



**Federal Democratic Republic of Ethiopia**



# **Community Managed Programme Implementation Manual**

**Revised edition**

**Within the  
One WASH National Programme**

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## ACRONYMS AND ABBREVIATIONS

Abbreviation	Interpretation	Abbreviation	Interpretation
AfDB	African Development Bank	NWCO	National WaSH Coordination Office
Birr	Ethiopian Currency	O&M	Operation and Maintenance
BoE	Bureau of Education	OWNP	One WASH National Program
BoFED	Bureau of Finance and Economic Development	PMU	Program Management Unit
BoH	Bureau of Health	POM	Program Operational Manual
CBE	Commercial Bank of Ethiopia	PTA	Parents and Teachers' Association
CDF	Community Development Fund	PVC	Poly Vinyl Chlorine
CFT	Community Facilitation Team	RPMU	Regional Program Management Unit
CIS	Corrugated Iron Sheet	RSU	Regional Support Unit
CMP	Community Managed Project	RWCO	Regional WASH Coordination Office
COWASH	Community Led Accelerated WASH in Ethiopia	RWMU	Regional Water Management Unit
CSO	Civil Society Organization	RWSC	Regional WaSH Steering Committee
CWA	Consolidated WaSH Account	RWSEP	Rural Water Supply and Environment Programme
DFID	Department for International Development (UK)	RWTT	Regional WASH Technical Team
EFY	Ethiopian Fiscal Year	SWAp	Sector Wide Approach
FinnWASH	Rural WASH Programme in Benishangul-Gumuz Region	UAP	Universal Access Plan
GI	Galvanized Iron	VIP	Ventilated Improved Pit
GoE	Government of Ethiopia	WASH	Water Supply, Sanitation and Hygiene
GPS	Global Positioning System	WASHCO	Water Supply, Sanitation and Hygiene Committee
GTP	Growth and Transformation Plan	WAT	Woreda Appraisal Team
HC	Health Committee	WEO	Woreda Education Office
HCB	Hollow Concrete Block	WIF	WaSH Implementation Framework
HDP	High Density Polyethylene	WMP	Woreda Managed Project
ICT	Information and Communication Technology	WoFED	Woreda Finance and Economic Development Office
KWT	Kebele WASH Team	WOH	Woreda health Office
LCD	Liquid-Crystal Display	WRDB	Water Resource Development Bureau
MDG	Millennium Development Goal	WSG	Woreda Support Group
M&E	Monitoring & Evaluation	WSP	Water and Sanitation Program Africa
MFI	Microfinance Institution	WWC	Woreda WASH Consultant
MIS	Management Information System	WWO	Woreda Water Office
MoE	Ministry of Education	WWT	Woreda WaSH Team
MoFED	Ministry of Finance and Economic Development		
MoH	Ministry of Health		
MoWIE	Ministry of Water, Irrigation & Energy		

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Appendix	3 (8)	Brief Note on CMP Capacity Building

## Annexes (separate document to be used during implementation and not attached to this document)

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Annex	1b	Institutional CMP Application Form
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# 1. Introduction

## 1.1 Background

The Government of Ethiopia (GoE) is implementing the Universal Access Plan (UAP) and Growth and Transformation Plan (GTP) for improved water supply, sanitation and hygiene (WASH). The aim of this plan is to achieve universal access to safe water for 98.5% of the country's population and 100% coverage of basic latrine by 2015. Despite significant acceleration in coverage and a relatively favourable policy environment, a considerable amount of work needs to be done to achieve the Ethiopian Government (GoE) Growth and Transformation Plan (GTP)<sup>1</sup>.

In September 2013, the Ethiopian government launched its (multi-sectoral) Sector-Wide Approach (or SWAp) for water, sanitation and hygiene called the One WASH National Programme (OWNP). The plan brings together four ministries- Water Irrigation & Energy, Health, Education, and Finance & Economic Development- in a bid to transform the way water and sanitation services are delivered to the people of Ethiopia. It is a further step in the gradual development of the essential policies, guidelines, financing and coordinating mechanisms to deliver universal access to water and sanitation, and to sustain services, across the country. It consolidates planning, budgeting and reporting activities of WASH in a broad sector wide approach with the catch phrase "One plan – one budget – one report", highlighting the harmonising of WASH efforts around the country. WASH management will improve under One WASH, with a Consolidated WASH Account at the Ministry of Finance and Economic Development (MoFED).

To achieve substantial acceleration towards meeting the Growth and Transformation Plan (GTP) and Millennium Development Goals (MDG) targets, the government is integrating innovative and less expensive models with conventional modes of implementation. To this end, the Government of Ethiopia has endorsed the inclusion of community-managed projects for rural WASH in the National WASH Programme.

OWNP duration is of seven years duration, implemented in two phases; Phase I from July 2013 to June 2015 and Phase II from July 2015 to June 2020. Phase I is marked by increasing harmonisation and alignment among and between development partners and GoE, during which time WASH organisations and procedures become fully established and operational at all levels. Partners, including CSOs, are expected to increasingly align targets, plans and activities with the Programme. New WASH programmes/projects or new phases of existing WASH programs/projects will be expected to be aligned with the Programme's principles, approaches and plans.

Due to limits on the duration of OOWNP Phase I, limited finances, construction and drilling capacity (lack of skilled technicians, contractors and equipment), the OOWNP recognises the need to prioritise low-cost water supply facilities that can be constructed by local artisans

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<sup>1</sup>WASH Implementation Framework (WIF), 2013

through community managed projects, Self-supply and by NGOs. The guiding principle of Phase I is, “some for all, not all for some”, to ensure that un-served areas, communities and households receive at least a basic level of water supply and sanitation services. Focusing on lower-cost options that can be constructed by artisans and managed by communities will also reduce the long time frames currently spent on procurement.

Community Managed Projects (CMP) is one of many OWNP innovations, alongside Self-supply, Woreda-Managed Projects (WMP), NGO projects and multi-village schemes.

The Woreda Managed Project (WMP) implementation manual has been tested and implemented with support from World Bank (WB), DFID and AfDB. The Self-supply Implementation Manual is under development by the Self-supply Working Group and is being tested in the regions piloting and accelerating Self-supply. An earlier Community Managed Project (CMP) Implementation Manual was developed by COWASH and FinnWASH and implemented in 45 woredas using Micro Finance Institutions (MFIs) as intermediaries to transfer funds to communities to procure project goods, materials and services for. In 2006 Ethiopian fiscal year (2014) COWASH and FinnWASH are implementing CMP in 70 woredas.

This method of financing does not align with the public finance management rules of GoE, as public funds cannot be channelled through MFIs. Furthermore the Public Finance and Procurement Directives require new guidance on how community groups can become eligible to receive and use public funds. This current CMP Implementation Manual (July 2014) has therefore been revised to ensure that financial management of CMP follows approved rules and directives. The Program Operational Manual (POM) of the One WASH National Programme has recognised that adjustments are needed for community representatives to access public funds and for community procurement. The final version of POM published in September 30, 2014 says (4.3.5): “The program will involve activities that will be carried out directly by the community. The procurement procedures to be followed by community groups will be elaborated in a separate manual that will be approved by the MoWIE and MoFED.” This manual elaborates those procedures and has been developed within the One WASH National Programme, in line with the Program Operation Manual and draft WASH Implementation Framework (WIF)

## **1.2 The Community Managed Projects (CMP) modality**

### **1.2.3 Motivation for introducing CMP**

The main challenges in rural WASH are low implementation capacity, high levels of non-functionality, low absorption capacity and significant human resource capacity challenges, in particular at woreda level. This situation has persisted despite large but limited capacity building initiatives

The need for a more innovative approach was strengthened by the desire of the GoE to empower communities. The Rural Water Supply and Environmental Programme(RWSEP)which was launched in 1994; responded by establishing the community development fund (CDF) from 2003.



The success of RWSEP led to growing interest by GoE and donors in the CDF. The Government of Finland asked the World Bank, Water and Sanitation Program (WSP)-Africa to undertake an independent study to evaluate the achievements of CDF and to recommend concrete and feasible measures to scale it up.

The emergence of CDF as an effective financing model was a factor in the development of the WASH Implementation Framework to consolidate harmonisation and establish effective integration between WASH interventions and a more effective implementation mechanism. In turn, the WIF recognises CMP as one of the implementation modalities for rural WASH.

### **1.2.2 Advantages of CMP**

The Community Managed Project implementation modality addresses the challenge of speeding up the development of sustainable rural WASH services and furthers sector policy objectives of decentralised, effective and sustainable service delivery. CMP delivers on integrated, participatory, decentralised approaches by enabling communities or institutions to initiate, plan, implement and manage their own water and sanitation projects.

#### ***CMP promotes sector policy***

The community management approach is responsive to community demand and its readiness to play an active role in the development of WASH services. CMP stimulates awareness in the community and promotes a sense of ownership which is essential for sustainability. It provides incentives for community groups to strengthen their organisation and capacity. It is pro-poor as it reaches areas that have not already been served through the governmental system and involves low-cost infrastructure that communities can afford to operate and maintain. CMP engages with financial institutions and private operators. It supports Community Water Committees (WASHCOs) to manage their own water supply and sanitation and inculcates a culture of saving in communities.

#### ***Efficient model of implementation***

According to the WSP-Africa evaluation, in communities where CMP was implemented:

- Project implementation rate increased by up to a factor of 5
- Utilisation of investment budgets increased from an average of 53% to close to 100% (other large donor programmes average below 50%).

#### ***Higher sustainability***

- WSP evaluation and other studies indicate that CMP schemes have achieved functionality rates of 94%, significantly above the 75%+ average for Amhara.

#### ***CMP empowers communities and local service providers***

- CMP has resulted in increased community ownership of projects, including their capacity for implementation and maintenance.
- CMP builds locally available private sector capacity for construction and maintenance and facilitates the establishment of local spare parts supply chains.
- CMP stimulates woreda capacity for facilitation and supervision and releases resources from implementation management.
- As communities save for O&M, CMP brings local banking closer to the community.

## **2. Principles and concepts of Community Managed Projects (CMP)**

The Water Resource Management Policy (1999) and the One Water National Programme (2013) both support decentralised management and integrated, participatory approaches to providing improved water supply services. Communities and the recovery of O&M costs are recognised and supported in this policy.

The Community Managed Project (CMP) option delivers on these policy aims by supporting communities (or institutions such as schools or health facilities) to initiate, plan, implement and manage their priority water and sanitation projects. In the case of communities, CMP relates only to water schemes since sanitation is developed by households, under the community-led total sanitation and hygiene approach. In the case of institutions CMP can be used to develop sanitation as well as water facilities.

The CMP option makes communities responsible for developing, managing and operating water schemes. Funds for physical construction are transferred to the communities from woredas making communities responsible during the full project cycle, from planning, implementation (including procurement of most materials and labour) and O&M. The WASHCO, PTA or Health committee is directly responsible for contracting, procurement and quality control and is financially accountable to the community, the kebele and the woreda administration. There is no handing over of scheme to communities, since the community already owns the project.

Representatives of the community user groups become the project managers while the government structures at woreda and regional level, freed from managing the implementation of a large number of individual projects, can focus on facilitating progress towards their targets. This includes channelling funds, administration, training, supporting capacity building of communities, monitoring and managing the woreda WASH programme.

Groups with the potential capacity to take on the CMP role are Water, Sanitation and Hygiene Committees (WASHCO) or representative bodies at schools (Parent Teacher Associations - PTAs) or health institutions (Health committees). When this document refers to community and institutional groups in relation to CMP, it refers to these entities.

The core principles of CMP under the public finance and procurement management system are the following:

- CMP is appropriate for communities or institutions (schools or health facilities) that demonstrate the demand and capacity to manage the development of WASH services. It is initiated by a community or institution asking for a WASH facility and expressing readiness to manage the process. It is subject to such a scheme being appropriate to the local rural WASH plan (see 3.2.4 below) and subject to approval by the woreda after assessing the readiness and capacity of a community or institution to manage the process. It is designed for the installation of low-cost technologies as defined in section 4.2.

- Funds are transferred from the (federal) Ministry of Finance and Economic Development (MoFED) to the (regional) Bureau of Finance and Economic Development (BoFED) and then to the (district) Woreda Finance and Economic Development Bureau (WoFED), following Channel 1b and the Public Finance and Procurement Management System of Ethiopia;
- The Woreda Finance and Economic Development Bureau (WoFED) establishes a WASH account at woreda level, which includes the allocated budget for CMP<sup>2</sup>. WoFED withdraws money from this account in accordance with budgetary decisions and provides communities with finance to carry out their responsibilities. The WoFED accountant opens subsidiary ledgers for each WASHCO/PTA/Health committee showing the total budget and the funds dispersed to community representatives.
- The community or institutional group becomes directly responsible for core implementation: contracting, procuring and supervising construction and/or rehabilitation;
- Procurement by the community or institutional body is subject to oversight by the Woreda WaSH team;
- The community or institutional group undertaking a CMP is financially accountable to the Kebele and Woreda Finance and Economic Development Bureau;

### **3. Implementation arrangements for CMP**

#### **3.1 Overall institutional arrangement**

The One Water National Programme is overseen by the National WASH Steering Committee (NWSC) whose members include Ministers and State Ministers from the Ministries of Water, Irrigation and Energy, Health, Education and Finance and Economic Development. The NWSC is chaired by the Minister of Water, Irrigation and Energy (MoWIE). The technical arm of the NWSC is the National WASH Technical Team consisting of Directors from the four WASH ministries.

The National WASH Coordination Office (NWCO) is responsible for coordinating, planning and oversight and reports to the National Steering Committee. Each of the participating ministries (listed above) also has a WASH Programme Management Unit (PMU) responsible for implementation. In addition the Ministry of Water, Irrigation and Energy has assigned the Rural Water Supply Team Coordinator to support the Community-Managed Approach as part of One WASH National Programme.

Regions, zones and woredas also need to strengthen their WASH structures by appointing CMP focal units to assist the process.

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<sup>2</sup> The Woreda Rural WASH Fund comes from two sources: one sum from the Regional Block Grant and another from the (donor given) National Consolidated WASH Account. These two flows are held in separate accounts at woreda level to ensure auditing accountability, but for budgeting purposes they are combined.

## **3.2 Detailed institutional responsibilities**

### **3.2.1 Federal responsibilities and posts**

The responsibilities of NWCO include promotion of CMP. For this the NWCO shall appoint one CMP specialist. The PMU has a responsibility to support implementation and supervisory management of the CMP, and this requires a dedicated PMU-CMP focal person.

Institutionalisation does not stop at programme implementation; it is also required for post-construction. Therefore, the Water Supply and Sanitation Directorate should also establish a unit or focal person for CMP.

Federal level responsibilities with regard to CMP will be the following:

- Developing CMP policies, strategies
- Including CMP in the national WASH plan and reports
- Developing CMP implementation guidelines and procedures
- Developing CMP specific training materials
- Promoting the CMP modality nation-wide
- Facilitate funding resources for CMP
- Providing technical support and capacity building to regions in regards to CMP
- Conducting CMP related research and studies
- Facilitating experience exchange and networking between regions for CMP
- supervision, follow-up and reporting on CMP related issues, outcomes and progress (disaggregated in national reports)

### **3.2.2 Regional structures**

#### ***Main structures***

At regional level the main structures involved in CMP are the following:

- Regional WASH Coordination Office (RWCO)
- Regional WASH Technical Team (RWTT)
- Regional Programme Management Units (RPMU) in water, health and education
- Regional Bureau of Finance and Economic Development (BoFED)

The overall responsibility for fund management is with BoFED. The other main responsibilities at regional level are the following:

- Selection of woredas (for CMP promotion in appropriate kebeles) in consultation with zone administration and as per the region specific criteria;
- Ensuring that in each selected woreda, WASH stakeholders are committed to partnership for harmonised, aligned and coordinated WASH that the woreda is ready and willing to adopt the CMP modality;
- Ensuring that a CMP investment fund allocation is made available for each selected woreda in line with their annual plan;
- Setting an annual maximum investment ceiling for each project type;

- Recommending minimum community up-front cash deposits by the WASHCO or institutional group to cover operation and maintenance (O&M);
- Recommending (optional) community contributions for investment according to the regional context;
- Reviewing CMP elements of the region's annual WASH plan & budget (based on woreda, zonal and bureau plans) for Regional WASH Steering Committee endorsement.
- supervision, follow-up and reporting of CMP related issues, outcomes and progress (disaggregated in regional reports)

#### ***Regional Programme Management Unit and CMP team***

The Regional Programme Management Unit (RPMU) is responsible for effective implementation of regional WASH programme and has formal oversight of CMP. However, due to the specialised nature of CMP and the intensive support required by woredas and communities, a CMP team for technical support and assistance has been developed under the Water Bureau PMU. The CMP team comprises a team leader/coordinator, technical specialist, financial specialist, capacity building specialist, planning and M&E Specialist and zonal /woreda advisors.

To carry out its function effectively, the CMP team needs to work with a degree of autonomy, according to specific regional ways of working.

If the number of woredas implementing CMP is substantial, it is advisable to have a zonal support advisor.

### **3.2.3 Zonal responsibilities**

Zonal responsibilities vary between regions depending on their size and capacity. For CMP, the main responsibilities of zones are to:

- Provide training to woreda WASH sector offices and woreda WASH teams
- Supervise training conducted by woreda
- Supervise the activities of woredas
- Provide technical support to woredas

### **3.2.4 Woreda structures and CMP cycle**

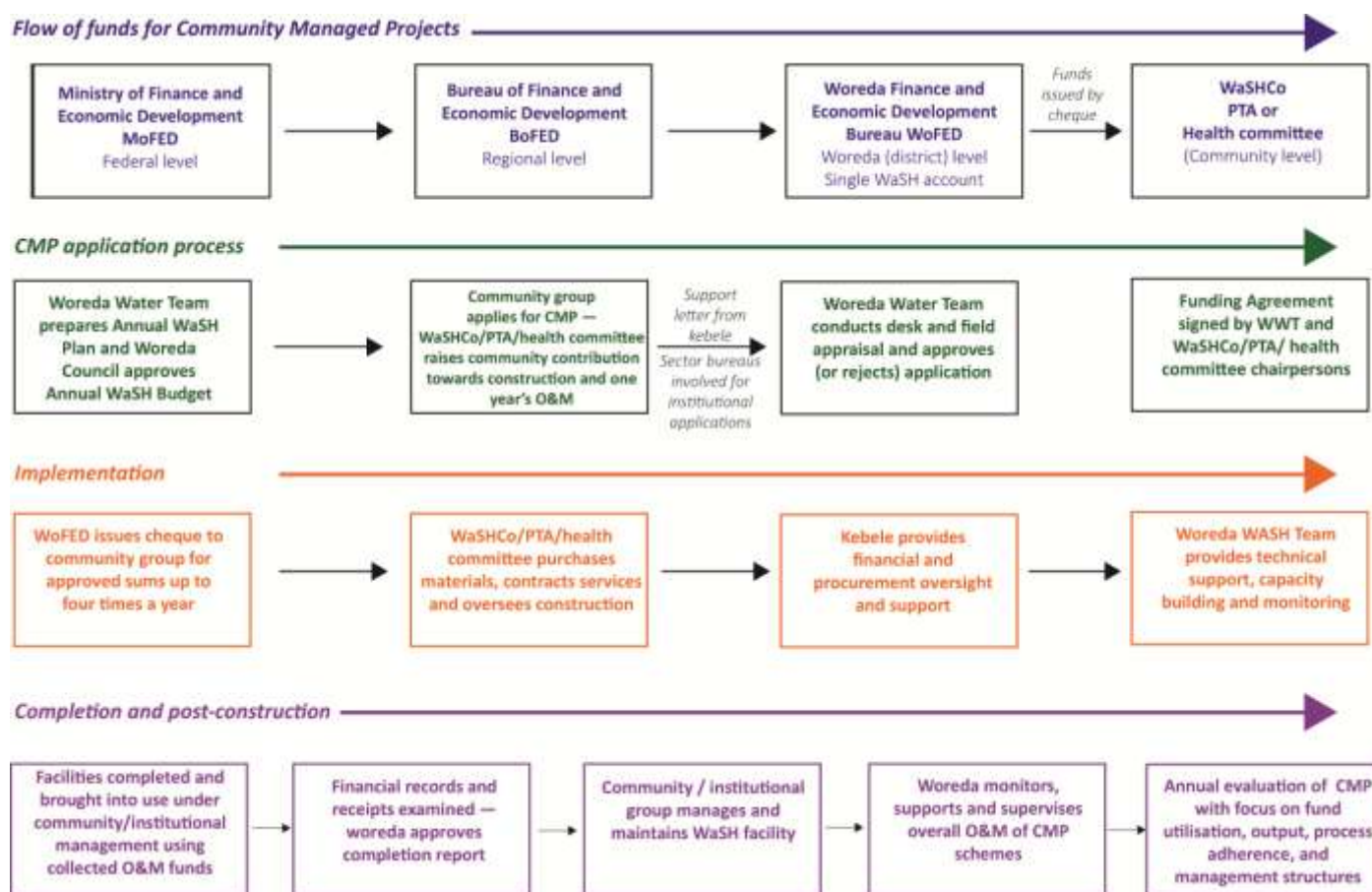
Each woreda has a Woreda WASH Team that is accountable to the Woreda Cabinet for WASH implementation and is chaired by the Woreda Administrator or his/her designate. WWT composition and responsibilities in general are explained in WIF.

There are five steps at woreda level and below in the complete cycle from the planning of rural WASH services to the point where a community has implemented its own project and is successfully taking care of operation and maintenance.

Phase 1	Woreda planning
Phase 2	Community level preparation
Phase 3	Fund channelling
Phase 4	Implementation
Phase 5	Operation and maintenance

Figure 1 illustrates funding flow from federal to regional and to woreda (district level) with funds issued to approved community representatives to purchase materials and services. It also illustrates the application process, implementation, completion and post-construction O&M and monitoring.

Figure 1: The Community Managed Project Cycle



The formal starting point is the development of a rural WASH plan drawn up by a Woreda WASH Team based on community priorities. Communities are sensitised and trained to identify their development priorities. Based on community demands, the Woreda WASH Team (WWT) develops a Woreda Strategic WASH Plan with both targets for the number and types of facilities and financial plans. For each WASH project in the plan, the Woreda WASH Team will consider the most appropriate model for implementation. The WWT will decide the implementation modality from those approved in the WASH Implementation Framework (WIF) and the One WASH Approach. Where CMP is determined to be a viable option money will be allocated in the following way:

- The annual Woreda WASH Plan will be the basis for the annual Woreda WASH Budget set within the regional ceiling;
- The CMP investment grant will be separately budgeted in the Woreda WASH Budget;

- Once the woreda approves the WASH plan and budget, the CMP investment grant will be channelled from BoFED to WoFED as a separately designated part of the WASH Budget,;
- Woredas and kebeles will create awareness through orientation of communities to organise and identify their priority development areas;
- Communities and institutions, through a WASHCO, PTA or Health committee, prepare and submit WASH CMP project applications for grant approval;
- Communities and institutions collect an appropriate amount to cover operation and maintenance costs; this money, not being part of the government allocation, can be deposited with any bank, micro-finance institutions or other financial entity they can establish in their own name;
- WWT will appraise community and institutional applications. If an application is approved, the final design and cost estimates will be decided and separate funding agreement for each project will be signed by the WWT and the relevant community or institutional group, which should be certified by the woreda;
- The WWT submit the list of projects with the amounts of the investment grant to WoFED which disburses money from the WASH account;
- The community or institutional group starts to implement the CMP project, procuring necessary services and goods in line with the Government procurement system and subject to oversight by the woreda;
- During the execution of the project the kebele administration provides financial and procurement oversight and support to the WASHCO, PTA or Health committee.
- the Woreda WASH team provides technical support, capacity building and monitoring;
- When the facility is complete, the WASHCO, PTA or Health committee uses the upfront contribution they collected and deposited for O&M to ensure sustainable post-construction service.
- Woreda monitors, supports and supervises O&M of the CMP schemes.

Through this line of order, the CMP service delivery modality aligns to the Public Finance & Procurement Management System of Ethiopia and the One WASH programme institutional arrangements.

The CMP cycle for WASH in school and health institutions is similar to the arrangements for WASHCO, with the main difference being the sector bureau that gets involved; health sector bureaus work with the Health committees, education bureaus work with PTAs.

Responsibilities related to CMP include:

- Selection of CMP kebeles in consultation with kebele administration;
- Ensuring that the woreda is fully prepared for CMP and that WASH sector stakeholders in the woredas are committed to implement harmonised, aligned and coordinated WASH in partnership;
- Assuming financial and operational responsibility for the CMP investment fund management through the Woreda Finance and Economic Development Office;
- Making timely fund requests and follow-up fund transfers and use;

- Approving variations within the critical maximum investment ceiling approved by the RWTT for each scheme type;
- Deciding on minimum community up-front cash deposits by the WASHCO or institutional group to cover project management and operation and maintenance (O&M), in line with the regional guidance;
- Allocating, approving and channelling woreda level investment funds for CMP
- Reviewing and approving plans and budgets for CMP in the woreda annual WASH plan, forwarding them for RWTT review and RWSC approval.

In each woreda where CMP is implemented, the Woreda Water Office (WVO) will appoint a technical person as CMP supervisor to undertake practical duties within the WWT mandate.

The CMP supervisor is responsible for implementation and progress of community CMP and overall CMP project within the woreda and plays a leadership and coordinating role with CMP focal persons in health and education bureaus who are responsible for day-to-day monitoring and supervision of individual projects.

The CMP supervisor takes the notes and assists the permanent WWT secretary to finalise the minutes of meetings that discuss CMP related issues.

The CMP supervisor and the head of the woreda water office are responsible for receiving community applications on behalf of the WWT.

The WWT meets once every 15 days to discuss CMP issues, and approves applications in accordance with agreed principles. The WWT ensures that each project application is appraised in a timely fashion and that WASH sector offices in the woreda are carrying out their responsibilities in CMP implementation.

Woreda staff, particularly Woreda Water Office (WVO) members shall provide guidance and technical support in site selection, planning, budgeting, training, procurement, supply and transport of materials supervision and monitoring.

Detailed works during the construction and implementation of CMP are:

- Technical assistance in site selection and supervision of WASH facilities;
- Procurement, storage and transport of materials if these are responsibilities are delegated by the community institution;
- Lending moulds, special tools and other equipment to communities;
- Training WASHCOs and institutional groups in contracting and procuring services, materials and equipment;
- Training WASHCOs and institutional groups in monitoring work in progress;
- Training WASHCOs and institutional groups and community members in O&M, hygiene education and gender sensitisation;
- Ensuring that woreda and kebele stakeholders have adequate knowledge of WASH in general and CMP implementation in particular;
- Assisting and training WASHCOs and institutional groups in the financial management of CMP, in community contributions and public auditing of projects.
- On site field visits to check the quality and progress of CMP construction



- Technical support for community and institutional representatives and artisans
- Preparing progress reports during implementation;
- Endorsing the project completion report prepared by WASHCOs and institutional groups

The CMP supervisor shall support communities in preparing quarterly expenditure reports and organising financial transaction documents.

### **3.2.5 Community level structures**

Communities represented by WASHCOs or institutional groups are fully responsible for the overall implementation of the WASH facilities: contracting artisans, contractors and suppliers, procuring construction materials & tools, borrowing specialist construction equipment from the WWO, organising materials and labour contributed from the community, organising community cash contributions for project management and operation & maintenance. If they wish, WASHCOs and institutional groups can, with technical assistance from the woreda, make a single turnkey contract with artisans or contractors, covering the whole physical works.

WASHCOs, PTAs and Health committees are responsible for stimulating their communities/members to fully commit to the community managed project, to ensure that they have a genuine sense of ownership. On matters of design, siting, regulation etc. it is important that the community or institutional group makes the choices, even though they are advised by woreda experts. Raising sufficient finance for sustainability is an ongoing and continuous long-term community commitment.

Detailed works during the construction and implementation of CMP are:

- Representing community opinions in the development and management of improved water and sanitation facilities.
- Mobilising users to participate in all aspects of implementation, such as design, site selection, construction, management, O&M and monitoring.
- Ensuring re-election and training of new committee members as necessary.
- Signing all relevant agreements, certificates and contracts.
- Identifying and maintaining a list of water source users.
- Collecting community contributions towards O&M of the facility (hand pump mechanic wages, grease, spare parts etc), and any further contributions the community decides to make towards construction in materials, labour or cash.
- Receiving funds from WoFED drawn on the woreda WASH bank account up to four times a year. Any money cashed but not spent must be kept safely and separately and accounted for;
- Organising supporting labour from community members and decide on exemptions
- Procuring materials and services
- Supervising the work of the artisans
- Preparing progress reports and submit these to the woreda
- Preparing financial reports, requests and receipts and submitting these to WoFED.

- Promoting improved hygiene practices and sanitation among water users and record current latrine status.
- Setting up and enforcing by-laws that reflect community requirements to govern the water source and its use;
- Appointing caretakers and pump attendants and monitoring their performance. Agreeing O&M tasks and responsibilities with water users.
- Ensuring that major damage to the scheme is immediately reported to the Woreda Water Office.

### **3.2.6 Institutional WASH structures**

Institutions refer to schools, health institutions, faith-based organisations, farmer training centres and government institutions. Most commonly, CMP facilities are constructed in schools and health posts, supported by the education office and health office.

Parent Teacher Associations (PTAs) represent beneficiaries in schools and Health committees in health institutions. They play a similar role to WASHCOs, and are fully responsible for the overall implementation of water and sanitation facilities. They will be responsible for contracting artisans and/or contractors and suppliers, procuring manufactured construction materials, organising local construction materials and labour supply, and organising cash for construction & maintenance with technical assistance from woreda level concerned sector offices. After a sanitation facility is constructed the PTA or health committee has to monitor regularly the conditions of the facilities and conduct discussion with the institutional community such as school administrations for schools, advocate locally for improvement in the management of the facilities, and support the maintenance of the facilities.

Woreda staff, particularly the woreda water, health and education offices will provide guidance and technical support in site selection, planning, budgeting, training, procurement, supervision and monitoring.

PMU will give technical support and assistance through its team members consisting of CMP team leader/coordinator, CMP specialist, financial specialist, planning and monitoring specialist and zonal advisors depending on the specific region situation.

Detailed works of the PTA/Health committee during the construction and implementation of CMP are very similar to those undertaken by WASHCOs in relation to their water CMP:

- Representing the institutions' opinions concerning the development and management of improved water and sanitation facilities;
- Ensuring election and training of new members when necessary;
- Mobilising the members of institutions for participation in meetings discussing all aspects of implementation such as design, site selection, construction, management, O&M and monitoring;
- Signing all relevant agreements, certificates and contracts;
- Receiving and cashing cheque from WoFED as approved (up to four times a year) and as required for immediate use. Money withdrawn but not spent should be safely and separately kept with an agreed procedure;

- Organising supporting labour from community members and deciding on exemptions;
- Procuring materials and services;
- Supervising the work of the artisans;
- Preparing progress reports and submitting these to the woreda sector offices;
- Preparing financial reports, requests and receipts and submit these to WoFED;
- Promoting improved hygiene practices and sanitation among users;
- Setting up and enforcing by-laws to govern the water source (in liaison with woreda);
- Ensuring that adequate funds are available to pay the mechanic and buy materials and spare parts;
- Ensuring caretakers and pump attendants are appointed and monitoring their performance; agreeing O&M tasks with the administration;
- Ensuring that any major damage to the scheme is immediately reported to the Woreda Water Office;

## 4 Eligibility for CMP funding

### 4.1 Communities eligible for CMP funding

Communities that wish to apply for funds from CMP must comply with the following criteria:

- The community considers the lack of safe water a major problem;
- Improving access to water is a priority in the kebele development plan;
- Support is demonstrated by a support letter from the kebele;
- The community is willing to establish a WASHCO to take financial and operational responsibility for construction and future operation and maintenance;
- The community is willing to contribute in labour, in kind, and in cash;
- The community demonstrates its commitment by depositing a cash contribution in a near by registered financial institution, at a minimum covering O&M costs for a year;
- Communities located within a Kebele that has adopted a community-led total sanitation approach should demonstrate that each household has a temporary or improved latrine
- It is recommended that communities which have not been served are given priority;
- It is recommended that at least 50adjacent households should benefit a new water scheme. Provided all other criteria are fulfilled, the WWT may accept applications from fewer than 50 households, if there are exceptional factors, such as excessive distance to the closest water scheme or an intervening natural barrier (e.g. a river) to cross.
- Community deposits 5% of the project total budget in cash in a special dedicated account to be opened by WoFED at CBE.

### 4.2 Eligible technology

An important feature of CMP is the focus on low-cost technologies such as hand-dug wells and springs, well-suited to the hydrological conditions in many parts of Ethiopia. Less complex procurement processes lend themselves to community management.

CMP has also been tried for higher technology options such as drilled wells and rural piped scheme. Ways to scale these up may be assessed as part of the future evolution of the One WASH programme. However, higher levels of technology service are not currently part of the programme and not included in this revised CMP Implementation Manual.

Community Managed Projects are intended for financing new construction, reconstruction, rehabilitation or re-location of one of the approved technologies provided that costs do not exceed the critical maximum budget ceiling established by the regions.

The following water supply technologies are eligible:

#### **Water**

- Community hand-dug wells fitted with a rope pump
- Community hand-dug wells fitted with a hand pump
- Community spring development
- Added possibility of roof water harvesting
- Institutional water points (for schools and health facilities)

### ***Multiple use***

In addition, it is possible to apply for additional components for multiple use of water to improve livelihoods, so long as the total estimated construction costs do not exceed the critical maximum budget ceiling. Examples include cattle troughs, basins for washing clothes, showers and productive use of surplus water.

### ***Sanitation***

- The general sanitation packages recommended for each institution are:
  - ✓ For schools (primary level, up to grade 8), latrines (VIP latrines or pour-flush toilets if water is available) for boys, girls and teachers, Urinals for boys and girls and hand washing facility for boys, girls and teaches.
  - ✓ For health centres and health posts, latrines (VIP latrines or pour-flush toilets if water is available) and hand washing facilities for males, latrines and hand washing facilities for females, placenta pits and incinerators.

## **4.3 Eligible costs within CMP grant**

In order to be considered eligible in the context of the CMP approach, costs must:

- Be used for WASH facilities only and incurred in adopting the CMP modality;
- Be mentioned in the budget estimate annexed to the Funding Agreement;
- Be cost-effective and within the acceptable market prices;
- Be incurred during the duration of the execution of the project and following the signature of the Funding Agreement;
- Be identifiable and verifiable expenditures recorded in the WASHCO or institutional group's register book, backed by originals and supporting documents.

If the above conditions are met, the following direct costs are eligible:

- Purchase costs for equipment (new or used) and services (transport, rent, etc.), provided they correspond to market rates;
- Purchase costs of construction materials;
- Expenditures on subcontracting artisan(s) for labour and/or for turnkey contract;
- Expenditures on contractors and suppliers;
- Authorised community members travelling outside their working areas in pursuance of the construction of WASH facilities will be paid the minimum allowable subsistence allowance of the respective regional guideline. Transport expenses will be reimbursed, on condition that valid receipts are presented. For government employees working as WASHCO or institutional group members the subsistence payment must be in line with regional government guidelines for travel within and outside a woreda town and their working cities for constructing WASH facilities.

The following costs cannot be included in the application for CMP investment fund and will not be met:

- Costs of preparatory activities before the signing of the Funding Agreement;
- Inputs that are defined as community contribution in kind or in cash.

CMP funds cannot be used as a source for credit or loan.

## **5. CMP application and follow up**

### **5.1 CMP application for community groups**

Communities interested in developing a water scheme through CMP prepare and submit applications for WASH grant to Woreda WASH Team (WWT) for review and approval.

The WASHCO or institutional group that is going to take responsibility for procurement and construction, maintenance, rehabilitation/augmentation, replacement/ reinvestment and insurance, must be established before an application is made. The composition, strength and resilience of the community or institutional body are important for the sustainability of the WASH facilities.

The Woreda Water Office (WWO) distributes application forms to the Kebele WASH Team, whose members will also be trained in CMP to enable them to function as promoters and community level advisors. Kebele WASH team members, woreda water office staff and members of the WWT should commit themselves to helping applicants in preparation of applications.

Application must be submitted on the Community Managed Projects Water Point Application Form, (Annex 1 of this guideline) which should be translated into the working language of the region. Applications should complete the form carefully and clearly, following the instructions and providing the supporting documents listed. When an application is received the woreda opens a project follow up form to track its progress (Annex 2).

The final design and cost estimate of the application will be decided through the desk and field appraisal process elaborated in sections 5.1.3 and 5.1.4.

#### **5.1.1 Budget estimate as part of CMP application**

Budget estimates are prepared as a part of the application process. Applicants should pay special attention as the budget estimate will be the basis for the Funding Agreement. The Woreda Water Office must prepare information on the estimated average construction costs of different technologies and on how to value the community contribution. This information should be updated annually and shared with the Kebele WASH Team. Institutional estimates are prepared by the education and health offices in collaboration with the water office.

#### **5.1.2 Submission and processing of applications**

The plan developed by the community is assessed at district level with an initial desk appraisal followed up by a field visit and appraisal. Any revisions needed to the design are negotiated and the design estimate revised.

Communities are expected to raise and place in a savings account a cash contribution equivalent to one year's operation and maintenance costs.

After a successful completion of the approval process by the woreda, a funding agreement is signed between the WWT and the WASHCO or institutional group.

### 5.1.3 Desk appraisal

Applications should be delivered by hand, to the CMP Supervisor and the sector CMP focal persons, preferably on working days. The following processes take place in the presence of the WASHCO/PTA/Health committee members:

- The application is numbered: Application No. XX /EFY (XXXX);
- The application is registered and a Project follow-up form(Annex2)is opened and attached to the project file;
- The CMP Supervisor or his/her delegate performs an office-level “desk appraisal” (Annex 3)to verify administrative compliance in the presence of WASHCO members, with immediate feedback if any essential documentation is missing.
- The CMP Supervisor or delegate issues a receipt to the applicant acknowledging submission of the application and that it is(or is not) administratively compliant (Annex 4). In the latter case (non-compliant) the applicant will receive written explanation of the reasons, e.g. list of missing documents, and will be given instructions on how to complete the application satisfactorily. Timing for re-appraisal may be agreed, if convenient;
- In case of administratively compliant application, the CMP Supervisor or his/her delegate will propose to the WASHCO/PTA/Health committee members the timing of a field appraisal.
- In case of applications from institutions the timing of the appraisal will be agreed with the relevant experts from the health or education offices.
- The field appraisal should take place as soon as possible, preferably before the next WWT meeting or within 15 days.

Note that the desk appraisal criteria for CMP in community WASH facilities differ from the criteria for institutional CMP in schools and health centres. The desk appraisal criteria for CMP in institutional WASH are provided in section 6.5.

Desk appraisal criteria for community CMP are detailed in Annex 3. They assess:

- Is the technology type eligible for financing by the CMP?
- Is the proposal for a hand-dug well with hand pump, hand-dug well with rope pump, or a spring development?
- Is the requested contribution for external budget support within the critical maximum budgeted ceiling applicable for the CMP grant in the woreda?
- Does the indicated community contribution for construction (in kind & /or in cash if committed), satisfy the minimum percentage required?
- Is the indicated upfront cash contribution from the community greater or equal to one year’s O&M?
- Does the application contain the following?
  - ✓ Minutes of community meeting stating that the WASH facility is a priority and the felt need of the community

- ✓ List of participants at the meeting including signatures
- ✓ Evidence of the commitment of community members in labour, materials and/or cash contributions
- ✓ List of elected WASHCO members including their sex, age and responsibilities
- ✓ Verification of upfront cash contribution from community if collected and deposited in a savings account at a finance institution before submission of the application
- ✓ Recommendation letter from the kebele administration

Using these criteria the CMP Supervisor or delegate makes a decision about whether the application is administratively complaint and, if so, recommends field appraisal. In case of refusal, reasons must be given in writing and the applicant given guidance on how to make the application complaint. The receipt form in Annex 4 should be signed and dated.

#### **5.1.4 Field appraisal**

The purpose of the field appraisal is to verify that the proposed WASH facilities construction meet the feasibility criteria. Woreda Appraisal Team (WAT) members (mainly experts from WWO carry out the field appraisal. The composition of the WAT may vary, but each team is expected to have at least one technical expert and one expert with the ability to cover gender, community based planning and implementation, IEC, sanitation, as well as management related aspects. The Field Appraisal form is presented in Annex 5.

While verifying the feasibility of a WASH facility construction, the WAT may propose budget corrections, site re-selection, or other corrective actions. If these can be implemented immediately, the application can be revised and reappraised on the spot.

The WAT will appoint a Field Appraisal Team consisting of 2-3 experts with complementary skills and backgrounds. The appraisal will be carried out using participative methods that allow the quality of an application to be improved even during the appraisal in order to guarantee fair evaluation and treatment of all applications/applicants. WAT findings will be recorded during the field appraisal using a checklist and structured questionnaires to ensure that all projects are evaluated in similar manner. The reports will be filed in a project file for future reference at the Woreda Water Office.

The appraisal team will submit its report to the WWT for approval by completing (filling) the Woreda Water Team approval form (Annex 6).

Note that the field appraisal criteria for community CMP WASH and institutional WASH at schools and health institutions differ. The field appraisal criteria for WASH in schools and health institutions are provided in section 5.2.9.

The following are the highlights of the criteria used in the field appraisal in order to verify the application of community CMP WASH. See field appraisal form (Annex 5) for details:



- **Importance of project to the community:** is it a priority; how many beneficiaries?
- **Social feasibility:** WASHCO members elected democratically with appropriate rules, regulations, levels of participation; acceptability of facilities to the community (cultural/religion/psychological and distance); written agreement with owner of land.
- **Community contributions:** in labour, materials and cash, with materials of appropriate quality, and commitment to manage O&M after construction.
- **Technical feasibility:** suitability of proposed source in terms of quantity, quality, location and convenience for development and use; impact on existing water sources.
- **Environmental feasibility:** provision for drainage, soak away, fencing and other protection measures; possible environmental risks and mitigation options; management of catchment area; feasibility and impact of any multiple use(cattle, clothes washing, shower, etc.).
- **Social inclusion:** women's representation in the WASHCO and participation at all project stages; how far new facility will reduce burden on women; design gender sensitive and accessible to people with disabilities.
- **Sustainability:** community committed to covering O&M costs and collecting water fees; how will it pay the caretaker; access spare parts and carry out preventive and corrective maintenance; maintain water quality; plan to ensure financial and governance transparency?
- **Implementation and costing:** community capacity to procure materials, equipment and services; capacity to make a turnkey contract. Are costs still acceptable and realistic post field appraisal?

#### 5.1.5 Approval

After considering the results of the field appraisal, the WWT takes a decision to approve, postpone or reject the proposed project. Applicants will be informed of the result of the WWT decision in writing (Annex 7).

#### 5.1.6 Funding agreement for community CMP

If the application is approved, the WWT will instruct the WASHCO instructions about a Funding Agreement between WWT and WASHCO (Annex 8) to be signed by WWT and WASHCO chairpersons. Annex 9 (General conditions of the funding agreement) also applies.

A time schedule for project implementation and a respective payment schedule will be drafted by the CMP Supervisor, indicating the technical assistance and supervision inputs by the Woreda Water Office (WVO) and WWT members. The schedule is done by collaboration of both parties and every attempt will be made to respect the schedule, to enable woreda personnel to plan their inputs so they will be able to provide timely services to all the WASHCOs whose projects have been approved.

## **5.2 CMP application for institutional WASH**

### **5.2.1 Operational responsibilities for institutional CMP WASH**

The Ministry of Education (MoE), through its regional/city bureaus and woreda and town education offices, is responsible for installing WASH hardware and implementing software activities in schools, and can be supported by CMP in the construction or rehabilitation of water supply facilities and latrines at primary and secondary schools.

CMP can also support construction or rehabilitation of water supply facilities and latrines at health centres and health posts provide education and support communities to improve sanitary conditions. The Ministry of Health (MoH), through regional/city bureaus and woreda and town health offices, is responsible for WASH construction activities in health facilities.

Woreda water officers have a duty to promote the approach and generate interest. Regional support units have been established to develop woreda capacity to undertake this role.

Most health institutions and schools have Health committees or parent teacher associations (PTAs). These representative bodies need to be informed by respective health or education offices about CMP opportunities and responsibilities. Any weak committees need to be strengthened to take responsibility to develop a project plan.

Woreda staff, particularly the Water, Health and Education Offices staff shall provide guidance and technical support in site selection, planning, budgeting, training, procurement, supervision and monitoring. Training should be conducted before construction starts. On request from regional health or education bureaus, regional water bureaus may provide technical assistance in the design, construction and supervision of water supply systems in institutions. CMP has focal persons at Federal, regional and woreda level; the woreda CMP focal person works closely with the CMP supervisor in the Water Office.

The CMP cycle and institutional responsibilities for WASH in school and health institutions are similar to those for community WASH. However, the health sector bureaus are involved with applications to improve WASH facilities and hygiene practices in health institutions and the education bureaus step in for applications from PTAs for schools.

Investment funds are channelled to PTAs or Health committees from WoFED by cheque.

Under CMP, PTAs and Health committees become fully responsible for the implementation of their institutional WASH facilities: contracting artisans and/or contractors and suppliers, procuring construction materials, organising labour supply, and community contributions in materials, labour and/or cash. Alternatively, PTAs/Health committees can make turnkey contract with artisans or private contractors with technical assistance from woreda level sector offices.

After an institutional WASH facility is constructed, PTAs and Health committees have a duty to monitor regularly conditions, discuss with the institutional community (such as school administrations), advocate for improved local management, and support their maintenance.

The CMP team consisting of team leader/coordinator, CMP/technical specialist, financial planning specialist, accounting specialist, capacity building specialist and zonal advisors will give technical support and assistance.

This implementation manual should be read in conjunction with The Draft Institutional Sanitation CMP Implementation Manual, (August 2012), which has a specific focus on planning, implementation and post construction management in an institutional setting.

### **5.2.2 Key issues for CMP institutional project processing**

The key issues when implementing the CMP approach for institutional WASH facilities are:

- Implementation relies on an institution's own initiative;
- Institutions will receive technical and material support from the woreda authorities during and after construction;
- Institutions though their represented bodies (PTAs and Health committees) will be fully responsible for the funds allocated to them during the construction phase;
- The upfront contribution will be determined by the Sector Office;
- Investment funds for physical construction are directly transferred to the PTA/Health committee by WoFED by cheque.
- The PTA or is financially accountable to the institution and to the kebele and woreda administration;
- institutions (students, teachers, health professionals, administration, committees etc.) must commit themselves to undertake and finance operation and maintenance of the facilities after construction, with technical support from the woreda sector offices;
- PTA/Health committee may delegate procurement of contractors to woreda, zone or regional government bodies. However, the PTA/Health committee shall retain overall control and authority in tendering, contracting and making payments.

### **5.2.3 Eligibility of institutional applicants**

Institutions that wish to apply for CMP funds must fulfil the following criteria:

- The institution is a primary school, health post or health centre. (Health centres may need regional approval as the cost is greater than for schools and health posts);
- An institution that does not have any WASH facility will get priority;
- The institution must be willing to establish or strengthen a Parent & Teachers Associations or a Health committee to bear financial and operational responsibility for construction, and future operation and maintenance;
- The institution must be willing to contribute to the project in labour, material and cash;
- The institutional application must demonstrate its commitment to proper utilisation, management and maintenance of the facility, and how this will be done;
- A support letter from the kebele administration showing support for the project (this will be very beneficial in future for mobilising community contributions);
- A minimum up-front institutional contribution in cash calculated to cover one year's operation and maintenance (O&M) costs.

#### **5.2.4 WASH facilities eligible for institutional CMP**

WASH facilities recommended to be financed through CMP in schools and health institutions (water and sanitation facilities) are outlined in section 4.2.1 of this manual. Most water schemes to date involve a protected hand-dug well and hand pump, or simple spring protection or sanitation schemes appropriate for the institution. Priority will be given to the construction of new facilities. If all institutions in selected kebeles already have WASH facilities, the next priority is for institutional WASH facilities needing major rehabilitation.

#### **5.2.5 Eligibility of costs (defining the amount of grant)**

Costs must not exceed the maximum budget ceiling established by the region. In order to be considered eligible in the context of the CMP approach, costs must be:

- used for the water or sanitation facility packages shown in section 4.2.1 only;
- mentioned in the budget estimate annexed to the funding agreement (Annex8);
- cost-effective and within acceptable market prices;
- incurred during the execution of the project following signing the funding agreement;
- actually incurred, recorded in the PTA/Health committee register book, identifiable and verifiable, and backed by originals and supporting documents.

The following direct costs are eligible under CMP:

- Purchase costs for construction tools and services (transport, rent, etc.), provided they correspond to market rates;
- Purchase costs of construction materials;
- Expenditure on subcontracting artisan(s) for labour and/or for turnkey contract;
- Expenditure on contractors and suppliers;
- PTA/Health committee members travelling outside their working area for the purpose of the construction of WASH facilities will be paid the minimum allowable subsistence allowance of the respective regional guideline. Transport expenses will be reimbursed if valid receipts are presented. For government employees working as WASHCO/PTA/Health committee members the subsistence payment are also be in line with the regional government guideline when travelling within and outside the woreda town and their working cities for the construction of WASH facilities.

The following cannot be included as eligible costs:

- Cost of preparatory activities before the signing of the funding agreement;
- Inputs defined as community contributions in kind or cash.

The institutional WASH investment fund cannot be used to raise credit or a loan.

#### **5.2.6 Application format and supporting documents for institutional CMP**

An application must be submitted on the application form (Annex 2b). The form should be translated into the working language of the region and copies provided by the Woreda Water Office to the Kebele WASH Team who provide them to the institutions. Kebele WASH team members will be trained in order to enable them to function as promoters and advisors.

Kebele and woreda WASH team members and woreda health and education office personnel should commit themselves to help applicants in preparation of applications.

The Kebele WASH Team and, if necessary, WWO, WOH or WOE assist institutional applicants in filling in the forms carefully and clearly to facilitate appraisal. Instructions attached to the form must be followed and the list of necessary supporting documents must be included.

The final design and cost estimates will be decided in a desk and field appraisal process.

### **5.2.7 Cost estimate**

Budget estimates need to be prepared as part of the application. As a basis for this, woreda water, health and education offices must together prepare information on the estimated average construction costs of the specific institutional (schools, health centres and health posts) sanitation facilities and on how to value the community contribution. This information shall be made available to the Kebele WASH Team (preferably to the kebele manager, health extension workers and water extension worker) and updated by the three woreda WASH sector offices annually. Applicants should pay special attention to the budget estimate as this is a critical appraisal criteria for approval of the project by WWT.

### **5.2.8 Desk appraisal**

Applications should be delivered by hand, to the CMP Supervisor or delegated expert at the water office, preferably on working days.

The CMP Supervisor contacts the CMP focal person at the Health Office for applications from health institutions and at the Education Office for applications from schools to take part in the desk appraisal. Applications should be copied for the relevant sector office (health or education). If the Education or Health Office focal person cannot participate in the desk appraisal, they must be consulted on dates so they are available for the field appraisal.

The desk appraisal takes place in the presence of the PTA/Health committee representatives:

- The application is numbered as follows: Application No. XX/EFY (XXXX) and registered.
- The application follow-up form (Annex 2) is opened and attached to the project file.
- The CMP Supervisor or his/her delegate together with CMP focal person from health or education offices perform the desk level appraisal to verify administrative e-compliance of the application, giving immediate feedback to the PTA/ Health committee members if necessary documentation is missing. The desk appraisal is conducted using Annex 3b.
- The applicant will be issued with a receipt concerning the submission of an administratively compliant application / non-compliant application (Annex4), which should be signed and dated. If non-compliant, the applicant will receive written notice of the reasons, e.g. missing documents, and instructions on how to correct the application. Timing for re-appraisal may be agreed, if convenient.
- In case of administratively compliant application, the CMP supervisor or his/her delegate and focal persons from health and/or education offices will propose the timing of a field appraisal to the PTA/Health committee members. This should take place as soon as possible, preferably before the next WWT meeting or within 15days.

The desk appraisal criteria for institutional CMP (detailed in Annex 3b) looks at the following:

- The eligibility of the institution and the requested facilities and whether the request is within the budget ceiling;
- The size of the community contribution towards construction and to cover one year's operation and maintenance costs;
- The supporting documentation, including list of elected member, official approval from the institution and letter of recommendation from the kebele.

### 5.2.9 Fieldappraisal

The purpose of the field appraisal is to verify the feasibility criteria of the proposed institutional sanitation facilities construction. Woreda Appraisal Team (WAT) members (mainly experts from WWO, WOH & WEO) will carry out the field appraisal. The composition of the WAT may vary, but the team must be no less than two people (three is recommended) including the CMP supervisor or other WWO expert, and one expert from the health or education office (as relevant). Wherever possible, one of the appraisers should be an engineer or technical person with an academic background or experience in buildings construction site selection. One of the team should be able to cover gender, education and communication issues as well as management related aspects.

The WAT verifies the feasibility of construction, and may propose corrections, site re-selection, or other remedial action. If these can be implemented immediately, the application can be revised and reappraised on the spot

The appraisal team compiles its report and makes a recommendation to the WWT for approval by completing the field appraisal form for institutional applications (Annex5b). The report is placed in a project file at the Woreda Water Office (WWO). The main criteria used in the field appraisal are as follows:

- **Importance of project to the institution:** is it a priority need; how many beneficiaries? What are the current institutional water or sanitation facilities are available at the institution and what is their condition?
- **Social feasibility:** Is the PTA/ Health committee well organised? What is the level of planned participation (including by school students) at all project stages?
- **Technical feasibility:** location convenience for development and post-construction.

#### *For water*

- ✓ What is the nature, condition, distance, and importance of the present source to the institution? How will the proposed source impact on existing schemes?
- ✓ Check the proposed source in terms of quantity, quality, location, convenience for development and use after construction.

#### *For latrines*

- ✓ Verify soil conditions at selected site, avoiding rocky outcrops and unstable ground.
- ✓ For schools, the distance from the latrine block to the class should be 30-50 meters (more than 50 meters may be too far for a small child and for toilet

management and upkeep). Consider the location with respect to any future plans to expand the school.

- ✓ For health institutions the latrine should be located at least six metres from the health facility to avoid nuisance but not so far that patients have to walk a long way.

- **Community contributions:** in labour, materials and cash, with materials of appropriate quality, and commitment to manage O&M after construction.

- **Environmental feasibility:**

*For water facilities*

- ✓ Check on drainage, soak away, fencing and other protection measures; possible environmental risks and mitigation options; management of catchment area; feasibility and impact of any multiple use (cattle, clothes washing, shower, etc.).

*For latrines*

- ✓ Check provision for drainage and fencing or other protection measures.
- ✓ Is the site on raised ground so that rainwater can easily drain away?
- ✓ Verify that latrines are at least 30 metres from a well or borehole to avoid risk of contamination

- **Social inclusion:** What is the level of women's representation on the PTA or Health committee and participation at all project stages;

*For latrines*

- ✓ Consult with girls over whether the site gives them privacy and security? Where possible, girls' latrines should be located at least 15 meters from latrines for boys & teachers.
- ✓ Are designs accessible for disabled students or patients?
- ✓ Ensure that latrines are not so close to the institutional boundary that students can leave the school without being observed.

- **Sustainability:** community committed to covering O&M costs and collecting money to cover this and to pay the caretaker or cleaner; access spare parts and carry out preventive and corrective maintenance; maintain water quality, keep latrines clean; plan to ensure financial and governance transparency?
- Verify how the daily and weekly cleaning of the latrines will be managed.
- **Implementation and costing:** capacity of PTA or Health committee to procure materials, equipment and services; will they contract out the task or do it themselves? do they have the capacity to make a turnkey contract? are costs acceptable and realistic? What training do PTAs/ Health committees need to implement the project?

#### **5.2.10 Decision by the WWT**

After receiving the results of the field appraisal, the WWT takes a decision to approve, postpone or reject the project. Applicants will be informed of the result of the WWT decision in writing (Annex 7).

### **5.2.11 Funding agreement for institutional CMP**

If the application is approved, the WWT will invite the PTA/health institution chairperson to sign a Funding Agreement with the WWT (Annex8), accepting also the general conditions for the funding agreement outlined in Annex 9.

The Funding Agreement will include a time schedule for project implementation and a payment schedule drafted by the CMP supervisor to cover the technical assistance and supervision inputs by the respective woreda sector office (health or education) and WWT members. This schedule requires close cooperation by both parties and every attempt to meet the schedule to allow woreda personnel to provide timely services to the institutions.

## **6. Financial management of CMP**

### **6.1 Principles of CMP financial management**

The major principles of CMP financing and management are as follows:

- The CMP financial management follows the GoE financial management rules and procedures;
- WoFED is responsible for CMP fund budgeting; disbursement; financial reporting, and establishing adequate control mechanism.
- The CMP funding has two main components: investment and capacity building, each disbursed in a different way;
- The CMP investment fund is channelled from MoFED-BoFED-WoFED. WoFED opens a WASH account at woreda level and disburses finances to beneficiary representatives in accordance with the approved budget;
- The CMP capacity building fund is separately budgeted, managed and disbursed by WoFED in line with annual work plan;
- The CMP fund can only be used for investment works including payment to artisans and procurement of goods and transportation and for the per diem and transport expenses of community representatives.
- It is essential to separate community savings from the CMP funds.
- CMP fund includes 85% project fund and 15% community contribution of which 5% is cash contribution.
- The fund for training of kebeles and communities shall be managed by WoFED and implemented by woreda sector offices,
- Communities are obliged to submit receipts to WoFED showing that 80% of the previous disbursement has been properly used, before any further disbursement. Community representatives will be trained by WoFED and supported by sector offices,
- CMP financial management follows the One WASH financial management rules and reporting mechanisms with additions for community level fund management,
- Woreda sector offices provide valuable support to the functioning of CMP financial management by supporting, monitoring and training community representatives in financial management;



- Violation of agreed commitments by communities will be administered in accordance with the funding agreement and government law;

## 6.2 CMP Budgeting

### 6.2.1 Budget preparation

CMP budgeting follows the WASH budgeting process using forms and procedures designed by MoFED. The basis for annual WASH budgets is approved annual plans, prepared at each level—federal, regional, zonal or woreda/town—according to a common planning format provided by the NWCO. At regional level budget preparation for supporting CMP will follow the standard budget preparation process of WASH programme.

### 6.2.2 CMP budget preparation at woreda level

The WWT will prepare annual WASH plan for approval by the Woreda Council. The basis for annual WASH plans is the woreda WASH targets set by the region.

Woreda sector offices will prepare their WASH annual budget based on budget ceilings provided by WoFED. The CMP investment grant will be separately itemised in the woreda WASH budget. The Woreda Water Office (WVO) will prepare a community water investment budget, while the Woreda Health Office(WOH) prepares the health facility WASH investment budget and the Woreda Education Office(WEO) prepares WASH facility investment budget for schools. After approval of the budget by Woreda Council, WoFED earmarks the budget allocated for each sector office, showing community managed investments separately. The budget for each community level project has to be separately shown in the budget for channelling and budget control. The community cash contribution should also be shown separately.

### 6.2.3 Budget content

Annual work plans and unit rates provide the basis for budget preparation. Based on the work plans, the Regional Water Management Units (RWMU) of sector offices will prepare the budget for each activity. In order to streamline the budget preparation it is essential that unit rates are determined annually. The unit rates are prepared by the RWMU and approved by the RWSC. It is also important to use uniform budget categories. The CMP budget has the following major categories:

- **Investment:** Costs of constructing water and institutional facilities including fee for artisans, costs of materials, pumps etc. and costs associated for study and supervision.
- **Capacity building:** Costs of capacity building such as training, physical facilities (vehicles, office equipment, etc.) and associated expenses.
- **Technical assistance:** Costs of the provision of support, technical assistance and monitoring at regional and zonal level.
- **Operational costs:** Fuel costs, maintenance of office equipment, per diem and related operational costs and expenses.

#### **6.2.4 Budget control**

WoFEDs are responsible for recording, maintaining and controlling CMP budgets and for ensuring that implementing communities can handle their financial management requirements. Budget variations and additions will be administered in line with the government budget management system.

Budget control is exercised to ensure that CMP funds are spent as planned with respect to categories, cost, timeliness and value for money. Primary responsibility for budget control in CMP rests with WoFED. However, sector offices will provide support by collecting financial reports from communities, periodic inspection of works and procurement and regular monitoring of the whole process.

The main tools for budget control are budget codes, ledger cards, and budget tracking, achieved through using the budget expenditure subsidiary ledger card that combines commitment accounting and budget expenditure approvals. For each budgeted item of expenditure, this ledger card will identify the approved budget, any additions or deductions, the committed and uncommitted budget, payments made for budget expenditure, and the budget balance.

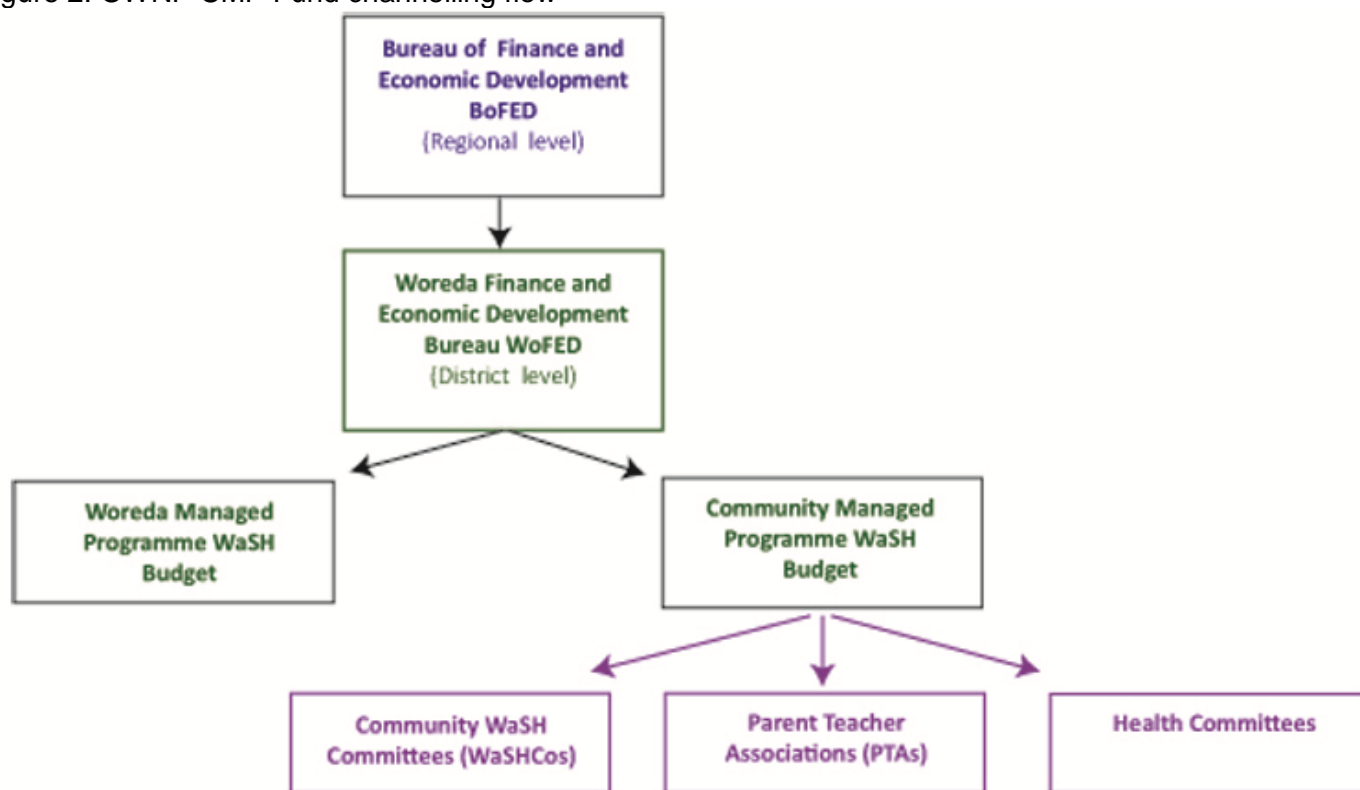
### **6.3 Fund channelling**

#### **6.3.1 Investment**

CMP fund channelling follows the MoFED-BoFED-WoFED fund flow as outlined in the OWNPN:

- After approval of the woreda WASH plan and budget, the CMP investment grant, will be channelled from BoFED to WoFED as part of the WASH Budget;
- Communities and institutions, through the WASHCO/PTA/health institution prepare and submit CMP project applications for WASH grant;
- WWT appraises communities' applications. The final design and cost estimate is decided during the appraisal stage, WWT approves the project and a separate financing agreement for each project is signed by the WWT and WASHCO / PTA / health institution;
- WoFED opens subsidiary ledgers to account for sums allocated to the respective WASHCO/PTA/health institution and to manage disbursement and budget control;
- WoFED will employ a WASH Accountant to manage the WASH fund at woreda level.
- WWT will write an annual letter to WoFED detailing the communities that can access the WASH and how much they are approved to receive.

Figure 2: OWNPN CMP Fund channelling flow



### 6.3.2 Capacity building

The CMP capacity building fund is budgeted separately and has its unique fund disbursement arrangement. The capacity building fund is channelled from BoFED to WoFED quarterly using normal government fund channelling. Based on annual work plans and cash flow requirements, BoFED will initially channel a three-month (first quarter) budget to the Woreda Finance and Economic Development Office. WoFED procures authorised services and goods and presents a quarterly fund utilisation report.

The capacity building fund will be separately budgeted and accounted for by the woreda. WoFED disburses sums in accordance with government procedures. At regional level, the capacity building funding goes from BoFED to sectoral bureaus, which become responsible for reporting to BoFED.

## 6.4 Accounts

### 6.4.1 Programme accounts

Each woreda will open one Woreda WASH Bank Account for the WASH grant, to be managed by WoFED. For CMP, cheques will be written from this account in the name of recognised community or institutional representatives (two per community).

### **6.4.2 Community Cash Contribution for Construction**

In accordance with WIF communities are obliged to contribute 15% of the project cost; 5% in cash and 10% in kind. The following applies:

- The cash contribution shall be deposited in a special account opened by the woreda.
- Once the full amount of 5% is deposited communities will be eligible for WASH grant.
- This 5 % cash contribution is not refundable to the community.
- The woreda will manage this special account and can transfer the community contribution to project account when needed.
- If the final actual cost is higher or lower than the budget the deposited cash contribution will not change.
- If the project is not approved indefinitely the cash contribution has to be returned back to the community.
- If the project is suspended the cash contribution remain in the woreda account until the final decision.
- If the project has started but not completed for many possible reasons (such as abandoning the hand dug well due to technical reasons after three trials of digging) the deposited money will not be returned to the community

### **6.4.3 Community savings accounts for O&M**

Communities must open a savings account at any recognised financial institution before the community submits a project application, as a precondition for receiving CMP funds from the woreda. The amount of this upfront contribution will be decided by the woreda, in line with regional guidelines, to cover at least half year's (Preferably one year O&M cost).operation and maintenance costs (O&M)

- This interest bearing account should be linked to a future credit facility.
- In special cases, opening the account can be delayed to the field appraisal(but before project approval) to allow time to collect funds;
- Signatories should be the WASHCO/PTA/health institution chairperson and cashier;

## **6.5 Disbursement**

### **6.5.1 Disbursement arrangements**

Disbursement for capacity building follows government procedures and the POM, through quarterly replenishments. Payments to WASHCO/PTA/Health committee (by cheque) will be made no more than four times in a fiscal year, with the schedule of withdrawals determined by the CMP supervisor.

#### ***At woreda level***

- Woreda WASH Team (WWT) allocate how much is to be used through CMP and how much through WMP;
- The budgets for WMP and CMP will be separately shown in the single rural wash budget.

- WoFED effects payments for contractors, suppliers and services for WMP and capacity building from the woreda WASH account;
- For projects implemented by WASHCO/PTA/Health committee, the budget for each project will be indicated;
- Payments from WoFED to community representatives by cheque, will be made up to four times a year so long as 80% of any previous payment has been properly used, verified by receipts;
- Payments to community representatives will be effected when sector offices send a written letter authorising such payments, and the following conditions have been met;
  - A funding agreement has been signed by WWT and community representatives
  - The community has opened a savings account for upfront contributions for O&M costs. I think we have agreed this to be covered from CMP.
  - A project and budget have been approved in the annual woreda WASH plan
  - The budget has been transferred from the region to WoFED
  - WASHCO/PTA/health institution submit receipts for approved expenditure to WoFED;

*At community level*

- WASHCO opens a saving account in any suitable registered financial institution and deposits the community's up-front contribution for O&M;
- WASHCOs deposit 5% of the budget amount at an account opened by Woreda
- PTA/health institutions do not need to open account for O&M savings assuming that the O&M is covered from the institution budget as any physical asset maintenance
- PTA/health institutions are not obliged to pay the 5 % cash for construction but the institution is expected to provide 10 % in kind through the beneficiary community
- WASHCO/PTA/health institution appoint representatives to access grant payments from WoFED;
- When these community representatives make payments they must obtain receipts and adhere to government rules of public fund disbursement;
- The WASH fund will be used for investment expenses related to construction works and for project management costs such as per diem payments and transport;
- Additional payments can be made only when the WASHCO/PTA/health institution representatives have used at least 80%ofthepreviouswithdrawalandthis has been approved by the CMP supervisor;
- Periodic and regular monitoring shall be carried out by CMP supervisor to ensure adherence to government rules;
- All financial transaction documents shall be kept in a box file arranged by date, with support from the CMP supervisor; it is advisable that the investment fund includes procurement of metal cabinets for the community body to safely store documents and records during and after construction;
- All receipts must be submitted to WoFED by June15th each year.

### **6.5.2 Record keeping**

In line with the fund channelling described in 6.3, WoFED submits the required investment fund based on the work plan and approved budget to BoFED. For the capacity building component WoFED submits a quarterly cash flow plan exhibiting the amount of money required for capacity building implementation to BoFED. The transaction is recorded when the transfer is received at the WoFED WASH bank account.

Payments (by cheque) to community representatives are recorded as expenses. Payments made by communities for goods and services will be checked at the end of fiscal year against the allocated budget.

## **6.6 Managing budgets during construction**

### **6.6.1 Budget limits**

The maximum grant funding stipulated in the Funding Agreement is based on the project budget estimates. This becomes final only on completion of the project and presentation of the final expenses and receipts.

In some cases the final CMP contribution may be higher than the planned budget, for example, due to the long distance to access building materials, escalation of material costs or increased depth of well. The WWT is entitled to approve justified exceptions, provided that approval criteria are strictly applied. Exceptions should not put annual targets for WASH facilities at risk, and must be financed within the total woreda CMP budget allocation. WWTs should review cost estimates carefully to avoid the extra work needed to manage exceptions.

### **6.6.2 Failure to meet the objectives of the funding agreement**

If the community fails to implement the WASH facilities construction project as agreed in the Funding Agreement, the WWT reserves the right to terminate the Funding Agreement and notify WoFED to cease payments. The WWT can reduce the budget and/or may demand full or partial repayment of the funds already released, if the community does not fulfil the terms of the Funding Agreement.

A typical case of WASHCO/PTA/health institution failure to meet objectives is the case of abandoned wells. A dig is considered a failure when WWO assesses that the yield of water in the well is not sufficient for the beneficiary community.

- Failed digs will be documented and verified by the Woreda Water Office and/or WWT members.
- After a failed dig, WWO staff together with WASHCO/PTA/health institution makes a new trial or abandon the site. The WWO records the use of material and labour for the first trial, and authorises a new trial. WWO also issues an order to fill the trial hole. The maximum number of trials for a hand dug or drilled well is three;
- If the third trial also proves a failure, the WWO immediately forwards a report concerning the abandoned well to the WWT together with the monitoring report confirming that the trial holes have been filled with soil and stating the total costs of labour and tools;

- Total verified costs of the abandoned wells are recalculated by the WASHCO/PTA/health institution and the WWO together. The WWT notifies WoFED to adjust its accounts;
- If any expenses made by WASHCO/PTA/health institution cannot be verified the WASHCO/PTA/health institution shall bear the costs of these expenses and return the remaining balances to the woreda as per the Funding Agreement. If WASHCO/PTA/health institution fails to return the balance, the WWT will initiate a collection procedure, and information on such an event will be published at the woreda administration information board before taking any appropriate administrative measures as per the Ethiopian Law;

### **6.6.3 Amendments to the funding agreement and budget variations**

Any significant modifications or budget variations must be set out in a written amendment to the original Funding Agreement. WASH officers supervise and follow-up ongoing works, advance checking possible future variations in order to avoid unnecessary late claims. Variations are assessed using the form at Annex 10 and accepted or reject using Annex 11.

#### ***A. Variations within the approved budget line***

Exceeding a budget line is allowed if totals do not exceeding the total approved budget.

#### ***B. Variations above the approved total budget***

- If the variation is up to 10% of the approved budget and is due to unforeseen work, the WASHCO/PTA/health institution should inform the CMP supervisor in writing. The CMP Supervisor is authorised to approve this variation if convinced of the justification given by WASHCO/PTA/ health institution.
- If the variation is greater than 10% approval can only be given with the consent of the Urban Development Office, in line with public procurement guidelines. The WASHCO/PTA/health institution gives written reasons for the variations to the CMP Supervisor, who forwards them to the WWTs who forward them to the Urban Development Office.

Variations will only be considered for approval if the following conditions are met:

- The variation does not affect the basic purpose of the project;
- The variation does not cause the project to exceed the maximum budget ceiling;
- If the variation is due to an increase in construction costs, the community contribution will increase to maintain the minimum community contribution percentage defined for each technology option;
- Approval of variations should be done as soon as possible; at most within 15 days.

## **6.7 Financial reporting**

### **6.7.1 Community level financial reports**

Beneficiaries of CMP grants must provide quarterly expense reports. A simple reporting format shall be prepared as part of the financial manual with guidance on how to prepare these reports and the CMP supervisor will provide support.

### **6.7.2 WoFED reports**

CMP financial reports must be prepared for each accounting period including operating results, status of assets and liabilities.

Balance Sheet and Income and Expenditure Statements (Receipt and Payment) are mandatory as required by the Government Financial Management Manual. Additional reports/schedules needed to support the financial statements include:

- Trial balance;
- Revenue reports;
- Expense report;
- Receivable report;
- Payable report, and
- Monthly bank reconciliation statement.

A Use of Funds report, itemising actual and planned utilisation of funds, item-by-item, is also required.

### **6.7.3 Financial reporting process**

The WoFED prepares quarterly financial reports for capacity building and for the investment fund within 15 calendar days of the close of each quarter, and an annual report within 30 days after the close of each financial year;

Quarterly financial reports provide information to show that funds disbursed to programmes are used for their intended purpose, that implementation is on track, and budgets will not be exceeded. They show funds received, expenditure, bills paid and unpaid, and link financial reports to physical activity reports.

WoFED is responsible for the preparation of the financial reports; the Woreda Water Office (WVO) and other sector offices prepare activity progress reports.

Regional Sector offices will publish quarterly financial reports for expenses occurred at regional level and for community WASH investment within 15 calendar days of the close of each quarter, and annual reports within 30 days after the close of each financial year.

#### ***Annual reports***

Annual reports are prepared mainly for audit purposes. The reporting formats are similar to those of the quarterly reports. The following annual Financial Statements with supporting notes are mandatory:

- Balance sheet;
- Statement of use of funds;
- Special account statement.

The GoE calendar will be used for planning, budgeting and reporting. To facilitate consolidation and to reduce errors, the year for the annual accounts is that beginning on July 8 (Hamle 1) and ending on July 7 (Sene 30). The annual report will become the consolidated report of the four quarters.



## 6.8 Internal control and auditing

### 6.8.1 Internal control

#### *Cash receipts*

- Cash must be kept in a locked safe under the responsibility of the cashier, who has sole access and is totally responsible for it;
- Cash received from Bank or from miscellaneous income, etc. should be recorded on a pre-numbered Cash Receipt Voucher prepared by Accounts;
- Cashiers should have no part in the preparation of, or access to, the accounting records or chequebooks other than documents currently in use;
- The cashier must record cash receipts and bank deposit slips in numerical sequence on a daily cash receipts journal. The cashier's records must be subjected to regular independent verification and a responsible official should make periodic surprise counts of cash on hand;
- Security guards should be employed where significant amounts of cash are held or transferred from one site to another;
- Bank reconciliation should be regularly prepared;
- A register of printed cash receipts or cash invoices books/pads should be kept in strict numerical sequence against receipts of used books/pads.

#### *Cheques*

- Tight security over chequebooks or pads should be maintained; ensuring that they are complete when received from the bank and that cheques are stamped "A/C Payee Only". Cheques should be kept in safe custody and the serial number recorded in a register;
- The worded accountant should keep unused chequebooks safely, specifying the date received from the bank. When cheques are issued they should record the serial no., date issued, to whom it is issued, signature for receipt, date used-stubs returned, returned stub sequence and signature for return. Blank cheques should never be signed. The accountant should verify used stubs for completeness.
- Signing authority limits should be defined and observed and no unauthorised person should have access to unused chequebooks;
- Crossed or order checks must be used to make all payments other than imprest (petty cash) replenishment, salaries and wages, personal advances, refunds for out of payment expenses, personal allowances and other items of a private and personal nature;
- Check stubs should be completed with date, payee, amount and vouchers number;
- If an error is committed in cheque preparation, the cheque should have "CANCELLED" written diagonally across its face and the signature portion should be destroyed. The cancelled check should be retained in the chequebook for reconciliation purposes;
- Checks should never be made to SELF or CASH;
- Regular bank reconciliation should be performed by a responsible person who does not issue or record cheques.

### **6.8.2 Safeguard at WASHCO/PTA/health institution level**

- The community signs a funding agreement that includes community obligations;
- The funding agreement shall clearly state that designated representatives have a legally binding accountability for funds received;
- Sector offices should review and verify monthly artisan and WASHCO/PTA/health institution progress reports;
- The WASHCO/PTA/health institution submits quarterly expenditure reports to WoFED;
- Sector offices cross checks expenditure against progress reports.

### **6.8.3 Internal audit**

- Woreda and regional auditors shall undertake internal Audit of CMP accounts;
- Internal audit reports shall be submitted to WoFED and BoFED. Corrective actions shall be taken based on their recommendations and subsequent audit reports will specify the actions taken;
- The internal auditors ensure proper adherence to the GoE and WIF policies and procedures and corresponding financial management guidelines;
- Implementing offices are responsible for ensuring compliance with financial management and reporting requirements for grants and government budget allocated for CMP;
- In accordance with procedure stipulated in the business process reengineering accounts operated by implementing agencies shall be audited monthly and evidence of such an audit shall be submitted with the subsequent monthly report. Finance officers shall be responsible for having programme account books audited as and when additional audit is deemed necessary;
- It is expected that the funds will be used only for the intended purposes and for approved work programmes and budgets.

### **6.8.4 External audit**

Audits of CMP funds will be carried out with audits of other WASH programs following similar procedures. For specific community grants independent regional auditors will carry out the audit and will be responsible for:

- Verifying that disbursement procedures and systems are followed;
- Verifying that basic accounting records are adequately maintained and updated;
- Examining actual expenditures incurred and revenue collected at federal, regional and woreda levels for project purposes);
- Ensuring that the internal controls are adequate in terms of payments, purchases, requests and authorisations;
- Verifying supplementary financial information for is fairly presented, in all material respects.

## **7. Procurement of goods and services for CMP**

CMP follows the Procurement Proclamation issued by the Federal Government in 2005 and the Procurement Directives released by the Ministry of Finance and Economic Development.

### **7.1 Procurement Principles**

The basic principle of procurement in CMP is that the communities undertake the procurement of services and goods. However, considering the capacities of communities it is important to identify the type of goods and services and set thresholds for community procurement. The list of goods and services to be procured by communities are seen in appendix 7-1.

In addition communities can procure goods and services (transport, artisan, etc...) up to a one time threshold of 20,000 Birr. Anything above this amount will be procured by woredas. Further, considering the nature of community procurement, direct purchase for goods and services is allowed up to Birr 10,000. For goods and services of one time procurement greater than Birr 10,000 and up to Birr 20,000 will be conducted through proforma invoice, where by at least three bidders should participate.

For turn key projects communities can procure the service up to Birr 60,000. Turn key projects should be conducted in open tendering. If communities do not succeed through open tendering (maximum 2 trials required) they can conduct through proforma arrangement; where by at least three bidders should participate.

For turn key projects private contractors, micro and small scale enterprises and legally established artisans can compete.

Turn key projects should be approved by the woreda and the Woreda WASH Team should provide support and close follow up.

### **7.2 Community responsibilities in procurement**

Communities undertaking CMP projects are responsible for the procurement of goods and services related to WASH facilities construction.

Community procurement will be governed by public procurement directives and regional procurement guidelines. Regions will make any exemptions or adjustments without violating federal procurement laws and taking into account:

- The nature of the project (small investment with diversified inputs)
- WASHCO members' academic levels
- Voluntary nature of the work by WASHCOs
- Short construction period
- Distant/ remote locations

Community representatives may obtain several tenders from different artisans or directly hire a trusted working artisan or their association. The community bears responsibility for the final

results so must be quality conscious in their selection. WWOs should assist the community in selecting the best artisans available.

WASHCO/PTA/health institutions may request/delegate woreda, zonal or regional government offices in writing to procure contractors and suppliers on their behalf if they feel this is beyond their capacity or above the threshold put for the type of procurement to be handle by WASHCOs in section 7.1 of this manual.

Where the community is not capable of handling the procurement process, they may ask the artisan to quote for turnkey contract price for the whole job. A turnkey contract has to be approved by the WWT, which will check that prices are in line with known market prices and cost estimates and that the community contribution in the Funding Agreement remains the same. The contract should stipulate that the artisan takes responsibility for the quality of the materials.

Communities will be responsible for the related procurement of tools, materials and services, with the exception of moulds, tools for pipe connections, and other specialist tools which can be borrowed from the Woreda Water Offices (WWO). Communities shall pay special attention to ensure that the quality of materials is not compromised, and should ask for an expert opinion in case of doubt.

### **7.1.2 Transportation arrangements**

Materials should be transported by communities. The cost is eligible for CMP funding if expenditure criteria are fulfilled and appropriate receipts presented. While it is intended that communities should take overall responsibility, woredas should show willingness to assist transportation arrangements if they are difficult to resolve

## **7.2 Woreda procurement**

Subject to regional and Woreda WASH Team approval, the woreda may bulk purchase and store specialised equipment and materials such as hand pumps. The WASHCO/PTA/health institution follows the woreda water office process for taking such equipment from the stores. Woreda will procure all items that are not delegated to communities in this manual or when communities delegate the woreda in written. Further, any procurement of goods and services above Birr 20,000 in one time and a turnkey contract of above Birr 60,000 will be conducted by woreda.

Community representatives have to approve the payments for goods and services procurements delegated by WASHCOs/PTA/health institutions to woreda. For this effect community representatives have to have the copy of the signed agreements between the woreda and the supplier or contractor. The hand pump procurement does not need the delegation.

The goods and services that are procured by Woreda are shown in Appendix 7-2.

## **8. CMP capacity building and training**

### **8.1 Levels of training**

The introduction of CMP requires intensive capacity building from federal to woreda level and an unwavering commitment to facilitate the process. Special attention should be paid to the capacity to create awareness and understand requirements for successful implementation.

#### **8.1.1 Federal level**

Capacity development at federal level focuses on human resource development, especially on increasing knowledge of policies and strategies. It has been proposed that MoWIE design a policy level training package for the federal and regional level implementers. Federal level training courses, workshops, seminars and learning alliances should be organised jointly with WASH take holders, in-country and abroad. The Federal Technical Assistance Team focuses on training regional and zonal personnel, including Regional Support Unit (RSU) staff, on the CMP approach.

#### **8.1.2 Regional level**

Physical capacity building is carried out at regional, zonal and woreda levels. Finance for this is included in respective work plans and budgets, which include improving private sector capacity, for example by training artisans on the CMP approach.

Each Regional Support Unit organises, supports and reports on capacity development. The Federal Technical Assistance Team must ensure that training materials and materials are prepared for zonal and woreda WASH technical teams to acquire specialist knowledge. Cooperation between all WASH stakeholders is required for effective use of resources and to avoid overlapping or contradictory activities and ensure that CMP is understood properly.

Regional specialists should also have opportunities to take part in workshops, conferences and training courses, in-country and abroad.

The Regional Support Unit (RSU) has responsibility for accelerating implementation of the CMP approach, and needs strengthening so that it can support zones and woredas and build their capacity in turn. This should include physical building the physical resources of Regional Support Units, each of which requires a vehicle, LCD projectors, computer equipment, printers, filing cabinets, copy machines, etc. The RSU will in turn cooperate closely with stakeholders in rural WASH development to utilise its limited resources efficiently.

The Federal CMP technical assistance team conducts 'training of trainers' at regional level and this cascades downwards in the model defined in the WIF. Woreda level training by regional and zonal staff should be included in regional plans. The Federal CMP technical assistance team with other stakeholders will encourage and support Regional Governments to grant formal, legal recognition of properly-constituted WASHCOs/PTAs/health institutions, including recognition of a WASH mandate for sanitation and hygiene improvements, as well as environmental protection of drinking water supplies.

### **8.1.3 Zonal level**

Zonal WASH Teams need to be strengthened (or established) to plan and coordinate WASH training and capacity building. Zones receive the same human resource development capacity building as regions. Their role is to provide human resource capacity building in new woredas and refreshment training of experts in woredas where the CMP approach is already being replicated. Zones provide training to woreda WASH sector offices and the Woreda Water Team and supervise training conducted by woredas.

Zone level physical capacity building is limited to the provision of one LCD projector, computers and printer in the water, health and finance sectors.

### **8.1.4 Woreda level**

Special attention should be paid to awareness creation and improving the understanding of woreda administrators about the requirements for successful implementation of the CMP approach, in order to create an enthusiastic enabling environment for rural WASH development. It is essential that Woreda WASH Teams receive extensive capacity building for CMP management.

Zone WASH Teams and WASH personnel from RSU and regional bureaus will train technical personnel in the woreda water, health and education offices in CMP promotion, application preparation, desk and field appraisal, project approval, monitoring and evaluation, CLTSH, operation and maintenance management and water safety planning. The Woreda Finance and Economic Development Bureau and other financial intermediaries will be trained in CMP financial management and procurement.

Woreda level physical capacity building includes the provision of motorbikes, computers, printers, filing cabinets, one copy machine, water quality testing kits and heavy construction equipment and tools.

The Woreda WASH Team has the option of using specialist local capacity building support such as Woreda WASH Consultants Agents (WWC), (previously Woreda Support Groups – WSG). Use of WSAs is particularly recommended for the preparation of the Woreda Strategic WASH Plan. At community level, the woredas can outsource capacity building to the support agents, such as the Community Facilitation Teams (CFTs).

### **8.1.5 Community level**

For CMP to succeed, community members, WASHCOs, PTAs and health institutions need to be trained in managing and maintaining their facilities. They need to understand CMP construction and financial management, operation and maintenance management, hygiene and sanitation, gender and environmental protection, Self-supply and water safety planning. In future they will also need to be able to conduct climate change screening

The WASHCO/PTA/health institution will table its constitution for local discussion and approval. That opportunity should be used to empower women in particular to ensure that their capacity, opinions and demands are respected.

### 8.1.6 WASH service providers

WASH service providers, such as artisans, play an important role in WASH service delivery and can be better institutionalised. Woreda capacity building should extend to certifying and registering artisan services as Small Scale Entrepreneurs or Artisan Cooperatives/Associations, depending on the regional policies.

## 8.2 Capacity building pillars and costs

The following costs should be calculated within the woreda capacity building budget:

- Training (trainer payments and trainee per diems, training materials, transport costs, refreshments, hire of venue, stationery, etc.);
- On-site training of woredas, WASHCOs/PTAs/health institutions and communities in implementation of water supply and sanitation projects. Per diem payments directly related to capacity building by regional, zonal and woreda personnel ;
- Participation in planning and review meetings, seminars, or conferences (per diems, materials, stationery, venues, transport, refreshments, etc.);
- Participation in training courses to improve the skills in Ethiopia or outside of Ethiopia (course fees, transport, per diems;
- Experience sharing visits (per diems and transport);
- Private sector capacity building (artisan training, artisan tools provision);
- Sector development and awareness creation through workshops, festivals, special days, exhibitions, etc.) ;
- On-site support to trigger and mobilise sanitation and hygiene in communities;
- Advice and coaching about "open-defecation free" declarations, verification and completion<sup>3</sup> ceremonies;
- Recruitment, procurement advertisements, etc. procurement costs;
- Preparation and distribution of information, education and communication materials;
- Media payments;
- Financial transaction and bank charges for capacity building fund transfers;
- Physical capacity building of RSU, bureau, zone and/or woreda (office and construction equipment, vehicles and motorbikes, water quality testing kits, GPS, etc.);
- Technical assistance and short-term consultancies to produce capacity development instruments.

The detailed capacity building plan is attached as Appendix 8.

## 9. Reporting

Reporting is an indispensable part of the CMP project cycle and a key input for performance evaluation. Performance reporting allows proper control of management, accounting and

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<sup>3</sup> A project completion checklist is completed during the completion ceremony by the CMP supervisor. This checklist can be found at Annex 10.

O&M, and allows management to compare actual performance with standards and targets. The results indicate where corrective action is required. Separate reporting and monitoring is required to improve the effectiveness of each modality within the One WASH plan, including CMP.

Regions and woredas will plan and report on CMP separately as part of the OWNPN. The National WASH Coordination Office will provide planning and reporting formats.

## 9.1 Reporting mechanisms

Regular reporting by WASHCOs/PTAs/health institutions to woreda sector offices supports transparency and improves community management. Necessary supervision by the Woreda Water Office includes:

- **Monthly report:** Monthly physical construction and maintenance report prepared by the WASHCO/PTA/health institution and submitted to woreda water, water or health office
- **Quarterly report:** The woreda sector offices should submit quarterly performance reports to the WWO and the respective zonal and regional sector offices. These reports will provide data on the progress of the projects, together with any special trends, needs or requirements. Financial reporting is also on a quarterly basis.
- **Annual report:** The regional sector offices and Regional WASH Coordination Office (RWCO) should assess quarterly reports received from woredas and compile them into annual reports for submission to all regional WASH bodies and the Regional Government.

Uniformity of reporting is of paramount importance to allow the cross-comparison useful to zonal and regional sector offices, and to allow WASHCOs/PTAs/health institutions and woredas to “grade” themselves against others. It is therefore useful for reporting formats to be uniform so that all woredas report in the same way and in accordance with OWNPN requirements. However, formats also need to be revisable so they can be adapted to changing circumstances.

At the end of each year, an annual WASH report will be submitted by the Regional Coordination Office to the National WASH Coordination office for review and future planning.



## 9.2 Formats for application, administration and reporting

CMP currently uses the following forms for CMP application and administration and formats for reporting:

### A. Application and administration forms

#### Category 1: Formats to be used by WASHCOs (Community level)

Appendix number	Format Name	Prepared by	Contents of the Format	Distribution	Remark
Annex 1	CMP Water Points Application form	Communities with support from Kebele WASH Team (KWT) & WWO members.	Information required to apply for a CMP grant	CMP Supervisor or WASH Sector office Heads	1. Application form can be found in WWO office & kebele manager office
Annex 1b	Institutional CMP Application form	Institutions with support from KWT	Information required from PTA or Health committee to apply for a CMP grant	CMP Supervisor or WASH Sector office Heads	1. Application form can be found in WWO office & kebele manager office
No special form for this	Post implementation status (from minutes)	WASHCO/PTA/HC	The minutes of the annual public audit	CMP supervisor	1. To be prepared in by WASHCO for each public audit 2. To be kept in the project file at WWO <i>No special format for this. WASHCOs provide minutes of the relevant meeting.</i>
No form currently available	Quarterly expenditure Report	WASHCO/PTA/Health committee	Quarterly Bank Balance and expenditures	Woreda Finance	WASHCO prepares and submits report <i>WASHCOs currently submit receipts to CMP supervisor</i>

**Category 2: Formats to be used at woreda level**

<b>Appendix number</b>	<b>Format Name</b>	<b>Prepared By</b>	<b>Contents of the Format</b>	<b>Distribution</b>	<b>Remark</b>
Annex 2	CMP Project follow up form	CMP Supervisor or WASH Sector Heads	Steps in the CMP project cycle	To be kept in the project file	1. To be ready when the project application is submitted 2. To be filled when the project reaches certain steps in the project cycle
Annex 3	Desk appraisal report form	CMP Supervisor or WASH Sector Heads	Office appraisal criteria	Appraisal result submitted to WWT	To be filled when applications are submitted and kept in project files
Annex 3 b	<u>Institutional Desk Appraisal Report Form</u>	CMP Supervisor or from health or education office		Appraisal result submitted to WWT and to sector office	To be filled when applications are submitted and kept in project files
Annex 4	Acknowledgement of receipt of application and informing applicant of result of desk appraisal	CMP Supervisor or WASH Sector Heads	Formal acknowledgement of receipt of application and notice of whether accepted for field appraisal, returned for corrections or rejected.	Given to the WASHCOs/PTA/ Health committee that submitted the application	Two copies prepared after desk appraisal: one given to WASHCOs/PTA/Health committee; the other kept in the project file
Annex 5	Field Appraisal Report Form	Members of appraisal team	Field appraisal criteria	Appraisal result submitted to WWTs	To be kept in project files
Annex 5 b	Institutional Field Appraisal Report Form	Members of appraisal team	Field appraisal criteria	Appraisal result submitted to WWTs	To be kept in project files
Annex 6	WWT Project approval form	CMP Supervisor or WWT Secretary	Recommendation from appraisal team and a record of the decision by the WWT	To WWTs	One copy prepared and kept in the project file

Appendix number	Format Name	Prepared By	Contents of the Format	Distribution	Remark
Annex 7	Letter informing approval of project application	WWT Chairpersons	-Notice of approval for CMP and project budget; invitation to sign Funding Agreement	To Chairperson of WASHCO/ PTA or Health committee	Two copies prepared. One given to WASHCOs/PTA/Health committee; the other kept in the project file.
Annex 8	CMP Funding Agreement	CMP Supervisor	Formal funding agreement under which beneficiary group accepts responsibility for the project.  Includes period of execution, financing of operation, release of funds,  Reporting guidelines, and signatures of both parties.	One copy held by WASHCO/PTA/HC  One copy in project file  One copy to BoFED	1. To be prepared after projects are approved and WASHCOs/PTA/Health committee fulfil the requirements  2. To be signed by WWT and WASHCOs/PTA/Health committee chairpersons
Annex 9	General Conditions of the Funding Agreement	CMP Supervisor	Lists conditions on which Funding Agreement is based	Attached to the Funding Agreement, and distributed to those that enter into agreement	1. To be prepared after projects are approved and WASHCOs/PTA/Health committee fulfils the requirements  2. To be signed by WWT and WASHCO chairpersons
Annex 10	Variation assessment report	Assigned experts (From WASH Sector Offices &CMP supervisor)	Reasons for variations request from the user communities	One copy to be kept in project file by WWT	1. When variations are requested by WASHCOs/PTA/Health committee

<b>Appendix number</b>	<b>Format Name</b>	<b>Prepared By</b>	<b>Contents of the Format</b>	<b>Distribution</b>	<b>Remark</b>
Annex 11	Variation approval form	CMP Supervisor or WWT Secretary	Decision on whether variation is approved, together with assessors' justification	WWT members	2. To be prepared in one copy and kept in the project file
Annex 12	Project supervision report form	CMP Supervisor and the person assigned for supervision from WWO	<ul style="list-style-type: none"> <li>- Construction progress,</li> <li>- Financial management</li> <li>- Community contribution</li> <li>- Problems encountered</li> <li>- Solutions proposed</li> </ul>	<ul style="list-style-type: none"> <li>- One copy to be prepared after each supervision</li> <li>- To be kept in the project file</li> </ul>	<ul style="list-style-type: none"> <li>1. To be prepared in English</li> <li>2. If there are issues which need decision, they will be presented to the WWT chair person</li> </ul>
Annex 13	Implementation and disbursement schedule	CMP Supervisor	Physical progresses and plan for release of funds	Three copies to be prepared: one copy attached to Funding Agreement; two copies given to signatories to the agreement	To be prepared together with the Funding Agreement
Annex 14	Project Completion Checklist	CMP Supervisor	Checklist on the project completion	To be prepared in one copy & be filed at WWO	1. To be prepared in English.

**B. Reporting formats****Category 1: Formats prepared at community level by WASHCOs**

<b>Appendix number</b>	<b>Report Name</b>	<b>Prepared by</b>	<b>Frequency</b>	<b>Distribution</b>	<b>Main contents</b>
Annex 15	Construction monitoring report	Community members in charge of monitoring the construction process progress	Updated daily, submitted to WWO when requesting each consecutive finance instalment	CMP supervisor  Two copies: Top copy submitted with instalment request.	Daily record of material used, labour input, artisan's inputs, results, problems and proposed solutions.
Annex 16	WASHCO Ledger	WASHCO account signatories accountable for use of CMP Funds	Updated for each payment made; one copy submitted on requesting each instalment	Two copies in working languages. Original submitted to CMP or woreda WASH accountant Copy remains with WASHCO	Register of all transactions related to use of the grant fund.
Annex 17 labour & 18 materials	Daily Community contributions in labour and materials	Community members in charge of this activity	Updated daily	CMP supervisor	<ol style="list-style-type: none"> <li>1. Daily record of community contribution (labour and working materials).</li> <li>2. To be prepared in working languages</li> <li>3. A copy to be submitted when the CMP Supervisor requests.</li> </ol>
Annex 19 labour, & 20 working materials	Community contribution summary	Community members in charge of this activity	Just after construction completion & before completion ceremony	CMP supervisor	<ol style="list-style-type: none"> <li>1. Summary of community contribution (labour and working materials)</li> <li>2. To be prepared in Working languages</li> <li>3. One copy to be kept in the project file at woreda level</li> </ol>
Annex 21	Daily major construction materials consumption	Community members in charge of this activity	Registered daily	CMP supervisor	<ol style="list-style-type: none"> <li>1. Daily record of major construction materials consumption</li> <li>2. A copy to be submitted when the CMP Supervisor requests</li> </ol>

**Category 2: Reports prepared at woreda level (by WWTs)**

<b>Appendix number</b>	<b>Report Name</b>	<b>Prepared by</b>	<b>Frequency</b>	<b>Distribution</b>	<b>Main contents</b>
Annex 22	CMP monthly financial report	Prepared by WoFED with assistance from WWT members	Monthly	WRDB/CMP team then compiled & reported to BoFED	Summary of Funding Agreements, expense report summarising costs verified by each WASHCO/PTA/HC
Annex 23	Outline of quarterly progress report	Prepared by CMP supervisor with assistance by WWT members including the chairman	Quarterly	WRDB/ CMP team	Summary and statistics on CMP progress, i.e. no. of Funding Agreements, total amounts, amounts justified, woreda staff inputs, etc. Main problems encountered in the implementation during the quarter, main achievements, training outputs.

**Category 3: Reports prepared by Commercial Bank of Ethiopia (CBE)**

Appendix number	Report Name	Prepared by	Frequency	Distribution	Main contents
Annex 24	Quarterly report from CBE	CBE bank	Monthly	WoFED	Transfers to project account and withdrawal by WASHCOs/ PTA/HC

**Category 4: Reports prepared at regional level**

Appendix number	Report Name	Prepared by	Frequency	Distribution	Main contents
Annex 23	Outline of quarterly progress report	Regional CMP team/ representing WRDB & BoFED	Quarterly	Distributed by BoFED to Regional RWTT, NWCO, Donors	Analytical summary of technical and financial reports mentioned above.  Region compiles this from the woreda reports.

**Category 5: Reports prepared by auditors (Audit Report)**

Appendix number	Report Name	Prepared by	Frequency	Distribution	Main contents
NB: No appendix and no special format. Simple audit report expected	Internal Audit report	Woreda Finance Office auditors	At least annually, in May-June	BoFED	<ul style="list-style-type: none"> <li>– Woreda CMP Budget and total expenditure with bank balance</li> <li>– The accounting system used</li> <li>– <i>Simple audit expected – no special format.</i></li> </ul>

Reports from communities are prepared by WASHCOs/ PTAs/Health committees. The CMP supervisor and WoFED will endorse their reports when the contents have been verified.

## **9.3 Project completion**

### **9.3.1 Final instalment of funding and retention payments**

The final instalment from the woreda WASH fund to the WASHCO/PTA/Health committee account is made following a written request showing the exact amount to be paid. The Kebele WASH Team should assist WASHCO, PTA or Health committee in this regard.

Upon completion, the WASHCO/PTA/Health committee submits original receipts. If money received has exceeded actual payments made, the WASHCO, PTA or Health committees should return the balance back to the woreda to discharge its financial responsibilities. A retention sum will be held by the woreda for an agreed period (a year) to ensure that work has been completed to the required standard and will then be released to the WASHCO, PTA or Health committee. A project completion checklist can be found at Annex 14.

### **9.3.2 Records and accounts of the operation**

WASHCOs, PTA sand Health committees have obligations described above to keep accurate and regular records of construction and accounts. The WASHCO, PTA or Health committee must keep their records in a safe place (preferably in metal cabinets) for five years after the end of the project. Original receipts and accounts handed to the woreda CMP supervisor will be kept in the Woreda Water Office archive or other suitable and safe location for audit purposes.

Audit processes and procedures apply to both community and institutional WASH implementation.



## **10. Programme reviews, monitoring and evaluation**

A monitoring and evaluation framework has been drafted by the Federal Technical Assistance Team to monitor CMP related development in WASH and to provide information for periodic reporting which is linked into the management information system developed for the One WASH National Programme.

### **10.1 Programme reviews and reporting**

The National WASH Coordination Office (NWCO) organises reviews and annual WASH Multi-Stakeholder Forums. The federal CMP technical assistance team will participate in relevant task forces and working groups established by the Federal Government: currently Self-Supply Working Group, National WASH Inventory Task Force, National Hygiene and Sanitation Task Force, One WASH National Programme Task Force, Fluoride Mitigation Advisory Committee, etc.

The technical assistance team also participates in and assists MoWIE and others in bi-annual practitioner Forums for Learning on Water Supply and Sanitation, and assists in assessing and scaling up high tech developments as relevant.

Under the WIF and OWNPN:

- KWT conducts quarter and annual WASH progress review meetings with all kebele WASH stakeholders;
- WWT conducts quarter and annual WASH progress review meetings with the woreda WASH stakeholders including kebele representatives;
- RWCO conducts quarter and annual WASH progress review meetings with the region WASH stakeholders including zone and woreda representatives;
- NWCO conducts quarter and annual WASH progress review meetings with the national WASH stakeholders including regional representatives.

Programme reporting sequence and frequencies are as follows:

- The KWT submits monthly, quarterly and annual WASH progress reports to the WWT;
- Woreda (WWT) submits monthly, quarterly and annual WASH progress reports to zone/region;
- Region (RWCO) submits monthly, quarterly and annual WASH progress reports to the NWCO;
- The NWCO submits monthly, quarterly and annual WASH progress reports to the National WASH Technical Team and through it to the NWSC. The DAG will receive copies of these reports from the NWCO. Programme progress reports include both physical and financial status. Monthly and quarterly programme reports show physical progress against planned activities and/or outputs, while the annual report shows achievements (outputs and outcomes) in meeting annual targets.

## 10.2 Monitoring

Monitoring of CMP is based on physical and financial progress reports, focused on achievement of objectives and outputs including any possible deviations from work plans and budgets and proposals for improved implementation.

The CMP M&E Framework is aligned with WASH M&E Framework, WIF and National WASH Inventory taking into consideration the targets set in the Growth and Transformation Plan (GTP). The reporting cycle, formats and indicators of the federal CMP technical assistance team COWASH are presented in detail in the Monitoring and Evaluation Framework prepared by COWASH, providing tools for reporting and performance evaluation for the success of operation and maintenance management improvement needs.

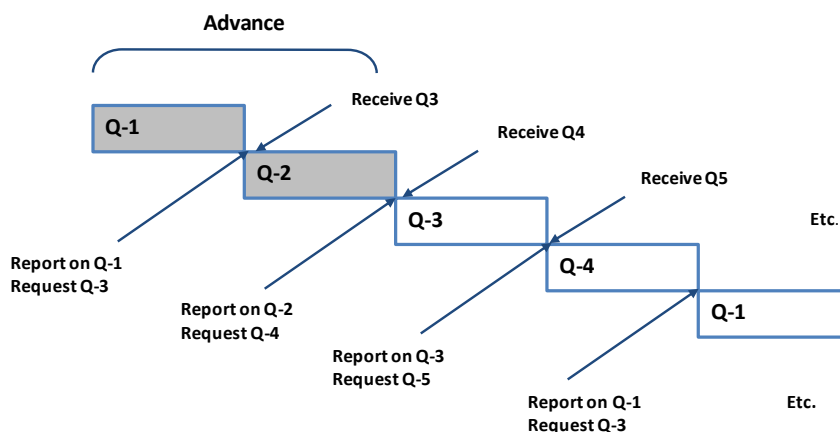
Financial monitoring is based on the GoE practices, adjusted to the specific features of the CMP implementation.

At woreda level WoFED is responsible for financial reporting to BoFED on both capacity building and operational costs. BoFED also compiles financial reports from regional bureaus and zonal finance departments and submits their combined report to MoFED and the donor.

Physical progress reports flow from communities to the Woreda Water Office (WWO) and are compiled at regional level by Water Bureau, which produces quarterly progress reports for the region to be further submitted to MoWIE and MoFED. The RSU team will assist woredas, water bureau and other relevant bureaus, departments and offices in effective reporting.

Financial and physical progress reporting is connected to funding requests and replenishments as defined in WIF and illustrated in the graph below<sup>4</sup>:

Figure 3: WIF reporting-request-replenishment principle



<sup>4</sup>WIF August 2011

### **10.3 Programme and project evaluation**

Careful evaluation of CMP activities carried out in woredas by regional WASH technical teams is necessary to further develop the approach. Evaluation helps to determine the proper scope and speed of the expansion of CMP activities and should make recommendations for improvements and corrective actions as necessary. Particular attention should be paid to evaluating training related to CMP management.

Evaluation should take place within three months of the end of construction cycle. Evaluators should have access to audit results, but avoid overlapping activities.

Competent auditing of the project accounts is required to develop good governance and promote accountability and transparency. All organisations receiving financial support from the project and management funds are subject to regular audit.

Formal annual auditing by Woreda Finance and Economic Development Bureaus will be carried out to further strengthen internal controls.

After construction of CMP WASH facilities, an annual evaluation should be held with a focus on fund utilisation, output, process adherence, and presence of management structures to maintain the CMP facilities.

The Governments of Ethiopia and the development partner may assign auditor(s) to assess the conformity of the project to the established procedures, norms and criteria. The scope and timing of audits can be decided jointly, or independently.

## Sources and references

- CMP Fund Management Guideline, 2012
- CMP Fund Management Guideline Annexes, 2012
- CMP Implementation Manual for Manual Drilling, 2012
- CMP Implementation Manual for Institutional Sanitation, 2012
- CMP Implementation Manual for Institutional Sanitation Annexes, 2012
- CMP Communication Strategy, 2011
- Communication and Training Methodology Guide, 2011
- Mainstreaming cross cutting issues in CMP, 2011
- CMP and gender step by step guide
- WASHCO legalisation Proclamation for Benishangul Gumuz Region
- WASHCO legalisation Regulation for Benishangul Gumuz Region
- Rural Water Supply O & M management manual for point water supply
- Report on Mainstreaming CMP in to OOWNP in line with Public Finance regulation of Ethiopia, 2013
- Generic CMP Financial management Guideline , 2012
- Guideline For The Implementation Of High Technology Water Supply Options In CMP, 2013
- Concept Paper on Women and Youth Led Supply Chain RWASH, 2013
- COWASH M &E Framework , 2011
- COWASH M&E Tools, 2011
- RWSEP Reinvestment Finance Study, 2005
- Evaluation and Mainstreaming of CDF, 2010
- OOWNP Program Operational Manual (POM) for the Consolidated WASH Account, Final, September 30, 2014
- OOWNP Programme Document, 2013
- WIF Summarised and Signed Document, 2013
- Public Procurement Directive of FDRE, 2010
- Financial administration of the Federal Government, Regulation, No. 190/2010
- Federal Government Accounting Guideline No 5/2010

## **Appendices**

## Appendix 1 (7-1) Materials and Goods to be Procured by WASHCOS

### A) Construction materials and tools to be procured in the CMP approach

#### A.1) Construction materials to be procured by WASHCO for water supply projects

It. N.	Description of Material	Unit	Remark
1	Cement	Quintal	
2	Sand	M <sup>3</sup>	Number of communities have experience of contributing
3	Coarse aggregate	M <sup>3</sup>	
4	Stone	M <sup>3</sup>	Many communities have experience of contributing
5	River gravel	M <sup>3</sup>	Number of communities have experience of contributing
6	Different diameter reinforcement bars	Pcs	
7	φ 6 mm reinforcement wire	Kg	Procured in roll
8	φ 1.5 mm tying wire	Kg	Procured in roll
9	Timber for formwork	Pcs	
10	Different size Nails	Kg	
11	Different size eucalyptus poles	Pcs	Many communities have experience of contributing
12	Corrugated iron sheet (CIS)	Pcs	
13	Pipes and fittings		
13.1	Different diameters Galvanized Iron (GI) pipes as per the design	Pcs	
13.2	Different diameter High Density Polyethylene (HDP) pipes as per the design	M	
13.3	Different fittings based on the design	Pcs	
14	Fiber for Galvanized Iron (GI) pipe fixing	Kg	
15	Paint for Galvanized Iron (GI) pipe fixing	Kg	

**A.2) Construction materials to be procured by WASHCO for institutional latrines**

It. N.	Description of Material	Unit	Remark
1	Cement	Quintal	
2	Sand	M <sup>3</sup>	
3	Coarse aggregate	M <sup>3</sup>	
4	Stone	M <sup>3</sup>	
5	1.5mm tying wire	Kg	Procured in roll
6	6 mm reinforcement wire	Kg	Procured in roll
7	Different diameter reinforcement bars	Pcs.	
8	Timber for formwork	Pcs.	
9	Different diameter eucalyptus poles	Pcs.	
10	Hollow Concrete Block (HCB) for walls	Pcs.	
11	Corrugated Iron Sheet (CIS)	Pcs.	
12	Different size nails	Kg	
13	Paints	Kg	
14	Poly Vinyl Chloride (PVC) pipes	M	
15	Metal doors and windows	Pcs.	
16	Metal doors and windows	Pcs.	
17	25 liter capacity fiber plastic ground water tank	No.	
18	Wire mesh	m2	

### A.3) Construction hand tools to be procured by WASHCOs for water supply projects and institutional latrines

Item No.	Description of equipment and tools	Unit	Remark
1	4mm nylon rope for laying out	Meters	
2	18 mm nylon rope (for taking soil from the well during excavation and for lowering cylinder to the well)	Meters	
3	Shovel having short handle for taking out excavated soil	Pcs	
4	Shovel for mixing cement	Pcs	
5	Bucket for water	Pcs	
6	Bucket for cement	Pcs	
7	Gesso	Pcs	
8	Wedge	Pcs	
9	5 kg hammer	Pcs	
10	2 kg hammer	Pcs	
11	Chisel	Pcs	
12	Pick axe	Pcs	
13	Helmet	Pcs	

### B.1) Services to be procured by WASHCOs

- Transport services for construction materials and tools.
- Procurement of labor service from artisans, small and micro enterprises and contractors.
- Renting of equipments and tools.



## **Appendix 2 (7-2) Materials and Goods to be Procured by Woreda**

### **A.4) Construction materials to be procured by Woreda**

Item No.	Description of equipment and tools	Unit	Remark
1	Afridev hand pump with all its accessories	Set	

### **B.2) Services to be procured by Woreda**

- Consultancy service (for study, design, supervision).

## **Appendix 3 (8)**

### **Brief Note on CMP Capacity Building**

# 1. Capacity Building

The main elements of capacity building are:-

- Enabling Environment
- Institutions
- Facilities and Logistics
- Human resources including incentives
- System & procedures

## Enabling Environment

The policy, strategies, programs and other enabling environments are in Rural WASH sector in place. These enabling environments are developed for the entire WASH sector including CMP implementation modality in the Rural WASH. With regard to CMP the public financial management and procurement policies and rules does not allow effective fund utilization by communities; which has been addressed in the revised manual.

## Institutions

CMP does not create or use new institutions. The existing institutions from federal to woreda level are conducive to effectively implement CMP modality.

## Facilities and Logistics

Facilities and logistics are key requirement for implementing Rural WASH. The logistics and facility requirements for CMP are similar to WMP modality. The **sample requirement** per woreda is shown below:

WOREDA PHYSICAL CAPACITY BUILDING					
Woreda Water office physical capacity	Item	Unit	No	Unit rate	Cost
	Motorbikes	Number of motorbikes	2	125,000	250,000
	Computers	Number of computers	1	15,000	15,000
	Printers	Number of printers	1	9,000	9,000
	Filing cabinet	Number of filing cabinets	2	5,000	10,000
	Copy machine	Number of copy machines	1	50,000	50,000
	Digital camera	Number of digital camera	1	5,000	5,000
	Lap top computer	Number of lap top comps	1	15,000	15,000

WOREDA PHYSICAL CAPACITY BUILDING					
	LCD projector (for trainings)	Number of CD projectors	1	20,000	20,000
<b>Woreda Health office physical capacity</b>	<b>Item</b>	<b>Unit</b>	<b>No</b>	<b>Unit rate</b>	<b>Cost</b>
	Motorbikes	Number of motorbikes	1	125,000	125,000
	Computers	Number of computers	1	15,000	15,000
	Printers	Number of printers	1	9,000	9,000
<b>Woreda Finance office physical capacity</b>	<b>Item</b>	<b>Unit</b>	<b>No</b>	<b>Unit rate</b>	<b>Cost</b>
	Computers	Number of computers	1	15,000	15,000
	Printers	Number of printers	1	9,000	9,000
	Copy machine	Number of copy machines	1	50,000	50,000
<b>SUB-TOTAL WOREDA PHYSICAL CAPACITY BUILDING</b>					<b>597,000</b>

## Training

The major difference between CMP and WMP is in training requirements. Both require particular training modules. The detailed training requirement for CMP is shown as annex. The **sample training budget requirement per woreda** is shown below:

HRD CAPACITY BUILDING IN CMP and planning		No	Unit rate	Cost
WASHCO training on CDF (5 people of WASHCO)	Number of WASHCOs	23	2,400	55,200
O&M training of WASHCO	Number of WASHCOs	23	1,750	40,250
Caretaker/pump attendant training	Number of caretakers	23	980	22,540
Kebele WASH team training on CMP	Number of Kebeles	5	6,215	31,075
Artisan training including the procurement of artisan tools	Number of artisans	15	4,845	72,675
Woreda strategic plan	Lump sum per woreda	1	7,000	7,000
Kebele strategic plans (new kebeles selected)	Number of Kebeles	5	4,000	20,000
WWT training on CMP management	Woreda	12	1,200	14,400
WWT training on CMP promotion etc..	Woreda	20	1,200	24,000
TOT on WASHCO training	Woreda	27	1,000	27,000
O&M management and caretaker training	Woreda	16	1,500	24,000
Training in procurement of hand pumps	Woreda	16	1,200	19,200
<b>SUB-TOTAL WOREDA HRD CAPACITY BUILDING AND PLANNING</b>				<b>357,340</b>
HRD CAPACITY BUILDING IN HYGIENE AND SANITATION		No	Unit rate	Cost
Woreda cabinet awareness meeting	Woreda	1	2,000	2,000
Whole System in the Room workshop at Woreda level	Number of Kebeles (5K x 2rounds = 10)	10	3,000	30,000
WWT training in triggering	Woreda	10	1500	15,000
Institutional WASHCO training for latrine building	Number of institutions	1	2,250	2,250
Kebele level triggers/CLTSH training	Number of Kebeles	5	6,215	31,075

HRD CAPACITY BUILDING IN CMP and planning		No	Unit rate	Cost
SUB-TOTAL WOREDA HRD CAPACITY BUILDING IN H&S				80,325

## Operational Support

Operational support to woredas is a requirement for implementing Rural WASH. The logistics and facility can only be effectively utilized if operational budget is available. In this regard CMP is similar to WMP modality. **The sample requirement per woreda** is shown below:

OPERATIONAL COSTS		No	Unit rate	Cost
<b>Water Office</b>				
Fuel for cars	Birr/month	7	8,000	56,000
Fuel for the motorbikes	Birr/month	7	2,000	14,000
Maintenance for the motorbikes and cars	Ls	1	50,000	50,000
Travelling outside the woreda capital other than for training, site selection & supervision to water points (such as promotion, water point celebration, procurement, reporting)	Days (person days) eg. 3P (2exp + 1 driver) x 8D/month x 7months = 168 mandays	168	170	28,560
Operational and maintenance of office equipment	Birr/month	7	500	3,500
Stationery (copying paper, etc...)	Birr/month	7	500	3,500
Communication	Birr/month	7	286	2,002
WWT monthly meetings refreshment cost	Birr/month	7	300	2,100
Site selection/appraisal (see basis for unit costs)	Birr/Water point	23	560	12,880
Supervision to water points (see basis for unit costs)	Birr/Water point	23	840	19,320
Briefing meeting to woreda cabinets on the 2004EFY plan	Birr/meeting	1	1,500	1,500
Procurement of chlorine	Drum	1	3,500	3,500
<b>Heath office</b>				
Fuel for the motorbikes	Birr/month	7	1,000	7,000
Maintenance for the motorbikes	Birr/month	7	1,000	7,000
Travelling outside the woreda capital other than for training & supervision to kebeles	Days (person days) eg. 2P (1E+1D) x 7d/m x 7M = 84 mandays	84	70	5,880
Operational and maintenance of office equipment	Birr/month	7	500	3,500
Stationery (copying paper, etc...)	Birr/month	7	500	3,500
Communication	Birr/month	7	500	3,500
Supervision to kebeles	Birr/Kebele	5	500	2,500
<b>Education office</b>				
Supervision	Birr/school	7	300	2,100
<b>Finance Office</b>				
Traveling outside woreda capital other than for training (such as procurement, water point auditing, reporting)	Birr/month	7	2,100	14,700

OPERATIONAL COSTS		No	Unit rate	Cost
Tender advertisements	Birr/advertisement	3	2,000	6,000
Stationery (copying paper, etc...)	Birr/month	7	500	3,500
<b>GRAND TOTAL OPERATIONAL COSTS</b>				<b>256,042</b>

## Systems and Procedures

The main systems and procedures for CMP have been developed and tested. The revised CMP implementation manual is the key document. These procedures and systems shall be developed and modified through time.

## 2. Training for the Community Management Project modality

### 2.1 A summary of training roles and needs

The Community Managed Project (CMP) modality is one of several innovations under the Ethiopian One WASH National Plan (OWNP) that prioritise low-cost water supply facilities to ensure that un-served areas, communities and households receive a decent basic level of water supply and sanitation services.

Under CMP communities play a significant role in addressing their own WASH priorities for water and sanitation services and improved hygiene. CMP has a number of technical requirements and procedures that must be met if it is to work effectively and comply with Government of Ethiopia public finance and procurement management rules and regulations.

This modality needs to be supported at every level: federal, regional, zonal, woreda, kebele and community. Key staff and community representatives must understand their roles and responsibilities and develop the skills to ensure a proper flow of funds and procedures that operate correctly and smoothly. Cooperation between WASH stakeholders is required for effective use of resources and to avoid overlapping or contradictory activities. Capacity building is one of the core elements of the CMP budget.

The priorities at each level to ensure that training reaches the right people at the right time can be summarised as follows:

#### **Federal Level**

Capacity development at federal level focuses on human resource development, especially on increasing knowledge of policies and strategies. It has been proposed that MoWIE (Ministry of Water, Irrigation and Energy) design a policy level training package for federal and regional

level implementers. Federal level training courses, workshops, seminars and learning alliances should be organised jointly with WASH stakeholders, in-country and abroad.

### ***Regional level***

The Federal CMP Technical Assistance Team focuses on training regional and zonal personnel, including Regional Support Unit (RSU) staff and must ensure that training materials are prepared for zonal and woreda WASH technical teams. This 'training of trainers' at regional level cascades downwards in the model defined in the WASH Implementation Framework, with Woreda level training by regional and zonal staff. Regional Support Units organise, support and report on capacity development.

### ***Zones***

Zonal WASH Teams need to be strengthened (or established) to plan and coordinate WASH training and capacity building for woredas. Their role is to raise the human resource capacity in new CMP woredas and deliver refreshment training of experts in woredas where the CMP approach is already practised. Zones also supervise the training that is conducted by woredas.

### ***Woredas and kebeles***

Woredas and kebeles are responsible for ensuring that the community and institutional groups understand their responsibilities and have the skills to complete them. They need to ensure that woreda and kebele staff are secure in their own knowledge of WASH in general and CMP implementation in particular.

The woreda capacity building budget should cover the costs of training, including payments for trainers, trainee per diems, training materials, transport, refreshments, hire of venue, stationery, etc., as well as the costs of staff participating in training courses, experience-sharing visits, planning and review meetings, seminars and conferences.

The fund for training kebeles and communities shall be managed by WoFED and implemented by woreda sector offices.

WASHCOs and institutional groups and community members need training on issues from gender sensitisation to hygiene education to operation and maintenance of water facilities. Training must cover contracting and procuring services, materials and equipment; monitoring work in progress; financial management of community contributions and accounting for money spent from CMP grants.

Woredas have responsibility for private sector capacity building, including training artisans.

## ***2.2 Synopses for training courses***

The One WASH National Programme in Ethiopia has prepared synopses for a range of training courses specifying target groups, duration and main content. This includes:

- CMP concept and principles awareness creation training at federal level for federal WASH sector ministries;

- CMP management training for WASH related staff at regional, Zonal and woreda levels, focused on the benefits of CMP, roles and responsibilities and application and decision-making processes.
- Appraisal team training for Woreda WASH office members looking in details at the application process and decision making.
- Training of trainers by the PMU and Zonal staff for the woreda team who will conduct training for community and institutional groups.
- Training for Kebele WASH Team members to promote CMP and to be able to assist communities to prepare applications and manage the process.
- Training for community and institutional group members to understand CMP processes, quality assurance, financial management of community contributions and accountability.
- Training for kebele pump attendants in maintenance and in spare parts management and sourcing.
- Hands-on training for artisans in construction of hand dug wells and spot springs.
- Training courses range from 3 days to (in the case of artisans) up to 60 days and combine presentations, discussions, role play and practical demonstrations and site visits.



**Annex of Appendix 3**  
**Training Synopsis**

## TRAINING SYNOPSIS - 1. Federal WASH Sectors CMP Orientation training

TARGET GROUP	Federal WASH Sector Representatives, , WASH PMUs, National WASH Coordination Office
TRAINERS	Federal CMP TA Team
LOCATION	Addis Ababa
NO. OF GROUPS	1
NO. OF TRAINEES/GROUP	
DURATION OF TRAINING	3 days
MAIN CONTENTS OF TRAINING	<ul style="list-style-type: none"> <li>▪ WASH Sector guiding policies, strategies and Programs in relation to CMP</li> <li>▪ Principles and Concepts of CMP</li> <li>▪ CMP Funding and Financial management</li> <li>▪ CMP Project cycle</li> </ul>
METHODOLOGY	Workshop approach consisting of presentations (Programme TA) followed by discussions. Ideas and opinion will be recorded for using them to upgrade current guidelines and annexes.
TRAINING MATERIALS	CMP Guidelines and presentation materials.
PROPOSED TIMING	At the beginning of the fiscal year
Planning and Organization	Allocation of budget Selection of participants: Selection of trainers: Invitation of trainees Reproduction of training materials: Arranging venues

## TRAINING SYNOPSIS - 2. CMP Management training

TARGET GROUP	Woreda WASH Team members, managers and Head Office, PMU, Regional WASH sector bureaus, Zonal WASH sector departments
TRAINERS	COWASH TAT and RSU
LOCATION	Regional Town
NO. OF GROUPS	1
NO. OF TRAINEES/GROUP	
DURATION OF TRAINING	3 days
MAIN CONTENTS OF TRAINING	<ul style="list-style-type: none"> <li>▪ CMP Project cycle</li> <li>▪ The contents of the Tripartite Agreement and the roles and responsibilities of each party in the agreement</li> <li>▪ How does the Woreda benefit from CMP?</li> <li>▪ Processing of applications: role of CMP Supervisor and Appraisal team</li> <li>▪ WWT decision making: approval/rejecting</li> </ul>
METHODOLOGY	Workshop approach consisting of presentations (Programme TA) followed by discussions. Ideas and opinion will be recorded for using them to upgrade current guidelines and annexes.
TRAINING MATERIALS	CMP Guidelines and existing Annexes.
PROPOSED TIMING	As soon as annual work plans approved
Planning and Organization	Allocation of budget Selection of participants: Selection of trainers: Invitation of trainees Reproduction of training materials: Arranging venues

### TRAINING SYNOPSIS - 3. CMP Appraisal Team Training

TARGET GROUP	Woreda WASH office members who will be participating in CMP appraisal
TRAINERS	COWASH TAT, Regional PMU
LOCATION	Regional Town/Zonal Town
NO. OF GROUPS	1-5 (depending on the size of the trainees)
NO. OF TRAINEES/GROUP	15-30
DURATION OF TRAINING	4 days
MAIN CONTENTS OF TRAINING	<ul style="list-style-type: none"> <li>▪ CMP Project cycle</li> <li>▪ Processing of applications: role of CMP Supervisor and Appraisal team</li> <li>▪ Project implementation: importance of realistic planning and timing of Woreda technical assistance inputs (site selection surveying and supervision)</li> <li>▪ WASH M&amp;E</li> </ul>
METHODOLOGY	<p>Workshop approach consisting of presentations (Programme TA) followed by discussions. Theoretical training, Group work/role plays: (i.e. one team prepares an imaginary application, other team appraises the application, third one prepares the respective Grant Contract, fourth group prepares accounts at WASHCO/PTA/HC level and fifth group prepared WWT accounts for the Programme)</p> <p>PROPOSED TIMING:</p>
TRAINING MATERIALS	CMP Guidelines and existing Annexes.
PROPOSED TIMING	As soon as approved fund is released by BOFED
Planning and Organization	<p>Allocation of budget</p> <p>Selection of participants:</p> <p>Selection of trainers:</p> <p>Invitation of trainees</p> <p>Reproduction of training materials:</p> <p>Arranging venues</p>

#### TRAINING SYNOPSIS -4. WASHCO/PTA/HC ToT Training

TARGET GROUP	Woreda WASH office members who will be participating in WASHCOs/PTA/HC training
TRAINERS	PMU, Zonal WASH department
LOCATION	Regional Town/Zonal Town
NO. OF GROUPS	1-5
NO. OF TRAINEES/GROUP	15-30
DURATION OF TRAINING	4 days
MAIN CONTENTS OF TRAINING	<ul style="list-style-type: none"> <li>• Participatory or adult learning method.</li> <li>• Roles and responsibilities of WASHCOS/PTAs/HCs</li> <li>• How to take the measurements and fill in the monitoring form, incl. daily work output recording</li> <li>• Quality assurance of common local construction materials: selection, handling, transport and storage</li> <li>• Recording and valuation of community contribution</li> <li>• Practical exercises on how to ensure that receipts and reports fulfil the requirements of accountability and eligibility Practical exercises on preparing <b>WASHCO/PTA/HC</b> accounts/financial reports <ul style="list-style-type: none"> <li>▪ How to prepare payment requests</li> <li>▪ Adult's training methodologies</li> </ul> </li> </ul>
METHODOLOGY	Workshop approach consisting of presentations followed by discussions.
TRAINING MATERIALS	CMP Guidelines and existing Annexes.
PROPOSED TIMING	As soon as approved fund is released by BOFED
Planning and Organization	Allocation of budget Selection of participants: Selection of trainers: Invitation of trainees Reproduction of training materials: Arranging venues

## TRAINING SYNOPSIS - 5. Kebele WASH Team members

TARGET GROUP	Kebele WASH Team members to become promoters of CMP and to be able to assist communities at various phases during CMP Project cycle, i.e. preparation of applications etc.
TRAINERS	Woreda WASH sector office experts supported by Zonal WASH sector Experts according to their availability and capacity.
LOCATION	Woreda Town
NO. OF GROUPS	1-2 groups (based on the no. of trainees)
NO. OF TRAINEES/GROUP	15-30
DURATION OF TRAINING	4 days
MAIN CONTENTS OF TRAINING	<ul style="list-style-type: none"> <li>▪ CMP Project cycle</li> <li>▪ Processing of applications: role of CMP Supervisor and Appraisal team</li> <li>▪ Project implementation: importance of realistic planning and timing of Woreda technical assistance inputs (site selection surveying and supervision)</li> <li>▪ WASH M&amp;E</li> </ul>
METHODOLOGY	Workshop approach consisting of presentations followed by discussions.
TRAINING MATERIALS	CMP Guidelines and existing Annexes.
PROPOSED TIMING	As soon as approved fund is released by BOFED
Planning and Organization	Allocation of budget Selection of participants: Selection of trainers: Invitation of trainees Reproduction of training materials: Arranging venues

## TRAINING SYNOPSIS - 6. WASHCO/PTA/HC training in CMP management

TARGET GROUP	WASHCO/PTA/HC members in charge of CMP management
TRAINERS	Woreda WASH Office experts
LOCATION	Woreda town/At the community location
NO. OF GROUPS	2-3 groups (based on the no. of trainees)
NO. OF TRAINEES/GROUP	50-60 trainees per group
DURATION OF TRAINING	3 days
MAIN CONTENTS OF TRAINING	<ul style="list-style-type: none"> <li>• Roles and responsibilities of WASHCOS/PTAs/HCs</li> <li>• How to take the measurements and fill in the monitoring form, incl. daily work output recording</li> <li>• Quality assurance of common local construction materials: selection, handling, transport and storage</li> <li>• Recording and valuation of community contribution</li> <li>• Practical exercises on how to ensure that receipts and reports fulfill the requirements of accountability and eligibility</li> <li>• Practical exercises on preparing WASHCO/PTA/HC accounts/financial reports</li> <li>• How to prepare payment requests</li> </ul>
METHODOLOGY	Theoretical training and practical training by means of a visit to an existing water point to demonstrate how to take measurements
TRAINING MATERIALS	<ul style="list-style-type: none"> <li>• Guidelines and various formats therein to be filled in by the community / WASHCO/PTA/HC members.</li> <li>• Model service contract for artisans</li> </ul>
PROPOSED TIMING	As soon as possible after the community's Application has been approved
Planning and Organization	Allocation of budget Selection of participants: Selection of trainers: Invitation of trainees Reproduction of training materials: Arranging venues

## TRAINING SYNOPSIS - 7. Pump attendants/caretakers training

<b>TARGET GROUP</b>	Persons currently working as Kebele Pump Attendants or with potential to become a Pump Attendant (to be selected among the users of the water points approved for CMP funding).
<b>TRAINERS</b>	Woreda Water office trained by the program, supported by Programme Zonal experts
<b>LOCATION</b>	Woreda capital, Woreda offices
<b>NO. OF GROUPS</b>	2-3 groups in each Woreda,
<b>NO. OF TRAINEES/GROUP</b>	Not more than 20 people (depending on number of water points constructed
<b>DURATION OF TRAINING</b>	5 days
<b>MAIN CONTENTS OF TRAINING</b>	<ul style="list-style-type: none"> <li>• Regular maintenance of pumps</li> <li>• Where to get spare parts, and how to anticipate the need of spare parts.</li> </ul>
<b>METHODOLOGY</b>	Theoretical training combined with practical training in connection with a site visit and in the class room using a demonstration hand pump
<b>TRAINING MATERIALS</b>	Pump Attendants & care takers manual.
<b>PROPOSED TIMING</b>	Before the constructed water points start giving service or before the completion ceremony.
<b>Planning and Organization</b>	Allocation of budget Selection of participants: Selection of trainers: Invitation of trainees Reproduction of training materials: Arranging venues



## TRAINING SYNOPSIS - 8. Artisan's training

<b>TARGET GROUP</b>	Semi skilled trainees/masons, carpenters or construction aids/ nominated from the woreda by the WWT.
<b>TRAINERS</b>	Woreda Water office and experienced artisans available.
<b>LOCATION</b>	Woreda capital & selected hand dug well & spring sites.
<b>NO. OF GROUPS</b>	One group in each Woreda,
<b>NO. OF TRAINEES/GROUP</b>	Approximately 15 people (depending on number of water points)
<b>DURATION OF TRAINING</b>	60-70 days
<b>MAIN CONTENTS OF TRAINING</b>	Construction of hand dug wells and on spot springs
<b>METHODOLOGY</b>	Theoretical training not more than 5 days and up to 55 days practical training on how to construct hand dug wells and on spot springs.
<b>TRAINING MATERIALS</b>	Artisans training construction manual.
<b>PROPOSED TIMING</b>	Before the constructed water points start giving service or before the completion ceremony.
<b>Planning and Organization</b>	Allocation of budget Selection of participants: Selection of trainers: Invitation of trainees Reproduction of training materials: Arranging venues

## TRAINING SYNOPSIS - 9. Financial Management Training

TARGET GROUP	WoFED staff, Zone and Woreda sector offices
TRAINERS	COWASH TAT and RSU
LOCATION	Regional Town
NO. OF GROUPS	1-5
NO. OF TRAINEES/GROUP	
DURATION OF TRAINING	2 days
MAIN CONTENTS OF TRAINING	<ul style="list-style-type: none"> <li>▪ CMP Project cycle</li> <li>▪ CMP Financial management</li> <li>▪ Financial Reporting</li> <li>▪ Financial Monitoring</li> </ul>
METHODOLOGY	Workshop approach consisting of presentations (Programme TA) followed by discussions. Ideas and opinion will be recorded for using them to upgrade current guidelines and annexes.
TRAINING MATERIALS	CMP Guidelines and existing Annexes.
PROPOSED TIMING	As soon as annual work plans approved
Planning and Organization	Allocation of budget Selection of participants: Selection of trainers: Invitation of trainees Reproduction of training materials: Arranging venues