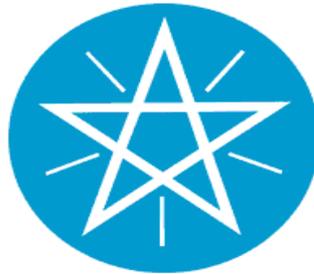


FEDERAL DEMOCRATIC
REPUBLIC OF ETHIOPIA



The WaSH IMPLEMENTATION
FRAMEWORK

(Full document)

9th August 2011

WIF Pledge and Signature Page

We, the undersigned actors in the Ethiopian WaSH sector, recognize the importance of integration in achieving our collective goals as outlined in the National Growth and Transformation plan, and herewith wholeheartedly endorse the WaSH Implementation Framework (WIF). We pledge to structure our work in accordance with this Framework and to jointly bring about a fully integrated and harmonized One WaSH Program, beginning in EFY 2005.

In particular, we will create, empower and equip the necessary management and coordination structures at all levels. We will put in place the planning, financial, procurement, implementation, and monitoring mechanisms outlined in the Framework. We pledge to do our utmost effort individually and jointly to achieve the WaSH GTP/UAP targets and meet the One WaSH Program target, i.e. One WaSH Plan, one WaSH Budget and One WaSH Report.

Signatures:

For the Ministry of Water and Energy _____

For the Ministry of Health _____

For the Ministry of Education _____

For the Ministry of Finance and
Economic Development _____

Observers

For the DAG Water Technical Working
Group _____

For the CSOs of the WaSH Sector _____

Date: ___/___/___

Addis Ababa

Ethiopian WaSH Implementation Framework

WIF Preface

This WaSH Implementation Framework (WIF), prepared to achieve the targets of the Growth & Transformation Plan, represents the collective efforts of the Ethiopian WaSH sector and will act as the guiding document for all WaSH implementation. It has long been clear to all that the expansion of WaSH services can be greatly accelerated by taking advantage of natural synergies and efficiencies offered by moving from a plethora of implementation projects to a fully integrated and harmonized program. The stakeholders of WaSH sector have therefore produced this Framework to define this integrated One WaSH Program and to initiate collective transition towards it.

The concept of the One WaSH Program along with an initial draft of the Framework was first presented by international consultants at the 3rd WaSH Multi-Stakeholders' Forum (MSF) in October 2009. While there was great enthusiasm about the idea amongst WaSH stakeholders, it was also immediately obvious that the initial draft would require redrafting and careful consultation with all concerned parties.

Incorporating comments and feedback from the major sector donors and Civil Society Organizations (CSOs) present in the Ethiopian WaSH sector, a second draft of the Framework was produced and presented at the 4th WaSH Multi-Stakeholder Forum in April 2011. By this time the need for integration and harmonization had become much more pressing due to the challenging targets set by the National Growth and Transformation Plan. The Forum endorsed the draft Framework and adopted a clear road map for finalizing it.

The lead now passed to the Federal Government of Ethiopia, which took full ownership and responsibility for the document. At the federal level a team of WaSH experts was assembled and tasked with closely analyzing the document to ensure it is fit for purpose. At the same time a round of consultations was launched to garner feedback from Regional Governments and City Administrations. No substantive changes were requested during these consultations.

The team of federal experts produced a final draft version, which was sent to sector stakeholder for final comments. These were incorporated into the document which is now in its final form. It should be made clear that a document is complex and wide-ranging as the WIF will always evolve with the sector program it describes. As we continue to innovate and find more efficient and effective ways of providing WaSH services, so will the WIF be adapted. Let us therefore always maintain the spirit of partnership and cooperation which has given us this Framework, and which will allow us to overcome the challenges which lie ahead.

Table of Contents

WIF Pledge and Signature

WIF Preface

1	Introduction	1
2	The Overview of the National WaSH Program (WaSH GTP/UAP).....	3
2.1	The Foundation	3
2.2	Features of the National WaSH Program (WaSH GTP/UAP)	3
2.2.1	Integration	3
2.2.2	Harmonization	6
2.2.3	Alignment	7
2.2.4	Partnership	7
2.2.5	The Community Development Fund (CDF) Approach Mainstreamed in Rural WaSH.....	8
2.2.6	CSO/NGOs in the National WaSH Program.....	12
3	Institutional Arrangements.....	18
3.1	Memorandum of Understanding	18
3.1.1	Common Responsibilities of WaSH Sector Ministries	18
3.1.2	Major areas of cooperation	19
3.2	WaSH Structures	20
3.2.1	National WaSH Structures	20
3.2.2	Regional WaSH Structures	25
3.2.3	Zonal WaSH Structures	29
3.2.4	Woreda WaSH Structures	29
3.2.5	Kebele WaSH Structures	31
3.2.6	WASHCOs (Community WaSH Committees).....	32
4	Urban WaSH.....	33
4.1	Introduction	33
4.1.1	Basic Principles	33
4.1.2	Categories of Towns	33
4.1.3	Urban WaSH Program Components	34
4.2	Urban WaSH Intervention Identification Process	34
4.2.1	Improved Urban Water Supply Services for a Whole Town as per the UAP Minimum Standard and Liquid Waste Management Services.....	34
4.2.2	Hygiene and Sanitation Promotion and Sanitation Facilities Construction for Institutions and low income communities	36
4.3	The Urban WaSH Program Implementation Modality	37
4.3.1	Improved Urban Water Supply and Sewerage Management Services:	37
4.3.2	Hygiene and Sanitation Promotion and Sanitation Facilities construction for Institutions and Low Income Communities	41
4.4	Urban WaSH Structure	42
4.4.1	Town/City Level WaSH Structure	42
5	Rural WaSH Program.....	49
5.1	Introduction	49
5.2	Alternatives	49
5.2.1	Community Managed Projects (CMPs)	50
5.2.2	Woreda Managed Projects (WMPs)	50
5.2.3	NGO Managed Projects (NGO-MPs)	51
5.2.4	Self-Supply Projects (SSP)	51
5.3	Woreda WaSH Organization	51
5.4	Woreda WaSH Planning & Management	54
5.4.1	WaSH Planning.....	54
5.4.2	WaSH Management.....	54

Ethiopian WaSH Implementation Framework

5.5	Implementation – the WaSH Cycle	56
5.5.1	Woreda Preparation	56
5.5.2	Kebele WaSH.....	58
6	Pastoralist WaSH.....	71
6.1	Introduction	71
6.2	Special Features of WaSH in the Pastoralist Region	73
6.3	WaSH Program Alternatives in a Pastoralist Region	74
6.3.1	Non-pastoralist Kebeles	74
6.3.2	Pastoralist Kebele without NGOs Activities or Livelihood Projects.....	74
6.3.3	Kebele with NGO and/or Livelihood Programs	75
6.4	WaSH Program Cycle.....	75
7	Financial Management & Procurement.....	79
7.1	Introduction	79
7.2	WaSH Funding Arrangements	80
7.2.1	Fund Flow	80
7.2.2	Fund Allocation	83
7.2.3	Disbursements & Replenishments.....	85
7.3	Budget & Budget Control	88
7.3.1	Budget Control.....	89
7.4	Responsibilities for Financial Management	90
7.4.1	Federal Level.....	90
7.4.2	Regional Level:	91
7.4.3	Sectoral Bureaus (RWMUs and Support Units).....	92
7.4.4	Zonal level.....	93
7.4.5	Woreda Level.....	93
7.5	Procurement	94
8	WaSH Planning & Budgeting.....	95
8.1	Planning.....	95
8.1.1	The Overall Planning Framework	96
8.2	WaSH Strategic Plans	97
8.2.1	National Level	97
8.2.2	National Strategic Planning Steps of the NWCO:.....	98
8.2.3	Regions, Special Zones, Woredas & Towns/Cities	98
8.2.4	Kebele Level	99
8.3	Annual WaSH Plans & Budgets.....	99
8.3.1	WaSH Annual Planning in Context	99
8.3.2	Annual Planning Sequence	103
8.3.3	Town Level Planning	106
8.3.4	Planning Assistance.....	106
8.4	Budgeting	107
8.4.1	National Budgeting	107
8.4.2	Regional Budgeting	108
8.4.3	Special Zone Budgeting.....	109
8.4.4	Woreda Budgeting	109
8.4.5	Budgeting Assistance	109
9	Capacity Building.....	110
9.1	Introduction	110
9.2	Background	110
9.3	Who are the Participants for Capacity Development?.....	111
9.4	Who are the Capacity Builders?.....	113
9.5	Capacity Building Needs.....	115
9.6	Principles and Strategies for Capacity Building.....	117
9.7	The Cascading Model	118
9.8	Minimum Capacity Building Requirements.....	119
9.9	Range of Training Materials	120
9.10	National Capacity Building Resources	121
9.10.1	Support to Private Sector Service Providers	122
9.10.2	Involving NGOs as Capacity Builders.....	122

Ethiopian WaSH Implementation Framework

9.10.3	Monitoring of Capacity Development.....	122
9.10.4	Practitioners' Groups	123
10	WaSH Monitoring & Evaluation	124
10.1	WaSH M&E Rationale.....	124
10.2	WaSH M&E Challenges.....	124
10.3	WaSH M&E System Overview	125
10.3.1	Who manages WaSH M&E?.....	125
10.3.2	What is monitored in WaSH?.....	126
10.3.3	What are the sources of M&E data?.....	126
10.3.4	How are WaSH M&E data obtained?	128
10.3.5	Who does what in WaSH M&E?.....	130
10.3.6	Reporting Frequencies	132
10.3.7	WaSH Progress Review Meetings	132
11	Recommendations on the National WaSH program implementation.....	133
11.1	Core Process.....	133
1.1.1	134	
1.1.1	135	
1.1.1	136	
11.2	Comment on Selected Activities	137
11.2.1	National	137
11.2.2	Regional	138

Ethiopian WaSH Implementation Framework

Acronyms

AA	Addis Ababa
AfDB	African Development Bank
AMCOW	African Ministers Council of Water
AWP	Annual Work Plan
BoFED	Bureau of Finance & Economic Development
CB	Capacity Building
CDF	Community Development Fund
CF	Community Facilitator
CFT	Community Facilitation Team
CHP	Community Health Promoters
CLTS	Community Led Total Sanitation
CLTSH	Community Led Total Sanitation & Hygiene
CMP	Community Managed Project
COWASH	Community-Led Accelerated WaSH
CSA	Central Statistics Authority
CSO	Civil Society Organization
CWA	Consolidated WaSH Account
DA	Development Agent
DAG	Development Assistance Group
DFID	Department for International Development
E	Education
ESMP	Environment & Social Management Plan
EWTEC	Ethiopian Water Technology Centre
FED	Finance and Economic Development
FGE	Federal Government of Ethiopia
FMP	Facilities Management Plan
FW	Field Worker
GTP	Growth & Transformation Plan
H	Health
HDW	Hand-Dug Well
H.E.	His Excellency
HEW	Health Extension Worker
H&S	Hygiene & Sanitation
HWTSS	Household Water Treatment and Safe Storage
IBNET	International Benchmark Network for Water & Sanitation Utilities
ISIP	Immediate Service Implementation Plan
JICA	Japan International Cooperation Agency
JMP	Joint Monitoring Program
JTR	Joint Technical Review
KDC	Kebele Development Committee
KWT	Kebele WaSH Team
LSP	Local Service Provider
MCFT	Mobile Community Facilitation Team
MDG	Millennium Development Goal
M&E	Monitoring & Evaluation
MIS	Management Information System
MoE	Ministry of Education
MFI	Micro Finance Institution
MoFED	Ministry of Finance & Economic Development
MoH	Ministry of Health
MoU	Memorandum of Understanding
MoWE	Ministry of Water & Energy
MSF	Multi-Stakeholder Forum
MST	Mobile Support Team
NCBSU	National Capacity Building Support Unit
NGO	Non-governmental Organization

Ethiopian WaSH Implementation Framework

NGO-MP	NGO managed Project
NWCO	National WaSH Coordination Office
NWSC	National WaSH Steering Committee
NWTT	National WaSH Technical Team
ODF	Open Defecation Free
O&M	Operation & Maintenance
PASDEP	Plan for Accelerated and Sustained Development to End the Poverty
PCDP	Pastoralist Community Development Project
PEHSP	Pastoralist Extension Health Service Program
PHAST	Participatory Hygiene and Sanitation Transformation
PoA	Plan of Action
PPWSS	Participatory Plan for Water Supply and Sanitation
Q	Quarter
RCBSU	Regional Capacity Building Support Unit
R-WaSH	Rural WaSH Program
RWCO	Regional WaSH Coordination Office
RWMC	Regional WaSH Management Committee
RWSC	Regional WaSH Steering Committee
R/Z	Region/Zone
Sc/KDC	Sub-city/Kebele Development Committee
SNNPRS	Southern Nations & Nationalities Peoples Regional State
SPM	Strategic Plan and Management
SSP	Self-Supply Project
T/CWB	Town/City Water Board
T/CWSC	Town/City WaSH Steering Committee
T/CWTT	Town/City WaSH Technical Team
TSA	Town Support Agent
TVETC	Technical Vocational & Educational Training College
TWB	Town Water Board
TWU	Town Water Utility
UAP	Universal Access Plan
U-WaSH	Urban WaSH Program
UWS-OTR	Urban Water Supply - One Time Report
UWS-AR	Urban Water Supply – Annual Report
W	Water
VHEW	Veterinary Health Extension Worker
WaSH	Water, Sanitation & Hygiene
WASHCO	WaSH Committee (community level)
WaSHVols	WaSH Volunteers
WCBU	WaSH Capacity Building Unit
WDC	Woreda Development Committee
W/HEW	Water/Health Extension Worker
WMP	Woreda Managed Project
WMU	WaSH Management Unit
WRDF	Water Resource Development Fund
W&S	Water & Sanitation
WSA	Woreda Support Agent
WSS	Water Supply and Sanitation
WSSU	Water Supply & Sewerage Utility
WWT	Woreda WaSH Team

1 Introduction

The Ethiopian Water Resources Management Policy and development Strategy stipulate to develop a Framework for Community-Government-Private sector-External Support Agencies Partnership. The purpose of this document is thus to provide the framework and guidelines for implementing the Ethiopian National WaSH Program – undertaken by rural and urban communities throughout Ethiopia and supported and facilitated by governmental agencies, civil society organizations, the private sector and international donors.

It has been prepared in *advance* of the inception of the fully harmonized and integrated Program. It *anticipates* how WaSH will be structured, how it will be funded and how it will be implemented when a single Consolidated WaSH Account (CWA) is operational, when coordination structures are in place and when the key sectors and the Non-Governmental Organizations (NGOs) are integrated in planning, implementing and reporting one WaSH Program. It is fully expected that as the Program evolves in its earliest years much that is in this Framework will need to be revised in order to address constraints and opportunities not apparent at this time. For the present, it is intended to provide a platform for *immediate action* and a solid structure into which those completing parts can be fitted.

To achieve the ambitious goals laid out in the Growth & Transformation Plan for safe water and improved hygiene and sanitation, the Federal Government of Ethiopia has developed this National WaSH Implementation Framework for the National Water Supply, Sanitation & Hygiene (WaSH) Program (WaSH GTP/UAP). The WIF aims to create an integrated **One WaSH Program**, led by the government of Ethiopia, to ensure that the targets, set out in the Growth and Transformation Plan (GTP) (98.5% water supply and 84% improved sanitation access coverage by the end of year 2015), are achieved.

The present drafts of the Universal Access Plan for Water and National Hygiene and Sanitation Strategic Action Plan should be finalized and compiled to be one National WaSH Strategic Plan in order to achieve GTP targets. The Framework recognizes that safe water and improved sanitation and hygiene are not separate pursuits. It recognizes that coordination of effort is required among governmental agencies, donors, civil society organizations and the private sector if targets are to be achieved. It recognizes that those results represented by those targets will only be sustainable if responsibilities and resources are devolved and communities are empowered to manage their own transformation.

The Framework incorporates the lessons learned from a number of water, sanitation and hygiene projects implemented in Ethiopia over the past decade and builds on the foundations these projects have laid. An example of this is the application of the highly decentralized Community Development Fund (CDF) approach that empowers communities to manage funds and to directly manage the construction of water points and school and health post sanitation facilities.¹ It also engages NGOs as partners in WaSH ensuring that their overall contribution including their experiences working with the people imbues the program as a whole.²

As per this Framework the major feature of the National WaSH Program (WaSH GTP/UAP) is that it has the leadership of four government Ministries that are pledged, through a Memorandum of Understanding to support an **integrated WaSH program** that addresses the needs of individuals, communities, schools and health posts more holistically and reduces bureaucratic compartmentalization of services.

A further feature of the National WaSH Program (WaSH GTP/UAP) is the **harmonizing** of donor and Federal Government of Ethiopia inputs in terms of programming and financial support. Major donors

¹ See sub section 2.1.6 on Mainstreaming CDF

² See subsection 2.1.7 on CSO/NGO Partnership in WaSH

Ethiopian WaSH Implementation Framework

have agreed to support one program rather than a variety of time and geographic specific projects, with the objective of harmonizing their financial contributions through a single Consolidated WaSH Account allowing greater flexibility in planning and budgeting and greater efficiency in financial management.

Perhaps the most significant feature of the National WaSH Program (WaSH GTP/UAP) designed to be implemented within this Framework is its degree of coherence – with many participants, many implementers, many partners and many contributors – but a single, national program that all can own and support and through which all can achieve their objectives.

This document is introducing WaSH for all, which also includes disabled, disadvantaged and low-income communities. This means that these groups' needs should be addressed in all the steps of implementing the National WaSH Program.

2 The Overview of the National WaSH Program (WaSH GTP/UAP)

2.1 The Foundation

The foundation of the National WaSH Program (WaSH GTP/UAP) is the Memorandum of Understanding (MoU) signed in 2011 by:

- The Ministry of Water & Energy
- The Ministry of Health
- The Ministry of Education
- The Ministry of Finance & Economic Development

The stated intent of the MoU is:

“...to establish a harmonious working modality between the four Ministries, donors and other partners active in the implementation of WaSH activities to realize the full benefits of the WaSH Program...”

The rationale provided for the signing of the MoU included the recognition that:

“ access to clean water and improved sanitation is basic right of the individual...and the provision of safe water, improved sanitation and hygiene education has far reaching health benefits when provided as a package rather than separately...”

2.2 Features of the National WaSH Program (WaSH GTP/UAP)

Four of the significant features of the National WaSH program (WaSH GTP/UAP) as per this Framework are:

- | | |
|-------------------|-----------------|
| i. Integration | iii. Alignment |
| ii. Harmonization | iv. Partnership |

2.2.1 Integration

WASH is designed to **integrate**:

- Water Supply (urban, rural and pastoralist)
- Hygiene and Sanitation
- WaSH in Schools and Health Facilities

This integration is not intended simply as an institutional arrangement to achieve greater efficiency and effectiveness – though that is one objective. The primary objective is to foster *integrated behaviour* among community members in which:

- safe use of water,
- healthy hygiene practices
- regular use of improved sanitation facilities

are naturally and instinctively combined into the pattern of daily living.

2.2.1.1 Integrating Structure

The structural arrangements recommended for WaSH and diagrammed in Table 1 (below) are designed to build **synergy** among the sectors through coordinated and collaborative planning, implementation, monitoring, reporting and evaluation of program results.

The recommended WaSH organizational structures are intended to provide for effective:

- Governance
- Management
- Implementation
- Coordination

It is recognized that the recommended structures may not be appropriate in all situations.

In particular, variations may evolve at the Regional level out of specific circumstances and practical experience.

Local variations are acceptable. For instance, some Regions may conclude that both a Steering Committee and a Technical Committee are not necessary or that the function of the WaSH Management Unit (WMU) can best be served by a single focal person rather than by a group. It is not the structure itself that is important but the **function** the structure is designed to provide. Regional variations are encouraged so long as they adequately provide for and promote:

- integration – of water supply, sanitation, health and education
- harmonization – of diverse projects into a single program
- alignment – of the program with the priorities, policies and procedures of the three ministries
- partnership – among the public and private sectors and civil society

The appropriateness of any WaSH organizational structure or institutional arrangement will be measured by its effectiveness in achieving these four objectives.

Mandatory Structures:

- The **national WaSH structures** have been mandated by the MoU.
- At the woreda level the **Woreda WaSH Team** is a mandated structure.
- At the community level there is a requirement that **WASHCO** be formed to manage and maintain each water scheme. Accordingly, the WASHCO is a mandatory structure. WASHCOs benefit greatly if they are a legal entity. All Regions are urged to press for and facilitate the legalization of WASHCOs.

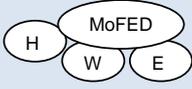
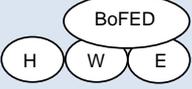
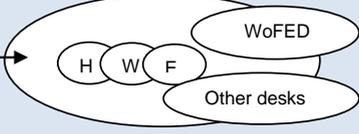
The MoU presupposes:

- a regional WaSH structure for technical overview and approval – referred to in this document simply as the **Regional WaSH Management Committee (RWMC)** and...
- a structure for program coordination to ensure intersectoral convergence – referred to in the document as the **Regional WaSH Coordination Office (RWCO)**.

Specific and well defined structures for management and coordination are essential to the success of the WaSH Program.

Ethiopian WaSH Implementation Framework

Table 1. Recommended and mandatory WaSH Organizational Structures as per the MoU

Level	Governance & Guidance	Oversight & Management	Program Implementation	Program Coordination
National	National WaSH Steering Committee	National WaSH Technical Team	National WaSH Management Units (WMUs)/Focal person 	National WaSH Coordination Office 
Regional	Regional WaSH Steering Committee	Regional WaSH Technical Team	Regional WaSH Management Units (WMUs)/Focal Person 	Regional WaSH Coordination Office 
Special Zones (or others Zones where applicable)	Zonal WaSH Management Team		Zonal WaSH Management Units – or Focal Persons (Water, Health, Education) 	Zonal WaSH Coordination Office 
Woreda	Woreda WaSH Steering Committee (Woreda Cabinet)		Woreda WASH Team 	
Town/City	Town/City WaSH Steering Committee (Town Cabinet)		Town/City WaSH Technical Team Municipality Health Desk Education Desk Town Water Board Town Water Utility	
Kebele & Community	Kebele Administration (Manager) Kebele Development Committee		Kebele WaSH Team Health Extension Workers Water Extension Workers/Technicians ¹ Development Agents School Teachers Others as relevant Community WASHCOs	

¹ Water Extension Workers and/or Technicians are assigned to Kebeles where low-cost household and community level technologies are being widely implemented by community members.

Even though Multi-Stakeholder Forum (MSF) and possible Regional Multi-Stakeholder Forums are not part of the WaSH organizational structure, they will have major role in governance and guidance of WaSH. The forums will have annual meetings to discuss and evaluate the overall progress of WaSH in the country/region focusing on the status of the implementation of the undertakings agreed by the forum. In this regard, the NWSC/RWSC are required to report to the MSF/regional forums on the overall implementation status of WaSH in general and the agreed undertakings in particular.

Moreover, in the implementation of the program National Consultants and Technical Assistance, National and Regional Capacity Building Support Units, Woreda Support Agents (WSAs), Town Support Agents (TSAs) and Community Facilitation Teams (CFTs) at national, woreda, town and community levels, respectively could provide technical assistance.

2.2.2 Harmonization

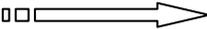
A second feature of the WaSH program as per the Framework is harmonization.

In the past and currently, much of the work in the WaSH sector (combined sector from Water, Health, Education and Finance sectors of water, sanitation, hygiene and finance) has been undertaken on the basis of discrete, time-framed projects that have been largely donor-designed and donor-driven. This is also reflected in the organizational structures of the sector offices (ministries and bureaus). There have been some initial advantages in this. It has allowed government to work with donors to assess a variety of approaches to program implementation and mechanisms for program support. There have also been some major disadvantages. At the national level it has worked against comprehensive and strategic planning and effective program execution. It has made difficult:

- assembly and analysis of essential planning data
- definition of expected outcomes
- mobilization and allocation of resources
- establishment of management systems
- coordinated capacity development
- measurement of progress and of results
- communication and accountability

At the sub-national level the management of diverse projects has placed an inordinate burden on generally under-capacitated implementing agencies and, at the community level, it has resulted in segmentation, gaps and overlaps in service delivery.

Government and donors together have recognized the need for greater harmonization and to achieve this have agreed to move from a -

project to  ***a program approach.***

Ideally, this would lead to:

One WaSH Plan

One WaSH Budget

One WaSH Report

Simply put – One WaSH Program (One WaSH GTP/UAP).

Movement toward this ideal will be incremental, provide many challenges and offer many lessons to be learned. Nevertheless, the transition has begun and, in partnership government and donors have agreed to work toward:

one planning system - with linked strategic and annual WaSH plans at each level

one budgeting system - reflecting all WaSH-related investments and expenditures

one financial management system – with consolidated accounting and reports

one procurement system – with common standards and procedures

one information system – with essential data updated and accessible at each level

one monitoring & evaluation system – with common indicators and consolidated analysis

Finally, but not least, one **consolidated WaSH fund** is envisaged into which all donor and government WaSH contributions are deposited – and from which all WaSH activities and investments are supported.

2.2.3 Alignment

The third new WaSH program (WaSH GTP/UAP) feature as per this Framework, closely related to harmonization, is alignment.

Major donors and the government have agreed that the WaSH program (WaSH GTP/UAP) will be aligned with:

- the policies, priorities and strategies of the pertinent Ministries as outlined in their respective Sector Development Plans and with...
- the administrative systems, standards and procedures of the Federal Government of Ethiopia

This means that the goals, objectives and development indicators of WaSH are directly linked and contribute to those of the partner Ministries. It also means that, as far as possible, WaSH management systems and procedures follow and tie into the established government systems, standards and procedures for:

- Planning
- Financial Management
- Procurement
- Reporting
- Monitoring & Evaluation

The purpose is not simply conformity – or efficiency. It is to ensure that WaSH is recognized and affirmed as an integral, ongoing component of the Government’s broader developmental program. WaSH responsibilities are incorporated in the established process streams and the job descriptions of the four sector agencies’ staff at all levels. This signals to WaSH implementers within the government structures that their WaSH activities are not “added on” responsibility in support of donor projects - but a core responsibility in government service.

The purpose is also internal alignment – that is, alignment within the program itself. Vertical alignment means that activities, resource use and program results at the community level are directly linked to those at the woreda, regional and national levels – and vice versa. Horizontal alignment means that expertise and inputs of the various implementers at each level (e.g. WMUs & Woreda Offices) are coordinated, complementary and mutually reinforcing.

2.2.4 Partnership

The fourth feature of WaSH as per this Framework is partnership. Partnership is not a new feature – but it is an evolving feature in terms of scope and level of commitment. The scope has been enlarged to

include the four Ministries and the commitment has been increased to engage with Civil Society Organizations and the Private Sector as significant partners. The Framework recognizes that each of these partners has an essential part to play in successfully scaling-up WaSH, improving performance and ensuring the sustainability of program results.

2.2.4.1 CSOs/NGOs as Partners in WaSH

Civil Society Organizations/NGOs are one of the WaSH actors in Ethiopia. They have expertise that enables them to effectively implement WaSH. Moreover, CSO/NGOs bring additional and alternative experience to WaSH and can contribute substantially to lessons learned and the achievement of best practices.

The role of the CSO's/NGOs as Partners in WaSH Program (WaSH GTP/UAP) focuses on common approaches to local capacity building, empowerment and planning, common standards relating to WaSH infrastructure, the harmonization of reporting results – not least in relation to the WaSH Inventory- and ensuring that the financial contributions to the Program are recognized and recorded in WaSH financial reporting. Details of this important partnership are elaborated in the sub-section 2.2.6 below.

2.2.4.2 Private Sector

Private sector involvement in WaSH is essential to the sustainability of the community-led and community-managed development that is promoted by WaSH. When communities do not have ongoing access to reliable maintenance and capacity building services their good initiatives frequently falter and fail. As per the Water Resources Management Policy, the private sector has substantial role as a WaSH service provider. Thus, National WaSH Program encourages the private sector to assume this role and offers opportunity for public-private partnerships in the delivery of goods and services and in the building of stakeholders' capacity.

2.2.5 The Community Development Fund (CDF) Approach Mainstreamed in Rural WaSH

The CDF approach, pioneered and developed in Amhara and Benishangul-Gumuz Regions is being mainstreamed into the National WaSH Program (WaSH GTP/UAP) for its wider application.

2.2.5.1 Features of the CDF Approach

- ✓ **Fund Transfer:** The unique and innovative feature of the CDF approach is that funds for the physical construction of water schemes are transferred directly to the community by way of a micro credit institution.
- ✓ **Community Financial Management:** The communities, through water and sanitation committees (WASHCO), are responsible for the full development process through planning, financial management, implementation and maintenance. The unique feature in CDF community management is that the WASHCO manages not only community-generated funds but the government subsidy provided for capital expenditures.³
- ✓ **Procurement:** A further aspect of community management is that the WASHCO is directly responsible for procuring the goods and services required for water scheme construction and installation.

2.2.5.2 Background and Rationale for Mainstreaming

³ Funds provided through the regular Grant Agreements with WASHCOs, by contrast, are managed by the Woreda. Accordingly, that funding mechanism is called *Woreda Managed Projects (WMP)*.

The Finnish-Ethiopian bilateral Rural Water Supply & Environmental Programme (RWSEP) began support for rural water supply in Amhara Region in 1994. Between 2003 and 2006 the programme progressively introduced the Community Development Fund as an innovative mechanism for the funding and management of community water schemes. In 2009 the CDF mechanism was extended to, and adapted in, the WaSH program of Benishangul-Gumuz Region. Evaluation of the CDF conducted in 2010⁴ strongly recommended that the CDF be mainstreamed into the one National WaSH Program as an alternative funding mechanism for community managed projects.

The rationale offered for this recommendation was that there was clear evidence that a number of lessons had been learnt from the use of the CDF mechanism that could assist Ethiopia in the pursuit of the UAP/GTP goals and targets – especially with respect to implementing policies on the use of low cost technology and mass mobilization. Benefits that could be realized under suitable conditions⁵ included:

- a more rapid rate of implementation due to simplified procedures and decentralized management by trained community groups (WASHCOs)
- effective control of unit costs due to tight local controls and local accountability
- high degree of functionality and sustainability associated with higher community responsibility and skills

Following the evaluation, representatives of the Ministry of Water Resources and the Ministry of Finance participated in a CDF Exposure Visit to Amhara. In a Joint Report they concluded that:

- the fact that in CDF communities coordinate and manage the resources enhances their sense of ownership
- the water points were well constructed and protected and the rate of functionality was very high
- CDF shows cost-efficiency in real terms
- outsourcing fund transfers to a financial intermediary, and management of water point construction to the community, leads to a reduced administrative burden in the regional and woreda offices
- government procedures are effectively used in CDF
- woreda and community level control mechanisms are not only sufficient but effective

The Joint Report further concluded that outsourcing fund transfer management to a financial intermediary did not appear to pose a regulatory problem for scaling up and/or replication in other regions – and that, with minor modifications, CDF procurement and financial manuals could be mainstreamed with government procedures.

In a signed statement the MoWE and MoFED participants recommended that relevant WaSH partners should immediately engage in dialogue with a view to the adoption of CDF as funding mechanism within the one National WaSH Program wherever it is feasible – also recognizing it is not the *only* answer to the sector's challenges.

⁴ Mainstreaming The Community Development Fund Financing Mechanism – Final Evaluation Report, April 2010 conducted by WSP-Africa

2.2.5.3 Steps in Mainstreaming

Integration: In this National WaSH Implementation Framework the principles and basic procedures of the CDF approach are **built into** the WaSH program as part of the **Community Managed Project⁶** (CMP) funding mechanism. It is presented as alternative funding mechanism to the existing Woreda Grant which is hereby known as the **Woreda Managed Project** (WMP) funding mechanism which includes regional and national managed projects on behalf of Woredas or towns. If the existing Woreda Grants are channelled to the community and community is managing the projects and funds, then this part of the Woreda Grant funding mechanism belongs to the category of Community Managed Projects.

The provision of the Community Managed Project mechanism is, essentially, *demand-driven*. However, in order to foster this demand it is necessary for regions and woredas to include the introduction and application of CMP in their strategic planning and to undertake a program of CMP awareness building. As CMP is “taken up” and appears in Woreda WaSH Annual Plans, the Region will transfer the required funds to the intermediary finance institution from the investment budget line (CDF approach) or the Region/Woreda transfers the investment funds to the community directly. Where pre-conditions are met communities/Kebeles are **free to choose** which funding mechanism they wish to adopt. The preconditions, however, are considerable and include:

- that the region and the woreda have negotiated fund transfer arrangements with an established financial intermediary at both levels
- that the region and the woreda have put in place the necessary capacity building and technical assistance provisions to equip and backstop WASHCOs and to train and support woreda and finance institution personnel for the special requirements of CMP
- that hydro-geological conditions permit low cost technologies
- that there is reasonable expectation that a sustainable supply chain for local procurement can be developed
- that there are a sufficient number of communities in the region/woreda selecting CMP to make it a viable option
- that the applicant communities are sufficiently cohesive to undertake community project management and later to sustain management of operations and maintenance
- that the cost and complexities of the preferred or required technologies and the project size fit within the parameters of the CMP

Awareness & Capacity Building and Technical Assistance: Recognizing that the pre-conditions set out above could be prohibitive – especially in fast tracking the wider adoption of CMP - provision has been made within the National WaSH Program to:

- build awareness among all partners and other stakeholders of the advantages of the CMP for potential scaling up where it is viable;
- integrate into WaSH capacity building materials, manuals and training curricula for all WaSH actors the values, skills, practices, tools and procedures required for the effective application of the CMP mechanism;
- ensure that in the first years of CMP expanded application special provision is made for technical assistance to the WaSH Management and Coordination Offices at the national and

⁶ The nomenclature Community Managed Project was selected for several reasons. The first reason was to de-link it from association with a specific project/donor/ region and to promote its broader application. Secondly, to make it descriptive of what it is – a mechanism for funding a project managed by the community. Third, to make it clearly distinguishable from the alternative – a Woreda Managed Project.

Ethiopian WaSH Implementation Framework

regional levels to successfully promote and widely implement the CMP mechanism (National and Regional Capacity Building Support Units).

It is expected that National WaSH Partners invest on CMP capacity building support at National and Regional levels. To these end, COWASH Project⁷ has already been established to provide a team of CMP experts working within the national WaSH capacity-building and technical assistance structure to assist in:

- developing and implementing strategies, with attendant materials, to promote CMP at all levels
- developing generic operational guidelines for CMP implementation
- integrating CMP requirements, as appropriate, into all standardized WaSH capacity building activities and materials – and preparing CMP-specific events and materials as required
- integrating CMP requirements into standardized WaSH management systems and procedures including:
 - planning, budgeting and reporting
 - financial management and accounting
 - inventory and management of information
 - monitoring & evaluation
- researching the adaptation of the CMP modality for wider application
- supporting regional offices to:
 - establish Regional Capacity Building Support Units
 - introduce and promote CMP
 - prepare region-specific guidelines for CMP implementation
 - carry out capacity assessments and develop capacity development plans for the region - and organize training accordingly

Harmonization of Support: With CMP as an integral part of the one National WaSH Program and with the harmonization of donor contributions in support of that program through the Consolidated WaSH Account – donors will and have, effectively, become supporters of CMP.

The CDF approach is no longer donor or region-specific. It is an integral, expanding and evolving component of the one National WaSH Program.

⁷ A Finland-Ethiopia bilateral project initiated in 2011 prior to the full implementation of the One WaSH Program

2.2.6 CSO/NGOs in the National WaSH Program

2.2.6.1 Introduction

CSO/NGO in the context of this document refers to international, national or region/local-based non-governmental relief and development organizations (including faith-based, professional or other associations) that have legal identity in the country, registered and licensed by the Federal Charities and Societies Agency or regional Bureaus of Justice under any of the categories of Charities and Societies (Ethiopian, Resident, Foreign), operating at national, regional or local levels and engaged in any WaSH related service delivery, research, advocacy, networking, capacity building, or in financing WaSH activities of national/local non-governmental and/or governmental partners, as a separate intervention or as part of a broader development program/project. They are required to have approved project agreement with relevant government bodies and submit physical and financial reports including audit reports accordingly.

CSOs/NGOs have a history of delivering service to the peoples of Ethiopia. Over the years they have made progress in their number and diversity as well as in addressing the country's complex development agenda. In the WaSH sector, various CSOs/NGOs have built up valid development experience, especially in working with poor and underserved communities in ways that are complementary to the activities of the government and other actors. As a result, the Ethiopian Government recognizes NGOs/CSOs as important WaSH partners.

CSOs/NGOs fill a range of roles in the WaSH sector. They can contribute to the sector in the areas of:

- service delivery in marginalized communities
- piloting and testing of different water and sanitation technologies
- introducing different participatory approaches to improve community mobilization, the management of WaSH facilities and the promotion of improved hygiene
- raising awareness and empowering local communities to sustainably use and manage water and sanitation services
- building local government capacities
- research and policy dialogue
- program monitoring & evaluation
- mobilizing additional financial and human resources e.g. volunteer management
- building coalitions and networks for enhanced civil society coordination and impact

In the National WaSH Program (WaSH GTP/UAP) implementation, CSOs/NGOs are engaged; inter alia, in delivering services especially in marginal areas; capacity building of local governments and communities; and in piloting innovative approaches and technologies.

Productive partnerships between governmental agencies and NGOs require that each party retains its organizational integrity and that all parties are able to contribute and to gain through the relationship. From the CSO/NGO perspective, the partnership with government provides an opportunity to scale-up the impact of their projects. From the perspective of the government, the partnership offers program enrichment from CSO/NGO's field experience; a significant contribution to GTP targets and increased credibility in the donor community.

As per this Framework, CSO/NGOs are required to harmonize their intervention in WaSH with that of other implementers and align their operations with the basic principles and procedures set out in the

Framework. At the same time they are retaining their organizational autonomy and maintaining space for variation and innovation.

CSOs/NGOs are not expected to harmonize their financial contributions with those of international donors that channel their funds through the Consolidated WaSH Account. CSO/NGO financing is “off budget” from the government’s standpoint. Nevertheless, CSO/NGOs’ financial investments are anticipated in the WaSH’s *composite* plans and budgets and their expenditures and outputs are included in WaSH’s *composite* financial and physical reports. CSO/NGOs are full partners in the one National WaSH Program.

Just as CSO/NGOs retain control of their own funds so to they maintain their own governance and management systems. As partners, however, they do align themselves to interface with government systems, standards, practices and procedures. Specifically to:

- Ensure that their programs/projects are compatible with the policies and priorities of the partner ministries and that they work in concert with government structures at all levels
- Link their interventions with the strategic and annual WaSH plans of the regions and woredas in which they operate
- Ensure that their inputs are coordinated with and complementary to government efforts; and that their activities and results at lower levels are directly linked to those at higher levels
- Integrate water supply with hygiene and sanitation in all interventions (rural, urban, pastoral) and to include the education sector in all projects where relevant
- Include gender, water source protection and capacity building as crosscutting issues in project design and implementation
- Pilot, test and share the experience of addressing the WaSH need for marginalized members of communities
- Contribute to the Annual WaSH Inventory and provide M&E data relative to nationally established indicators
- Ensure that WaSH-related investments and expenditures are included in the composite WaSH plans, budgets and reports
- Ensure there is consistency in community capital cost-sharing and subsidization; construction standards and in the formation and capacity building of WASHCOs

2.2.6.2 CSO/NGOs Participation and Roles in WaSH Structures

Significant interface between government and CSO/NGO partnership is realized through the latter’s formal participation in WaSH structures at the national, regional and woreda levels.

CSOs/NGOs are represented in the following structures on invitation:

- *National WaSH Steering Committee & the Multi-Stakeholder Forum*
- *Regional WaSH Management Committee & Regional Multi-stakeholders Forum*
- *Woreda WaSH Team*
- *Town WaSH Technical Team*

CSO/NGOs jointly select their representatives and ensure their participation.

The number of CSO/NGO representatives in specific WaSH structures is established through consultation between the respective committees and the CSOs/NGOs. The CSO/NGOs take responsibility for

determining the criteria and procedures for nominating their representatives and defining their responsibilities *vis a vis* their constituency. CSO/NGOs are not represented by selected individuals but by selected organizations. The individual representing the CSOs from the selected organization should be the legal representative of the selected CSOs/NGOs, e.g. the Country Representative/Director. Persons in this position are accountable to the Chair as members of the committee and to his/her constituency as their representative. They represent the views and interests of CSOs/NGOs and serve as intermediaries between the government and CSOs/NGOs. Specifically, they will have the following key responsibilities:

- to ensure that CSO/NGO contributions, activities and outputs are adequately reflected in composite WaSH plans, budgets and reports
- to advocate for a more enabling environment for CSO/NGOs, and to promote a positive image
- to advise on policies and strategies particularly relevant to CSOs/NGOs roles and their effectiveness
- to raise for discussion and resolution strategic, operational and coordination hurdles faced by CSOs/NGOs
- to provide field level feedback on the functioning of the WaSH M&E and make proposals for improvement
- to share lessons from CSO/NGO WaSH programs/projects
- to attend all scheduled and extraordinary meetings of and participate in the annual Multi-Stakeholder Forum
- to communicate decisions of the Committees and undertaking of the MSF to their constituencies and to report on their participation

Specific tasks at the woreda level include:

- providing the WWT with information, reports and action plans on their inputs and results and integrating their plans with woreda WaSH plans
- coordinating activities with woreda sector activities
- assisting woredas in the formation and functioning of WWT and KWTs
- supporting woredas in WaSH priority setting, planning, and reporting
- assisting the WWT in conducting capacity needs assessment and annual WaSH inventory
- assisting WWT in maintaining woreda WaSH information system

Overall, CSOs/NGOs representation in the WaSH structures ensure that their programs/projects integrated with those of the government sectors; are aligned with the policies and priorities of the partner ministries; and are coordinated with the actions of other WaSH implementers. In addition, they provide forums for experience sharing and facilitate CSOs/NGOs dialogue with other actors. Apart from this, CSOs/NGOs coordinate among themselves through their existing structures such as the WaSH Forum and other forms of alliances and networks.

2.2.6.3 Planning and Implementation

CSOs/NGOs support/implement activities within the framework of the woreda's strategic and annual WaSH plans. The role and responsibilities of CSOs/NGOs will vary according to the type of activities and local arrangements. Their intervention may be triggered by community or woreda requests, their own needs assessments or donors' call for grant proposals. Their WaSH projects may be implemented as discrete WaSH intervention or in the context of a broader community development program. They may be implemented in a one year or in multi-year period - and their planning and implementation period may not correspond to that of their partners. They may work only in few Kebeles or in all Kebeles of a woreda or a town. However, all their investments, activities and results serve the purposes of the WaSH Program and contribute to achievement of the GTP targets.

Design and planning of their projects are based on participatory needs identification and analysis and a planning process that involves the WWT and target communities. Their project proposals are appraised and endorsed by the WWT.

Once project finance has been confirmed, they sign agreement with WaSH at regional or woreda level depending on the size, scope and complexity of the project/program. Actual implementation of projects is preceded by joint detailed action planning involving the appropriate WaSH structure and orientation/familiarization sessions with the target community or institutions.

In each participating community (village or Kebele), the implementing NGO/CSO:

- conduct hygiene and sanitation promotion among the beneficiary community and Kebele
- facilitates formation of community management and participatory structures (WASHCO)
- signs an implementation agreement with user groups and obtains commitment of beneficiaries
- facilitate community WaSH plan preparation by the beneficiary community appraised and approved by WWT which will serve as a basis for the project implementation
- ensures that community cash contribution is in place and in-kind contributions are committed
- build planning, implementation, monitoring and evaluation, reporting and operation and maintenance capacity of the beneficiary community and Kebele

In the course of implementation, CSOs/NGOs are responsible for continuous internal monitoring of activities while concerned sector offices supervise the technical qualities of activities. Beneficiary communities are also engaged in the implementation of projects as a signatory party of the contract for the project implementation (tripartite agreement between contractors, CSOs/NGOs, and beneficiary community) and take part in the supervision activities. CSOs/NGOs are required to submit quarterly narrative and financial progress reports to the relevant regional bureaus and/or the WWT. At mid-term and end-of-term, their projects are also evaluated jointly by a team of experts drawn from relevant sector bureaus/offices. The implementing NGO may also commission an external mid-term review and final evaluation as per the requirements of their donors. Results of such evaluations are shared with their regional and woreda partners.

CSOs/NGOs ensure that schemes/facilities are fully operational and that user management systems are properly functioning and they formally hands over the completed works to user group for full ownership⁸, management and maintenance.

2.2.6.4 Capacity Development

CSOs/NGOs are capacity builders especially at woreda and community levels. In this sphere they make a significant contribution to the whole WaSH program by sharing the lessons of their extensive experience in working with communities, in piloting innovative approaches and in building capacities of their partners.

As capacity builders, they facilitate and/or support the establishment of Kebele and woreda WaSH structures especially in areas where government capacity is low and where there are no other agencies or experts to serve as Woreda Support Agents. They may also assist the WWT implement the WaSH Inventory, conduct needs assessment and prepare Strategic and Annual Plans and budgets.

CSOs/NGOs may also provide training and other support to WASHCOs, WaSHVols, School Clubs, management boards, water technicians/caretakers, motor operators, fee collectors, communal latrine user associations, artisan societies, peoples with special needs etc. CSOs/NGOs provide training for

⁸ If, however, the project is being implement by way of the CMP modality no handover is involved since the ownership of the project is with the community from the beginning.

woreda and Kebele government staff and officials (including Kebele administrators, sector office staff members, HEWs, DAs, school teachers, etc) on topics relevant to the mandates of respective groups. As a minimum requirement, CSOs/NGOs follow the WaSH Program's capacity building principles and strategies described outlined in Section 9. Specifically, trainings provided by CSOs/NGOs are demand driven and participatory. They cover essential topics defined by the government, follow a common delivery format, use standard training materials, etc. However, this does not preclude the organization of supplementary programs, adding new topics or using alternative delivery methodologies and custom made materials.

In addition to formal training delivery, CSOs/NGOs organize experience-sharing or exposure visits to places, in-country or overseas as funds and opportunity permit. In some projects, CSOs/NGOs provide physical and institutional capacity strengthening supports in the form of tools, equipment, office materials, etc and in systems and procedures development. The basis for all CSOs/NGOs interventions including capacity building activities is the approved project document which serves as a basis for the agreement with the Ethiopian Government. Thus, all intervention activities of CSOs/NGOs are required to be in compliance with the project agreement and the relevant Ethiopian law.

Strengthening the capacity of CSOs/NGOs themselves is also important under the WaSH Program of this Framework. The national WaSH Capacity Building Plan includes orientation and training for NGO/CSOs to make them aware of WaSH standards and requirements and enable them to interface with WaSH structures and participate as full partners.

2.2.6.5 Monitoring and Reporting

CSOs/NGOs provide the WWT and/or the Regional WaSH Management with:

- copies of their program/project documents and implementation agreements
- extracts from annual action plans and budgets⁹
- extracts from quarterly and annual physical and financial reports
- reports of studies and researches findings

CSOs/NGOs contribute to the implementation of the WaSH M&E system. Apart from their internal M&E system and requirements by their funding partners, they facilitate joint M&E of their programs/projects coordinated by the government through field visits, periodic review meetings and progress reports, mid- and end-of-term evaluations. To serve these, they are required to establish baseline information at the beginning of their interventions and provide monitoring information on agreed indicators to the WWT and/or the RWMC.

CSO/NGO reports their WaSH-related expenditures. This is not for audit purposes but to allow for the aggregation all relevant financial data of all implementing partners. The reporting forms provided by the Coordination Office request only the data that are pertinent to the recording and analysis of WaSH costs for future projections and planning. Reporting tools and procedures are kept as simple as possible to avoid an unnecessary administrative burden.

CSOs/NGOs continue their annual WaSH Forum report – more detailed than that required for WaSH Program statistics. The Forum report is widely distributed and is available on the web.

2.2.6.6 Financial Management

⁹ The National Coordination Office provides formats for NGO information sharing and reporting. The Coordination office needs only selected data and items of information from plans, budget and progress reports.

NGOs are one of the main contributors to the financing of the WaSH program (WaSH GTP/UAP), but while their budget and expenditures are taken into account in planning and reporting, they are not required to harmonize their inputs/financial contributions and channel funds through the CWA.

CSOs/NGOs – especially International NGOs may contribute to the CWA if they wish. The general practice is, however, for them to directly finance work at the field level and manage project funds as well as activities by themselves. They continue with their own management systems and procedures and handle matters in accordance with the CSO law and with the applicable directives/guidelines of the country – along with any contractual obligations they may have with their donors and regional/local government authorities.

Outside the CWA, bi-lateral and multilateral donors may directly engage in individual or otherwise contracts with CSOs/NGOs for specific projects and continue financing CSO/NGO operations. Similarly, international NGOs may choose to play the role of funding partners with national NGOs or engage in operational activities. NGOs solicit funds by themselves from domestic and/or international sources to finance their organizational overhead and their program activities as per the Ethiopian law.

If it is included in the approved project document, National or international CSOs/NGOs may finance specific community groups, community management organizations such as rural or peri-urban water boards or private sector groups such as artisan cooperatives to implement specific activities or to build their capacities by providing them with start-up capital or grants for the purchase of equipment. They may subsidize user groups and institutions (such as health facilities, schools, Kebele Administration, and DA offices) for approved water point and sanitation facility constructions. They may also administer external funds on behalf of communities or channel external resources through intermediary institutions for activities implemented by community groups. Whatever the type of assistance or form of fund and project management is, however, CSOs/NGOs encourage self-help initiatives; do not subsidize household sanitation facility construction/rehabilitation and community self-supply; require appropriate level of community investment; promote community management in line with the national WaSH strategies; and ensure that their contributions and results are duly recorded and reported.

3 Institutional Arrangements

3.1 Memorandum of Understanding

The institutional arrangements for the WaSH Program at the national level derive from the 2011 Memorandum of Understanding signed by:

- ❖ The Ministry of Finance and Economic Development
- ❖ The Ministry of Water Resources & Energy
- ❖ The Ministry of Health
- ❖ The Ministry of Education

The purpose of the MoU is to bring the main partners of the WaSH sector together to facilitate their cooperation in joint:

- planning
- implementation
- monitoring & and evaluation
- reporting

...of water supply, sanitation and hygiene education in communities, schools, health posts and other institutions.

3.1.1 Common Responsibilities of WaSH Sector Ministries

In the Memorandum of Understanding the four sector Ministries have committed themselves to:

- Assign an appropriate official to the National WaSH Technical Team (NWTT)
- Establish a WaSH Management Unit (WMU) and designate a WaSH focal person to liaise between the WMU and the National Coordination Office (NWCO)
- Implement in their respective Ministry decisions of the of the National WaSH Steering Committee (NWSC) and the NWTT and provide feedback on status
- Evaluate the WaSH performance of their respective Ministry in their regular sector performance evaluation and provide a report to the NWTT and the NWSC
- Closely monitor, evaluate and support the Regions in WaSH planning, implementation and reporting
- Incorporate WaSH in the regular performance evaluation of individuals assigned and designated
- Prepare and submit to the NWCO an annual WaSH Plan of Action including budget
- Prepare and submit to the NWCO federal-level quarterly, semi-annual and annual physical and financial reports
- Advise and assist respective Bureaus in the establishment of appropriate WaSH structures at the Regional and Woreda level

3.1.2 Major areas of cooperation

Recognizing the importance of the sector, the parties have agreed to work closely in areas of water supply, sanitation and hygiene at communities and institutions level to:

- Regularly follow progress to ensure that the National WaSH program is moving in line with the new National Growth and Transformation Plan and is contributing its share to other MDGs in general and MDG 2, MDG 4, MDG 5 and MDG 6 in particular
- Joint preparation of integrated short and long term WaSH plans, with a vision of one plan, one budget and one reporting principle of the WaSH program
- Ensure that communities, health facilities and primary schools are beneficiaries of the WaSH funded programs
- Advocate, prepare proposals for increased funding of WaSH programs at national and international forums
- Ensure the WaSH funded program by partners is fairly distributed among/between WaSH sectors
- Establish strong relationships with WaSH partners (bilateral donors, multilateral donors, CSOs , private sector organizations, etc) and encourage their full involvement to support in achieving GTP WaSH targets
- Incorporate WaSH in school curriculum /or as part of school activities and WaSH clubs that are formed in all schools
- Monitor and ensure that funds allocated for the WaSH program are transferred on time, utilized for the intended purpose only and liquidated on time
- Monitor and ensure progress reports are produced and forwarded to the concerned authorities on time
- Exchanging of information and acting together before, during and after emergencies
- Jointly mobilize resources during emergencies that have public health significance
- Establishing National WaSH Technical Committee comprising of relevant directors / representatives from each WaSH ministries and follow their accomplishments
- Ensure WaSH structures are established and made functional in all administrative levels;
- Jointly organize and attend annual MSF meetings, national and international conferences and meetings and follow the progress and recommendations given
- Jointly organize events that have high health impact such as “World Water Day, Hand Washing Day” etc
- Jointly undertake and support operational research that has a high impact on the WaSH sector
- Undertake WaSH inventories in communities, schools and institutions on a regular and continuous bases
- Ensure water for drinking and domestic use meets drinking water guidelines and jointly or separately undertake water quality surveillance and exchange information on the outcomes. In line with meeting he draft national guideline drinking water guidelines ensure jointly that affordable and replicable household and community level defluoridization techniques are in place

- Ensure that Water and sanitation schemes and facilities are properly designed and constructed not to pose health risk to the consumers
- Ensure the WaSH Implementation Framework and strategy of the country is properly followed by all WaSH players

3.2 WaSH Structures

3.2.1 National WaSH Structures

The National level WaSH structures are:

- The National WaSH Steering Committee (NWSC)
- The National WaSH Technical Team (NWTT)
- National WaSH Program Management Units – 4 (WMUs)
- The National WaSH Coordination Office (NWCO)

The composition of these structures together with their respective duties and responsibilities are set out in the tables that follow.

3.2.1.1

National WaSH Steering Committee (NWSC)

<p>Composition:</p> <p><u>Chair:</u></p> <p>H.E Minister of Water & Energy</p> <p><u>Members</u></p> <p>State Ministers of:</p> <ul style="list-style-type: none"> ▪ Finance & Economic Development ▪ Water & Energy ▪ Health ▪ Education <p><u>Secretary:</u></p> <p>Director of Water Supply & Sanitation at MoWE</p> <p>On invitation, representatives from:</p> <ul style="list-style-type: none"> ▪ Development Assistance Group - Water ▪ Civil Society Organizations ▪ Others (e.g. Ministry of Federal Affairs in case of discussion on pastoralist issues) as appropriate 	<p>Role:</p> <p>NWSC provides overall guidance and direction for WaSH Program implementation.</p> <p>Duties & Responsibilities:</p> <ul style="list-style-type: none"> • Approves funds allocated from partners for sector ministries and regional states • Ensures fund allocations to sectors for WaSH implementation is based on agreed modalities and arrangements with partners • Reviews and endorses the National WaSH Strategic Plan and consolidated Annual WaSH Plans • Oversees the proper functioning of the M&E of the WaSH Program • Ensures the establishment and functioning of WaSH structures at all levels • Ensures that the National WaSH Implementation Framework is updated every three years • Reviews and approves the annual budget of the National WaSH Coordination Office (NWCO) proposed by the National WaSH Technical Team (NWTT) • Advocates the MoU to the Council of Ministers to get recognition and support for the same • Decides on matters relating to WaSH submitted by the NWTT • Represents Ethiopia in international WaSH forums and advocates for WaSH funding • Resolves differences that may arise among WaSH partners and actors through cordial discussion • Ensures the annual Multi-Stakeholder Forum is conducted and follows up on the implementation of undertakings • <p>Meetings: Quarterly - and when deemed necessary a signatory member may propose an urgent meeting be convened.</p> <p>Decisions are achieved through consensus</p> <p>NWSC reports to National MSF</p>
--	--

3.2.1.2

National WaSH Technical Team (NWTT)

Ethiopian WaSH Implementation Framework

<p>Composition:</p> <p>Directors assigned by their respective Ministries:</p> <ul style="list-style-type: none"> ▪ Finance & Economic Development ▪ Water & Energy (Chair) ▪ Health ▪ Education ▪ Women, youth and children affairs ▪ Women’s Affairs Directorate of the MoWE ▪ Development Assistance Group-Water representative ▪ Civil Society Organizations representative ▪ Coordinator of NWCO (Secretary) <p>As per the meeting agenda NWTT may invite others also to participate in the meeting.</p>	<p>Role:</p> <p>NWTT provides managerial oversight of the integrated, harmonized WaSH Program</p> <hr/> <p style="text-align: center;">Duties & Responsibilities</p> <ul style="list-style-type: none"> • Facilitates inter-ministerial communication and cooperation • Reviews and submits Strategic Plan and Annual Plans to the NWSC for approval • Implements strategic decisions and direction of the NWSC • Liaises with donors and seeks program support • Seeks new funding sources • Ensures financial disbursements are made in accordance with NWSC decisions • Promotes and advocates Regions to have their own WaSH Memorandum of Understanding • Ensures WaSH structures are established and maintained • Regularly monitors program implementation, provides guidance and reports progress and results to NWSC • Designs programs for experience-sharing within and outside the country • Staffs, equips, supports and supervises the NWCO • Establishes and assigns responsibilities to task groups as may be required • Designs and manages the MSF and other review meetings and follows up on the implementation of undertakings • Ensures timely submission of PoA of funded programs of respective Ministries and Regional States • Ensures timely transfer and settlement of funds to and from regions • Organizes JTR and MSF in collaboration with development partners and obtains budget approval • Communicates NWSC discussions and decisions to respective Ministries and follows-up on implementation • Prepares the agenda for NWSC meetings in consultation with the Chair and forwards same to members in advance of meeting • Ensures the WaSH Implementation Framework updating once every 3 years or as the need arises • Executes all assignments given by the NWSC. <p>Meets monthly – and as required</p> <p>Accountable to the NWSC</p>
--	--

3.2.1.3

National WaSH Management Units (WMUs)

<p>Composition:</p> <p>WaSH Program Management Units/Focal persons will be established within an appropriate Directorate in each of the four Ministries:</p> <ul style="list-style-type: none"> • Ministry of Finance and Economic Development (MoFED) • Ministry of Water and Energy (MoWE) • Ministry of Health (MoH) • Ministry of Education (MoE) <p>Contracted professional staff – including National Capacity Building Support Unit may provide technical assistance</p>	<p>Role:</p> <p>National WMUs ensure that Regional WMUs, Woreda Sector Offices and Town Water Boards have the directions, information, systems, skills and resources necessary to carry out their WaSH mandate and achieve expected program results.</p> <hr/> <p style="text-align: center;">Duties & Responsibilities</p> <p>Each Unit:</p> <ul style="list-style-type: none"> • Ensures that the WaSH-related inputs and activities of its respective Ministry are effectively implemented and integrated into the WaSH Program at all levels • Contributes to the preparation of consolidated national WaSH plans and budgets • Ensures that program strategies, activities and results are monitored, evaluated and reported within the WaSH framework and systems • Assists the Regions identify their program gaps and management deficits and provides them with the technical assistance and/or capacity development they require • Builds linkages with and among regions – sharing information, progress reports and best practices • Demonstrates and fosters the integration and harmonization of the WaSH Program <p>Accountable to the respective Directorate of the Ministry</p>
--	---

3.2.1.4

National WaSH Coordination Office (NWCO)

Composition:	Role
<ul style="list-style-type: none"> ▪ Coordinator ▪ Focal persons assigned from the four Ministries: <ul style="list-style-type: none"> • Ministry of Finance and Economic Development (MoFED) • Ministry of Water and Energy (MoWE) • Ministry of Health (MoH) • Ministry of Education (MOE) <p>Contracted professional staff – including National Capacity Building Support Unit may provide technical assistance</p>	<p>NWCO ensures that National WaSH Program plans, reports, monitoring & evaluation and capacity building are coordinated, harmonized and aligned by all WaSH stakeholders.</p> <p style="text-align: center;">Duties & Responsibilities of the Office</p> <ul style="list-style-type: none"> • Ensures that the policies, strategies plans and decisions of the NWSC and NWTT are effectively communicated at all levels • Assists the regions in preparing and implementing WaSH MoUs appropriate to their respective contexts • Supports the establishment of Regional WaSH Coordination Offices in all Regional States and ensures their proper functioning • Provides continuous support to the Regional WaSH Sector Bureaus and Regional WaSH Coordination Offices in planning and implementing the WaSH Program • Prepares and recommends to NWTT consolidated Strategic and Annual Work Plans and budgets • Designs and implements a National Capacity Building Program – including preparation of manuals, guidelines and generic training materials • Consolidates and submits to the NWTT national WaSH physical and financial reports annually and semi-annually • Makes recommendations to the NWTT on strategies and implementation arrangements based on the analysis of M&E reports and other data • Follow-ups on WaSH cash transfers and liquidations all levels to promote timeliness • Conducts regular field visits to monitor the activities of WaSH program and provide feedback to sector bureaux • Organizes JTR, MSF and other meetings in collaboration with development partners • Ensures regions have consolidated WaSH plans • Convene meetings of RWCO staff and WaSH focal persons • Prepares and updates various compiling and reporting formats • Facilitates experience-sharing within and outside the country • Maintains national WaSH management systems and records • Promotes and facilitated national networks among WaSH actors • Recommends updates for WaSH Implementation Framework once in every 3 years or as the need arises <p>The NWCO is accountable to the NWTT</p>

3.2.2 Regional WaSH Structures

Regions have the authority and the responsibility to establish institutional arrangements at the regional and zonal levels that are best suited to their particular needs and circumstances. However, regional arrangements are expected, to a large extent, to correspond with those at the national level to ensure effective linkages.

Whatever the variations, the structures that are established must:

- ✓ promote and support an integrated program
- ✓ ensure program coherence and consistency in terms of objectives, priorities, standards and procedures
- ✓ provide for the aggregation of data and the consolidation of plans and reports throughout the system;
- ✓ facilitate communication among partners and from one level of operation to another
- ✓ ensure clear accountability of all WaSH players for actions and results

The National Memorandum of Understanding explicitly anticipates that in each Region the pertinent regional bureaus will negotiate and sign their own **Memorandum of Understanding** to serve as the basis for collaboration in implementing the WaSH program.

The NWCO is mandated to assist the Regions in this process.

The National WaSH MoU will serve the Regions as a *model* but it is not to be regarded as a fixed *template*. Regions will take into account a number of variables such as their size, geography, diversity, resources available etc. that will influence the institutional structures they establish.

The process of *working through* to a distinctive MoU is a creative process and one that enables partners to:

- evolve a common understanding of the program
- develop clear expectations of one another
- establish mutual accountability for results
- build shared ownership and trust

Regions will design their WaSH structures to address the need for:

- Program oversight and accountability to the Regional State Council.
- Planning and management of an integrated multi-sector program.
- Provision of specific sector inputs.
- Coordination of activities and the consolidation and communication of plans and reports.
- In the national structures these four broadly defined functions are assigned to four distinct entities:

Table 2. Functions of the WaSH structures

Function	Entity
Program Oversight & Accountability	Steering Committee
Planning & Management	Technical Team
Sector Inputs	Sector WMUs
Coordination & Consolidation	Coordination Office

This same breakdown may - or may not - well serve a particular Region.

For instance, some regions have found value in conflating the responsibilities of the steering committee and the technical team and assigning them to a single entity. The advantage in this is simplification - a reduction in the “layers” of management decision-making and communication. The potential disadvantage is responsibility overload and a reduction in performance.

Each region will need to work out how best to **combine** and **assign** the following essential responsibilities to achieve maximum results.

3.2.2.1 Responsibilities

Program Oversight & Accountability

- Oversee the regional WaSH program and be accountable to the Regional State Council for performance and results
- Delegate program management responsibilities
- Review and approve WaSH plans, budgets, physical and financial reports, resource allocations and replenishment requests
- Review and analyze M&E reports and make decisions for improved performance as may be required
- Foster relationships with, and elicit support from, development partners including CSO/NGO, donors and WaSH-related private sector

Planning & Management

- Provide direct supervision and direction for the planning and implementation of the Regional WaSH Program
- Negotiate regional WaSH targets with the NWT
- Negotiate allocation of targets and resources with zones, woredas and towns/cities
- Prepare, recommend and implement WaSH plans and budgets (strategic and annual)
- Review and submit consolidated physical and financial reports
- Review, analyze and make recommendations on Inventory and M&E reports
- Assist zones, woredas, towns/cities establish and capacitate WaSH structures
- Provide and/or procure training & technical assistance for zones, woredas, towns/cities as required

Sector Inputs

Generally, the sectors.....

- Contribute to the preparation of the integrated regional WaSH Plan of Action (PoA) and budget, monitoring & evaluation and regular physical and financial reports
- Provide woreda sector offices and town water boards the information, directions, systems, skills and resources they need to carry out their WaSH-related activities and achieve their targeted results at the local level

Specifically, the sectors.....

- Prepare the Annual WaSH Plans and budgets for all sector specific WaSH activities
- Manage budget and procurement plan for sector specific WaSH activities
- Select/recommend woredas for CMP promotion, capacity building and funding¹⁰
- Collaborate with BoFED in negotiating agreements with micro-financing institutions for CMP support
- Prepare and submit on-lending application to WRDF on behalf of Towns
- Prepare and submit quarterly physical & financial reports to BoFED/WaSH management together with replenishment requests
- Assist woredas and towns identify program implementation and management gaps and provide training and technical assistance as required
- Procure works, goods and services on behalf of towns/woredas when complexity or critical mass so require
- Build linkages to and among woredas and towns to share information, reports on progress and best practices
- Demonstrate and foster integration and harmonization in the WaSH program

Coordination & Consolidation

Generally, the sectors.....

- Provide the RWMC with information and analyses required for strategic management decisions
- Facilitate coordination among the four Program Management Units
- Maintain WaSH management systems and database – linked to national

Specifically, the sectors

- Communicate, within the region, national and regional WaSH policies, plans, strategies and decisions
- Prepare and propose to regional WaSH management consolidated strategic and annual WaSH plans and budgets
- Consolidate physical, financial and monitoring reports from woredas, towns and WaSH sector bureaus and forward to regional WaSH management – with analysis and recommendations
- Provide woredas, towns, and WaSH sector bureaus with regional WaSH status reports

¹⁰ Specifically a water sector responsibility

- Implement regional WaSH M&E
- Identify and address need for program-wide capacity building – especially manuals and guidelines in translation
- Promote and facilitate regional practitioner networks and foster the participation of CSOs/NGOs and the private sector
- Design and facilitate regional WaSH forums and review meetings

3.2.2.2 Composition of Regional WaSH Structures

Regional authorities will decide the composition of WaSH structures depending on the size of the region, the scope of the program and the availability of human resources.

3.2.2.2.1 Oversight and Management

Generally, the entity or entities providing oversight and/or management functions for integrated program will have a membership of 6 to 10 persons with representation from:

- BoFED*
- Water & Energy Bureau*
- Health Bureau*
- Education Bureau*
- Agriculture Bureau
- Women's Affairs
- CSOs/NGOs (on invitation)

3.2.2.2.2 Sector Input

The entities providing sector input to regional WaSH plans, budgets and reports will be comprised only of persons from each of the (4) key sectors*. Entities from these sectors may be a unit of several persons – or simply a focal person – depending upon the magnitude and nature of the particular sector's input to the program. The units are generally called WaSH Management Units (WMUs) – formerly called PMUs.

3.2.2.2.3 Coordination & Consolidation

The National Coordination Office is mandated by the MoU to support the establishment of Regional WaSH Coordination Offices (RWCOs). RWCO duties will mirror those of the NWCO from a regional perspective and will include the establishment of a Regional Capacity Building Support Unit. The Coordinator/unit head will also be a member of the WaSH management entity often serving as secretariat.

3.2.2.2.4 Civil Society Organization & Private Sector Participation

Civil Society Organizations (NGOs) are partners in the WaSH program in a variety of roles: policy and strategy advisors, financial contributors, program implementers, researchers for innovations, etc. At the

federal and regional levels selected NGOs serve on WaSH Steering Committees and Technical Teams¹¹ on invitation. It is essential that they also be **fully integrated**¹² into the WaSH structures at the regional level where policy is established, priorities set, allocations are made, plans are laid, progress is monitored and results are assessed.

Private sector consultants, trainers, facilitators, suppliers, contractors and artisans are also essential partners in WaSH programming. Their participation in WaSH is increasingly important as government moves back from the service-provider role to an enabling role. Many private sector entities may be restricted from participating directly in WaSH decision-making bodies due to potential conflicts of interest. However, it is essential that private sector be constantly consulted and built into practitioners' networks and forums.

3.2.3 Zonal WaSH Structures

Each region will decide what, if any, specific WaSH structures are required at the zonal level and what their functions and responsibilities will be. In larger and special zones it is likely that zonal structures will be designed replicate those at the regional level and these zones will have an important intermediary role between the Region and the towns and woredas for purposes of planning, monitoring, reporting, disseminating information and providing technical assistance.

3.2.4 Woreda WaSH Structures

3.2.4.1 The Woreda WaSH Team (WWT)

The national WaSH strategy posits a Woreda WaSH Team (WWT) in each and every woreda. The role of the WWT is to prepare and manage a Woreda WaSH Program integrating and coordinating the inputs of the Sector Offices and those of participating NGOs. The WWT has both a coordinating and a management function.

The WWT is accountable to the Woreda Council, through the Woreda Cabinet, for the achievement of WaSH targeted outputs.

3.2.4.1.1 Duties & Responsibilities

- Prepares consolidated Woreda WaSH plans and budgets (strategic and annual) for Cabinet review and recommendation and Council approval
- Prepares and submits consolidated woreda WaSH physical and financial reports quarterly
- Prepares and submits replenishment requests and facilitates the flow of WaSH funds
- Manages annual WaSH Inventory and M&E system and maintains woreda database/information system and ensures its annual update
- Reviews and prioritizes WaSH plans proposed by Kebeles for incorporation into Woreda WaSH Plan
- Receive, apprise and decide on community applications submitted by the community with the endorsement of the Kebele WaSH Team

¹¹ NGOs are selected and invited by the Steering committee on the basis of their level of involvement in the WASH sector activities.

¹² NGOs providing contracted services to WASH would forgo participation in management and coordination bodies.

Ethiopian WaSH Implementation Framework

- Plans and manages the training and deployment of extension workers to support Kebele/community/institutional WaSH activities
- Signs and manages WMP Grant Agreements and CMP Financial Agreements with WASHCOs as applicable
- Prepares and manages a WaSH procurement plan
- Contracts and supervises training and technical services if and as required – e.g. Community Facilitators, Woreda Support Groups etc
- Supporting WASHCOs to become legal entities
- Actively supports the emergence, training, equipping and engagement of artisans and other service providers in the private sector – and the establishment of a viable supply chain
- Ensures sustainability of WaSH services in collaboration with KWT.

In woredas where Community Managed Project (CMP) funding is applicable the WWT will have the following additional responsibilities:

- Open a CMP account at MFI sub-branch
- Approve opening of WASHCOs' *CMP Accounts*
- Draft implementation schedule with WASHCOs
- Authorize release of funds into WASHCOs' *CMP Accounts*
- Ensure provision of adequate capacity building and technical support

To ensure that these and other tasks specifically relating to CMP are effectively carried out the WWT may assign lead responsibility for them to a CMP Supervisor – or to the WWT Coordinator if one is appointed.¹³

3.2.4.1.2 Composition of the WWT

The WWT is established by the Woreda Administration. Membership includes:

- The Woreda Administrator or his/her designate (chair). The designated chairman is required to be either the Woreda water office/desk head or the Woreda health office/desk head as the water or health sectors are the key role players of the program.
- The Heads of:
 - WoFED
 - Water Desk
 - Health Desk
 - Education Desk
 - Agriculture Desk
 - Women's Affairs
 - NGO Representative(s) of the Woreda (on invitation)

¹³ For greater detail on CMP see Section 5 of the document

WoFED appoints an accountant/clerk to attend fulltime to WaSH's financial records and requirement.

Where need and resources exist the Woreda will engage a fulltime WaSH Coordinator who will carry forward the day-to-day implementation of the WaSH program and will report directly to the Woreda Administrator and WWT.

3.2.5 Kebele WaSH Structures

The Kebele WaSH structure is established under the authority and direction of the Kebele Manager by the Kebele Administration and is subsidiary to the Kebele Development Committee.

The arrangements for WaSH management at the Kebele level vary in accordance with the needs and resources – particularly the human resources - of the Kebele. The default arrangement is, however, as follows:

3.2.5.1 The Kebele WaSH Team (KWT)

The Kebele Administration establishes the Kebele WaSH Team (KWT)¹⁴ under the direction of the Kebele Manager assigning it responsibility to:

- Plan and manage the annual WaSH Inventory
- Share and analyze the resulting data with the wider community and take measures to improve coverage and sustainability of WaSH services in collaboration with WWT
- Promote WaSH activity and encourage households, user groups and institutions to submit proposals for inclusion in the annual Kebele WaSH Plan
- Support the WaSH input of the water, health and agricultural extension workers, WaSH Volunteers and teachers
- Support the input of Community Facilitators and other service providers when applicable
- Receive and assess community WaSH proposals
- Prepare an annual Kebele WaSH Action Plan and budget for KDC and Kebele Administration review and WWT approval
- Support WASHCOs in addressing the marginalised groups of the society
- Supporting WASHCOs to become legal entities
- Monitor WaSH activity and share issues and achievements with the wider community
- Prepare and submit physical and financial reports to the KDC/Kebele Administration and the WWT
- Ensures sustainability of WaSH services in collaboration with WWT

¹⁴ The Kebele administration may choose to select an exiting Kebele organization, such as a health committee, to additionally serve as the Kebele WaSH Team – avoiding organization overlap and the overload of limited human resources

3.2.5.2 Composition of the KWT

The Kebele WaSH Team will be composed of representatives of:

- elders and community leaders
- youth
- extension workers (HEW, WEWs, DAs)
- teachers
- volunteers

both genders – in balance

3.2.6 WASHCOs (Community WaSH Committees)¹⁵

The national water management policy requires decentralized management of rural water supply schemes by the user community. Accordingly, household clusters using the same water point establish WASHCO by electing members among the users. Health posts, schools and other public institutions, churches and mosques, market associations, etc. Building and using water supply schemes for these institutions may establish WASHCO through election among the users or appointment by the pertinent institution.

The responsibilities of the WASHCOs are to:

- plan and promote WaSH activities
- mobilize user resources including skills, funds and in-kind contributions
- manage funds
- manage and maintain facilities
- seek and secure training and technical assistance
- procure goods and services as required
- complete and submit inventories, physical and financial reports
- prepare and implement water safety plans
- develop mechanism of addressing the disabled and marginalised groups of the community
- organize themselves to become legal entity

WASHCOs are accountable to the communities they serve and to the Kebele Administration. WASHCOs receiving grants through either the WMP or CMP mechanisms are directly accountable to the Woreda by way of Grant or Financial Agreements.

¹⁵ See Section 5 for a more complete description of the role and responsibilities of WASHCOs

4 Urban WaSH

4.1 Introduction

Urban sanitation includes solid and liquid waste management. However, the WaSH program envisages integration of the liquid waste management component of the urban sanitation to the program. The liquid waste management aspect mainly focuses on safe transportation (conveyance) and disposal of the waste. As low income areas of towns are usually densely populated with poor or no latrine facilities, the WaSH program also give due attention to this problem. Nevertheless, this does not exclude the possibility of integrated planning, implementation and monitoring of solid waste management within the framework of the WaSH management of a town.

4.1.1 Basic Principles

The basic principles of the Urban Water, Sanitation and Hygiene Education (U-WaSH) Program are:

Demand Responsive:	Towns/cities will receive assistance in response to demand for improved water supply and sanitation systems and demonstrated readiness to participate;
Performance-Based Approach:	Stepped Towns/cities will be assisted progressively, step-by-step, on the basis of performance to build their overall capacity, prepare service improvement plan, study and design and for construction.
Cost Recovery and the right to access:	The Water Development Strategy states “tariffs in urban areas, aim at total cost recovery through time (which covers operation & maintenance costs, depreciation and debit servicing)”. Thus, Towns/cities recognize access to water as a fundamental right and as an economic good and pursue its development on step by step cost-recovery basis;
Cost effective design:	Towns/cities undertake U-WaSH programs that avoid over-design in order to provide affordable and sustainable services.

4.1.2 Categories of Towns

For the urban WaSH program towns are those settlements defined as towns by CSA. However, based on their water supply provision and management status these towns could be classified into three categories as follows:

Category 1:	Towns/cities having utilities managed by Water Board
Category 2:	Towns/cities having utilities but not managed by Water Board
Category 3:	Small towns having water supply system managed by WASHCOs or towns without water supply system at all

All these three categories of towns are addressed by the urban WaSH program through various levels of interventions based on need assessment.

4.1.3 Urban WaSH Program Components

The Urban WaSH Program has two components:

a) Improved Urban Water Supply services for a whole town as per the UAP minimum standard and Liquid Waste Management Services:

This component provides selected towns with technical assistance through grants and /or loans to support:

- The formation and capacity building of water boards
- The design of water supply systems or liquid waste management systems integrated with sanitation promotion and hygiene education
- The preparation of business plans, performance agreements and contracts
- Facilities construction and construction supervision
- System expansion or development

The program doesn't finance from the CWA expenditures for investment of urban storm water management facilities. However, the activities could be included in the composite WaSH plan and report of the town and coordinated by the same WaSH coordinating structures of towns.

b) Hygiene and Sanitation Promotion and Sanitation Facilities Construction for Institutions and low income communities

This component will target communities/households in low-income areas – particularly where the large majority of households (including elders and street children) have poor or no latrine facilities, schools and health institutions. Their problem associated with safe water supply is deemed to be addressed by the first component of the urban WaSH intervention as the whole town will be planned to get water supply as per the UAP minimum standard. Thus, low income areas, schools and health institutions will be supported in community wide sanitation and hygiene promotion and improvement of latrine facilities (for sustainability these latrines could include bio-gas, public showers and cloth washing facilities when feasible) using such as communal latrines.

4.2 Urban WaSH Intervention Identification Process

4.2.1 Improved Urban Water Supply Services for a Whole Town as per the UAP Minimum Standard and Liquid Waste Management Services

Primary planning for improved water supply and liquid waste management is at the regional level. The Regional Water WMU will be responsible for the preparation of the Regional Plan. The WMUs will be responsible for introducing and managing those activities and investments that relate directly to their sector.

Regional planning involves the following steps:



Assessment of regional needs

The Regional Water WMU working with the planning and programming departments/sections of their respective Bureaus, and drawing on data from the WaSH inventory and other surveys and studies, will assess the need to;

- construct new water supply and/or sewerage system
- rehabilitate or expand existing systems
- improve system operation and maintenance

The need assessment is required to ensure that a whole town (irrespective of living standards) is provided with water supply at least fulfilling the minimum standard of the UAP.

Goal setting

The Regional Water WMU will propose goals for the annual plan based on the need assessment, the availability of resources and target ranges provided by the NWTT. Goals will relate to increased access to and use of sustainable clean water supply and liquid waste management systems and improved operation and maintenance of the systems and positive response among users to hygiene and sanitation promotion. Goals will be defined in terms of established M&E indicators.

Determining the number of towns for grants and/or loans

- As per the Water Resources Management Policy and Strategy urban (town) water supply investment intervention aims to cost recovery through time. Thus it is recommendable to plan towns to acquire financial assistance blending grant and loan in such a proportion based on their repayment capacities. This will be more in line with the policy objective and at the same time assist towns to exercise loan management and working with loan financing institutions and enable to utilize the loan fund effectively by revolving it as the towns will be able to repay it. Thus, Regional Water WMU will propose towns for blended financing (grant and loan with different proportion) based on a cost-benefit analysis of what level of investment and types of activities, in how many towns, will produce maximum results with the resources available.
- The Regional Water WMU requests towns for grant and/or loan proposals clearly indicating the selection criteria.
- The grant and/or loan proposal application is prepared by the town's water supply and sewerage service, endorsed by the town water board, reviewed by the town WaSH Technical Team, and approved by the WaSH steering committee (town/city cabinet) and forwarded to the Regional Water WMU and Regional WaSH Coordination Office. The proposal should clearly state how much is the grant and how much is the loan and demonstrate the creditworthiness.
- Towns which had previously implemented step-1 activities through grant from the common WaSH account, from any other financial assistance or from their own financial source could apply directly for step-2 financial assistance meeting the requirements.

Determining the types of interventions

The Regional Water WMUs through RWCO will, together, determine what kinds of activities and investments need to be undertaken for institutions and in low income areas in order to increase access to improved sanitation and effect positive change in hygiene and sanitation behavior.

Selection of towns/cities:

In drafting the U-WaSH annual plan the RWCO and the WMUs will propose specifically which towns will receive what assistance. Selection will be made on the basis of publicly announced criteria and rules of engagement. The criteria will be region specific and approved by the Regional WaSH steering committee. The criteria could include among others:

- the extent of the problem of water supply and/or liquid management of the town,
- the willingness to pay for water,
- financial capacity for cost recovery of the loan component of the financial assistance,
- cost effectiveness and technical viability of the proposed system,
- current and future economical and political status of the town,
- population, etc

There may be also some additional criteria for the loan component on the basis of WRDF eligibility criteria for credit worthiness.

4.2.2 Hygiene and Sanitation Promotion and Sanitation Facilities Construction for Institutions and low income communities

Once the WaSH budget that goes to the town is decided by the regional WaSH Steering committee the Town/city WaSH cabinet as the WaSH steering committee of the town will be fully responsible for the overall U-WaSH program planning and management.

The planning process at town level involves steps shown below ---



Assessment of town needs

T/CWTT assesses the extent and kind of need of schools, health institutions and low income communities in terms of sanitation facilities and hygiene education.

Goal setting

The T/CWTT set the town/city's goal in terms of the level of increase in awareness of hygienic practice and improved sanitation facilities. As well, it reviews and endorses the town/city's goal set by the town water board.

Determining type of intervention

The T/CWTT list the kind of activities that could take place in terms of improving sanitation facilities and hygienic practice amongst low income communities and institutions. It also participates in the appraisal of the town's water supply improvement study and design ensuring that the project has properly addressed low income communities, schools and health institutions.

Selection of activities

The T/C WaSH Steering Committee prioritizes from the list of activities that could be financed first and send the proposal to the RWCO.

4.3 The Urban WaSH Program Implementation Modality

4.3.1 Improved Urban Water Supply and Sewerage Management Services:

U-WaSH program is designed to reflect the policy objectives of decentralization to lowest possible level and to involve all stakeholders in the process. To achieve this, the implementation modalities are classified in two steps. The first step is planning and preparatory of the projects and the second step is implementation. The steps are used in the urban water supply and sewerage management component that allows each town to move at its own pace and receive assistance incrementally as capacities are developed and results that meet established criteria are achieved.

4.3.1.1 Urban Water Supply and Sewerage Intervention Steps

Urban water supply and sewerage intervention has two steps:

The steps are taken progressively by town/cities:

- ✓ The first step is planning and preparatory works, which are mainly focused in formation and strength of TWB and TWU, capacity building and study, water source confirmation and design of water supply and sewerage facility including Bid document preparation;
- ✓ The second step is construction phase including procurement and further capacity building of town water board and town water utility.

In both steps, technical assistance is provided by national consultants and/or private sector consultants.

Step 1: Planning and preparatory Phase:

Building the capacity of T/CWBs in the overall management where an autonomous Town/City Water Board with appropriate enabling legislation and membership is not already in place, assistance is provided to establish a Board as per the proclamation and criteria set by the region.

Key utility staff with required qualification related to the post need be in place for capacity building carries out baseline study. Scope of baseline survey should be for preliminary situation analyses (base line report should be produced), for data inputs to feasibility study, for data inputs to business plan and for baseline data establishing for use in performance M&E. But the detail socio economic survey and other water demand and cost recovery analyses should be executed under feasibility study & preliminary design and during business plan preparation identifying and implementation of immediate need for, and initiating, repairs to improve existing service.

Capacity building of town water board and utility staffs

- a. Capacity building at Town Water Board level shall focus on the following areas:
 - Planning cost effective town water supply systems and sewerage management – design and feasibility of initial construction, rehabilitation or expansion and business planning for sustainable service provision, longer term planning for expansion;
 - Contracting with utility operator for day-to-day operations and for professional technical support;
 - Monitoring utility performance - customer service, operational efficiency and tariffs
- b. Capacity building for utility operators will focus on:

Ethiopian WaSH Implementation Framework

- Customer billing & collection with software
- Operations and maintenance
- Financial management
- Data base management system
- Monitoring and evaluation

Furthermore, the following are also conducted in Step 1:

- Carry out feasibility study and preliminary Design for water supply and sewerage
- Water supply source confirmation
- Prepare business plan
- Prepare Detail Design
- Prepare Environmental and Social Management Plan (ESMP)
- Prepares bid documents
- Prepare and facilitate contract performance agreement between TWB & TWU

Stakeholder consultations held regarding program requirements, estimation of costs, tariffs & contribution required in all planning and preparatory phase.

Generally, Stakeholder Consultation needs to be included under this phase like:

- Establishment of TWB (elections from communities, ...)
- Appointment of consultants (TSA) if possible
- Key-staffing of TWU
- Sensitization on baseline study purposes & scope
- Immediate Service Improvement Plan (ISIP) Presentation
- Community Contributions for implementing the ISIP
- Feasibility Study Presentation
- Water Source confirmation Presentation
- Business Plan processes consultation
- Discussion on Draft Business Plan
- Community Contribution for program implementation
- Right of Way sensitization

Before proceeding to **Step 2** an application proposal to be prepared by the Town/City and submitted to the Regional WMU (Water) along with the investment study document. Regional WMU (Water) will appraise the document and forwards it for National WMU (Water) and WRDF approval. The basic key appraisal criteria for Step 2 are that Step 1 has been fully and successfully completed and that the proposal should be credit worthy for the loan portion.

The activities above can be undertaken simultaneously over a period of approximately 8 months.

Step 2: Implementation Phase:

Towns appraised to get financing for Step 2 will carry out the following activities in Step 2:

- Procuring works, goods, and services
- Construction and supervision of water supply and sewerage management system
- Updates Business Plan and Preparation of appropriate Performance Contract to be entered into by the Town Water Boards (TWB) and Town Water Utilities (TWUs) and assisting the signing of these documents

The scope of update should include:

- ♦ Update the business plans to reflect current conditions and revised forecasts of demand, production, sales, collections, project expenditures, staffing levels, operating efficiency, operating expenses, into consideration. The Business Plan to be updating shall among others include proposed tariff structure, projected cash flow, balance sheet, profit and loss account, and sensitivity analysis
- ♦ Recommended implementation strategies
- ♦ Come up with a Tariff Structure to assist the Board achieve economic, financial, social and equity objectives in order for the Board to provide effective service to its existing and prospective customers. The Consultant should relate the investment to revenue enhancement and achievement of performance targets

Moreover, capacity building of TWB and TWU continues simultaneously with the construction works and they are provided support particularly in procurement and contract management.

The activities above can be undertaken simultaneously over a period of approximately 14 months.

The Regional Water Bureau will, with the Board and utility staff, monitor construction to ensure consultants, contractors and suppliers deliver in accordance with their contracts.

Monitoring generally will include:

- Systematic review of periodic progress reports and identification of deviations in schedules, methods or budgets.
- Site visits during construction, testing for commissioning, training sessions.
- Periodic quality control on works being constructed and completed.

The TWB and the utility should have to be supported to be engaged actively as owners of the project in the planning and implementation phases, namely:

During planning Phase

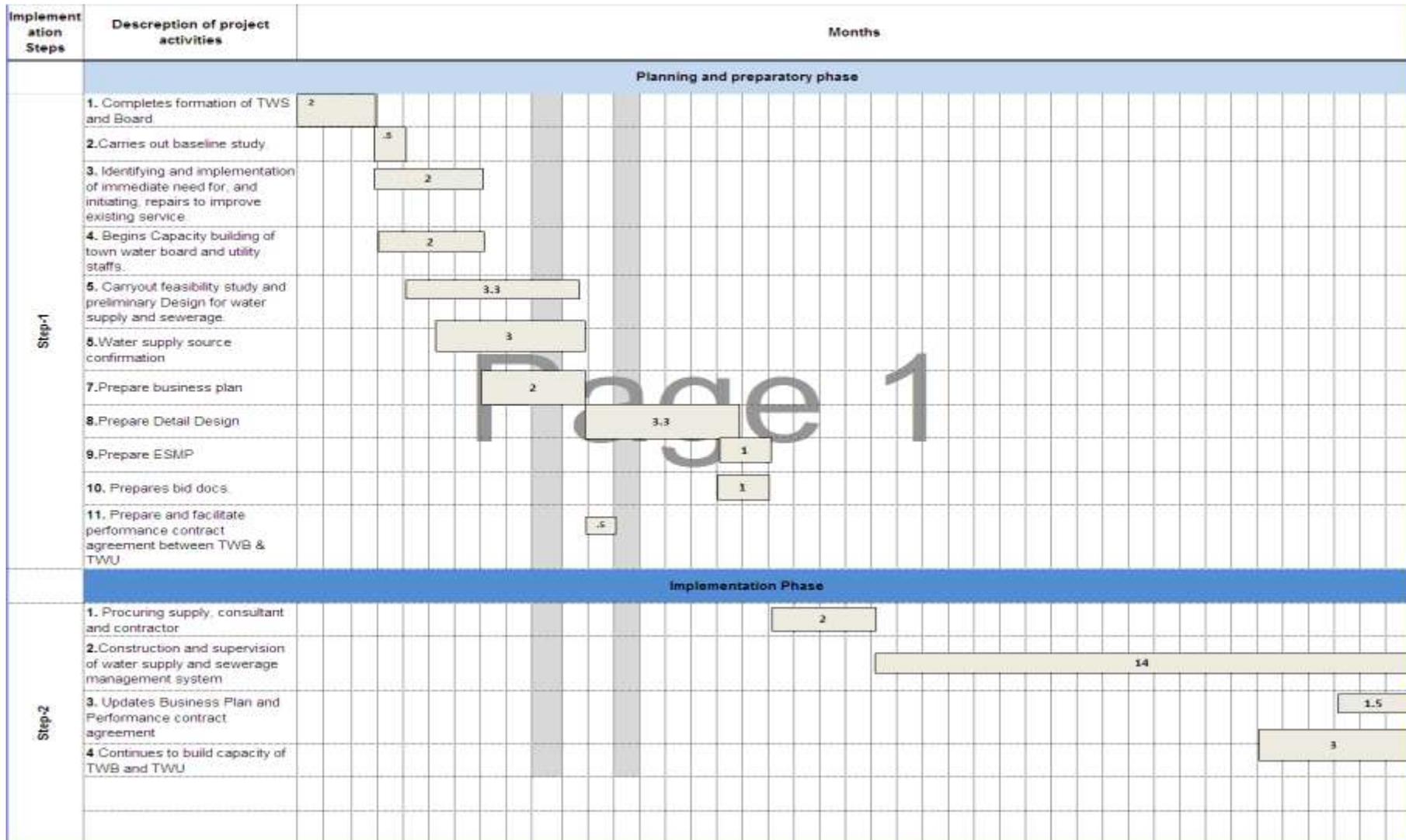
- TWB need be participate during appraisal of proposal and business plan;
- Engage the TWU and TWB in B-Plan consultation processes;
- Engage the TWU and TWB in tender document preparation and tendering processes to familiarize with Tender document preparation and tendering processes.

During Implementation Phase

- TWB need to participate in supervision activities during controlling quality, time and cost like approval of payment Certificate for material supply and construction works

Ethiopian WaSH Implementation Framework

Figure 1. Typical Schedule for the Stepped Implementation Modality



4.3.1.2 Financial Modality

As per the water resources Management Policy and Strategy urban (town) water supply investment intervention aims to cost recovery through time. Thus it is recommendable to plan towns to acquire financial assistance blending grant and loan in such a proportion based on their repayment capacities. This will be more in line with the policy and strategy objectives and at the same time assist towns to exercise loan management and working with loan financing institutions.

All selected towns will get grant from the common WaSH account to undertake the preparatory and planning step (Step-1). With a successful transition from Step 1 to Step 2 (construction phase), towns/cities get blended grant and loan financial assistance for the investment (Step-2) from the common WaSH account and from WRDF respectively in a proportion (loan/grant) to their capacity for loan repayment verified by the project study.

Towns/cities file applications to their respective regional water bureaus for grant assistance for Step 1 and blended grant and loan financial assistance for Step-2 with a total amount of up to \$70 per-capita ceiling. The Regional WaSH Coordination Office facilitates appraisal of applications by the WMUs and WRDF. Funding of the Grant component will be from the WaSH common account and will follow channel 1b. The fund will be directly transferred to the beneficiary town or to the Regional Water Bureau from BoFED if it is delegated to manage the project by the town on its behalf.

Towns/cities file applications to the Water Resource Development Fund (WRDF) for the loan component of the financial assistance through the Regional Water WMU fulfilling all eligibility requirements of the financing organization. The WRDF appraises applications, approves the loans and administers the funds. Donors provide contributions to the WRDF directly and through the Ministry of Water Resources.

WRDF transfers the loan component of the financial assistance directly to the town or to the Regional Water WMU if it is delegated to manage the project by the town on its behalf.

4.3.2 Hygiene and Sanitation Promotion and Sanitation Facilities construction for Institutions and Low Income Communities

These interventions target low income communities, schools and health institutions. The interventions are implemented by Urban Health Extension Professionals and WaSH volunteers are selected and trained among the community members, school children and teachers, and health institution staffs for hygiene and sanitation promotion providing the required support.

Moreover, low income communities (including disabled and people with special needs), schools and health institutions are also assisted to improve their sanitation facilities. Thus, low income communities will be provided with communal latrines (for sustainability these latrines could include bio-gas, public showers and cloth washing facilities when feasible) clustering themselves in neighbourhood households, and health institutions and schools with institutional/school latrines. Their water demand is envisaged to be addressed through component one of the urban WaSH intervention under the Town's Water Board responsibility.

The Town/City WaSH Technical Team (T/CWTT) has direct responsibility for the implementation of this urban WaSH component.

4.3.2.1 Implementation Modality

This component is also implemented in two steps as of component one.

Step 1: Planning and Preparatory

The following activities are implemented at this step:

- Low income communities, health institutions, and schools to be assisted are identified by the Kebele WaSH Team or Kebele Development Committee
- Hygiene and sanitation promotion is conducted in the program intervention areas
- Beneficiaries file application for assistance fulfilling the required conditions to T/CWTT through the KWT/KDC
- If the beneficiaries application is accepted by T/CWTT, WaSH volunteers are selected trained, and deployed
- Study for sanitation facilities intervention is conducted

Step 2: Construction

The following activities are implemented at this step:

- The T/CWTT or the town's health office conducts tender for construction,
- The T/CWTT or the town's health office conducts construction supervision and contract management,
- Sanitation facilities management committee is elected among the beneficiaries, trained and deployed,
- Constructed sanitation facilities are handed over to the beneficiaries

4.3.2.2 Mode of Financing

This component is financed from the grant portion of the town as per the approved financing plan of the town. The fund will be managed directly by the T/CWTT or the relevant sector office of the town with the guidance of the T/CWTT.

4.4 Urban WaSH Structure

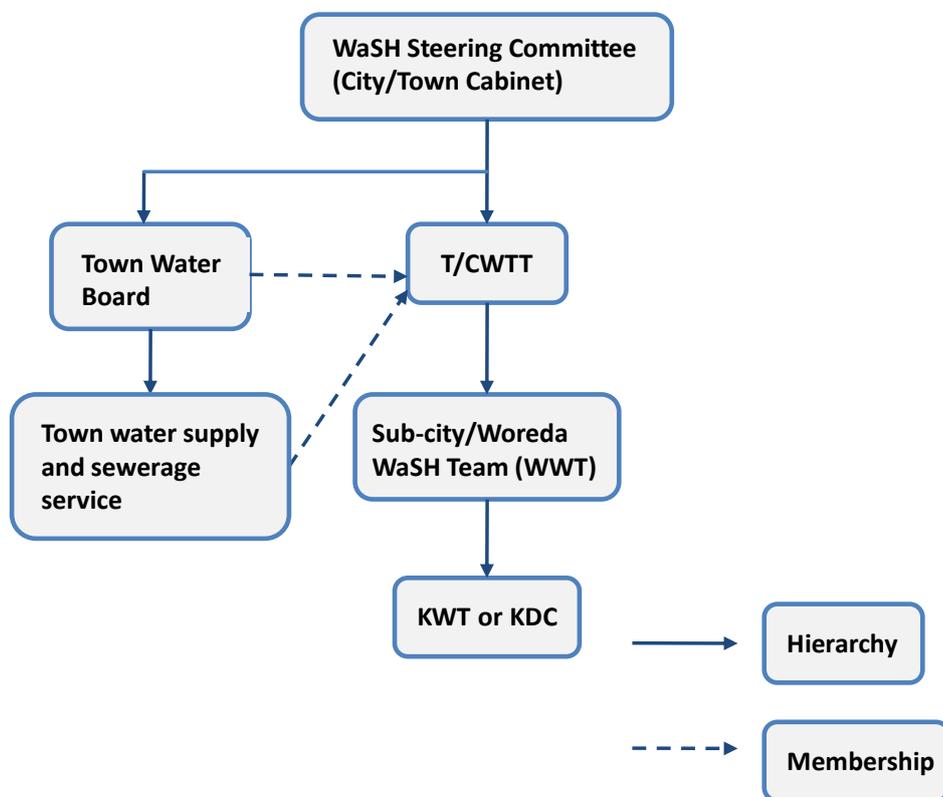
4.4.1 Town/City Level WaSH Structure

Generally, towns/cities will have the following (Fig. 2) urban WaSH management structure. Oversight and guidance of the program is conducted by the town WaSH steering committee. In case of towns/cities having local government status the town/city cabinet will be the town/city WaSH steering committee. In case of towns not having local government status the woreda cabinet will be the WaSH Steering Committee for the whole woreda including the towns in the woreda.

There are two managerial bodies under the town/city WaSH steering committee responsible for each urban WaSH components and overall coordination of the urban WaSH In this regard, the town Water Board is responsible for component one, i.e. water supply and sewerage services and the town/city WaSH technical team for component two (H&S promotion and improvement of sanitation facilities for low income communities, schools and health institutions) and overall WaSH coordination of the town.

The water supply and sewerage service is under the management of the town Water Board while WaSH teams are established at sub-city/woreda and Kebele levels under the town/city WaSH Technical Team. The responsibility of each is discussed below.

Figure 2 Town/City level WaSH Structures



4.4.1.1

Town/City WASH Steering Committee (T/CWSC)

<p>Composition:</p> <p>The Town/City cabinet serves as the WaSH Steering Committee.</p>	<p>Role:</p> <p>Provides managerial oversight for the overall WaSH activities in the town/city.</p>
	<p>Duties & Responsibilities:</p> <ul style="list-style-type: none"> • Defines WaSH priorities and objectives for the Town/City • Establishes the board of management for the water supply and liquid waste management system • Appoints members of town/city WaSH technical team (T/CWTT) from different sectoral offices. • Monitors the performance of the Water Board (T/CWB) and T/CWTT • Reviews and provides comment on consolidated financial, physical and M&E reports • Endorses T/CWTT and T/CWB requests for funds • Ensures timely, efficient and effective logistical, administrative and financial support to the T/CWTT and T/CWB. • Submit WaSH plan and budget for the city council for approval

4.4.1.2

Town/City Water Board (T/CWB)

<p>Composition:</p> <p>The T/CWB is established as per regional proclamations and functions as the board of management for town/city water supply and sewerage (liquid waste management) services.</p> <p>In most instances, the Utility Manager is a member of the Board and serves as Board Secretary</p>	<p style="text-align: center;">Role:</p> <p>Plans and manages the water supply and sewerage service activities in the town/city as per the proclamation of its establishment.</p> <hr/> <p style="text-align: center;">Responsibilities:</p> <p>It will have duties and responsibilities provided by the regional proclamations:</p> <p>This may include:</p> <ul style="list-style-type: none"> • Review, endorse and submit the town’s water supply and sewerage utility strategic and annual plans and budget to the WaSH steering committee through the T/CWTT • Review, endorse and submit the town’s water supply and sewerage utility physical and financial reports to the WaSH steering committee through the T/CWTT • Ensures the town’s water supply and sewerage utility strategic and annual plans are integrated to the overall WaSH plan of the town • Ensures the town’s water supply and sewerage utility reports are integrated to the overall WaSH report of the town • Applies for grants and loans for improvement of the town’s water supply and sewerage services • Actively participates in the technical assistance provided for the preparation of project proposal and capacity building particularly in the improvement of water supply and/or liquid waste management services • Reports in case of loan to WRDF on improvement of water supply and/or liquid waste management services implementation • Monitor and evaluate town’s water supply and sewerage utility plan implementation and take measures to improve the performance <p>Serves as a member of the T/CWTT</p> <p>Accountable to the pertinent authority as per the regional proclamation of its establishment</p>

4.4.1.3

Town/City WaSH Technical Team (T/CWTT)

<p>Composition:</p> <p>The T/CWTT is established by the town/city administration or town/city WaSH steering committee and consists of mainly representative from the town/city administration (municipality), the Water Board, Town's Finance and Economic Development, utility for WSS, health and education desk personnel. Chairman is designated by the establishing authority</p>	<p>Role:</p> <p>Oversight and coordinate the overall WaSH activities in the town with due focus on WaSH activities in low income areas.</p> <p>Duties & Responsibilities:</p> <ul style="list-style-type: none"> • Ensures WaSH is properly promoted and advocated in the town, • Prepares strategic and annual consolidated WaSH plan and budget of the town and submit to the town/city WaSH Steering Committee • Consolidate and submit town's WaSH physical and financial reports quarterly and annually to the WaSH steering committee, • Monitor and evaluate physical and financial implementation status of WaSH activities in the town and provide recommendation for improvement, • Ensures WaSH activities are integrated and harmonized in the town, • Promote and facilitate networks among WaSH actors in the town and outside and search for funds for WaSH financing, • Assesses the extent and kind of need in terms WaSH in low-income areas, health and schools and facilitate provision of required assistance. • Identifies low-income Kebeles in the town. • Facilitates the flow of funds in support of WaSH operation in low-income areas, health and school institutions. • Provide guidance and technical assistance to the Sub city or Kebele Development Committee or Kebele WaSH Team. • Monitors the overall WaSH implementation in low-income areas, schools and health institutions. <p>Accountable to the WaSH Steering Committee</p>
---	--

4.4.1.4

Water Supply and Sewerage Utilities (WSSU)

Composition:

The WSSU is an existing institution that is responsible for the day-to-day operation and management of water supply systems and liquid waste management systems.

Role:

Provides clear and adequate water service to the residents, institutions and commercial centres using the revenue it generates from different sources.

Manages and regulates liquid waste generated in the town/city by residents, institutions and commercial centres.

Responsibilities:

- Operates, maintains and manages day-to-day water supply systems and liquid waste management systems.
- Provides water supply and sewerage services to residents, commercial and institutional centres.
- Collects and manages as per the tariff, tariff and other revenues of water and sewerage services
- Produces and reports to the T/CWB on the performance.
- Responsible for the overall technical, commercial/customer service and financial and administrative aspects of the utility.
- Contracts and manages consultants, contractors and suppliers for the improvement of water supply and/or liquid waste management services.

Accountable to the Water Board

4.4.1.5

Sub City WaSH Team and/or Kebele WaSH Team or KDC

<p>Composition:</p> <p>The Sc/KDC is an existing institution that will be engaged in WaSH activities that would take place in its respective Sub-city or Kebele. If such institution is not available in a sub-city/Kebele, Sub-city or Kebele WaSH Team is established.</p> <p>Composition:</p> <ul style="list-style-type: none"> • Representative of Kebele administration, • Health Extension Worker, • School community members, • Representatives of youth and women associations • etc 	<p style="text-align: center;">Role:</p> <p>Plan and manage the WaSH activities in a sub-city/Kebele with due focus on WaSH activities in low-income areas, school and health institutions.</p> <hr/> <p style="text-align: center;">Duties & Responsibilities:</p> <ul style="list-style-type: none"> • Identify communities that would benefit from low-income areas intervention. • Identify intervention in school and health institutions and low-income communities. • Management of construction of communal toilets and public showers • Engage in promotion of hygiene promotion in its respective Sub-city/Kebele. • Inform and provide assistance to beneficiary communities through procurement of CFTs. • Monitors the WaSH implementation in low-income areas, health and institutions. <p style="text-align: center;">Accountable to the Town/City WaSH Technical Team</p>
--	--

The Ethiopian Water Resources Development Strategy stipulates ensuring transparency, fairness, responsibility and accountability in the utilization and management of the Water Supply and Sanitation funds through consumers' council for urban water supplies. Thus, in addition to the above mentioned formal urban WaSH organizational structures, consumers' (customers') council or forum has to be established and supported to serve as a link between the service provider and the service recipient (the people). Meetings of such forums could be organized once or twice in a year. The forums could serve as a platform for discussion on the need, role and responsibilities of the customers and the service provider. As well it will serve as a platform for performance evaluation of the service provider. T/CWTT will prepare the detail regarding the forum and get approved by T/CWSC.

5 Rural WaSH Program

5.1 Introduction

In the Rural WaSH Program community members - in their households, schools and health posts: increase their use of **safe water**

- upgrade and use their **sanitation facilities**
- adopt healthier **hygiene behaviours**

Communities:

- plan and manage their own WaSH activities
- contribute cash, labour, and materials to improve their WaSH facilities
- measure their own performance and evaluate what they are achieving
- work to sustain and expand what they have accomplished.

This section of the WaSH Implementation Framework outlines:

Alternatives for funding and managing community WaSH projects

Structures at the woreda, Kebele and community levels to promote and support WaSH activity

Steps in WaSH planning

Phases in implementing the WaSH Program Cycle

5.2 Alternatives

The full Rural WaSH Program, as noted above, involves a wide range of ongoing community activities to increase access to safe water, to upgrade and increase the use of sanitation facilities and to improve hygiene practices. Thus, in principle, based on the water resources management policy and strategy objectives, all rural WaSH interventions are anticipated to be community managed (CMP) including finance and procurement. Government Implementing Agencies at region, zone and woreda levels and the community will be encouraged and capacitated towards this goal. However, currently capacity at community and woreda levels and absence of properly established and tested community financing mechanism through the government financial system will be the limitations to consider CMP as the sole financing mechanism from CWA for rural WaSH. Thus, in parallel working on establishing proven system of community financing through the government financial system, Woreda Managed Project (including region managed projects) on behalf of the community will be the alternative option for rural WaSH implementation along with the CMP through financial management of MFIs which evolved from CDF financing mechanism as discussed in the above sections.

Accordingly, there will be four alternative modalities for financing and managing **water point and institutional (school) sanitation projects** in the WaSH program:

- Community Managed Projects (CMPs)
- Woreda Managed Projects (WMPs) including regional managed projects on behalf of the WWT
- NGO Managed Projects (NGO-MPs)
- Self-Supply Projects (SSPs)

These project modalities are *briefly* outlined below.

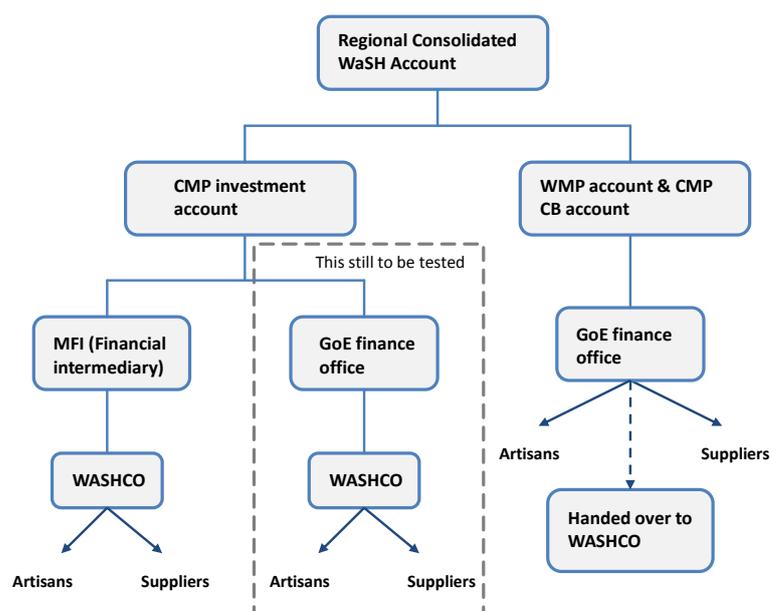
5.2.1 Community Managed Projects (CMPs)

In the CMP, the representative of the user-group (WASHCO or Institutional WaSH Committee) – i.e. the **Community is the Project Manager**. Allocated funds are transferred to a special CMP account through a financial intermediary (e.g. micro-finance institution) with WWT authorization, are withdrawn by community signatories for approved expenditures on water point construction/upgrading. The WASHCO is directly responsible for contracting, procurement, quality control and financial accountability – to the community and to the Kebele and Woreda Administrations. There is no hand-over. The user-community “owns” the project from the beginning. CMP funding mechanism can also include community financing mechanism through the government financial system once properly and successfully tested.

The fund flow (disbursement, settlement and replenishment) mechanism to the community through the government financial system is also the other option for community financing in CMP which requires developing and testing.

The CMP/WMP financing mechanisms are illustrated in the figure 3 below.

Figure 3: CMP/WMP financing mechanisms



5.2.2 Woreda Managed Projects (WMPs)

The distinguishing feature of WMPs is that the woreda (WWT) retains responsibility for administering the funds that are allocated to a Kebele (community) through a Grant Agreement for capital

expenditures on water supply or sanitation. Although the Kebele Administration, WASHCOs and institutional WaSH committees are directly involved in project planning, implementation, monitoring and signing-off the project, the **WWT is the Project Manager** and is responsible for contracting, procurement, quality control and hand-over to the community.

The constructions of WaSH facilities are supervised by relevant experts from the relevant office to monitor cost and ensure quality and sustainability.

5.2.3 NGO Managed Projects (NGO-MPs)

Non-Governmental Organizations are major stakeholders in the National WaSH Program as donors, implementers and innovators. Their funding and project management arrangements with communities vary considerably. However, in concert with national WaSH principles and practices, they foster community initiative, develop community leadership and require community investment in water point projects. In some instances, the supporting NGO administers external resources on behalf of the community (as in WMPs). In other instances, they make external resources available to the community directly or through a micro-finance institution¹⁶, for user-group project management (as in CMPs).

NGOs have flexibility and are able to pioneer other possibilities for increasing community initiative, ownership and accountability.

5.2.4 Self-Supply Projects (SSP)

Increasingly, householders and community groups are constructing and maintaining their own water supply systems and sanitation facilities out of their own resources. These projects are “off-budget”. They are, however:

- documented in the WaSH Inventory
- integral to Kebele/woreda WaSH plans and outputs
- supported by WaSH training and technical assistance

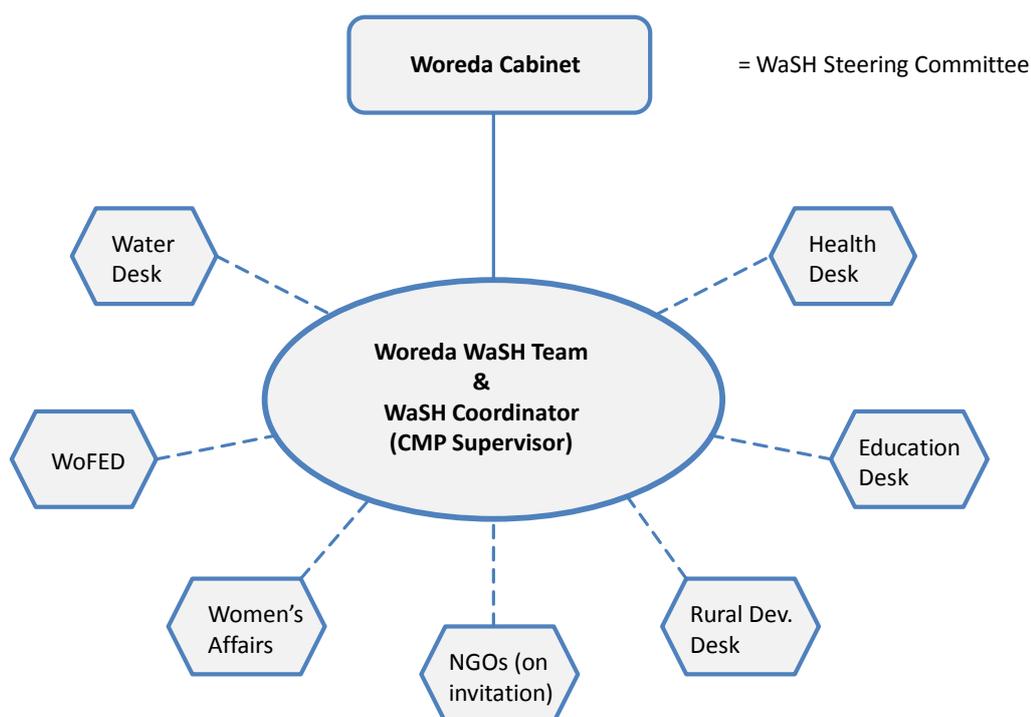
5.3 Woreda WaSH Organization

The Woreda WaSH Structure

In order to successfully implement WaSH at woreda level as indicated in the woreda structures, WaSH has been fully integrated into the sector process streams.

¹⁶ NGOs may participate in a government-MFI arrangement – or establish a separate arrangement.

Figure 4. Woreda WaSH structure



The Woreda Cabinet

The Woreda Cabinet effectively functions as the Woreda WaSH steering committee. Its main function is oversight and guidance of the Woreda WaSH program. Its responsibilities include but not limited to:

- defining WaSH priorities and objectives for the woreda
- establishing the Woreda WaSH Team
- approving WaSH plans and budgets
- confirming fund transfer arrangements with Woreda Finance Office or local Micro Finance Institution
- receiving, approving and forwarding WaSH reports
- requesting/receiving WaSH funds
- conducts regular performance review of the WWT and its member offices and the program implementation in the Woreda
- advocates the WaSH Program
- ensures that the WaSH strategic and annual plan and budget is approved by the Woreda council

The Woreda WaSH Team:¹⁷

The Woreda WaSH Team is established by, and reports to, the Woreda Cabinet. The Team is made up of representatives of relevant woreda offices – including Water, Health, Education, WoFED, Rural Development, and Women’s Affairs. Woreda-based NGOs that are engaged in WaSH activities are asked to provide a representative to serve in the Team on invitation basis.

¹⁷ For a more detailed description of WTT responsibilities see Section 3

The Woreda Administrator officially appoints members to the WWT by letter and provides a written description of the roles and responsibilities of each participating office.

The WWT meets at least monthly under the chairmanship of the Woreda Administrator (or his designate) to:

- plan and coordinate activities
- assess progress against plans and budget
- complete Grant Agreements of Community Financing Agreements
- approve WaSH project applications, request replenishments and authorize withdrawals
- resolve difficulties being encountered in program implementation

Quarterly the WWT:

- prepares and submits physical and financial reports
- requests WaSH account replenishment

If a need arises, a full time WaSH Coordinator is engaged by WWT on a contract basis to manage the day-to-day implementation of the WaSH program.

The Woreda WaSH Coordinator

Given the frequent turn-over in woreda personnel (and therefore in WWT membership) the role of the Woreda WASH Coordinator is important. The Coordinator reports to the Woreda Administrator and/or to WWT and is responsible for:

Generally -

- Coordinating the implementation of the WaSH Program Cycle

Specifically -

- convening regular meetings of the WWT (no less than monthly) under the authority of the Woreda Administrator
- coordinating the preparation of Woreda Strategic and Annual WaSH Plans
- managing the annual WaSH Inventory throughout the woreda
- managing and maintaining the woreda WaSH database
- facilitating review of Kebele WaSH plans and Kebele WaSH reports
- preparing and administering Kebele Grant Agreements
- facilitating CMP procedures¹⁸;
- coordinating the preparation, analysis and submission of quarterly WaSH financial & physical reports
- maintaining liaison with NGO partners
- working with private sector partners to establish supply chains and other services
- expediting WaSH procurement (through the Woreda Procurement Committee for WMPs) and in support of CMP and Self Supply procurement

¹⁸ These procedures are outlined..... In some woredas this facilitating function may be assigned to a CMP Supervisor.

- administering the WaSH Monitoring & Evaluation system
- coordinating the selection, training, deployment and oversight of WaSH service providers – governmental and private sector

5.4 Woreda WaSH Planning & Management

5.4.1 WaSH Planning

The WWT prepares:

➤ **WaSH Strategic Plan**

The Strategic Plan sets out woreda strategies, targets and schedules for achieving WaSH coverage over a 5 year period.

➤ **WaSH Annual Plan** - and budget

The Annual WaSH Plan sets out the specific activities, outputs and expenditures for the year ahead.

There is only ONE woreda Annual WaSH Plan and ONE woreda WaSH Budget.

The Annual WaSH Plan incorporates the planned WaSH activities, investments and targets of all WaSH implementers – including other government programs, such as the Productive Safety Net Program, and the programs of NGOs that are active in the sector.

The Woreda WaSH Budget includes all funds coming to, or allocated by, the Woreda Administration for WaSH activities.

NGO funds committed to WaSH activities are not part of the official woreda WaSH accounting system. However, they are reported, recorded and recognized as civil society's contribution to the composite WaSH budget¹⁹.

WaSH plans and budgets are approved by the Woreda Council and constitute a component of the official Woreda Development Plan.

5.4.2 WaSH Management

In addition to **planning** the WWT has a number of ongoing management functions for which the entire team is responsible. They include:

Information Management

- Maintaining a WaSH inventory through annual updates
- Ensuring information flow among stakeholders
- Advocating and promoting WaSH – especially Self Supply
- Advocating and promoting CLTSH

Human Resource Management

- Selecting, training, contracting, deploying and supervising WaSH service providers – especially in support of local and low-cost technologies
- Selecting, motivating, and supporting WaSH volunteers

¹⁹ See Section 9

Materials Management

- Procuring goods for water point and institutional latrine construction and hand washing facilities – as may be required
- Identifying and sourcing local materials for low-cost construction
- Building a viable supply chain

Financial Management

- Preparing and controlling budgets
- Reporting financial transactions and status of accounts
- Overseeing community contributions – rates, compliance and security
- Overseeing funding for CMP

Quality Management

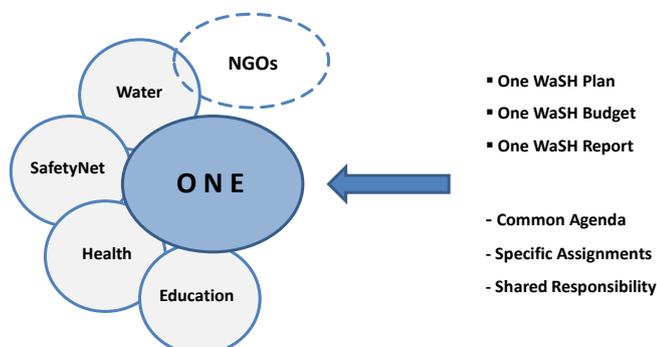
- Setting and applying standards – e.g. construction, water quality, catchments area protection, sanitary surveillance – e.g. Open Defecation Free status
- Monitoring and evaluating
- Reporting results

Capacity Development²⁰

- Capacity needs assessment
- Planning and implementing training activities

Specific Assignments

In the Annual WaSH Plan the WWT assigns specific program activities and outputs to each of the member offices (i.e. Health, Education, Water etc). These activities and outputs are not additional to the regular responsibilities of the sector offices – but are integral to them. WaSH assignments are documented in the annual plans of each of the member offices. Performance Reviews of individual WWT members will take into account the quality of their participation on the Team and the extent of their contribution to WWT outputs.



²⁰ Some woredas have available the services of WSAs that have a major role in training and capacity development of community of implementers and service providers. WWTs, along with regional authorities, ensure that the WSAs work is well planned and executed and is effective. Where and when WSAs are not available the WTT is directly responsible for WASH staff development and for the delivery of training and capacity-building at the Kebele/community level.

The table below gives examples of specific assignments to WaSH member offices.

Table 3: Member Office WaSH Assignments

Member Office	Example Assignments
Water Resources	<ul style="list-style-type: none"> • Provide support for planning and construction of community water systems • Provide technical advice on the construction of school water facilities • Promote and provide training and technical assistance for self-supply (water) • Train area mechanics, technical service providers and community caretakers • Help to establish systems for repairs and the supply of spares • Assembles data from Kebeles to prepare Woreda WaSH database (Inventory)
Health	<ul style="list-style-type: none"> • Plan and lead Community Led Total Hygiene & Sanitation (CLTSH) • Organise the construction of demonstration latrines in health posts • Facilitate hygiene and sanitation promotion/education in communities • Promote and provide training and technical assistance for self-supply (sanitation) • Provide advice/support for H&S promotion/education in the schools
Education	<ul style="list-style-type: none"> • Organise the construction of water and sanitation facilities in schools • Provide WaSH training for school directors, teachers, Parent Associations • Provide classroom WaSH instruction and establish school WaSH clubs • Promote hygiene in Mini Media
Rural Development	<ul style="list-style-type: none"> • Facilitate PSNP inputs to WaSH in concert with the Water Desk • Support self-supply - household H&S promotion and latrine construction • Participate in the monitoring of H&S behaviour change • Provide technical support for latrine construction • Facilitate Kebele WaSH planning
Women's Affairs	<ul style="list-style-type: none"> • Promote the full involvement of women (and men) in the planning, implementation, decision-making and training on WaSH • Foster gender responsive planning, implementation, and monitoring
Finance and Economic Development	<ul style="list-style-type: none"> • Coordinate production of woreda WaSH budget • Allocate funds for different activities according to the budget • Account for the funds spent • Ensure integrated implementation of WaSH

5.5 Implementation – the WaSH Cycle

5.5.1 Woreda Preparation

As may be required and requested the Region supports Woreda Preparation by providing training to Woreda through regional level specialists. For the preparations Woreda may hire a Woreda Support Agent (WSA)²¹ and/or other regional-level expertise. This preparatory phase includes:

²¹ The term Woreda Support Agency includes WSAs as well as NGOs, consultants or other agencies that may be contracted by Woreda to supply services to the WWT.

Orientation & Advocacy – a series of meetings to familiarize cabinet members, other woreda leaders and administrative staff with the principles, objectives, scope and nature of the WaSH program – including CMP if the woreda has been selected for Community Managed Projects - and to advocate for WaSH and build consensus for support.

Stakeholder Analysis – a pre-planning exercise to determine who the major woreda WaSH stakeholders are, what their stake in the program is, what results/benefits they might expect, what contributions they could make, and how the program might be adversely affected if that contribution is missing?

Resource Mapping - a pre-planning exercise to determine what financial and other resources might be available from all sources to support the WaSH program in the woreda. This will include negotiations with regional authorities (on allocations and possible Productive Safety Net Program investments) and consultations with woreda-based NGOs on anticipated WaSH inputs over the 5-year strategic planning period.

Inventory Analysis – a study of woreda-based data from the National WaSH Inventory to: a) determine the woreda’s “starting point” toward achieving WaSH targets within the GTP and b) establish priorities on the basis of need.

Strategic Planning - the preparation of a 5-year plan (based on the above analysis) that sets out woreda strategies, targets and schedules for achieving WaSH objectives over the longer term and provides the context for annual planning.

Annual WaSH Planning – the preparation of an Annual WaSH Plan that will include:

- Assigned Activities, Tasks, and Output Chart
- Activities Schedule and Milestones
- Budget
- Procurement Plan
- Capacity Development Plan
- Monitoring Framework
- Reporting
- Framework

Staff Preparation – the orientation, training and equipping with tools and materials of all woreda staff who will manage/implement any aspect of the woreda WaSH program.

5.5.2 Kebele WaSH

5.5.2.1 Overview

The Kebele is where Rural WaSH happens.

All WaSH policies, strategies, structures and resources at national, regional and woreda levels exist to foster and support WaSH activity in the **community** and in the **household**

Kebele WaSH has a three-fold purpose:

1. to increase access to, and use of, safe **water** supply
2. to improve the quality and use of **sanitation** and hand washing facilities
3. to bring about positive change in **hygiene** behaviour – household water treatment and safe storage

Kebele WaSH focuses on:

- **User Groups** – generally gotts or sub-gotts that organize primarily to construct or improve communal water points and household or public latrines
- **Institutions** – including schools and health posts that organize to improve water and sanitation facilities and to carry out related educational and awareness building activities
- **Households** – where positive change in hygiene behaviour is crucial; and where potential lies for self-supply of safe water and improved sanitation

Currently, WaSH policy provides for:

- Subsidies to User Groups for approved water scheme construction – but not for sanitation facilities;
- Subsidies to Institutions for approved water scheme and/or sanitation facilities construction.
- Support for planning, triggering and post-triggering follow up of CLTSH

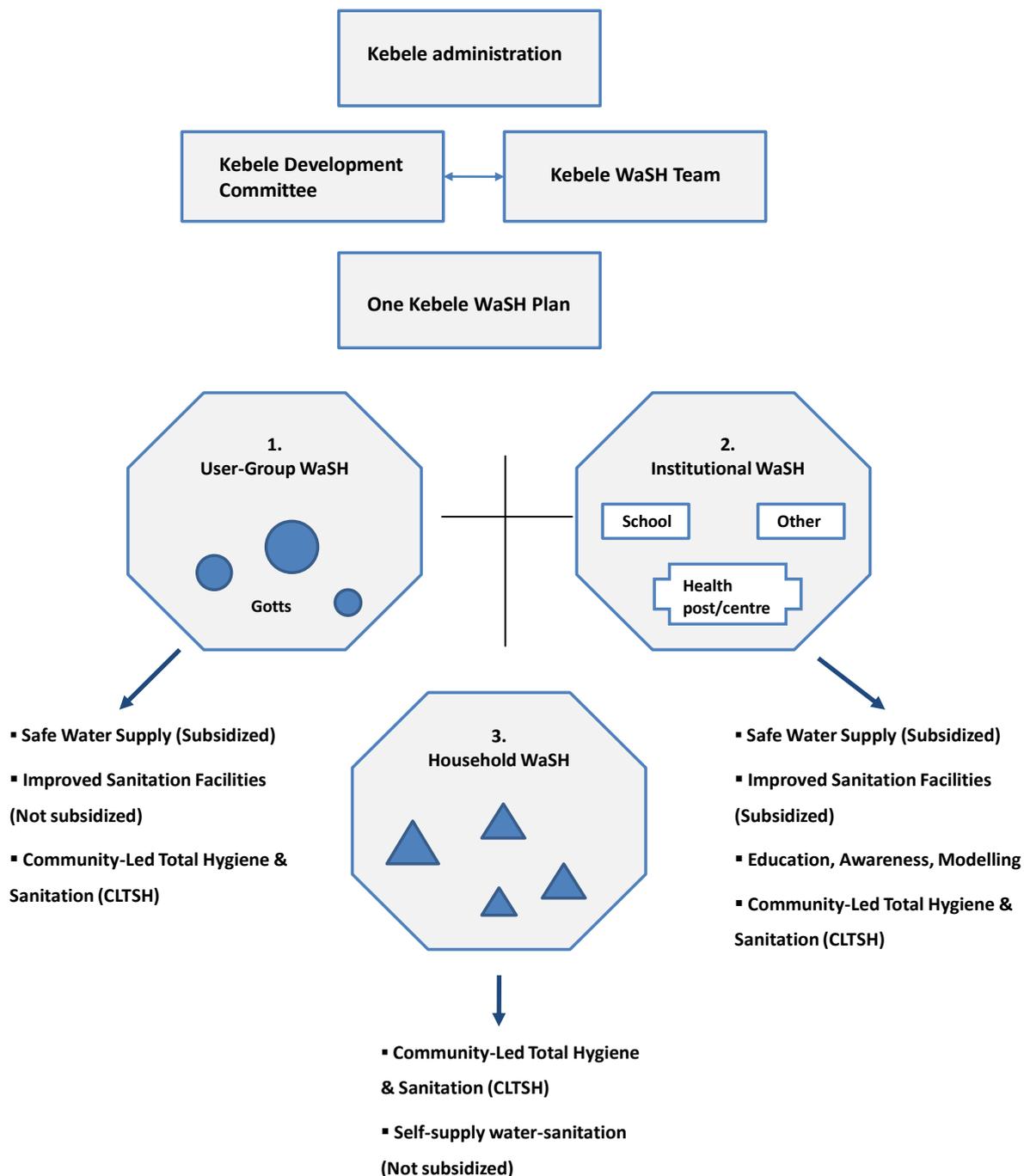
These subsidies may be administered as:

- i. Woreda Managed Projects (WMPs)
- ii. Community Managed Projects (CMPs)
- iii. NGO Managed Projects (NGO-MPs)

Subsidies are not provided for household Self-Supply water points or sanitation facilities.

Training and technical assistance is provided by the WWT to support all Kebele WaSH activity.

Figure 5: Kebele WaSH intervention structure



5.5.2.2 Kebele Preparation

Kebele Orientation & Promotion – The WWT organizes orientation/ promotion sessions providing the Kebele Administrator and Manager and Kebele stakeholders (HEWs, DAs, teachers, community elders and community volunteers) with information on the WaSH program – its opportunities and requirements. Optionally or additionally the woreda may contract the services of Community Facilitators (CFs) to help facilitate the process.

Kebele Organization – The Kebele Administration establishes a Kebele WaSH Team²² (KWT) to coordinate planning and implementation of the Kebele program and to report on the status of WaSH on the basis of the annual inventory. The Kebele Administration may assign the KWT responsibility to an existing Kebele organization such as a Health Committee. The health, water and development extension workers essentially constitute the Kebele WaSH Team.

WaSH Proposals – The gotts, schools and health centers in the Kebele, with the help of Health Extension Workers and Development Agents together with Women’s Development Armies, prepare and submit proposals²³ for WaSH activities and investments²⁴ for the year ahead. Proposals include not only projected communal activities but also projected household self-supply activities (water supply, sanitation and hand washing facilities construction or upgrading and achievement of ODF status). These are critical data since they present the full scope of WaSH plans/targets and have a direct impact on WWT budget and training plans.

Kebele WaSH Plan - on the basis of proposals submitted the KWT proposes a Kebele WaSH Plan to the Kebele Administration for a) approval; b) inclusion in the Kebele Development Plan; c) submission to the WWT.

In each Kebele there is one overall Kebele WaSH Plan, approved by the WWT and coordinated by a Kebele WaSH Team or some other body assigned with that responsibility.

All Kebele WaSH Plans make provision for:

- promotion and use of improved sanitation and hand washing facilities
- positive changes in hygiene behaviour – (Household Water Treatment and Safe Storage (HWTSS))
- improved access to and/or maintenance of safe water supply

Note: Not all annual Kebele WASH Plans will include subsidized capital investments for the construction of water/sanitation facilities. In any given year such investments may not be required – or available.

Appraisal of Kebele Plans – The WWT assesses proposed Kebele WaSH Plans on the basis of need, balance²⁵, viability and affordability within the framework of the Woreda Strategic Plan and projected allocations. The WWT validates proposals with the Kebele and negotiates an acceptable number of activities, depending on the funds available.

Subsidy Agreements – When construction subsidies are included in an annual Kebele WaSH Plan a decision²⁶ is required as to whether the subsidy will be extended as:

- a grant to the Kebele administered by the woreda (WMP)
- a transfer of funds to the project holder – e.g. WASHCO (CMP)
- contribution from an NGO (NGO-MP)

²² The Kebele Administration may mandate an existing committee or community organization (such as a Kebele health committee or a school parents’ group) to take the lead.

²³ The NWCO will provide a proposal form with guidelines for completion.

²⁴ Capital investments will not be possible in all kebeles every year. The WWT will advise kebeles in advance on the availability of funds for rehabilitation and/or construction.

²⁵ Integration of water supply, hygiene and sanitation and servicing of school and health centre requirements.

²⁶ Criteria and procedures for making this decision or set out in.....

The WMP modality requires the signing of a Grant Agreement between the Kebele Administration and the WWT. CMP modality requires Financing Agreements signed between the WWT and the project holders. The third modality requires a Letter of Agreement between the NGO, the WWT and the Kebele Administration.

In all modalities subsidies are dependent upon up-front community contributions in cash, labour, and/or in-kind contribution of no less than 15% of the estimated capital cost of the project. Exception to this may be made in the case of projects supported through the Productive Safety Net Program. In CMP projects Woreda has the authority to decide up-front cash contribution amount (usually from 1,000-3,000 Birr/project) to ensure full priority and ownership from the community.

Capacity Development – The WWT trains and deploys field workers to assist kebeles/communities organize, mobilize their resources and develop the skills required to successfully implement their plans. WaSH field workers include the Artisans, Health Extension Workers, Water Extension Workers²⁷ and Development Agents already living in the target Kebele – and, in some instances, Community Facilitators (CFs) contracted by the woreda to provide additional support.²⁸ All field workers are trained for responsibilities that are specific to the WaSH program. Training is provided by Woreda personnel and/or by a Woreda Support Agent (WSA) contracted by the WWT or in some cases RWTT on behalf of one or several woredas.

5.5.2.3 Kebele WaSH Implementation in Community Led Total Sanitation & Hygiene (CLTSH):

Planning Phase

- Health Desk leads rapid assessment of H&S situation and drafts CLTSH plan for the woreda
- Supervisors, HEWs, WEWs and DAs are trained and deployed for data collection;
- WWT analyses baseline data
- WWT conducts stakeholders' meeting to share information/analysis and gain commitment to CLTSH
- Health Desk further develops CLTSH plan and budget and submits for inclusion in Woreda WaSH Plan

Implementation Phase

- HEWs, WEWs & DAs conduct commitment building & planning meeting with Kebele WaSH Team, NGOs, and latrine artisans
- HEWs, WEWs & DAs facilitate selection and training of Community Health Promoters (CHPs)
- HEWs, WEWs, DAs, and CHPs meet with community leaders to plan CLTSH ignition
- HEWs, DAs, and CHPs facilitate ignition process, using community, small group meetings, and participatory CLTSH tools to build commitment to faeces free community
- CHPs, supported by HEWs, WEWs and DAs, conduct household/institution visits to negotiate do-able H&S behaviours
- HEWs show CHPs and gott leaders how to construct latrines with Hand Wash (HW) facilities and attain ODF status

²⁷ WEWs will not be available to every Kebele but will be deployed to in kebeles where substantial Self-Supply activities

²⁸ CFT's will be deployed to Kebele/communities with approved plans for capital expenditures.

Ethiopian WaSH Implementation Framework

- Each community/institution, with the support of HEWs, WEWs, DAs, & CHPs, develops its CLTSH plan with monitoring indicators.
- Reports on the behaviour change indicators in the Annual WaSH inventory submitted to the Woreda

5.5.2.4 User Group WaSH and Institutional WaSH

User Group WaSH and Institutional WaSH are presented in the table below with comparison between the WMP and CMP processes.

Ethiopian WaSH Implementation Framework

USER GROUP WaSH

Kebele Administration and WWT determine which modality will be used in the Kebele for financing and managing WaSH construction projects - WMP or CMP. The detail description hereunder discussed CMP financing mechanism to the community through MFI only. If any other financing mechanism to the community through the government financial system is developed and tested it will be then incorporated into this framework.

Preparation Phase

- KWT informs community about WaSH program and invites members to participate and make proposals.
- User Groups (existing or potential) indicate interest and may request assistance to form or strengthen their WASHCO and prepare a WaSH Plan.
- WWT selects, hires²⁹, and arranges training of field workers (FWs) to facilitate community (WASHCO) planning
- WASHCO and the User Group members prepare a WaSH Action Plan to:
 - improve their access to safe water
 - upgrade and increase their use of sanitation and hand washing facilities
 - achieve total behaviour change in hygiene and sanitation

If the User Group WaSH Plan includes a Water Point construction³⁰ project.....



Woreda Managed Project

Preparatory Phase

- WASHCO, with and on behalf of, the User Group prepares and submits a Facilities Management Plan (FMP) to the KWT that includes technology choice, proposed siting, estimated costs, community contribution, tariff and O&M arrangements.
- WASHCO raises community contribution to capital costs – cash and in-kind equivalent to no less than 15% of estimated investment required – and deposits

Community Managed Project

Preparatory Phase

- WASHCO with, and on behalf of, the User Group prepares and submits a preliminary CMP Application to the KWT that includes technology choice, proposed siting, estimated costs, community contribution, tariff and O&M arrangements.
- WASHCO raises community contribution to capital costs – cash and in-kind equivalent to no less than 15% of estimated investment required – and

²⁹ Some woredas may choose to contract Community Facilitation Teams

³⁰ *Construction* may include well re-location or rehabilitation as well as new well construction.

Ethiopian WaSH Implementation Framework

<p>cash contribution in a WASHCO account opened either in Bank or in MFI Sub-branch</p> <ul style="list-style-type: none"> ○ KWT reviews the User Group’s proposal, among others, and drafts a Kebele WaSH Plan incorporating FMPs and reflecting other needs and interests of the whole community – User Groups, Schools and Health Posts and Householders ○ Kebele Administration reviews and validates the draft Kebele WaSH Plan and forwards it to the WWT for initial approval and inclusion in the draft Woreda WaSH Plan. ○ The WWT trains adequate number of artisans before implementation phase to provide construction support to communities <p>Subject to final Woreda approval of the Kebele WaSH Plan...</p> <ul style="list-style-type: none"> ▪ the Kebele Administration signs Grant Agreement with WWT ▪ WWT reviews the FMPs in the Kebele WaSH Plan and verifies each with a site visit. <p>Subject to approval the WASHCO FMP...</p> <ul style="list-style-type: none"> ▪ the WASHCO, Kebele Administration & the WWT sign a tri-partite Project Agreement. 	<p>deposits cash contribution in a WASHCO savings account opened in MFI sub branch</p> <ul style="list-style-type: none"> ○ KWT reviews the User Group’s application, among others, and drafts a Kebele WaSH Plan incorporating CMP applications and reflecting other needs and interests of the whole community – User Groups, Schools and Health Posts and Householders ○ Kebele Administration reviews and validates the draft Kebele WaSH Plan and forwards it to the WWT for initial approval and inclusion in the draft Woreda WaSH Plan. ○ The WWT undertakes desk and field appraisals of each CMP Applications. ○ The WWT trains adequate number of artisans before implementation phase to provide construction support to communities <p>Subject to final Woreda approval of the Kebele WaSH Plan and positive appraisal of User Group’s Application....</p> <ul style="list-style-type: none"> ▪ The WASHCO signs a Funding Agreement with the WWT ▪ Based on a letter from the WWT the WASHCO will open a special Project Account with the FMI sub branch into which the MFI will deposit the investment funds ▪ The WWT authorizes WASHCO withdrawals from the CMP account based on an approved Implementation Plan.
<p>Implementation Phase</p> <ul style="list-style-type: none"> ○ Community Facilitators (CFs)³¹ and Water Extension Workers (WEWs) continue to train WASHCO for project management under WMP protocols - and for subsequent O&M responsibilities ○ The WWT (or RWTT)³² secures services of artisans/contractors for construction and procures necessary tools and equipment, such as hand pumps, as well as building materials not supplied by the community. 	<p>Implementation Phase</p> <ul style="list-style-type: none"> ○ WWT, Community Facilitators (CFs)³³ and Water Extension Workers (WEWs) continue to train the WASHCO for project management under CMP protocols - and for subsequent O&M responsibilities ○ The WASHCO secures services³⁴ of artisans/contractors for construction and procures necessary tools and equipment,³⁵ such as hand pumps, as well as building materials not supplied by the community.

³¹ Community Facilitators may be contracted from the private sector, drawn from woreda/Kebele personnel or assigned by an NGO

Ethiopian WaSH Implementation Framework

<ul style="list-style-type: none"> ○ WASHCOs assemble local materials and mobilize community labour and services (e.g. site clearance, equipment storage) in accordance with terms of the Project Agreement. ○ Contractors/artisans construct – WWT and the sector offices supervise and WASHCO monitors. ○ Caretakers, selected by the WASHCO, are trained for preventive maintenance and minor repairs by contractors/artisans and/or woreda personnel ○ Contractors/artisans collect and send water samples to MoH laboratory for quality testing and analysis. ○ WASHCO and WWT “sign off” on completed work and authorize final payments. ○ Woreda Administration, the sector offices and WWT “handover” the completed project to the User Group. 	<ul style="list-style-type: none"> ○ WASHCOs assemble local materials and mobilize community labour and services (e.g. site clearance, equipment storage) in accordance with terms of the Implementation Plan. ○ Contractors/artisans construct, in collaboration with, and under the supervision of, the WASHCO – WWT and the sector offices provide back-up technical assistance and is responsible for quality control. ○ Caretakers, selected by the WASHCO, are trained for preventive maintenance and minor repairs by contractors/artisans and/or woreda personnel ○ Contractors/artisans collect and send water samples to MoH laboratory for quality testing and analysis ○ WASHCO fully accounts for funds withdrawn from the CMP account - providing the WWT with original receipts for authorized expenditures ○ WASHCO “signs off” on completed work, make final payments and with WWT concurrence closes the CMP account at project end ○ No “handover” is required as WASHCO has been the “owner” throughout the process ○ Woreda Administration and sector offices and WWT members participate in the completion ceremony organized and financed by WASHCO. In this ceremony Public Audit is conducted by the community.
<p>Post Implementation Phase (Not subsidized) a) Financial Management</p>	<p>Post Implementation Phase³⁶ (Not subsidized) a) Financial Management</p>

³² The Region may procure goods and services on behalf of the woreda to achieve economy of scale or provide expertise not locally available

³³ Community Facilitators may be contracted from the private sector, drawn from woreda/Kebele personnel or assigned by an NGO

³⁴ Under CMP a WASHCO may contract out procurement services and/or request the WWT to undertake specific procurement/storage/transportation tasks on their behalf.

³⁵ The WTT lends molds and some specialized construction equipment available to the WASHCO

³⁶ KWT and WWT shall conduct update WaSH inventory and involve WASHCO into the inventory

Ethiopian WaSH Implementation Framework

<ul style="list-style-type: none"> • WASHCO continues to collect tariffs and manage funds <p>b) O&M Management</p> <ul style="list-style-type: none"> • WASHCO carries out preventive and corrective O&M including the purchase of spare parts payment for major repairs <p>c) Water resource protection</p> <ul style="list-style-type: none"> • Community carries out protection of the water resource <p>d) Water safety planning</p> <ul style="list-style-type: none"> • WASHCO prepares WSP and implements it accordingly • WASHCO carries out sanitary surveys <p>e) Household and personal hygiene</p> <ul style="list-style-type: none"> • Improvement of latrines • Personal hygiene promotion • Household water and waste water and solid waste management • Safe water storage <p>f) Nutrition and income generation</p> <ul style="list-style-type: none"> • WASHCO promotes improved nutritional habits and household level income generation • WASHCO plans, finances and implements projects on Multiple use of water 	<ul style="list-style-type: none"> • WASHCO continues to collect tariffs and manage funds <p>b) O&M Management</p> <ul style="list-style-type: none"> • WASHCO carries out preventive and corrective O&M including the purchase of spare parts payment for major repairs <p>c) Water resource protection</p> <ul style="list-style-type: none"> • Community carries out protection of the water resource <p>d) Water safety planning</p> <ul style="list-style-type: none"> • WASHCO prepares WSP and implements it accordingly • WASHCO carries out sanitary surveys <p>e) Household and personal hygiene</p> <ul style="list-style-type: none"> • Improvement of latrines • Personal hygiene promotion • Household water and waste water and solid waste management • Safe water storage <p>f) Nutrition and income generation</p> <ul style="list-style-type: none"> • WASHCO promotes improved nutritional habits and household level income generation • WASHCO plans, finances and implements projects on Multiple use of water
--	--

<p>INSTITUTIONAL WaSH (Health Posts, Health Centres & Schools)</p> <p>Kebele Administration and WWT determine which modality will be used in the Kebele for financing and managing WaSH construction projects - WMP or CMP. The detail description hereunder discussed CMP financing mechanism to the community through MFI only. If any other financing mechanism to the community through the government financial system is developed and tested it will be then incorporated into this framework.</p> <p>Preparation Phase</p> <ul style="list-style-type: none"> ○ KWT informs community about WaSH program and invites members to participate and make proposals ○ Health and Education Institutions form WaSH Committees and may request WWT assistance in organizing and planning for WaSH activities ○ WWT selects, hires³⁷, and arranges training of field workers (FWs) to provide this support ○ The WaSH Committees prepare a WaSH Action Plan to: <ul style="list-style-type: none"> - improve their access to safe water - upgrade and increase their use of sanitation and hand washing facilities - achieve total behaviour change in hygiene and sanitation within their respective Institutions. <p style="text-align: center;">If the Institution's WaSH Plan includes a Water Point and/or Sanitation Facilities construction³⁸ project</p> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <div style="text-align: center;">  </div> <div style="text-align: center;">  </div> </div>	
<p>Woreda Managed Project</p> <p>Preparatory Phase</p> <ul style="list-style-type: none"> ○ The WaSH Committee (WC), drafts a preliminary Facilities Management Plan that includes technology choice, proposed siting, estimated costs, institutional contribution, tariff and O&M arrangements. ○ The draft FMP is reviewed by the Institution's governing body and if approved 	<p>Community Managed Project</p> <p>Preparatory Phase</p> <ul style="list-style-type: none"> ○ The WC drafts a preliminary CMP Application that includes technology choice, proposed siting, estimated costs, institutional contribution, tariff and O&M arrangements ○ The WC raises the Institution's contribution to capital costs – cash and in-kind equivalent to no less than 15% of estimated investment required – and deposits

³⁷ Some woredas may choose to contract Community Facilitation Teams

³⁸ *Construction* may include well re-location or rehabilitation as well as new well construction.

Ethiopian WaSH Implementation Framework

<ul style="list-style-type: none"> ○ The draft is submitted to the KWT ○ The WC organizes the Institution’s contribution to capital costs – cash and in-kind equivalent to no less than 15% of estimated investment required – and deposits cash portion into a special WaSH account ○ KWT reviews the Institution’s proposal, among others, and drafts a Kebele WaSH Plan incorporating the Institution’s FMPs and reflecting other needs and interests of the whole community – other Institutions, User Groups and Householders ○ Kebele Administration reviews and validates the draft Kebele WaSH Plan and forwards it to the WWT for initial approval and inclusion in the draft Woreda WaSH Plan ○ The WWT trains artisans capable to support institutions in water supply and sanitation facilities construction <p>Subject to final Woreda approval of the Kebele WaSH Plan</p> <ul style="list-style-type: none"> ○ the Kebele Administration signs Grant Agreement with WWT ○ WWT reviews the FMPs in the Kebele WaSH Plan and verifies each with a site visit. <p>Subject to approval the Institution’s FMP...</p> <ul style="list-style-type: none"> ○ the Institution, Kebele Administration & the WWT sign a tri-partite Project Agreement. 	<ul style="list-style-type: none"> cash portion into Institutional savings account with the pertinent MFI sub branch ○ KWT reviews the Institution’s Application, among others, and drafts a Kebele WaSH Plan incorporating CMP Applications and reflecting other needs and interests of the whole community – other Institutions, User Groups and Householders ○ Kebele Administration reviews and validates the draft Kebele WaSH Plan and forwards it to the WWT for initial approval and inclusion in the draft Woreda WaSH Plan. ○ The WWT undertakes desk and site appraisals of each CMP Applications. ○ The WWT trains artisans capable to support institutions in water supply and sanitation facilities construction <p>Subject to final Woreda approval of the Kebele WaSH Plan and positive appraisal of Institution’s Application</p> <ul style="list-style-type: none"> ○ The WC signs a Funding Agreement with the WWT ○ Based on a letter from the WWT the WC will open a special Project Account with the MFI sub branch into which the CMP contribution is deposited ○ The WWT authorizes WC withdrawals from the CMP account based on an approved Implementation Plan.
<p>Implementation Phase</p> <ul style="list-style-type: none"> ○ Community Facilitators (CFs)³⁹ and Extension Workers continue to train the WC for project management under WMP protocols - and for subsequent O&M responsibilities ○ The WTT (or RWTT)⁴⁰ secures services of artisans/contractors for construction and procures necessary equipment, such as hand pumps, as well as building materials not otherwise supplied by the community. 	<p>Implementation Phase</p> <ul style="list-style-type: none"> ○ Community Facilitators (CFs) and Extension Workers (EWs) continue to train the WC for project management under CMP protocols - and for subsequent O&M responsibilities ○ The WC secures services⁴¹ of artisans/contractors for construction and procures necessary equipment,⁴² such as hand pumps, as well as building materials not otherwise supplied by the community.

³⁹ Community Facilitators may be contracted from the private sector, drawn from woreda/Kebele personnel or assigned by an NGO

Ethiopian WaSH Implementation Framework

<ul style="list-style-type: none"> ○ The WC assembles local materials and mobilizes volunteer labour and services (e.g. site clearance, equipment storage) in accordance with terms of the Project Agreement. ○ Contractors/artisans construct – WWT and the sector offices supervise and the WC monitors. ○ Caretakers, selected or recruited by the WC, are trained for preventative maintenance and minor repairs by contractors/artisans and/or woreda personnel ○ Contractors/artisans collect and send water samples to MoH laboratory for quality testing and analysis. ○ WC and WWT “sign off” on completed work and authorize final payments. ○ Woreda Administration and WWT “handover” the completed project to the Institution. 	<ul style="list-style-type: none"> ○ WC assembles local materials and mobilizes community labour and services (e.g. site clearance, equipment storage) in accordance with terms of the Implementation Plan. ○ Contractors/artisans construct – WC monitors and supervises and is responsible for quality control – WWT provides back-up technical assistance. ○ Caretakers, selected or recruited by the WC, are trained for preventative maintenance and minor repairs by contractors/artisans and/or woreda personnel ○ Contractors/artisans collect and send water samples to MoH laboratory for quality testing and analysis ○ WC fully accounts for funds withdrawn from the CMP account - providing the WWT with original receipts for authorized expenditures. ○ WC “signs off” on completed work, makes final payments and, with WWT concurrence, closes the CMP account at project end. ○ No “handover” is required as Institution has been the “owner” throughout the process. ○ Woreda Administration and sector offices and WWT participate in the completion ceremony organized and financed by WASHCO. In this ceremony Public Audit is conducted
<p>Post Implementation Phase (Not subsidized) WC continues to manage the wider WaSH program educating, creating awareness, training and fostering behavioural change as well as preparing and implementing Water Safety Plan (WSP).</p>	<p>Post Implementation Phase (Not subsidized) WC continues to manage the wider WaSH program educating, creating awareness, training and fostering behavioural change as well as preparing and implementing Water Safety Plan (WSP).</p>

⁴⁰ The Region may procure goods and services on behalf of the woreda to achieve economy of scale or provide expertise not locally available

⁴¹ Under CMP a WASHCO may contact out procurement services and/or request the WWT to undertake specific procurement/storage/transportation tasks on their behalf.

⁴² The WWT lends molds and some specialized construction equipment available to the WASHCO

5.5.2.5 Self Supply

Self Supply in WaSH refers to the un-subsidised construction of a household water supply, or a water supply shared by small number (typically 2-4) households. The technologies used vary. Water sources include: hand dug wells; manually augered wells; and rain water harvesting using roof catchments. Lifting devices include: rope & bucket with, or without, a windlass; simple bucket or rope and washer pump; and, in some instances, more sophisticated diesel, electrical or solar powered pumps.

The responsibility for establishing a self-supplied water source lies with the household(s) involved. Government involvement is limited to the provision of advice on technologies and water safety such as:

- promoting well lining and other forms of protection
- advising householders on the risk of consuming microbial or chemically contaminated water and on how to reduce the risk at the water source and the point of consumption
- in some instances, facilitating markets for the purchase of hardware and services

In general, the Government actively promotes the concept of Self Supply, noting these points about quality and safety. As the investment and associated risks are borne by participating household(s), Self Supply is unfettered by rules and regulations. The situation changes when water is sold to consumers, however. In this case, Government policy and legislation apply in terms of licensing and water safety.

Although Self Supply projects do not draw on WaSH funds for investment they are an important and integral part of the National WaSH program. The current status, future status and promotion of Self Supply should be reflected in Kebele and Woreda WaSH Plans. To the extent possible, the National WaSH Inventory captures Self Supply with results reported, recorded and tallied as achievements toward the targets of the National WaSH Growth & Transformation Plan.

5.5.2.6 Non-Governmental Organizations as WaSH Implementers

A Non-Governmental Organizations support/implement the WaSH program in a number of Kebeles in whole, or in part. This support is provided within the framework of the approved Woreda and Kebele WaSH Plans. The role and responsibilities of NGOs will vary according to the project agreement signed between the GoE and the pertinent NGO but all of their investments, activities and outputs are within the context of the ONE WaSH Program in which they are major partners.

6 Pastoralist WaSH

6.1 Introduction

Pastoralists constitute more than 95% of the population in the Afar and Somali Regions. They also represent a significant portion of the population in the Borana zone of Oromia and South Omo zone of SNNPRS. The pastoralist areas cover about 61% of the total area of the country and represent 12-13 % of the total population of the country, which numbers approximately 80 million in 2008.

In Ethiopia pastoralists are not fully nomadic. The elderly, children and women who are pregnant or lactating remain in a permanent settlement. During the dry season, which lasts 3-4 months, the stronger men and youths move out in search of water and grazing land.

The Ethiopian Government has prepared a pastoral community development policy and a department to follow its implementation and established under the Ministry of Federal Affairs. The policy focuses on a number of key elements related to the well-being of individuals and families as well as sustained socio-economic development, including:

- (a) Phased voluntary sedentarization along the banks of the major rivers,
- (b) Community-based and integrated development with irrigation as the basis and livestock production as the focus, complemented by access to social and public services,
- (c) Promotion of integrated rural development and rural-urban link, through, amongst others, the creation of small market centers,
- (d) Reduction of vulnerability to disasters,
- (e) Recognition of the clan:
 - as a mobile social unit while the woreda is the static settlement,
 - as the focal point of entry to introduce and foster development in pastoralist areas,
- (f) Enabling environment for private sector and NGOs to play positive roles.

Strategies identified include:

- Provision of suitable social services to the pastoralists
- The expansion of infrastructure to improve livestock marketing
- Ensuring the participation and full consent of the pastoralists in government interventions
- Clan or a number of associated clans to be the entry point for any intervention
- Joint and coordinated effort of the federal and regional governments for all development interventions
- Combining good governance and pastoral development
- Supporting the local government structure at the district level

Further, the Government's Water Resources Management Policy and the water sector strategy treat in a broader context the special needs of pastoral communities. The policy and the strategy give emphasis to the inclusion of livestock water supply in every water development plan and activity in ways and means deemed necessary. Thus, WaSH planning, implementation, operation and maintenance and financing should have to take due consideration to include water supply for livestock.

This section of the Implementation Manual concentrates on the management and implementation of WaSH program in the pastoralist context – which includes:

- social structures at the sub-clan/village and clan/Kebele level
- extended family communities
- traditional clan leadership in administration, the judiciary and in conflict resolution⁴³
- harsh weather/ long dry season
- livestock as the basic means of livelihood

A further feature of the current pastoralist context is the plethora of agencies and projects active in attempting to address the specific and challenging needs of this segment of the rural population. These include:

- Ministerial Board at Federal Level Concerned with pastoralist sustainable development
- Regional Bureaus specific to Pastoralist region (such as Regional Pastoralist and Rural Development Bureau)
- Animal Extension Service Program
- Pastoralist Extension Health Service Program
- Alternative Basic Education Program
- Pastoralist Community Development Project based on the principles of:
 - community demand driven
 - participatory action learning
 - decentralized risk management
 - sustainable livelihood approach

The WaSH program must be adapted to effectively address the particular circumstances and requirements of the pastoralists – and to work through, or in collaboration with, other programs active in the area. Specifically, this means WaSH must be aligned with, and contribute to, the **sustainable livelihood approach** or strategy that is common to the most successful initiatives in pastoralist development⁴⁴. WaSH will draw on the experience of other agencies – governmental and non-governmental – and apply their lessons learned with respect to advocacy, capacity development, fund-flow and community management.

Recent developments that support the implementation of WaSH in the pastoralist areas include:

- establishment of full-fledged woreda structures through to the Kebele level
- preparation of national hygiene and sanitation strategies and protocols
- training and deployment of Pastoral Health Extension Workers
- initiation of the Community-Led Total Sanitation (CLTS) Program

The **objectives** of the WaSH program in the pastoralist areas are:

- to improve access to safe water supply for domestic use including livestock;

⁴³ Most commonly with respect to water and grazing land management

⁴⁴ Pastoralist Community Development Project (PCDP) in particular

- to improve access to minimum standard latrine; and
- to promote hygiene practice for total community behavioral change.

To achieve these objectives pastoralist WaSH will need to be aligned with, and work through, existing woreda, Kebele and clan structures and collaborate with, and learn from, other agencies, organizations and projects successfully implementing development programs among pastoralist communities – particularly with a sustainable livelihood approach.

It is expected that WaSH in the pastoralist areas will adhere to the same *basic principles* (see 7.3) as WaSH in other areas of the country. However, it is also expected that each pastoralist region, woreda and Kebele will develop *implementation strategies* that are appropriate to their specific needs, circumstances and resources.

6.2 Special Features of WaSH in the Pastoralist Region

The WaSH (both rural and urban WaSH components) principles, objectives, planning, implementation, financing, monitoring and evaluation procedures, and the institutional arrangements are substantially the same as discussed in the respective sections of this Framework. The special features of the pastoralist regions which require due attention in planning and implementation of WaSH in pastoralists regions are:

- Occasional mobility of the community with their livestock,
- Provision of water supply for livestock (basic means of livelihood) along with the domestic use,
- Relatively Lower capacity at community and Woreda levels compared to the other non-pastoralist regions,
- Federal Government's special support to the regions,
- Clan/sub clan based community organization and community leadership,
- Government's development effort to facilitate voluntary settlement of the community,
- Susceptibility for overgrazing in case of concentration of water points in limited areas of grazing land,
- Relatively high investment costs of water supply infrastructures due to low accessibility, remoteness of the regions from the center of the country and water scarcity.

Thus, the pastoralist WaSH has to take these special features into consideration. Accordingly, in addition to what is discussed in each section, the following are to be considered for pastoralist regions:

- In the institutional arrangement, at federal level Ministry of Federal Affairs will be included in the NWSC and NWTT on invitation basis on the discussions (planning, implementation and M&E) of pastoralist WaSH issues
- In the institutional arrangements at region and Woreda levels pertinent government offices responsible for the pastoralist communities will be included as members
- The WaSH intervention will consider both the mobile and non-mobile members of the pastoral communities and their livestock
- The traditional clan community management structure will be used to mobilize the community participation and ownership of the outputs of the WaSH intervention giving emphasis to women empowerment

- In addition to CFTs for the WaSH intervention to the non-mobile pastoralist community members, Mobile Community Facilitation Teams (MCFT) to the WaSH intervention for the mobile members of the community will be considered at community level
- Relatively more capacity building intervention at community and Woreda levels will be considered to enhance the existing low capacities
- The WaSH intervention will align with the government's effort to facilitate voluntary pastoralists' settlement
- Improvement/upgrading of local traditional water supply schemes to ensure safe drinking water supply and implementation of low cost technologies where they are feasible will be given due attention for rural WaSH to cope with the higher investment costs
- As the rural pastoralist communities usually settle in the vicinity of towns to share the water supply and other facilities of urban areas, this will be taken into consideration in urban WaSH planning, implementation and management
- Water points for the mobile pastoralist community members and their livestock will be constructed scattered avoiding concentration on limited grazing areas to avoid overgrazing

6.3 WaSH Program Alternatives in a Pastoralist Region

The assumption is that a woreda in a pastoralist Region may have a combination of Kebeles that include:

- Non-pastoralist kebeles
- Pastoralist kebeles without NGO activities or livelihood projects
- Pastoralist kebeles with NGO activities and livelihood projects

In each instance the WaSH implementation strategy would vary.

6.3.1 Non-pastoralist Kebeles

The non-pastoralist Kebeles generally will have the institutional capacities (health facility and schools, human resources and accessible water supply that will enable them to carry out the basic WaSH program as outlined in the previous Rural WaSH Section 5.

6.3.2 Pastoralist Kebele without NGOs Activities or Livelihood Projects

Implementation of WaSH Program in these Kebeles will be the most challenging due not only to the mobility of major segments of the communities but to the lack of other programs/activities with which to collaborate. The implementation of WaSH program in these circumstances will focus on adapting the regular rural WaSH program to meet the special requirements of the sedentary members of the community or family – the women, children and the elderly that remain in place throughout the year. Adaptations generally will involve incorporating into the regular program relevant features of the sustainable livelihood approach being implemented elsewhere by PCDP and various NGOs. This strategy would not only enhance the implementation of WaSH but it would enable WaSH to introduce the sustainable livelihood approach where it is not already current. It would require regions to coordinate exchanges among woredas, and woredas among Kebeles, to promote the spread of innovative and best practices. It would also require wider exposure and supplementary training for extension workers and local service providers to ensure that they have the perspective and skills necessary to advance the more comprehensive approach.

Regions and woredas might consider concentrating allocation of WaSH resources to Kebeles that do not have the benefit of other WaSH-inclusive programs and projects.

6.3.3 Kebele with NGO and/or Livelihood Programs

The basic strategy in these Kebeles will be to integrate WaSH into existing and ongoing development activities rather than attempting to establish WaSH as a distinct program with separate structures. Given the specific nature and needs of pastoralist communities most livelihood-oriented projects have proportionately high investments in water supply - for both human and animal consumption. The need, therefore, is not so much to raise awareness and demand for water supply as it is to ensure that water supply investments are accompanied by activities directed toward positive change in hygiene behaviour the use of improved sanitation facilities and reducing the burden of water collection and transport on women and children. This is the “value added” that WaSH can bring to existing programs and projects⁴⁵

In short, the proposed strategy for Kebeles with livelihood programs is;

- To make investments in water supply through existing Livelihood projects/programs
- To ensure that water supply is integrated with hygiene and sanitation
- To avoid overlap or duplication of services

This strategy could include WaSH funds being used to increase coverage and effectiveness of existing programs through capital investments and/or support for advocacy and capacity building related to hygiene and sanitation behaviour change. Ideally, WaSH will enhance and enlarge existing programs and will, in turn, benefit from the momentum, the relationships and the best practices that other projects and programs have established.

All WaSH activities, whether or not supported from core WaSH Funds, will need to be:

- included in Kebele WaSH Plans
- reflected in Kebele WaSH investments and expenditures (whether on or off budget)
- incorporated in Kebele WaSH reports
- monitored within the WaSH M&E system

Protocols and mechanisms will need to be developed to achieve this.

When/if projects or programs terminate or move on to other woredas/Kebeles the mechanisms they have established for WaSH implementation will be, or may be, sustained directly by the WWT and the Kebele Administration. Thus, WaSH program support will continue.

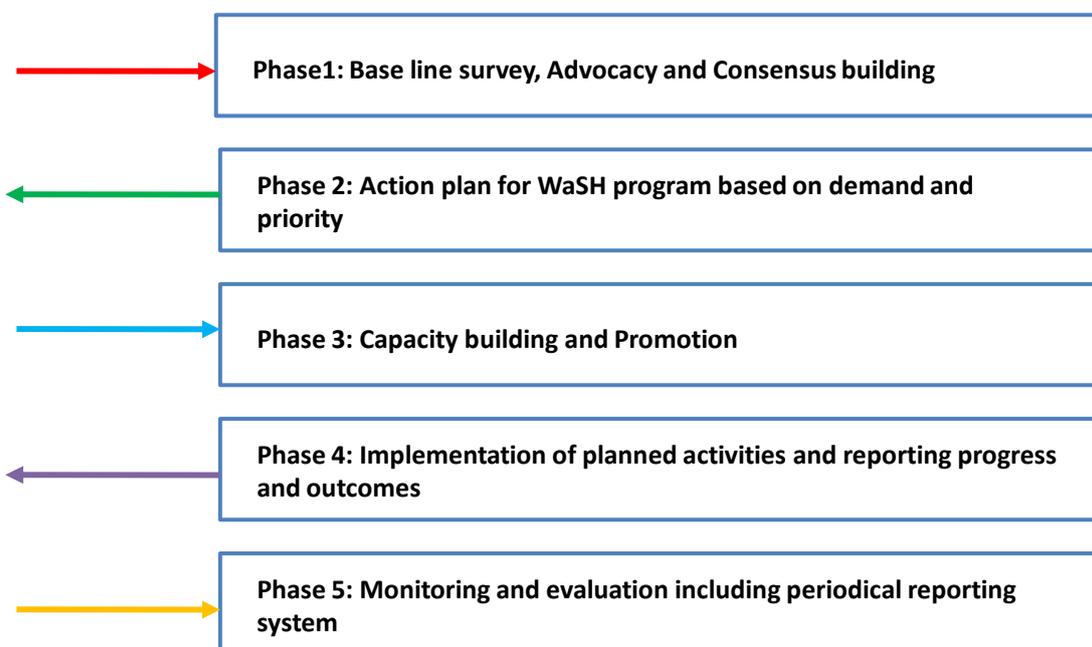
6.4 WaSH Program Cycle

The program cycle is based on a five years WaSH Strategic Plan toward achievement of PASDEP and UAP targets. Strategic Plans are broken down into Annual Plans and Annual Plans are broken down into quarters. Kebele WaSH program implementation will follow the 5 phases and 9 steps outlined below in figure 6 and table 3.

Figure 6: Pastoralist WaSH outline

⁴⁵ This applies not only to Livelihood programs but others that focus on water supply such as the Food Security (Productive Safety Net) Program.

Ethiopian WaSH Implementation Framework



Ethiopian WaSH Implementation Framework

Table 4. : Woreda and Kebele/Sub Clan and Clan level WaSH Program

Step	WaSH Activities	Lead Responsibility	Report to	Supported by
1. Base line survey	Collect relevant information on WaSH and livelihood program	PHEW	KWT	VEHW, Teachers, WWT
2. Advocacy and consensus building	Advocate the community/households, government sectors at Kebele, clan leaders/judiciary	WWT	Woreda Cabinet	WSAs, MST
3. Coordination	Establishment of KWT, Hiring of CFTs, TSA	WWT	Woreda Cabinet	MST, WSA
4. Planning	Plan based on priorities identified during advocacy (Hard and soft ware)	KWT	KDC	WSAs, MST,
5. Capacity building	Training of WASHCO, CFTs, MOT, PEHWs, ABEF/Teachers, VEHWs, TSA	WSAs	WWT	WWT
6. Promotion	Promotion of WaSH/community/ households	WaSHVols	KWT	WSAs, CFTs, MST
7. Implementation	Demonstration of water supply and latrine in schools, health facility, veterinary post Community water supply	WWT	Regional WMU	WSAs, MST, MOT
	Hygiene promotion households, schools and health facility Households latrine(managed by individual households)	WASHCO	KWT	
8. Monitoring	Regular report Regular supervision and feedback WaSH program activities	KWT, WWT	WWT, Woreda Cabinet	VEHW, CFTs, WSAs, MST
9. Evaluation	Periodically Program Evaluation	Woreda WaSH Coordinator &WWT	RWCO	MST, WSAs

Pastoralist WaSH Structures from Region to Community Level

Ethiopian WaSH Implementation Framework

Regional WaSH Steering Committee,
Regional WaSH Technical Team,
Program Management Units (3),
Regional WaSH Coordination Office

(Woreda Support Groups – contracted at regional level to serve woredas)

Note: These structures may be adapted to conform to the needs, resources and special circumstances at each level

Woreda Level

Woreda Cabinet (serves as Steering & Technical Committees)
Woreda WaSH Team,

(Community Facilitation Teams – contracted at woreda level to serve Kebeles and WASHCOs)

Kebele Administration (Manager),
Kebele Development Committee
Kebele WaSH Team - PEHWs,
Teachers, DAs,

Community Level

WASHCOs
Clan/sub clan judiciary,
ABEF,
Religious leaders

7 Financial Management & Procurement

7.1 Introduction

Funds supporting WaSH activities come from several sources:

- The Federal Government of Ethiopia⁴⁶
- External Financing Agencies (investors/donors)
- Non-Governmental Organizations (civil society)
- Participating Communities

Federal Government of Ethiopia:

Government financial support for WaSH is, for the most part, by way of the Block Grant that is channelled from the Federal to the Regional governments for both recurrent and investment costs. Due to the limited nature of treasury resources, capital budgets from the Block Grant are limited – especially at the woreda level. Most of the government support is in the form of salaries for government employees working in the WaSH program. These expenditures are not included in the WaSH budget.

External Financing Agencies

Some donor contributions are made to support the WaSH program specifically. Other contributions are made in support of more comprehensive development programs, such as Safety Net, that *include* some WaSH activities and outputs. Donor contributions made specifically for WaSH constitute the core (Consolidated WaSH Account) budget. Planned expenditures on WaSH by other programs, such as Safety Net, are not a part of the CWA budget but are acknowledged as a part in the overall contribution to WaSH and constitute a portion of the *Composite WaSH Budget*.

Non-Government Organizations

NGOs are major investors in, and implementers of, the WaSH program. Their funds, however, do not flow through government channels and are therefore “off-budget”. However, NGO planned expenditures on WaSH are also included in *Composite WaSH Budget*.⁴⁷

Participating Communities

All communities undertaking WaSH construction projects, in any given year, make a cash/in-kind contribution to construction/installation costs.⁴⁸ These contributions are also “off-budget” but are recorded and reported and included in the resource mapping that initiates annual WaSH budgeting in the woredas. On an ongoing basis, WASHCOs receive and manage community funds, primarily through tariffs, for purposes of operations and maintenance. Financial records are maintained by the WASHCOs but these are not included in the national WaSH financial reporting system.

⁴⁶ GoE supports WASH directly and indirectly through a number of channels. One of the most significant is the Food Security (Productive Safety Net Program) that invests substantially in construction of WASH facilities. (PSNP funds currently are not administered through any of the WASH accounts. They are, however, through “resource mapping” taken into account in the WASH planning and budgeting process.

⁴⁷ NGO and PNSP outputs are included in national WaSH physical reports and are acknowledged for their contribution toward GTP targets.

⁴⁸ PSNP communities may be exempt from this requirement.

7.2 WaSH Funding Arrangements

Donors' contributions⁴⁹ to WaSH:

- are transferred from a donor *Foreign Special Accounts* into the *Consolidated WaSH Account* administered by MoFED and
- flow through Channel 1b to the governmental WaSH implementing agencies at the national, regional, woreda levels – and, in some instances (CMP financing mechanism using CDF approach) to communities through intermediary micro-finance institutions (MFIs)

The balance of this section describes the flow of CWA WaSH funds and outlines the financial management procedures by which WaSH financial transactions are recorded and reported by implementing agencies at all levels in the National WaSH Program.

Details of the financial system are provided in the *WaSH Program Financial Management Manual* (dated November 2007), which serves as the “how-to” handbook for WaSH accountants and managers. What follows is an overview and outline of that system.

In general, the WaSH financial system is based on the FGE Accounting System’s policies and procedures.

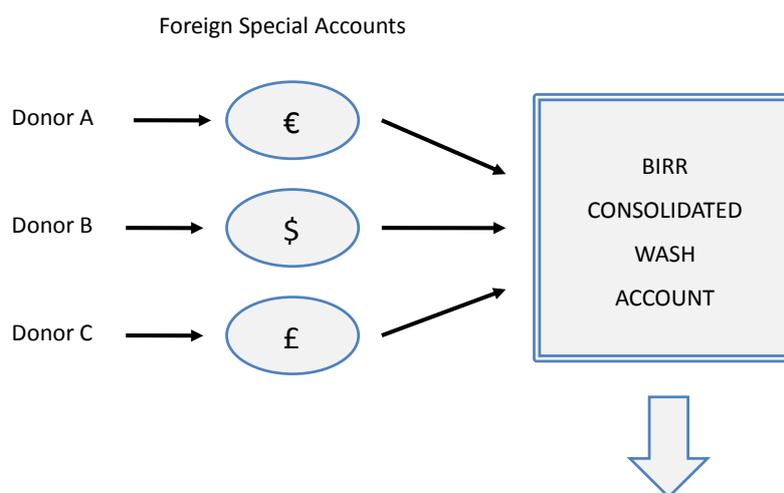
7.2.1 Fund Flow

Step I: From donors to the Consolidated WaSH Account

Each participating donor/financer negotiates a contribution agreement with the Federal Government of Ethiopia that includes an arrangement to have their funds, along with those of other donors, administered by MoFED out of a single Consolidated WaSH Account.

Donors deposit their initial (and subsequent) contributions into a Foreign Special Account opened by MoFED in each of their names at the National Bank of Ethiopia.

Contributions are converted and transferred from the Foreign Special Accounts into the Consolidated WaSH (Birr) Account that is managed by MoFED.



⁴⁹ The possible inclusion of government WaSH investments being deposited into the Consolidated WaSH Account has not yet been addressed.

National WaSH Implementation Framework (Summary)

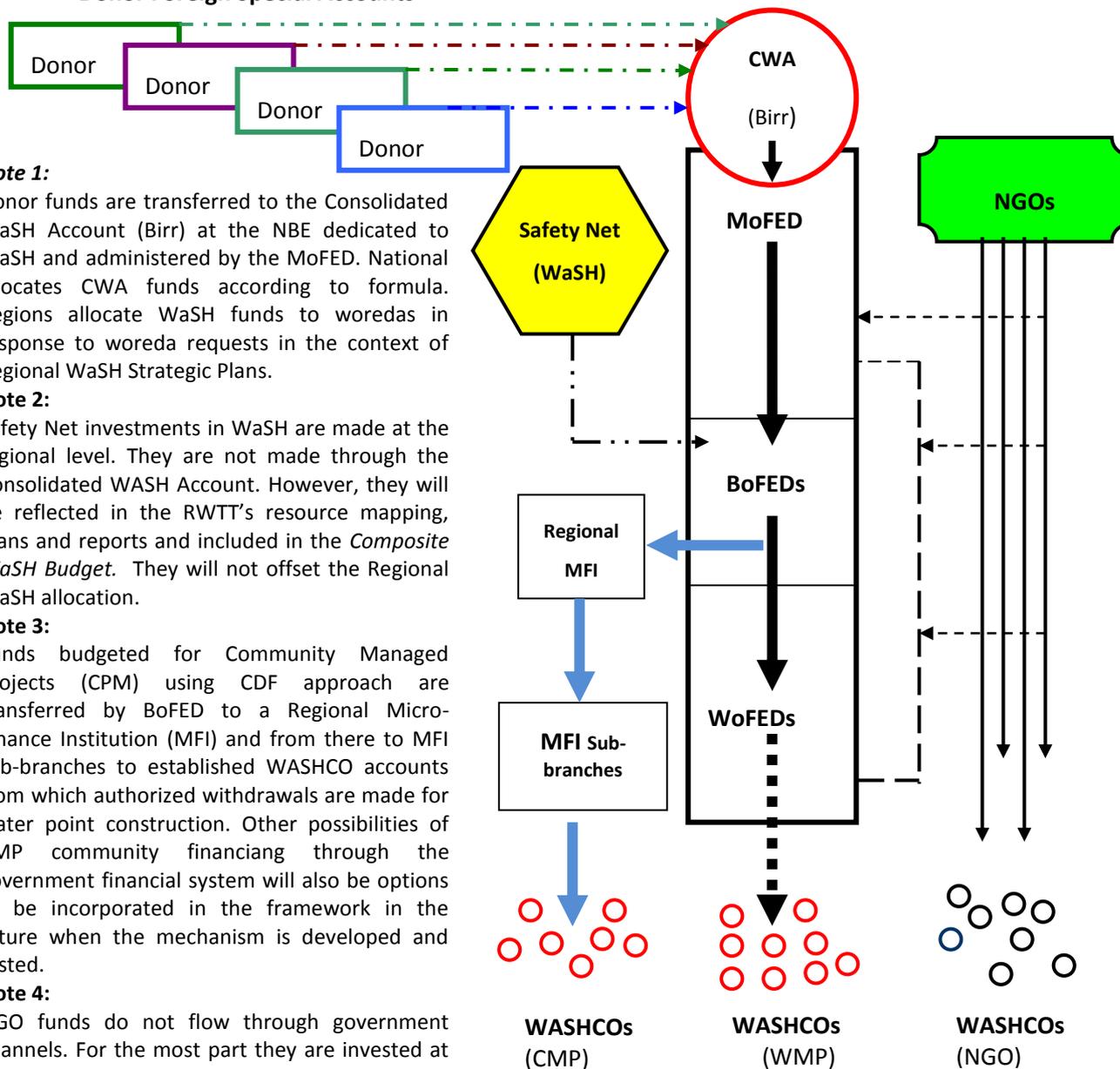
When donors' contributions are transferred into the Consolidated WaSH Account they become indistinguishable. They constitute ONE account for WaSH. This is a major feature of *harmonization* and radically affects the way in which funds are subsequently allocated, disbursed and accounted for. The Financial Manual states *"the distinction of revenue by source (donor) in all the implementing agencies is irrelevant and impossible because transfer to the agencies will be made from one Birr account....."*

There are three important benefits of this arrangement for (governmental) implementing agencies:

- it increases their level of financial control and accountability
- it reduces complexity in financial reporting
- it reduces transaction costs

OVERVIEW OF FUND FLOW to/from CONSOLIDATED WaSH ACCOUNT

Donor Foreign Special Accounts



Note 1:

Donor funds are transferred to the Consolidated WaSH Account (Birr) at the NBE dedicated to WaSH and administered by the MoFED. National allocates CWA funds according to formula. Regions allocate WaSH funds to woredas in response to woreda requests in the context of Regional WaSH Strategic Plans.

Note 2:

Safety Net investments in WaSH are made at the regional level. They are not made through the Consolidated WASH Account. However, they will be reflected in the RWTT’s resource mapping, plans and reports and included in the *Composite WaSH Budget*. They will not offset the Regional WaSH allocation.

Note 3:

Funds budgeted for Community Managed Projects (CPM) using CDF approach are transferred by BoFED to a Regional Micro-Finance Institution (MFI) and from there to MFI sub-branches to established WASHCO accounts from which authorized withdrawals are made for water point construction. Other possibilities of CMP community financing through the government financial system will also be options to be incorporated in the framework in the future when the mechanism is developed and tested.

Note 4:

NGO funds do not flow through government channels. For the most part they are invested at the community level with, possibly, some contribution to the Program at woreda, regional and national levels. NGO investments are calculated in regional and woreda resource mapping plans and reports and included in the *Composite WaSH Budget*. They will not offset the woreda WaSH allocation and their outputs/results are included in WaSH reports.

Note: A fund deviation may occur if a donor is requested to retain some funds for the purpose of directly procuring goods and/or services on behalf of the Program. These funds would become part of the *Composite Budget*.

- LEGEND**
- Funds managed by WASHCOs
 - ○ WASHCOs
 - NGO managed funds
 - Funds transfers
 - GoE managed funds
 - - - - - Planned WASHCO Managed funds
 - · - · - Occasional funding
 - · · · - Safety net funding

Step II: From the WaSH Consolidated Account to the Federal & Regional Implementing Agencies

On instructions from MoFED, the NBE transfers funds **Federally** – into accounts opened for the NWCO and the four sectoral ministries (WMUs) for federal-level expenditures

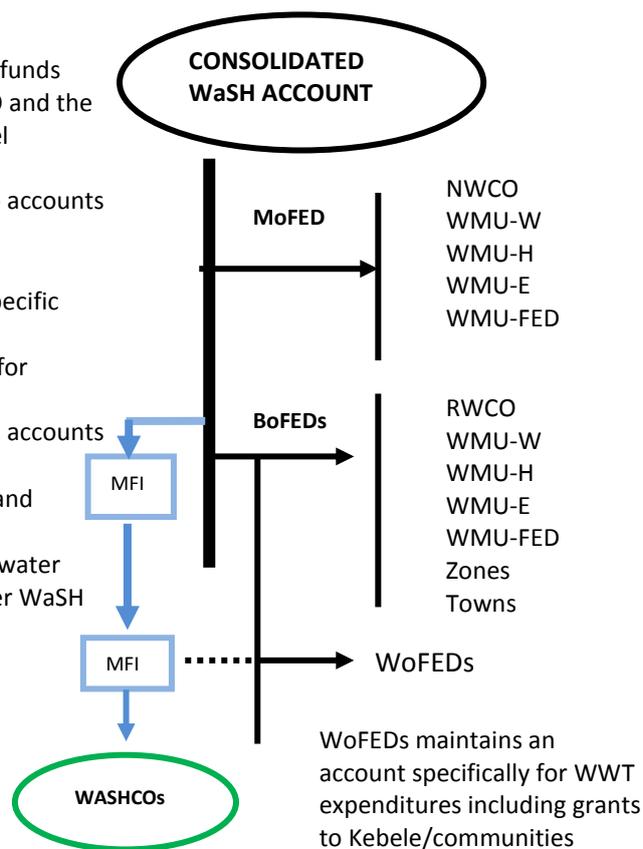
Regionally – to BoFEDs for onward transfer into accounts opened for:

- the RWCO (for joint program support)
- the four sectoral Bureaux (for WMU-specific expenditures)
- transfer to Micro Finance Institutions (for Community Managed Projects)

Town/Zones/Woredas - The BoFEDs also opens accounts for, and disburses funds to:

- the Z/WoFEDs for WWT expenditures and Kebele/community grants
- the participating towns (for the towns water supply and sewerage projects and other WaSH activities)
- transfers to Finance Institutions (for Community Managed Projects)

Joint signatories of BoFED and Z/WoFED officials will operate Regional/Zonal and Woreda accounts respectively.



In principle, BoFED has to disburse the grant component of the capital investment for water supply and sewerage projects directly to the beneficiary town. However, if the town has delegated the project management to the regional water bureau, the fund is transferred to the Bureau.

7.2.2 Fund Allocation

WaSH funds are allocated to the governmental implementing agencies as follows:

I. National level

The Annual (National) WaSH Plan & Budget specifies the amount of WaSH funds to be retained at the national level for expenditures by the NWCO and by each of the four national WMUs

- expenditures on trans-sector national WaSH activities

It also specifies:

- the total amount to be allocated to the Regions

Allocation *among* the Regions is prescribed by the government's Block Grant formula.

National WaSH Implementation Framework (Summary)

II. Regional level

The Annual (Regional) WaSH Plans & Budgets specify the amount of WaSH funds to be retained at the regional level for:

- i. expenditures by the RWCOs and by each of the three regional WMUs and other established support units needed for CMP
- ii. expenditures on trans-sector regional WaSH activities
- iii. transfer to regional Micro Financial Institutions for investment in Community Managed Projects

It also specifies:

- iv. the total amount to be allocated to the woredas and towns/cities

Allocation *among* the woredas and town/cities are made by the Regional WaSH Management Committee:

- on the basis of need/priority established in approved town/woreda Annual WASH Plans
- within the framework of the Regional Strategic WaSH Plan

In allocation of regional WaSH funds to the woredas the RWSC (or RWMC) shall try to follow the policy of 30 % for hygiene and sanitation and 70 % for water, but the actual annual budget at woreda level will be defined based on the needs and demands during the annual planning stage.

III. Woreda level

The WWT's Annual WaSH Plan & Budget specify the amount of CWA funds to be retained at the woreda level for:

- I. expenditures on trans-sector woreda WaSH activities
- II. the total amount to be allocated as subsidies (WMP & CMP) to Kebeles/WASHCOs

Allocation *among* the Kebeles/communities will be recommended by the WWT to the Woreda Cabinet for approval:

- on the basis of need/priority established in Kebele proposals and plans
- within the framework of the WWT's Strategic WaSH Plan

Table 5. WaSH Fund Allocation

Allocated by...	For.....	Recommended by...	Proposed by....
I. NWSC	i) 4 National WMUs ii) NWTT/NWCO iii) Regions	NWTT	NWCO
II. RWSC & State Council	i) 4 Regional WMUs ii) RWTT/RWCO iii) Town/Cities iv) Woredas (WWTs) v) Zones (ZWT)	RWMC	RWCO
III. Woreda Cabinet	i) Kebele/community grants (CMPs & WMPs)	Woreda WaSH Team	

7.2.3 Disbursements & Replenishments

7.2.3.1 Consolidated WaSH Account – disbursements/replenishments

At the commencement of the National WaSH Program:

- The donors' initial deposits into their Foreign Currency Special Accounts with NBE constituted their *advances* to the Program.
- Contributions were converted into Birr and transferred to the Consolidated WaSH Account managed by MoFED.
- MoFED disbursed funds, as advances for the first six months of the Program, into WaSH accounts established for implementing agencies at the national and regional levels. (see Q-1 & Q-2 in diagram below)
- On the basis of Q-1 reports⁵⁰ MoFED, at the beginning of Q-2, requested replenishment from the donors' accounts funds to cover Q-3 less:
 - the balance of 1st quarter funds - cash on hand and in the bank at the end of the quarter and at all levels – woreda and town/city, regional and national
 - any procurement in the budget that was to be made centrally from donors' special accounts
- MoFED continues, on the same basis, to make quarterly replenishment requests to the donors three months in advance of scheduled expenditures.
- Upon receipt of replenishment from the donors MoFED immediately transfers funds to the Implementing Agencies.

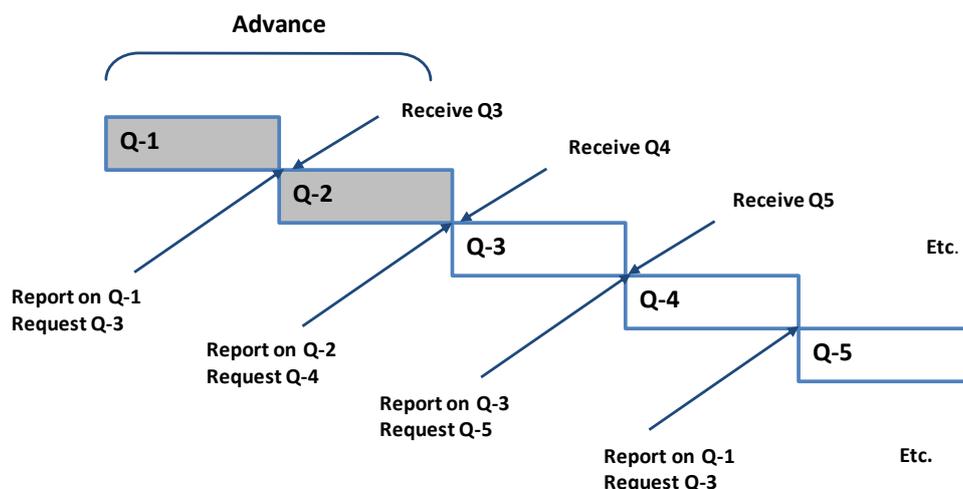
MoFED's requests are supported by un-audited expenditure reports and physical reports for the previous quarter.

7.2.3.2 Implementing Agencies' Accounts– disbursements / replenishments

MoFED's (and BoFEDs') disbursement of funds to the WaSH governmental implementing agencies follows the same pattern. Initially, each implementing agency received a 1st quarter and 2nd quarter advance based on its approved Annual Work Plan and Budget. At the end of 1st quarter the agency prepared a report on expenditures together with, and a request for, replenishment to cover the amount budgeted for the 3rd quarter less the amount of unexpended funds from the 1st quarter. This "roll over" system means that implementing agencies always have, in hand, their budget for the upcoming quarter.

⁵⁰ Interim Finance Reporting

Figure 7. Reporting



Request/reports are vetted and approved at a higher level in each instance and consolidated into the Quarterly Report and Request for Replenishment presented by MoFED to the Donors.

Specifically:

- WWT report/requests are approved by the Woreda Cabinet and submitted to WoFED;
- WoFED forwards report/request to BoFED and the RWCO;
- Water Board and TWTT report/request are approved by the Town Council and forwarded to BoFED and the RWCO;
- ZWT report/requests are approved by the Zonal Cabinet and forwarded to BoFED and RWCO



The RWCO consolidates the report/requests of the woredas and the towns/cities;

- The RWCO prepares a comprehensive regional report/request that includes:
 - results & requests of the RWTT and the 4 regional WMUs;
 - consolidated results & requests of towns/cities
 - consolidated results & requests of woredas
- The RWMC vets the comprehensive report/request and submits it to BoFED
- BoFED forwards the regional report/request to the NWCO and MoFED



- NWCO consolidates the regional report/requests and prepares a comprehensive national report/request that includes the results and requirements of the NWCO and the 4 national WMUs;
- The NWTT vets the comprehensive national report/request and forwards it to the NWSC for approval;
- The NWSC forwards the approved document to MoFED and requests the necessary action;
- The MoFED requests the Donors to replenish the Consolidated WaSH Account and disburses funds to the implementing agencies in accordance with the NWSC's request.

Note on Late Submissions:

Deadlines for quarterly reports/request are fixed and published a year in advance. If a woreda is late in submitting its report /request it will not be included in the consolidated report and replenishment request of the Region. It will be deferred to the following quarter. Similarly, a Region that is late in making its submission will have its fund replenishment deferred until the next quarter – with negative consequences for all woredas and their community programs.

Note on Funds for Community subsidies:

The Regional WMU-Water and RWMC recommend and the State Council (cabinet) approves (in the Regional WaSH Annual Plan) the allocation of grant funds to woredas for:

- Woreda Managed Projects (WMP)
- Community Managed Projects (CMP)

Funds allocated for WMP are transferred to the Woreda WaSH Fund and replenished quarterly as outlined above.

Funds allocated for CMP are transferred;

- by BoFED to a regional Micro Finance Institution (MFI) and
 - by the regional MFI to sub-branches of the MFI
 - into the CMP accounts of the participating communities

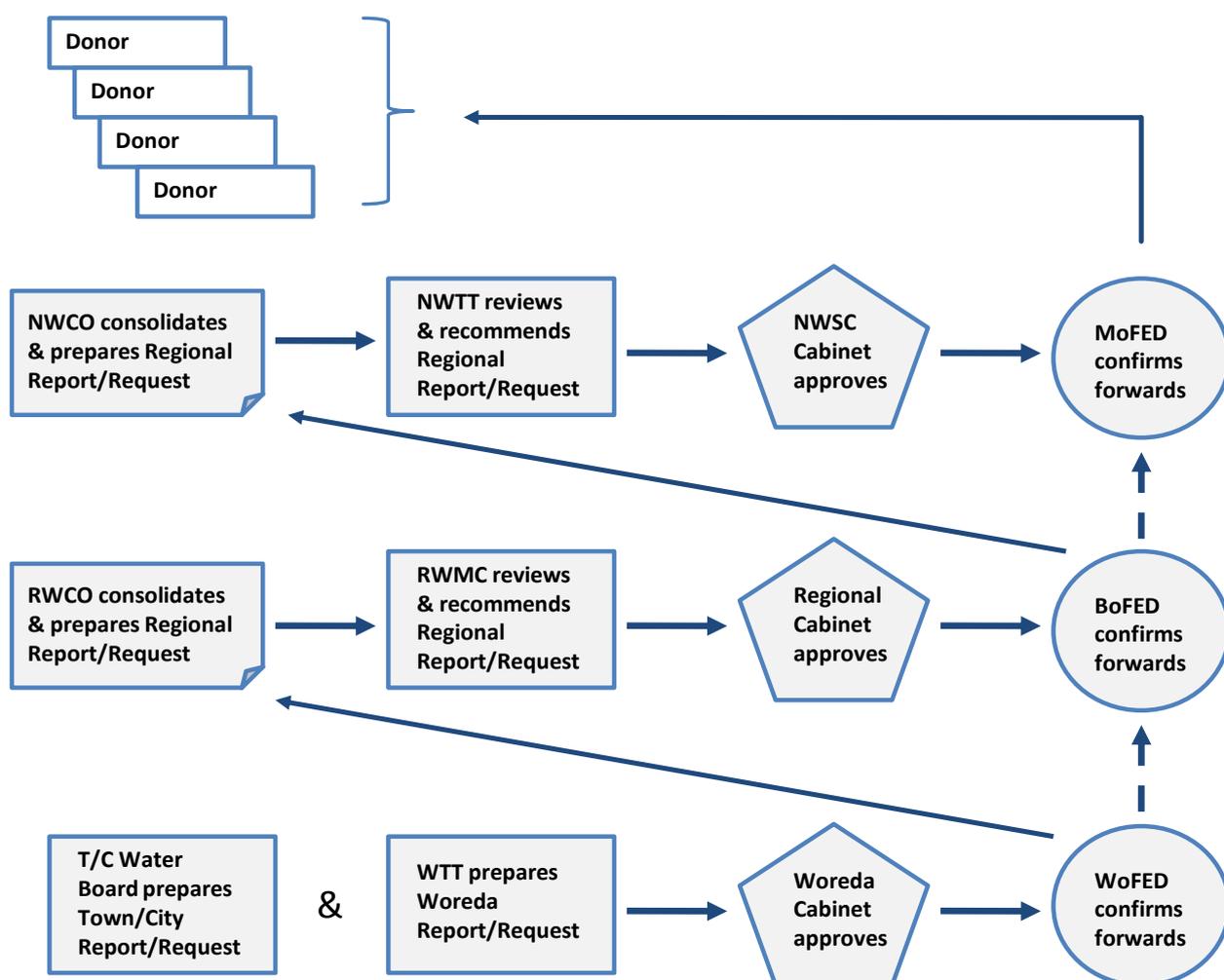
If any other financing mechanism to the community through the government financial system is developed and successfully tested it will be then incorporated into this framework.

Funds are withdrawn from the CMP accounts by WASHCO signatories on authorization of the WWT - for construction/contract expenditures (only).

Funds are replenished monthly within this CMP sub-system on the basis of scheduled reports/requests approved by the WWT at the woreda level and by the RWMC at the regional level.

CMP funds are replenished at the regional level in regular quarterly replenishments as outlined above. The Regional WaSH coordination office (RWCO) prepares and sends to the NWCO consolidated financial report/request including the expenditure for CMP as it is outlined for WMP.

Figure 8. Report request flow



7.3 Budget & Budget Control

Provision is made in the WaSH structure for each of the governmental Implementing Agencies to have their own accounting staff to administer WaSH funds on a full or part time basis. Accordingly,

- The NWCO and the RWCOs may have full time WaSH accountants on staff
- The National and Regional WMUs may have full or part time WaSH accountants depending upon workload
- The WWTs will not have a WaSH accountant on staff – however, the WoFEDs may assign an accountant to the WaSH account on a full or part time basis depending upon workload

The WaSH accountant assigned to WaSH at the Woreda level provides quarterly financial reports to:

- the WWT for management purposes
- the BoFED and the RWCO for review and consolidation into the Regional Report

The RWCO provides the NWCO (and the BoFED) with:

National WaSH Implementation Framework (Summary)

- a consolidation of woreda reports
- the reports of the 4 regional WMUs and the RWCO

The NWCO provides the NWSC (and the MoFED) with:

- a consolidation of Regional reports
- the reports of the 4 national WMUs and the NWCO

MoFED, the BoFEDs and the WoFEDs are responsible for recording, maintaining and controlling WaSH budgets at the national, regional and woreda levels respectively. MoFED ensures that sufficient trained personnel are in place to handle the financial management requirements at each level.

7.3.1 Budget Control

Budget control is exercised to ensure that WaSH funds are being spent as planned with respect to categories, cost, timeliness and value for money. Primary responsibility for budget control in WASH is with the WASH accountants. However, managers at each level (WWTs, RWTTs and the NWTT) will review on a monthly basis the financial reports prepared by their respective budget sections and take whatever action may be required to ensure effective budget control.

7.3.1.1 Budget Codes

One of the key mechanisms for budget control is the system of budget codes. Codes identify:

- the Public Body under which the budget is proclaimed (in this instance - MoWR)
- the Program (WaSH)
- the Program Component (e.g. Rural WaSH)
- the Sub-Agency (e.g. RWCO)
- the Sub-Program (e.g. Tigray)
- the Category of Expenditure (e.g. Works)
- the Type of Activity (e.g. construction of school water supply and sanitation facilities)

Each WaSH budget is identified with a specific code and that code appears on all transactions and reports relating to that item.

MoFED provides the budget codes and these codes remain unchanged throughout the program:

- to ensure consistency in reporting
- to facilitate consolidation of reports
- to support the aggregation and analysis of data

Codes may be added or deleted by the MoFED as required. For example, a code has been added for the transfer of funds to the MFIs to support the CMP modality.

7.3.1.2 Ledger Cards

WaSH accountants maintain a budget ledger card for each item of expenditure in approved budgets. The purpose of the card is to maintain a continuous and updated record for each item of expenditure with respect to the approved budget and to provide information on the balances

available. Approval of the budget section is required before the accounts section is authorized to make any payment. This is designed to prevent overspending.

7.3.1.3 Budget Tracking

The budget section at each level prepares a monthly tracking report from the ledger cards. The report provides the uncommitted balance for each budget item. The balance is shown as *normal* or *under spent* or *overspent*. The report is circulated to the procurement officer and to the appropriate WaSH managers, e.g. RWMC, for review and any corrective action that may be necessary.

7.4 Responsibilities for Financial Management

7.4.1 Federal Level

7.4.1.1 MoFED

MoFED is responsible for the overall financial management of the WaSH program.

Specifically, MoFED:

- Opens foreign currency accounts for the donors and request and receives funds;
- Opens a Birr account and transfers donor funds into a Consolidated WaSH Account;
- Transfers funds, on the basis of approved plans, budgets and reports, to special accounts opened by the NWCOs, the national WMUs and the BoFEDs;
- Ensures that adequate internal controls are in place and adhered to;
- Reports on the use of WaSH funds to government, donors and other stakeholders.
- Ensures timely replenishment of the consolidated WaSH account and fund disbursement to the implementing agencies (NWCO, WMUs, and BoFEDs)

7.4.1.2 Sectoral Ministries

The sectoral Ministries have responsibility to report to MoFED and NWCO on all WaSH financial matters

The Ministries, through their national WMUs:

- Collaboratively prepare a federal-level Annual Work Plan and Budget for WaSH
- Manage the WaSH funds transferred to them by MoFED
- Provide MoFED and NWCO with regular financial reports on WaSH activities

The NWCO coordinates trans-sector planning, budgeting and reporting.

7.4.1.3 The National WaSH Steering Committee (NWSC)

The NWSC:

- Approves WaSH budgets and resource allocations and submits them to MoFED
- Approves WaSH physical and financial reports from the regions
- Approves replenishment requests from the regions
- Submits regular financial and progress reports to the partner Ministries and the donors

National WaSH Implementation Framework (Summary)

- Initiates financial and physical performance auditing

7.4.1.4 The National WaSH Technical Team (NWTT)

The NWTT:

- Receives and reviews WaSH budgets and resource allocations and makes recommendations to NWSC for approval
- Receives and reviews WaSH physical and financial reports from the regions and makes recommendations to NWSC for approval
- Monitors fund flow and disbursements and addresses problems directly
- Receives and review replenishment requests from the regions and makes recommendations to NWSC for approval

7.4.1.5 The National WaSH Coordinating Office (NWCO)

The NWCO:

- Facilitates budgeting, fund transfers and financial reporting on behalf of the NWTT
- Proposes resource allocations to the NWTT
- Consolidates WaSH physical and financial reports and replenishment requests from the regions and submits them to the NWTT
- Provides the NWTT with quarterly physical and financial reports and replenishments requests for WaSH activity at the national level
- Collects, aggregates, records and communicates all financial data and information on WaSH disbursement from the Ministries and the Regions

7.4.2 Regional Level:

7.4.2.1 The Bureau of Finance and Economic Development (BoFED)

BoFED has overall responsibility for the management of WaSH funds at the regional level.

Specifically BoFED:

- Opens a special account to receive WaSH funds from MoFED;
- Transfers funds, on the basis of approved plans and budgets, to special accounts opened by the RWCOs, the 4 Regional WMUs and the WoFEDs;
- Opens and administers a Community Managed Project (CMP) account if a Region has so requested;
- Prepares and signs a Fund Management Agreement with Micro Finance Institution(s) for fund management of CMP where applicable;
- Monitors performance and receives reports from of Micro Finance Institution(s);
- Provides technical support to ensure that proper accounting systems and competent accounting staff are established and maintained in each implementing agency;
- Provides internal auditing,

National WaSH Implementation Framework (Summary)

- Ensures timely replenishment of the consolidated WaSH account and fund disbursement to the implementing agencies (RWCO, RWMUs, WoFED and towns).

7.4.2.2 The Regional WaSH Management Committee (RWMC)

The RWMC:

- Recommends WaSH budgets and resource allocations to the Regional Cabinet for approval
- Reviews, approves and forwards to BoFED the physical and financial reports consolidated by the RWCO
- Monitors fund flow and disbursements and addresses problems directly and ensures timely flow of funds to towns and woredas
- Signs CMP agreements with MFIs and WMP Grant Agreements with the woredas
- Initiates financial and physical performance auditing

7.4.2.3 The Regional WaSH Coordination Office (RWCO)

The RWCO in collaboration with the 4 regional WMUs:

- Prepares and submits financial and progress reports to the Regional WaSH Management Committee (RWMC) and to the NWCO
- Facilitates planning, budgeting, fund transfers and financial reporting on behalf of the RWMC
- Proposes resource allocations to the RWMC
- Consolidates WaSH physical and financial reports and replenishment requests from the woredas/towns and submit them to the RWMC
- Requests fund replenishments on the basis of approved quarterly budgets, work plans and reports
- Provides the RWMC with quarterly physical and financial reports and replenishments requests for WaSH at the regional level
- Collects, aggregates, records and share all financial data and information on WaSH disbursements in the Region

7.4.3 Sectoral Bureaus (RWMUs and Support Units)

Through coordination of the RWCO, the sectoral WMUs and other regional support units:

- Collaboratively prepare a regional level annual work plan and budget for WaSH
- Manage the WaSH fund transferred to them by BoFED
- Provide BoFED and RWCO with regular financial reports on WaSH activities

7.4.4 Zonal level⁵¹

The Zone Office of Finance and Economic Development (ZoFED) is directly responsible for administering WaSH funds at the woreda level.

- Opens a special account to receive WaSH funds from BoFED
- Ensures that proper accounting systems and competent accounting staff are established and maintained
- Assists the ZWT in the budgeting process
- Facilitates fund replenishment
- Provides the ZWT with regular financial reports
- Collects and aggregates required financial data and information and submits reports to the BoFED each quarter

7.4.5 Woreda Level

The Woreda Office of Finance and Economic Development (WoFED)

WoFED is directly responsible for administering WaSH funds at the woreda level.

- Opens a special account to receive WaSH funds from BoFED
- Ensures that proper accounting systems and competent accounting staff are established and maintained
- Assists the WWT in the budgeting process
- Facilitates fund replenishment
- Provides the WWT with regular financial reports
- Collects and aggregates required financial data and information and submits reports to the Woreda Administrative Council (Cabinet) and BoFED each quarter

7.4.5.1 The Woreda WaSH Team

The WWT:

- Prepares and recommends WaSH budgets and grant allocations to the Woreda Cabinet for approval
- Prepares and enters into WMP Grant Agreements with Kebeles/communities
- Submits quarterly WaSH physical and financial reports to the Woreda Cabinet
- Requests fund replenishment on the basis of approved quarterly reports and work plans
- Ensures timely flow of resources to Kebeles in accordance with grant agreements – including transfers from Micro Finance Institutions to Community Managed Projects
- Prepares and enters into CMP financing agreement with WASHCOs (communities) and ensures timely fund disbursement to the community as per the agreement

⁵¹ WaSH account in the zones is established when needed only (like in special zones and large zones, where zone is carrying out woreda capacity building and monitoring)

- Ensures original receipts of authorized expenditures of CMP are appropriately handled and maintained

7.5 Procurement

National WaSH Program follows the Procurement Proclamation issued by the Federal Government in January 12, 2005 and the Procurement Directives released by the Ministry of Finance and Economic Development. At Regional level the procurement code is enacted by the Region government and the procurement directive is adapted to each Region based on the model prepared by the Federal Government.

Financiers' Procurement rules and regulations are aligned to the National WaSH Program procurement. However, in order to accelerate the implementation to achieve the GTP targets the procurement thresholds are modified as follows.

In National WaSH Program the "direct procurement" is established. The threshold for direct procurement of goods, works and services at community, woreda, region and national levels is USD 50,000 or its equivalent in Birr. Above this threshold Government of Ethiopia procurement proclamation and directives are followed.

The Ethiopian Procurement Agency standard bid documents and manuals will be used for all tenders for procurement of goods and works under International Competitive Bidding (ICB) and National Competitive Bidding (NCB). Domestic preference would be applicable under ICB.

According to the government's policy to decentralize and devolve responsibility, WaSH procurement is carried out, as far as possible, at the level where the goods are utilized and the services delivered. Priority principle is to build capacity for local procurement to:

- Reduce delay and transaction costs
- Increase management capability and sense of ownership among beneficiaries
- Foster entrepreneurship and strengthen supply chains
- Advance O&M sustainability

To this end:

The CMP modality for community-managed procurement is actively promoted in which the supply/procurement of materials and works required for water or sanitation projects construction is carried out by the WASHCO

Self-supply is encouraged in which households directly provide or procure the labor and materials for the construction or maintenance of hand dug wells and sanitation facilities

Procurement plan is an essential component in all Annual WaSH Plans at every level. Directions and templates for the preparation of procurement plan is provided by the NWCO. Training and technical assistance is to be made available to assist regional, town, woreda and community planners.

Procurement plans are consolidated by WWTs and regional and federal WaSH Coordination Offices. Procurement action at all WaSH cost centers are reported quarterly.

8 WaSH Planning & Budgeting

- **Planning**

- The Overall Planning Framework

- **WaSH Strategic Plans**

In line with the period of the country's national development plan and targets

- National Level
- Regional (including Zonal level)
- Woreda Level
- Kebele Level:

- **Annual WaSH Plans & Budgets**

- WaSH Annual Planning in Context
- Two-Stage Annual Planning
- Annual Planning Sequence
- Planning Assistance

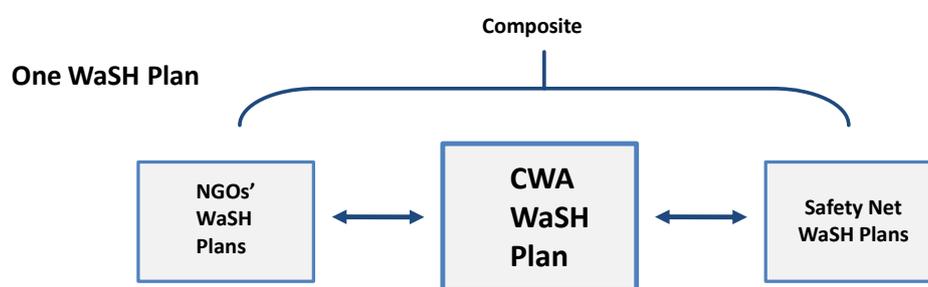
- **Annual Budgeting**

8.1 Planning

This section describes the WaSH Program's planning and budgeting systems and how the plans and budgets of the various implementing agencies are harmonized into one plan and one budget.

The One WaSH Plan is a **composite** plan. It is composed of:

1. **CWA Plans:** WaSH activities and investments planned on the basis of funding from the Consolidated WaSH Account - plus, in some instances, allocations from the block grant;
2. **NGO Plans:** WaSH activities and investments planned by CSOs/NGOs active in the sector;
3. **Safety Net Plans:** Projections on Safety Net investments in WaSH through public works



...for One WaSH Program

National WaSH Implementation Framework (Summary)

One WaSH Plan means that all major contributors (government, donors, NGOs and communities) agree to be a part of a single comprehensive national WaSH program. One WaSH Plan means that all major WaSH activities of all implementing agencies, at each level, are included in **one composite plan**.

The Consolidated WaSH Account is central to the Composite WaSH Plan, which is built by the woreda, regional and national WaSH structures.

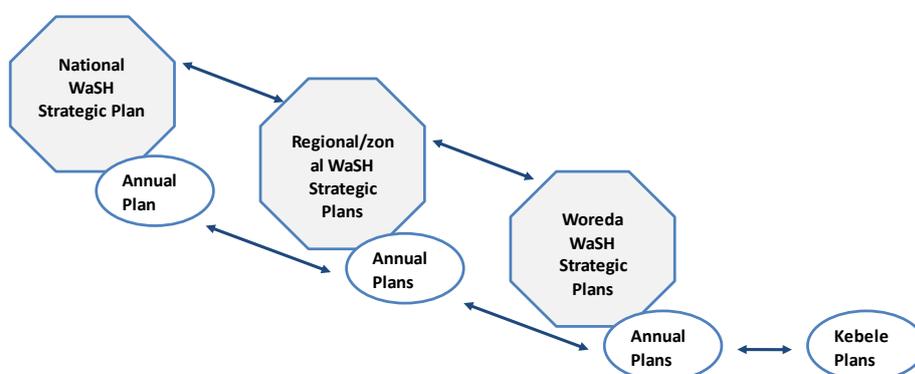
8.1.1 The Overall Planning Framework

The One Plan is built out of:

- Strategic Plans and
- Annual Plans

those are developed at each level and are linked to one another.

Figure 9. Planning linking



Equals = One WASH Plan

Strategic Plans have time frame in line with the period of the national development plan of the country and include goals, targets, strategies, resources and key activities.

Annual Plans have a one-year time frame that translate the priorities of the Strategic

Plan into a set of practical activities, detailed schedules, budgets and specific outputs or results' directly relating to GTP targets. The Annual Plan is **operational**.

Both Strategic and Annual Plans are:

Linked to resource mapping – (of all anticipated financial and human resources)

Linked to other plans - (strategic-to-annual & from one level-to-next level)

Approved - by the relevant national/local government authority

Comprehensive – covering all WaSH activities of all implementers

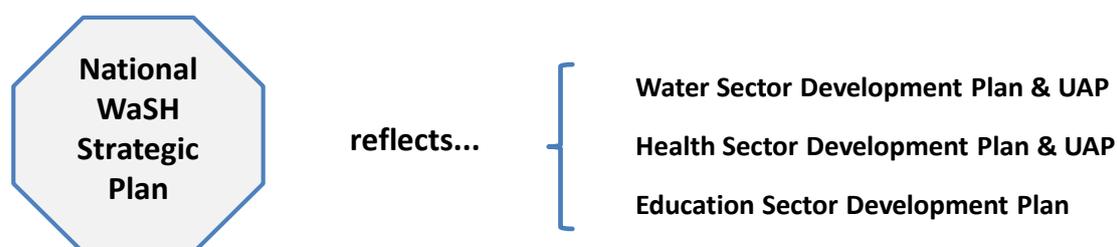
Consistent - with the Strategic Planning & Management (SPM) approach.

8.2 WaSH Strategic Plans

8.2.1 National Level

The National WaSH Strategic Plan is prepared by the National WaSH Coordination Office, reviewed by the National WaSH Technical Team and approved by the National WaSH Steering Committee.

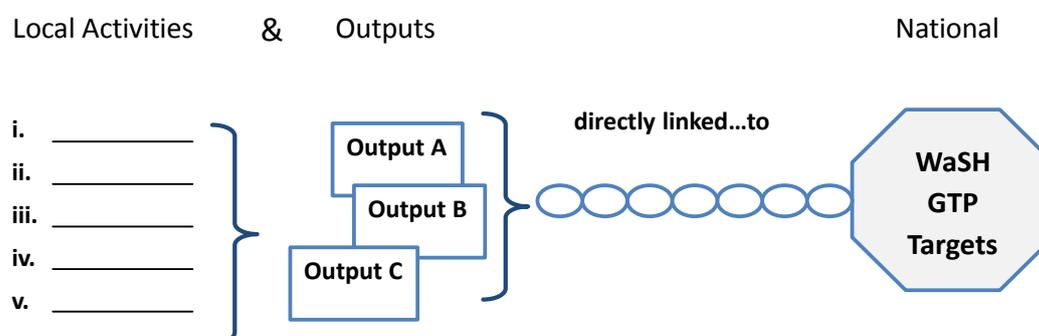
The National WaSH Strategic Plan is based on, and aligned with, the WaSH-related GTP targets, priorities, strategies and activities of the Development Plans of each of the partner Ministries:



Targets

The targets that prevail in the WaSH Program are those of the Growth and Transformation Plan. These are calculated over a 5-year period in the Universal Access Plans of the Water and Health Ministries. Targets are adjusted annually based on data from the WaSH Inventory and the results of Resource Mapping i.e. the availability of funds.

Achievement of WaSH GTP targets is directly linked to specific activities and outputs at the community level. The National Strategic Plan makes these linkages explicit.



Baseline

A second critical step in planning is to establish a reliable baseline to determine, as precisely as possible, what the current level of achievement is. Where we are now in relation to the targets that need to be achieved?

What is the starting point in our Plan?

Baseline data is collected and organized using categories that are common to all WaSH implementers (governmental and civil society). Common data are essential to building one plan. They are also essential to the preparation of one consolidated report. Common data allow program progress and results to be systematically documented, aggregated, analyzed, shared and consolidated into a single report. These data are gathered in the Annual WaSH Inventory that is implemented nationally in every Kebele and town and used for WaSH planning at every level.

National WaSH Implementation Framework (Summary)

Resource Mapping

A third essential planning step is mapping the financial resources that can be reasonably expected to be available to support the WaSH program. This mapping involves all funds from all sources that are committed, or likely to be committed, to WaSH activities and investments. A major portion of these funds come donor contributions to the CWA and from government programs⁵² and grants⁵³. However, civil society organizations are also major partners in, and contributors to, the WaSH program. It is essential that, in the resource mapping exercise, their input is sought and their financial contributions are taken into account in program planning. CSO/NGO contributions are “off budget” – i.e. they are not included in the official WaSH accounting system. They are, however, recorded in the WaSH reporting system so that the overall expenditure on WaSH can be calculated annually.

8.2.2 National Strategic Planning Steps of the NWCO:

The National WaSH Coordination Office:

Step 1: Identifies which national priorities and GTP targets of the Water, Health and Education sectors will be *directly* addressed in the WaSH program and incorporates these in the WaSH Strategic Plan.

Step 2: Identifies and explicitly links the *specific* activities, investments and outputs *at all levels* that will *directly* contribute to the achievement of the national WaSH UAP targets.

Step 3: Oversees a national baseline survey (the Inventory) gathering data which will be used as the basis for measuring WaSH progress and results.⁵⁴

Step 4: Completes a national level Resource Mapping exercise.

Step 5: Prepares a draft National WaSH Strategic Plan for the review of the NWTT and the approval of the NWSC.

All of these steps are taken in consultation and collaboration with major stakeholders including:

- The NWTT
- National WMUs
- The Water and Sanitation (NGO) Forum
- Development Assistance Group (DAG) on Water
- Regional Representatives

8.2.3 Regions, Special Zones, Woredas & Towns/Cities

Regions, zones, woredas and town/cities also prepare Strategic Plans.

These Strategic Plans are linked to the National WaSH Strategic Plan – and linked to each other.

Strategic Plans:

⁵² Government programs such as the Food Security (Productive Safety Net) Program invest large amounts in WaSH activities. These investments must be taken into account in WaSH planning and reflected in WaSH budgets.

⁵³ Regions and woredas may choose to commit a portion of their block grant to the WaSH program.

⁵⁴ The NWCO will also be responsible for establishing and maintaining a broader WaSH Management Information system (MIS) in which M&E data is lodged and accessed.

National WaSH Implementation Framework (Summary)

- are prepared at the regional level by the RWCO; at the zone level by the ZWT, and woreda level by the WWT; and at the town/city level by the Water Board and T/CWTT - and approved by the Regional, Woreda and Town/City Councils and Zonal Administrations respectively
- are prepared according to a results-based approach in a common plan format provided by the NWCO
- reflect national priorities and identify the local priorities that relate to them
- incorporate a negotiated share of national targets
- include an analysis of the locally relevant data from the WaSH Inventory
- incorporate the findings of locally administered stakeholder analyses and Resource Mapping

8.2.4 Kebele Level

Ideally, there would be some form of multi-year WaSH Plan at the Kebele level – especially for health posts and schools. Realistically, however, the capacity for strategic planning at this level is often limited. The primary focus should be on the Kebele WaSH Committee building *do-able* annual plans (see sub section 8.3.2 below).

8.3 Annual WaSH Plans & Budgets

Once WaSH Strategic Plans are finalized, the next step is to prepare Annual WaSH Plans and budgets at each level.

Annual Plans show how the broader objectives, priorities and targets of the Strategic Plans are translated into practical activities and detailed budgets. Annual Plans are operational. Developing annual plans requires consultation at every level with major stakeholders including relevant government institutions, donors, NGOs and, at the woreda and Kebele levels, with the community.

8.3.1 WaSH Annual Planning in Context

WaSH annual planning is aligned with the government's national annual planning & budgeting cycle and timetable. WaSH plans and budgets are built into the Annual Development Plans and Budgets of Regions, Special Zones, Towns/cities, Woredas and Kebeles. Work on WaSH plans must, therefore, begin prior to the regular planning cycle to ensure that WaSH plans are ready for inclusion in the more comprehensive governmental Development Plans.

8.3.1.1 Two-Stage Annual Planning

WaSH annual planning is done in two stages.

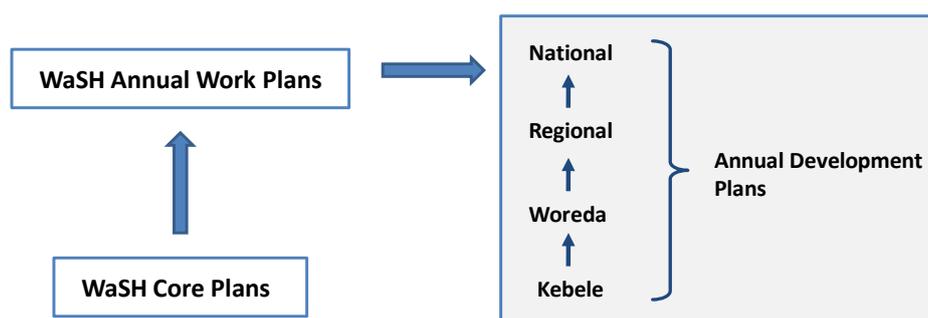
- **Core Planning** - August through November
 - **Annual Work Planning** - December through February

Core Planning establishes annual targets/outputs and CWA+ budget ceilings.

Annual Work Planning adds the specifics - activities, assignments, schedules and proposed expenditures from all sources.

WaSH implementing agencies draft Core Plans (physical and financial) using a common format provided by the NWCO. When approved, the Core Plans serve as the basis for building detailed Annual WaSH Work Plans – again, using a common format. Approved WaSH AWP are subsequently built into the Development Plans at each administrative level.

National WaSH Implementation Framework (Summary)



Core Planning – August through November

In July, donors confirm to their contributions to the Consolidated WaSH Account for the coming fiscal year (beginning the following July). In August NWSC/MoFED provide the Regions with indicative allocations⁵⁵ from the Consolidated WaSH Account - together with their notional GTP targets. The Regions, in turn, provide indicative allocations and notional targets to the special zones, woredas and town/cities.

On the basis of this, implementing agencies at each level:

- review their physical and financial performance for the previous two quarters
- identify current needs
- complete Resource Mapping
- set priorities
- estimate the level of activity and investment that is feasible in the coming fiscal year
- establish/revise unit costs of various activities and investments and
- draft a **Core Plan** (physical and financial) for the coming year

Note: Core Plans also include the projected WaSH activities of NGOs and an estimate of Safety Net inputs based on past levels of activity or actual plans. NGOs provide their estimates using a common format provided by the NWCO.

July:

Donors confirm their contributions to the Consolidated WaSH Account

August:

NWCO, with national WMUs, completes Resource Mapping exercise.

NWCO, with national WMUs, propose target ranges and CWA budget ceilings for each of the regions based on:

- CWA funds available
- National Strategic Plan projections – including re-calculated GTP targets
- current level of performance (Inventory data/M&E reports)
- estimate of other financial resources available (resource mapping)

⁵⁵ Allocations will be made using the Government formula for Block Grant allocations

National WaSH Implementation Framework (Summary)

NWTT reviews and recommends proposals to MoFED

MoFED informs BoFED and BoFED informs Regional WaSH Management Committee (RWMC) of proposed ceilings and targets

September:

RWCO, with regional WMUs, completes regional Resource Mapping exercise and proposes target ranges and budget ceilings⁵⁶ for each of the special zones⁵⁷, woredas and town/cities based on:

- allocations from CWA
- Regional Strategic Plan projections – including GTP targets
- current levels of performance (Inventory data/M&E reports)
- estimate of other financial resources available (resource mapping)

Regional WaSH Management Committee (RWMC) reviews/endorse proposals and recommends to BoFED.

BoFED informs special zones, woredas and towns/cities of notional ceilings and targets.

October:

Zones, WWTs & Water Boards/Town WaSH Technical Teams (TWTTs) determine the priorities, scope and geographical concentration for the program in the year ahead based on:

- national and regional targets and guidelines
- Zonal, Woreda and Town/city Strategic Plan projections
- identified community needs
- indicative CWA+ allocations
- anticipated NGO projects and Safety Net inputs to WaSH
- They selectively discuss potential activities and notional budgets with woredas, Kebele administrations and town/city technical team respectively
- They estimate level of activity, investments and outputs that are **feasible** at the Kebele and town/city level and begin drafting **Core Plans** based on:
 - location and level of demand from communities
 - current levels of performance (Inventory data/M&E reports)
 - estimate of financial resources available (resource mapping)

November:

Zones, WWTs & Water Boards/TWTTs complete their Core Plans that include estimated cost related to WaSH program management, capacity building and infrastructure investments.⁵⁸

Councils/Cabinets of Zones, Woreda & Town/Cities review and endorse Core Plans and forward drafts to RWCO and WMUs.

⁵⁶ Allocation of resources from WaSH Fund to the Woreda are not based on a formula but on identified needs and past performance considered in the context of regional and woreda Strategic Plans.

⁵⁷ Special Zones, in turn, propose ceilings and targets to woredas within their jurisdiction.

⁵⁸ The NWCO provides a common format for Core Plans that facilitates aggregation at the regional and national levels.

National WaSH Implementation Framework (Summary)

RWCO & WMUs review and separately aggregate zonal, woreda and town/city Core Plans and negotiate modifications – if required.

RWCO & WMUs draft Regional Core Plan including aggregated zone plans, aggregated woreda plans and aggregated town/city plans – together with anticipated regional-level WaSH expenditures and outputs.

RWMC reviews and endorses draft Regional Core Plan and forwards draft to NWCO

At this stage, if not before, RWCOs, Zone WaSH Teams, WWTs and Water Boards/TWTTs begin to detail Annual Work Plans in anticipation of final national-level approval of Core Plans)

December:

NWCO & WMUs review and consolidate draft Regional Core Plans – negotiating modifications if required - and draft National Core Plan that includes national-level WaSH activities and related costs.

NWTT reviews and recommends draft National Core Plan forwarding it to MoFED/NWSC for approval - and to the DAG for review and endorsement.

NWSC/MoFED, in consultation with the **DAG**, approves National WaSH Core Plan.

NWCO notifies WaSH implementing agencies of core plan approvals.

With the approval National Core Plan proposed allocations and outputs are thereby confirmed at all levels and WaSH implementing agencies are in a position to complete the preparation of detailed **Annual Work Plans and Budgets**.

Note: The crux of Core Planning is that targets and budget ceilings at different levels are consistent with each other. National provides Regions with a target range and a budget allocation. Regions provide zones, woredas and town/cities with a target range and a budget allocation. Woredas provide Kebeles with notional outputs and resources. Each level chooses which specific target/output level is most realistic, as long as it is equal to, or greater than, the minimum specified.

All community outputs need to add up to woreda & town/city targets

All woreda & town/city targets need to add up to zonal and regional targets

All zonal and regional targets need to add up to national targets

All budgets must be equal to, or less than, the allocations provided – unless funds from other sources⁵⁹ are identified and assured

8.3.1.2 Annual Work Planning – December through February

Annual WaSH Plans (AWPs), prepared at each level according to a common planning format provided by the NWCO. The common format facilitates consolidation of plans at each level.

AWPs have the following features:

Scope: They reflect all WaSH activities and budgets - including those implemented by Safety Net, NGOs and self-help households.

Linked: They are linked laterally to Strategic Plans and vertically to national priorities and targets.

⁵⁹ Sources other than the Consolidated WaSH Account

National WaSH Implementation Framework (Summary)

Resources: They are based on resources identified as available through resource mapping exercises.

Responsive: They are responsive to community demand.

Assigned: They explicitly assign responsibility for activities and outputs to key players.

Accountable: They provide –

- schedules for timely performance
- benchmarks for progress review
- budgets for financial control
- indicators for monitoring and evaluation

The content of the AWP includes:

- Log frame – results-based overview
- Work breakdown – major activities & assignments
- Schedule - with benchmarks
- Monitoring Framework
- Reporting Framework
- Capacity Development Plan
- Procurement Plan
- Budget

8.3.2 Annual Planning Sequence

The planning process involves a **dialogue** between implementers at different levels in the program. Core planning, we have seen, is essentially **top-down**. Targets and allocations are “handed down”. Some negotiation is possible but to a large extent the parameters are fixed. Annual planning should be, essentially, **bottom-up**. Communities identify their needs, establish their priorities and, within the parameters provided, plan their WaSH investments and activities. As plans are consolidated at each level the implementers at the next level incorporate them into *their* plans and calculate what investments they must make and what activities they must undertake **to provide program support** for the level below.



Kebele Level Planning

Kebeles are the genesis of rural WaSH planning. National, regional and woreda plans are essentially **designed to support** action and investment at the Kebele or community level. Responsibility for Kebele WaSH planning and coordination is generally assigned to a Kebele committee formed for that purpose (such as a Kebele WaSH Committee) – or to an existing committee/ organization that can assume responsibility for planning and coordination.

HEWs, WEWs and DAs and, in some instances, CFTs serve as planning facilitators.

Step 1: Kebele Orientation

The WWT facilitates Kebele Orientation meetings to familiarize community leaders and members with all aspects of the WaSH program – the scope, the benefits, the requirements and the way forward.

Step 2: Complete a WaSH Baseline Survey

This survey is a part of, and provides data for, the national WaSH Inventory and enables the Kebele to systematically identify and document its own needs and priorities and to formulate its “demand” for WaSH support and investment. Generally, the survey is conducted by Extension Workers and/or CFTs.

Step 3: Prepare Institutional, Community-Wide and User Group Proposals

The WWT provides the Kebele with guidelines and tools for WaSH planning (prepared by the NWCO). These include outlines of the specific activities and investments that are “fundable” by WaSH. The WWT will insert the indicative unit costs and the criteria that they will use in assessing proposals. Institutions (schools, health posts etc.), User Groups (water point communities) and Kebele Committees (e.g. Health) are encouraged to submit proposals to the Kebele WaSH Team.

Note on Funding Mechanisms - WMP or CMP:

If a proposal includes a request for a subsidy for water point or an institutional sanitation facility the proponents will decide, in consultation with the WWT, whether the subsidy will be through the Woreda Managed Project (**WMP**) mechanism or through the Community Managed Project (**CMP**) mechanism where it is available. See Section 5 for details.

Step 4: Submit Consolidated Proposal to WWT

The Kebele WaSH Team (KWT) assesses the various proposals, selects from among them activities/investments based on immediate priorities and potential resources. The KWT prepares a consolidated Kebele WaSH proposal to be approved by the Kebele Development Committee and the Kebele Administration and forwarded to the WWT.

Woreda Level Planning

Step 5: Assess, Verify and Prioritize Kebele Proposals

The WWT assesses Kebele proposals using published criteria and verifies Kebele need and readiness through a site visit. The WWT then assesses and prioritizes proposals.

**This is one of the most significant steps in integration.
Building ONE plan starts here.**

National WaSH Implementation Framework (Summary)

Each of the sector offices brings to the WWT planning process the targets proposed by their Regional WaSH PMUs and, together, they build a **balanced** Woreda WaSH Plan and budget that at once addresses the needs and demands of communities and is responsive to national priorities and targets.

Step 6a: Prepare and Submit a Draft Woreda Annual WaSH Plan

The WWT drafts an Annual WaSH Plan that includes the prioritized Kebele proposals together with woreda-implemented support activities and management costs. The draft AWP is submitted to the Woreda Cabinet to be approved and forwarded to the Regional WaSH coordination offices for WMU review and comment. In some cases the woreda draft Annual WaSH plan is submitted to zones review and compilation.

Step 6b: Prepare and Submit a Draft Town/City Annual WaSH Plan

The Town WaSH Committee, following a similar process, prepares a draft Annual WaSH Plan, submits it to the Town Administrative Council (cabinet) for approval and forwards it to the RWCO for PMU review and comment.

Special Zones

Special Zones provide an intermediary “regional function” on behalf of the woredas under their jurisdiction (see steps 7 & 8 below). They support their woredas in the planning process, appraise and consolidate their Work Plans and forward them to them to the RWCO within the framework of a Zonal WaSH Plan.

Regional Level

Step 7: Appraise and Consolidate Woreda Draft Plans

The RWCO coordinates regional (zonal) workshops to appraise and consolidate Woreda draft AWP for the inclusion in a draft Regional Annual WaSH Plan.

Step 8: Prepare and Submit a Draft Regional Annual WaSH Plan

The RWCO drafts a Regional Annual WaSH Plan that consolidates the appraised zonal, woreda and town plans and includes regionally-implemented WaSH activity and management costs. The draft regional AWP is submitted to the Regional WaSH Management (RWM), including BoFED, for review and comment. It is then forwarded to the NWCO for appraisal at the national level.

National Level

Step 9: Appraise and Consolidate Regional Draft Plans

The NWCO coordinates a national workshop to appraise and consolidate Regional draft AWP for the inclusion in a draft National Annual WaSH Plan.

Step 10: Prepare and Submit a Draft Regional Annual WaSH Plan

The NWCO drafts a National Annual WaSH Plan that includes the consolidated Regional draft plans together with federally-implemented activities and management costs. The draft national AWP is submitted to the DAG for review and to the NWTT for recommendation to the NWSC and MoFED.

Step 11: Approve the National Annual WaSH Plan

The NWSC approves the National Annual WaSH Plan following consultation with DAG and MoFED.

Step 12: Notification

The NWCO informs the Regions of WaSH Annual Plan approval; the Regions inform the special zones, woredas and town/cities; the woredas inform the Kebeles.

National WaSH Implementation Framework (Summary)

Step 13: Inclusion in Official Development Plans

WaSH teams/committees at all levels submit their approved WaSH Plans to their respective administrations for inclusion in official Development Plans

8.3.3 Town Level Planning

Town level planning is conducted as per the procedure set in Chapter 4.

8.3.4 Planning Assistance

Assistance in planning is available on request:

- for Kebele planners – from WEWs, HEWs, DAs and CFTs
- for Woreda planners – from Woreda Support Agencies
- for Urban planners – from Town Support Agencies
- for Regional planners – from NWCO services
- for National planners – from national/international consultants

ANNUAL WaSH PLANNING & BUDGETING SCHEDULE

Table 6. Annual WSH Planning & Budgeting Schedule

JULY
DONORS CONFIRM CONTRIBUTION FOR FOLLOWING FISCAL YEAR
AUGUST
<ul style="list-style-type: none"> • NWCO & WMUs complete national Resource Mapping and propose notional CWA+ budget ceiling and GTP targets for the Regions • NWTT reviews – recommends to NWSC – NWSC approves • NWCO notifies Regions of notional CWA+ budget ceilings and GTP targets • RWCO & WMUs complete regional Resource Mapping • RWCO & WMUs propose notional CWA+ budget ceiling and GTP targets for Towns, Special Zones and Woredas • RWM endorses proposed ceilings & targets and RWCO notifies Towns, Special Zones and Woredas
SEPTEMBER
<p>Towns, Special Zones & Woredas:</p> <ul style="list-style-type: none"> • review anticipated resources and set priorities and interact with communities/Kebeles re: potential programming • estimate feasible physical and financial level of activity, investments, and outputs and draft Core Plans • forward draft Core Plans to respective Development Committees for review and initial approval
OCTOBER
<ul style="list-style-type: none"> • Towns, Special Zones & Woredas forward draft Core Plans to RWCO for review and consolidation • RWCO consolidates Core Plans from Towns, Special Zones & Woredas and drafts Regional AWP • RWM approves draft plan and forwards to Regional Development Committee for initial approval and to NWCO for review and consolidation
NOVEMBER
<ul style="list-style-type: none"> • NWCO consolidates Regional Core Plans and completes National Core Plan • NWCO submits draft national Core Plan to NWTT for review and forwarding to NWSC • NWSC & Donors review draft National Core Plan – NWSC approves
DECEMBER
<ul style="list-style-type: none"> • NWCO notifies all levels that National Core Plan is approved. • Woreda/Towns/Special Zones fine tune AWP • Woreda/Towns/Special Zones forward AWP to Development Committee for information and to RWCO for review and consolidation

National WaSH Implementation Framework (Summary)

JANUARY
<ul style="list-style-type: none"> • RWCO consolidates AWP from woredas & special zones – drafts Regional AWP for RBM approval • RBM approves and forwards to Regional Development Committee for information and to NWCO for review and consolidation • NWCO consolidates Regional AWPs and drafts National AWP – forwards to NWT
FEBRUARY
February 8th: NOTIFICATION OF ANNUAL SUBSIDY BUDGET & ISSUE OF BUDGET CALL
<ul style="list-style-type: none"> • NWT reviews draft national AWP and recommends to NWSC • NWSC & donors consult – and NWSC approves composite Annual WaSH Plan • NWCO notifies Regions/Woredas/Towns of the approval of the composite Annual WaSH Plan • Regions/Woredas/Towns submit composite Annual WaSH Plans to respective Councils for inclusion in Annual Development Plan
MARCH
<ul style="list-style-type: none"> • March 22nd: DEADLINE FOR PUBLIC BODIES TO SUBMIT BUDGET REQUESTS

8.4 Budgeting

Guidelines and formats for WaSH budgeting at all levels are provided by the NWCO.

8.4.1 National Budgeting

National Resource Mapping takes into account:

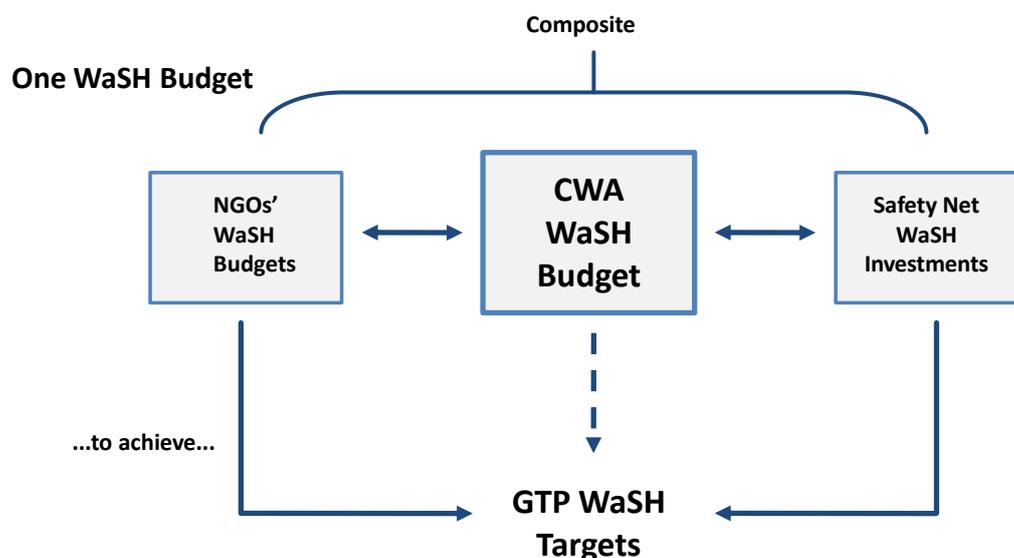
- Donor contributions specifically designated for the WaSH program – specifically the Consolidated WaSH Account (CWA)
- Government programs that include support for WaSH among other activities – specifically the Productive Safety Net Program
- Support for WaSH that Regions and/or woredas may decide to provide from their block grants
- NGO investments in WaSH programming

The NWSC has responsibility budgeting and managing of CWA funds only. Safety Net funds remain the responsibility of the Productive Safety Net Program. NGO funds remain the responsibility of the individual NGOs. Each of these program contributors builds and manages their own budget for WaSH - but provide the national Program with reports on expenditures and outputs using reporting formats provided by the NWCO.

The NWSC is mandated to oversee of the one WaSH program – in which these partners share – and to be accountable for all WaSH results - including the achievement of the WaSH GTP targets.

Accordingly, as the NWSC and WaSH managers, at each level, build their plans and budgets for CWA funds they not only take into full account the plans and budgets of their WaSH partners but involve them in the planning and budgeting process.

Figure 10. CWA-Composite plans



Annually the NWSC decides:

- what percentage of the CWA funds available will be retained at the federal level for national management and nationally implemented WaSH activities
- what percentage of the CWA funds that are transferred to Regions (on the basis of government formula) will be retained by the Regions to support regional management and regionally implemented WaSH activities

The NWSC, through the NWCO and in collaboration with MoFED, will provide the Regions with indicative CWA budget ceilings at the same time that it provides notional GTP targets.

8.4.2 Regional Budgeting

Regional Resource Mapping takes into account:

- allocations from the Consolidated WaSH Account
- estimated investment of other government programs in WaSH activities e.g. PSNP
- estimated investment of non-governmental organizations in WaSH activities
- estimated or committed amounts that may be assigned to the WaSH program by regions and woredas from their block grants

Annually the RWSCs decide:

- what portion of the core funds retained at the regional level will be allocated to each of the sectoral PMUs and RWCO
- what amount of funds will be transferred to Financial Institutions to support Community Managed Projects
- what percentage of the funds that are transferred to woredas (on the basis of explicit criteria) will be retained at the woreda level to support woreda-implemented WaSH activities

The RWMs provide the woredas with indicative CWA budget ceilings together with notional GTP targets.

8.4.3 Special Zone Budgeting

The Special Zones follow essentially the budgeting steps as do the Regions –determining allocation of CWA funds to the woredas and for WaSH management and activities at the zonal level.

8.4.4 Woreda Budgeting

Woreda Resource Mapping takes into account:

- allocations from the Consolidated WaSH Account
- estimated investment of other government programs in WaSH activities e.g. PSNP
- projected investment of non-governmental organizations in WaSH activities
- estimated or committed amount that may/will be committed to WaSH from the block grant
- community contributions

8.4.5 Budgeting Assistance

Assistance in budgeting is available on request:

- for Kebeles – from Extension Workers and/or CFTs
- for Woredas – from Woreda Support Agencts
- for Town Water Boards – from Town Support Agents
- for Regional planners – from NWCO services
- for National planners – from national & international consultants

9 Capacity Building

9.1 Introduction

This section focuses on the capacity development of stakeholders needed to support the effective implementation of the WaSH Program.

Development' is defined here as:

A set of planned and linked activities, strategies, approaches, and methods designed to improve the performance of individuals, organisations, and systems by creating the conditions through which change and improvement can take place.

The capacity development strategy for the WaSH Program is based on a systems approach that includes building:

Individual Capacities - skills, knowledge, attitudes, and confidence of individual players at all levels – regional managers, WWT and KWT members, WASHCO members, service providers, WEWs, HEWS, DAs, Community Health Promoters, artisans, caretakers and operators – to effectively carry out their assigned tasks;

Organisational Capacities – institutional development and strengthening of the new WaSH structures at different levels - national and regional coordination offices, PMUs, technical teams, and steering committees; Technical Vocational and Educational Training Colleges (TVETCs) with WaSH departments, WWTs and KWTs and WASHCOs;

Operational Systems – that support harmonized planning, financial management, procurement, capacity development, supervision, reporting, information management, and monitoring & evaluation;

Teamwork – communication and collaboration among implementing partners (governmental and non-governmental), donor agencies, private sector and other institutions in one integrated program;

Supply & Logistical Support – high standard and timely inputs increasingly accessed by communities through the private sector to promote local ownership and management and enhance the sustainability of services.

Strategic Sector Support – to inform WaSH policy, implementation and coordination through strategic studies, evidence, sector reviews, and support for networks and forums.

In summary, the aim of capacity building is to ensure the development of skilled and committed WaSH professionals working within effective structures and systems designed to implement the WaSH program on a sustainable basis.

9.2 Background

WaSH Capacity Development is responsive to a number of changing requirements:

Scaling Up – Scaling up the program to achieve national GTP targets means working with and training much larger numbers of people at all levels. It also implies an increased focus on sustaining existing WaSH services, not only expanding coverage throughout the country.

Evidence – The National WaSH Inventory provides up-to-date data on WaSH coverage and the quality and use of the WaSH services being provided. Stakeholders at all levels are expected to use this information to inform priorities and plans. Using the Inventory for reporting purposes increases

transparency in terms of sector performance. WWT and KWT are responsible to up-date the WaSH inventory annually.

Institutional Arrangements – The 4 -ministry partnership defined by the revised WaSH MoU, the introduction of Community Managed Projects using a CDF based approach, and the more formalised participation of civil society organizations in the National WaSH Program require new perspectives, changing roles and fresh approaches – a greater capacity for communication and collaboration and for shared ownership and accountability.

Integration – The need for effective integration of H&S and Water Supply components of WaSH, and the need to understand and respond to demand for water for multiple use not only domestic water supplies demands a broader knowledge base and wider skill set among WaSH planners and field practitioners and an increased capacity for teamwork.

Harmonization – The transition from a project to a program base and the harmonization of implementation arrangements requires familiarization with, and new skills for, a whole range of modified management systems, operational procedures and organizational relationships. This means that the Memorandum of Understanding principles and Framework principles should be well advocated and internalized at all levels.

Advocacy – A fresh realization of the critical role of advocacy in building commitment and creating an enabling environment requires new attention to the communication, public relations and political skills of WaSH leadership.

Diversity – The expanding base of field implementers – now including Water Extension Workers, HEWs, DAs, CFTs, local artisans and entrepreneurs, Kebele WaSH Teams, teachers, School Parents Committees, inspectors, health supervisors, etc – requires “function-based” training that brings practitioners together for training in which complementary and synergistic roles and skills for a common purpose are recognized and advanced.

CSO/NGO Resources - The potential of CSOs/NGOs as capacity-builders is acknowledged and measures are being taken to ensure that their experience as innovators, grassroots implementers and front-line trainers is effectively contributed to the wider WaSH program.

Material & Human Resources – An extensive body of operational manuals, trainer’s guides, and other materials have been produced and used by a number bilateral and multi-lateral WaSH projects and by various NGOs active in the sector. These are being assembled, assessed and revised to build a common body of support materials for use throughout the Program. Similarly, past projects made separate arrangements to provide technical assistance at the national and regional levels in particular. These arrangements are now being harmonized so that consolidated Capacity Building Support Units at the national and regional levels are able to provide the full range of training and technical assistance required.

These changes have implications for the capacity development of all WaSH players – managers, decision-makers, field workers, technicians and community-based players. Some players have to change their roles, others have to learn new roles, and all have to learn how to work together effectively.

9.3 Who are the Participants for Capacity Development?

Target groups for WaSH capacity building are shown in the table below, which is organized into different levels:

National WaSH Implementation Framework (Summary)

Table 7. Target groups for WaSH capacity building

Level	Target Groups
Rural Community	Community members (women as well as men); WaSH Committees; Water Point Caretakers and Operators; local artisans and entrepreneurs; Community Health Volunteers;
Kebele	Kebele WaSH Team, Kebele administrator & managers; Health Extension Workers. Water Extension Workers; Agriculture Development Agents; Community Facilitators; Head-teachers & teachers; School Parents Committees; Kebele Education & Training Boards; participating NGOs;
Woreda	Woreda WaSH Team; Woreda Procurement Committee; Health Supervisors. Education Inspectors. Woreda Steering Committee. Micro-Finance Institution (Sub- Branches), suppliers;
Town	Town Council, Water Board, Health Unit, School Authorities, Utility Operators. Suppliers. Municipality Sanitation Department
Zone	Zonal WaSH Team & WMUs
Region	WaSH Coordination Office; WMU (in all four bureaux); Capacity Building Support Units; Credit and Savings Institutions (relating to Community Managed Projects); TVETCs with Water and/or hygiene and Sanitation Departments; Woreda Support Agencies; Town Support Agencies, Participating NGOs; Private Sector - Technical Service Providers, Suppliers;
Federal	WaSH Coordination Office; Capacity Building Support Unit; WMU (in all four ministries). NWSC & NWTT; private sector (consultants, contractors, and suppliers);

These players and institutions are the building blocks for the new community-managed WaSH system. The aim of the capacity building program is to strengthen each of these *implementing agencies* so they can provide the leadership and perform the specific functions required of them within the expanding program. With scaling up, many of the players are new - or are new to a role that is changing. They require orientation and training in order to work competently, cooperatively and with commitment.

9.4 Who are the Capacity Builders?

The different categories of major capacity building entities are shown in the table below:

Table 8. Types of Capacity Builders

Level	Nomenclature	Composition	WaSH Capacity Building Function
Federal	NWCO NWMU (Water) National Capacity Building Support Unit (NCBSU)	Multidisciplinary team of WaSH professionals including COWASH specialists in CMP modality Head reports to Director, NWCO; and to NWMU (Water) Coordinator	Responsible for the design, implementation and reporting of the national WaSH Capacity Development strategy Reviews and advises on regional capacity building plans and provides technical support to Regional CB Support Units Prepares generic operational guidelines, tools and training manuals and materials for WaSH implementation Helps design and operationalize WaSH management systems Promotes and facilitates the full integration of the CMP modality into the National WaSH Program
	ETWEC	National high level technical training instructors	Training of professionals in ground water assessment and drilling
Multi Level	NGOs	National and International not-for-profit Organizations engaged in WaSH activities (often among others) generally at the community level but some in TA and financial support to community initiatives	Full range of capacity building from the community up into their own organizational self-development Often provide training to gov't personnel as part of a project mandate
Region	RWCO; RWMU (Water); Regional Capacity Building Support Unit	Multidisciplinary team of WaSH professionals including COWASH expertise in CMP modality Head reports to RWCO and RWMU (Water)	Conducts training needs assessment in context of Regional WaSH UAP and H&S Action Plan; Establishes capacity building components of multiyear WaSH Strategic Plan and successive annual Plans (linked to Woreda plans); Oversees implementation of these plans Organises / oversees WaSH training program (especially where this is multi-sectoral in nature) Adapts/translates nationally prepared manuals and materials to meet local requirements Hires and supervises WSAs (see below) on behalf of Woreda clusters Monitors and supports the work of WSAs and TVETCs Organises and participates in reviews and large sector meetings (JTR, MSF).
Region	Woreda Support Agents Town Support Agents	Trainers/consultants contracted to provide support to WWTs and TWB and TWTT	Coach WWTs and TWTT/TWB in strategic and annual planning and on relevant project management skills Help establish Woreda/Town management systems and tools; Participate in implementation of Woreda/Town CB plans by supporting training e.g. extension workers

National WaSH Implementation Framework (Summary)

Level	Nomenclature	Composition	WaSH Capacity Building Function
Woreda	Woreda WaSH Team Woreda Support Agents Woreda WaSH Coordinator	Team of desk officers selected from within Woreda Cabinet and support agents	Conduct training needs assessment for Woreda linked to multi-year strategic plan Produce annual capacity building plans (latter as part of Annual WaSH Plan); Hire CFTs and monitor their performance
Town	Town WaSH Technical Team (TWTT) and Town Water Board (TWB); Town Support Agents	Team of desk officers selected from within town Cabinet and support agents	Conduct training needs assessment for town linked to multi-year strategic plan Produce annual capacity building plans (latter as part of Annual WaSH Plan);
Region/ Zone	TVETC	Regional technical training instructors	Initial training and follow up (continuous professional development), focusing on water supply, operational and maintenance, water safety, sanitation and hygiene promotion.
Kebele	Community Facilitation Team	Field workers, with skills in CD, H&S, and technical areas	Train and provide coaching for WASHCOs; Work with HEWs to train CHPs; Support the training of caretakers.
	WEWs, HEWs, DAs	Extension workers	Provide training for WASHCO Facilitate community led total behaviour change Train and support CHPs (with help from CFTs) Provide technical assistance for self-supply;
	Technical Service Providers	Artisans and construction contractors	Provide on the job training of caretakers and technicians on construction, care and maintenance of WaSH infrastructure

Among the groups listed above there are four that are solely focussed on capacity building: The national and regional Capacity Building Support Units, EWTEC, TVETCs, Woreda and Town Support Groups and the Community Facilitation Teams.

National & Regional Capacity Building Support Units: The Capacity Building Support Units are teams of professionals working within the Coordination Offices in close collaboration with WaSH Management Units providing overall planning and guidance for the national and regional capacity building program. They develop generic operational guidelines for WaSH implementation. They prepare the operational manuals, trainer’s guides, management tools and promotional materials that are used at regional and sub-regional levels. They build WaSH’s institutional capacity by developing, refining and ensuring the effective operation of WaSH’s management systems for planning and budgeting, reporting, monitoring & evaluation and information management. They consult with and train WSAs and TSAs and other capacity builders in the use of these materials. They provide orientation for regional WaSH teams (WMUs, etc) with respect to their roles and responsibilities within the expanded WaSH program – specifically regarding the promotion, introduction and implementation of the CMP modality. COWASH expertise, within the National CB Unit, has a specific role in this regard. The CB Units are functions of the national and regional Coordination Offices and WMUs (particularly Water), accordingly, report to the respective Heads of those offices.

TVETCs are Regional / Sub-regional colleges established by the Government to provide a localised practical training facility. Of the 18 TVETCs established, 12 have water supply related departments and six have a focus on public health and disease prevention. TVETCs provide a practical way of producing large numbers of technically proficient WaSH professionals and offering continuous professional development to their graduates and other technicians in the field.

Woreda Support Agents (WSAs) - are regional level capacity builders, drawn from private sector companies and contracted by Regional WaSH Management Committees or woreda Water Teams to provide training and coaching for WaSH implementers at woreda and sub-woreda levels (e.g. WWT,

National WaSH Implementation Framework (Summary)

CFTs, WEWs, HEWs, TSPs, etc). They receive guidance and technical support from the Capacity Building Support Units – national and regional – and utilize nationally designed manuals and materials. WSAs have time-specific contracts and report to the Regional WaSH Coordination Office. Their overall objective is to leave the woredas with WaSH systems and services in place and working effectively.

Town Support Agents (TSAs) - are equivalent to WSAs, providing capacity building to support the development of town based WaSH facilities and H&S behaviour change.

Community Facilitation Teams (CFTs) are small teams made up of community development, H&S, and technical specialists contracted by the WWT, if and when required,⁶⁰ to facilitate community mobilization for WaSH and provide WASHCOs and CHVs with training and coaching to carry out their functions. CFTs work in collaboration with WEWs, HEWs and DAs.

9.5 Capacity Building Needs

The table below lists the capacity development needs of key players at regional, woreda, and sub-woreda levels.

Table 9. Summary of Training Needs

WaSH Actor	Knowledge and Skills required for.....
Federal Regional and Zonal levels	<ul style="list-style-type: none"> • Advocating WaSH to political leaders and decision makers and stakeholders at all levels • Integrated and harmonized WaSH planning, financial management, procurement, reporting and M&E • Promoting and implementing the CMP modality • Assessing capacity building needs, planning and implementing CB accordingly and measuring results Advocating WaSH at the regional/zonal level
Woreda WaSH Team	<ul style="list-style-type: none"> • Developing Woreda WaSH Strategic Plan • Awareness on the national and Regional policies, strategies and targets • Preparing, managing and reporting Annual WaSH Plans • Results-based planning and management • Assessing capacity building needs, planning and implementing CB accordingly and measuring results • Collecting, storing, analyzing, and reporting on water & sanitation data • Fostering community demand for improved WaSH. • Vetting Kebele WaSH plans and community & school WaSH management plans • Procuring goods and services and managing contracts • Advocating and planning intensive Hygiene and Sanitation Promotion • Advocating and implementing the CMP modality when applicable • Coordinating and supervising field workers • Developing supply chain for spare parts and services • Up-dating the WaSH database
Town WaSH Technical Team and Town Water	<ul style="list-style-type: none"> • Developing Woreda WaSH Strategic Plan • Awareness on the national and Regional policies, strategies and targets

⁶⁰ In some woredas/kebeles a combination of extension workers may possess the necessary knowledge, skills and experience to facilitate WASHCO organization and training.

National WaSH Implementation Framework (Summary)

WaSH Actor	Knowledge and Skills required for.....
Board	<ul style="list-style-type: none"> • Preparing, managing and reporting Annual WaSH Plans • Results-based planning and management • Assessing capacity building needs, planning and implementing CB accordingly and measuring results • Collecting, storing, analyzing, and reporting on water & sanitation data • Fostering community demand for improved WaSH. • Vetting Kebele WaSH plans and community & school WaSH management plans • Procuring goods and services and managing contracts • Coordinating and supervising field workers • Advocating and planning intensive Hygiene and Sanitation Promotion
Kebele WaSH Team	<ul style="list-style-type: none"> • Fostering community demand for improved WaSH • Developing Kebele WaSH Plans • Monitoring CFTs, WEWs, HEWs, DAs, and schools WaSH • Providing follow-up support to communities • Promoting and overseeing the CMP modality – when applicable • Up-dating the WSH database
Community Facilitation Teams	<ul style="list-style-type: none"> • Advising on technical issues related to water and sanitation (e.g. options, siting) • Forming and train WaSH Committees • Providing training and TA for the CMP modality when applicable • Selecting and training Community Health Promoters • Participatory training in: <ul style="list-style-type: none"> • planning - technical options, service levels, and costing • collection and management of money • mobilization for community led total H&S behavior change • Working on a teamwork basis with WEWs, HEWs and DAs • Creating gender awareness and strategies for optimizing women’s participation
HEWs, WEWs and DAs	<ul style="list-style-type: none"> • Helping communities set priorities and plan their WaSH activities • Mobilizing communities to lead total H&S behavior change • Helping communities to assess their WaSH results • Working as a team with CFTs
Head-teachers and teachers	<ul style="list-style-type: none"> • Planning WaSH facilities and behavior change • Introducing H&S within the school curriculum • Facilitating school environmental health clubs • Organizing/strengthening parent teacher associations • Promoting and monitoring construction, use and maintenance of facilities
Technical Service Providers	<ul style="list-style-type: none"> • Construction of facilities e.g. hand dug wells and latrines • Consulting with and motivating communities • Training caretakers on hand pump maintenance • Establishing an economically viable service
	<ul style="list-style-type: none"> • Organization and operation of a voluntary management committee • Participatory preparation of a WaSH management plan • Selecting and implementing either a WMP or CMP project funding mechanism

National WaSH Implementation Framework (Summary)

WaSH Actor	Knowledge and Skills required for.....
WaSH Committees	<ul style="list-style-type: none"> • Selection of technical options, service levels, siting, construction, and O&M • Collection and management of money (including book-keeping) • Procuring/contracting goods and services • Managing/monitoring construction - quality control. • Managing ongoing operations and maintenance of facilities • Promoting H&S behavior change • Advancing gender equity in program leadership and benefits • Assessing program effectiveness • Being accountable to the community
Community Health Promoters	<ul style="list-style-type: none"> • Promoting hygiene and sanitation behavior change • Using participatory methods and tools (PHAST) • Conducting house visits and group/community meetings • Constructing latrines and hand washing facilities • Facilitating participatory monitoring and evaluation
Caretakers	<ul style="list-style-type: none"> • Naming and explaining functions of pump parts • Identifying pump problems and causes • Inspection tests • Explaining proper use of pump • Carrying out routine maintenance and minor repairs • Accessing spares and required services • Promoting pump site cleanliness • Keeping records – spare parts and repairs
NGOs	<ul style="list-style-type: none"> • Harmonizing their W&S projects with the policies, strategies, standards and procedures of the National WaSH Program

9.6 Principles and Strategies for Capacity Building

WaSH Capacity Building uses the following principles and strategies:

Results Based Planning – first defining WaSH output targets and CMP/WMP approach to be achieved in context of the Core Plan and Action Plan, then, using a participatory needs assessment, determining what additional capacity is required and how increases in capacity will be measured.

Benchmarking - Minimum Package: At woreda-level, the capacity to plan, implement and monitor integrated WaSH service levels is benchmarked using a number of indicators. A minimum level of WaSH capacity is defined and used to assess the situation in each woreda. A woreda-specific package of capacity building investments – including software and hardware – is developed for this purpose with assistance from the Regional Capacity Building Support Unit.

Demand Driven Approach – involving stakeholders in identifying their specific training needs and in the design and planning of the capacity building program intended to address them. Safeguards are used to ensure that training is not used simply as a way to augment salaries through Daily Subsistence Allowances.

Stakeholder Participation – in contrast with a more traditional didactic approach. Participatory approaches are learner-centered, and promote active learning, rather than passive listening – and

National WaSH Implementation Framework (Summary)

emphasizes learning by “doing” – discussing issues, solving problems, practicing skills, and planning actions.

Gender Mainstreaming and Social Inclusion: Gender and social inclusion (disabled, disadvantaged, sick, etc...) is mainstreamed in all WaSH training, learning and exposure, and in WaSH policy and plans. In particular, there is a focus on understanding the different needs of disabled, women as well as men, and eliciting this through gender and social inclusion disaggregated focus group discussions and other appropriate techniques.

Climate change and integrated water resource management: Adaptation to climate change and tools to mitigate climate change such as integrated water resource management is mainstreamed in all WaSH training, learning and exposure as well as WaSH plans.

Incremental Training – training is generally provided in a series of short courses over a period of time – allowing trainees to learn step-by-step as the task requires. In this context, initial training is followed up with continuous professional development including on-the-job action-based training.

Team building – enabling players who are expected to work together to train together – sharing perspectives, practicing skills together and learning how to work as a team.

Action planning – articulating specific post-workshop tasks that participants commit themselves to undertake with clear objectives, targets, indicators, and timelines.

Monitoring and Evaluation – systems are used to track the implementation of capacity building activities against plans, and evaluate outcomes against expected results.

9.7 The Cascading Model

WaSH capacity building *cascades* from the national level on to the community level.

At the **national** level...

- the **policies, principles and strategies** are established
- the **program** is designed
- the **structures and systems** are instituted
- the **generic materials and tools** are prepared



These are passed to the regions –



to the towns and woredas –



to the kebeles and communities....

through a **cascading** pattern of capacity building events and interactions:

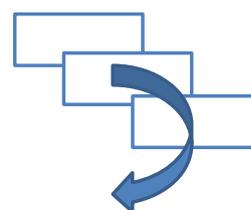
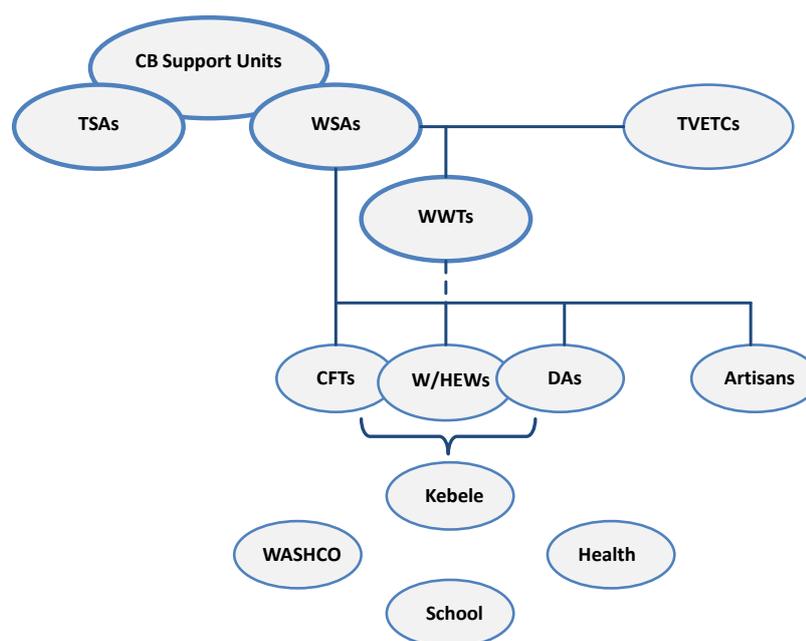


Figure 11. Flow of cascading

National WaSH Implementation Framework (Summary)



The flow is from the top. However, implementers at each level have responsibility to assess their own capacity building needs and prepare their own capacity building plans. The regions, towns and woredas implement these plans through the work of the TVETs, WSAs, TSAs, CFTs, WEWs, W/HEWs, DAs and Artisans who will utilize the resources developed at the national level and adapted and translated regionally to conform to local requirements.

9.8 Minimum Capacity Building Requirements

The National Capacity Building Support Unit in consultation with its regional counterparts and key NGOs representatives determine the minimum capacity building requirements for each of the categories of WaSH actors listed above. Accordingly, the Unit oversees the design of appropriate training/capacity building interventions and the preparation, production and dissemination of appropriate training manuals and materials. Following the “cascading model” the national and regional CB Support Units implement a series of “training of trainers” workshops to ensure that the various capacity builders at each level are fully familiar with their materials and have mastered the methodology the training requires.

What the CB Support Units provide is a common WaSH **core** training program that provides for consistency. It provides a base – the “must do” in WaSH capacity building. Capacity builders at all levels are encouraged, whenever possible, to go beyond the requirement and build on the base to further enhance the knowledge and skill of participants. It is expected that courses and materials will be **adapted and translated** to meet local circumstances and language requirements. It is also expected that creative capacity builders will innovate and discover (and share) better ways of helping people acquire and apply new capacities.

In preparing the core WaSH manuals and materials the CB Support Units draw on, harmonize and **add to** resources that have already been developed by WaSH projects and NGO programs over the past several years. An example of this is the work undertaken by the COWASH project to modify and embed into the core WaSH CB programs the lessons learned and processes and mechanisms developed in projects using the CDF approach. At the same time the CB Support Units are challenged to develop entirely new materials to support WaSH actors in meeting the unprecedented requirements of WaSH harmonization and integration.

Note on Capacity Building for the Community Managed Project (CMP) Modality

Special CMP “modules” are provided in core training materials at all levels. CMP is promoted throughout the WaSH Program. If and as regions build into their plans the adoption of the CMP as one of the alternative funding mechanisms for community projects a systematic “cascading” of CMP orientation and training begins - from regional authorities and implementers through to Kebele managers and community WaSH committees. In this process the CMP training modules are “activated” and expand the training of all WaSH actors involved. As an example – regular WASHCO training will be supplemented to include the acquisition of the knowledge and skills specifically required to plan and manage a project using the CMP mechanism. The same process will apply at all levels.

While the wide promotion of CMP is encouraged it is not expected or advised that CMP training be extended to WaSH implementers unless and until CMP is built into their plans.

9.9 Range of Training Materials

Training programs are supported with training materials that include:

- a) **Trainers’ Guides** – training manuals used by trainers to train specific target groups. Each trainer’s guide consists of a series of “training modules” – descriptions of how to facilitate each session – objectives, timing, learning tasks, questions to be asked, key points, etc.
- b) **Operational Manuals** – a reinforcing how-to-do-it guide for the use of participants on-the-job after completing their training
- c) **Operational Instruments** – forms, formats, templates, checklists etc that participants will use for planning, budgeting, reporting etc.
- d) **Participatory Learning Tools** – pictures and other materials used in community level discussion/planning on WaSH issues (e.g. PHAST tools and sanitation ladders, three pile sorting, transmission routes and barriers, household behaviour change monitoring tools, etc)

Table 10. Sample of Core Manuals & Guides - not an exhaustive list

Audience	Materials	Description
WaSH Committee (WASHCO)	WASHCO Manual	Manual for WASHCO members
	Trainer’s Guide for training WASHCOs	Used by CFTs and or Extension Workers to train WASHCOs.
Community Health Promoters (CHPs)	Manual for Community Health Promoters	Guide for CHPs in conducting home visits and organising community & group meetings
	Trainer’s Guide for Training CHPs	Used by HEWs and CFTs to train CHPs
	Household behaviour change monitoring card	Used by CHPs in monitoring behaviour changes in each household
HEWs, WEWs DAs, & CFTs	H&S Ignition Manual	Guide for the use of HEWs, CFTs, DAs for intensive H&S promotion
	Trainer’s Guide for Training on Intensive H&S Promotion/Ignition	Used by WSAs to train HEWs, CFTs, and DAs on intensive H&S promotion
	Toolkit for gott level intensive promotion	PHAST and other tools used by HEWs, CFTs, DAs, and CHPs for ignition meetings on H&S
Community Facilitation Teams	CFT Manual	Operational manual for CFTs
	Trainer’s Guide for Training CFTs	Used by WSAs to train CFTs
Caretakers	Caretaker’s O&M Manual for hand dug wells	Booklet to guide caretakers on how to operate and maintain HDWs

National WaSH Implementation Framework (Summary)

Audience	Materials	Description
	Caretaker's O&M Manual for spring development	Booklet to guide caretakers on how to operate and maintain on-spot springs
	Trainer's Guide for Training Caretakers on O&M	Used by WSAs to train caretakers
Technical Service Providers	HDW & Spring Development Construction Manual	Simple, picture based manual on how to construct hand dug well and on-spot springs
	Construction manual – latrines and hand washing facilities	Simple, picture based manual on how to construct latrines and hand washing facilities
Woreda WaSH Team	Woreda Planning & Management Manual	How to prepare and report on results-based Strategic and Annual Plans
	Woreda Operational Manual	How to organize for and carry out WWT program management functions – and provide support for community program implementation.
	Woreda Financial Management Manual	Detailed procedures on how WaSH funds are received, kept and spent - and expenditures recorded and reported.
	Woreda Procurement Manual	Guidelines for procurement in the WaSH program
	Trainer's Guide for Training WWTs	Used by WSAs to train WWTs
Senior WaSH Managers	M&E Manual	Guidelines and instruments relating to key WaSH Management Systems and the integration and consolidation of multi-sector, multi-level documentation
Coordination Offices	MIS Manual	
	Consolidated Plan Format & Guide	
WMUS	Consolidated Budget Format & Guide	
	Consolidated Report Format & Guide	
Stakeholders	Guide for WaSH Advocacy and Commitment Building	Used by WSAs in conducting inter-agency stakeholder workshop on intensive H&S

9.10 National Capacity Building Resources

The primary capacity building resources at the national level are:

The National Capacity Building Support Unit (NCBSU) reports to the Coordinators of the NWCO and NWMU (water) respectively, and is responsible for coordination of WaSH Sector capacity building in the context of the National WaSH Program. The NCBSU consists of a team of consultants and specialists including the CMP expertise of the COWASH Project.

Manuals, guidelines, tools and other materials used in training WaSH practitioners and subsequently used by them as resources in their ongoing implementation and management of the program.

Ethiopian Water Technology Centre (EWTEC) – currently part of Government (MoWE) supported by JICA, focusing on training on ground water assessment, development and extraction. Within its existing residential campus in AA, EWTEC offers ground water assessment and drilling courses for existing water supply professionals.

RIPPLE: Research into Policy and Practice through Learning in Ethiopia, a DFID-funded project that acts as a Reference Centre and knowledge broker for WaSH in Ethiopia and the Nile Region. Major areas of interest reflected in publications include sustainability, water for multiple use and climate change impacts on the WaSH Sector.

COWASH: a Finnish-Ethiopian bilateral project having as its purpose the accelerated implementation of the Universal Access Plan and the achievement of GTP WaSH targets through the wider adoption and application of the Community Managed Project (CMP/CDF) modality. COWASH provides TA/expertise in the context of the National and Regional Capacity Building Support Units.

Joint Technical Review (JTR) is a semi-annual review process that brings together the government and all major WaSH donors to review program implementation including progress and challenges. These reviews provide an excellent opportunity for “big picture” learning and strategic problem solving.

Multi-Stakeholder Forum (MSF) is an annual event that brings together stakeholders from government (including representatives from the four signatory Ministries), donor partners, civil society organizations, and the private sector to review progress in the WaSH sector and to agree on key strategic undertakings to be jointly pursued during the year ahead. As such, the MSF is designed to improve communication between stakeholders, as well as supporting the mutual objectives of coordination, harmonization and alignment among partners across the implementing sectors.

9.10.1 Support to Private Sector Service Providers

The long-term objective of support to the private sector is to ensure that there is a competitive and efficient private sector available at the woreda and Kebele levels to provide quality and timely goods, works and services to communities.

An objective of the WaSH Program is to increase the number of service providers and ensure the quality and competitiveness of their work. This is done through training and also through a) providing logistical support and b) simplifying procedures to encourage the participation of small-scale service providers. The CMP modality in particular emphasises localised contracting of artisans and other small scale private undertakings by WASHCOs.

Support is provided to drilling contractors, hand-dug well & spring development contractors, spare parts suppliers, latrine artisans, pump mechanics, small town water system operators and providers of training and community development services such as CFTs.

9.10.2 Involving NGOs as Capacity Builders

Scaling up of the WaSH program requires a substantial increase of capacity building resources. Regions may, in their resource mapping exercise, identify NGOs with extensive experience in participatory community development and project management – and some experience in WaSH activities specifically. Options may be considered for drawing on this experience through such possibilities as engaging NGOs as WSAs, CFTs or in providing survey, monitoring or other services if these services are in line with the objective of their establishments and the project agreement.

9.10.3 Monitoring of Capacity Development

Monitoring of capacity development is carried out at community, woreda, regional, and national levels. At each level the stakeholders measure progress against expected results using agreed indicators. The data collected is used to define and solve problems and to improve the performance of the capacity development process.

Monitoring is designed to measure progress in achieving the following major goals for capacity development:

- Development of Community Ownership and Management – the capacity of the community to initiate and manage their own planning and development process
- Development of skills in participatory community facilitation, including the involvement of women and marginalized groups in decision-making
- Development of skills in technical design, construction, and monitoring aimed at producing high quality and sustainable W&S systems

National WaSH Implementation Framework (Summary)

- Organisation Development – strengthening the leadership, management and financial systems, strategic plans, and operational effectiveness
- Strengthening WaSH Management – developing systems and skills to manage and support community water and sanitation.
- Harmonisation and integration – developing teamwork among players from different sectors and inter-agency planning and implementation

9.10.4 Practitioners' Groups

Practitioners' Groups are a vehicle for exchanging experience and lessons learned, solving implementation problems, and helping to improve training materials.

Practitioners' groups take the form of short workshops bringing together selected professionals from the same field (e.g. TSAs, or WSAs and CFT specialists on community development, or H&S specialists from WSAs, Woreda Health Office, and HEWs). These events are used to review and document field experience and best practice, and through this, make improvements to operational practices and manuals.

Workshops are organized by the Capacity Building Support Units at the national and regional levels. The workshops are generally led by a consultant with extensive international experience and a core team of national specialists. Practitioner specialty areas include:

- Program Management - Financial management, Procurement, M&E, and Information Management.
- Rural Water Supply, Sanitation & Hygiene Promotion– woreda program development, community management, pastoralist water supply, hygiene and sanitation promotion, hand dug wells and springs, borehole siting and supervision.
- Urban Water Supply, Sanitation & Hygiene Promotion - town water board development, business planning and cost effective design, utility operations, contract management

10 WaSH Monitoring & Evaluation

10.1 WaSH M&E Rationale

Why is M&E so essential? What will it help us accomplish?

A single, consistent and well-managed WaSH Monitoring & Evaluation system will:

Inform Decision-making:

We cannot manage what we cannot measure. M&E is designed to provide planners and managers at each level with the critical information they need to decide where to invest, in what and how much. It allows decisions to be evidence – based.

Track Progress:

M&E helps us to track our progress towards specific objectives such as the UAP targets and the Millennium Development Goals. M&E helps us see if we are keeping to the plan and on-track to meet the targets. If we are falling behind, M&E helps us to identify where the slippage is occurring and what must be done.

Build Capacity:

A developmentally–sound M&E system supports community participation and responsibility. It encourages community members to look regularly and realistically at how well their water schemes are working, what changes are taking place in hygiene and sanitation behaviours, what health benefits are resulting and what more needs to be done. M&E helps the community build its own capacity and recognize and record its own successes.

Measure Impact:

M&E reduces guess-work and bias in reporting results. What is the impact of the program? Are the expected benefits being realized? Is health improving? Is school enrolment rising? Is use of facilities and services increasing? Is community management expanding? Is the M&E system measured results are reported.

Increase Accountability:

Regular reporting of measured results increases the accountability of all stakeholders from household members to the National WaSH Steering Committee. The facts are made clear. Actors are made answerable to investors and performance improves.

Encourage Investment:

The increased accountability that M&E provides will not only promote improved performance but will encourage further investment in WaSH. The confidence and trust that is built by a credible M&E process will invite further political financial investment of government and donors and foster the essential time, money and in-kind contribution of the community.

10.2 WaSH M&E Challenges

The design, implementation and management of the WaSH M&E System provide a number of challenges

Harmonization

The first challenge is to achieve a harmonized system – that is, system that incorporates the collection, aggregation, analysis of all essential WaSH performance data from all implementing agencies – core WaSH implementers, other WaSH-related governmental programs and projects and

non-governmental organizations active in the sector. M&E data must be comprehensive, consistent and as complete as possible to be useful.

Integration

A second challenge is to ensure that the M&E system is integrated – ensuring that essential data are derived from all three sub-sectors – water, hygiene & sanitation and education – and are analyzed together to provide a common and comprehensive picture of the program.

Other challenges include:

Asking the right questions (or getting the right indicators): The system needs to ask a set of questions that are simple to answer and at the same time complete enough to provide insight into a complex program. No one wants to answer a long set of questions but decision-makers do need information that is significant.

Collecting and managing data: Information has to be collected in households and communities and then managed so that it finishes up in a format that can be used by decision-makers. These data pass through many hands and at each stage there are risks of loss or distortion.

Providing incentives for completion and accuracy: How do we make the M&E process relevant and important for users so that they are willing to provide information on their WaSH status and for WaSH managers so that they are rigorous in their analysis and timely in their reporting?

Keeping up-to-date: The WaSH sector is dynamic. On the positive side, new water schemes and latrines are being built and people are adopting new hygienic behaviours continuously. On the negative side, existing water points break down, toilets are getting filled and people reverting to old behaviours. Up-to-date information is required on both aspects – but not such detail or with such frequency that respondents fatigued or resistant.

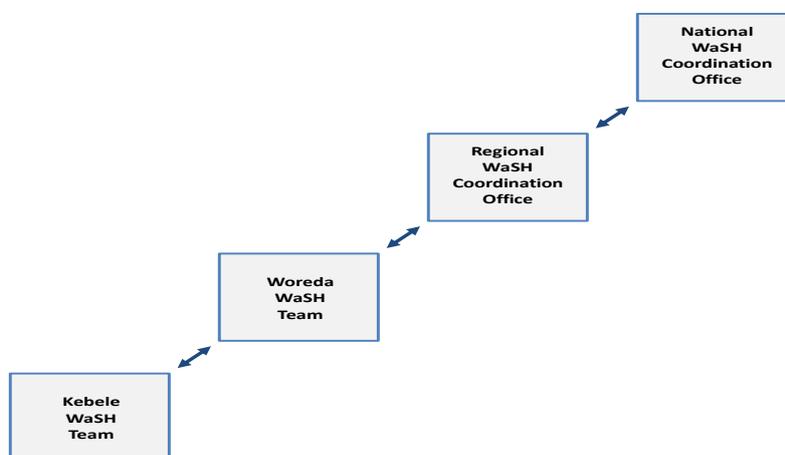
Keeping it critical: In some M&E systems many forms are filled with a great deal of information and that are then forwarded on or filed away without analysis. The challenge is to limit the questions to those that produce critical data – and then to ensure that the analysis is done.

10.3 WaSH M&E System Overview

Details of the WaSH M&E System are found in the WaSH Monitoring & Evaluation Manual. This section of the WaSH Harmonization Manual provides only an overview of the system.

10.3.1 Who manages WaSH M&E?

The WaSH M&E system is managed by the Coordinating Offices at each level:



10.3.2 What is monitored in WaSH?

Progress and results are monitored. More specifically:

- With respect to water supply monitoring will include:
 - The location, number, types and current functionality of water schemes/utilities
 - The number and percentage of community users and the levels of service
 - The quality of water and site sanitation
 - The degree of consumer/user satisfaction
 - The quality of scheme/utility management and the level of financial viability
 - The nature, frequency and duration of hardware problems encountered
 - The level of accessibility to spares and repairs

The achievement of construction/rehabilitation milestones and completions

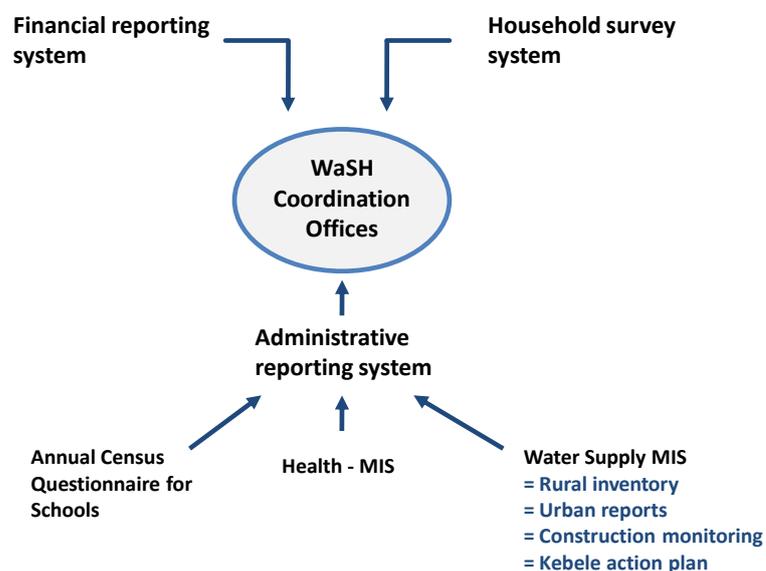
- With respect to sanitation and hygiene monitoring will include:
 - The number of households with minimum latrines or better
 - The estimated number of households/people using a latrine – and the number practicing open defecation
 - The estimated number of households/people with hand washing facilities near to a latrine
 - The estimated number of households/people practicing hand washing after defecation and handling children’s faeces – and safe water management.
- With respect to schools and institutions monitoring will include:
 - The types, functionality and use of drinking water sources in or near the school/institution
 - The types, number and use of latrines and hand washing facilities in the school/institution.

10.3.3 What are the sources of M&E data?

WaSH M&E data are drawn from five sources:

1. WaSH Financial & Physical Reports
2. Education MIS
3. Health MIS
4. Water Supply MIS
5. The Household Survey System

Figure 12 Sources of M&E Data



WaSH Financial & Physical Reports: These reports are submitted quarterly at every level and contain categories of information that are required by WaSH M&E managers regarding progress toward expected results and value for money.

Education and Health Information Systems: Specific WaSH information questions are embedded in surveys and inventories administered by the education and health sector offices.

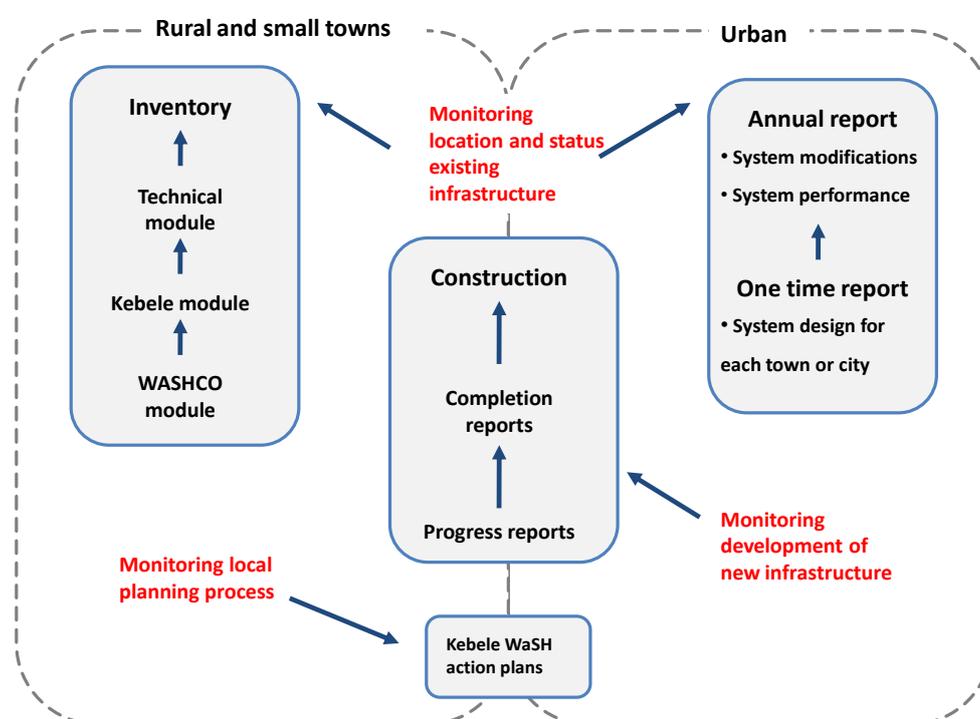
Water Supply Management Information System: The major portion of WaSH data is derived from the MoWR Water Supply MIS and includes information on:

- The location and functional status of existing schemes
- The development of new infrastructure
- The expansion of existing schemes
- The rehabilitation of abandoned or non-functioning schemes
- The local (Kebele) WaSH planning process

The Household Survey System: These reports are generated by the Central Statistical Agency and include such instruments as the Population Census, the Demographic & Health Survey and the Welfare Monitoring Survey. These surveys are planned to occur every few years and produce WaSH related data that can be used to confirm or question the results from the other sources.

10.3.4 How are WaSH M&E data obtained?

Figure 13. Overview of Water Supply MIS



The WaSH M&E system uses a number of specially designed data gathering instruments:

- 5 for rural water supply, sanitation and hygiene M&E instruments
- 4 for urban water supply and sewerage, sanitation and hygiene M&E instruments
- 2 embedded in the education and health sector Management Information Systems (MIS)

The M&E Operations Manual contains a detailed description of each of these instruments that includes:

- An overview description and rationale for the instrument
- A description of process explaining who, how and when the data will be collected and processed
- The estimated costs of collecting and processing the data and an explanation of what the incentives involved for the those collecting and processing the data
- A detailed list of the questions and indicators that make up the instrument along with a justification each
- An example of the form that will be completed by the designated institution

National WaSH Implementation Framework (Summary)

Water Supply MIS

The water supply MIS deals with rural and urban water supply separately. Urban water supply is defined as all water supply managed by proclaimed utilities. All other systems are treated as rural. As water schemes move from being small town schemes to proclaimed utilities so their monitoring will move from the rural to the urban domain.

There are separate and distinct processes for monitoring the location and functioning of rural and urban schemes.

Rural schemes are monitored using a set of three instruments that build up to a national inventory of schemes. They include:

- An annual WASHCO module that is a self-reporting mechanism for schemes managed by a community committee
- An annual Kebele module that is a simple listing of all schemes in the Kebele,
- A technical module used by woreda, zonal or regional staff to capture detail on each scheme periodically (every 3-5 years).

Urban schemes are monitored using two instruments.

- A One-Time Report that describes the design of the scheme (in the base year)
- An Annual Report that describes both improvement to (expansion, rehabilitation etc) and performance of the utility.

The majority of the urban performance indicators are drawn from the International Benchmarking Network for Water and Sanitation Utilities (IBNET).

Both rural and urban instruments ask several questions on sanitation and hygiene practices.

Finally, the local planning process is monitored through Kebele WaSH Action Plans. These have the aim of making a specific link between WaSH instruments at the lowest administrative level to ensure that data is used for local-level planning. A Kebele WaSH action plan presents local priorities for action enabling better interpretation of the raw WaSH M&E data by higher levels of government and utilities.

10.3.5 Who does what in WaSH M&E?

Table 11. M&E roles and responsibilities

Who	M&E roles and responsibilities	Skills & Knowledge required
Water users / water point management group / WASHCO	<ul style="list-style-type: none"> • Completes annual WaSH inventory 	<ul style="list-style-type: none"> • Literacy • Numeracy • Simple record keeping • Filing
Kebele WaSH Teams	<ul style="list-style-type: none"> • Supports WASHCOs to complete the Annual WaSH Inventory • Completes Annual WaSH Inventory where there is no WASHCO • Reviews WaSH status at School and Health Post • Studies data and completes an analysis of the Kebele WaSH situation • Uses M&E results to prepare and propose a Kebele Annual WaSH Plan • Forwards data to Woreda WaSH Team • Prepares monthly, quarterly, and annual WaSH progress reports and send to the Woreda • Conduct WaSH progress review meeting quarterly with all Kebele WaSH stakeholders • Participate at Woreda level WaSH progress review meeting quarterly 	<ul style="list-style-type: none"> • Familiarity with WaSH • Basic analytical skills • Planning • Budgeting
Woreda WaSH Teams	<ul style="list-style-type: none"> • Supports Kebeles perform their roles of data gathering, WaSH analysis and action planning • Visits all non-functional PPWSS to support users and Kebele to restore functionality • Conducts technical assessment of every 3 years • Verifies Kebele summaries against paper records for accuracy; makes any corrections • Enters data from Kebele summaries onto computer spreadsheet into one consolidated record of all Kebeles • Performs analysis e.g. comparison between Kebeles and against previous year • Uses M&E results to prepare a woreda Annual WaSH Plan • Sends spreadsheet and paper records to Regional or Zonal WaSH Coordination Office • Prepares monthly, quarterly, and annual WaSH progress reports and send to the Zone/Region • Conduct WaSH progress review meeting quarterly with all Woreda WaSH stakeholders • Participate at Region/zone level WaSH progress review meeting quarterly 	<ul style="list-style-type: none"> • WaSH technical skills – WQ testing, GPS, hand pump assessment • Basic spreadsheet manipulation • Data analysis • Budgeting • Planning

National WaSH Implementation Framework (Summary)

Who	M&E roles and responsibilities	Skills & Knowledge required
Region / Zone WaSH Coordination Office	<ul style="list-style-type: none"> • Supports Woredas perform their roles • Verifies Woreda summaries against paper and computer records • Recruits and Supervises data entry contractor • Consolidates all Woreda records into one file for the complete Region / Zone • Performs analysis e.g. comparison between Woredas and against previous year • Uses M&E results to prepare annual Regional / Zone Annual WaSH Plan • Sends spreadsheet and summary analysis to National WaSH Coordination Office • Prepares monthly, quarterly, and annual WaSH progress reports and send to the NWCO • Conduct WaSH progress review meeting quarterly with all regional WaSH stakeholders including zones, Woredas and towns • Participate at national level WaSH progress review meeting quarterly 	<ul style="list-style-type: none"> • WaSH policy & development refinement • Data analysis • Report writing
TWTT, TWB, Town Utility	<ul style="list-style-type: none"> • Completes One Time Report UWS-OTR, • Completes Annual Report UWS-AR, • Compares changes between years and reports on these to Region / Zone / Woreda • Uses these data to report to public in Annual Report • Use M&E data to prepare WaSH Annual Plan • Forwards M&E data to R/Z WaSH Coordination Office • Prepares monthly, quarterly, and annual WaSH progress reports and send to the RWCO • Conduct WaSH progress review meeting quarterly with all town WaSH stakeholders • Participate at regional level WaSH progress review meeting quarterly 	<ul style="list-style-type: none"> • Utility operations & management • Data analysis
National WaSH Coordination Office	<ul style="list-style-type: none"> • Consolidates all Regional and Urban data • Uses M&E results to prepare JTR reports etc • Uses M&E results internationally with AMCOW, JMP etc • Uses results to prepare and propose investment plans and loan / grant applications and national Annual WaSH Plan • Provides NWTT with a consolidated WaSH M&E Report • Prepares monthly, quarterly, and annual WaSH progress reports and send to the NWTT • Conduct WaSH progress review meeting quarterly with all national and regional WaSH stakeholders • Organizes annual MSF 	<ul style="list-style-type: none"> • WaSH policy & development refinement • Data analysis • Report writing

10.3.6 Reporting Frequencies

- Kebele WaSH Team (KWT) submits monthly, quarterly, and annual WaSH progress reports to 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 NWCO,
- NWCO submits monthly, quarterly, and annual WaSH progress reports to NWTT and through it to NWSC,

The WaSH progress reports will include both physical and financial status. Monthly and quarterly reports should show the progress against planned activities and/or outputs while the annual plan should show the achievements in meeting the annual targets, i.e. output and outcome results.

10.3.7 WaSH Progress Review Meetings

- 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,
- Depending on the necessity, program mid-term and termination review could also be conducted at national level.

11 Recommendations on the National WaSH program implementation

To initiate the full WaSH Program beginning of the Ethiopian Fiscal Year 2005 (July 2012) the following have to be in place before the end of 2004 of the Ethiopian Fiscal Year:

- the multi-donor Consolidated WaSH Account
- approved harmonized and integrated Annual WaSH Plans and Budgets at all levels;
- operational WaSH coordination structures at all levels
- tools and procedures necessary for integrated planning, reporting and monitoring
- harmonized strategies and core materials for capacity building

The shortness of the proposed time frame to Implementation and the urgency of GTP targets require parallel and simultaneous preparatory action. For instance:

- the finalization of the MoU and the WIF can proceed at the same time with minor adjustments made to the WIF, if necessary, when the MoU is signed
- work can and must start immediately, even prior to WIF approval, on the design and development of tools and mechanisms for integrated planning, budgeting and reporting
- the process of harmonizing training materials and drafting operational manuals can and should be started without delay

11.1 Core Process

The core process is Planning & Budgeting for FY 2005 over the next months. This process is elaborated in some detail in Full WIF. To carry the process forward, however, the basic WaSH structures need to be in place and tools and mechanisms available for integrated planning, budgeting and reporting. The key drivers of the process will be the coordination agencies at each level with the National WaSH Coordination Office providing the lead, the direction and the technical resources.

The NWCO will need to bring regional WaSH implementing agencies – including WMUs, WSA (WSGs) and NGOs together to introduce and work through the planning, budgeting and reporting processes and to familiarize them with the associated tools, formats etc. The Regions, in turn, will need to provide corresponding workshops for town and woreda WaSH implementers (Boards & WWTs).

Tri-level Implementation Schedules are set out below. These are based on WIF Planning & Budgeting section. Several other activities are proposed relating to organizational readiness and capacity building. Following the Schedules comments are provided on some of these activities.

National WaSH Implementation Framework (Summary)

A. National level Program Implementation Schedule as per the WIF

No	Activities	Responsible body	2011								2012						
			May	Jun	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	July
	Organizing																
1	Sign MoU	Ministers															
2	Establish National Structures	SC															
3	Approve WIF	SC															
4	Confirm Donor Commitments	SC															
5	Establish CWA with MoFED	TT>MoFED															
	Planning																
6	Map Resources	CO>TT															
7	Provide Indicative Ceilings & Targets	TT>MoFED															
8	Prepare National WaSH Strategic Plan	CO>TT>SC															
9	Identify/cost WaSH activities by sector																
10	Oversee National Inventory/collate data	CO>TT															
11	Consolidate Regional Core Plans	CO>TT															
12	Draft & recommend National Core Plan	CO>TT															
13	Nat. Core Plan approved/ endorsed	SC & DAG															
14	Notify Regions of Core Plan approvals	CO															
15	Consolidate Regional AWP/budgets	CO															
16	Draft National AWP/budget	CO>TT															
	GoE issues Budget Call																
17	Nat. AWP/budget approved/endorsed	SC/DAG															
	GoE Budget Request Deadline																
18	Notify Regions of Plan/budget approvals	CO															
19	Incorporate WaSH in Sector Plans	WMUs															
20	Implement approved Plan & Budget	Implementing Agencies															
	Capacity Building																
21	Prepare planning & reporting tools	CO															
22	Provide Regional Prep. Workshops	CO															
23	Harmonize training materials/resources	CO															

SC = National WaSH Steering Committee; TT = National WaSH Technical Team; CO = National WaSH Coordination Office; DAG = Donor Advisory Group

National WaSH Implementation Framework (Summary)

B. Region level Program Implementation Schedule as per the WIF

No	Activities	Responsible body	2011									2012						
			May	Jun	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	July	
	Organizing																	
1	Establish regional/zonal WaSH structures	WM																
	Planning																	
2	Oversee WaSH Inventory	CO																
3	Aggregate & analyze inventory results	CO																
4	Map anticipated resources	CO>WM																
5	Revise Strategic Plan - priorities	CO>WM																
6	Propose ceilings/targets to woredas etc.	MC>BFD																
7	Review & aggregate Core Plans from field	CO>WM																
8	Draft Regional Core Plan & forward	CO>WM																
9	Notify field of approved Core Plans	CO																
10	Review & aggregate AWPs from field	CO>WM																
11	Prepare Regional AWP and forward	CO>WM																
12	Notify woredas etc of Plan/budget approvals	CO																
13	Incorporate WaSH in Regional Sector Plans	WM																
14	Implement approved Plans & Budgets	Implementing Agencies																
	Capacity Building																	
15	Provide Woreda/Town Prep'n. Workshops	CO																
16	Adapt/translate planning/reporting tools	CO																
17	Adapt/translate training materials	CO																
18	Harmonize training & TA	CO																

WM = Regional WaSH Management; CO = Coordination Office; BFD = BoFED

National WaSH Implementation Framework (Summary)

C. Zones, WWTs & Water Boards Program Implementation Schedule as per the WIF

No	Activities	Responsible body	2011								2012						
			May	Jun	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	July
1	Implement, analyze, report WaSH Inventory	Mgmt	█	█	█	█											
2	Foster Kebele/community WaSH planning	Mgmt.		█	█	█											
3	Receive/assess/respond to Kebele plans	Mgmt				█	█										
4	Prepare Core Plans & forward to Regions	Mgmt						█	█								
5	Draft Annual WaSH Plans (AWPs)	Mgmt.							█								
6	Complete AWP and forward to Regions	Mgmt.								█							
7	Notify kebeles etc of Plan/budget approvals	Mgmt.										█					
8	Incorporate WaSH in Woreda/Town Plans	Cabinets											█				
9	Implement approved Plans & Budgets	Implementing Agencies															

Mgmt. = WWTs, Water Boards, Zonal WaSH Committees

11.2 Comment on Selected Activities

11.2.1 National

Prepare National WaSH Strategic Plan

The recently prepared UAP may be sufficient to serve the purpose of a National WaSH Strategic Plan. However, when resource mapping has been completed and WaSH Inventory data are consolidated and analyzed further strategic thinking may be required together with some modification of the UAP.

Identify/cost WaSH Activities (and assign by Sector)

For the purposes of budgeting and the allocation of WaSH funds by sector it is essential that all WaSH-supported activities at each level be categorized, assigned to a sector and given a notional unit cost, For example – water point construction would be assigned to the Water Sector and a unit price estimated depending upon technology. Demonstration latrines would be assigned to the Health Sector and a unit price estimated. Accordingly, every WaSH program⁶¹ activity in every WaSH plan at every level would be assigned to one or other of the participating sectors. The sum of costed activities proposed and approved from the bottom up will determine the allocation of WaSH funds among the sectors at the national level.

Oversee the National WaSH Inventory

Every effort should be made to roll-out the WaSH Inventory to provide the data base for all WaSH planning and target setting at every level. The NWCO has lead responsibility for this – cascading to the coordinating agencies at the regional, zonal and town/woreda levels.

Prepare Planning & Reporting Tools

In order to have *integrated* plans and reports that can be *aggregated* at higher levels and thus provide One Plan, One Budget and One Report it is essential that a common set of planning and reporting formats and mechanisms are used at each level and that data from lower levels can be readily aggregated at higher levels. These planning and reporting tools need to be developed and tested as soon as possible to ensure they are workable and available for training purposes. It will be important to build a *best practice* out of procedures current in the various projects and among the NGOs. It is essential that the NGOs be closely consulted since they are being asked to integrate key elements of their plans and reports with the core WaSH management system.

Provide Regional Preparation Workshops

The NWCO will need to bring regional WaSH implementing agencies – including WMUs, WSA (WSGs) and NGOs together to introduce and work through the planning, budgeting and reporting processes and to familiarize them with the associated tools, formats etc. The Regions, in turn, will need to provide corresponding workshops for town and woreda WaSH implementers (Boards & WWTs).

Harmonize Training Materials & Resources

The year of *planning* toward full WaSH implementation is also a year of *transition* during which a common set of training materials and operational manuals are developed and the TA support systems of the various projects are rationalized to provide a coherent capacity

⁶¹ Coordination activities would be assigned to the coordinating agency and budgeted accordingly – e.g. the NWCO work plan and budget.

development strategy. This will be an extended process but it requires an early a start. Managing this process is a critical function of the NWCO and the anticipated Capacity Building Units.

11.2.2 Regional

Revise Regional WaSH Plan

Most, if not all Regions have a WaSH Strategic Plan. However, these plans may not be fully *integrated*, will likely not have taken into account the recent G&TP and UAP and most certainly will not have accommodated the CWA or the results of the WaSH Inventory. In light of these factors they will need to be revised in order to provide an informed context for annual planning and target setting at both the regional and woreda levels.