Guidelines for strengthening woreda-wide WASH systems in Ethiopia

WaterAid/Genaye Eshetu

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WaterAid

PREFACE

Different WASH actors implement projects without having established a proper planning based on the systems-approach that takes all WASH building blocks into account. This often results in poor project performance and service delivery. Better WASH project performance and services sustainability come with a uniform and harmonised approach. These guidelines, prepared in line with implementation assessments of the woreda-wide approach (WWA) in selected woredas and best practices from other countries, is expected to play a pivotal role in improving the performance of WASH projects at woreda level. It guides key WASH players in following a harmonised approach and increases the capacity for learning and collaboration.

These guidelines will help woreda-level stakeholders and their partners set a clear joint vision for water, sanitation and hygiene services in the woreda, and develop and implement a robust, evidence-based plan for strengthening the systems required to achieve this vision. Evidence gathered at the woreda level can also be used for advocacy at the national level to push for the model to be scaled up and to address systemic blockages such as poor fiscal decentralisation to woredas.

The guidelines present a framework of elements for taking a WWA towards WASH systems-building and implementation. It is not prescriptive: the steps and procedures given need to be adapted to the context of each specific woreda, in recognition of the objective reality on the ground, the level of community participation and awareness, and the resources.

Systems strengthening processes are rarely linear and do not follow pre-defined steps. The process frequently starts halfway along a road map, retraces some steps, and then moves forward again. It is recognised that embarking on the WWA in practice is more like taking a winding road than a straight road. In implementing WASH projects effectively on a winding road, these guidelines may prove useful if implemented contextually through close collaboration with local communities, national and international partners, and public donors. This will help ensure that projects are sustainable and efficient.

This document is primarily aimed at: Agenda for Change members' professional staff who are well versed in sector context and processes; government bodies involved in the WWA; and, other organisations engaged in facilitating WASH systems change that are interested in applying these principles. However, to be effective, all stakeholders need to agree and buy into the guidelines if it is to be implemented properly.

To meet the Sustainable Development Goals (SDGs), significant changes are needed in the way the sector works and how development partners and organisations support governments to achieve their goals. A shift is needed from piecemeal project-based initiatives to a comprehensive long-term approach which supports permanent service delivery and strengthens local systems. Fragmented initiatives need to be harmonised under unified, government-led plans and the building blocks for sustainable service delivery put into place at all levels. Strengthening national government systems will help ensure a robust national framework. Efforts need to be redoubled to enable subnational (e.g., district and municipal) authorities to fulfil their decentralised mandates regarding planning, financing, managing and supporting service delivery.

Agenda for Change, a collaborative response to the shortfalls of existing approaches which was

launched in 2015 by a collection of like-minded organisations with a shared vision and commitment to universality and sustainability, initiated the WWA to help achieve universal access to sustained services by applying a systems approach to WASH. Agenda for Change thus takes the woreda level as its entry point, with the goal of achieving universal and sustained access to WASH across the district. It is imperative to support service authorities to develop evidence-based plans to achieve and sustain universal access across the woreda. They can then implement these woreda-wide plans with the support of aligned partners, monitor and learn together, and be held accountable.

The guidelines for the WWA were, and will continue to be, developed within an overall national framework, with successes brought to the national level to replicate best practice. Implementing the principles given by Agenda for Change at woreda level act as practical examples for other parts of the country on systematically planning for and achieving the WASH SDGs.

We take a holistic and systems-wide approach to strengthening the building blocks at all levels to ensure permanent services for all. We refer to this as the district-wide approach. A systems approach is not a specific intervention type but a philosophy of action. It is a way of working that recognises the complexity and fundamentally interlinked nature of the real world. Instead of trying to ignore complexity, a systems approach engages with it in the belief that doing so will lead to solutions that are more meaningful and more sustainable. In this regard, these guidelines and recommended toolkits will play an important role in sustainable WASH service delivery for the community and institutions in need.

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ACRONYMS

A4C	Agenda for Change
CapEx	Capital Expenditure
CapManEx	Capital Maintenance Expenditure
CBOs	Community Based Organisations
CFT	Community Facilitation Team
CLTS	Community Led Total Sanitation
CLTSH	Community Led Total Sanitation and Hygiene
CMP	Community Managed Project
CoC	Cost of Capital
COWASH	Community-Led Accelerated WASH
CRS	Catholic Relief Service
CSA	Central Statistical Agency
CSOs	Civil Society Organisations
CWA	Woreda WASH Team
DAG	Development Assistance Group
DP	Development Partner
EPHI	Ethiopian Public Health Institute
ESIA	Environmental and Social Impact Assessment
ExpDS	Expenditure on Direct Support
ExpIDS	Expenditure on Indirect Support
FGD	Focus Group Discussion
GTP	Growth and Transformation Plan
HCF	Healthcare Facility
HEW	Health Extension Worker
ICRC	International Committee of the Red Cross
IDA	International Development Association
IRC	International Research Centre
IRT	Integrated Refreshment Training
IT	Information and Technology
JMP	Joint Monitoring Program of the World Health Organization and UNICEF (JMP)

KII	Key Informant Interview
KWT	Kebele WASH Team
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MFI	Micro Finance Institutions
MIS	Management Information Systems
MoE	Ministry of Education
MoEF	Ministry of Economy and Finance
MoFEC	Ministry of Finance and Economic Cooperation
MoFED	Ministry of Finance and Economic Development
MoH	Ministry of Health
MoU	Memorandum of Understanding
MoWE	Ministry of Water and Energy
MoWIE	Ministry of Water, Irrigation and Energy
MWA	Millennium Water Alliance
NGO	Non-Governmental Organisation
NMSA	National Meteorological Services Agency
NWCO	National WASH Coordination Office
NWI	National WASH Inventory
NWSC	National WASH Steering Committee
ODA	Official Development Assistance
ODF	Open Defecation Free
OECD	Organization for Economic Co-operation and Development
DAC	Development Assistance Committee
O&M	Operation and Maintenance
OpEx	Operation and Minor Maintenance Expenditure
OWNP	One WASH National Program
OWNP I	One WASH National Program Phase 1
OWNP II	One WASH National Program Phase 2
PFM	Public Financial Management
PMU	Project Management Unit

PSI	Population Services International
RPS	Rural Piped Schemes
RWCO	Regional WASH Coordination Office
RWSC	Regional WASH Steering Committee
RWSN	The Rural Water Supply Network
RWSS	Rural Water Supply and Sanitation
SDGs	Sustainable Development Goals
SDM	Service Delivery Model
SMART	Specific, Measurable, Achievable, Realistic and Time-bound
SNNPR	Southern Nations, Nationalities and People's Region
SNV	Netherlands Development Organisation
TVET	Technical and Vocational Education and Training
TWASH	Total Water Supply Sanitation and Hygiene
TWU	Town Water Utility
UAP	Universal Access Program
UN	United Nations
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
WASH	Water, Sanitation and Hygiene
WASHCO	Water, Sanitation and Hygiene Committee
WHO	World Health Organization
WIF	WASH Implementation Framework
WSS	Water Supply System
WSSP	Water Supply and Sanitation Program
WSWG	Water Sector Working Group
WUA	Water User Association
WWA	Woreda-wide Approach
WWT	Woreda WASH Teams

PART 1: INTRODUCTION

Background to these guidelines

At the time of the adoption of the Sustainable Development Goals (SDGs) in 2016, the WASH sector had experienced more than three decades of international investment in infrastructure-driven solutions, driven by the international Drinking Water Supply and Sanitation Decade (1981-1990), and efforts to achieve the Millennium Development Goal of halving the proportion of people without access to safe water and sanitation. However, in many lower-income countries, these efforts had failed in providing sustainable, reliable, and accessible water and sanitation services of appropriate quality (Huston and Moriarty, 2018; Schouten & Moriarty, 2013; Foster, 2013; RWSN, 2010). As the focus was on building and running infrastructure, systemic challenges related to institutional frameworks, finance, regulation, monitoring, accountability and so on were insufficiently addressed, or were done so in a piecemeal fashion. In adapting the SDGs, which included the goal of achieving universal and equitable access to safe and affordable drinking water for all, the focus started to shift from building infrastructure to providing water, sanitation and hygiene services, defined in terms of quality, quantity, reliability and cost. This entailed a shift from piecemeal project-based initiatives to comprehensive long-term approaches which support building strong local and national systems for efficient WASH service provision. This required a more holistic understanding of the many actors and functions that need to cooperate to build and sustain the infrastructure and WASH services (Huston and Moriarty, 2018; Lockwood & Smits, 2011).

Agenda for Change (A4C) is a collaborative response to the shortfalls of existing WASH implementation approaches. Launched in 2015 by like-minded organisations with a common vision and commitment to universality and sustainability of WASH services, A4C started a new approach called the District-Wide Approach. It takes a holistic and systems-wide approach to strengthening the WASH system at all levels, and emphasises WASH systems at district level. Its goal is to ensure universal access to sustained WASH services based on a systems approach. This involves supporting the sector from district to national levels, testing and demonstrating approaches, and learning at national and global levels from district (woreda) experiences in order to scale up successful approaches.

In Ethiopia's decentralised system, the woreda is the lowest administrative level and is instrumental in WASH service delivery. A4C therefore takes the WOREDA as its entry point in implementing the woreda-wide approach (WWA). The imperative is to support woreda-level stakeholders to: develop evidence-based plans to achieve and sustain universal access across the woreda and implement these new woreda-wide plans with the support of aligned partners; monitor and learn together; and, be held accountable.

A4C recognises that woreda initiatives can only be successful within a robust national enabling environment. A4C thus works with governments to resolve weaknesses within the sector enabling environment at different administrative levels.

These guidelines were developed within the overall framework of the One WASH National Programme (OWNP), with successes brought to the national level to replicate best practices.

Implementing the WWA generates practical examples on how to plan for and implement other WWAs.

Objectives of these guidelines

These guidelines are intended to guide key WASH players, including A4C partners, other NGOs and development partners in supporting or implementing WWA, and woreda government bodies in undertaking a harmonised WWA approach. It encourages the creation of a shared vision of woreda-wide plans that will bring about sustainable WASH services for all through systems strengthening.

The guidelines describe the steps for planning and implementing WWA WASH systems strengthening. It is not prescriptive: the steps and procedures need to be adapted to the context of specific woredas in recognition of the reality on the ground, the level of commitment of local government, and the resources available.

Outline of these guidelines

Following this introduction, the second part of these guidelines sets the scene, introduces some of the main concepts discussed (service provider, authority, service delivery model), and gives an overview of the national WASH context. This is followed by Part 3, which presents the different phases of planning and implementing WASH systems strengthening at woreda level. Each phase introduces some of the key concepts important to that phase and suggests a step-by-step approach to handling each phase. It also lists the tools which are helpful for each phase. The tools themselves are presented in Part 4 of the guidelines.

PART 2: SETTING THE SCENE

In this section we set the scene and introduce some of the key concepts used in these guidelines.

Woreda-wide approach in Ethiopia

The woreda-wide approach (WWA) accelerates progress towards sustainable WASH service delivery by strengthening local and national WASH systems.

Local and national WASH systems can be defined as all the actors and factors involved in water, sanitation and hygiene service provision. The people, functions, activities, and behaviours that relate directly to WASH service provision are all part of the system. The administrative, social, technical, and financial systems in which service delivery takes place constantly interact with and affect each other and ultimately the quality and sustainability of the service delivered.

The simplified conceptual framework and ultimate goal of WASH systems are represented in Figure 1. A growing number of organisations and initiatives are experimenting with and implementing systems approaches as a way to more effectively develop sustainable WASH services.

Figure 1: WASH systems and service delivery process and goals (IRC-WASH, 2018)

A defined system has clear boundaries and is separate from the environment around it. This enables it to take distance to look at the problem and its solutions. Each sub-system is part of the whole. The WWA sees all sub-systems as contributing factors for the overall organisation or process. The systems approach assesses how each component works and helps clarify its contribution to the overall system.

Central to the systems approach is the premise that challenges to the sustainability of WASH services are not due to the weakness of any single factor, but are the collective effect of a wide range of interacting factors. Thus, improving the sustainability of WASH services requires an enhanced understanding of the combined effect of a multitude of factors on service delivery outcomes.

The systems approach can be successfully implemented by recognising that all WASH building blocks are part of a system. Building blocks are the fundamental components that make up something larger and more complex. In the context of systems thinking, the term 'building block' means a sub-system of the larger WASH systems which are contextualised in various ways by different stakeholders. Figure 2. shows the A4C WASH building blocks (see details at: ttps://www.ircwash.org/sites/ default/files/084-201813wp_buildingblocksdef_ newweb.pdf).

Figure 2: Building blocks (Left A4C & right WaterAid's)

The WWA is implemented under the umbrella of the One WASH National Programme (OWNP). The OWNP is a sector-wide approach with the broad objective of achieving water, sanitation and hygiene results through official policies, strategies and development plans. It is the flagship Government Programme supported by several development partners (DPs) and NGOs, in which different actors came together and agreed to address water supply, sanitation and hygiene as one integrated package to achieve the then national Growth and Transformation Plan (GTP) targets and SDG 6.

Planning for systems strengthening

These guidelines provide guidance on strengthening WASH systems at woreda level through developing and implementing a joint long-term plan for ensuring sustainable water, sanitation and hygiene services for all in the woreda, with the participation of all relevant stakeholders in the woreda. This method is expected to strengthen the **planning** and **service delivery infrastructure** systems and capacities at woredas. However, good evidence-based planning needs a good evidence base consisting of reliable data and information. Similarly, implementing the plan requires good monitoring of progress to inform decision-making and accountability. The planning and implementation process is thus likely to also strengthen the woreda-level **monitoring** system. The plan can only be developed and implemented if clear **institutional**, **regulatory and accountability arrangements**, and platforms for **coordination, learning and adaptation** are in place. The planning should incorporate costed plans and potential sources of and mechanisms for funding and financing. Strengthening the **finance** systems is therefore an integral part of the planning and implementation process as well. Planning for sustainable WASH service provision for all means taking available water resources, the possible impact of the plan on water resources, and issues related to climate change and resilience into account. It therefore also involves strengthening the **water resources** building block.

Developing and implementing a plan to ensure sustainable woreda-wide WASH service delivery involves woreda-wide systems strengthening of all building blocks.

The woreda-level plan for ensuring sustainable WASH service provision for all should meet the following criteria.

- A **real 'WASH' plan** rather than a water supply or sanitation plan. Ideally the woreda WASH plan covers water supply, sanitation and hygiene in households as well as at institutional level, such as schools and healthcare facilities. However, the plan might emphasise specific sub-sectors as jointly defined by the stakeholders involved in the planning and implementation process.
- A **long-term plan** with a clear timeframe, often of 10-15 years. At the time of writing, the SDGs are a useful–though slightly shorter–timeframe, with the goal of ensuring sustainable access to safe WASH services to all by 2030.
- A **woreda-wide plan** that considers different ways and models through which WASH services are provided. The plan should not only focus on self-supply, community management, utilities etc., but should consider these different service delivery models and define which of them should be applied where to achieve the goal of sustainable WASH service provision for all. See below for more information on service delivery models.
- An **evidence-based plan** based on a thorough analysis of the current and possible future situation.
- A **costed plan**, with estimated life-cycle costs. This means not only the costs of developing the new assets needed to provide WASH services to all in the woreda, but also the costs related to their operation and maintenance and, over time, rehabilitation and replacement of these assets, as well as the costs of providing direct and indirect support to service providers and service authorities.

These guidelines often refer to such long term, evidence-based, costed woreda-wide WASH plans as 'woreda master plans'. Other terms, like Woreda WASH SDG plans, may also be used.

Service authorities and service providers

Service authorities are responsible for overseeing and providing technical assistance to WASH service providers, and ensuring that they are held accountable for the services they provide and act in accordance with national and local policies and laws. As service authorities, local government bodies at the woreda level are responsible for ensuring that everyone in their area has access to sustainable services and for developing and implementing plans to achieve this.

Service providers are responsible for the day-to-day management of water, sanitation and hygiene services. Service providers can include water and sewerage utilities, community-based WASH committees, safe water enterprises, water vendors, septic tank emptying companies etc. Schools and healthcare facilities can also be considered WASH service providers if they provide WASH services to students or clients. Service providers with similar management models or who operate similar types of schemes can be grouped under **service delivery models (SDMs)** as utility-managed piped schemes, community-managed handpumps, or self-supply. The concept of SDMs is discussed in more detail below.

The **multi-boundary and multi-level nature** of service providers can complicate the roles and responsibilities of local government as the service authority at woreda level. Service providers can operate across multiple woredas, with service areas covering multiple administrative units. Furthermore, service providers such as town water utilities may not interact directly with the local

government, but instead with the regional water bureau.

Service delivery models can develop and change over time. Likewise, service areas of service providers are not static, but evolve over time.

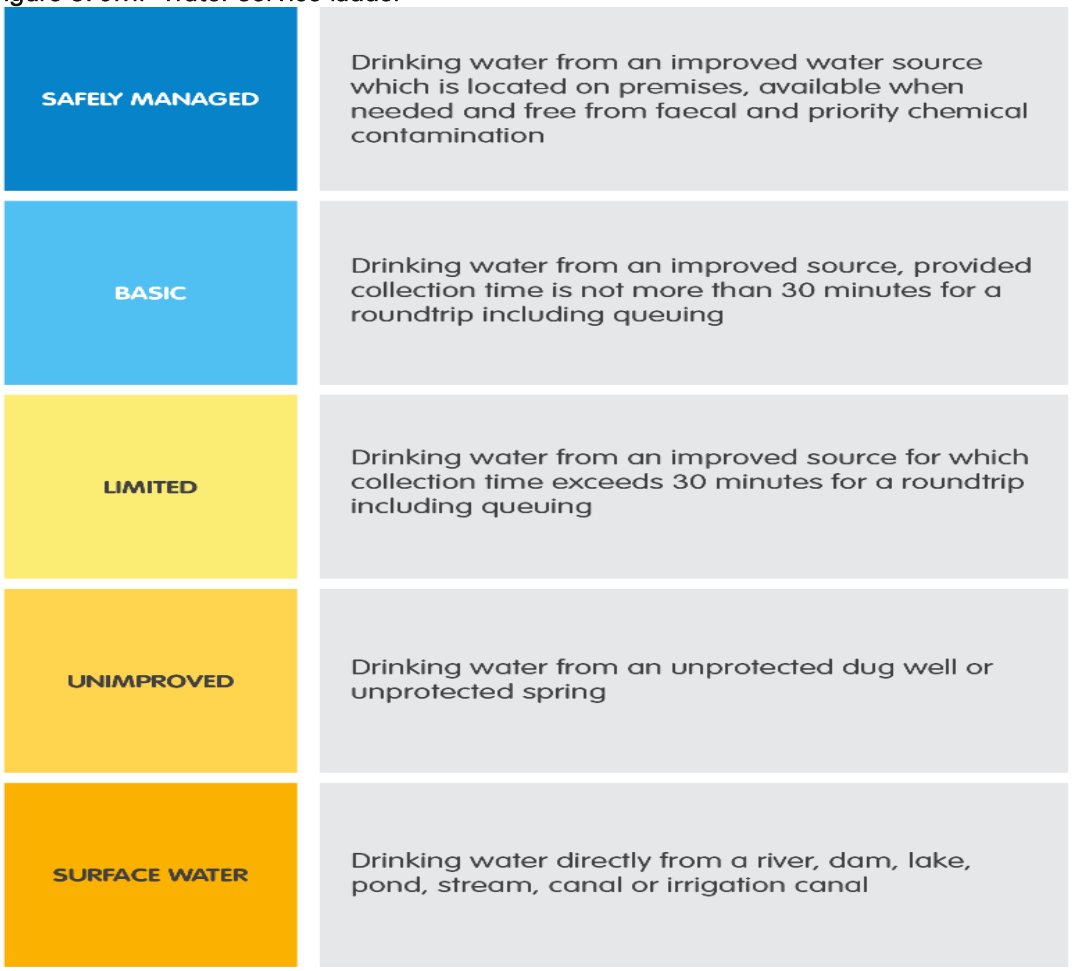
Local government bodies at woreda level often struggle to fulfil their roles and responsibilities as service authorities. These guidelines help guide the planning and implementation of woreda-level systems strengthening processes and put local governments more strongly in the driving seat as service authorities.

Service levels

The WHO/ UNICEF Joint Monitoring Programme for Water Supply, Sanitation and Hygiene (JMP) has defined service ladders for water, sanitation, hygiene, and WASH services in schools and healthcare facilities. These are used to monitor progress on the water and sanitation related Sustainable Development Goals set by the UN in 2015. SDG 6 is the goal that focusses on water and sanitation and is the goal that ensures availability and sustainable management of water and sanitation for all by 2030.

Figure 3 shows the water service ladder as set by JMP.

Figure 3: JMP water service ladder



Source: JMP (WHO/ UNICEF).

JMP considers improved drinking water sources as those that have the potential to deliver safe water through their design and construction. They include piped water, boreholes or tube wells,

protected dug wells, protected springs, rainwater, and packaged or delivered water.

In Ethiopia, national water supply norms and standards have been set as part of the second Growth and Transformation Plan. These diverge from the JMP service ladder as they put more emphasis on the amount of water that water users have access to. While the JMP ladder applies to all contexts, different national water quantity standards are set for different contexts (rural and towns with different population sizes). The national standards also differ slightly from those related to the JMP indicators on accessibility, water quality, and reliability, as shown in table 1.

Table 1: JMP and GTP II water supply standards

<table>
<tr><th>Context</th><th>Population</th><th>Water quantity (lpcd)</th><th colspan="2">Accessibility</th><th colspan="2">Water quality</th><th colspan="2">Reliability</th></tr>
<tr><td></td><td></td><td>GTP II</td><td>GTP II</td><td>JMP</td><td>GTP II</td><td>JMP</td><td>GTP II</td><td>JMP</td></tr>
<tr><td>Rural</td><td><2,000</td><td>25</td><td>Within 1000m</td><td rowspan="6">Basic: Within 30 min round trip

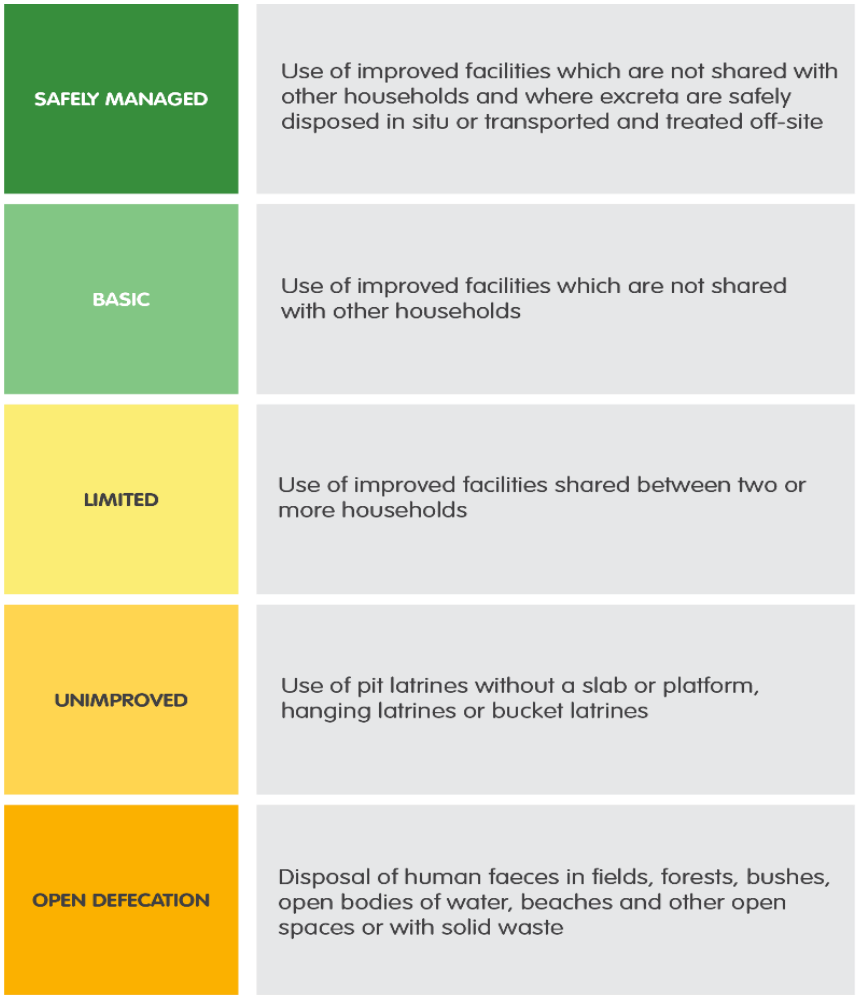
Safely managed: On premises</td><td rowspan="6">In line with water quality standards of WHO</td><td rowspan="6">Basic: From an improved source

Safely managed: Free from faecal and priority chemical contamination</td><td>NA</td><td rowspan="6">Safely managed: Available when needed</td></tr>
<tr><td>Category 5 town</td><td>2,001-20,000</td><td>40</td><td rowspan="5">Within 250m</td><td rowspan="5">Uninterrupted for at least 16 hours per day</td></tr>
<tr><td>Category 4 town</td><td>20,001-50,000</td><td>50</td></tr>
<tr><td>Category 3 town</td><td>50,001-100,000</td><td>60</td></tr>
<tr><td>Category 2 town</td><td>100,001-1 million</td><td>80</td></tr>
<tr><td>Category 1 town</td><td>>1 million</td><td>100</td></tr>
</table>

Source: Compiled by JMP Ethiopia from JMP (WHO/ UNICEF) and GTP II (MoWIE).

For sanitation, JMP has set the service ladder as presented in the figure below.

Figure 4 JMP Sanitation service ladder



Source: JMP (WHO/ UNICEF).

This means that well designed pit latrines can be considered as safely managed facilities, providing users cover the pit when full and construct a new pit, or have the pit emptied with safe treatment and disposal.

The National standard definitions for sanitation, hygiene and water, published by the Ministry of Health in August 2021, confirmed that the Ethiopian definitions are in line with the JMP definitions.

Service delivery models

Service delivery models describe the way water and sanitation services are provided in a woreda. They include the management model, the type of assets that provide the services, and the way people can access the service i.e., through public or household facilities.

It is important to understand the service delivery models currently in place, and what mix of service delivery models could best be applied to move towards ensuring sustainable WASH services for all.

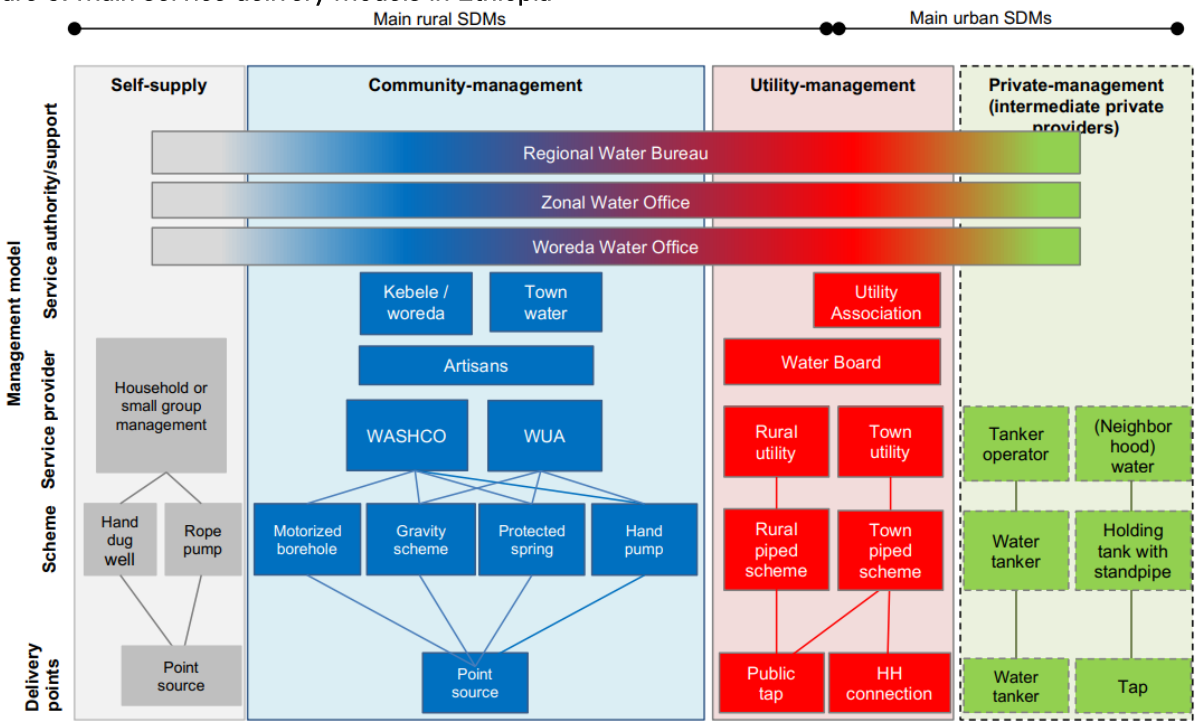
Water service delivery models

Service delivery models have the potential to provide basic and/ or safely managed water

services. Well-managed water services which supply water that is free of contamination and available when needed, can only be considered 'safely managed' if the water is provided on premises.

The figure below shows the main water service delivery models in Ethiopia.

Figure 5: Main service delivery models in Ethiopia



Source: Millennium Water Alliance – Ethiopia, 2019. Position Paper 2: Service Delivery Models for Universal, Safe and Sustainable Water Services in Ethiopia. Available from: ServiceDeliveryModelsforUniversalSafeandSustainableWaterServices-MillenniumWaterAlliance-June2019 (mwawater.org).

Different models tend to be used in different types of settlements, depending on contextual factors such as the availability of water resources, geology, demography, and users' choice. For example, the **utility service delivery model** is common in densely populated urban areas where users can easily be connected to a central piped system. **Community-based management service delivery models** are often used in rural areas and small towns.

The level of **recognition and legalisation** of service delivery models can differ. Specific service delivery models can be considered the formal 'official' models, recognised by government and established legally, while others may be less formal (as is often the case with safe water enterprises), or even considered illegal (unlicensed water trucks for example).

Service providers falling under a certain service delivery model serve people in a certain **service area**. These service areas can overlap, with service providers falling under different service delivery models providing services in the same area. An urban area may be served by a utility, privately-operated tanker trucks, or by household facilities through self-supply. Rural areas may be served by a rural utility-managed piped scheme, as well as by community-managed handpumps. Poorly defined and overlapping service areas can lead to competing service delivery

models in an area.

Sanitation service delivery models

There are different service delivery models along the sanitation chain of capture, transport, treatment, and disposal of human waste.

Below are the main sanitation service delivery models in Ethiopia.

- Self-supply, with household management of household latrines with on-site treatment.
- Community management of decentralised sewer system, connected to communal and/ or household latrines.
- Private management of septic tankers, waste collection from communal and/ or household latrines, with treatment and disposal at treatment site (municipality or utility-managed).
- Municipal management of:
    - septic tanks, waste collection from communal and/ or household latrines, with treatment and disposal at treatment site (municipality or utility-managed);
    - sewer system, connected to communal and/ or household latrines.
- Utility management of:
    - septic tanks, waste collection from communal and/ or household latrines, with treatment and disposal at treatment site (municipality, or utility-managed);
    - sewer system, connected to communal and/ or household latrines.

If well-managed and covering the entire sanitation chain, the different sanitation service delivery models, which include capture of human waste through individual household latrines, have the potential to provide 'safely managed' sanitation services. If human waste is captured in communal or shared facilities, the maximum level of service that can be provided is 'limited'.

Like the water service delivery models, sanitation service delivery models can differ in their level of recognition, formalisation and legal status. And they may have poorly defined and/ or overlapping service areas. An area, for example, may be served by both private manual pit latrine emptying firms as well as by utility-managed septic tank emptying trucks.

Federal Institutional Setup, Roles and Responsibilities in Ethiopia

Service providers and authorities do not operate in a vacuum. They are supported and enabled by the enabling environment at regional and federal level.

Ethiopia's WASH sector has made considerable progress in establishing the necessary institutional arrangements, policy and strategic framework reflected in the federal administrative structures. The four main WASH sector ministries (MoWE, MoH, MoE and MoFED) have equivalent bodies at the regional, zonal and woreda levels. There is also a cascading series of coordination bodies at different administrative levels whose roles and responsibilities are explained in detail in the OWNP documents.

At the federal level, the MoWE is responsible for water policy, coordination and monitoring, while the MoH is responsible for water quality monitoring, sanitation and hygiene promotion, and community-led approaches. The MoFED and MoE also hold pertinent WASH responsibilities. The

NWCO is responsible for coordinating, planning and overseeing OWNP's implementation and coordinates the NWSC.

The same ministry representation is present at the regional level through Regional Bureaus of Water, Health, Education and Finance. Ethiopia's federal system means that these institutions have a comparatively high degree of autonomy from central government in setting directives, proclamations and regulations for WASH. These Bureaus are part of Regional WASH Steering Committees and Regional WASH Technical Committees responsible for managing and implementing the OWNP. Regional WASH bureaus support woreda level authorities and, if called upon, may directly support service providers when breakdowns and repairs cannot be addressed at the local level.

Woredas are the service authorities, with Woreda WASH Teams (WWTs)led by sectors assigned by the woreda such as the Woreda Administrator or the Finance Office in the case of Oromia regional state. They are mandated with a comprehensive set of WASH responsibilities including decision-making and planning on new investments, and directly supporting kebeles[1] (lowest administrative unit) and service providers for post-construction follow-up monitoring and technical support. WWTs, chaired by the woreda assigned body, comprise members of the same four core offices present at the federal, regional, zonal and woreda levels, with further representation from additional offices (i.e., the Women's Affairs and Agricultural offices). WASHCOs or Water User Associations (WUAs)[2] manage most improved rural water across Ethiopia. Multi-village piped schemes are usually run by rural utilities. Water and Health offices in cooperation with schools and health institutions are responsible for water supplies, latrines and hand washing facilities at educational and medical facilities.

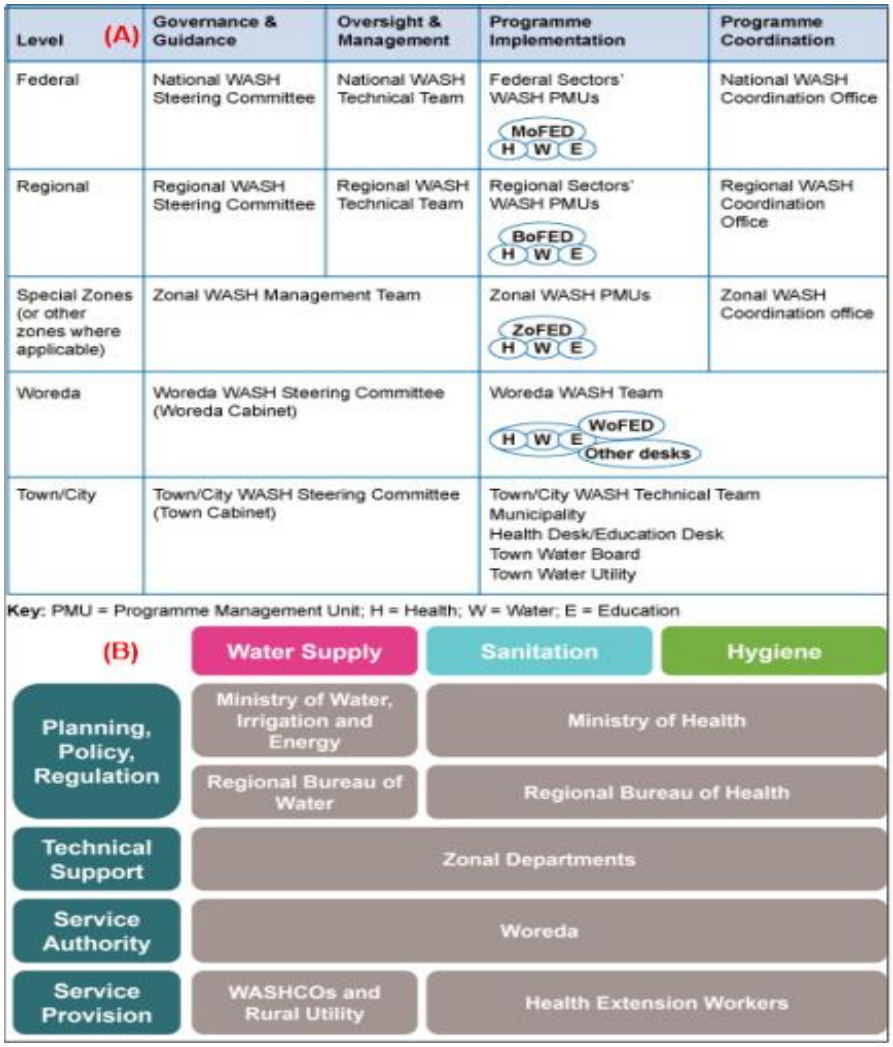
Ethiopia's WASH sector benefits from a cascading series of government-led coordination bodies. At the Federal level, the NWCO is responsible for coordinating, planning and overseeing the implementation of OWNP and coordinates the NWSC. Regular Joint Technical Review processes and multi-stakeholder forums provide for both critical reviews of WASH sector progress and the coordinated implementation of activities by sector actors to support the Government's WASH agenda. There is also a WASH subgroup accountable to the Water and Energy sector Working Group at the national level. The WASH subgroup has five further Technical Committees under it: Rural WASH, Urban WASH, Sanitation and Hygiene, Emergency WASH, and Cross Cutting. The Emergency WASH Technical Committee works closely with the WASH cluster coordinated by UNICEF. Additionally, the Water and Energy Sector Working Group led by MoWE brings together key WASH actors.

At the zone level, Zone WASH Management Teams and Zone WASH Coordination Offices bring together stakeholders from the WASH, health, education and finance sectors to help enable the adoption of harmonised approaches and maximise efficiencies. At woreda level, the Woreda WASH Steering Committee is supposed to be responsible for the governance of the OWNP,

[1] The smallest administrative unit in Ethiopia

[2] The meaning of the term WUA differs across regions. In Oromia and Amhara a WUA is a group comprised of two or more WASHCOs while in SNNPR it refers to a legal WASHCO.

while the Woreda WASH Team is accountable to the Woreda Cabinet and is responsible for implementing the OWNP. A programme of the size and scale of the OWNP needs a well organised structure to ensure that activities are properly planned and implemented at all levels. An organisational structure describes relationships and defines how tasks are formally subdivided, grouped and coordinated (Figure 6).



Level (A)	Governance & Guidance	Oversight & Management	Programme Implementation	Programme Coordination
Federal	National WASH Steering Committee	National WASH Technical Team	Federal Sectors' WASH PMUs MoFED H W E	National WASH Coordination Office
Regional	Regional WASH Steering Committee	Regional WASH Technical Team	Regional Sectors' WASH PMUs BoFED H W E	Regional WASH Coordination Office
Special Zones (or other zones where applicable)	Zonal WASH Management Team		Zonal WASH PMUs ZoFED H W E	Zonal WASH Coordination office
Woreda	Woreda WASH Steering Committee (Woreda Cabinet)		Woreda WASH Team H W E WoFED Other desks	
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	

Key: PMU = Programme Management Unit; H = Health; W = Water; E = Education

(B)	Water Supply	Sanitation	Hygiene
Planning, Policy, Regulation	Ministry of Water, Irrigation and Energy	Ministry of Health	
	Regional Bureau of Water	Regional Bureau of Health	
Technical Support	Zonal Departments		
Service Authority	Woreda		
Service Provision	WASHCOs and Rural Utility	Health Extension Workers	

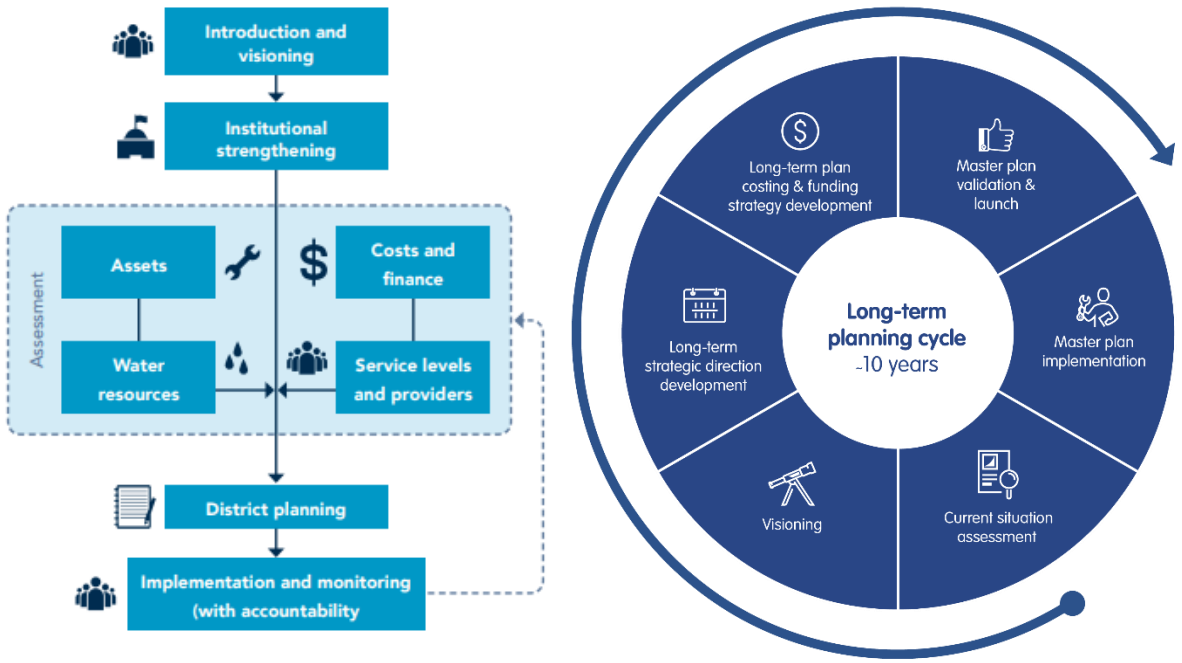
Figure 6: Organisational structure of the OWNP (A) and WASH institutional setup and responsibilities (B) (Source: WIFP, 2016; OWNP, 2013; POM, 2014; and WaterAid, 2020.)

PART 3: THE WOREDA-LEVEL SYSTEMS STRENGTHENING PROCESS

This section introduces the phases for facilitating systems strengthening within the WWA. These are derived from the planning cycle, as presented on the left of the figure below. The planning cycle builds on the Agenda for Change district level road map for universal access to sustainable WASH services, as presented on the right of the figure below.

In the Agenda for Change road map, introduction and visioning were followed by institutional strengthening and assessments. In the planning cycle, presented on the right in the figure below, visioning does not precede, but follows the situational assessment and is informed by it. There is no explicit step in the planning cycle related to institutional or systems strengthening, as these are considered an integral part of the entire planning cycle, rather than a step between introduction and situational assessment, as perceived in the road map. In the planning cycle, the district planning phase of the road map is divided into a phase in which strategic directions are developed, and one in which costed plans and strategies for funding these are developed. Although both the road map and the planning cycle see the planning process as a cyclical process with a new assessment round following implementation, the planning cycle places greater emphasis on the cyclical nature of the long-term planning process and sees visioning as part of this cycle.

Figure 7: Agenda for Change road map (left) and revised long term planning cycle (right)



In line with the revised long term planning cycle, these guidelines follow the phases below.

- Phase 1: Introducing the concept of WASH systems strengthening
- Phase 2: Undertaking a situational analysis

- Phase 3: Visioning and target setting
- Phase 4: Developing strategic directions
- Phase 5: Developing a costed plan and funding strategy
- Phase 6: Implementation of the long-term plan, including monitoring and learning

The plan should be owned, adapted and launched by the woreda, with consensus and commitment to its implementation from national and local government, and supporting organisations.

Phase 1: Introducing the concept of WASH systems strengthening

If WASH systems strengthening is a new concept in a woreda, then introducing the concept and principles of Agenda for Change and their application through workshops and meetings that cover the basic concepts and approaches of systems strengthening is a critical step in getting stakeholders interested and aligned.

This phase can also include institutional strengthening. Institutional strengthening is about securing a foundation for the woreda-level systems strengthening as a government-led process. In some cases, the capacity of relevant institutions (e.g., local government as the service authority and its partners) needs to be strengthened to lead the process and should involve all the stakeholders in the subsequent steps of assessment, planning, implementation and monitoring.

Objective

- Introduce the concept of strengthening WASH systems to woreda level stakeholders.
- Ensure that stakeholders spearheading the process (e.g., woreda level authorities) are established and have the minimum capacity for subsequent steps.

Expected outputs and outcomes of this step are:

- essential stakeholders and structures identified;
- essential institutional structures established or strengthened at service authority level;
- stakeholders are familiar with their mandates and roles; and
- focal persons identified to take up the WWA.

Concepts

In this step, the key stakeholders at the woreda level are identified, mobilised and sensitised about systems strengthening and key Agenda for Change principles.

Who the woreda level stakeholders generally are and the concepts underlying the WWA and systems strengthening are known.

The WASH sector

As water, sanitation and hygiene are closely related, they are often presented as a single sector: the WASH sector. However, drinking water supply, sanitation and hygiene can also be regarded as separate sectors/ sub-sectors, each with its own set of stakeholders. Furthermore, WASH in schools, healthcare facilities (HCFs) and other institutions (e.g., prisons) also involves additional sectors such as the education and health sectors.

When engaging in WASH systems strengthening activities at woreda level, it is therefore important to clearly define which elements of 'WASH' will be addressed.

Stakeholders involved in WASH at woreda level

Table 2 presents an overview of the main stakeholders involved in WASH at the woreda level.

Table 2: Woreda level stakeholders

What	Who	Responsibilities (related to WASH)
Woreda/ town WASH Team	Heads or representatives of the water, health, education and finance offices, and other permanent or contract staff with a variety of roles, including coordinators, accountants/ clerks, environmental health workers, development agents, WASH consultants, community facilitators, and contractors and suppliers	• Implementation of planned activities under the direct supervision of their woreda WASH Steering Committee • Coordination of the input of the various sector offices • Support the daily management of the activities • Accountability for achieving the expected results
Woreda Council	Highest executive structure in the woreda consisting of officials and chaired by the Woreda Administrator	• Oversee the Woreda WASH Team • Lead development and approval of strategic and annual plans that implement the long-term plan • Fund allocation and identification of additional required sources of funding to fulfil the plan • Monitor and evaluate woreda WASH activities
Woreda Water Office	Woreda Water Office head and professional staff	• Coordinate all water-related work • Prioritise needs • Coordinate the technical study of water resources • Facilitate capacity building efforts • Provide technical advice and resolutions to the woreda council for water sector matters • Assess and introduce appropriate technological innovations • Establish a robust system and capacity to manage wash contracts in close collaboration with sector offices in the woreda • Post-construction management of large schemes • Plan and implement water supply projects • Oversee service delivery • Technical support to service providers • Water quality monitoring
Woreda Health Office	Woreda Health Office head and professional staff	• Lead the commissioning of sanitation and hygiene assessments • Coordinate promotion and community education on sanitation and hygiene • Provide technical advice for the woreda WASH team on health aspects • Strengthen capacity on sanitation and hygiene • Identify and disseminate best practices for replication within the woreda and beyond • Work towards increasing access to wash services at health facilities • Monitor water quality compliance • Provide WASH services for HCFs

Woreda Education Office	Woreda Education Office head and professional staff	• Increase access to WASH services in schools
Town water or multi-village rural utility/ water enterprise	Utility manager and professional staff	• Operate and maintain a piped water scheme
Water Board	Representatives from woreda or town offices	• Oversee utility
Water, Sanitation and Hygiene Committees (WASHCOs) and Water User Associations (WUA)	Five to seven elected volunteer members of one community. At least 50% of whom must be women	• Operate and maintain one specific water supply facility, including collecting tariffs, managing funds, promoting the importance of WASH, and monitoring overall WASH activities in their water point area • Accountable to the Woreda Water Office and community
Water Users Association	Self-governed organisations of community members	• Pooling of financial, technical and human resources for the use and maintenance of a defined watershed, including irrigation agriculture, livestock production and fisheries.
Water Users Federation	Group of Water Users Associations	• Enhance visibility and cooperation among the WUAs
Non-Governmental Organisations (NGOs)		• Deliver WASH programmes for rural and urban communities under the leadership and guidance of the woreda government • Strengthen human and institutional capacity of WASH actors in the woreda • Support the woreda to increase the funding base for WASH implementation • Provide a networking platform to facilitate learning about WASH activities • Assist the woreda government in lobbying for increased funding for WASH
Microfinance Institutions		• Provide loan services for individuals and small businesses • Potentially increase awareness about the demand for loan services for WASH i.e. loans are extended to the WASH sector • Increase allocation of loans for WASH work and promote available products through community channels, mass media and information, education, and communication channels for behaviour change
The Private Sector	Private businesses, associations and artisans	• Provide spare parts, construction materials, equipment and services related to the development or operation of water supply, sanitation, solid waste and hygiene

Key Agenda for Change principles at woreda level

The box below presents the key principles at woreda level, as subscribed to by the Agenda for

Change partners.

Box 1: Principles at woreda level

Success means that every household and public institution (e.g., schools and clinics) has access to water and sanitation services that last, with nobody being left behind. Although hard to achieve, this is measurable and is the cornerstone of our efforts.

Success at woreda and town levels will require new alliances and working relationships between local government, local communities and the local private sector, with governments taking the lead. External agencies should work with all these players to ensure success—and we commit to doing this in our work.

We are not ideological about who provides WASH services. The outcome we seek is simply that water flows and sanitation and hygiene services are guaranteed for all, permanently. Different management arrangements–public, private, community or combined–can be constructed to achieve this.

Achievement of woreda-wide or town-wide access requires planning, including comprehensive investment plans. We will support woreda-level and town-level agencies to coordinate around the development and delivery of these plans. As external agents we and others must respect the primacy of district and city-level planning, coordinated and led by local government.

Woreda-based or town-based models of universal service provision should inform national (and global) policy, programming, finance, systems and practice priorities. We commit to investing in documentation and learning from our own and others' work at the local level, and to disseminating these to higher levels through learning mechanisms.

The monitoring systems used by all WASH agencies should strive to strengthen local and national monitoring systems and, where these systems are available and sufficiently robust, to use them for their own monitoring.

We commit to jointly ensuring that community empowerment and engagement is recognised as a fundamental part of ensuring the rights to WASH services for all are achieved and that governments and service providers are held to account.

Source: Adapted from: Joint Principles - Agenda for Change (washagendaforchange.org).

How to do it?

Step 1: Determine the scope of the systems strengthening plan

The first step towards systems strengthening in a woreda is to determine the scope of the systems strengthening activities. Will it focus on water services and/ or sanitation and hygiene services? Will it include WASH everywhere, including in schools, healthcare facilities and other institutions? Will it include solid waste management, water resource management, and other related sectors (e.g., irrigation, agriculture, industry etc.) or elements of these? The scope needs to be clearly set by the systems strengthening team in close collaboration with key woreda-stakeholders.

This is also the moment to identify existing long-term woreda-level WASH plans. If a plan has already been developed, check whether it:

- addresses all WASH sub-sectors/ elements as per the scope;
- is owned by the woreda-level government and is widely recognised by woreda-level stakeholders as the joint road map towards a jointly defined vision; and,
- includes costing of all life cycle costs and indicates sources of funding and financing for covering these costs.

If these are fully met, the development of a new woreda-level WASH master plan may not be needed. If there is a long-term plan but it does not cover all the elements mentioned above, developing a woreda level WASH master plan can build on the existing plan and strengthen it. If no long-term woreda-level WASH master plan is in place yet, a plan needs to be developed from scratch.

Step 2: Stakeholder identification and analysis

In addition to determining the scope, it is important to identify relevant stakeholders at woreda level to be involved in the systems strengthening process. Tool 1 acts as a guide on doing a stakeholder analysis.

Step 3: Introducing the systems strengthening approach to woreda stakeholders

Once relevant stakeholders have been identified, they must be brought on board by introducing the systems strengthening approach to them. This can be done through bilateral meetings with the key stakeholder and/ or through a woreda-level meeting/ workshop that brings the stakeholders together to introduce the approach and plan the way forward. Consensus must be reached by all stakeholders about the number and composition of the team. There should at least be experts/ WASH focal persons from the Water, Health, Education and Planning/ Finance offices. It is always preferable to involve as many professionals as possible who are familiar with the woreda WASH activities and are preferably engaged full-time.

Tools

- Tool 1: Stakeholder analysis

Further reading and exploring

- A systems strengthening approach to improve hygiene behaviours: https://washmatters.wateraid.org/blog/a-systems-strengthening-approach-to-improve-hygiene-behaviours
- Short animation (two minutes) introducing the nine building blocks of sustainable WASH systems. Available from: Taking a systems strengthening approach - YouTube
- WASH Systems Academy's course, WASH Systems Strengthening: The Basics, which discusses the origins and rationale for systems strengthening. Available from: The basics (was.hsystemsacademy.org)
- Understanding the WASH System and Its Building Blocks. Available from: The building blocks (washsystemsacademy.org)

Phase 2: Undertaking a situational analysis

In order to determine where to go and how to get there, it is important to know where you are now. A robust situational analysis on a range of service delivery aspects is thus called for.

Objective

- Establish or strengthen a rigorous evidence base for informing the planning process.
- Establish a baseline against which to measure progress.

Expected outputs and outcomes

- Rigorous evidence base
- Situational assessment included in woreda WASH masterplan
- Strengthened woreda level systems and capacities for collecting, processing and analysing data

Concepts

Evidence-base for situational assessment

The evidence base that needs to be established includes the following elements:

- Context: The socioeconomic profile of the woreda
- Water resources (quality and quantity)
- Service level, including unserved/ underserved community
- Service delivery models and infrastructure/ assets and their functionality status
- Service providers and performance
- Strength of the system at woreda level
- Current (and past) level of expenditure on WASH service provision

Let's look at each of these elements and the questions that need to be answered by the situational assessment related to these elements.

Context

A compilation of general information on the woreda should give insights on the issues below.

- Geographical context: location (with map) and main geographical features (e.g., elevation, climate).
- Administrative set-up: division in sub-woreda units.
- Population (current and projected), rural and urban, and list of main towns.
- Brief description of socio-cultural context.
- Brief description of economic context, including main sources of livelihoods.

Water resources

The situational analysis on water resources should answer the following questions.

- What are the main water resources (rain, surface, ground) present and available in the woreda? What are these water resources like in terms of quantity and quality?
- What are the main challenges in terms of availability and/ or quality of water resources, currently and expected in the future?

Service level

The situational analysis on service levels should answer the following questions.

- How many/ what proportion of the population has access to different levels of water services (safely managed, basic, limited, unimproved, surface water) in total, and in rural and urban areas? Are there specific areas or groups of people who are not have access to water services (with specific focus on the poor and marginalised)?
- How many/ what proportion of the population has access to different levels of sanitation and hygiene services (safely managed, basic, limited, unimproved, open defecation) in total, and in rural and urban areas? Are there specific areas or groups of people who do not have access to sanitation and hygiene services?
- How many/ what proportion of schools have what levels of water, sanitation and hygiene services?
- How many/ what proportion of healthcare facilities have what levels of water, sanitation and hygiene services?

Service delivery models and infrastructure/ assets

The situational analysis on water and sanitation service delivery models should answer the following questions.

- What are currently the main water service delivery models in the woreda?
- What proportion of the population is covered to some degree under the different service delivery models?
- What are the service areas covered by different service delivery models? Are there overlaps in service areas of service delivery models?
- What are the challenges of the different SDMs?
- What potential and opportunities do the SDMs provide for ensuring sustainable water/ sanitation services for all in the future?

In terms of infrastructure/ assets, the situational analysis on water and sanitation assets should answer the following questions.

- What type and how many facilities/ schemes (including water point sources, piped schemes, sanitation transfer, treatment and dumping facilities etc.) are currently available?
- How well do these facilities/ schemes function and what level of services do they provide?
- Where are these assets located?
- What is the functionality of the assets?

Service providers and performance

It is important to understand what service providers operate in the woreda and how they perform, not only in terms of the level of service they provide, but also on indicators which may show whether they are able to provide sustainable WASH services. This will help identify the challenges that need to be addressed to ensure sustainable water and sanitation service provision, and the potential of the different service delivery models in moving towards the vision.

The situational analysis on service provider performance should answer the following questions.

Water and sanitation services

- What and how many service providers related to the different service delivery models currently operate in the woreda?
- How do these service providers perform (where possible in relation to national KPIs and standards, e.g., cost recovery ratio, non-revenue water, staffing efficiency etc.)?
- How much do the service providers charge for their services? Are they affordable for users? Do they cover the running costs?
- What are the main challenges to the service providers' performance that could hamper sustainable service provision?

- What are the main opportunities offered by the service providers for scaling up water services?

School and healthcare facility WASH

- How well do schools manage water, sanitation and hygiene services?
- How well do HCFs manage water, sanitation, hygiene and solid waste management services?
- What are the main challenges for WASH management in schools and healthcare facilities that could hamper sustainable service provision?

In terms of service authority capacity and performance, the situational analysis should answer the following questions.

- Who is responsible for fulfilling the service authority role related to water, sanitation, school WASH, and healthcare facility WASH service provision under different SDMS?
- Does the service authority have the human, logistical and financial resources needed to perform its roles and functions?
- Are service authority positions filled by qualified staff? Are the positions sufficient?
- Does the service authority have access to the transport facilities and fuel needed to fulfil its roles and responsibilities?
- Does the service authority have timely access to the financial resources it needs to fulfil its roles and responsibilities?

Strength of the system at woreda level

The situational analysis on local WASH systems strength should answer the following questions.

- Are strong institutions, policies and legislation in place in the woreda to enable sustainable water, sanitation and hygiene, school WASH and healthcare facility WASH service provision?
- Are strong systems, mechanisms and processes in place to enable planning and budgeting, funding and financing, accountability and regulation, monitoring, infrastructure development and maintenance, water resources management, and learning and adaptation, related to water, sanitation and hygiene, school WASH, and HCF WASH service provision?
- What are the main challenges at woreda–or possibly regional–level?
- What are the root causes underlying these challenges?

Current level of expenditure on WASH service provision

The situational analysis on current expenditure, financial needs and gaps should answer the following questions.

- Over the last five years, what has been the level of capital expenditure (CapEx) on water, sanitation, school WASH, HCF WASH services? What were the main funding sources?
- Over the last year, what was the level of capital maintenance expenditure (CapManEx) on water, sanitation, school WASH, and HCF WASH services? What were the main funding sources? What was the estimated amount required? What was the difference between required and actual expenditure?
- Over the last year, what was the level of expenditure on direct support (ExpDS) related to water, sanitation, school WASH, and healthcare facility WASH services? How does this relate to the required amount? What was the difference between required and actual expenditure?
- Over the last year, what was the level of expenditure on operation and direct maintenance

(OpEx) related to water, sanitation, school WASH, and HCF WASH services? What were the main funding sources? How does this relate to the required amount? What was the difference between the required and actual expenditure?
- Over the last five years, how have service providers' and authorities' annual budgets developed compared to actual expenditure? Are there challenges related to absorption capacity in the woreda?

How to do it?

Here we set out how the situational analysis can be done in practice.

Step 1: Identify the data needed for the woreda WASH master plan

The data required for the woreda WASH master plan depends on the focus of the master plan. Although ideally woreda WASH master plans cover all WASH sub-sectors (water, sanitation, hygiene, WASH in schools, WASH in HCFs), master plans may focus on specific sub-sectors in a particular context, for example an urban sanitation master plan, or a master plan for WASH in schools. The required data can be identified in line with the master plan's sector focus.

Step 2: Identify what data and information are already available

This can be done by:

- checking global databases;
- checking national data; and,
- checking availability of data with woreda partners, including local government, NGOs and development partners.

See Table 3 for potential secondary data sources for the different data categories.

Table 3: Possible secondary data sources

Type of data	Data from global sources	Data from national sources	Data from local sources
General information		Projected population data from Central Statistical Agency (CSA)	Local population data from woreda administration
Water resources			Data from water basin authority
Service levels		Household census data (from CSA) WASH data from national school MIS WASH data from national HCF MIS	Woreda-level data on water assets Woreda-level data on school/ HCF WASH Woreda-level data on CLTS and sanitation and hygiene
SDMs and assets	Water Point Data Exchange	Data from NWI and/ or WASH M&E MIS	
Capacities and performance of service providers	International benchmarking initiative	Data from NWI and/ or WASH M&E MIS	Performance reports from utilities Woreda-level WASHCO performance data
Capacities and performance of service authorities			Data from Regional Bureau of woreda capacity and performance
Strength of the local system			Results from previous building block or other local WASH

			systems strengths assessments
Current expenditure and funding gaps		IBEX	IBEX

The secondary data on the following aspects needs to be checked.

- Content: does the data provide the information needed for the situational assessment?
- Scale: does it include data from, or is it representative of, the entire woreda?
- Timing: is the data sufficiently up-to-date?

Step 3: Identify data gaps and suitable methods and tools for addressing these gaps

There are various tools available which can be useful for collecting data which are not readily available but are required for informing the woreda WASH master planning process. See the tools section below.

Please note: data collection, processing and analysis is time consuming and requires human, financial and logistical resources. It is therefore important to only collect the data that is necessary to inform the woreda WASH master planning process. Furthermore, the data collected should be sufficiently accurate to inform the master planning process. The data's quality and accuracy depend on the collection process and method (e.g., sampling size). However, highly accurate data that require comprehensive and expensive data collection because of large sample sizes, may not be necessary to inform the planning process. It is important to find the right balance between collecting the right and sufficient data to inform the woreda WASH master plan on the one hand, while considering the required methods and resources for doing so on the other hand.

Step 4: Collect and compile, and visualise data

Collect and compile the required data.

This should be done in close collaboration with relevant woreda-level stakeholders in order to ensure local ownership of the collected data and the results. It should result in a strong and usable database, and in strengthened systems and capacities for continuous data collection and use.

Different elements of the situational analysis can be presented in different ways, such as narratives, tables, graphs and maps.

Maps are a powerful tool for visualising the distribution of assets and service provider and SDM service areas and for highlighting unserved and under-served populations. This requires combining spatial administrative or population data with asset or service area data.

Step 5: Present the situational analysis to woreda stakeholders and identify challenges

The results of the situational analysis should be presented to woreda stakeholders in a workshop. Stakeholders can verify the results and identify key challenges in achieving WASH services for everyone, everywhere, forever.

Tools

The tools included in these guidelines that can be used in this phase include:

- Tool 2: Water resource assessment
- Tool 3: Asset inventory
- Tool 4: Service level surveys
- Tool 5: Assessing service provider performance
- Tool 6: Building block assessment
- Tool 7: Expenditure analysis and tracking

Phase 3: Visioning and target setting

Objectives

- Obtain joint consensus from woreda-level stakeholders on the long-term WASH vision for the woreda.
- Set SMART (specific, measurable, achievable, realistic and time-bound) long-term vision targets which stakeholders agree on working towards.

Concepts

There must be consensus and a shared future vision of the target woreda with respect to WASH under the umbrella of the OWNP. In some instances, it starts with building woreda-level awareness of national WASH targets and commitments, and how they need to be translated down to the local (woreda and kebele) level. This is vital, as woreda stakeholders are not always aware of global or national commitments.

Box 2: Global targets as set under the Sustainable Development Goals (SDG)

The sixth goal of the Sustainable Development Goals (SDGs) is to ensure the availability of and sustainably managed water and sanitation for all by 2030. It comprises eight targets that need to be accounted for in any planning. The eighth SDG 6 target is strengthening local capacity in the sector and enhancing local capacity through proper planning.

The SDG 6 plan is designed to achieve the targets set during the agreed planning period. In the planning processes particular emphasis has to be given to life cycle costs, funding sources and community engagement which are vital for the sustainability of the WASH services.

The SDG 6 plan should preferably be prepared using a pre-tested planning tool and the woreda WASH baseline service level assessment data. All planning considerations must take SDG 6's definition of drinking water, sanitation, and hygiene targets (SDG 6.1 and 6.2) into consideration. The physical plan should include all the rural water supply, sanitation and hygiene, and institutional WASH activities throughout the planning year, and the financial plan should include tariffs, taxes, and transfers as sources of finance for the Life-Cycle Cost categories. The plan should identify all the costs required to achieve the SDG targets and initiate the development of a resource mobilisation strategy.

Appropriate training has to be given to selected players in the implementation of the process. The training should support the woreda WASH SDG resource mobilisation and implementation strategy to help the woreda mobilise resources to implement the SDG plan. The training is pivotal in mobilising resources from user communities, government agencies and NGOs to implement the woreda WASH SDG master plan.

Box 3: National programmes and targets

The Water Resources Management Policy of 1999, the National Water Strategy of 2001, and the

National Hygiene and Sanitation Strategy of 2005 constitute the overall policy and strategy framework for the WASH sector in Ethiopia. The main instrument for the Government of Ethiopia in achieving its national and the SDGs WASH targets is the One WASH National Programme (OWNP). The main purpose of the Programme is to work towards improving the health, well-being and economic growth of both rural and urban populations by increasing water supply and sanitation access and adopting good hygiene practices in an equitable and sustainable manner.

The OWNP was designed in phases to implement consecutive national GTPs and respond to international commitments. Phase I was implemented in 2013-2017 and Phase II is from 2019 to 2025. In the near future, WASH Phase III will also be designed in line with national development plans and significantly contribute to achieving the SDGs. Since 2015, the WASH sector has undertaken several strategic steps and has accomplished a key milestone that lays the foundation for achieving the SDGs. The following are some of the most important policy and strategic frameworks for the WASH sector.

- *The Ten-Year Perspective Development Plan.* The Government of Ethiopia compiled a Ten-Year Perspective Development Plan entitled *Ethiopia: An African Beacon of Prosperity* which will run from 2020/21 to 2029/30. The Ten-Year Perspective Development Plan, which is in line with the country's Home-grown Economic Reform Agenda, succeeds the country's five-year Growth and Transformation Plan II (GTP II). The Plan takes the strengths and weaknesses of previous plans, the nation's vision for 2030, national policies and strategies, and the commitment to global sustainable development goals into account. WASH is one of the main focal sectors in the Plan.
- *National ODF Campaign 2024 (MoH 2019).* This strategy document sets out a series of activities to be performed to achieve the overall objective of eradicating open defecation and declaring all woredas and Ethiopia open defecation free (ODF) by the end of 2024. In doing so, the National ODF Campaign 2024 builds on Ethiopia's impressive progress in reducing open defecation and the comprehensive set of past policy and strategy documents and guidelines for sanitation and hygiene programming in Ethiopia that embraced demand-driven approaches such as Community-Led Total Sanitation and Hygiene (CLTSH).
- *Rural Water Supply Operation and Maintenance Strategic Framework (MoWIE, 2018).* This strategy document sets out MoWIE's O&M vision for ensuring the 'efficient and sustainable provision of spare parts and operation and maintenance of rural water supply schemes for the delivery of reliable, potable and affordable water supply to the communities'. It details a range of improvements to be made to achieve this broad vision.
- *Proclamation on the professionalisation of WASHCOs*. A number of regional states recently passed legislation seeking to address prevalent sustainability challenges by supporting the professionalisation of WASHCOs. More specifically, it aims to lead to the formation of WUAs and Water User Unions as legal entities which can recruit professionals to support WASHCOs through conducting preventive and reactive maintenance, repairs, and spare parts procurement.

There are several important aspects in developing a vision that serves as the foundation for effective collective action towards achieving the vision in the woreda.

Ownership. Although the vision must be broadly owned, ownership and leadership of local government as the service authority is key.

SMART. The vision must be SMART, that is Specific, Measurable, Achievable, Realistic and Timebound.

- Specific: the vision should state the proportion of people and institutions like schools and HCFs, which will have access to a specific level of service (limited, basic, safely managed).
- Measurable: the vision should be measurable, with clear indicators for the elements defined in the vision.
- Achievable and Realistic: the vision should consider possible challenges for reaching everyone forever. A realistic achievable vision should be set that takes these challenges into account. Setting a realistic target can be an iterative process in which an ambitious vision is defined, but for which the costed plan shows that achieving it in the timespan is unrealistic. In this case, the vision must be adjusted.
- Timebound: the vision should clearly indicate the time frame in which the vision is to be achieved. For woreda WASH Master Plans, this time frame tends to be five to ten years.

The development of a vision requires investment and leadership. There is abundant evidence that universal access can be achieved when there is strong political will. Where this is not the case, there is little chance of overcoming the many challenges.

Vision targets

How can specific medium and long-term targets be set as part of an outline vision?

The Joint Monitoring Program of the World Health Organization and UNICEF (JMP) has defined international service levels for water, sanitation and hygiene in households, HCFs and schools. These act as useful ladders on which to set medium-term and long-term targets.

Targets could be the number and proportion of:

- people to be served with specific levels of water services (basic and safely-managed);
- people to be served with specific levels of sanitation and hygiene services (basic and safely-managed);
- healthcare facilities with at least basic water, sanitation, hygiene, solid waste and environmental cleaning; and,
- schools with at least basic water, sanitation, hygiene, solid waste and environmental cleaning.

The current levels of service are the starting point for setting medium and long-term targets. This means that assessing these as part of the situational analysis is key.

Furthermore, the targets are informed by existing woreda or national level targets. For example, if a country has set itself the target of achieving SGD 6, then it can be assumed that everyone will have access to at least basic water and sanitation services at household level, in HCFs and in schools by 2030.

As service levels can differ considerably between urban and rural areas, setting specific urban and rural targets can be useful.

When targets are presented in absolute numbers of people served, the population growth has to be taken into account.

Box 4: Example of woreda vision and vision targets for water supply

The Negelle Arsi Woreda planning team has set the vision of achieving 100% coverage with at least basic water services in both rural and urban areas by 2030. This is a big step up from the current 57% of people served with at least basic services (50% in urban areas and 57% in rural areas). The woreda has envisioned having 30% of the total population served with safely managed water services with 100% of the urban population accessing safely managed water services and 25% of the rural population accessing safely managed water services (Table 12).

Table 12: Negelle Arsi Woreda vision for 2025 and 2030 based on SDG definitions

	2019 baseline	2025 vision	2030 vision
% Served	57%	89%	100.0%
% Served – basic	55%	78%	70%
% Served - safely managed	2%	11%	30%
RURAL			
% Served	57%	89%	100%
% Served – basic	55%	81%	75%
% Served - safely managed	2%	8%	25%
URBAN			
% Served	50%	87%	100%
% Served – basic	46%	50%	0%
% Served - safely managed	4%	37%	100%

How to do it?

Step 1: Agree on the scope and time frame of the vision

The scope of the vision and the master plan can include different, though preferably all, WASH sub-sectors, like water supply, sanitation and hygiene, WASH in schools, and WASH in HCFs. Stakeholders involved in the development of the master plan vision can also decide to include additional sectors like water resource management or solid waste management. To ensure ownership by the woreda-level technical and political leadership, it is good to involve the woreda administration as well as the heads of the main relevant offices in the visioning. If this is not possible, these stakeholders should be well-briefed and be given the opportunity to provide input and feedback. The time frame of the vision can be in line with time frames of national or global programmes or goals, like the SDGs, with a 2030 time horizon.

Step 2: Review existing visions

It is good practice to obtain copies of existing visions related to the scope of the master plan vision, including relevant national and/ or global visions, goals and targets. This could include national targets related to SDG 6 or visions and targets set by sector ministries, departments and agencies, or those related to water resources, water supply, sanitation and health, WASH in HCFs, and WASH in schools. They could also include visions or targets set by major service providers like utilities. These should be reviewed and summaries made available to the stakeholders involved in developing the vision of the woreda WASH master plan, e.g., during a visioning session in a workshop that is part of the master planning process.

Step 3: Develop an outline vision for the areas of interest in the agreed time frame

The vision is best described using a concise mix of descriptive narrative and numerical targets. Stakeholders can be asked to ensure that their vision is SMART. This can help avoid the vision becoming a 'wish list'. Specified medium and long-term targets and indicators can strengthen a vision, and make it easier later to monitor progress towards achieving it. These could include

service level targets for the woreda as a whole, its rural and urban areas, or for sub-woreda areas.

Step 4: Check for mutual consistency with other visions

Check that the draft vision is consistent with: visions at higher or lower spatial or administrative scales, like integrated water resources management plans; visions, strategies and plans from the health, education, and water sectors; utilities' visions and plans; and, climate change visions and plans etc. Similarly, check that the draft vision is broadly consistent with government policy. If not, it may be necessary to modify it so as to secure political support and increase the probability of funding for strategies and plans to achieve the vision.

Step 5: Developing a joint vision

A wide range of stakeholders should be involved in developing the woreda WASH vision and be led by local government as the service authority. These should include representatives from: relevant local government departments and sections; WASH service providers; NGOs; philanthropists; the private sector; and development partners working in the woreda. The visioning exercise can be done as part of a visioning and strategic planning workshop. The workshop facilitator can prepare the review of existing visions (i.e., step 2) in advance as input for the workshop.

It should be noted that the development of a woreda WASH master plan vision is an iterative process. Visioning step 4 is followed by the next step in the woreda WASH master planning process, which include the development of strategic directions and costed plans. After a costed woreda WASH master plan for reaching the vision is developed, the question of whether the vision can realistically be achieved or not needs to be assessed. If not, it may need to be adjusted by going back to visioning step 3.

The final vision is validated, launched and shared with stakeholders and other interested parties at higher levels (e.g., national government officers, academics, relevant national development partners, and NGOs).

Further reading and exploring

- Visioning section in chapter 5 of EMPOWERS guidelines: Guidelines Eng Booklet.indd (ircwash.org)
- Section 3.3 in SWITCH in the City: untitled (ircwash.org)
- Section 3.2 of Agenda for Change road map: a4c_road map_for_universal_access_nov2017_draft.pdf (ircwash.org)

Phase 4: Developing strategic directions

Objectives

- To develop strategies which have the potential to achieve the vision.
- To ensure that the strategies take into account the different scenarios and mitigate potential risks identified during a scenario building process.
- To develop strategies which take into account traditional practices and existing successes as well as new or emerging opportunities.

Outputs and outcomes

- Jointly agreed broad strategic directions for achieving the vision as part of the woreda-level WASH master plan.

Concepts

What are strategic directions?

Strategy development, or the development of long-term strategic directions, is about identifying strategic directions and options for moving from the current situation towards achieving the vision. It is not about planning of activities. This comes later in the Developing a costed plan phase.

Strategic directions related to woreda WASH systems strengthening can include strategic directions for:

- developing assets needed to provide sustainable wash services to all in line with the vision;
- capacity building of service providers in order to ensure sustainable wash service provision;
- capacity building and systems strengthening at woreda level (and beyond), to ensure an enabling environment for sustainable wash service provision to all; and,
- advocacy and influencing.

Let's have a look at each of these elements.

Asset development

The selection, installation and promotion of appropriate and sustainable technology is a critical component of any WASH system. Technology is not an isolated component; it is linked to many other elements of the WASH system. WaterAid is a good example of an organisation that demonstrates good practice in the design and delivery of borehole-based water supplies and supports governments to develop national standards to ensure that the supplies are designed and installed to a high quality. Combined, the design and installation aspects may lead to improved skills among drilling technicians.

A selection of some of the technologies that WaterAid and its partners use to reach the poorest and most marginalised people with WASH services is available at https://washmatters.wateraid.org/technology. The technology must be selected according to the objective reality on the ground in terms of the physicochemical environment, the needs of the

community, and by taking sociocultural, gender issues, and people with disabilities, into account. The technology must be technically feasible, economically affordable and durable. They also have to be easy to operate and maintain.

Capacity building of service providers

To ensure sustainable WASH service provision for all, there may be a need to build capacity, strengthen systems and improve the performance of WASH service providers. Strategic directions related to this can include different forms of training and capacity building, such as centralised training or on-the-job training, as well as strengthening the service provider systems related to the different building blocks. This can include strengthening institutional and human resources systems related to roles, responsibilities and capacities, technical operational systems, asset management systems, data and information systems, billing and financial systems, accountability systems (through upward and downward reporting) etc.

Capacity building and systems strengthening

In addition to building capacities and strengthening systems at service provider level, there is a need for strengthening systems and capacities at service authority level: woreda and regional level. Strategic directions related to this can include different forms of training and capacity building of service authorities (e.g., centralised training or on-the-job-training), as well as strengthening of woreda and regional level systems. The woreda and regional level systems may include institutional systems related to capacities, roles and responsibilities; financial systems with clear mechanisms for covering various lifecycle costs, asset development and management systems; regulatory and accountability systems; learning systems; coordination systems etc.

Advocacy and influencing

Some challenges and issues may be beyond the capacity of the woreda level stakeholders, and may require advocacy and influencing of other stakeholders, for example at regional or national level.

Advocacy is most effective when it:

- is supported by sound evidence;
- addresses the needs and concerns of actors within the system; and,
- is an ongoing activity aimed at spurring collective action rather than general awareness raising.

How to do it?

Step 1: Identify the components of an overall strategy

Based on the situational analysis, and a projection of the expected future situation (e.g., taking into account projected population growth), identify challenges that need to be addressed in the master plan, in order to go from the current and projected future situation towards achieving the jointly developed vision. The relevant strategic directions will depend on the exact challenges and on the possible root causes underlying these challenges.

As preparation for and/ or during a woreda WASH master planning workshop, brainstorm and list practical options and opportunities that could become components of an overall strategy for addressing these challenges and enabling a move from the current and projected future situation towards achieving the jointly developed vision. Suggestions for these strategy components are likely to originate from many sources. Some will be based on existing practices, while others might be entirely new to the stakeholders.

- What service delivery models can best be applied in which areas to achieve the vision? What assets need to be developed in order to ensure sustainable WASH services to all in line with the vision? How can available water resources be used without risking water resource depletion and pollution?
- What are the challenges related to capacities and systems at service provider level? How can these be strengthened?
- What are the challenges related to capacities and systems at service authority level? What building blocks score low? How can these building blocks and capacities be strengthened?
- What challenges are there that cannot be addressed by asset development, capacity and systems strengthening at service provider and authority level, but require advocacy and influencing of political leadership and at regional/ national level?

Step 2: Assess each strategy component

Assess the social, technical, institutional and organisational, financial and environmental viability, and the acceptability of each strategy component, especially those that are new to the stakeholders.

- Social viability: does the strategic direction have broad support among stakeholders? Does it risk having a polarising effect? Does it disadvantage or disenfranchise certain people?
- Technical viability: is the strategic direction technically viable?
- Institutional and organisational viability: are organisational and institutional systems and capacities in place to ensure the sustainability of the strategic direction?
- Financial viability: is the strategic direction affordable for the stakeholders who are expected to pay (for short as well as long-term costs, including long-term running, replacement and support)?
- Environmental viability: are there any potentially negative environmental effects associated with the strategic direction?

For a participatory brainstorm session on strategic directions for moving from the current situation towards the vision, or different elements of the vision, and an assessment of the viability of these strategic directions, use a table like the one below.

Table 4: Framework for assessing strategic components

Current situation and challenges to achieving the vision	Strategic directions/ strategy components	Assessment of viability and sustainability of the strategic direction/element			
		Technical	Social	Financial	Environmental
Low coverage of improved water services in certain communities	Expansion of piped schemes into rural areas Construction of handpumps in certain areas				

	Stimulation and facilitation of self-supply in certain areas				
Lack of effective monitoring system at woreda level	Strengthen the monitoring system at woreda level through setting up mWater data collection tools and dashboards, and defining clear roles, responsibilities and procedures for data collection, analysis and use.				
Lack of regulatory framework at national level	Evidence-based advocacy for regulatory framework				

Following the initial participatory brainstorm, a more detailed assessment can be carried out or can be informed by specialists working with stakeholders who may have a particular interest in some or all of the strategy components. The assessment could use a range of techniques–including modelling–but regardless of the technique, special consideration should be given to whether the strategy component is well matched to the challenges and context of the area of interest. By the end of this step, a range of strategy components should have been rigorously assessed and either rejected or adapted to the particular context of the area of interest.

Step 3: Link strategy components to relevant parts of the vision

Using a disaggregated form of the vision as a starting point, link and group the strategy components to relevant parts of the vision.

See table 5 for an example.

Table 5: Water vision elements and strategic directions from Negele Arsi master plan

Vision element	Strategic directions
100% of the woreda with at least basic water services	Rehabilitation of broken-down water facilities
	Implementation of new schemes
At least 30% of the woreda population with safely management water services	Ensure water supply on premises through self-supply
	Ensure water supply on premises through household connections
	Ensure reliable continuous piped water supply through: - source development - capacity building and performance enhancement of service provider - improved spare part and maintenances services
	Ensure water services free from contamination through: - regular water quality testing - construction of treatment facility - building water treatment capacity - awareness raising of households
Sustainable water services for all	- Establishment, legalisation and strengthening of service providers
	- Improve tariff setting and revenue collection
	Improve spare part supply and maintenance
	Strengthen monitoring by service authority

Improve water resource protection
Address human and financial resource constraints at woreda level through awareness raising and advocacy

Source: Adapted from Negele Arsi woreda WASH Sustainable Development Goal master plan, 2021 (available from: negelle_arsi_woreda_wash_sdg_master_plan_.pdf (ircwash.org)).

Step 4: Refine strategy components

If analysis shows that groups of strategy components are unable to achieve parts of the vision in all scenarios, try refining the group of strategy components or possibly adding strategies that are specifically linked to achieving the unrealised part of the vision. If this fails, there are two possible courses of action. One, revise that part of the vision to a form that can be achieved. Two, proceed in full awareness that the vision or parts of the vision will not be achieved if some scenarios do not turn out to be good descriptions of the future. This second 'gamblers' option is not recommended.

Step 5: Combine strategy elements to produce versions of an overall strategy

By combining different combinations of strategy elements, create a number of overall strategies. Continuously check that these overall strategies have the potential to achieve the vision or revised vision. In this step, particular attention should be paid to the financial and other resources that will be needed and whether the effective implementation of an overall strategy will necessitate major changes in institutional arrangements and governance systems. Particular attention should also be paid to identifying and, where possible, quantifying whether a strategy is pro-poor and at the very least gender neutral. By the end of this step a number of different overall strategies should have been outlined and the relative costs, benefits, merits and trade-offs of the strategies tabulated.

Tools

Asset development and choices of technology tools:

- WASHTech Technology Assessment Framework: https://www.ircWASH.org/resources/review- frameworks-technology-assessment

Advocacy and influencing:

- Tools for identifying target audience and developing advocacy messages: Target audience analysis tool :: IRC (ircwash.org)
- Tool for development of communication plan: communications_strategy_tool_irc.pptx (live.com)

Further reading and exploring

- WASHTech: strengthening sector capacity to make effective investment in new technologies, make WASH technology investments last and provide sustainable services for all: WASHTech :: IRC (ircwash.org)
- How civil society generates and uses evidence for influencing policy experiences from

watershed empowering citizens: Target audience analysis tool :: IRC (ircwash.org)

Phase 5: Developing a costed plan and funding and resource mobilisation strategy

Objectives

- To select priorities from the agreed strategic directions, develop high quality and costed plans for implementing these, and ensure funding for this.
- Endorsement and launching.

Concepts

Life cycle costs

The costs of water, sanitation and hygiene services include expenditure on the construction of water and sanitation systems, operation and maintenance, and eventual rehabilitation of infrastructure. It also includes training and support to service providers, capital costs, and expenditures on monitoring, planning and policymaking. They are often referred to as life cycle costs (described in previous sections) and entail the costs of delivering water, sanitation and hygiene services indefinitely to a specific population in a particular geographic area, forever.

Life cycle costs represent the aggregate costs of ensuring delivery of adequate, equitable and sustainable WASH services indefinitely to a population in a specified area. Life cycle costs are divided into six categories (Figure 8). These six categories are related to one-time expenditures on providing or upgrading a service, also known as capital expenditure, and recurrent expenditures on maintaining a service at its intended level.

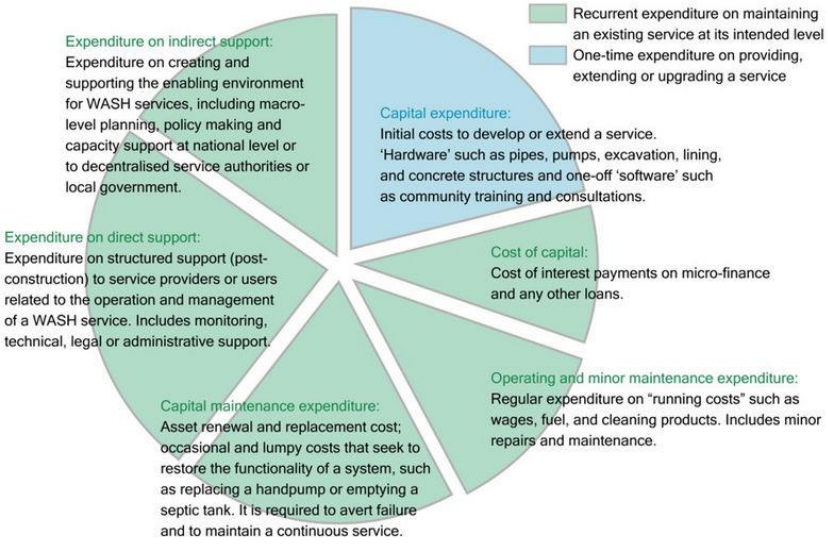


Figure 8: Life cycle cost components
(Source: Fonseca, C. et al., 2010b.)

Capital Expenditure (CapEx) - is the costs of providing a water or sanitation service to users where there was no service before; or of substantially increasing the level of services received by users. It includes the capital invested in the first-time construction of water and sanitation systems such as concrete structures, wells, pumps, pipes or toilets prior to implementation of

the service. Capital expenditure can also include expenditures to improve or expand existing water or sanitation systems. This includes costs of construction, but also of CLTS, establishing a management committee, and feasibility studies.

- Recurrent expenditures consist of the following categories of expenditures:
  Operations and minor maintenance expenditure (OpEx) - covers the costs of operating and maintaining water and sanitation systems such as labour, fuel, electricity, chemicals, cleaning products for latrines etc.
- *Capital Maintenance Expenditure (CapManEx)* - is the cost of replacement or rehabilitation of water and sanitation infrastructure in order to keep service delivery ongoing.
- *Cost of Capital (CoC)* - is the expenses incurred of financing a programme or project and includes interest on loans and the cost of tying up scarce capital. In the case of private sector investment, the CoC includes what should be a 'fair profit', to be distributed as dividends.
- *Expenditure on Direct Support (ExpDS)* - includes expenditure on post-construction activities directed at local stakeholders, users or user groups. It is the cost of ensuring local government staff have the capacity and resources to repair broken systems and monitor service delivery.
- *Expenditure on Indirect Support (ExpIDS)* - includes government national level planning and policymaking, plus developing and maintaining frameworks and institutional arrangements and capacity building for professionals and technicians. It also includes the costs of strengthening systems and capacities at the service authority level.

Source of Funding: The Three Ts

The planning needs to consider all potential sources of funding. These could be government, development partners, firms, individuals and contributions from taxes, tariffs and transfers. A separate plan for fund mobilisation could also be prepared to pave the way for WASH sustainability. For a WASH service to be sustainable, the costs of each component of the service life cycle must be covered. Finance for this is typically from a combination of the so-called 'Three Ts':

- Taxes
- Tariffs
- Transfers

Taxes. Taxes include all the funding from public budgets allocated by central or local government for investment, subsidies and general sector funding. Government budgets for WASH increased by an average of 4.9% annually between 2013 and 2016 (WHO, 2017a).

Taxes are a part of public finance and are a critical component in making water available to the poorest citizens. Public finance consists of government spending, deficits and taxation.

Tariffs. Tariffs include revenues from payments by households and institutions for water or sanitation services, but also include household expenditure on water and sanitation services in other ways, including:

households investing in constructing household water and sanitation services (through self-supply or CLTS approaches);

households making community contributions (in money, labour or materials) to construct new communal water or sanitation infrastructure; and,

households paying for connection costs to piped water or sanitation services. Apart from the connection costs charged by the service provider, this includes the value of labour and material investments of households managing their own water supply.

Tariffs paid by households are typically the largest source of funding. An assessment from 25 countries in 2017 found that 66% of funding came from household tariffs (see pie chart below).

Apart from household tariffs there are also institutional and commercial tariffs, such as water tariffs paid by a central police station or by an industrial plant.

Transfers. Transfers involve funding (i.e., non-repayable contributions) from overseas in the form of Official Development Assistance (ODA), contributions from NGOs, philanthropic funders, and remittances (i.e., diaspora/ migrant financing).

Traditionally, international transfers have been significant in expanding water and sanitation coverage in both rural and urban areas. In some countries, transfers are a major contributor to WASH funding and can potentially help catalyse new forms of finance.

Repayable finance

Repayable finance is a complementary option. It refers to borrowed money, including loans and bonds made available over a set period, which must be repaid with interest, as well as equity shares that must be paid when an investor exits. It consists of concessional finance and commercial finance.

In our daily lives we use repayable finance for large expenses such as mortgages to buy houses or loans to purchase cars. Credit cards are also a form of repayable finance. In WASH service provision, repayable finance is mostly used for covering CapEx and CapManEx.

Since 2005, ODA for the water sector has shifted away from grants (transfers) towards concessional loans (repayable finance). The percentage of disbursed concessional loans from ODA increased from 39% to 61% in 2016 (OECD, 2017).

Repayable finance can be a source of finance for CapEx. It may include macro-financing for households to construct their own water and/ or sanitation assets for self-supply, or to connect to a central water or sanitation scheme. It may also include financing through concessional or commercial loans.

Repayable finance related to the cost component they were intended to cover (commonly CapEx or CapManEx) is paid back over an agreed period of time through tariffs, taxes, and/ or transfers. The interest and equity that need to be paid on repayable finance are part of the capital costs. These are also paid over time through tariffs, taxes, and/ or transfers.

Figure 9 shows how cost categories (left bar) related to a capital investment paid for by repayable finance (i.e., CapEx and CoC) can be covered by sources of repayable finance and funding (right bar) over time.

Figure 9: Repayable finance

How cost categories (left bar) related to a capital investment paid for with repayable finance (i.e., CapEx and CoC) can be covered by sources of (repayable) finance and funding (right bar) over time.

Funding and financing for the cost categories

As shown in Figure 10, expenditure from different sources of funding and financing are needed to cover the lifecycle costs related to systems strengthening and ensuring sustainable WASH service provision in woredas.

Figure 10: Life-cycle costs and sources of funding

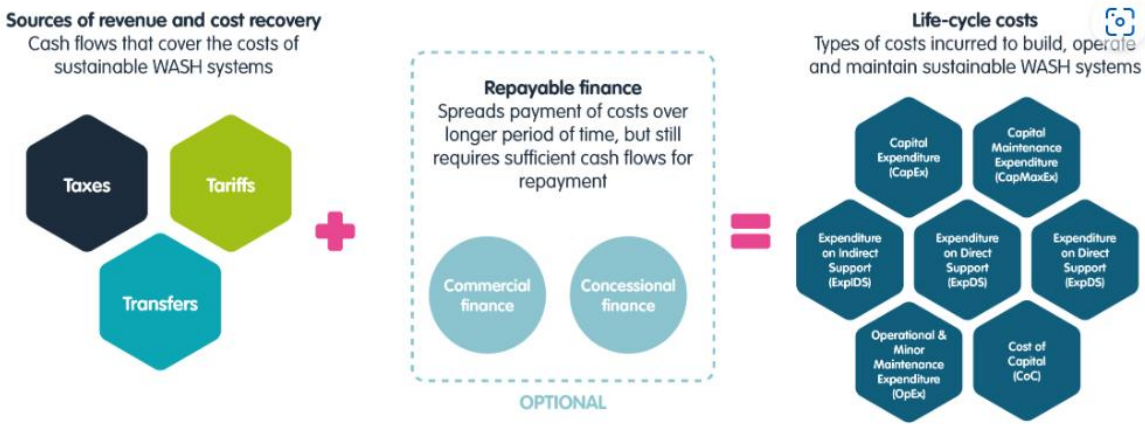


IMAGE. The elements of the building block finance; sources of revenue and cost recovery plus repayable finance equals life-cycle costs. Credits: Created by Water.org and adapted by IRC.

Funding and resource mobilisation strategy

A funding and resource mobilisation strategy is a time-bound plan for the sustainable funding of capital investments, operations and maintenance costs in water, sanitation and hygiene in a woreda. It is part of the woreda WASH master plan and must be focused, effective, equitable and efficient, and must ultimately be achievable.

The general objective of the funding and resource mobilisation strategy is to provide a clear and coordinated approach to soliciting, acquiring, and utilising available resources from public

funding, development partners, philanthropists, the private sector, and communities. This is to ensure sustainable resource availability for the implementation of the proposed WASH master plan of the woreda and indicate the pathway to mobilise additional resources necessary to translate the plan into an actionable document.

A funding and resource mobilisation strategy should clearly set out how to fund and finance the master plan. The following are the key questions to answer in developing a funding and resource mobilisation strategy.

- How much expenditure is needed on different cost categories?
- How much is expected/ committed to be spent from different sources of funding and financing?
- What is the gap?
- What are the options for filling the gap?

Options for filling the funding gap

Options for filling the funding gap which can be included in the woreda WASH master plan funding and resource mobilisation strategy, include:

- mobilising more funding through a) transfers, b) taxes, c) tariffs, d) marketing of the master plan;
- increasing efficiency;
- maximising existing funding;
- using repayable finance; and,
- adopting innovative approaches such as blended finance.

Let's have a closer look at these options.

1a. Mobilising more funding through transfers

The availability of funding to implement the woreda WASH master plan through transfers may be limited.

Some options that could be explored to attract additional funding through transfers include the following.

- Mobilise and direct funding from philanthropists, remittances, corporate social responsibility funds etc.
- Mobilise and direct funding from NGOs and development partners. This requires clear and evidence-based funding proposals.
- Bundling of funding elements and proposals from multiple woredas in order to form a fundable proposal for specific 'high capacity' development partners.

1b. Mobilising more funding through taxes

WASH actors can try to increase taxation levels, make tax collection more efficient, rethink how taxes are spent, and reallocate taxes by taking the following courses of action.

- Introduce earmarked taxes for WASH: earmarking is the budgeting practice of dedicating taxes or other revenues to a specific programme or purpose. This practice typically involves depositing taxes or other revenues in a special account from which the legislature appropriates money for the designated purpose.
- Implement cross-subsidies: governments can provide a cross-subsidy from richer to

poorer users within a service area (or from one service area to another) through general taxes.
- Engage civil society in WASH finance through action such as budget tracking, budget participation, social audits and evidence-based advocacy.
- Carry out evidence-based advocacy: a strategic process of managing and sharing knowledge to change or influence the policies and practices that affect people's lives. It can be many things, from campaigning on social media, to drafting policy briefs, to meeting with decision makers or even organising a petition. Evidence-based advocacy can be applied to advocate for increasing government expenditure on WASH.

1c. Mobilising more funding through tariffs

Tariff setting is important in ensuring efficient and fair service delivery and sustainable financing. Tariff setting requires balancing cost recovery and affordability. However, tariff setting is often a political process.

Tariff setting needs a regulatory framework to ensure that tariffs are set in such a way that costs are recovered while not passing on the cost of inefficiencies to users. This has several benefits including de-politicising tariff setting and providing independent oversight. Regulation can be done through a national or sub-national regulatory body, or through contracts between service providers and authorities.

Once there is clarity on tariff setting and regulation, revenue from tariffs can be increased. This can be done by:

- sensitising users to the need to pay tariffs;
- improving billing and collection efficiency;
- raising the overall tariff to be more cost reflective; and,
- changing the structure so that larger consumers or businesses pay higher tariffs.

Cross subsidisation is another option. This involves levying block tariffs in which the water consumption of small domestic water users is covered through the tariffs of large water users, such as commercial users and industry.

1d. Mobilising more funding through marketing of the master plan

Marketing of the woreda WASH master plan helps mobilise funding from all three sources of funding. Marketing the master plan involves actively sharing and disseminating the woreda WASH master plan to possible sources of funding, like development partners, NGOs and different government bodies.

The woreda WASH master plan, or specific sections of the master plan, can be packaged to suit the needs of particular potential funders.

2. Increasing efficiencies

The following actions may promote greater efficiencies.

- Find the right mix in the allocation of resources between capital expenditure and recurrent costs. When coverage levels are low, there is a need for considerable investments in developing new assets through CapEx. However, if coverage levels are increased, more resources need to be allocated to maintain the assets through

CapManEx. Finding the right balance will avoid getting stuck in the 'danger zone', where insufficient CapManEx leads to breakdowns and slippage, leading to lower coverage levels and requiring more CapEx.

- Decrease the CapEx costs through:
    - improving strategic planning;
    - optimising project design and management;
    - procuring more efficiently;
    - technological innovation;
    - using simple, robust, and low-cost technology; and/ or,
    - managing end-use water demand.
- Decrease the costs of CapManEx through preventive maintenance or by reducing non-revenue water.

3. Maximising existing funding

It is often said that the WASH sector is not spending the money it has because of low absorption capacity. Low absorption capacity refers to the ability to spend resources allocated to WASH on schedule. A frequent reason for low absorption capacity is the existing public financial management (PFM) system. PFM refers to the set of laws, rules, systems and processes used by states and sub-national governments to mobilise revenues, allocate public funds, undertake public spending, account for funds and audit results. Many PFM systems are weak, with long disbursement procedures, a narrow focus on CapEx, and a lack of performance incentives. Promoting better PFM can strengthen absorption capacity and thereby maximise existing funding.

Another way of maximising existing funding is by directing subsidies to where they are most needed. Subsidies are typically implemented with the well-meaning intention of ensuring that people living in poverty are able to access basic services. However, too often, poorly designed and/ or targeted water subsidies end up benefiting those with existing connections to sewerage or water networks in middle or high income households (Nauges and Whittington, 2017).

4. Using repayable finance

Repayable finance refers to borrowed money, including loans and bonds made available over a set period which must be repaid with interest, as well as equity shares that must be paid out when an investor exits. It consists of concessional finance and commercial finance. There are different types of repayable finance.

Commercial finance: this is provided by private sector financiers at the market rate. These include vendor finance, microfinance, loans, bonds, and equity. In the water sector–especially for water and sanitation utilities–attracting commercial finance largely depends on demonstrating to a lender that you can generate enough revenue through tariffs or taxes to repay the loan on schedule.

Concessional finance: loans with a grant element provided by development agencies, development finance institutions, and sometimes by impact investors. This can include a longer payback period or interest rates below market rates.

Pooled finance: this involves a financial intermediary whose size and managerial capacity allows it to access financial markets on better terms than the individual members of the group. This minimises the risk for the lender.

Microfinance: this targets low-income individuals or groups who lack credit history or collateral and have no other access to formal banking services. They are small loans (generally in the US$ 100 - US$500 range) that have no collateral requirement. They have higher interest rates to compensate for the lack of collateral.

5. Adopting innovative approaches

Innovative and least-explored approaches for filling funding gaps include the following.

- Blended finance: smart use of grant funding and concessional finance (i.e., low interest rate, long repayment period) to mobilise private capital (i.e., household or commercial).
- Municipal Development Funds: state entities with a mission to assist financially weak local authorities attract local investments by means of debt financing combined with grants.
- Climate finance: financial resources used to fund actions that mitigate and adapt to the impacts of climate change. Two examples are carbon credits as additional revenue streams for water and sanitation, and small and medium enterprises that contribute to mitigating climate change.
- Impact investment: in addition to making an economic return on the loan or equity offered, impact investors strive to achieve some sort of social and/ or environmental impact.

How to do it?

To develop a costed master plan, the following three steps need to be taken.

Step 1: Work with stakeholders in a prioritisation workshop or series of workshops to compile a ranked and phased list of all the activities which make up the strategy. Transparency and openness are crucial to ensure that all relevant stakeholders buy into the process.

Step 2: Hold planning and costing workshops with governmental and non-governmental stakeholders involved in each activity or group of activities. Groups can be formed along sub-sector lines–such as groups consisting of development partners, NGOs, or service providers–and led by local government representatives committed to:

- improving water services;
- improving sanitation and hygiene services;
- improving WASH in schools;
- improving WASH in healthcare facilities;
- WASH systems strengthening; and,
- advocacy and influencing

The groups work out the required activities and establish the required costs for these activities. As part of step 2, the working groups come up with the required activities and costs. The required costs of the activities related to the different elements of the woreda WASH master plan can cover the different cost categories, and include the following.

- Development of water and sanitation assets for ensuring water and sanitation services for all in line with the vision and targets -> CapEx and CapManEx.
- Sensitisation and capacity building of the general public on water, sanitation

and hygiene issues -> direct support costs.
- Capacity building of service providers -> direct support costs.
- Capacity building of service authorities -> indirect support costs.
- Local systems strengthening activities -> indirect support costs.
- Advocacy and influencing -> indirect support.

To ensure ongoing sustainable WASH service provision, there is also a need for costing expenditure on current and future operation and minor maintenance (OpEx) and on direct support related to continuous monitoring and support to service providers (ExpDS).

Step 3: Following steps 1 and 2, smaller groups of experts can create detailed costed action plans.

Throughout the process, there is a need for communication, dialogue and information sharing with the wider stakeholder group involved in the master plan development. Ideally, this should be institutionalised in an ongoing process which extends to the implementation phase and enables continuous learning and sharing, monitoring, and accountability.

Step 4: Map current and potential sources of funding and financing

It is important to understand the funding and finance flows in the woreda and to know who pays for what. To understand these, it is useful to make an overview of funding and finance flows. This will need to be done for each sub-sector (water supply, sanitation and hygiene, school WASH, HCF WASH).

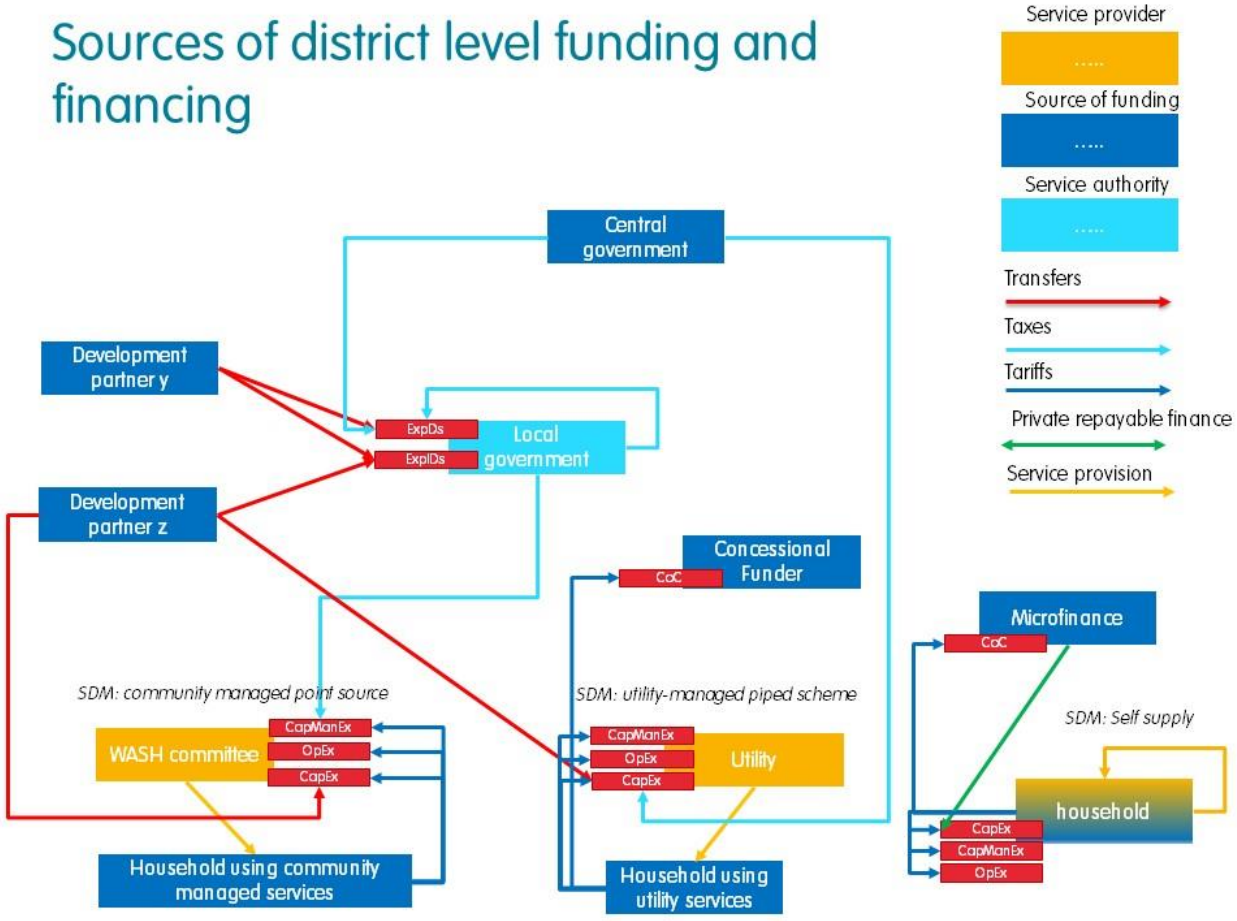
Step 4a: identify the main service providers under different Service Delivery Models (SDMs), as well as the service authorities and main sources of funding and financing in the woreda. Tip: Show these in different colours.

Step 4b: state the expenditures on every cost category. CapEx, CapManEx, OpEx and CoC will occur at service provider level, while ExpDS and ExpIDS will occur at service authority level.

Step 4c: connect the sources of funding and finance to the cost categories. Tip: Use different colours for the taxes, transfers, tariffs, and repayable finance.

See figure 11 for an example

Figure 11: Example of funding flow overview

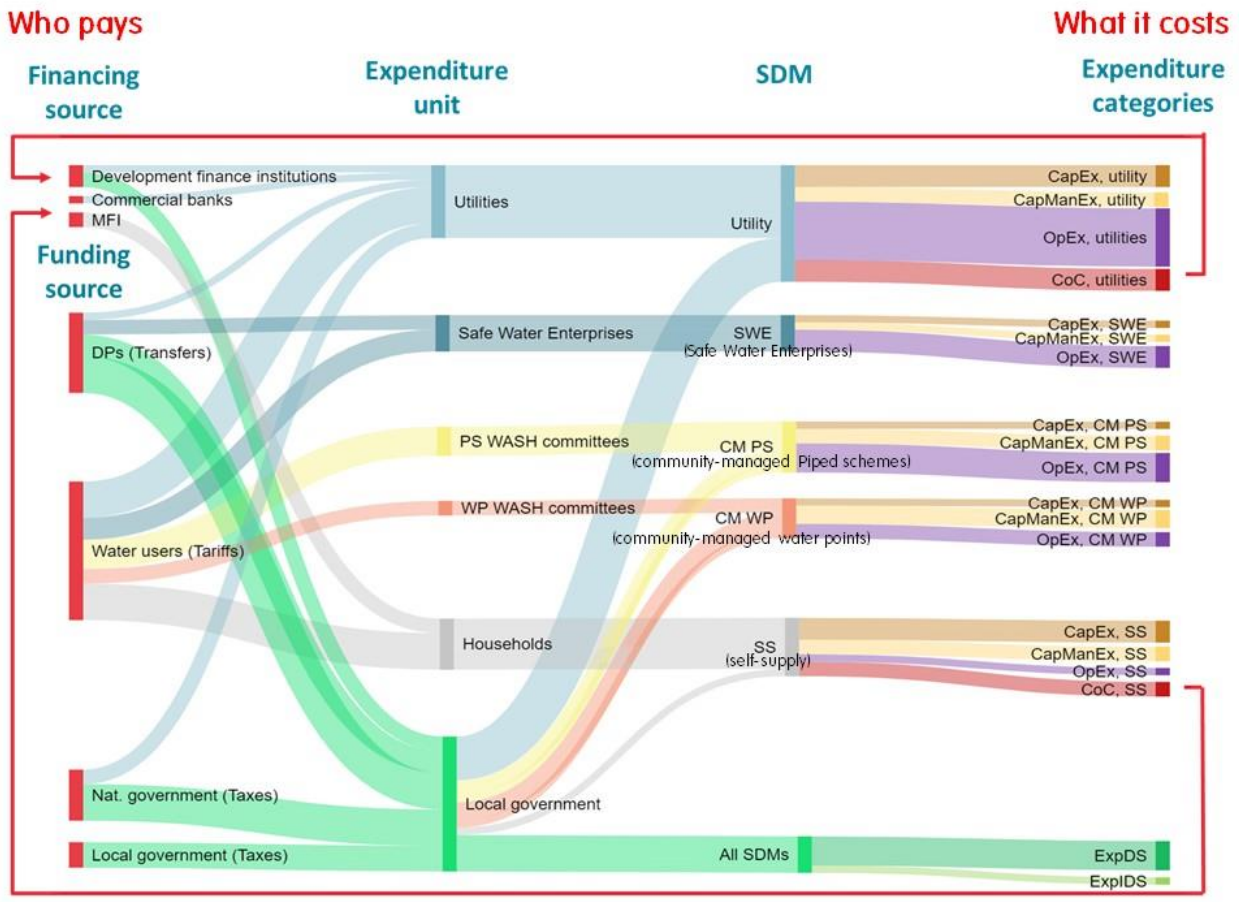


Step 5: Assess the funding gap

Once we have a clear overview of who pays for what, we can start looking into who pays how much and what the funding gaps are. Identifying the current and potential future funding gaps can help in developing a funding and resource mobilisation strategy for the woreda WASH master plan.

Figure 12 gives a schematic overview of how different funding sources can cover different costs related to water service provision through different service delivery models.

Figure 12: Schematic overview of how different funding sources can cover different costs related to water service provision through different service delivery models.



A funding gap analysis can be done by collecting, processing, analysing and visualising data on past, present and expected future expenditure from different sources of funding, on the different cost categories. Table 6 shows the sources of data on budgeted and actual expenditure on the different cost categories and different sources of funding.

Table 6: Data sources for data on expenditure and sources of funding

Source of data	Data by cost category					Data by source of funding		
	CapEx	CapManEx	OpEx	ExpDS	ExpIDS	Taxes	Transfers	Tariffs
Asset data	√	√				√	√	
National government	√	√			√	√		
Local government	√	√	√	√	√	√		
Development partners, NGOs and philanthropists	√	√			√		√	
Service providers	√	√	√					√
Users/ households	√	√	√					√

Using past, current and future budgeted or committed expenditure, an assessment or estimation can be made of the expected expenditure on the different cost categories related to the different service delivery models, over the master planning period. Comparing this to the assessed required costs, determined in step 3, will identify the funding gaps.

Note: If data on expenditure is not readily available or require significant data collection efforts, well-informed 'guesstimates' from local experts can be used to get an indication of the funding gaps.

Step 6: Developing funding and resource mobilisation strategies

The funding gap analysis informs discussions and decisions of woreda level stakeholders involved in the master plan implementation regarding annual, medium-term and long-term funding strategies and actions to be taken to fill the funding gaps. Recommendations emerging from the funding gap analysis could include the following.

- In case of a capital investments (CapEx) funding gap: Explore additional sources for CapEx, including development partners, NGOs, local and national government, repayable finance. The costed master plan and the funding gap analysis can provide evidence for evidence-based advocacy and marketing.
- In case of an asset maintenance and renewal (CapManEx) funding gap: Strengthen asset management and identify clear roles and responsibilities related to executing and funding major repairs, rehabilitation and asset replacement.
- In case of an operation and minor maintenance (OpEx) funding gap: Design measures for increasing revenues from user contributions to cover OpEx, or measures for reducing expenditure or increasing efficiency (e.g., by reducing non-revenue water in piped schemes).
- In case of a direct support (ExpDS) funding gap: Carry out evidence-based advocacy targeting local and national government on the need for increasing expenditure on direct support.

Once an overarching, harmonised plan is developed it should be made widely known and marketed to partners and potential funding sources to garner commitment to finance, and to ensure agreement to align activities. Commitment to adhering to the plan can be formalised through formal agreements such as Memorandums of Understanding. Agreements such as these can bind organisations to basic operating procedures, such as common reporting protocols and participation in coordination meetings. Efforts need to continue at woreda and possibly zonal, regional and national level, to ensure coordination of the various organisational efforts and that all partners align to and report in line with the same plan. Ultimately, this will help mobilise funds in a coordinated manner.

Tools

Tools for costing and expenditures used by Agenda for Change

Life-Cycle Cost Component	Tool used in Agenda for Change
Capital expenditure (CapEx)	Costed Asset Register/ (https://www.ircwash.org/ tools/IRC-costing-and-budgeting-tools)/engineering survey/Historical Investment Tool (https://www.ircwash.org/tools/tools-costing- everyone-forever-Bolivia)
Capital Maintenance (CapManEx)	Costed Asset Register/ engineering survey/ Historical Investment Tool
Operation and minor maintenance Expenditure (OpEx)	At What Cost or Cash Flow Analysis tools - https://www.ircwash.org/tools/irc-costing-and-budgeting-tools

Life-Cycle Cost Component	Tool used in Agenda for Change
Expenditure on Direct Support (ExpDS)	Woreda Capacity Assessment or Direct Support Cost Tools (https://www.ircwash.org/tools/irc-costing-and- budgeting-tools)
Cost of Capital (CoC)	Costing and Budgeting tool (https://www.ircwash. org/tools/IRC-costing-and-budgeting-tools)
Expenditure on Indirect Support (ExpIDS)	Not captured in the WWA

Other tools:

- Tool 9: Water planning tool
- Tool 10: Sanitation planning tool
- Tool 11: School WASH planning tool
- Tool 12: HCF planning tool

Phase 6: Implementation and monitoring the long-term plan

Objectives

- To have the woreda master plan validated and launched.
- To have the master plan implemented through collective action.
- Monitoring the master plan's implementation for adaptation and accountability.

Concepts

The implementation of the master plan follows the planning. The plan targets are achieved in a qualitative, coordinated and accountable manner, and are periodically monitored and reviewed.

Annual and medium-term planning and implementation cycles

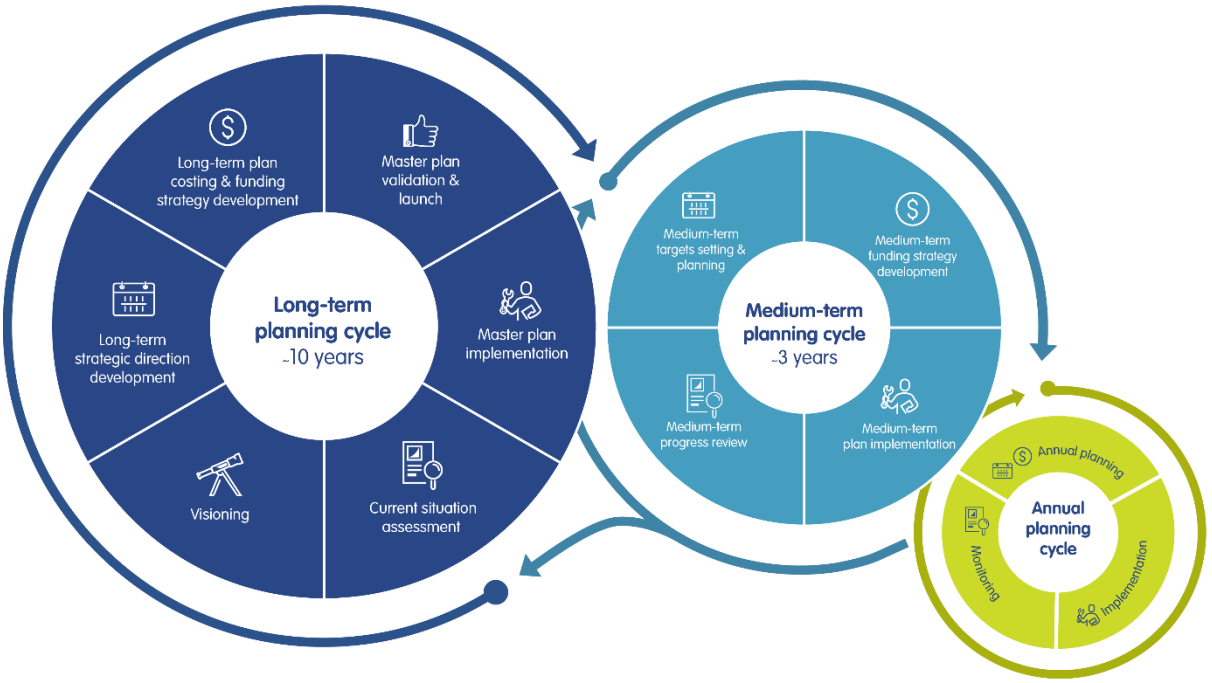
Master plan implementation includes the development and implementation of a number of medium-term planning rounds, each consisting of the development and implementation of a number of annual plans (see image below).

Different stakeholders and stakeholder groups have different roles and responsibilities in implementing the master plan. Development partners often play a key role in funding and facilitating asset development, building service authority capacity, and funding and facilitating local systems strengthening. The private sector can play a role in developing and managing assets. Service providers can play a role in improving their performance, possibly supported by local government and/ or development partners. Local government can play a role in supporting and building the capacity of service providers, developing assets, local systems strengthening etc.

Local government plays a key role in coordinating and monitoring activities and progress made related to the implementation of the woreda WASH master plan. It needs to bring all stakeholders together at least annually to present and discuss progress and agree on the way forward in terms of annual and medium-term plans. In order to do this, local government may be supported by a regional or national government agency, or a development partner.

The level of detail on activities, costs and sources of funding for the medium-term plans, and especially for the annual plans, will be higher than that for the master plan.

Figure 13: Long and medium term and annual planning cycles



Monitoring

Monitoring is an essential element in implementing a woreda WASH master plan. Monitoring can be defined as a continuous assessment that aims to provide all stakeholders with early detailed information on the progress or delay of the ongoing assessed activities (UNDP, 2009). Here we have a look at why we need to monitor woreda WASH master planning implementation, when we should do it, and what needs to be monitored.

It is important to note that the One WASH National Programme established a monitoring framework and process. This should be taken into account wherever possible.

Why monitor?

Monitoring the master plan implementation is about capturing, processing, managing, and disseminating the data and information for several purposes.

- To check progress made and hold partners involved in master plan implementation accountable for progress made. This goes beyond implementing partners, such as NGOs and DPs, and supporting infrastructural development, but includes traditional leaders, community members and others who have committed to improving O&M of existing facilities, such as community-managed handpumps, and installing new facilities such as latrines. This can include:
    - upward accountability, towards higher levels of government (e.g., national ministries, departments, or agencies);
    - sideways accountability, towards woreda-level partners; and,
    - downward accountability, towards users of water, sanitation and hygiene services.
- To identify bottlenecks for timely resolution and to inform decision making for the way forward. This can inform decision-makers involved in the master plan development and implementation, either jointly, or individually. This can include decision-making related to:
    - annual and medium-term planning; or,
    - detailed planning of activities, including prioritisation of communities to be targeted for interventions such as the construction of new infrastructure,

rehabilitation of existing infrastructure, capacity strengthening activities etc.

- To inform learning and adaptation. WASH service authorities are faced with demographic, economic and environmental change and uncertainty. The key to managing and adapting to these changes lies in building resilience and adaptive capacity in the sector. This in turn relies on the ability to effectively manage information, share knowledge, learn and adapt.
- To inform evidence-based advocacy. Some challenges and bottlenecks to ensuring sustainable WASH service provision at woreda level cannot be solved directly at this level and need to be addressed at a higher regional or national institutional level. Monitoring data can feed evidence-based advocacy that influences decisions at these higher institutional levels.

When do we need to monitor?

WASH master plan implementation monitoring is a continuous process throughout the annual, medium-term and long-term planning cycles. The goals and targets against which progress can be monitored need to be set at the beginning of each cycle. Some monitoring data may be collected continuously, while other data may be collected at certain points such as at the end of each implementation cycle.

At the end of each cycle the monitoring data needs to be processed, analysed, discussed and disseminated. These analysis points include:

- annual review of progress;
- medium-term review of progress; and
- evaluation of the long-term master plan implementation period.

What should we monitor and how do we do it?

Ideally, a woreda WASH monitoring framework sets out the main:

- inputs;
- activities and outputs;
- outcomes; and,
- impact indicators.

These indicators and their goals and targets need to be monitored. They can be used to inform annual, medium-term and long-term goals and targets, against which the actual inputs, activities, outputs, outcomes and impact can be assessed. Each of these four elements of a woreda WASH monitoring framework is examined below.

1. Monitoring inputs

This involves monitoring the human, financial and material resources that go into the master plan implementation process. How are inputs monitored? Resources used as inputs to the master plan implementation can be expressed in money. Before starting an annual, medium or long-term implementation round, the expected inputs needed for the master plan implementation can be determined through a costing exercise, as addressed earlier in this guidelines. Commitments and actual expenditure in the year, medium or long term can be tracked through expenditure tracking.

Monitoring inputs can help answer the following questions.

- Is actual expenditure in line with the amount of money that was expected to be spent, as indicated in the master plan, annual plan and/ or medium/long-term plan?

- Has there been an increase in financial commitments and actual expenditure by certain stakeholders as expected? In other words, is local government allocating more resources to water, sanitation and hygiene?

Financial indicators to check include the following.

- The amount of money spent in [period] by [stakeholder(s)] on implementing the woreda WASH master plan.
- Increase in budget allocation and/ or actual expenditure by local government/ development partners/ water users over time, in total, or on certain cost components
- Increase in local government spending on direct support.
- Increase in development partner spending on CapManEx.
- Increase in user spending on OpEx.
- Size of the funding gap (required expenditure versus committed and/ or actual expenditure).

2. Monitoring activities and outputs

This involves describing and summarising the activities undertaken as part of the master plan implementation and the activities' direct outputs. Activities can include construction, rehabilitation, capacity building and training at different levels, systems strengthening activities etc. Outputs can include the number of: facilities built and rehabilitated; people trained; meetings held etc.

How to monitor activities and outputs?

Before starting an annual, medium or long-term implementation round, the planned activities and expected outputs needed for the master plan implementation can be determined. Monitoring activities can be done by keeping an activity and output log in a programme like Excel, listing the main activities undertaken by different partners and outputs achieved. These can be compiled and analysed at the end of each implementation round.

Monitoring activities and outputs can help answer the following questions.

- What were the main activities undertaken and outputs reached?
- How do the actual outputs relate to the expected outputs? What were challenging areas in the master plan implementation?

Activity and output indicators to check include the following.

- Number of facilities constructed (versus planned number).
- Number of facilities rehabilitated (versus planned number).
- Number of people trained (versus planned number).
- Number of water committees established (versus planned number).
- Number of communities involving CLTS (versus planned number).

3. Monitoring outcomes

This involves tracking the results of the activities related to the master plan implementation. Expected and desired outcomes need to be discussed and agreed upon at the start of each implementation cycle, so at the beginning of an annual, medium and long-term cycle. These can be included in the monitoring framework.

Possible outcome indicators to check include the following.

- The number and proportion of people with access to basic and safely-managed water services.
- The number and proportion of people with access to basic and safely managed sanitation services.
- The number and proportion of schools with basic water, sanitation and hygiene services.
- The number and proportion of healthcare facilities with basic water, sanitation, hygiene and solid waste management services and a clean environment.
- Strength of the local systems building blocks.

Questions that monitoring outcomes can help answer include the following.

- Has access to basic and safely managed water and sanitation services improved in the woreda?
- Have local WASH systems been strengthened?
- How can data be collected? Depending on the indicators which have been set, data may be collected using the tools listed below.

Data on WASH service levels:

- household survey data;
- school or healthcare facility survey data; and,
- population data per unit combined with asset data on the number of functional facilities and the maximum number of people served per unit.

Data on WASH systems strengths:

- IRC's WASH system building blocks scoring.

Box 5: ONE WASH National Programme outcome indicators

The One WASH National Programme (OWNP) phase II programme document includes the following outcome indicators as part of its result framework.

- Percentage of population with access to 25 l/ c/ d water supply source within a 1 km radius for rural areas.
- Percentage of non-functionality rate.
- Percentage of population with access from 40 l/ c/ d for Category 5 towns to 100 l/ c/ d to Category 1 towns/ cities in urban areas.
- Number of Urban Water Supply utilities of Category 1-3 towns that decrease non-revenue water.
- Percentage of rural and urban population with improved latrines.
- Percentage of rural population that is ODF.
- Percentage of households hand washing with soap and water.
- Percentage of schools and health institutions with access to a full package of WASH services.
- Percentage of health facilities with a full package of WASH services.
- Percentage of households practising point of use water treatment.

4. Monitoring impact

Impact is the eventual change that access to WASH services has on people's health and livelihoods. This could include reduced morbidity and mortality from water-borne diseases,

reduced drudgery, and increased incomes. As these impacts are costly to monitor and difficult to attribute to WASH services only, they are often not monitored routinely but through one-off evaluations or assessments (Smits and Schouten, 2015). This means that impact indicators are often not included in frameworks for monitoring woreda WASH master plan implementation.

How to do it?

Step 1: Design a monitoring framework

The last step on developing a woreda master plan is to design the monitoring framework. The framework should spell out the following.

- What: the main indicators to be monitored.
- When: the frequency of monitoring of each indicator.
- Who: who will be responsible for data collection, processing and analysis of each indicator? Who will be responsible for compiling the data of all indicators? Who will be responsible for disseminating the findings?
- How: what tools, mechanisms and processes will be used to collect, process, analyse, compile, disseminate and use monitor data for informing accountability, decision-making, learning and adaptation, and evidence-based advocacy?

Step 2: Launch the long-term plan

A plan is only as useful as the extent to which it is actually used; a plan will not lead to change if it sits on a shelf. Sector specific plans developed at woreda level must be integrated within wider woreda development planning and budgeting. Broad buy-in from local government staff other than the WASH unit and other stakeholders, is key to the successful uptake and application of the plan. It is worth investing time and resources to disseminate the plan and get buy-in. It is helpful to involve not only WASH technical staff but also the wider planning and administrative woreda authority staff so as to minimise the risk that the plan becomes isolated and neglected. Ideally the plan should be formally and publicly adopted by the woreda authorities. It may indeed become a chapter of a wider woreda development plan. Either way, the plan should be disseminated–and marketed–widely within the woreda, and at regional and national level, and ideally be made available online. Given that sector planning may be undertaken at different levels, (e.g., regional or national), it is important that the relevant government entities at these levels are aware of the plan so that it can be factored into broader sector plans and proposals.

Step 3: Master plan implementation through collective action and annual and medium-term planning cycles

Collective action aims to: develop a shared understanding of the challenges faced; define expectations; agree objectives; and, commit resources towards achieving a common goal. These happen when people align behind a shared vision.

Collective action differs from conventional stakeholder coordination and knowledge sharing forums in the WASH sector (such as working groups and Joint Sector Reviews) because it emphasises joint action, accountability mechanisms, and shared risks. It requires five conditions that can align stakeholders towards achieving change at scale (Kania and Kramer, 2011; Turner

et al., 2012.):

- a common agenda
- shared measurement systems
- mutually reinforcing activities
- continuous communication
- a backbone support organisation (a change hub or facility). (Adapted from the concept of collective impact which were first outlined by John Kania, Mark Kramer and Winter in 2011 in the Stanford Social Innovation Review.)

Multi-stakeholder platforms, such as learning alliances, can act as a platform to drive collective action and create a vehicle to put in place all five conditions.

Step 4: Monitoring of the implementation of the plan

Undertake monitoring based on the developed monitoring framework. Review and revise the monitoring framework if needed, but make sure the framework can consistently be used to monitor progress made towards implementing the plan.

Tools

Several of the tools used for assessing the current situation can also be used to monitor the implementation of the plan. These include:

- Tool 3: Climate change assessment

When to use this tool?

- In phase 2: Undertaking a situational analysis

Objectives

- Gain insight into the projected changes in climate for a certain area of interest, in terms of specific climate indicators including temperature, precipitation, water discharge and water runoff.

Method

Step 1: Go to the following website: Site-Specific Report (climateinformation.org)

Step 2: Fill in the area of interest, such as a town in the woreda. Choose 'Emission scenario' RCP 4.5. Choose 'Time period: 2011-2040. General overview.'

Step 3: Have a look at the changes related to the climate indicators. Focus on the following indicators:

- Precipitation
- Water discharge
- Water runoff
- Soil moisture
- Water discharge

Step 4: Consider what the projected changes in the climate indicators mean for the future availability of water resources.

Based on:

This tool was developed by the Swedish Meteorological and Hydrological Institute, on behalf of the World Meteorological Organization, World Climate Research Programme and the Green Climate Fund.

- Tool 4: Asset inventory
- Tool 5: Service level surveys
- Tool 6: Assessing service provider performance
- Tool 7: Building block assessment

Further reading and exploring

To learn more about evidence-based advocacy, consider taking the following WASH Systems Academy course: Advocating for universal WASH services.

PART 4: TOOLS

Tool 1: Stakeholder identification and analysis

Stakeholder identification can be carried out both in workshops and by using other approaches such as semi-structured interviews.

When to use this tool?

- In phase 1: Introducing the concept of WASH systems strengthening

Objectives

- To help identify stakeholders and their roles and responsibilities in woreda-level WASH systems strengthening. It will also help identify the stakeholders that need to be involved in systems strengthening activities.
- To identify potential gaps or overlaps in the roles of different stakeholders.
- To understand the links between different stakeholders, especially those related to the sharing and use of information.

Method

The framework for the stakeholder analysis is the stakeholder matrix. The matrix can be filled in during/ after discussions with stakeholders in workshops or interviews. The matrix will help identify gaps and overlaps in relation to the stakeholders.

Some useful questions for workshops and interviews.

- What tasks/ functions are performed by which stakeholders?
- What activities do stakeholders undertake when performing the tasks? How effective are they?
- What gaps are there between tasks?
- What overlaps are there between different stakeholders and their tasks?
- Do any stakeholders try to coordinate their tasks?
- What factors affect task performance positively or negatively?
- What information is held by which stakeholders that helps them to perform their tasks? Is it shared? If so, how?

Table 7: Stakeholder matrix

Stakeholder	Role in WASH service provision	**Power** How much power (or influence) do they have to enable systems strengthening?	**Interest** How interested are they in WASH systems strengthening?	How could the stakeholder contribute to WASH systems strengthening?	Do we need to engage this stakeholder in systems strengthening?	Strategy for engaging the stakeholder	Contact person (Name, Phone, Email)

e.g., Woreda Water office	Service authority: Planning and supporting water service provision	High	Medium	Coordinating and providing strategic direction	YES	Inform from the beginning of project process and involve at key project stages	
e.g., WASHCOs	Water service provider: Daily operation and maintenance of handpumps	High	High	Coordinating and facilitating project implementation	YES	Inform from the beginning of project process and involve at key project stages	
e.g., Regional Water Bureau	Water service authority: Supporting town water utilities, woreda water offices etc				YES	Identify problems, planning, capacity building and implementation	

Tips and tricks

- A good and trusted facilitator will help develop a good quality stakeholder matrix.
- It is necessary to have up-to-date information, for example on the roles and responsibilities of government departments, NGOs, the private sector and communities.

Based on

Info sheet 1: Stakeholder analysis in GUIDELINES FOR DEVELOPING A SELF-SUPPLY ACCELERATION PLAN FOR YOUR AREA, based on

Moriarty, P., Batchelor, C., Abd-Alhadi, F.T., Laban, P., and Fahmy, H. 2007. The EMPOWERS Approach to Water Governance: Guidelines, Methods and Tools. Amman: INWRDAM. Available at: www.ircwash.org/resources/empowers-approachwater-governance-guidelines-methods-and-tools. Adapted from the RAAKS (rapid appraisal of agricultural knowledge systems) toolbox (tool B5). Available at: www.kit.nl/smartsite.shtml?ch=FAB&id=4616&Part=Resources.

Tool 2: Water resource assessment

When to use this tool?

- In phase 2: Undertaking a situational analysis

Objectives

- To establish a clear understanding of water resources in the woreda (available resources, water quality, demand and multiple uses) to allow evidence-based planning and implementation, and potentially to establish a baseline for subsequent monitoring.

Method

Step 1: Identify the main water resources for the woreda, including rainwater, surface water (rivers, lakes), and ground water.

Step 2: Collect data (primary or secondary) on quality, quantity and reliability of the water resources.

Step 3: Identify potential current and future challenges related to the water resources.

Tips and tricks

The level of detail and scope of the assessment depends mainly on the extent to which water resources are, or will become, a limiting factor for sustainable and universal WASH services. Without a good understanding of water availability and quality over time, service sustainability and service levels may be severely impacted.

This can be done using secondary data sources such as maps, rainfall data, drilling logs, hydrogeological maps, drilling success rates, data on spring yields, borehole yields, static water levels and changes over time, pumping water levels, water quality data, data on seasonality of systems, major water demands (other than for drinking), and land-use, as well as available data on climate change projections and potential threats to water resources.

Data to support the analysis can be obtained using other tools by integrating relevant questions into these tools, e.g., volumetric demand for and use of water can be part of the household survey; community consultations regarding water use and multiple water use can be done during service provider assessment visits; and water quality and level, and yield testing can be done during the infrastructure asset survey.

For a more comprehensive and accurate assessment of water resources, use the WASH Basins Toolkit available from WASH-Basins-Toolkit-Global-.pdf (frankwater.com)

Based on

Agenda for Change road map section 3.4.4 Water resource assessment.

Tool 3: Climate change assessment

When to use this tool?

- In phase 2: Undertaking a situational analysis

Objectives

- Gain insight into the projected changes in climate for a certain area of interest, in terms of specific climate indicators including temperature, precipitation, water discharge and water runoff.

Method

Step 1: Go to the following website: Site-Specific Report (climateinformation.org)

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Step 4: Consider what the projected changes in the climate indicators mean for the future availability of water resources.

Based on:

This tool was developed by the Swedish Meteorological and Hydrological Institute, on behalf of the World Meteorological Organization, World Climate Research Programme and the Green Climate Fund.

Tool 4: Asset inventory

When to use this tool?

- In phase 2: Undertaking a situational analysis
- In phase 6: as part of monitoring the implementation of the plan

Objectives

- Gain insight into the assets involved in providing WASH services in the woreda, including their current status, in order to get insight into current levels of services and required investments.

Method

Step 1: Identify existing asset data and assess its relevance

Step 2: If no relevant and up-to-date asset data is available, then undertake an asset inventory by collecting data from all assets on at least the following parameters:

- Location (GPS and administrative)
- Components (e.g., source, distribution network, water points, connections)
- Age
- Functionality status (or different components)
- Frequency of breakdowns
- Seasonality

Step 3: Clean, process, analyse and visualise the asset data in the form of tables, graphs and maps.

Tips and tricks

- In principle, unserved communities will not be visited as part of the asset inventory. If good secondary data is available on community locations and population size, it can be combined with the asset data in order to gain good insights into which communities are and are not served (see below). However, if this data is not available there may be a need to do a community survey as well, collecting data on locations and populations of the communities in the woreda. This can be linked to the asset inventory through the consistent use of community codes ('administration location').
- Involvement of local government staff enables them to take ownership and corrective actions where needed.
- mWater has an asset management tool which can be used for collecting, storing and visualising asset data. See mWater Portal.
- When used for data collection, mWater can be used for the visualisation of asset data. However, for more detailed off-line maps, it might be useful to use QGIS (http://www.qgis.org).

Table 8: Example of combined community and asset data

RURAL KEBELE	Total Population	FUNCTIONAL WATER SUPPLY SYSTEMS BASELINE														
		Spring on Spot	Medium gravity spring with distribution	Motorized Spring with distribution	Large gravity Spring with distribution (Gazer scheme)	Hand dug well	Shallow well	Shallow with Solar pump	Deep Well with distribtion	Rope pump	Expansion Work Distribution system	Multi Village scheme	Total	Population potentially served	Actual pop served	Served %
1	Ayda	5,024	1					1						2	450	450 9%
2	AYNALEM	4,975												0	0	0 0%
3	AYKAMER	3,711	3				4	4						11	2,240	2,240 60%
4	Chelegod	5,815	2					2						4	900	900 15%
5	Dell	4,422	1					2						3	700	700 16%
6	Dordora	10,357												0	0	0 0%
7	Gedir	4,372	1	1			1				3			6	925	925 21%
8	Genamer	4,923	3					1						4	850	850 17%
9	Gomir	3,838	1					1						2	450	450 12%
10	Goydamer	5,789	1				1							2	360	360 6%
11	Gumeter	5,042	1	2				2						5	1,800	1,800 36%
12	Komir	4,040		1										1	550	550 14%
13	Mama	6,707	3							1				4	2,600	2,600 39%
14	Maytol	5,856	1				2	2						5	1,020	1,020 17%
15	Menidir	3,457						1						1	250	250 7%

16	Mutti	4,226		1				2						3	1,050	1,050	25%	
17	Pelipa	6,964	2											2	400	400	6%	
18	Pilla	3,662	2	2				2						6	2,000	2,000	55%	
19	Shekamer	4,944	1	2			1							4	1,460	1,460	30%	
20	Shengama Arik	8,256		1										1	550	550	7%	
21	Shengama Billi	7,843	2											2	400	400	5%	
22	Shegama Woset	8,399	1											1	200	200	2%	
23	Shepi	3,021	1	1				2						4	1,250	1,250	41%	
24	Shishir	5,187	5	1				3			1			10	2,305	2,305	44%	
25	Sido	4,491	2	1			1				1			5	1,115	1,115	25%	
26	Tembel	6,941	1											1	200	200	3%	
27	Zomba	5,620	1	6			1				1			9	3,665	3,665	65%	
28	**Arfes**	**5,773**		**1**										1	550	550	10%	
	TOTAL RURAL				153,655	36	20	0	0	11	25	0	1	6	0			

Tool 5: Service level surveys

When to use this tool?

- In phase 2: undertaking a situational analysis
- In phase 6: as part of the plan implementation monitoring

Objectives

- To gain insights in the service levels in the woreda in order to inform vision target setting and develop strategic directions.

Method

Step 1: Determine the unit of observation–where will data be collected (households, communities, schools, healthcare facilities)–and the unit of analysis–the level at which data is compiled and analysed (community, kebele, woreda level).

Step 2: Determine the sample size.

Step 3: Design survey tools.

Step 4: Collect data.

Step 5: Clean, process, analyse and visualise the asset data in the form of tables, graphs and maps.

Tips and tricks

- The required sample size will depend on the required accuracy. If the main objective is to collect data to inform the setting of vision targets, high accuracy is not required. Monitoring of statistically significant changes over time may require a bigger sample size.
- mWater has a set of standard questions which can be used in developing survey tools. mWater uses the data in these standard questions to calculate service levels in line with the JMP indicators. See
    - water (SDG 6.1).
    - sanitation (SDG 6.2a).
    - hygiene (SDG 6.2b).

Household and institutional surveys can also include questions to assess service provider performance such as on the level of satisfaction with services in household surveys and questions related to the management of WASH services in institutional surveys.

Tool 6: Assessing service provider performance

When to use this tool?

- In phase 2: undertaking a situational analysis
- In phase 6: as part of the plan implementation monitoring

Objectives

- To gain insights into the performance of service providers involved in different service delivery models.

Method

Step 1: Design a framework for assessing service provider performance. What are the conditions which should be in place to achieve sustainable WASH service provision in terms of financial, institutional, environmental, technical and social issues?

Step 2: Collect data through surveys and key informant interviews.

Step 3: Clean, process, analyse and visualise the asset data in the form of tables, graphs and maps.

Tips and tricks

- Service provider performance can be assessed through various indicators. These can include indicators set by government as part of monitoring or regulatory frameworks, or by service authorities as part of performance contracts with service providers. Indicators can include the following.
    - Presence and set-up of organisational structures.
    - Capacity in terms of quality and quantity of staff (e.g., number of staff per 1,000 connections, staff qualifications etc.).
    - Accountability towards users and government (e.g., record keeping practices, presence of transparent reporting etc.).
    - Financial status (e.g., tariff setting, presence of bank accounts, operational cost recovery ratio etc.).
    - Technical performance (e.g., rate of non-revenue water, annual amount of sludge collected and treated etc.).
- Scoring can be used to quantify qualitative data. The framework can assign values (e.g., 0-25-50-75-100) for specific situations. When setting a benchmark value, service provider and authority performance can also be assessed against the benchmark (e.g., the proportion of service providers that meet the benchmark). This is especially useful in cases of a service delivery model with large numbers of service providers (e.g., WASHCO-managed handpumps)

Figure 14: Example of service provider benchmarking

Sustainability Factor	Indicator/Benchmark for Water Schemes	MVWS	Others
Institutional	WASHCO/WUA exist with positions of chair, secretary and cashier filled and meeting at least monthly	58%	47%
	WASHCO/WUA is formally recognized and legalized by the woreda and/or the regional government	74%	49%
Financial	Clear user contribution system established through annual fees, monthly fees or volumetric tariff	89%	78%
	Last year's revenue exceeds last year's expenditures	58%	30%
	WASHCO/WUA has up-to-date financial records and a dedicated account in a financial institution	37%	36%
Technical	At least one capable caretaker, tap or pump attendant with sufficient skills to undertake preventive and minor maintenance	32%	19%
	Minor maintenance spare part supply is available within 3 days (major spare part supply might take longer)	74%	28%
	Routine (preventive) maintenance is done at least on monthly basis	37%	0%
Social	A WASHCO/WUA is in place and it is gender-balanced	11%	22%
Environmental	A Water Safety Plan is in place and in use	5%	1%

MUWS: Multi Village Water Supply Systems

Further reading:

Summary Findings from Sustainability Checks for Rural WASH in Ethiopia: Microsoft Word - TP11 - Ethiopia rural sustainability checks (unicef.org)

Tool 7: Building block assessment tool

This tool was developed by IRC as a quick and easy method to assess the functioning of the building block of the WASH system at woreda level for water, sanitation and hygiene, and WASH services away from home (i.e., at schools and HCFs).

When to use this tool?

- In phase 2: undertaking a situational analysis
- In phase 6: as part of the plan implementation monitoring

Objectives

- Obtain insights into the strength of local (woreda) level WASH systems

Method

The tool is an Excel file with macros available here:
https://www.washsystemsacademy.org/mod/resource/view.php?id=800&redirect=1

Note: Your computer may not accept macros. In most cases you can unblock macros by modifying the file properties as follows.

Open Windows File Explorer and go to the folder where you saved the downloaded Excel file.

Right-click the file and choose Properties from the context menu.

At the bottom of the General tab, select the Unblock checkbox and select OK.

This short YouTube clip shows how to enable macros: https://www.youtube.com/watch?v=-2jz90yBVSs

When you have opened the file and have enabled macros, you first need to fill in some general data and select the sector (water, sanitation, hygiene, WASH away from home) and level (national or woreda. For the woreda-level building block assessment choose '**district**').

Then click Go. This will generate the statements to assess the woreda-level building block for the chosen sector.

Scoring

Each building block is assessed through a score of 1-5. One stands for non-existent/ very weak and five means fully compliant/ very strong. If it does not apply choose N/ A (not applicable).

Next to the score (1-5 or N/ A) of each statement, users are asked to briefly explain the reason for the score and possible sources or references. References can support the reason for the score. Taken together, the statements produce an average score for each building block that is made visual through a traffic light (from red to dark green). Next to the average score, users are asked to briefly explain the reasoning behind the average score.

The building blocks for the hygiene and WASH away from home sectors are scored with a

single statement so no average score is produced for each building block.

Snapshot summary

A summary is created of the average scores for all nine building blocks, providing a snapshot of the weak or strong building blocks in your context. This snapshot gives entry points on where to start strengthening the system. It can help start a discussion with other stakeholders on the status of the system, and how to coordinate, align and target interventions for greater effect.

Tips and tricks

- The scoring and assessment are not designed to compare the relative strength of building blocks between woredas (districts) or countries. This is mainly because the assessments are subjective in nature and do not have clear definitions of assigned scores (between 1 and 5). This is left to the judgement of the person or people who have carried out the assessment.
- The WASH systems strengthening approach and the building blocks can be adapted to your own context. The exact number of building blocks and their definitions are subjective. We have defined it as nine building blocks. The core element of systems strengthening is that for WASH services to be delivered, all the building blocks must be working to a minimum level.

Tool 8: Expenditure analysis and tracking

When to use this tool?

- In phase 2: undertaking a situational analysis
- In phase 6: as part of the plan implementation monitoring

Objectives

To provide information on past and projected future WASH expenditure and funding gaps, and how these change over time. To be used for:

- information purposes;
- informing funding decision-making by stakeholders involved in woreda wash master plan implementation;
- evidence-based advocacy for increasing budgets and expenditure by certain stakeholders (e.g., government, development partners, wash service users) to decrease the funding gap;
- holding funders and implementers accountable for the use of funds (public and private); and,
- monitoring the implementation of the woreda-wide plan.

Method

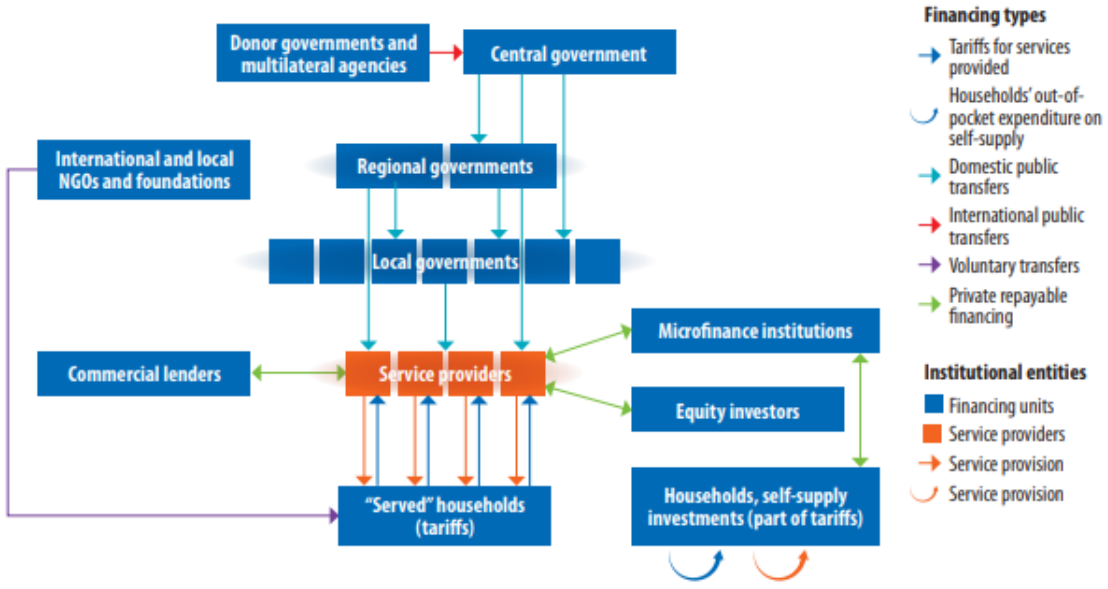
Step 1: Identify funding and financing streams

The first step is to map the relevant service providers and sources of funding, including the funding streams. This will help identify the sources of data. Make an overview of funding and financing streams for each sub-sector (water, sanitation, school WASH, HCF WASH).

Tip: Show the funding streams (the three Ts) in different colours.

For an example, see figure 15.

Figure 15: Example overview of funding streams



Source: WHO, 2017.

Step 2: Collect and process data on past, actual and future budgeted expenditure

Depending on the sources of funding and financing and funding streams, as identified under step 1, identify the most relevant sources of data. These can include:

- a review of asset data to assess past expenditure on CapEx (and CapManEx) through different sources of funding;
- a review of national, regional and/ or local government budgets and actual expenditure records, to assess past expenditure on CapEx, CapManEx, direct support and indirect support by government;
- DP/ NGO expenditure survey, to assess past expenditure on CapEx and CapManEx by DPs and NGOs;
- a short survey or interview with service providers or a review of service provider monitoring data in order to assess past expenditure on OpEx through revenue collection from users (or other sources of funding); and,
- users/ households survey, to assess past expenditure on OpEx (and contributions to CapEx) through revenue collection from users.

Step 3: Analysis

When well filled in in the Excel-based tool, some standard visualisations can be viewed in the analysis sheets.

These include the following.

- Required expenditure for the master planning period
    - Per year
    - Per year and per SDM
- Required versus actual expenditure per year
    - Per cost category
    - Per source of funding
- Required versus budgeted and projected expenditure per cost category

Additional analysis can be done by using MS Excel's filtering and/ or pivot table or graph options.

Step 4: Visualisation and report writing

The output of the medium-term expenditure tracking exercise includes a written report containing a list of the assumptions made and data underlying the assumptions and projections. The report also includes clear recommendations for different stakeholders, in particular on the development or refinement of the funding and resource mobilisation strategy going forward. This is accompanied by an infographic.

Tips and tricks

Based on

Tool 9: Water planning tool

When to use this tool?

- In phase 2: undertaking a situational analysis;
- In phase 3: visioning and target setting;
- In phase 4: developing strategic directions;
- In phase 5: developing a costed plan.

Objectives

- To support the processing and visualisation of water service levels, based on combined asset and population data.
- To support the iterative development of vision targets and strategic directions.
- To undertake detailed asset development (CapEx) and maintenance (CapManEx) planning and costing, as well as costing for operations, minor maintenance, and direct support costs.

Method

This tool consists of an Excel sheet with formulas. The Excel file can be downloaded from here: https://ircwash.sharepoint.com/:x:/s/Internat/EX7XFVziah1KpK2rZ0SsBSQBEgDAAB6DEKn1v5rZ4nquDg?e=U8y6y2.

Only the white cells in the Excel sheet need to be filled in. The values in the pink cells can be changed. All other cells are protected.

The Planning Tool contains eight worksheets with input tables which need to be filled in, and output tables and graphs.

1. Woreda Information: This is the sheet where general information and baseline information from the district is to be filled in.

Input tables:

- 1.1 General: population growth rate, inflation rate, exchange rate.
- 1.2 Water schemes: The types of schemes in the woreda, (average) number of users (as per design), and the current and potential number of people served with water services on premises.
- 1.3 Kebele details: Population and current number of functional and non-functional schemes per kebele.

Output graph:

- Current service level for the total woreda in both rural and urban areas.

Note: The tool does not differentiate between basic (within a 30 min round trip) and limited services. It considers both as 'served' with improved water services.

2. Planning Assumptions: Fill planning assumptions related to expected unit costs and number of people served on premises in this sheet.

Output table:

- 2.1 Projected annual population.

Input tables:

- 2.2 Expected number of people with water services on premises, per type of scheme i.e., the expected number of people with safely or potentially safely managed services per type of scheme per year.
- 2.3 CapEx and CapManEx estimation per scheme type. This includes:
    - CapEx unit costs per type of scheme;
    - Estimated % of CapEx for rehabilitation of non-functional schemes per scheme type;
    - Expected minimum design lifespan per scheme type.

2.a OpEx justification: The sheet can be used to calculate the estimated required expenditure on operation and minor maintenance (OpEx).

Output table:

- 2a.1 Overview of annual required OpEx per type of scheme.

Input tables:

- 2a.2 REQUIRED EXPENDITURE ON PREVENTIVE AND MINOR REPAIRS
- 2a.3 REQUIRED EXPENDITURE ON SALARIES
- 2a.4 REQUIRED EXPENDITURE ON SPARE PARTS
- 2a.5 REQUIRED EXPENDITURE ON TRANSPORT
- 2a.6 REQUIRED EXPENDITURE ON POWER
- 2a.7 REQUIRED EXPENDITURE ON OTHER OPERATION AND MINOR MAINTENANCE COSTS

2.b ExpDS justification: The sheet can be used to calculate the estimated current as well as the required/ desired expenditure on direct support costs.

Input tables:

- 2b.1 Actual (current) staffing
- 2b.2 Actual (current) time spent and expenditure on salaries related to direct support
- 2b.3 Actual (current) other non-salary expenditure on direct support
- 2b.5 Desired (required) staffing
- 2b.6 Desired (required)) time spent and expenditure on salaries related to direct support
- 2b.7 Desired (required) other non-salary expenditure on direct support

Output data:

- 2b.4 Actual (current) total expenditure on direct support
- 2b.8 Desired (required) total expenditure on direct support

3. Option Selection: This is the main sheet where the planning is to be done.

Input tables:

- 3.1 Setting and achieving the vision
- 3.2 Rehabilitation planning
- 3.3 New construction planning

Output table:

- 3.4 Summary of planned additional new schemes per scheme type per year

4a. Coverage change: This sheet presents the level of service for the woreda, rural areas, urban areas, and per kebele based on the planning.

Output graphs:

- Service level changes over the master planning period for the whole woreda (rural areas, urban areas, and kebeles).

4b. Cost estimate: This sheet presents an overview of the expected changes in service levels and required costs in line with the planning rehabilitation of existing non-functional and the construction of new water schemes.

Output graph:

- Combined changes in service levels and required costs (CapEx, CapManEx, OpEx and ExpDS), based on planned rehabilitation of existing non-functional and the construction of new schemes.

Output tables:

- 4.1 Overview of the number of people served and service levels
- 4.2 Overview of the required expenditure

5. Financing: In this sheet the amount of money spent or to be spent from the three T-s as main sources of finance (taxes, transfers and tariffs) is estimated. It also shows the finance gap.

Input tables:

- 6.1 Assumed finance sources
- 6.3 Past and current level of expenditure and financing

Output table:

- 6.2 Overview of required finance per financing source based on assumed sources of finance

Output graph:

- Costs and finance (gap)

Tips and tricks

- To unprotect a sheet: Go to Review -> Unprotect sheet -> use 12345
- The tool can support an iterative strategic planning process. Based on determined vision targets and strategic directions, the tool can be used to estimate the related costs.

Tool 10: Sanitation planning tool

When to use this tool?

- In phase 2: Undertaking a situational analysis
- In phase 3: Visioning and target setting
- In phase 4: Developing strategic directions
- In phase 5: Developing a costed plan

Objectives

- To support the processing and visualisation of service levels based on combined asset and population data.
- To support the iterative development of vision targets and strategic directions.
- To undertake detailed asset development (CapEx) and maintenance (CapManEx) planning and costing, as well as costing for operation, minor maintenance, and direct support costs.

Method

This tool consists of an Excel sheet with formulas. The Excel file can be downloaded here: masterplanning S&H.xlsx.

Only the white cells in the Excel sheets need to be filled in. Values in the pink cells can be changed. All other cells are protected.

The Planning Tool includes five worksheets with input tables which need to be filled in, and output tables and graphs.

1. Woreda Information: This is the sheet where general information and baseline information from the district is to be filled in.
Input tables
- 1.1 General: population growth rate, inflation rate, exchange rate.
- 1.2 Faecal sludge management facility: choose the option which best reflects the situation regarding sludge management facilities for the woreda (note that a sludge management facility may be located outside the woreda itself).
- 1.3 Sanitation facilities: in case of shared sanitation facilities, please indicate the number of households that usually share one facility.
- 1.4 Rural sanitation per kebele: population, number of villages, number of triggered and ODF villages, and number of sanitation facilities per kebele.

Output graph: Current service level for the total woreda, the rural areas, and the urban areas.

2. Planning Assumptions: This is the sheet where planning assumptions related to expected unit costs and number of people served on premises can be filled in.
Output table:
- 2.1 Projected annual population.

Input tables:
- 2.2 SANITATION AND HYGIENE APPROACHES COSTS: Fill in the required costs per year in the woreda for CLTSH activities (per village), sanitation marketing activities (for the entire woreda), and Information Education and Communication (IEC) and Behaviour Change Communication (BCC) activities (for the entire woreda).
- 2.3 CapEx and CapManEx estimation per scheme type. These include:
    - CapEx unit costs per type of facility
    - Costs of rehabilitation

  - Expected minimum design lifespan per scheme type
  - Expected frequency and costs of desludging, where relevant
  - Estimated OpEx per type of facility

3. Planning: This is the main sheet where the planning is to be done.
Input tables:
- 3.1 Setting and achieving the vision
- 3.2 Planning for improving sludge management (if relevant)
- 3.3 Planning of CLTSH triggering activities
- 3.4 Urban sanitation per kebele
- 3.5 RURAL - Upgrading of unimproved household latrines
- 3.6 RURAL - Planning construction of sanitation facilities
- 3.7 URBAN - Upgrading of unimproved household latrines
- 3.8 URBAN - Planning construction of sanitation facilities

4. Cost Overview: This sheet presents an overview of the expected changes in service levels and required costs in line with the planning.
Output graph:
- Combined changes in service levels and required costs (CapEx, CapManEx, OpEx and ExpDS), based on planning

Output tables:
- 4.1 WOREDA SANITATION AND HYGIENE PLAN COST ESTIMATION

5. Financing: In this sheet we estimate the amount of money spent or to be spent from the three Ts (taxes, transfers and tariffs) as main sources of finance. It also gives insights into the finance gap.
Input tables:
- 5.1 Assumed finance sources

Output table:
- 6.2 Overview of required finance per financing source based on assumed sources of finance

Output graph:
- Costs and finance (gap)

Tips and tricks

- To unprotect a sheet: Go to Review -> Unprotect sheet -> use 12345
- The tool can support an iterative strategic planning process. Based on determined vision targets and strategic directions, the tool can be used to estimate the related costs.

Tool 11: School WASH planning tool

When to use this tool?

- In phase 2: Undertaking a situational analysis
- In phase 3: Visioning and target setting
- In phase 4: Developing strategic directions
- In phase 5: Developing a costed plan

Objectives

- To support processing and visualisation of school WASH service levels.
- To support the iterative development of vision targets and strategic directions.
- To undertake detailed asset development (CapEx) and maintenance (CapManEx) planning and costing, as well as costing for operation and minor maintenance, and direct support costs.

Method

This tool consists of an Excel sheet with formulas. The Excel file can be downloaded here: planning tool School WASH.xlsx.

Only the white cells in the Excel sheets need to be filled in. Values in the pink cells can be changed. All other cells are protected.

The Planning Tool includes five work sheets with input tables which need to be filled in, and output tables and graphs.

1. Woreda Information: This is the sheet where general information and baseline information from the district is to be filled in per school.

Input tables

- General: inflation rate, exchange rate
- Schools: Fill in the water, sanitation and hygiene assets that are available in each school

Output table

- Woreda level summary, with the proportion of schools with different levels of WASH services

Output graph

- Current service level for the whole woreda

2. Planning Assumptions: Indicate planning assumptions related to expected unit costs in this sheet.

Input table:

- 2.1 Number of schools
- 2.2 CapEx and CapManEx unit cost estimates per school

2b. Direct support costs (ExpDS): This is the sheet where current and desired direct support costs are estimated.

Input tables:

- 2b.1 Actual (current) staffing
- 2b.2 Actual (current) time spent and expenditure on salaries related to direct support
- 2b.3 Actual (current) other non-salary expenditure on direct support
- 2b.5 Desired (required) staffing
- 2b.6 Desired (required) time spent and expenditure on salaries related to direct support
- 2b.7Desired (required) other non-salary expenditure on direct support

Output tables:

- 2b.4 Actual (current) total expenditure on direct support
- 2b.8 Desired (required) total expenditure on direct support

3. Option selection: This is the main sheet where the planning is to be done.
Input tables:

- 3.1 Setting and achieving the vision
- 3.2a Water for existing schools
- 3.2b Water for new schools
- 3.3a Sanitation for existing schools
- 3.3b Sanitation for new schools
- 3.4a Handwashing facilities for existing schools
- 3.4b Handwashing facilities for new schools

Output tables:

- 3.5a Water: Total number to be constructed
- 3.5b Sanitation: Total number to be constructed
- 3.5c Handwashing facilities: Total number to be constructed
- 3.5d TOTAL NUMBER OF FACILITIES

4. Cost Estimation: This sheet presents an overview of the expected changes in service levels and required costs in line with the planning

Output graph:

- Combined changes in service levels and required costs (CapEx, CapManEx, OpEx and ExpDS), based on planning

Output tables:

- 4.1 Achieving 100% Coverage
- 4.2 Costs of Achieving 100% Coverage of Basic SDG Levels

Tips and tricks

- To unprotect a sheet: Go to Review -> Unprotect sheet -> use 12345
- The tool can support an iterative strategic planning process. Based on determined vision targets and strategic directions, the tool can be used to estimate the related costs.

Tool 12: HCF planning tool

When to use this tool?

- In phase 2: Undertaking a situational analysis
- In phase 3: Visioning and target setting
- In phase 4: Developing strategic directions
- In phase 5: Developing a costed plan

Objectives

- To support processing and visualisation of healthcare facility WASH service levels.
- To support the iterative development of vision targets and strategic directions.
- To undertake detailed asset development (CapEx) and maintenance (CapManEx) planning and costing, as well as costing for operation and minor maintenance, and direct support costs.

Method

Only the white cells in this workbook need to be filled in. Values in the pink cells can be changed. All other cells are protected. To unprotect a sheet, use 12345.
The Planning Tool includes five worksheets:

1. Woreda Information: This is the sheet where general information and baseline information from the district is to be filled in for each healthcare facility.
Input tables:
- General: inflation rate, exchange rate
- Healthcare facilities: the water, sanitation and hygiene assets that are available in each healthcare facility

Output table:
- 1.2 'Woreda level summary, with proportion of healthcare facilities with different levels of WASH services'

Output graph: Current service level for the whole woreda

2. Planning Assumptions: Fill the planning assumptions related to expected unit costs in this sheet
Input table:
- 2.1 Number of HCFs
- 2.2 CapEx and CapManEx unit cost estimates per HCF

2b Direct support costs (ExpDS): This is the sheet where current and desired direct support costs are estimated
Input tables:
- 2b.1 Actual (current) staffing
- 2b.2 Actual (current) time spent and expenditure on salaries related to direct support
- 2b.3 Actual (current) other non-salary expenditure on direct support
- 2b.5 Desired (required) staffing
- 2b.6 Desired (required) time spent and expenditure on salaries related to direct support
- 2b.7 Desired (required) other non-salary expenditure on direct support

Output tables:
- 2b.4 Actual (current) total expenditure on direct support
- 2b.8 Desired (required) total expenditure on direct support

3. Option selection: This is the main sheet where the planning is to be done.
Input tables:

- 3.1 Setting and achieving the vision
- 3.2a Water for existing healthcare facilities
- 3.2b Water for new healthcare facilities
- 3.3a Sanitation for existing healthcare facilities
- 3.3b Sanitation for new healthcare facilities
- 3.4a Handwashing facilities for existing healthcare facilities
- 3.4b Handwashing facilities for new healthcare facilities
- 3.5a Waste management facilities for existing healthcare facilities
- 3.5b Waste management facilities for new healthcare facilities

Output tables:

- 3.6a Water: Total number to be constructed
- 3.6b Sanitation: Total number to be constructed
- 3.6c Handwashing facilities: Total number to be constructed
- 3.6d Waste management: Total number to be constructed/ purchased
- 3.6e TOTAL NUMBER OF FACILITIES

4. Cost Estimation: This sheet shows an overview of the expected changes in service levels and required costs in line with the planning
Output graph:

- Combined changes in service levels and required costs (CapEx, CapManEx, OpEx and ExpDS), based on planning

Output tables:

- 4.1 Achieving 100% Coverage
- 4.2 Costs of Achieving 100% Coverage of Basic SDG Levels

Tips and tricks

- To unprotect a sheet: Go to Review -> Unprotect sheet -> use 12345
- The tool can support an iterative strategic planning process. Based on determined vision targets and strategic directions, the tool can be used to estimate the related costs.

Guidelines for strengthening woreda-wide WASH systems in Ethiopia

Collaborator organisations:

- WaterAid Ethiopia
- IRC WASH
- Welthungerhilfe (WHH)
- Catholic Relief Services (CRS)
- CARE Ethiopia
- SPLASH International Ethiopia
- UNICEF
- Millennium Water Alliance (MWA)
- USAID

  Amref Health Africa in Ethiopia
- Population Services International (PSI) Ethiopia

Contributers:

- Zerihun Dejene (WaterAid)
- Gezahegn Lemecha – IRC WASH
- Muluken Emagnu - Welthungerhilfe
- Mussie Tezazu – MWA
- Technical support - Beles engineering PLC
- Yaekob Metena
- Tsegureda Abraham
- Hannah Crichton- Smith
- Abireham Misganaw
- Marieke adank

WaterAid Ethiopia
Cameroon Street
United Insurance Building, 3rd Floor
P.O. Box: 4812
Addis Ababa, Ethiopia

The content of this document may not entirely be regarded as reflecting the position of all the above collaborators in Ethiopia.

AGENDA FOR CHANGE

WaterAid is an international not-for-profit, determined to make clean water, decent toilets and good hygiene normal for everyone, everywhere within a generation. Only by tackling these three essentials in ways that last can people change their lives for good.

WaterAid