

MUNICIPAL TECHNICAL ASSISTANCE AREAS - ATMs TO SUPPORT COMMUNITY MANAGEMENT OF RURAL WATER AND SANITATION



Implementation Guide



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Swiss Embassy in Colombia
Humanitarian Aid and Cooperation (SDC).



MUNICIPAL TECHNICAL ASSISTANCE AREAS – ATMs TO SUPPORT COMMUNITY MANAGEMENT OF RURAL WATER AND SANITATION

Implementation Guide

ASIR-SABA

Community Management Model Methodological
guides for implementation Series



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This document is part of a series of five texts titled **ASIR-SABA Community Management Model. Methodological guides for implementation**, developed in the framework of the execution of the first phase of the **ASIR-SABA Comprehensive Rural Water and Sanitation project**, implemented by the Swiss Embassy in Colombia - Humanitarian Aid and Development (SDC), in agreement with the Instituto Cinara of the Universidad del Valle, the Ministry of Housing, City and Territory, the Departmental Water Plans of Cauca and Valle del Cauca, and the municipal mayor's office of Buga, Trujillo, Caloto and Santander de Quilichao.

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Cinara is the Universidad del Valle's Research and Development Institute on Water Supply, Environmental Sanitation and Water Resource Conservation. Its work focuses on researching and developing technologies and methodologies to support efforts in water and sanitation, especially in rural areas, in small and medium municipalities, and in informal areas of large cities, all of which have traditionally faced the biggest problems in their quest to access quality and sustainable services..

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PRESENTATION

With the objective of contributing to peace consolidation in Colombia, the Swiss Embassy in Colombia-Humanitarian Aid and Development (SDC) decided to take advantage of the experience developed by the Peru office through the Comprehensive Rural Basic Sanitation Model in Peru - SABA project, to use lessons learned from that initiative to improve the rural water supply and sanitation conditions in Colombia. Hence the **ASIR-SABA Comprehensive Rural Water and Sanitation** project was born in 2015, and it has since been implemented in the rural area of the municipalities of Trujillo and Buga in Valle del Cauca, and Caloto and Santander de Quilichao in Cauca. We are aware that any accomplishments in improving infrastructure and strengthening community management of water and rural sanitation will decline if local governments fail to institutionalize community support bodies that community members can turn to when they are overcome with problems that exceed their own capacities.

For that reason, and as SABA did in Peru, ASIR-SABA promotes interventions to strengthen local governments' capacities, and coordination between the national, departmental and municipal levels. Hence, at the municipal level, technicians have promoted the creation of Municipal Technical Assistance Areas in Water and Sanitation (ATMs in W&S). These technicians are responsible for providing technical support and capacity building to the community organizations that provide water and basic sanitation services in rural areas, in close coordination with the Departmental Water Plans and the Ministry of Housing, City and Territory, which is the sector's governing body in Colombia.

Based on the ASIR-SABA project implementation experience, we prepared a series containing five methodological guides for the implementation of the ASIR-SABA Community Management Model. These methodological guides document the project's experience throughout its initial phases and are aimed at strengthening water management in rural areas. Considering that the creation of ATMs can be useful for mayors throughout the country, we have prepared this document to encourage them to learn and adapt the experience carried out with the municipal governments of Trujillo, Buga, Caloto and Santander de Quilichao, to their local conditions.

We will persevere in our purpose to contribute to the consolidation of peace in Colombia, by supporting the improvement of rural communities' quality of life, through access to drinking water and basic sanitation.

Fabrizio Poretti
Head of Cooperation
Swiss Embassy in Colombia
Humanitarian Aid and Development (SDC)

INTRODUCTION

Based on the Political Constitution of 1991 and the decentralization process in Colombia, Law 142 of 1994 - or Public Utilities Law- specifies that municipalities are responsible for guaranteeing the provision of water and basic sanitation services for the urban and rural population in Colombia. However, municipalities -especially small and medium-sized municipalities-, have faced limitations such as insufficient technical, financial and operational capacity, which have prevented them from developing local strategies to support community organizations that are responsible for providing water and sanitation services in rural territories. It is well known that since the 1960s, rural communities have assumed the provision of water and sanitation services by means of a collective social management approach that acknowledges water as a cohesive element that can improve the living conditions at the local level.

Despite the importance of community management of water and sanitation in preserving the rural population's health and well-being, there have been very few experiences in Colombia that provide permanent support for this type of management approach. Hence the relevance of including as part of the "ASIR-SABA Comprehensive Rural Water and Sanitation" project, the formal creation of Municipal Technical Assistance Areas (ATMs) in the municipalities where the project is being developed: Caloto and Santander de Quilichao in the department of Cauca, and Guadalajara de Buga and Trujillo in the department of Valle del Cauca.

The experience of the SABA project- Comprehensive Model of Basic Rural Sanitation Projects, developed in Peru by SDC, was recovered in order to support the development of ATMs in the above mentioned municipalities. Also, a participatory design process was carried out with the mayors and officials of the municipalities involved in the project, the technicians and professionals that are part of the ASIR-SABA Comprehensive Rural Water and Sanitation project implementation team, and Instituto Cinara personnel. Instituto Cinara is responsible for the execution of the agreement between Universidad del Valle and the Swiss Embassy in Colombia - Humanitarian Aid and Development (SDC), and it served as a facilitator throughout the process.

This document covers the process implemented in the above mentioned municipalities, and proposes strategies to carry out a local characterization that facilitates the definition of the ATM's specific characteristics, the profile of the position or positions to be created and the levels of coordination required for its operation. This document is expected to be a reference for small and medium-sized municipalities in Colombia, that are interested in supporting community management of water and sanitation in rural areas.

THE CONTEXT

Small and medium-sized municipalities in Colombia and the provision of water and sanitation utilities in rural areas

As Varela (2016, p. 216) points out, local governments are generally defined as administrative management structures and agencies of municipalities, districts, and metropolitan or urban areas. Certain public policy implementation modes arise from these organizational structures and institutional designs, and are primarily based on the operational competencies assigned to them by the central State. This definition does not exclude great diversity in the forms and typologies, both in terms of spatiality and their competencies, resources, and realms where said governments exercise public power.

In varying degrees ranging from minimum autonomy in centralist models, to a more open scheme in federalism, local governments are ontologically defined by a base level that upholds their sovereignty in the exercise of their powers and in political relations with citizens.

With the intensification of the political, fiscal and administrative decentralization process, municipalities appear as "an increasingly important element within the country's political administrative structure, as the center for the promotion of economic and social policies and as a body that executes or facilitates processes aimed at satisfying the population's productive

demands and claims regarding their quality of life" (Velásquez, 1995, p. 1, cited by Delgado et al., 2017).

In Colombia, in administrative terms, decentralization required a new public management model inspired in the principles of efficiency, effectiveness, and an economy based on private management and the community's self-management of public goods and services. In the economic aspect, the State continued providing goods and services and acting as the regulatory entity of the economic activity, but there was an increased participation from the private sector and the non-governmental sector, and the market became the main resource allocation entity. An expression of the new role of the State is that public goods and services are allocated through demand subsidies and not through supply subsidies, as was the case in the model that was in effect until the 1980s, where the State was a corporate actor (Delgado et al., 2017).

The new competencies of municipalities were regulated in the Decentralization Statute (Decreets 77 to 81 of 1987) and Laws 29 of 1989, 10 of 1990 and 60 of 1993, and are related to the provision of potable water and basic sanitation services; construction, maintenance and provision of schools, sports facilities and primary health care centers; management of the local health system; agricultural technical assistance and implementation of integrated rural development programs; adaptation of land with road infrastructure and public and community services; co-financing of social interest housing programs; construction and conservation of municipal road networks; regulation of urban transport; provision of utilities; citizen security and assistance for vulnerable population groups (Velásquez, 1995, cited by Mosquera, 2010).

Nonetheless, within the so-called public services there is a subspecies that was created by the Colombian Political Constitution of 1991 and is

known as domiciliary public services or utilities. Law 142 of 1994 defined these services, as well as the mayor's responsibility in guaranteeing the efficient and timely provision of quality utilities. In this sense, it has been stated that municipalities' competencies include acting as a guarantor and manager of utilities (Article 5 and 6, Law 142 of 1994).

Nonetheless, the municipality is not alone in its management process, since according to the constitutional principles of complementarity and subsidiarity, the Nation and the department must provide permanent support to the municipality in the organization and provision of utilities. The Political Constitution awards the central level of government competencies regarding regulation, control and surveillance of said services (SSPD, 2012, pages 5-6).

For its part, the municipal government and the mayor, in their legal representation, are responsible for ensuring the services are effectively and efficiently provided to their community, through individuals, public, private, or mixed companies or organized communities. Exceptionally, when the technical and economic characteristics of the service and the general context deem it suitable, the provision is made directly by the municipality itself. In addition to the above, Law 142 of 1994 establishes that municipalities and their respective mayors have competences in matters such as:

- Stratifying residential properties (articles 5.4 and 101).
- Establishing the nomenclature of each property that has access to services (Article 5.5).
- Allowing the permanent installation of networks to be used by utility providers, without setting constraints to the providers with regards to the licenses or permits that they must issue according to the law, and demanding adequate guarantees for possible risks (article 26).

Carrying out comprehensive and continuous consultations with the community, to implement the basic elements of the social control figures, materialized in Utilities' Development and Social Control Committees; training them and providing permanent advice regarding their operation. Likewise, in coordination with the departments and the SSPD, ensuring training for supervisory members (article 65, number 65.1)

- Granting permission so that transmission and distribution lines of electric energy and fuel gas, conduction and distribution of aqueduct, sewage and telephone networks of utility companies, are able to cross rivers, streams, railways, bridges, streets, roads and also aqueducts, pipelines, and other lines or conductions, when there is no explicit law that states that another entity must grant such permission (Article 57).
- Determining whether the seizure of an asset conforms to reasons of public utility and social interest enshrined in the law, produce administrative acts and promote any judicial processes that may take place (articles 56 and 116).
- Imposing easements that are required for the provision of public services, in accordance with the law and with the competent entities, as the case may be (article 118).
- Providing advice to subscribers or users who wish to submit petitions, complaints or appeals against invoices or against other acts of Public Utility Companies - ESP (Article 157), through the municipal ombudsperson.
- Ensuring widespread dissemination of clear information on the provisions contained in the utilities law (article 187) (SSPD, 2012, pp. 12-13).

In this way, the decentralization process, the Political Constitution of 1991 and Law 142 of

1994, assign functions and competencies to the municipal governments regarding the provision of utilities, which in some cases exceed their institutional capacities. This is partly because the mayors are scarcely involved in the design and formulation of sectoral public policies, but must respond for their implementation in the territories, ensuring different criteria such as universality, efficiency, effectiveness, quality and continuity.

The above is added to the consequences derived from the decentralization process in Colombia, which increased inequality between the regions, because the same responsibilities were assigned to municipalities and departments with asymmetric institutional and management capacities and resource-generation abilities. Furthermore, territorial entities' fiscal and administrative performance evaluation processes are carried out using similar indicators, which fail to consider these and other local and regional particular characteristics (Delgado et al., 2017).

Specifically for the rural sector, in July 2014, Colombia's National Council for Economic and Social Policy -which is responsible for guiding the country's socio-economic development- issued Document Conpes 3810. This document promulgates this organism's first "Policy for the Supply of Potable Water and Basic Sanitation in Rural Areas." As its name suggests, this policy aims to "(...) promote access to potable water and basic sanitation in rural areas of Colombia, through solutions that are consistent with the characteristics of these areas and that contribute to the improvement of the rural population's living conditions". The first phase of the implementation of the policy will focus on water and basic sanitation (management of domestic wastewater and excreta).

Regarding the issue of water quality, as set forth in Conpes 3810, "(...) about 58.8% of the Colombian

population consumed potable water in 2012. The average Water Quality Risk Index (IRCA)¹ in urban areas was 13.2%, which corresponds to a low risk level, and in rural areas it was 49.8%, classified as a high risk level². This situation in rural areas remained unchanged throughout 2007-2012 and it was necessary to carry out actions to improve the quality of water supplied and thus minimize risks to public health."

Community Management and the provision of rural water and sanitation services

Article 15 of Law 142 of 1994 states that in Colombia, public utility companies, state owned industrial and commercial companies, marginal producers, municipalities (directly), decentralized entities and organizations, may provide authorized utilities. There is a subdivision within this range of figures for the provision of utilities, which relates to the market they serve. Thus, there are the so-called "small or minor providers", which means those that have less than 2,500 subscribers or provide services in rural areas or in smaller municipalities (Decree 2590 of July 6, 2007).

The denomination of authorized organizations referred to in article 15 of Law 142, should be broadly understood as any type of organization focusing on recipients or users' self-management of utilities. In this sense, they include a series of associative forms that are part of the category of non-profit legal entities, which are organized and recognized as community managers of Community Organizations for Water and Sanitation Services (OCSAS), a predominant management model in Colombian rural areas.

In Colombia, more than 12,000 of these community organizations supply water to approximately seven million people (Rojas et

¹It is the risk of disease occurrence linked to the failure to comply with the physical, chemical and microbiological characteristics of water which is suitable for human consumption. The index ranges between 0 and 100 and is classified as follows: No risk (0-5); Low risk (5.1-14); Medium risk (14.1-35); High risk (35.1-80); Not viable from the health perspective (80.1-100).

²Extracted from the Report "Estado de la Vigilancia de la Calidad del Agua para Consumo Humano en Colombia", National Health Institute, 2012. Page 7.

al., 2011) and are an authorized figure for the provision of water and basic sanitation services. These rural aqueducts are systems that supply water for human consumption, they are regularly built by communities -either through their work or under their coordination-, and are operated by communities through participatory organization processes, with a collective ownership conception.

In these systems, dignitaries that are part of the Boards of Directors are elected, commonly ad honorem, without any remuneration, and they are responsible for developing the management processes and the commercial and accounting procedures for service provision and, sometimes, even systems' operation and maintenance activities. In this sense, not all OCSAS have paid staff to perform administrative work; however, most have operational staff, although generally their work conditions do not meet those required by labor regulations.

As acknowledged by the Organization for Economic Cooperation and Development (OECD, 2013), community management exists in both urban and rural areas as an alternative solution for many states and municipalities where it is not possible to cover all social groups, especially those living in poor and marginalized colonies or in very remote settlements (*rancherías*, in Spanish). Therefore, community water management is recognized as an alternative, given the absence of the State's formal institutions and the lack of fulfillment of their functions in this regard.

In Colombia, this social and non-profit self-management model, whereby users organize themselves to solve the needs of their territories, generates bonds of solidarity, cooperation and integration. Decision-making is mediated by the social impact on users, so that families' user fees are agreed upon collectively and taking into consideration the local economic situation.

Thus, for this type of organizations, the urban focus of Law 142 of 1994, and the mandatory compliance

requirements established by instances such as the Superintendence of Utilities (SSPD) and the Commission for the Regulation of Potable Water and Basic Sanitation (CRA), which are mainly aimed at big-city companies, become a heavy burden that has led them to be subject to sanctions that decimate their scarce resources.

Ostrom (2008) states that in order for community management to work, it requires elementary agreements regarding its operation, including the rights and obligations of users, preferably gradual sanctions, community oversight, as well as mechanisms for conflict resolution. The author acknowledges that the operation of these community initiative organizations requires referential frameworks that determine their legitimacy, at the local and regulatory level, related to guidance on how to exert social control of the service.

According to Bernal (2014), small community water supplies or OCSAS are essential to meet the food and health needs of the rural population in Latin America, and represent an opportunity to empower communities and facilitate local development. Bernal also states that it is also advisable for national and local governments to support community management at different government levels, thus contributing to the sustainability of the water resource and closing the gap in access to drinking water and sanitation in rural areas.

It is important to consider that drinking water and basic sanitation services in rural areas are different from the provision in urban areas given their particular characteristics, including the following: 1. Housing dispersion; 2. Geographical limitations to access the population; 3. The low socioeconomic status of the inhabitants; 4. The use of inappropriate technologies for the provision of services (improvised community solutions or improper constructions made by external staff); 5. Inadequate resource allocation, ignoring the particular characteristics of the rural context and lack of allocation of subsidies, and 6. Lack

of coordination between sectoral institutional stakeholders. All these challenges must be addressed when providing technical assistance and training, also considering the conditions of local service providers, who generally have reduced financial, administrative and technical capacities.

García (2004) suggests that Colombian municipalities face strong challenges regarding their responsibility to supply water in their territory, especially in small municipalities. Although community management has amply demonstrated its suitability to manage water systems, it cannot be denied that establishing clear institutional support mechanisms is an urgent need.

For example, in Valle del Cauca, when inquiring in ten rural communities about their support needs, most of them request help to repair system components or expand their capacity (networks, sand traps, storage tanks, pipes, etc.), build water treatment plants, reforest watersheds, as well as training to strengthen management and handle productive water uses (orchards, meadows irrigation, pig sties, etc.), that are consuming water from the aqueducts.

Similarly, and complementary to the aforementioned, OCSAS require the following:

- Training and strengthening the capacities of OCSAS members (Board of Directors, administrative and operational personnel, users) in issues related to service management, operation and maintenance.
- Support and collaboration to develop and implement effective and assertive communication systems.
- Funds to improve water and sanitation systems' infrastructure.
- Support throughout their engagement with sectoral authorities, as well as during discussions and advocacy efforts to

increase visibility of OCSAS in rural areas and their contribution to local development.

- Access to subsidies for users' rates, in order to solve the system's operation and positively affect the economies of users' families. These subsidies will help guarantee the system's financial sustainability, considering the limited payment capacity of communities served by this type of provider.

In this sense, and taking into account the role of municipalities, a model that provides assistance and technical support to water and sanitation services management organizations, is a priority for rural areas. This model will have a precise and coordinated effect, so that decisions, projects and support actions can have a positive impact on rural water supply and sanitation indicators, especially considering that Colombia has excellent examples of the potential of community organizations.

Some communities have been successful in supplying drinking water for over 20 years, through the use of appropriate technologies such as Multi-Stage Filtration (García, et al. 2014; Peña et al., 2014) or full-cycle technologies. This is the case of Acuasur, an aqueduct serving several rural settlements, located in the south end of the municipality of Jamundí, Valle del Cauca, which has managed to position itself as a Community Learning Center for OCSAS. From these Centers, they support other rural organizations and promote the creation of second level organizations, such as the Colombian Association of Community Organizations that Provide Public Water and Sanitation Services, AQUACOL, which has become a reference for the emergence of this type of organizations in other regions of the country.

Community management of rural water and sanitation has a strong potential to improve the quality of life of rural communities, and local governments' support is a great investment for sustainable peacebuilding.



Board of Directors of Acuasur during a meeting in the 90's.

BACKGROUND INFORMATION ON STRATEGIES TO SUPPORT RURAL WATER AND SANITATION MANAGEMENT

THE EXPERIENCE IN COLOMBIA

There are several experiences in Colombia, of diverse origin, that involve support to community organizations that provide water and sanitation services in rural areas. In the study "Support models for the provision of water services for rural areas in Colombia - Case study", Rojas et al. (2010) refer to support experiences in the departments of Caldas and Valle del Cauca. This study also mentions a national program run by the then Ministry of Environment, Housing and Territorial Development (MAVDT) to strengthen small municipalities, and the work carried out by Plan International. Table 1 on pages 14 and 15 includes a summary of the models found in the aforementioned study.

Before the decentralization process, support for the rural area was provided through the PASBR

(Rural Water and Basic Sanitation Program) national-level centralized program. The National Health Institute ran this program between 1968 and 1987, which served the country's rural areas, except in the departments of Valle del Cauca and Antioquia, where the Departmental and Municipal Health Secretariats performed this role.

In 2010, it was determined that the MAVDT's (now the Ministry of Housing, City and Territory) program to strengthen small municipalities had only reached 10% of rural providers. This has caused the rural areas to direct their requests for support to the municipal capital (Rojas et al., 2011).

The heterogeneity of the rural area, along with the geographical, social, educational and economic diversity of these areas, the various ways in which they use water and the municipalities and

departments' different financial and institutional capacity, justify the need for different strategies to provide support to the rural area. However, the aggregate effectiveness of the interventions carried out through the different models, largely depends on the degree of coordination that exists between them.

The study (Rojas et al., 2010: p 13) states that "(...) in the Colombian case, the models operate in an almost completely autonomous manner; even though they must promote compliance with the sector's legal framework, they are able to set their own goals, intervention processes or cycles, activities where support efforts are focused, intervention financing alternatives, monitoring and evaluation methods (when existing), and definition of the type of tools to use, etc. In practice, this implies that there is no horizontal coordination (between models intervening at the same level, for example, departmental models) nor vertical coordination (between models operating at different levels)".

It is important to note that the study mentions two models in the Caldas department where the municipality designates the water company that provides services for the urban area, to provide support to the rural area. This is done to ensure that the company's technical-administrative experience is made available to rural providers. These experiences, which have been carried out in the municipality of Pacora, through its company Aguas de Pacora, and in the municipality of Manizales, through its municipal company Aguas de Manizales, could be replicable in municipalities where the urban provider has the experience and technical capacity to support the rural sector.

The companies located in the municipal seat in Pácora and Manizales, have not created any specific body within their organizational charts, to provide assistance to rural areas, nor have they assigned specific personnel or resources for this, but they do provide free support to rural aqueducts in critical situations that require short-term solutions. The model is not institutionalized;

it works in an informal manner and this does not represent a strong option to meet the demands of rural providers, because the companies only act in response to a specific demand.

The local strategy carried out by the Sanitation Implementing Unit (UES) in Cali is very different from the strategy previously described. The UES is the entity in charge of water quality monitoring in the municipality and through the Conciliation Board, it offered all rural settlements the opportunity to send the Board their written requests for support. The Board would then make a participatory decision regarding which projects would be carried out.

This model was widely institutionalized in the municipality, as it had personnel and resources to carry out infrastructure works and strengthen the capacities of providers, and it also had a clearly designed intervention strategy. This allowed the interventions to be carried out formally and in accordance with a schedule, and they did not depend on the will of the urban provider, as in the two previous models. The model was based on the assumption that concertation processes promote transparency in resource investments. This assumption was the cornerstone of the model.

After the municipality of Cali carried out an administrative reform in 2016, the UES moved out of the Municipal Health Secretariat and became the Special Administrative Unit of Municipal Public Services, an entity with financial autonomy attached to the Secretariat of Social Housing and Habitat. It is still too early to assess the performance of the new entity.

The experience carried out in the Santander de Quilichao municipality is another significant, nationally renowned experience. The experience was born in 2005 as a local initiative and after it was strengthened in the framework of a project developed with Unicef Colombia, the municipality created the Unit for Rural Water Management and Basic Sanitation within the municipal public services company, EMQUILICHAO.

Table 1. Synthesis of various support models for community organizations providing water and sanitation services in the rural area.

Model	Stakeholder promoting the model	Type of service or support offered	Main limitations
National Level			
MAVDT, strengthening small municipalities	National government	<ul style="list-style-type: none"> • Diagnosis of local technical, institutional and social conditions. • Training in the legal framework and creation and strengthening of water companies. • Support for the creation of companies and capacity strengthening. • Monitoring performance of companies created. 	<ul style="list-style-type: none"> • Shortage of staff that prevents expanding program coverage. • Permanent rotation of trained personnel in the municipalities. • Decreased funds for the program.
Plan International.	International NGO	<ul style="list-style-type: none"> • System design. • Construction of infrastructure. • Creation and strengthening of water companies. • Training on hygiene habits. • Project formulation. • Technical, social and institutional diagnoses at the local level. 	<ul style="list-style-type: none"> • Departmental Water Plan (PDA) focusing on the urban area, which limits possibilities of association with municipalities. • Decreased funds from the national level for the reason stated above. Also, decreased international funds due to the low priority of aid for water and sanitation in the country.
Colombian Association of community aqueducts, AQUACOL	Community organizations providing water and sanitation services.	<ul style="list-style-type: none"> • Provide advice. • Training. • Representation before the sector's entities. 	<ul style="list-style-type: none"> • Model financing structure. • Few relationships with support entities. • The normative and legal context of the water and sanitation sector for rural areas.
Departmental Level			
Rural Water Supply Program for Valle del Cauca - PAAR.	Valle del Cauca Governor's office	<ul style="list-style-type: none"> • Construction, infrastructure optimization for water supply and purification. • Organizational strengthening and training for service administration. 	<ul style="list-style-type: none"> • At the department there is no definitive organic structure in charge of the Program. • Financing at risk due to Departmental Water Plans.
Capacity building program in the department of Caldas for the development of sustainable potable water systems in rural communities	Water and sanitation unit, Secretary of Housing, Caldas Governor's office.	<ul style="list-style-type: none"> • Strengthening community organizations providing water services. • Design and construction of purification systems. • Capacity building for officials in the region who work in water and sanitation. 	<ul style="list-style-type: none"> • Rigorous regulatory framework for the country's rural area. • Changes of administration at the municipal and departmental level. • Insufficient resources to solve the problems of the rural area. • The information of the rural area is not centralized.

Table 1. Synthesis of various support models for community organizations providing water and sanitation services in the rural area.

Model	Stakeholder promoting the model	Type of service or support offered	Main limitations
Departmental Level			
Rural aqueducts	Coffee Foundation, Caldas Coffee Growers Departmental Committee.	<ul style="list-style-type: none"> Technical and administrative support to community organizations. Investment in the aqueduct infrastructure. 	<ul style="list-style-type: none"> Departmental Water Plans with an urban focus. The aqueduct infrastructure has come to the end of its useful life Insufficient State presence in the rural area. Insufficient resources for training and raising awareness.
Municipal Level			
Health consultation board	Municipality of Santiago de Cali – Municipal Health Secretariat, Rural Sanitation Implementing Unit -UES	<ul style="list-style-type: none"> New construction, optimization, repair of water and sanitation infrastructure. Training in management aspects and in the operation and maintenance of water and sanitation systems. Redirects communities' concerns to sectoral government entities. 	<ul style="list-style-type: none"> Lack of personnel and risk of continuity of rural Sanitation Implementing Units (UES). Dependence on the political will of current municipal administrations for the continuity of the strategy. Need for water and sanitation regulations for the rural area.
Aguas de Manizales (Manizales Waters)	Aguas de Manizales (Manizales Waters)	<ul style="list-style-type: none"> Support for the operation and maintenance of rural aqueducts. Technical advice. 	<ul style="list-style-type: none"> The model is not institutionalized, which prevents the entity from committing resources to invest in aqueducts. Organizational weakness of some providers in the rural area.
Aguas Manantiales de Pácora (Pácora Springs)	<ul style="list-style-type: none"> Aguas Manantiales de Pácora (Pácora Springs) 	<ul style="list-style-type: none"> Support for the operation and maintenance of rural aqueducts. Advice on technical and regulatory aspects. 	<ul style="list-style-type: none"> Sector regulations The model is not institutionalized, which makes it impossible to carry out investments using company funds. Changes in municipal administration and company management

Source: Rojas et al. (2011)

THE EXPERIENCE IN PERU

The municipality's rural systems' strong demand for support and the need to ensure an efficient allocation of resources to meet those needs, motivated the creation of this Unit. The first task entailed collecting information on the conditions and the situation of water and rural sanitation. This assessment revealed that the infrastructure existed, but it was not operating, so decisions were made regarding the necessary adjustments. Technical interventions, as well as initiatives in the community and administrative spheres were carried out to improve communities' management capacity. Furthermore, some investments were made. The unit had a work team made up of a sanitary engineer, a technician who provided support in plumbing activities and training; an accountant, a business administrator and a social worker.

This range of options demonstrates the rural area's need for a support strategy and this strategy must be planned, structured and formally constituted so that it can generate results and have an impact on rural systems. Similarly, the strategy must consider the particular characteristics of the local context and be built based on its own demands and existing capacities. Likewise, the strategy must be able to coordinate initiatives carried out by the different stakeholders that implement complementary support actions.

Swiss Cooperation (SDC) in Peru dates back to 1964. The implementation of the Basic Rural Sanitation Program - SANBASUR in the Cusco region began in 1996, within the framework of a bilateral agreement between the Peruvian and Swiss governments, with the objective of contributing to improving the health conditions and quality of life of the region's rural population, by providing them access to sustainable water and basic sanitation services. The agreement was also aimed at ensuring the institutionalization and appropriation of the comprehensive intervention model, to guarantee its sustainability. The approach considered a comprehensive vision of sanitation in rural communities, which included the provision of services at the household level and the social component (promotion, health education and training).

Similarly, the PROPILAS project which was based on the SANBASUR experience, was implemented between 1999 and 2005 and it validated two water and sanitation management models (municipal and communal) for the implementation of comprehensive projects at rural level. PROPILAS focused its intervention on strengthening the capacities of local governments to lead management of water and sanitation and was able to validate the Municipal Model with Community Participation, highlighting the strengths of the municipal and communal models.

Between 2005 and 2011, the Model prioritized work with the regional government; therefore, the regional management strengthening process took place in the context of decentralization³, as did the transfer of management methodologies, strategies and instruments validated by the project, thus contributing to the decentralization of

³The implementation of the SANBASUR and PROPILAS projects at the local level took place as part of the normative framework of the decentralization process, established by Law 27783, Decentralization Basis Law; Law 27867, Organic Law of Regional Governments; and Law 27972, Organic Law of Municipalities, approved on May 26, 2003.

public management in water and sanitation. The direct implementation was under the responsibility of SDC, and the implementation in several regions during the following phases, from 2007 to the current date, was carried out by CARE Peru. During this period the following actions and strategies were developed:

- Support and assistance to the Water and Sanitation Boards (JASS).
- Articulation of JASS with the health sector and local governments.
- Creation and implementation of the Municipal Sanitation Technical Areas -ATM, and technical assistance and oversight to community organizations.
- Intersectoral coordination of ATMs in education and health.
- Capacity building at the municipal level through modular and diploma courses.
- Facilitation of consultation spaces by means of workshops held with the participation of JASS, local government authorities, and health and education establishments, and led by the mayor.
- Participatory municipal budget workshops.
- Horizontal socialization of lessons learned between stakeholders, through exchanges, internships and courses.

Regarding the consolidation of local JASS and ATM actors, the strategy at the local level required the commitment of political stakeholders (local government authorities and officials from sectors involved), JASS and the community in general.

Therefore, as part of a strategy of shared roles between the municipality, the health sector and the community, the strategy encouraged the transfer of capacities and a stronger ownership of the model, so that the municipality could provide support to communal organizations and the population in general, through the ATMs (also called Municipal Technical Sanitation Offices - OMSABA).

These ATMs obtained approval at the local level by means of municipal ordinances that accounted for their creation, and by means of the formulation, approval and implementation of management instruments such as the Organization and Functions Regulations (ROF), Operation and Functions Manuals (MOF), Tables of Personnel Assignment (CAP), Analytical Personnel Budget (PAP) and Annual Operational Plan (POA).

The Incentives Program for Improving Management and Municipal Modernization (IP), implemented by the Ministry of Economy and Finance - MEF, and created by Law No. 29332, encouraged the formalization of ATMs in 2009. This program implied transferring funds to the municipalities for the fulfillment of goals within a specific timeframe. These goals are formulated by various public entities of the central government and are aimed at promoting certain results that require working in coordination with the municipalities. The IP is an instrument of the Results Budget- PpR, and consists of conditional funds transfers, which are additional to the institutional budget of local governments, and depend on achievements made within a given time period.

This initiative's objectives include two goals that are related to water and sanitation and are aimed at improving local governments' provision of local public services, within the framework of Law No. 27972, Organic Law of Municipalities. To achieve this, the municipalities had to meet Goal 11 "Creation of the Municipal Technical Area for

managing water and sanitation services" (it had to be achieved within the first semester of the year), and Goal 40 "Operation of the Municipal Technical Area for managing water and sanitation services and collection of information" (the ATM should be in operation in the second half of the year when it was created).

The ATM was defined as the area in charge of promoting the creation of community organizations that provide sanitation services (JASS, Committees or other forms of organization), as well as supervising, overseeing and providing technical assistance to ensure the sustainability of the water and sanitation services.

The ATM is part of the municipality's organic structure and its functions are established in the ROF. The specific denomination of the area depends on the municipality's structural organization chart, and it may be any of the following: Unit, Division, Directorate, Sub-department, Water and Sanitation Services Management Department, among other denominations.

The following are the functions set for the ATM, according to the ROF⁴:

- Plan and promote the development of sanitation services in the district, in accordance with relevant laws and regulations.
- Schedule, coordinate, implement and supervise initiatives related to the district's sanitation services.
- Ensure the sustainability of existing sanitation services in the district.
- Manage district sanitation services either directly or through specialized operators, community organizations.
- Promote the formation of communal organizations (JASS, Committees or other forms of organization) for the administration of sanitation services, recognize and register them.
- Provide technical assistance and supervise the community organizations in charge of managing sanitation services in the district.
- Plan, direct and implement health education and water use campaigns.
- Resolve sanitation users' claims in the administrative instance.
- Provide the necessary corrective measures regarding community organizations' -such as JASS- compliance with their obligations.
- In coordination with the Ministry of Health, evaluate the quality of water provided by existing sanitation services in the district.

⁴Ministry of Housing, Construction and Sanitation. Methodological guide for the fulfillment of Goal 11: Creation of Municipal Technical Areas for Managing Water and Sanitation Services. The Incentives Program for Improving Management and Municipal Modernization. National Rural Sanitation Program. Peru, February 2015. Downloaded at http://pnsr.vivienda.gob.pe/portal/wp-content/uploads/2015/04/Plan_de_Incentivos_Guia_Metodologica_Meta_11.pdf

Operate and update the registry on the coverage and situational status of sanitation services.

- Provide technical support for the formulation and implementation of comprehensive water and sanitation projects, regarding the infrastructure, health education, management, operation and maintenance components and their environmental aspects, in accordance with its competence.
- Handle, coordinate, supervise, control and evaluate the correct formulation and application of the Single Text of Administrative Procedures - TUPA, within the scope of its competence.
- Submit to the competent body, the information that needs to be submitted or published in compliance with transparency standards.
- Prepare the Administrative Procedures Manual of the organic unit under its responsibility.
- Prepare the annual report of the organic unit under its responsibility and submit it to the immediately superior office, before the last business day of January of the following year.
- Ensure the timely preparation of information within the scope of its competence, to be used by the Successful Bidder to render accounts on performance results, by the National Comptroller General and for participatory budgeting processes, public hearings, among others.
- Propose strengthening processes and procedures in its area, striving for continuous improvement, through Directives and Procedures Manuals prepared in coordination with the competent areas.
- Other attributions and responsibilities arising from compliance with legal regulations and the functions assigned to it by the mayor or the City Council.

For the fulfillment of the goals, an operational roadmap was defined, and scores were assigned to each stage, so that municipalities were motivated and kept a score until they were successful in creating and implementing an ATM.

Table 2 below includes the activities and specifications for municipalities' fulfillment of Goals 11 and 40.

Table 2. Activities and specifications for compliance, Goals 11 and 40.

Goal 11		
Creation of the Municipal Technical Area for the management of water and sanitation services in Peru. By July 31, 2015		
TABLE OF INDICATORS AND LEVEL OF COMPLIANCE		
ACTIVITIE	SPECIFICATIONS	Score
Activity 1. Modification of the Organization and Functions Regulation (ROF), including the functions of the Municipal Technical Area (ATM).	Approval and remission of the municipal ordinance that incorporates functions in the ROF <u>by July 31st, 2015</u>	30
Activity 2. Preparation of the job profile of the person responsible for the ATM, according to resolution N ° 161 - 2013 SERMRXPE	The proposal must include the ATM's functions, it is approved, and the mayor's office resolution is sent. <u>By July 31st, 2015</u>	25
Activity 3. Creating the registry book of Community Organizations that Provide Sanitation Services.	Creation of the book before July 31st, 2015. It must be submitted in accordance with the provisions of article No. 175 of the Unique Ordered Text of the General Sanitation Services Law No. 26338.	25
MINIMUM SCORE FOR COMPLIANCE WITH GOAL		80
Activity 1. Modification of the ROF incorporating the functions of the Municipal Technical Area (ATM)	Approval and remission of the municipal ordinance that incorporates functions to the ROF, <u>by May 31st, 2015.</u>	5
Activity 2. Preparation of the job profile of the person responsible for the ATM, according to resolution N ° 161 - 2013 SERMRXPE.	The proposal must include the ATM's functions, it is then approved, and the mayor's office resolution is sent. <u>By June 30th, 2015</u>	5
Activity 4. Appointment of person responsible for the ATM.	Resolution of the Mayor's Office with the designation of the person in charge of the ATM <u>by July 31st, 2015.</u>	10
MAXIMUM SCORE		100
Goal 40		
Operation of the Municipal Technical Area for the management of water and sanitation services and information collection, before December 31, 2015		
TABLE OF INDICATORS AND LEVEL OF COMPLIANCE		
ACTIVITIES	SPECIFICATIONS	Score
Activity 1. Provide training to the Municipal Technical Area (ATM) team and/or to personnel linked to said area.	Training and certification <u>of one participant</u> per municipality.	39
Activity 2. Registration of supply systems for drinking water.	Carry out an inventory (systematized and sent according to the PNSR's indications) of locations with water and sanitation systems, in 50% of populated centers or a maximum of 30 locations to visit <u>before December 31, 2015</u>	31
MINIMUM SCORE FOR COMPLIANCE WITH GOAL		70
Activity 1. Training of the Municipal Technical Area team.	Training and certification of two participants by municipality.	10
Activity 2. Registration of water supply systems for human consumption. Inventory (systematized and sent according to the PNSR indications) of locations with water and sanitation system in 50% of populated centers.	Carry out an inventory (systematized and sent according to the PNSR's indications) of locations with water and sanitation systems, in 50% of populated centers or a maximum of 30 locations to visit <u>before September 30, 2015.</u>	5
Actividad 3. Activity 3. Drinking water supply systems with a permissible range of residual chlorine.	Guarantee <u>01 water supply system</u> with a permissible range of residual chlorine	15
MAXIMUM SCORE		100

THE EXPERIENCE OF THE ASIR-SABA PROJECT IN THE CREATION OF MUNICIPAL TECHNICAL ASSISTANCE AREAS IN WATER AND SANITATION (ATMS) FOR RURAL AREAS

The ASIR-SABA project detected the need to provide support to participating municipalities in issues related to rural community management of water and sanitation and this was discussed with the municipal governments. To put this initiative into action, ASIR-SABA selected a local technician with significant experience in the water and sanitation sector and knowledge regarding the local rural context, and hired him to make his work the starting point of ATM implementation. In the beginning, this technician provided support to each municipality for the activities and efforts that should be carried out in the projects prioritized by ASIR-SABA. This technician was also responsible for supporting the municipality in other activities related to providing advice and assistance to the rural areas. The following were some of his first tasks:

- Act as an interlocutor between the mayor's office and rural communities in need of support.
- Ensure coordination between different local and regional water and sanitation stakeholders.
- Provide assistance and support for the preparation of projects to be presented to the Single Window mechanism.
- Assist communities in procedures regarding land property, as part of the preparation of water and sanitation projects.

- Offer support for the preparation and implementation of assurance plans.
- Provide assistance for environmental licensing procedures.
- Increase community members' awareness of rural water and sanitation, through support and permanent presence in the territories.
- Contribute to the definition of goals in water and sanitation for development plans.
- Provide support for the preparation of balance sheets of subsidies and contributions for aqueducts that were part of the project, among others.

The ASIR-SABA project always made it clear to municipal governments that it was very important to have specific staff that could meet the multiple requirements of technical assistance in water and rural sanitation, particularly considering the importance of rural areas in the country's current historical context, and as a contribution to improve the living conditions of the rural population and to setting and accomplishing goals regarding access to potable water and basic sanitation.

In the months of April and May 2017, respectively, the mayor's offices of Buga, in Valle del Cauca, and Santander de Quilichao, in the department of Cauca, used their own resources to hire the technician who was initially paid with Swiss

cooperation funds. The mayors' offices of Trujillo and Caloto, also located in these two departments, stated that they have the intention to directly hire the technicians, but the process has been delayed due to budgetary reasons.

Regarding the organizational structure, ATM personnel were initially located in different municipal secretariats related to planning, community development or agriculture. As the local situation analysis progressed, it became clear which was the most convenient organizational structure for the ATM in each municipality; either as part of the organic structure of the municipality or as a branch of one of the existing secretariats, particularly in the smaller municipalities with less resources. Table 3 below illustrates the current panorama of ATMs created with support from the ASIR-SABA project.

Technical Assistance Processes, Caloto ATM, 2017



Table 3. Aspects that describe the creation of ATMs supported by the ASIR-SABA project.

Department	Municipality	Municipality category	Background information on technical assistance models in water and sanitation for rural areas	How are the ATM figure and its functions integrated?		Professional profile		Hiring modality		Origin of funds to pay for personnel		Origin of funds to pay for logistics	
				Existing secretariat	Included in the organic structure	Technical	Professional	Service agreement	Employment agreement	Municipality	ASIR-SABA Project COSUDE	Municipality	ASIR-SABA Project COSUDE
Valle del Cauca	Bugá	2	There are no formal figures. Presence of programs and processes in coordination with support entities in rural areas, such as the Instituto Mayor campesino (IMCA) and FECOSER, the second level organization that groups rural aqueducts.	Yes	No	Yes	No	Yes	No	Yes	No	No	Yes
		6	Not formal or promoted by the municipality. Some actions are coordinated and supported by the association of community aqueducts of the Trujaguas municipality, a second level organization.	Yes	No	Yes	No	Yes	No	Yes	No	No	Yes
Cauca	Caloto	6	Not formally. Activities are promoted by the urban aqueduct and sewerage company, EMPOCALOTO. Other social strengthening activities are promoted by the Office for Community Development.	Yes	No	Yes	No	Yes	No	Yes	No	No	Yes
		5	Yes, the office for rural aqueduct support has been present since 2005, located within the municipal water and sanitation utilities company, EMQUJLICHAO.	No	Yes	Yes	1	Yes	2 technicians and 1 prof	Yes	1 Prof.	Yes	1 technician and 1 prof

WHAT IS MUNICIPAL TECHNICAL ASSISTANCE (ATM) IN COLOMBIA?

Municipal Technical Assistance (ATM) for rural water and sanitation (ATM in W&S) is the office or technical area responsible for ensuring the viability of the policies adopted by the municipalities in the field of water and sanitation at the rural level, and for putting them into operation.

An ATM is the entity responsible for supporting the definition of water and sanitation goals at the rural level, based on the diagnosis of these needs in the municipality. Moreover, ATMs provide technical assistance to community organizations responsible for the provision of water and sanitation services in the rural area. ATMs also provide assistance to other stakeholders, for the supply of potable water and basic sanitation in rural areas.

WHAT ARE THE FUNCTIONS OF AN ATM?

Table 4 below describes the disaggregated functions of ATMs, in consideration of each interlocutor and the role played, and highlights the main activities that can be part of the management of this unit. These functions are based on the experience of ATM implementation in the municipalities participating in the ASIR-SABA project.

Therefore, it is important that when municipalities create their ATMs, they carry out a situation analysis taking into account their particular conditions. It is also crucial that the municipalities determine which functions are feasible according to local capacities. These functions can be included as part of ATM management or they may be developed in coordination with another municipal agency or through inter-institutional articulation (for example, for monitoring water quality).

Technical assistance process, Trujillo ATM, 2017.



Table 4. Description of the ATM functions

CLASSIFICATION OF FUNCTIONS	
At the sectoral and public policy level	
As a support to municipal management, in terms of access to funds for investment and technical assistance for the rural area, public policy advocacy, preparation of diagnostic information for water and sanitation in rural areas, as well as monitoring water quality and coverage indicators in the rural area.	
FUNCTIONS	ACTIVITIES
a. Support the preparation and periodic consolidation of diagnosis information on water and sanitation at the rural level.	<ol style="list-style-type: none"> 1. Consolidate existing (secondary) information on the rural potable water and sanitation sector in the municipality. Carry out a preliminary diagnosis process to collect any missing information. 2. Collect information through periodic observation and consultation exercises carried out with providers and other actors that provide water and sanitation services in rural areas. 3. Systematize information for the rural potable water and rural sanitation sector, based on national or international standards. Useful information for decision making. 4. Prepare municipal mandatory reports that are required by the National Planning Department (DNP), the Ministry of Housing, City and Territory and the Superintendence of Utilities. 5. Support throughout the certification processes.
b. Promote a water and sanitation policy for the rural area at the local level, and support its implementation, by involving both local, regional and national stakeholders. Also, participate in the policy monitoring process	<ol style="list-style-type: none"> 1. Participatory formulation of a rural water and sanitation policy, including resource allocation. 2. Define action lines based on the situation analysis, focusing on rural communities' demand and considering aspects related to ethnicity, gender and the territory.
c. Promote and lead intersectoral and inter-institutional coordination processes between the different stakeholders involved in the implementation of rural water and sanitation actions and projects. This, at local level (municipality), regional level (department) and national level.	<ol style="list-style-type: none"> 1. Coordinate and articulate actions of different stakeholders (institutional, municipal, national, NGOs, community) that develop rural water and sanitation projects. 2. Establish joint actions with the different stakeholders involved in the rural water and sanitation sector.
d. Implement local water quality monitoring and health education strategies.	<ol style="list-style-type: none"> 1. Facilitate the implementation of activities defined by the Ministry of Health and Social Protection in water quality monitoring protocol, and promote health education strategies, as stipulated by the Ministry itself, or the entity competent in this matter
e. Support planning processes regarding municipal actions in infrastructure and capacity building in rural water and sanitation.	<ol style="list-style-type: none"> 1. Formulate the annual work plan for the improvement of the provision of rural water and sanitation services. 2. Review and carry out an economic, financial, institutional and social evaluation of the rural water and basic sanitation projects located in the municipal project bank. It is necessary to ensure that the projects comply with the requirements set by the different financing sources (municipal level, departmental level—through the PDA—; national level, by means of the General Participation System (SGP) or Royalties, among others).
f. Support efforts to monitor resource allocation processes through the General Participation System (SGP).	<ol style="list-style-type: none"> 1. Prioritize projects that are susceptible to investments in rural areas. 2. Manage the appropriation of funds to grant subsidies to utility subscribers in rural areas, who belong to income groups that may receive subsidies. 3. Promote municipal stratification processes, especially with regard to rural areas.
g. Support risk management linked to potable water and basic sanitation utilities, as well as the provision of water and alternative sanitation solutions.	

CLASSIFICATION OF FUNCTIONS

Capacity building

Capacity building of the associative schemes for the provision or delivery of aqueduct and basic sanitation services in rural areas. Also, capacity building to empower community members to ensure adequate use of water resources and proper waste management.

FUNCTIONS	ACTIVITIES
<p>a. Promote capacity building and qualification of associative schemes for the delivery or provision of aqueduct and basic sanitation services in rural areas.</p>	<p>1. Identify and create strategic alliances for the implementation of education, training and guidance processes to public service providers and administrators of alternative solutions in water and sanitation in rural areas.</p>
<p>b. Provide technical assistance according to the demands of the organizations providing water and sanitation services, as well as other stakeholders, in the provision of drinking water and basic sanitation in rural areas.</p>	<p>1. Prepare and implement an annual plan for technical assistance and inter-institutional coordination to provide support to rural providers, as well as other actors in the provision of water and sanitation in the municipality, on a technical, operational and organizational level.</p> <p>2. Assist in the preparation and follow-up to the "Management Plans for the provision of aqueduct or sewage services in rural areas", within the framework of the differential schemes referred to in Decree 2898 of 2016, or whichever modifies or replaces it.</p> <p>3. Manage and develop training and capacity strengthening activities in legal, administrative, commercial, financial and technical operational aspects of rural water and sanitation systems, in accordance with current regulations.</p> <p>4. Provide support to providers of water and rural sanitation services by guiding and channeling their information requirements and demands for intervention, before the municipal mayor's office, or other regional or national stakeholders.</p> <p>5. Develop useful practical guides for administrators of rural water and sanitation systems, which include management procedures.</p> <p>6. Provide support to public service providers in rural areas for the fulfillment of the minimum criteria whereby subsidies are granted to the lower income groups (strata 1, 2 and 3). Also, provide assistance to carry out the corresponding procedure before the mayor's office to access these subsidies.</p> <p>7. Provide support in procedures regarding land property, related to rural water and sanitation projects.</p> <p>8. Offer support in environmental procedures that are mandatory for rural public service providers, in accordance with applicable regulations.</p> <p>9. Participate in the formulation and implementation of Assurance Plans in rural settlements.</p> <p>10. Provide advice to rural public service providers regarding the oversight processes to water and sanitation projects carried out by other entities.</p>
<p>c. Carry out activities related to motivation, promotion, information and participation of community members in water-supplying micro-watershed protection projects, water and sanitation solutions, and in the management of public services.</p>	<p>1. Implementation of community campaigns for the promotion of efficient water use, proper management of wastewater and solid waste. This can be carried out independently, or in association with national entities, such as the Administrative Department for Social Prosperity (DAPS) and the Strategy for Overcoming Extreme Poverty - UNIDOS Network, or other academic or private entities.</p>

ALTERNATIVES FOR THE INCORPORATION OF ATMS IN TERRITORIAL ENTITIES

The possibility of creating an ATM will depend on the conditions, capacities and particular context of the municipality that decides to create it. The definition of the ATM, in terms of its specific characteristics (number of positions, functions and profiles), must be considered in light of the following aspects:

- The rural area's requests for support in terms of water and sanitation, and the goals that the municipality has set for itself.
- The size of the rural area of the municipality and its complexity. This calls for the need to start by identifying local conditions, to enable estimating the demand for support that can reach the municipality and the coverage that can be provided according to the staff assigned to the ATM.
- Whether there are economic resources available in the municipality's budget for the operation of the ATM. Also, the availability of local capacities in terms of human and physical resources (available staff, provisions for operation, furniture, equipment).
- The sociocultural characteristics of the rural area. For example, it is important to identify whether there are any ethnic groups located in the rural area that require ATM staff to be familiar with native languages.
- Possible support relations with other organizations and/or institutions. The idea is to identify whether in the past, there has been an entity that has carried out formal or informal actions to provide support in the areas of rural water and sanitation, and whether such entity has characteristics that are favorable for the creation of the ATM. An example of this are the bodies or mechanisms created within the municipal water and sanitation services companies.

In this context, three scenarios/models are presented below for the location of the ATM in the municipal organizational structure:

Adding its functions to existing position(s)	Relevant factors for the decision	<ol style="list-style-type: none"> 1. Position(s) in the municipal structure with related functions and with a capacity that responds to the ATM's requirements and profile. 2. Small municipalities, with limited staff and resources.
	Procedures Required	<ul style="list-style-type: none"> - Technical motivation that justifies the modification of the position's Functions Manual. - Modification of the functions and job skills Manual. * The above, in accordance with Decree 785 of 2000 or any decree that supplements or modifies it, and in accordance with the considerations of the Administrative Department for Public Function - DAFP. - Submit the proposal to the Council for approval.
	Advantages	<ul style="list-style-type: none"> - Simple administrative procedure - Low costs proposal and implementation costs.
	Limitations/ Disadvantages	<ul style="list-style-type: none"> - Dispersion of the ATM's activities across different units. - Low visibility of the ATM role. - It is impossible to allocate budgetary resources for the ATM's own and integral functions.

Creating one or more positions and including them in an existing dependency	Factors relevant to the decision	<ol style="list-style-type: none"> 1. The existence of a dependency that includes municipal technical assistance for rural water and sanitation as part of its assigned functions. 2. The number of positions to be created will depend on the size of the rural area and the economic capacities of the municipality.
	Procedures Required	<ul style="list-style-type: none"> - Technical motivation that justifies the increase of site staff. - Define the level of the position or positions to be created. - Define the requirements (studies, experience). - Define the job skills. - Create the functions and job skills Manual. - Budget allocation and availability. *The above, in accordance with Decree 785 of 2000 or any decree that supplements or modifies it, and in accordance with the considerations of the Administrative Department for Public Function - DAFP. - Submit the proposal to the Council for approval.
	Advantages	<ul style="list-style-type: none"> - Fairly complex administrative procedure. - Reasonable proposal and implementation costs. - High visibility of the ATM's procedures.
	Limitations / Disadvantages	<ul style="list-style-type: none"> - Weak local capacity to carry out the respective study. - Limited resources to pay for a consultancy to carry out the respective study. - Limited resources for its operation.

Create a unit or office and the position or position(s) for the operation of the ATM	Procedures Required	<ul style="list-style-type: none"> - Technical motivation that justifies the organizational redesign. - Carry out a study on workloads and functions manual. - Define the location of the dependency in the institutional organizational chart. - Define the number of staff required to operate. - Define the levels of the position or positions to be created. - Define the requirements (studies, experience). - Define the job skills. - Create the functions and job skills Manual. - Financial analysis (Law 617 of 2000). - Budget allocation and availability. * The above, in accordance with Decree 785 of 2000 or any decree that supplements or modifies it, and in accordance with the considerations of the Administrative Department for Public Function - DAFP. - Submit the proposal to the Council for approval.
	Advantages	<ul style="list-style-type: none"> - A budget will be allocated for the operation of the ATM. - Investment project resources will be directed to the implementation of projects directly related to the ATM's own functions.
	Limitations/ Disadvantages	<ul style="list-style-type: none"> - Limited resources to pay for a consultancy to carry out the respective study. - Limited resources for its operation.

VALLE DEL CAUCA

BUGA

"We anticipate that the ATM's work will ensure that the prioritization of needs will focus on causing an impact on rural water and sanitation. Such a vital issue for people's quality of life and community development cannot be subject to improvisation, and we cannot continue generating projects that are not sustainable.

Communities wear out when they have to jump from office to office looking for support for their rural aqueducts; support is now concentrated, and the idea is to direct those needs."

Carlos Humberto Martínez

Housing and Public Services Secretary, Guadalajara de Buga (2017)



The ATM technician who was initially hired by the ASIR-SABA Project, is currently hired by the Municipal Administration to carry out the local ATM's functions

ATM workspace in Buga, 2017 VALLE DEL CAUCA

TRUJILLO

"The diagnosis of rural aqueducts was very helpful, especially regarding the formulation of goals for the Municipal Development Plan. When we saw so many needs and compared them to our capabilities, we could be realistic in determining how far we could go, and what we needed to manage in order to help more communities.

Besides, in such a small municipality, where Planning Directors have so many responsibilities, being able to rely on the support of an expert in water and sanitation matters is an advantage, because the communities know who they can turn to. The difficulty lies in guaranteeing the funds to ensure the operation of the ATM figure and this is where the national government should define alternatives to support small municipalities, especially those that are mainly rural".

Mauricio Vélez
Trujillo Planning Chief

ATM Trujillo during a participatory workshop with the community of Culebras, 2017.



ATM Trujillo workspace, 2017

"The ATM's work has been very useful because although we've had information on aqueducts in the municipality, now we are familiar with their current status, their management level, which need more support and what kind of support, and also which aqueducts can support others. We can acknowledge what we have and based on this, prioritize our support".

Yamileth Triviño
ATM Trujillo

CAUCA

SANTANDER DE QUILICHAO

The mayor's office, as part of a restructuring process and as a commitment of the Municipal Development Plan, created the position "Coordinator of the Municipal Technical Assistance Area in Rural Water and Basic Sanitation", attached to the Municipal Planning Secretariat. Furthermore, the project "Strengthening Rural Aqueducts" was developed within the Secretariat, and this has allowed hiring technical and professional contractors. Likewise, the mayor's office assigned a physical space within its facilities, to provide



assistance to rural communities in water and basic sanitation issues. In a protocolary act held on May 30, 2017, the mayor's office inaugurated the "Rural Water and Sanitation Municipal Unit" with the presence of the Governor of Cauca, Óscar R. Campo H.; the Swiss State Secretary, Pascale Baeriswyl; the Swiss Ambassador in Colombia, Kurt Kunz; the Humanitarian Aid and Development (SDC) Head of Cooperation, Fabrizio Poretti; the Regional Coordinator for South America, Laurent Bernet, and delegates from the Ministry of Housing, City and Territory, and the municipal and departmental Administration. Imagen downloaded from: <https://www.proclamadelcauca.com>



ATM Caloto workspace, 2017

CALOTO

"The ATM is making it possible to organize information on rural aqueducts; in the future, we will be more familiar with the level of these aqueducts and therefore plan on how to support them and solve existing needs. The work carried out and the information collected, besides being useful for influencing the Municipal Development Plans, should be used in the preparation of Afro descendent and indigenous communities' Life Plans, since municipalities such as Caloto are ethnically diverse."

Julian Nascon
Caloto ATM Technician, 2017



THE PROCESS OF CREATING AN ATM

ATM Design Workshop. Caloto, 2017

1 PARTICIPATORY ANALYSIS OF THE MUNICIPALITY'S CONDITIONS REGARDING RURAL WATER AND SANITATION

This stage focuses on collecting secondary information by reviewing existing literature, external documents and web resources that contain general data on the municipality, and information on the presence of infrastructure in the rural areas, their status, as well as indicators on water and rural sanitation.

This stage also contemplates carrying out a semi-structured interview with different municipal stakeholders that have relevant information. The Municipal Diagnosis instrument may be used for these interviews (see ANNEX 1, Block 1). Similarly, support strategies and mechanisms historically used by municipalities to meet the needs of rural communities are identified.

The organic structure is assessed during the process to collect municipal information, in order to recognize the functions of the municipalities' different dependencies and identify which of them address rural water and sanitation issues. Municipal Development Plans and the goals or projects established in these instruments are also reviewed, to determine the municipality's orientation and will regarding water and rural sanitation.

The information retrieved is compiled in a summary document that should minimally contain the sections shown in Table 5:

Table 5. What are the aspects to look for and extract when analyzing the local conditions regarding water and sanitation?

ITEM	DESCRIPTION
Characterization and general aspects of the municipality's rural area.	Population, number of rural settlements, topography and climate, socioeconomic activities, social organization.
Environmental aspects.	Status of water-supplying micro-watershed, and any environmental and anthropic situations that affect water quality.
Aspects regarding water and sanitation infrastructure.	Existing systems, service level (coverage, continuity, water quality), predominating technologies.
Social and management aspects regarding the services.	Number and type of provider organizations, their composition, rates, status of legality and legitimacy status, community participation.
Conclusions and recommendations.	An analysis is carried out to determine the most vulnerable aspects that require priority intervention. Also, the strengths, opportunities and positive community aspects are identified.

PARTICIPATORY IDENTIFICATION OF THE MUNICIPALITY'S TRAJECTORY IN SUPPORTING THE MANAGEMENT OF RURAL WATER AND SANITATION 2

Even though territorial entities have always carried out actions to support their rural areas, these initiatives are not always documented. It is important to recover these positive experiences, in order to promote them. Even experiences that did not yield any visible results, also provide significant lessons learned. All this information, which is part of the historical background, is also useful for identifying key stakeholders and allies for future actions.

Carrying out semi-structured interviews with officials or former officials of municipal administrations (see ANNEX 1, blocks 2 and 3) is one way of recovering this information. Another alternative is to use participatory techniques such as the Historical Timeline, to identify any relevant milestones or situations that took place in the context of support to the rural area (see ANNEX 2).

The information retrieved is recorded in a summary document that must contain the sections shown in Table 6 below.¹

Table 6. Variables that are crucial for recovering the municipality's history regarding support for rural water and sanitation

ITEM	DESCRIPTION
Recovery of historical information regarding technical support or assistance models for water and rural sanitation.	In chronological order, list the municipality's milestone technical assistance events, programs or projects in water and sanitation. Identify stakeholders, scopes, information on the budget and cost, beneficiary communities, positive aspects and achievements. The opinions or comments of stakeholders who played an important role in such technical assistance events, may be included here.
Strengths and weaknesses of initiatives identified throughout the recovery of historical information.	Compare the models found and identify their strengths and weaknesses, using a comparative matrix if necessary.
Technical assistance aspects that could be continued, promoted and included in the ATM model to be implemented.	After analyzing the strengths of the initiatives identified in the historical analysis, identify which of these may be promoted, improved and should be continued, by adapting them and linking them to the work to be carried out by the ATM. Carry out an analysis on how the ATM can use these initiatives even if they are not of a municipal nature, or depend on external stakeholders such as cooperation entities, second level organizations or others.

3 PARTICIPATORY IDENTIFICATION OF THE MUNICIPALITY'S LOCAL CAPACITIES FOR PROVIDING ASSISTANCE IN RURAL WATER AND SANITATION

To carry out this activity, it is suggested that a participatory workshop is held with municipal stakeholders whose work is related to water and sanitation and the quality of rural life. During the workshop, participants work on a matrix to identify local needs and capacities (see Table 7), and they pinpoint existing needs of assistance in rural water and sanitation systems, with a comprehensive view that involves the different environmental, social, technical and infrastructure, management and service administration components.

Before starting the workshop, it is important to review the information collected in the participatory analysis of the municipality's situation regarding water and sanitation. Further along the workshop, attention will focus on municipal governments' expectations regarding how these needs will be addressed, as well as the capacities, and

resources available to support these needs, and the identification of relevant stakeholders or allies for this.

The creation of the ATMs for the ASIR-SABA project generally involved the participation of institutional stakeholders such as secretaries and/or officials from the Government, Planning, Agriculture, Works and Community or Social Development Secretariats, the Municipal Unit of Agricultural Technical Assistance (UMATA) and representatives from Municipal Councils. Participating community stakeholders included representatives of second-level organizations, and some leaders.

ANNEX 3 contains the suggested agenda for the participatory identification of the municipality's local capacities for assistance in rural water and sanitation

Table 7. Matrix for the identification of the local context in rural water and sanitation

Components	Items	Needs	Expectations regarding support and goals	Institutional capacities		Key stakeholders
				Current	Yet to be built	
Social						
Technical	Water					
	Sanitation					
Environmental						
Administration, management						
Resources						

Source: Cinara methodology

PARTICIPATORY ANALYSIS OF THE MUNICIPAL STRUCTURE AND THE OPTIONS IT PROVIDES FOR THE CREATION OF ATMS, THEIR FUNCTIONS AND THE PARTICIPATORY DESIGN OF THE POSITION(S)

4

Prior to this activity, it is necessary to review the municipal institutional organizational chart and identify the dependencies that are related to water and sanitation and their functions. This review process becomes an input for the participatory definition of the municipal entity with competencies in rural water and sanitation, where the ATM should operate. It is important that everyone who has participated in previous activities, continues to participate in this step. The information retrieved is recorded in a summary document that must contain the sections shown in Table 8 below:

Table 8. Aspects to describe the process for the creation of ATMs

ITEM	DESCRIPTION
Municipal unit with functions that include support for rural water and sanitation.	According to the municipal structure, describe which dependency or dependencies are responsible for providing support and technical assistance on rural water and sanitation.
Analysis of functions and their relevance in the assigned unit.	According to the plenary discussion, this section systematizes participants' contributions and opinions regarding the relevance of the dependency or dependencies that address of rural water and sanitation issues, and how the functions are carried out to offer support for the provision of water and sanitation services to rural communities.
Conclusions and recommendations.	The conclusion of the plenary discussion regarding which dependency the ATM should be located in, which dependencies or stakeholders it should work with, and what its functions should be.

5 PARTICIPATORY DEFINITION OF THE BUDGET AND RESOURCES FOR THE OPERATION OF THE ATM

It is important to prepare the ATM's annual operating budget, considering the items included in Table 9. It is necessary to clarify that the unit's real operating costs will be determined by the municipality's decision regarding the staff's hiring modality.

Table 9. Matrix to identify staff and operating expenses.

STAFF EXPENSES			
Position	Basic monthly wage	Monthly Social benefits	Annual cost
Professional			
Technician 1			
Technician 2			

OPERATION EXPENSES		
Item	Unit costs	Annual Cost
Transportation - Estimates per visit per month, for each technician (total X)		
Per diem		
Training item- One (1) quarterly training event (includes logistics, material and coffee breaks).		
Communications, office supplies		
Total operation costs		

As an example, Table 10 shows the resources allocated by the Swiss Embassy in Colombia - Humanitarian Aid and Development (SDC) in 2016, the first year of ATM operation in the four municipalities participating in the ASIR-SABA project. Tables 11 and 12 show the operating costs estimated by the ATMs in 2016 for the year 2017, when these were not expected to receive a financial contribution.

Table 10. Costs linked to ATM operations in 2016, financed by SDC.

	Monthly transportation, logistics	Monthly wages	Monthly total	Annual total
Buga	\$340,455	\$1,692,000	\$2,032,455	\$24,389,455
Trujillo	\$ 312,818	\$1,692,000	\$2,004,818	\$24,057,818
Caloto	\$ 345,364	\$1,692,000	\$2,037,364	\$24,448,364
Santander de Quilichao	\$ 544,545	\$1,692,000	\$ 2,236,545	\$26,838,545

Source: ASIR-SABA Project

Logistic costs of the ATM operation, which was financed by the Swiss Embassy in Colombia - Humanitarian Aid and Development (SDC), are mainly attributable to activities carried out by technicians for the design of water and sanitation solutions, capacity building processes, and the Ministry of Housing, City and Territory's (MVCT) declaration of the ASIR-SABA project's viability. This includes: conducting technical visits to the infrastructure, engaging in dialogues with the communities, providing support to participatory design activities, managing environmental procedures and permits, assurance plans, and land management situations.

Table 11. Estimated operating budget for the creation of ATMs in 2017, in the municipalities of Buga and Trujillo, and Caloto and Santander de Quilichao.

Municipality		Staff expenses			
Buga		Position	Monthly basic wage	Monthly social benefits	Annual cost
		Technician 1	\$1,200,000	\$672,000	\$22,464,000
		Technician 2	\$1,200,000	\$672,000	\$22,464,000
		Total annual staff cost			\$44,928,000
		Operating Expenses			
		Item	Unit costs	Units	Annual cost
		Transportation - Estimates 3 visits per month, for each technician (total 6)	\$ 35,000	72	\$ 2,520,000
		Per diem	\$20,000	72	\$ 1,440,000
		Training item- One (1) quarterly training event (includes logistics, material and coffee breaks).	\$ 1,000,000	4	\$ 4,000,000
		Communications, office supplies	\$ 1,000,000	Global	\$ 1,000,000
	Total operation expenses			\$ 8,960,000	
	Total per municipality			\$ 53,888,000	
Municipality		Staff expenses			
Trujillo		Position	Monthly basic wage	Monthly social benefits	Annual cost
		Technician 1	\$1,100,000	\$616,000	\$20,592,000
		Total annual staff cost			\$20,592,000
		Operating Expenses			
		Item	Unit costs	Units	Annual cost
		Transportation - Estimates 3 visits per month, for each technician (total 6)	\$ 35,000	72	\$ 2,520,000
		Per diem	\$20,000	72	\$ 1,440,000
		Training item- One (1) quarterly training event (includes logistics, material and coffee breaks).	\$ 1,200,000	4	\$ 4,800,000
		Total operation expenses			\$ 8,760,000
		Total per municipality			\$ 29,352,000

ATM personnel: two technicians hired through a service agreement contract.

ATM personnel: one technician hired through a service agreement contract

Table 12. Estimated operating budget for the creation of ATMs in 2017, in the municipalities of Caloto and Santander de Quilichao.

Municipality	Staff expenses				
	Position	Monthly basic wage	Monthly social benefits	Annual cost	
Caloto	Technician 1	\$1,100,000	\$616,000	\$20,592,000	
	Total annual staff cost			\$20,592,000	
	Operation Expenses				
		Item	Unit costs	Units	Annual cost
	ATM staff: one technician hired through a service agreement contract.	Transportation - Estimates 3 visits per month, for each technician (total 6)	\$ 25,000	72	\$1,800,000
Per diem		\$20,000	72	\$ 1,440,000	
Training item- One (1) quarterly training event (includes logistics, material and coffee breaks).		\$ 1,200,000	4	\$ 4,800,000	
Total operation expenses			\$ 8,040,000		
Total per municipality			\$ 28,632,000		
Municipality	Staff expenses				
	Position	Monthly basic wage	Monthly social benefits	Annual cost	
Santander de Quilichao	Professional- strengthening and management- grade 2	\$2,200,000	\$1,232,000	\$41,184,000	
	Technician	\$1,100,000	\$616,000	\$20,592,000	
	Total annual personnel cost			\$61,776,000	
	Operation Expenses				
		Item	Unit costs	Units	Annual cost
ATM staff: two people, a professional and a technician hired through a service agreement contract or by hired through the municipality's payroll	Transportation - Estimates 3 visits per month, for each technician (total	\$ 35,000	72	\$2,520,000	
	Per diem	\$20,000	72	\$ 1,440,000	
	Training item- One (1) quarterly training event (includes logistics, material and coffee breaks).	\$ 1,200,000	4	\$4,800,000	
	Total operation expenses			\$ 8,760,000	
Total per municipality			\$ 70,536,000		

Source: Documents pertaining to the creation of ATMs in the municipalities of Buga, Trujillo, Caloto and Santander de Quilichao, Swiss Embassy in Colombia - Humanitarian Aid and Development (SDC), 2016.

According to the budget, the annual operation of the ATM unit in Buga amounts to \$ 53,888,000. Considering that there are 37 rural aqueducts in Buga, the cost per system of water and community sanitation to be intervened is \$1,456,433. In Trujillo, the annual operation of the ATM unit is \$29,352,000. Since there are 33 rural aqueducts in Trujillo, the

approximate annual cost of providing support per system is \$889,454.

The annual operation of the ATM unit for the municipality of Caloto amounts to \$ 28,632,000. Considering that there are 42 rural aqueducts in the municipality, the cost per water system and

community sanitation to be intervened is \$681,715. Finally, for the municipality of Santander de Quilichao, the annual operation of the ATM unit is \$70,536,000. Considering that there are 72 rural aqueducts in the municipality, the cost of providing support per system is \$979,667.

SUGGESTED PROFILES / QUALIFICATIONS FOR THE DEVELOPMENT OF ATM ROLES 6

Based on the experience in the project's four municipalities, the following profiles are suggested, according to the position or positions to be hired for the ATM (see Table 13), and according to the prioritized and defined functions.

Table 13. ATM profiles

Position	Academic requirements	Experience	Other requirements
Professional in Infrastructure	Professional degree in sanitary or civil engineering.	<ul style="list-style-type: none"> •At least two years' work experience in projects or programs in the rural water and sanitation sector. •Experience in managing, reviewing potable water and basic sanitation projects. •Experience in supervising basic W&S projects in rural areas. •Familiar with designs and costs of water and sanitation works. •Experience in training and capacity building. 	<ul style="list-style-type: none"> •Capacity to engage in dialogue with governmental and non-governmental stakeholders; efficient management of meetings; •Good oral and written communication skills and capacity to deliver presentations or facilitate workshops.
Professional in managing capacity strengthening initiatives for rural water and sanitation.	Professional degree in social sciences (sociology, social work, anthropology) or administration (business administration, accounting, economics).	<ul style="list-style-type: none"> •At least two years' work experience in rural W&S projects or programs, including in the creation, implementation and strengthening of community organizations that provide W&S services. •Experience in training and capacity building. 	<ul style="list-style-type: none"> •Ability to engage in interinstitutional dialogue and reach consensus.
Technician in rural W&S services, with emphasis on infrastructure.	Technician, technologist or administrative degree in water and sanitation, Environmental Technician or Technician in Ecology or homologous training in environmental or administrative sciences.	<ul style="list-style-type: none"> •At least one years' work experience in water and sanitation projects or programs in small municipalities and rural areas, and in community water management. •Experience in leadership and community management of water and sewage utility providers in small municipalities and rural areas. 	<ul style="list-style-type: none"> •Demonstrated experience in the use of computers and office software packages (MS Word, Excel, PowerPoint, etc.), database management.
Service technician in rural W&S, with an emphasis on strengthening capacities			

THE NATIONAL GOVERNMENT'S ROLE IN PLANNING, IMPLEMENTING AND ENSURING THE SUSTAINABILITY OF ATMS

Given the municipality's general obligation to meet basic needs and ensure the provision of public services in the area of its jurisdiction, according to article 5 of Law 142 of 1994, municipalities and districts have specific funds earmarked for potable water and basic sanitation, which must be invested in line with the eligible activities mentioned in article 11 of Law 1176 of 2016, which include strengthening the community for the provision of services.

On the other hand, the departments also play a role in initiatives to support and promote the provision of these services, per article 7 of Law 142 of 1994, and receive resources from the General Participation System (GSP) that must be invested in accordance with the diagnoses carried out. This territorial resource allocation supports the operation of the Departmental Water Plans (PDA), and increases the possibility that municipalities pledge their resources to these institutions.

Similarly, technical assistance activities for the water and sanitation sector are transversal to the powers of the Ministry of Housing, City and Territory, in the sense that it establishes the general guidelines for their implementation in the territories. However, the implementation corresponds to the departments and municipalities, and in this regard, planning of investments and support and promotion actions are being carried out as regulated for the Departmental Water Plans (see Decree 2246 of 2012), with the strategic investment plan and assurance plans for the provision of services, which cover both municipalities and providers operating in their jurisdiction. In this context, several Departmental Water Plans have prioritized interventions in rural areas, especially through diagnosis exercises and with the formulation of assurance plans.

The national government issued Decree 1898 of November 23rd, 2016, (incorporated in title 7, chapter 1 of Decree 1077 of 2015, a compilation of the Housing, City and Territory sector) which regulates differential schemes for aqueduct, sewage

and waste collection utilities, and for the provision of water for human and domestic consumption and basic sanitation, through alternative solutions. This decree includes provisions related to territorial planning (municipal and departmental) for the provision of services, community strengthening and the promotion of associative schemes for the provision of these services.

Although the guidelines for each of the provisions of the mentioned decree are being prepared, the following are some of the guidelines related to technical assistance needs:

- **Municipalities' obligation to adopt aqueduct, sewage or waste collection services in rural populated centers, and to promote the use of alternative water solutions for human consumption and basic sanitation in areas that cannot have utilities:** to allow the implementation of alternative provisioning solutions where it is feasible to promote appropriate technological solutions. This is an obligation of the municipality, derived from Law 388 of 1997 and Law 1551 of 2012 (territorial planning and Municipal Code, respectively) so that the sector's investments are harmonized with the needs of the rural population and with land planning and territorial development decisions.
- **Uniform Conditions Contracts management and adaptation plan:** to enable providers to reach efficiency standards (quality, continuity, micro-measurement) progressively, under the particular conditions of rural areas. The decree left service providers responsible for the formulation of a management plan, and its gradual fulfillment of goals must be included in the Uniform Conditions Contracts with the users. However, it was determined that municipalities and districts should support rural providers in their jurisdiction, in the formulation of such management plans.

- **Report with information on the conditions of access to water for human and domestic consumption and basic sanitation, per municipalities and districts:** it provides initial information on the inventory of communities, systems and people who operate them, to learn how the rural population accesses these services, and monitor compliance with the Sustainable Development Goal - SDG 6 "Clean water and sanitation". Moreover, this activity allows the municipality to coordinate subsequent infrastructure diagnosis activities.
- **Infrastructure diagnosis, to be carried out by departments:** an infrastructure diagnostic activity is considered, as it requires coordination between municipalities and departments. It is a gradual implementation activity, which allows for simplified information to monitor the availability of water and sanitation services, and their sustainable management. For this component, the national government is validating the implementation of the Information System for Potable Water and Basic Sanitation (SIASAR).
- **Community strengthening, to be carried out by the municipalities:** it includes the municipalities and districts' responsibility to formulate specific programs to provide technical assistance and contribute to strengthen the capacities of rural providers operating in their jurisdiction. Although the decree does not establish specific implementation models, there is an opportunity to promote the Municipal Technical Assistance units or offices as an option to coordinate these activities.
- **Promotion of associative schemes, a task to be carried out by the municipalities:** so that the associations created, or the associations where community-based service providing organizations participate, are taken into account as an alternative or as a strategic ally for the implementation of technical assistance and community strengthening activities at the local level.
- **Social management:** so that the municipalities, in coordination with the health and environmental authorities of their jurisdiction, promote proper use of alternative supply solutions, and can coordinate actions with the Department for Social Prosperity - DPS, thereby improving their assistance to the most vulnerable population, as part of this entity's support to families and communities.

It is important to note that municipalities and departments' exercise of these powers is subject to territorial autonomy, so the municipality decides how to coordinate these activities. Taking into account that ATMs are only one of the different alternatives for coordinating planning, technical assistance, community strengthening and social management actions in the territory, the national government has not yet formulated specific guidelines to create these units.

Likewise, it should be noted that no national or departmental budget allocations have been mandatorily allocated to fund technical assistance activities. However, as mentioned before, it is possible that municipalities will allocate resources for community strengthening, as an eligible activity for the General Participation System drinking water and sanitation resources.

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ANNEXES

ANNEX 1. DIAGNOSIS TO BUILD AN ATM

Municipal Support Units for water and sanitation in the rural area

Date: _____
 Municipality: _____
 Facilitator: _____
 Person(s) interviewed: _____

BLOCK 1: GENERAL ASPECTS FORM, TO BE COMPLETED BY THE MUNICIPALITY

Information on municipal officials and institutional representatives

Institutions/ Dependency	Name	Telephone number	Email address
City Council representative			
Representative from Community and afro-descendent groups			
Municipal Planning Secretary			
Municipal Health Secretary			
Representative from the Social Control Committee			
Community Development secretary			
Person responsible for the aqueduct service provider company			
Person responsible from the sewer service provider company			
Person responsible for waste collection service provider company.			
Person in charge of the local health institution			

General information

1. Number of households in the municipal capital _____
2. Number of inhabitants in the municipal capital _____
3. Date and source _____
4. Number of households in the rural area _____
5. Number of inhabitants in the rural area _____
6. Date and source _____

BLOCK 2. INFORMATION ON INSTITUTIONAL CAPACITIES TO PROVIDE MUNICIPAL TECHNICAL SUPPORT IN THE WATER AND SANITATION SECTOR FOR RURAL AREAS

1. Which is the secretariat, office or agency responsible for water and sanitation competencies in the municipality? _____
2. Who is the person responsible for the secretariat or office? _____
3. Which is the secretariat, office or agency responsible for water and sanitation competencies for the municipality's rural area? _____
4. Who is the person responsible for the secretary or office? _____
5. Water and sanitation utility providers in the municipality, urban area.

Name of provider	Aqueduct	Sewage	Waste collection

6. Is there an inventory of community organizations providing public services in rural areas in your jurisdiction?

Aqueduct: YES NO How many? _____

Sewage: YES NO How many? _____

Waste Collection: YES NO How many? _____

7. What type of support is provided for the provision of services in rural areas?

Support	Yes	No	Observations
Technical assistance			
Training			
Financial resources			
Other: which?			

8. Water and sanitation utility providers in the municipality, rural area.

Name of provider	Aqueduct	Sewage	Waste collection

9. Are there any municipal agreements to delegate the provision of water and sanitation services in the rural area?

Does the municipality control these contracts?

How does it control these contracts? _____

10. Does the Municipality follow up on the provision of public services in rural zone? YES NO

If so, how does do it? _____

11. Does the municipality invest in the construction and the improvement of infrastructure regarding the aqueduct, sewage and waste collection services in rural areas?

Aqueduct: YES NO

Sewage: YES NO

Waste Collection: YES NO

12. Please list any water and sanitation projects for rural areas carried out during the past four (4) years (2012-2015) - Collect the list of projects and Development plan, chapter on water and rural sanitation.

PROJECT	SERVICE	BENEFITTED COMMUNITY	PARTICIPATING INSTITUTIONS	AMOUNT	YEAR
A.					
B.					
C.					
D.					
E.					

Aq= Aqueduct, Se= Sewage, WC= Waste collection

13. Does the municipality make a contribution for the operation and maintenance of aqueduct, sewer and waste collection services in the rural area?

Aqueduct: YES NO

Sewage: YES NO

Waste Collection: YES NO

List the providers who receive these contributions:

Provider who receives the contribution	Type of contribution	Term (as of what year)

14. Is there a Redistribution and Solidarity Fund in the Municipality?

Aqueduct: YES NO

Sewage: YES NO

Waste Collection: YES NO

How has the subsidy allocation process been carried out? _____

15. Does the municipality allocate subsidies to the population that is eligible to receive subsidies to access the aqueduct, sewage and waste collection services in rural areas?

Aqueduct: YES NO How many? _____
 Sewage: YES NO How many? _____
 Waste Collection: YES NO How many? _____

What amount that has been transferred in subsidies in the last four years?

Service	2012	2013	2014	2015
Aqueduct				
Sewage				
Waste collection				

16. Is there any mechanism for users' participation in issues related to water and sanitation services in the municipality? YES NO

Which? _____

17. Is there a Development and Social Control Committee? YES NO

Please list the names of the supervisory member or main members of the Committee who belong to the rural area:

Aqueduct	Sewage	Waste collection

18. Please list the most important problems of the water and sanitation sector for the rural area of the municipality:

Aqueduct	Sewage	Waste collection

19. What are the criteria to allocate resources from the General Participation System to the water and sanitation sector?

20. Does the municipality have any water and sanitation projects that are either currently contracted, are planned or are going to be executed? YES NO

Which?

Service	Benefitted community	\$ amount	Execution year	Status (contracted, to be executed, in execution)

Note: Include Development Plans and list of projects carried out in the rural area during the same period.

BLOCK 3. IN-DEPTH ANALYSIS OF MODALITIES TO SUPPORT WATER AND SANITATION IN RURAL AREAS

CONTROL DATA			Day: Month: Year:
Organization name:		Name of person interviewed:	
Age:	Sex:	Position:	Number of years working in the organization:
Number of years in position:			

1. ACTIVITIES

List the type of post-construction activities carried out by the municipality⁶ and state whether the municipality is a direct or intermediate provider of these activities, what the modality of service provision is and how often it performs these activities:

Post-construction activities	Yes / No	Direct provider / Intermediary	Service provision Modality Demand/ Supply	Number of times that support is provided to community systems per activity in one year
1. Monitoring, surveillance, audits				
2. Technical, administrative and/or organizational advice				
3. Mediation and conflict resolution				
4. Support in the identification of asset replacement needs and support in mobilizing resources for this ends.				
5. (Re) training of the provider's board and employees				
6. Provision of access to information				
7. Support in the mobilization of financial or material resources (spare parts and chemicals).				

If the municipality acts as an intermediary for some support modalities, respond to questions 1.2 and 1.3:

1.2 What are the functions that it carries out under this category?

1.3 What are the entities that respond to support demands or support offers?

2. STAFF

2.1 State how many people are part of the work team responsible for providing support to community systems., specifying their professional area and time dedication, years and sector of experience.

⁶A municipality is understood as the source of support, regardless of the unit or area that carries out the support activities

Profession	Number of people per profession	Time dedication (full time, half time)	Years of experience in the sector

3. TOOLS

3.1 According to the support activities implemented by the municipality, what are the tools used to carry out the support activities and how often are they used?

Activity	Tools	Frequency of tools use

3.2 Do these materials belong to the institution?

YES NO Whom do they belong to? _____

3.3 Do you think these material enable reaching the community without difficulty?

YES Why?_____

NO Why?_____

4. COSTS

4.1 What is the source of the resources used to provide support in water and sanitation to rural areas in your municipality?

Source	Mark with an X	\$ (Amount for past four years, 2012-2015)	% participation of sources
Public			
National Departmental Municipal			
Private. Which?			

4.2 According to the source of the resources, is there any limitation to their use?

YES NO If the answer is Yes, which? _____

4.3 Please state which items have been covered in support activities in water and sanitation in the rural area?

items	Mark with an X
Personal	
Per diem	
Tools	
Others. Which?	

5. COVERAGE

5.1 Was there a criteria or a method that was used to select which community organizations were going to be supported?

NO What is the process to provide support? _____

YES Which? _____

5.2 State the number of systems supported by the municipality in the past four years _____

6. EVALUATION AND FOLLOW UP

6.1 Once activities to support community systems have been developed, are any monitoring processes carried out to measure the performance level or any improvements that have taken place after the support was provided?

NO Why? _____

YES Please fill in the following table:

Mechanism used	Frequency of application of mechanism	Frequency in the use of the mechanism for future actions

7. INTERINSTITUTIONAL RELATIONS

7.1 Are the activities carried out by the Municipality to provide support in water and sanitation to rural areas coordinated jointly with other units of the municipality and/or other institutions

NO Why? _____ With which other institutions does it coordinate activities that are part of the model?

YES Which? _____

7.2 Describe the activity coordination process

7.3 How frequently are activities coordinated with the municipality?

8. INSTITUTIONALIZATION

8.1 Does the model for support in water and sanitation to rural areas have a set of goals or objectives to be achieved in a certain period of time?

NO Why? _____ With which other institutions does it coordinate activities that are part of the model?

YES Which? _____

8.2 Is the model represented in any department, area or line within the municipal organizational structure?

NO Why? _____ How is the efficacy of the model evaluated? _____

YES Who is/are responsible for developing the model? _____

8.3. Please state whether the following elements formally exist:

Requirements	Yes		No	Use (frequently, seldom, never)
	Formal	Informal		
Process Manuals				
Procedures Manuals				
Functions manuals				
Others. Which?				

ANNEX 2. PARTICIPATORY HISTORICAL TIMELINE

HISTORICAL TIMELINE

The Historical Timeline allows ordering a sequence of events or milestones - in this case related to the rural area's support in water and sanitation-, so that it is possible to clearly appreciate the temporal relationship between them, and to identify key stakeholders, as well as aspects of the historical context that have favored or limited the development of such support actions. To prepare a timeline, it is necessary to identify events and the initial and final dates when these occurred; organize the events in chronological order; select the most relevant milestones; group similar events; determine the display scale to be used and, finally, organize the events in a diagram.

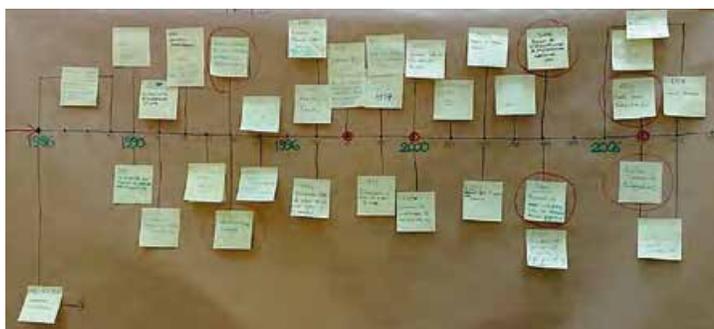
Objective. Reconstruct the most significant historical events that occurred in relation to rural water and sanitation support actions. Share and discuss the information with the focus group, to identify relevant aspects pertaining to the milestones identified.

Participants. Municipal officials and former officials who have participated in support processes for rural water and sanitation issues, community leaders representing community aqueducts, representatives from organizations, foundations, institutions and/or NGOs that work on water and sanitation issues in the municipality.

Materials. Sheets of flipchart paper, markers, masking tape.

Description:

1. Name a rapporteur who will take notes and record the information resulting from this activity. Name a moderator who will help regulate participants' interventions and guide the overall activity.
2. Ask the group to discuss the history of support to rural water and sanitation at the local level, from the beginning or when the first municipal rural water and sanitation system was founded, the main constructions that have been carried out, the community's organizational history and the main projects that have been developed in infrastructure and in strengthening management services.
3. Ask the group to chronologically record the facts and identify: date (year), stakeholders (people, institutions), achievements and relevant results of the events identified.
4. Then, suggest that participants draw a horizontal line on a flipchart sheet, crossing the entire sheet. At the beginning of the line, they must write the year of the first identified event, then they must write the years when the other recorded milestones took place. Any positive events that brought achievements and progress in the support to rural areas, are recorded in the top half of the line drawn, and situations that caused setbacks or are considered to have caused negative results, should be written under the line.
5. After the activity, the group must address the plenary and describe the history of support for the rural area. The group must identify whether there have been periods where there has been no support, or on the contrary periods with increased support. Reflect on the possible causes of these situations.
6. The rapporteur will record the interventions and present them in plenary to validate the information.



Example of a Historical Timeline

Information to be collected:

The information collected feeds and supplements the participatory analysis document, prepared under the item "Participatory analysis of the municipality's conditions regarding rural water and sanitation" described in this document, and can be included as a chapter on the history of support provided to rural water and sanitation.

ANNEX 3. PROPOSED AGENDA FOR THE PARTICIPATORY ACTIVITY FOR THE IDENTIFICATION OF LOCAL CAPACITIES

PROPOSED AGENDA

The suggested agenda for this activity is:

1. Introduce participants (this will be carried out by asking them for their name, position and what they expect from this activity).
2. Describe the activity's objective, which is aimed at creating the ATM.
3. Present the data and information collected throughout the participatory analysis of the municipality's conditions regarding rural water and sanitation. For this activity, the facilitator can rely on a PowerPoint presentation or he/she may use posters. The information can be validated and discussed by the participants.
4. Start working on the matrix. (see Table 7. Matrix for the identification of the local context in rural water and sanitation) under the item "Needs".
 - a. With the help of construction paper cards and working on a billboard, participants will brainstorm on the needs of rural communities regarding water and sanitation.
 - b. Participants read their answers and the facilitator classifies by themes (social, technical, environmental, related to service administration, etc.).
 - c. The group discusses the needs identified.
5. Participants work to fill in the column on "Expectations regarding support and goals". For each group of needs, identify the municipality's expectations or goals, to address said needs:
 - a. Participants' ideas on the expectations and goals regarding support for water and sanitation, are obtained using the same method as above.
6. Identify institutional capacities. For each group of needs and expectations, classified by themes, participants will then identify current municipal capacities as well as future capacities that could be created. The availability of human, economic, technical and logistic resources should be considered.
7. Identify key stakeholders and networks that can be built. In this section, the participatory **Venn Diagram** technique can be used to help identify stakeholders by identifying current relationships, and how close and how important they are for the municipality. The center of the diagram will contain the municipality, and its role in supporting the rural area in water and sanitation aspects.

VENN DIAGRAM

Used to teach the Set Theory, this diagram is useful to assess institutional presence in relation to a topic and the type of relationships that have been established. In this activity to identify support for water and rural sanitation issues, and considering that the ATM is built as part of the municipalities' core competences, the municipality will be used as the reference point to identify the relations.

Objective

Identify the institutions and/or organizations that have participated in support processes for rural water and sanitation, and recognize how close or distant the relations with these organizations are.

Materials

Sheets of flipchart paper, cardboard, scissors or scalpel, masking tape and markers. Different sized circles made out of construction paper (one large, some medium and small circles).

Description

1. Using a flipchart sheet, participants are asked to write down the institutions, institutional programs, individuals or social organizations that have a local presence or that maintain supportive relationships in the area of water and rural sanitation.
2. When the list has been prepared, they are asked to classify the organizations listed by level of importance, according to their role in supporting rural water and sanitation. The classification levels are: very important, moderately important, and not important.
3. Cardboard and scissors are given to participants to cut out circles of three sizes (large, medium and small).
4. The names of support institutions or organizations that have been identified and listed, will now be written in the cut-out circles, according to their classification per level of importance (each name is written on a single circle).
5. The sheet of paper is now glued to the wall. A circle is drawn in the middle, and the name of the municipality and the phrase "Support in water and rural sanitation" are written on the circle.
6. The cut-out circles will be placed close or far away from the circle with the name of the municipality, depending on how close the relationship between the municipality and each of the institutions or organizations is. For this, the plenary should discuss the role of each institution or organization and its level of support and relation, and this will determine how close or how far away the cut-out circle should be placed from the circle with the name of the municipality. It is important that there is someone taking notes of the information stemming from the discussion.

Information to obtain

- Identify which institutions or people have participated or have supported rural water and sanitation.
- Determine the types of relationships established with these institutions or organizations.
- Determine conflict or harmonious relations.

Series

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Methodological guides for implementation**

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