to change
- Interview key front line workers and community members
- Ensure a logical and plausible link between information gathered and analysed, and results and recommendations presented
- Prioritize recommendations for action and outline possible implications;
- Report writing and submission

## 10. Schedule for the review

The review process is planned for February- April 2017 as follows:

Phase	Week Starting	Tasks
1	27 Feb 2017	<ul style="list-style-type: none"><li>○ KML&amp;I unit, Project Team, CIUK &amp; Partners finalizes the TORs</li><li>○ CARE Zambia appoints the Review Team</li><li>○ Project Team concludes budgeting and logistics</li></ul>
	6 Mar 2017	<ul style="list-style-type: none"><li>○ COMEQS Project Team prepares and submit project documentation to Review Team: Proposal, Project Implementation Plan, Activity Status Table, Consolidated Progress Report, Indicator Tracking Sheet, and Monitoring Data based on the project M&amp;E system.</li></ul>

	13 Mar 2017	<ul style="list-style-type: none"> <li>○ Review Team compile, structure and analyze available monitoring and reporting data provided by Project Team</li> <li>○ Review Team collect any relevant secondary data from key institutions and organizations</li> </ul>
2	20 Mar 2017	<ul style="list-style-type: none"> <li>○ Review Team collect primary data using interviews and FGD</li> </ul>
3	27 Mar 2017	<ul style="list-style-type: none"> <li>○ Review Team synthesizes the data</li> <li>○ Validation Meeting</li> <li>○ Submission of draft report to CARE Zambia</li> </ul>
	3 Apr 2017	<ul style="list-style-type: none"> <li>○ Stakeholders' dissemination workshop</li> <li>○ Submission of final draft report</li> </ul>
	17 Apr 2017	<ul style="list-style-type: none"> <li>○ CARE Zambia engage LCC &amp; LWSC for phase 2 roll out</li> </ul>

## 5.2. Interview Guide for Lusaka City Council Waste Management Unit



### KEY INFORMANT INTERVIEWS (KII)

**COMEQS MID-TERM REVIEW IN CHIPATA AND NGOMBE LUSAKA**  
**KEY INFORMANT INTERVIEW GUIDE FOR LCC-WMU**

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**A. Profile of Respondent**

- i. What work does your job involve?
- ii. How long have you been serving in your position?
- iii. Are you aware of the Solid Waste Management project being implemented by CARE and its partners?

**B. Assessing Progress (Planned Project Activities)**

- i. What is the capacity of CBEs to effectively collect waste now in comparison to before the project started?
- ii. What areas of operations have changed for the CBEs involved in the COMEQS project?
- iii. Have the capacitation programmes of the project translated into any change of operations for the CBEs ( please amplify the change)
- iv. What market linkages have been established by the CBEs on the Project?
- v. Is the project equipment been used effectively on the project and helping to achieve intended results?

**C. Achievement of Results/Outcomes**

- i. What achievements have the CBEs scored on the project?
- ii. Has the waste tonnage of the CBEs increased or reduced?
- iii. Have the numbers of waste subscribers increased for both models

**D. Assessing of Project Strategies**

- i. How effective is the Enhance direct payment being used in Ngombe?
- ii. Is the approach any different form the traditional DP system being used in non-project settlements?
- iii. Have the awareness activities and training helped to enhance this approach?
- iv. How effective is the Tariff bundling approach, how different is this methodology in comparison to EDP?
- v. Has your involvement as WMU on project facilitated for change of policy direction with regards to waste management?

**E. Challenges on the Project**

- i. What challenges have you faced working with the CBEs on the project?
- ii. What management challenges still need to be addressed in the operations of to promote sustainability?

**F. Operational Systems**

- i. Has the filing systems for the CBEs on the project improved in any way?
- ii. Do the CBEs report to any advisory board?
- iii. Do the CBEs provide any reports to the WMU unit?

**G. Partnerships**

How are you working with the other partners on the project?

What systems of collaboration after and networking are used on the project?

**Thanks you for your time**



### **5.3. Interview Guide for Lusaka Water and Sewerage Company**



**KEY INFORMANT INTERVIEWS (KII)  
COMEQS MID-TERM REVIEW IN CHIPATA AND NGOMBE LUSAKA  
KEY INFORMANT INTERVIEW GUIDE FOR LWSC**

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#### **A. Profile of Respondent**

- iv. What work does your job involve?
- v. How long have you been serving in your position?
- vi. Are you aware of the Solid Waste Management project being implemented by CARE and its partners?

**B. Assessing Progress (Planned Project Activities)**

- i. Did your institution Provide guidance to CARE on the tariff change mechanism.
- ii. How long did the approval process for the TBA take?
- iii. Did the project receive technical support in applying to the Water and Sanitation regulator (NWASCO) for tariff structure change in the WT project areas to allow for piloting of the water-waste fees tariff bundling?

**C. Achievement of Results/Outcomes**

- i. Is the model helping to achieve the project results of increased income-what is the evidence for your response?
- ii. Is the project making any tangible changes in the environmental outlook of the targeted settlements through the TBM?

**D. Assessing of Project Strategies**

- i. How effective is the TBM been implemented?
- ii. Does the project receive technical guidance and support through LWSC Peri Urban Department in the implementation of tariff bundling and setting up of service level agreements for the CBEs?

**E. Challenges on the Project**

- i. What factors are affecting the successful implementation of the Tariff bundling models? E.g private bore holes
- ii. What is being done to address this challenge?
- iii. What procedural challenges were faced in approving the TBM?

**F. Operational Systems**

- i. What systems are in place to effectively monitoring the TBM?
- ii. What technical support is the institution providing to the water trust to address gap in the efficiency of the TBM?
- iii. Does the project have a system to facilitate for monitoring of TB process and results to inform institutions and other regulatory players?

**G. Partnerships**

Does the project facilitate for the sharing of best practices on joint ventures?

**H. Policy Recommendation**

- i. What lessons can be drawn for the project that can be replicated to other settlement?
- ii. How sustainable are the models being piloted on the project?  
Which model would you recommendation to government for formulation into policy that could be rolled out to national level?

#### **5.4. Interview Guide for Project Staff**



**KEY INFORMANT INTERVIEWS (KII)**  
**COMEQS MID-TERM REVIEW IN CHIPATA AND NGOMBE LUSAKA**  
**KEY INFORMANT INTERVIEW GUIDE FOR PROJECT STAFF – CARE/PPHPZ**

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**A. Profile of Respondent**

- vii. What are your positions?
- viii. How long have you served on the project?

**B. Assessing Progress (Planned Project Activities)**

- i. What are the key activities that have been implemented on the project?
- ii. How inclusive are the project planning processes on the project?
- iii. What gaps exist in the project implementation plan to ensure effective implementation of activities?

**C. Achievement of Results/Outcomes**

- i. Is the project on track to achieve its goal?
- ii. What are the key project successes? How was that achieved?

**D. Assessing of Project Strategies**

- i. Does the project have a documented Management oversight strategy for coordination of on-going monitoring of project partners?
- ii. Do the different partners understand their roles and responsibilities on the project? Are they well implemented?
- iii. What approach is used on the project to promote collaboration and networking to ensure achievement of project outcomes?

**E. Challenges on the Project**

- i. What procurement challenges were faced on the project and how were they addressed?
- ii. What technical challenges does the project staff face in implementing this project?
- iii. What is being done to address these gaps in technical skills?

**F. Operational Systems**

- i. What systems are in place to ensure timely delivery of requested project funds?
- ii. What capacity building programmes have been designed to help improve operational efficiency of key implementation partners?
- iii. How is the working relationship with other partners on the project?
- iv. What technical assistance was given to project staff to ensure effective delivery of project results?
- v. What system(s) exist in managing project data? Dissemination?

**G. Partnerships**

- i. What activities are designed on the project to help build and develop new partnership on the project and in the WASH sector?
- ii. Does the project have a system to ensure participatory Monitoring and evaluation of the activities?
- iii. What is the quality of relationship with key project implementers and how can this be enhanced or improved?

## H. Policy Recommendation

- i. Does the project document and share best practices to key policy making institutions in the WASH sector?
- ii. What forums are used to disseminate project information?
- iii. What is worth knowing about COMEQs that has not been discussed?

**Thanks you for your time**

## 5.5. Interview Guide for Water Trusts



### KEY INFORMANT INTERVIEWS (KII)

### COMEQS MID-TERM REVIEW IN CHIPATA AND NGOMBE LUSAKA

### KEY INFORMANT INTERVIEW GUIDE FOR WATER TRUSTS

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- i. Name of organization/institution
- ii. Date of interview
- iii. Sex of respondent

iv. Position of respondent

**A. Profile**

- i. Do you have a Board in place?
- ii. What is your role on the solid waste management project?

**B. Progress in implementing planned activities**

- i. How was the process of purchasing equipment for CBEs?
- ii. What are some of the activities that you are involved in on a project?

**C. Achievement of Results/Outcomes**

- i. How would you describe the process of conducting awareness around TB?

**D. Strategies to reach desired outcomes**

- i. What strategy are you using to disburse and manage TB funds? What about the distribution of equipment to CBEs?
- ii. How effective were your project strategies in creating awareness?

**E. Challenges in Project Implementation**

- i. What are some of the challenges you faced during the rolling out of TB model?
- ii. What are the major factors affecting income generation for TB (e.g private borehole owners)?
- iii. What was the project response to these challenges?
- iv. Are your operations affected by TB model?

**F. Systems of Operation**

- i. Describe how income from TB fees is disbursed to WTs?
- ii. How do you manage your project data?
- iii. How do you keep your records?
- iv. Did you receive any technical assistance in managing project? Explain? How about equipment?
- v. What other technical assistance would you need for better implementation of the project?

**G. Partner Relationships**

- i. How do you relate with other project partners?
- ii. Are the roles and responsibilities of each partner clear and understood?
- iii. What coordination mechanism (s) exist? Are they useful and effective?

**H. Policy Recommendations**

- i. What lessons and best practices could be drawn from the project?
- ii. Which ones can be included in the National Solid Waste Management Policy soon to be reviewed or replicated in other projects?
- iii. What do you think should be done differently in implementing this project moving forward?

**END OF INTERVIEW**

## **5.6. Interview Guide for Ward Development Committees**



**KEY INFORMANT INTERVIEWS (KII)  
COMEQS MID-TERM REVIEW IN CHIPATA AND NGOMBE LUSAKA  
KEY INFORMANT INTERVIEW GUIDE FOR WARD DEVELOPMENT  
COMMITTEES**

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- i. Name of organization/institution
  - ii. Date of interview
  - iii. Sex of respondent
  - iv. Position of respondent
- 
1. What is your role on the project?
  2. How are you helping in creating awareness at household level to influence behaviour change in

- the community?
3. What systems are you using to promote accountability among CBEs?
  4. What system is being used to promote effective use of project equipment?
  5. How are you monitoring the quality of services provided by CBEs?
  6. Do you have environmental watchdogs in the community?
  7. Describe how you are implementing the engagement of CBEs and communities (clients)?
  8. What strategies are you using to enhance community mobilisation for acceptability of TB/EDP in the community?
  9. What data do you provide to other partners and stakeholders on the project?

**END OF INTERVIEW....**

## **5.7. Interview Guide for Community Based Enterprises (CBEs)**



### **KEY INFORMANT INTERVIEWS (KII)**

#### **COMEQS MID-TERM REVIEW IN CHIPATA AND NGOMBE LUSAKA**

#### **KEY INFORMANT INTERVIEW GUIDE FOR CBES**

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- i. Name of organization/institution
- ii. Date of interview
- iii. Sex of respondent
- iv. Position of respondent

#### **A. Profile of CBE**

- i. How long has this organisation been in existence?
- ii. Are you registered with PACRA?
- iii. Do you have permits from ZEMA?
- iv. Do you have organisational structure (company staff)?

#### **B. Progress in implementing planned activities**

- v. How has been your involvement in the implementation of the project?



- vi. How would you describe your capacity to handle the project to date?
- vii. What are some of the specific activities that you have implemented so far?
- viii. Were those activities implemented as planned? If not, why?

**C. Achievement of Results/Outcomes**

- ii. What is the average tonnage of waste you collect per month?
- iii. What is the average income generated from TB/EDP?
- iv. How would you describe your use of income generated from TB/EDP fees?
- v. Have you increased the number of subscribers since the inception of the project?

**D. Strategies to reach desired outcomes**

- a. How effective was the process of implementing TB/EDP in your catchment area?
- b. What strategy are you using to increase the number of subscribers?
- c. How often do you provide/receive feedback to/from the communities?
- d. How often do you engage with your clients?

**E. Challenges in Project Implementation**

- a. What are some of the challenges you faced during the implementation of COMEQS Solidwaste Project?
- b. What was your response to these challenges?

**F. Systems of Operation**

- i. How do you manage your project data?
- ii. How do you keep your records?
- iii. Did you receive any technical assistance in managing project? Explain? How about equipment?
- iv. What other technical assistance would you need for better implementation of the project?

**G. Partner Relationships**

- a. How do you relate with other project partners?
- b. Are the roles and responsibilities of each partner clear and understood?
- c. What coordination mechanism (s) exist? Are they useful and effective?

**H. Policy Recommendations**

- a. What lessons and best practices could be drawn from the project?
- b. Which ones can be included in the National Solid Waste Management Policy soon to be reviewed or replicated in other projects?
- c. What do you think should be done differently in implementing this project moving forward?

**END OF INTERVIEW....**

## **5.8. Discussion Guide for Project Beneficiaries in the Community**



### **KEY INFORMANT INTERVIEWS (KII)**

#### **COMEQS MID-TERM REVIEW IN CHIPATA AND NGOMBE LUSAKA GROUP DISCUSSION INTERVIEW GUIDE FOR PROJECT BENEFICIARIES IN THE COMMUNITY**

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#### **A. Profile of Respondents**

- i. Sex of respondent
- ii. Length of residence in the settlement:

#### **B. Knowledge about the Project**

- i. Do you know anything about the solid waste management project in your community? If yes, what do you know about it?
- ii. How did you hear about it?
- iii. Who are the implementers?
- iv. What was your involvement in the project before inception? Did you participate in any community meetings before the implementation of the project in your community?

#### **C. Knowledge gained from awareness activities**

- i. Have you attended or participated in any awareness activities on the COMEQS project?
- ii. Have you received any awareness materials?
- iii. What new things have you learnt about waste management at household level?

**D. Change in Behaviour as a result of the Project**

- i. With the coming of the project how are you handling your waste at Household level?
- ii. How do you dispose of your waste?
- iii. Do you pay for waste collection in your settlement-TBM/EDP?
- iv. Is it worth it paying for waste collection?

**E. Service Levels Standards**

- i. How often do CBEs collect waste from your area?
- ii. Is the waste collect point close to you House?
- iii. Do you have uncollected waste in your zone?
- iv. Do you know the CBEs operating in your area?
- v. How often do you hear announcement on waste collection from the CBEs?

**F. Acceptance of the Project Strategies by the Community**

Has the project brought any changes to your community?

What changes can you recommend to the waste management project?

**Thanks you for your time**