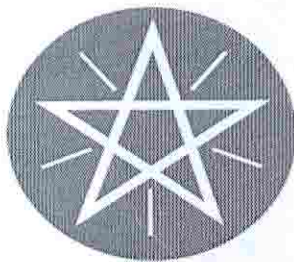


# FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA



## THE WASH IMPLEMENTATION FRAMEWORK (WIF)



March, 2013



## WIF PLEDGE AND SIGNATURE PAGE

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

In particular, we will create, empower and equip the necessary management and coordination structures at all levels. We will put in place the planning, financial, procurement, implementation, and monitoring mechanisms outlined in the Framework by 2005 EFY and start the execution of the WASH GTP/UAP by 2006 EFY as per the Framework. Thus, we pledge to do our utmost effort individually and jointly to achieve the WaSH GTP/UAP targets and meet the One WaSH Program target, i.e. One WaSH Plan, one WaSH Budget and One WaSH Report.

### Signatures:

For the Ministry of Water and Energy

**Kebede Gerba**  
State Minister

For the Ministry of Health

**KEBEDE WORKU (MD)**  
STATE MINISTER

For the Ministry of Education

**Fuad Ibrahim Omer**  
State Minister

For the Ministry of Finance and Economic Development

**ALEMAYEHU GUJO**  
State Minister

### **Observers**

For the DAG Water Technical Working Group

For the CSOs of the WASH Sector

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

Addis Ababa



## WIF PREFACE

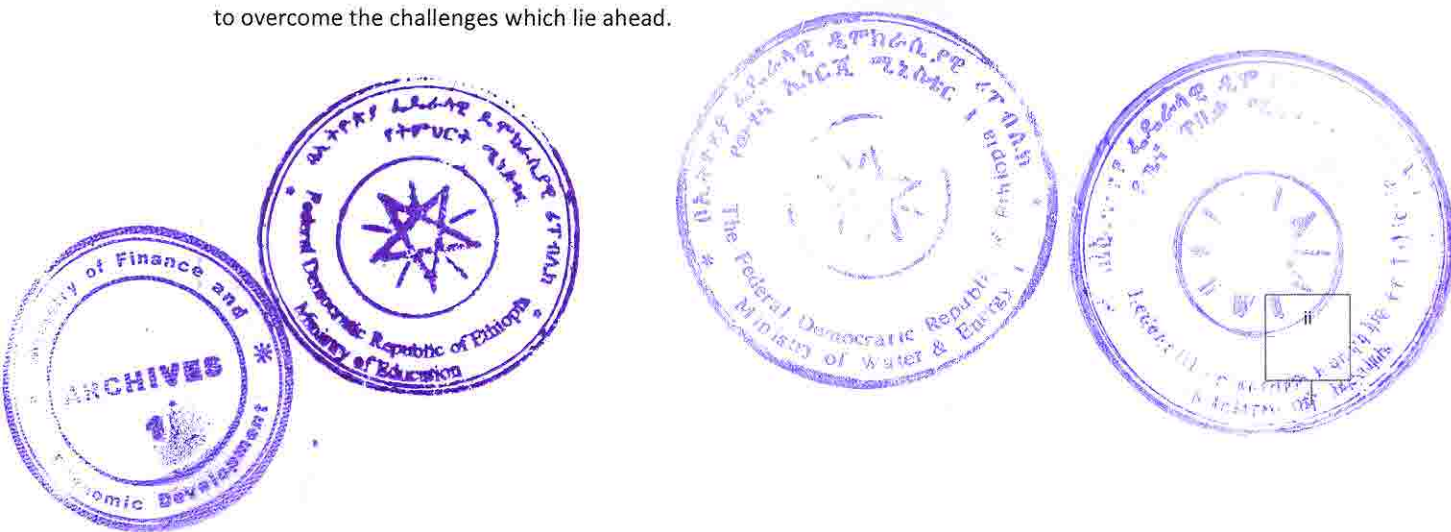
This WaSH Implementation Framework (WIF), prepared to achieve the targets of the Growth & Transformation Plan, represents the collective efforts of the Ethiopian WaSH sector and will act as the guiding document for all WaSH implementation. It has long been clear to all that the expansion of WaSH services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

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

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

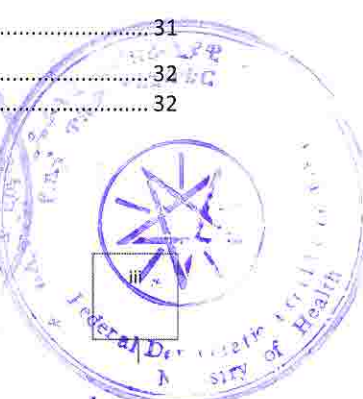
The lead now passed to the Federal Government of Ethiopia, which took full ownership and responsibility for the document. At the federal level a team of WaSH experts was assembled and tasked with closely analyzing the document to ensure it is fit for purpose. At the same time to garner feedback from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

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



## TABLE OF CONTENTS

1	Introduction .....	1
2	National WaSH Program Overview .....	2
2.1	Integration .....	2
2.3	Alignment .....	5
2.4	Partnership .....	5
3	Institutional arrangements .....	6
3.1	WaSH Structures .....	6
3.2	Duties and Responsibilities of WaSH Structures .....	8
4	WaSH implementation modality .....	11
4.1	Urban WaSH .....	12
4.2	Rural WaSH .....	14
4.3	Pastoralist WaSH .....	15
5	Financial Management & Procurement .....	17
5.1	Introduction .....	17
5.2	Budgeting .....	17
5.3	Fund Flow .....	18
5.4	Fund Allocation .....	19
5.5	Disbursement & Replenishment .....	20
5.6	Budget Control .....	21
5.7	Responsibility for Financial Management .....	22
5.8	Procurement .....	22
6	WaSH Planning .....	24
6.1	Planning Framework .....	24
6.2	Strategic Plans .....	25
6.3	Annual Plans .....	25
7	Capacity Building .....	27
7.1	Aims .....	27
7.2	Target Groups .....	27
7.3	Capacity Builders .....	28
7.4	Minimum Capacity Building Requirements .....	28
7.5	Capacity Building Resources .....	29
8	Monitoring and Evaluation .....	30
8.1	Data Sources .....	30
8.2	M&E Actors .....	30
8.3	Reporting Frequencies .....	31
8.4	WaSH Progress Review Meetings .....	31
9	the Strategy for National WaSH program implementation .....	32
9.1	Core Process .....	32

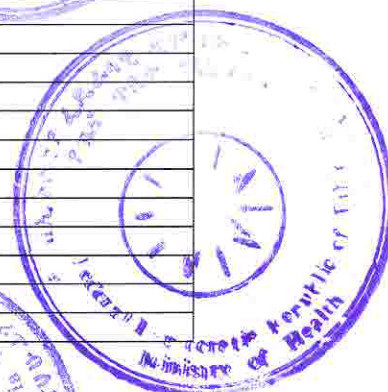
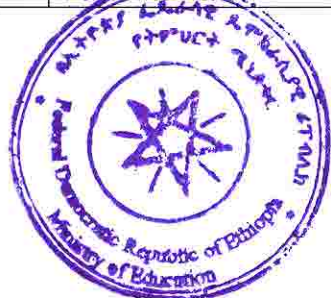




# National WaSH Implementation Framework

## ACRONYMS

AfDB	African Development Bank
AMCOW	African Ministers Council of Water
BoFED	Bureau of Finance & Economic Development
CDF	Community Development Fund
CFT	Community Facilitation Team
CHP	Community Health Promoter
CLTSH	Community Led Total Sanitation & Hygiene
CMP	Community Managed Project
COWASH	Community-Led Accelerated Water, Sanitation and Hygiene Project
CSO	Civil Society Organization
CWA	Consolidated WaSH Account
DA	Development Agent
DFID	Department for International Development
FGE	Federal Government of Ethiopia
GTP	Growth & Transformation Plan
HEW	Health Extension Worker
H&S	Hygiene & Sanitation
JICA	Japan International Cooperation Agency
JMP	Joint Monitoring Program
KDC	Kebele Development Committee
KWT	Kebele WaSH Team
LSP	Local Service Provider
M&E	Monitoring & Evaluation
MoE	Ministry of Education
MFI	Micro Finance Institution
MoFED	Ministry of Finance & Economic Development
MoH	Ministry of Health
MoU	Memorandum of Understanding
MoWE	Ministry of Water & Energy
MSF	Multi-Stakeholder Forum
MST	Mobile Support Team
NGO	Non-governmental Organization
NWCO	National WaSH Coordination Office
NWSC	National WaSH Steering Committee
NWTT	National WaSH Technical Team
O&M	Operation & Maintenance
PCDP	Pastoralist Community Development Project
PEHSP	Pastoralist Extension Health Service Program
R-WaSH	Rural WaSH Program
RWCO	Regional WaSH Coordination Office
RWMC	Regional WaSH Management Committee
T/CWB	Town/City Water Board
T/CWSC	Town/City WaSH Steering Committee
T/CWTT	Town/City WaSH Technical Team
TSG	Town Support Group
UAP	Universal Access Plan
U-WaSH	Urban WaSH Program
VHEW	Veterinary Health Extension Worker
WaSH	Water, Sanitation & Hygiene
WASHCO	WaSH Committee (community level)
WASHVols	WaSH Volunteers
WDC	Woreda Development Committee
WCBU	WaSH Capacity Building Unit
WMP	Woreda Managed Project
WPMU	WaSH Program Management Unit
WSA	Woreda Support Agent
WSSU	Water Supply & Sewerage Utility
WWT	Woreda WaSH Team

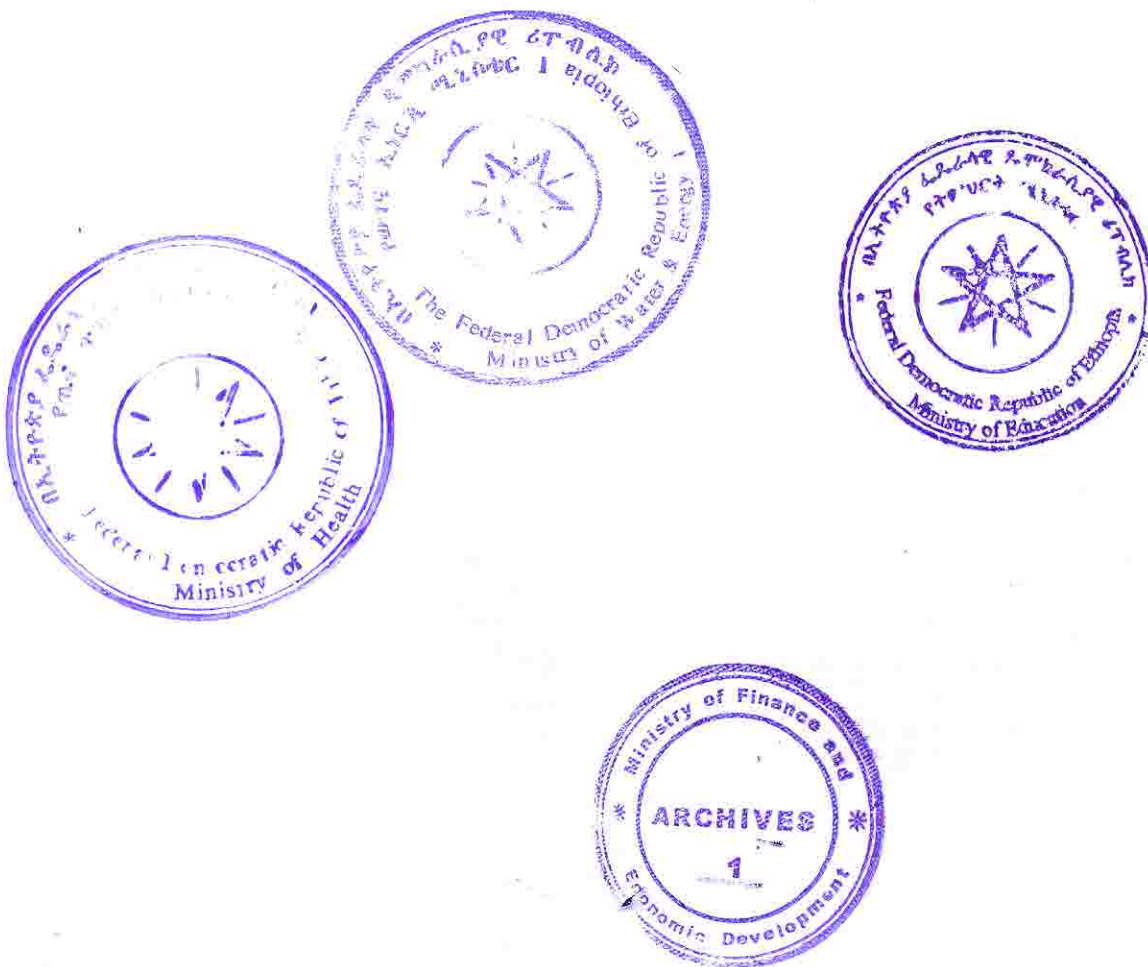


## 1 INTRODUCTION

This document summarizes the WaSH Implementation Framework (WIF), which provides the framework and guidelines for implementing the National WaSH Program based on Growth Transformation Plan (GTP) and WaSH Universal Access Plan (UAP) – undertaken by rural and urban communities throughout Ethiopia and supported and facilitated by governmental agencies, civil society organizations, the private sector and Development Partners.

The WIF aims to create an integrated **One WaSH Program**, led by the government of Ethiopia, to ensure that the targets, set out in the Growth and Transformation Plan (GTP) (98.5% water supply and 84% improved sanitation access coverage by the end of year 2015), are achieved. In such a program, the programming and financial input of all WaSH stakeholders will be harmonized, and ultimately channeled through a single Consolidated WaSH account (CWA), in effect ending separate and disparate Development Partners financed projects.

This document is intended to provide an overview of the main principles and idea of the WaSH Implementation Framework.



## 2 NATIONAL WaSH PROGRAM OVERVIEW

The National WaSH Program is based on the Memorandum of Understanding (MoU) signed by the Federal Ministries of Water & Energy, Health, Education and Finance & Economic Development. Four of the significant features of the WaSH program as per this Framework are:

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

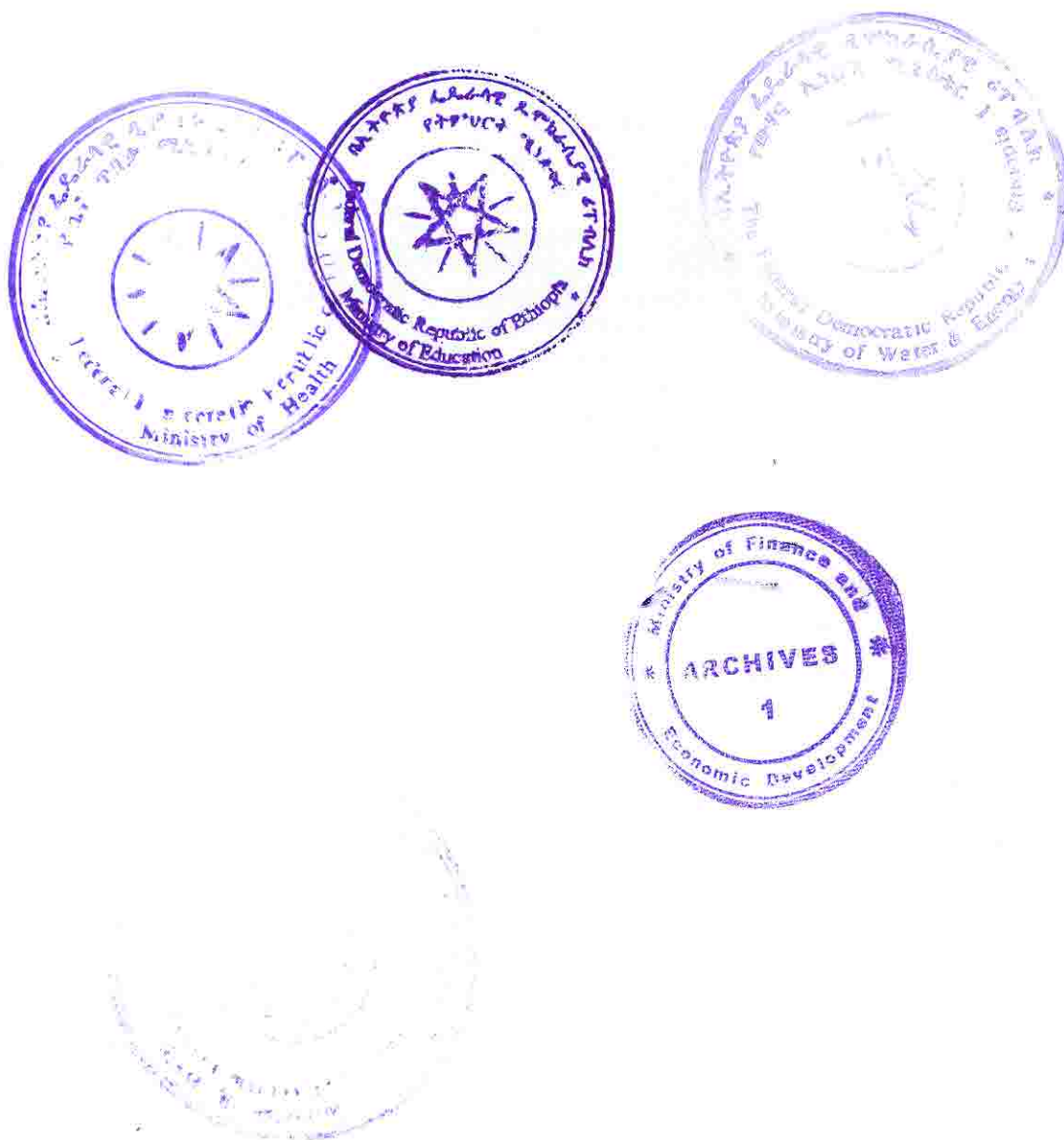
### 2.1 INTEGRATION

The WaSH program encompasses water supply, sanitation & hygiene and WaSH in schools and health facilities (Institutional WaSH) in a single program, aimed at integrating safe water use with good sanitation and hygiene practices at the community level.

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



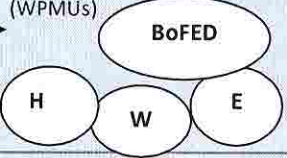

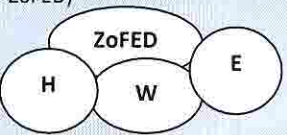

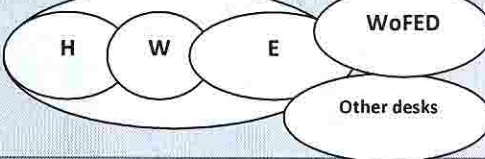
While there are certain mandatory structures, regions are free to design their own structures as long as these are capable of integrated planning, implementation, monitoring and reporting. Mandatory structures are:

- The **federal WaSH structures** have been mandated by the MoU.
- At the woreda level the **Woreda WaSH Team (WWT)** is a mandated structure.

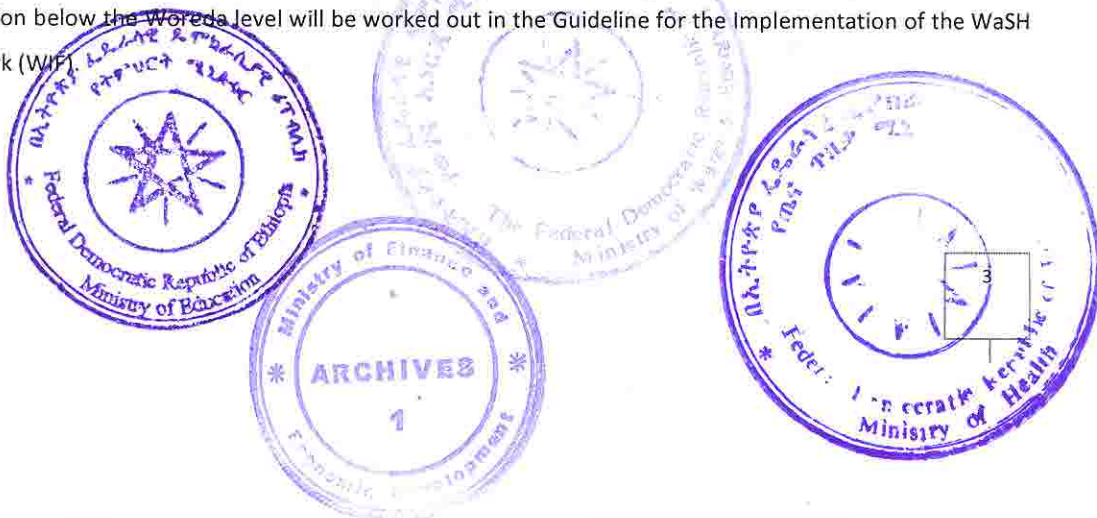




## The structural arrangements of the National WaSH Program

Level	Governance & Guidance	Oversight & Management	Program Implementation	Program Coordination
Federal	National WaSH Steering Committee	National WaSH Technical Team	Federal Sectors' WaSH Program Management Units (WPMUs) 	National WaSH Coordination Office 
Regional	Regional WaSH Steering Committee	Regional WaSH Technical Team	Regional Sectors' WaSH Program Management Units (WPMUs) 	Regional WaSH Coordination Office 
Special Zones (or others Zones where applicable)	Zonal WaSH Management Team		Zonal WaSH Program Management Units – (Water, Health, Education, and ZoFED) 	Zonal WaSH Coordination Office 
Woreda	Woreda WaSH Steering Committee (Woreda Cabinet)		Woreda WaSH Team 	
Town/City	Town/City WaSH Steering Committee (Town Cabinet)		Town/City WaSH Technical Team Municipality Health Desk Education Desk Town Water Board Town Water Utility	

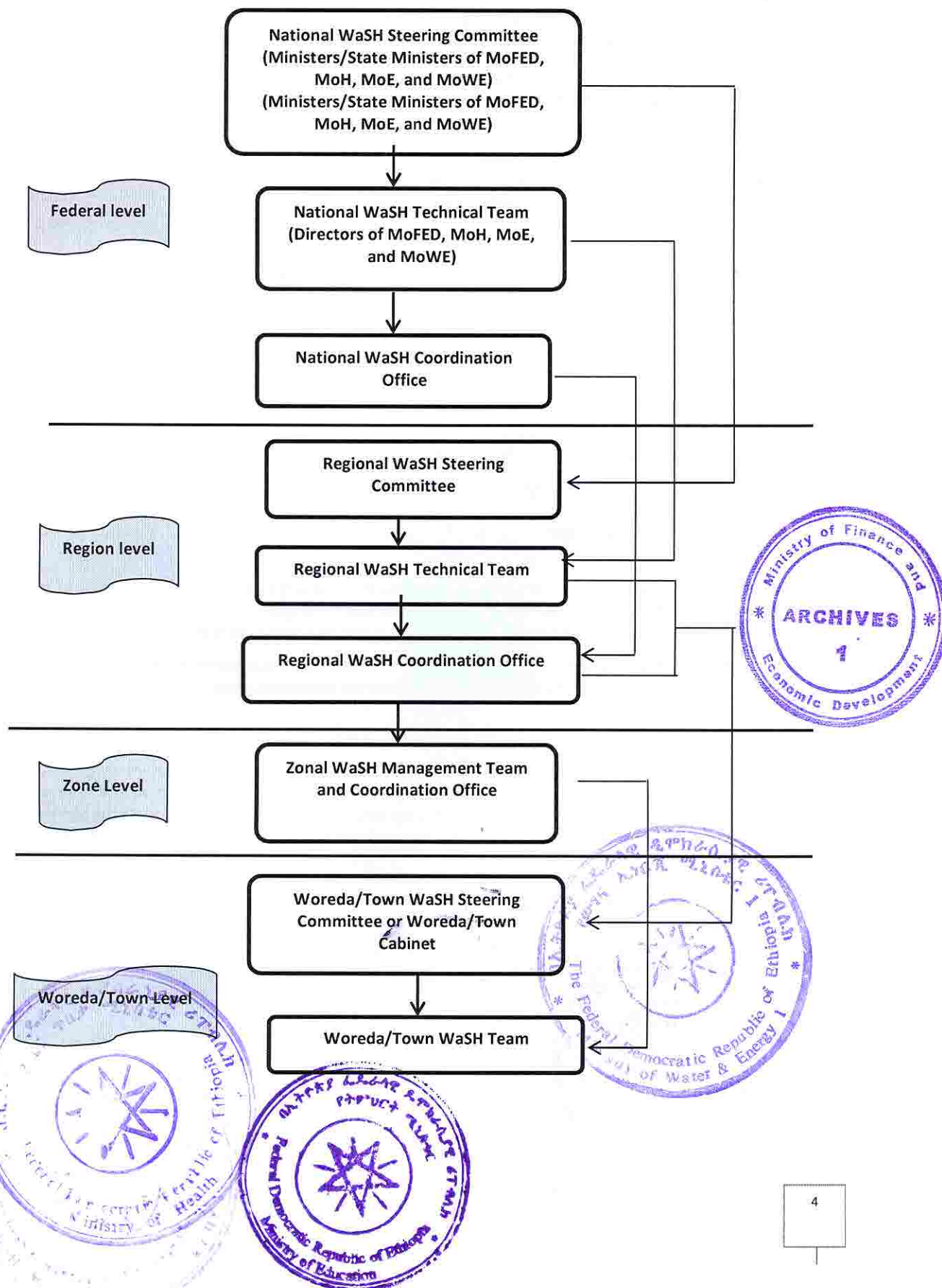
**Note:** The program finance is administered as per the financial management rules and regulation of the country at each level from Federal to the Woreda and town level while the physical implementation of the program is coordinated by the same program structure. Detail of the structure for physical implementation coordination below the Woreda level will be worked out in the Guideline for the Implementation of the WaSH Framework (WIF).





The program coordination hierarchy is schematically shown below:

### National Program Management Organizational Arrangement



## 2.2 HARMONIZATION

One of the major aims is to move away from discrete WaSH projects, with the attendant disadvantages in terms of planning, skill and resource allocation, towards a fully programmatic approach. Ideally, this would lead to: One WaSH Plan, One WaSH Budget, One WaSH Report; implying to— One WaSH Program.

Movement toward this idea will be incremental. It will provide many challenges and lessons to be learned. Nevertheless, the transition has begun and, in partnership government and Development Partners have agreed to work towards:

- one planning system - with linked strategic and annual WaSH plans at each level
- one budgeting system - reflecting all WaSH - related investments and expenditures
- one financial management system - with consolidated accounting and reports
- one procurement system – with common standards and procedures aligned to the government system
- one information system – with essential data updated and accessible at each level
- one monitoring & evaluation system – with common indicators and consolidated analysis

Finally, one **consolidated WaSH account** is envisaged into which all Development Partners contributions are deposited and from which WaSH activities and investments are supported.

## 2.3 ALIGNMENT

Major Development Partners and the government have agreed that the WaSH program will be using the country system and the program will be aligned with:

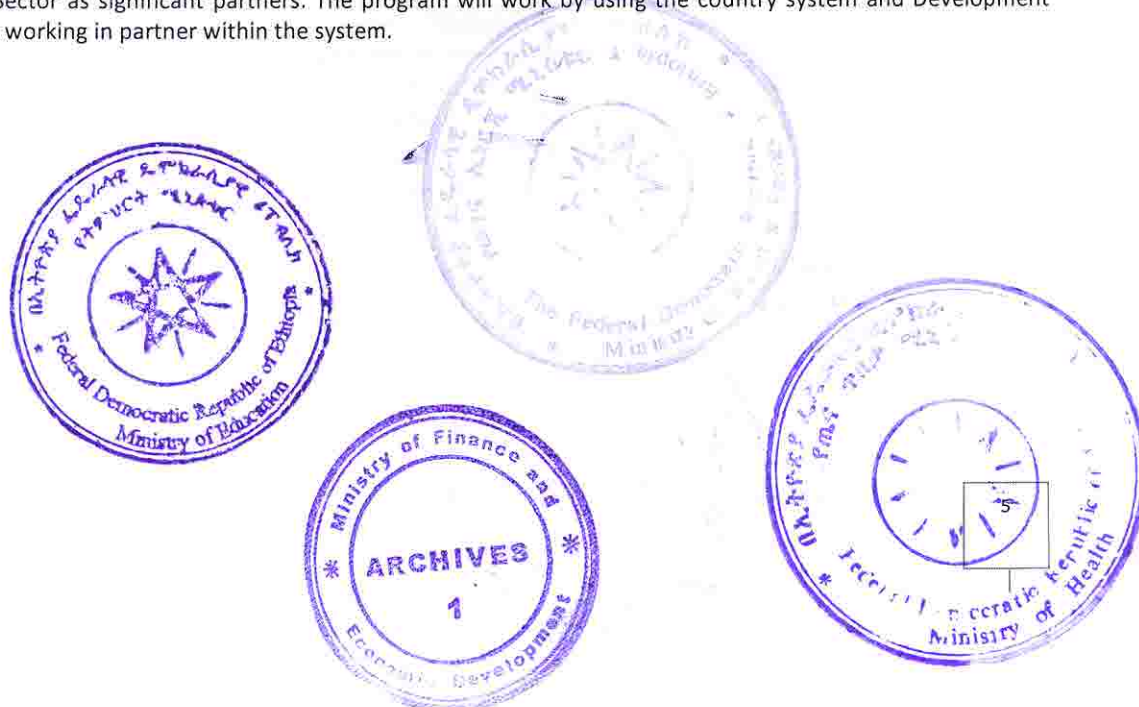
- the policies, priorities and strategies of the pertinent Ministries as outlined in their respective Sector Development Plans
- the administrative systems, standards and procedures of the Federal and Regional Governments of Ethiopia

The purpose is not simply conformity or efficiency. It is to ensure that WaSH is recognized and affirmed as an integral, ongoing component of the Government's broader developmental program. WaSH responsibilities are incorporated in the established process streams and mandates of the four sector agencies' staff at all levels.

The secondary goal is internal alignment of structures and procedures within government, both vertically (i.e. from federal to Kebele level) and horizontally (i.e. across the different subsectors which comprise WaSH).

## 2.4 PARTNERSHIP

The fourth feature of WaSH as per this Framework is partnership. Partnership is not a new feature – but it is an evolving feature in terms of scope and level of commitment. The scope has been enlarged to include the four Ministries and the commitment has been increased to engage with Civil Society Organizations (CSOs) and the Private Sector as significant partners. The program will work by using the country system and Development Partners working in partner within the system.





### 3 INSTITUTIONAL ARRANGEMENTS

#### 3.1 WaSH STRUCTURES

##### 3.1.1 FEDERAL LEVEL

The institutional arrangements for the WaSH Program at the Federal level derive from the 2012 **Memorandum of Understanding** signed by:

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

In the Memorandum of Understanding the three sector Ministries (MoH, MoE, and MoWE) and MoFED have committed themselves to:

- Assign an appropriate representative to the National WaSH Technical Team (NWTT)
- Establish a WaSH Program Management Unit (WPMU) and designate a WaSH focal person to liaise between the WPMU and the National Coordination Office (NWCO)
- Evaluate the WaSH performance of their respective Ministry in their regular sector performance evaluation and provide a report to the NWTT and the NWSC
- Closely monitor, evaluate and support the Regions in WaSH planning, implementation and reporting
- Incorporate WaSH in the regular performance evaluation of individuals assigned and designated
- Prepare and submit to the NWCO an annual WaSH Plan of Actions
- Review quarterly, semi-annual and annual reports of their respective Ministries and regional line Bureaus;
- Advise and assist respective Bureaus in the establishment of appropriate WaSH structures at the Regional and Woreda level

The MoU also defines major areas of cooperation between the signatory parties. These cover the main aspects of joint program implementation, such as joint planning, resource mobilization, creation of management and coordination structures, quality control and monitoring. Moreover, the WaSH specific role and responsibilities of each sector Ministries and MoFED is also defined in the MoU.

The Federal level WaSH structures are:

- **The National WaSH Steering Committee (NWSC)**- Chair: H.E Minister of Water & Energy; Members: State Ministers of: Finance & Eco. Dev., Water & Energy, Health, Education. On invitation basis: Development Assistance Group – Water, Civil Society Organizations and others
- **The National WaSH Technical Team (NWTT)** - Chair: Representative from MoWE; Members: Directors assigned by their respective Ministries: Finance & Eco. Dev., Water & Energy, Health, Education, Women, Youth and Children Affairs, Women's Affairs Directorate of the MoWE, Development Assistance Group-Water representative, Civil Society Organizations representative, Coordinator of NWCO (Secretary)
- **National Sectors' WaSH Program Management Units (WPMUs)** - WaSH Program Management Units will be established within an appropriate Directorate in each of the 3 sector Ministries (Ministry of Water and Energy (MoWE), Ministry of Health (MoH) and Ministry of Education (MoE). Contracted professional staff – including the Federal Capacity Building Support Unit which may provide technical assistance
- **The National WaSH Coordination Office (NWCO)**- Coordinator, Focal persons assigned from the four Ministries: MoFED, MoWE, MoH, MoE, Contracted professional staff – including the Federal Capacity Building Support Unit

### 3.1.2 REGION LEVEL

The Federal MoU explicitly anticipates that in each Region the pertinent regional bureaus will negotiate and sign their own **Memorandum of Understanding** replica to the Federal MoU to serve as the basis for collaboration in implementing the WaSH program. The NWCO is mandated to assist the Regions in this process.

In line with the Federal WaSH program management structure discussed above in sub-section 3.1.1, regions are also anticipated to establish regional level WaSH structure:

- **The Regional WaSH Steering Committee (RWSC)** - Chair: Water Bureau Heads; Members: Bureau Heads of Health, Education and Finance Economic Development On invitation basis: WaSH Development Assistance Group in the region and Civil Society Organizations in WaSH,
- **The Regional WaSH Technical Team (RWTT)** - Chair: Representative from Water Bureau; Members: Directors/process owners assigned by their respective Bureaus (Finance and Economic Development, Water, Health and Education, Women, Youth and Children Affairs) and representative of WaSH Development Assistance Group in the Region and WaSH Civil Society Organizations, Coordinator of RWCO (Secretary),
- **Regional Sectors' WaSH Program Management Units (WPMUs)** - WaSH Program Management Units will be established within an appropriate Department/process owner in each of the 3 sector Bureaus (Water, Health and Education) and Finance and Economic Development Bureau (BoFED), Contracted professional staff,
- **The Regional WaSH Coordination Office (RWCO)** - Coordinator, Focal persons assigned from the four Bureaus (Water, Health Education and BoFED), Contracted professional staff.

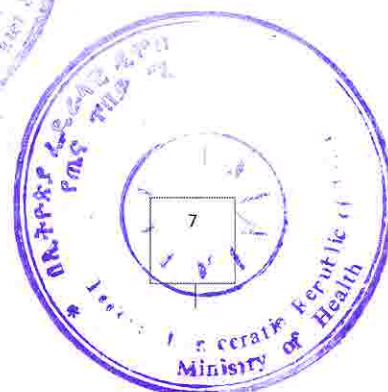
### 3.1.3 ZONAL LEVEL

At Zone level where there are water, health, education and finance and economic development offices, Zonal WaSH Management Team will be established. Office Heads of these sectors will be members of the team and they will have an important intermediary role between the regions and towns and woredas for purposes of planning, monitoring, reporting, disseminating information and providing technical assistance. The WaSH specific role and responsibility of each sector offices and ZoFED will be defined in the regional MoU.

### 3.1.4 WOREDA

The national WaSH strategy posits a **Woreda WaSH Team (WWT)** in each and every woreda. The role of the WWT is to prepare and manage a Woreda WaSH Program integrating and coordinating the inputs of the Sector Offices and those of participating NGOs. The WWT has a coordinating function. The WWT is accountable to the Woreda Council, through the Woreda Cabinet, for the achievement of WaSH targeted outputs.

The WWT is established by the Woreda Administration. Membership includes: The Woreda Administrator or his/her designate (Chair). The designated chairman is required to be either the Woreda water office/desk head or the Woreda health office/desk head as the water or health sectors are the key role players of the program. The Heads of: WoFED, Water Desk, Health Desk, Education Desk, Agriculture Desk, Women's Affairs, NGO Representative(s) of the Woreda will be members. WoFED appoints an accountant/clerk to attend fulltime to WaSH's financial records and requirements.





## 3.2 DUTIES AND RESPONSIBILITIES OF WaSH STRUCTURES

### 3.2.1 DUTIES AND RESPONSIBILITIES OF NATIONAL WaSH STRUCTURES

#### NATIONAL WaSH STEERING COMMITTEE:

- Reviews and endorses the National WaSH Strategic Plan and consolidated Annual WaSH Plans
- Oversees the proper functioning of the M&E of the WaSH Program
- Ensures the establishment and functioning of WaSH structures at all levels
- Ensures that the National WaSH Implementation Framework is updated every three years
- Ensures the annual Multi-Stakeholder Forum is conducted and follows up on the implementation of undertakings

#### NATIONAL WaSH TECHNICAL TEAM:

- Facilitates inter-ministerial communication and cooperation
- Reviews and submits Strategic Plan and Annual Plans to the NWSC for approval
- Implements strategic decisions and direction of the NWSC
- Promotes and advocates Regions to have their own WaSH Memorandum of Understanding based on the principles laid in the federal MoU
- Regularly monitors program implementation, provides guidance and reports progress and results to NWSC
- Designs programs for experience-sharing within and outside the country
- Designs and manages the MSF and other review meetings and follows up on the implementation of undertakings
- Organizes JTR and MSF in collaboration with development partners

#### WaSH PROGRAM MANAGEMENT UNITS

There will be three WPMUs one in each sector ministry with the following responsibility;

- Monitors implementation of WaSH programs and projects
- Facilitates the implementation of WaSH projects
- Review and ascertain that procurement plans are within the annual WaSH plan
- Provide program management support to WaSH structures and sector implementers at all level
- Ensures that program strategies, activities and results are monitored, evaluated and reported within the WaSH framework and systems
- Assists the Regions identify their program gaps and management deficits and provides them with the technical assistance and/or capacity development they require
- Builds linkages with and among regions – sharing information, progress reports and best practices
- Demonstrates and fosters the integration and harmonization of the WaSH Program

#### NATIONAL WaSH COORDINATION OFFICE

- Assists the regions in preparing and implementing WaSH MoUs appropriate to their respective contexts
- Supports the establishment of Regional WaSH Coordination Offices in all Regional States and ensures their proper functioning
- Provides continuous support to the Regional WaSH Sector Bureaus and Regional WaSH Coordination Offices in planning and implementing the WaSH Program
- Prepares and recommends to NWTT consolidated Strategic and Annual Work Plans

- Designs and implements a National Capacity Building Program – including preparation of manuals, guidelines and generic training materials
- Makes recommendations to the NWTT on strategies and implementation arrangements based on the analysis of M&E reports and other data
- Organizes JTR, MSF and other meetings in collaboration with development partners
- Ensures regions have consolidated WaSH plans
- Convene meetings of RWCO staff and WaSH focal persons
- Facilitates experience-sharing within and outside the country
- Maintains national WaSH management systems and records
- Promotes and facilitated national networks among WaSH actors

### 3.2.2 DUTIES AND RESPONSIBILITIES OF REGIONAL WaSH STRUCTURES

#### REGIONAL WaSH STEERING COMMITTEE:

- Reviews and endorses the regional WaSH Strategic Plan and consolidated Annual WaSH Plans
- Oversees the proper functioning of the M&E of the WaSH Program at regional level
- Ensures the establishment and functioning of WaSH structures in the region

#### REGIONAL WaSH TECHNICAL TEAM:

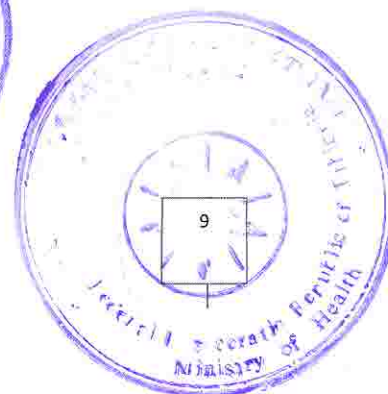
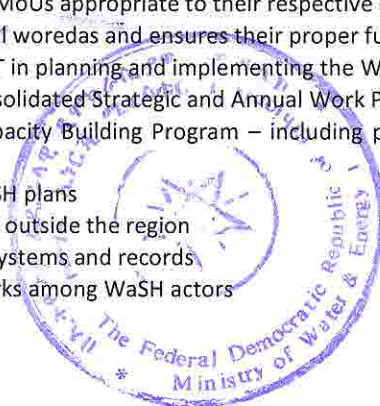
- Facilitates inter-sectoral communication and cooperation
- Reviews and submits Strategic Plan and Annual Plans to the RWSC for approval
- Regularly monitors program implementation and provides guidance
- Facilitate the preparation of JTR and MSF in collaboration with development partners

#### REGIONAL WaSH PROGRAM MANAGEMENT UNITS

- Implement WaSH program at regional level
- Monitors implementation of WaSH projects of woredas and towns
- Provides support to town and woreda WaSH implementers
- Ensures that program strategies, activities and results are monitored, evaluated and reported within the WaSH framework and systems
- Assists Woredas identify their program gaps and management deficits and provides them with the technical assistance and/or capacity development they require
- Builds linkages with and among Woredas – sharing information, progress reports and best practices
- Demonstrates and fosters the integration and harmonization of the WaSH Program

#### REGIONAL WaSH COORDINATION OFFICE

- Assists Woredas in implementing WaSH MoUs appropriate to their respective contexts
- Supports the establishment of WWT in all woredas and ensures their proper functioning
- Provides continuous support to the WWT in planning and implementing the WaSH Program
- Prepares and recommends to RWTT consolidated Strategic and Annual Work Plans
- Designs and implements a Regional Capacity Building Program – including preparation of manuals, guidelines and generic training materials
- Ensures Woredas have consolidated WaSH plans
- Facilitates experience-sharing within and outside the region
- Maintains regional WaSH management systems and records
- Promotes and facilitated regional networks among WaSH actors

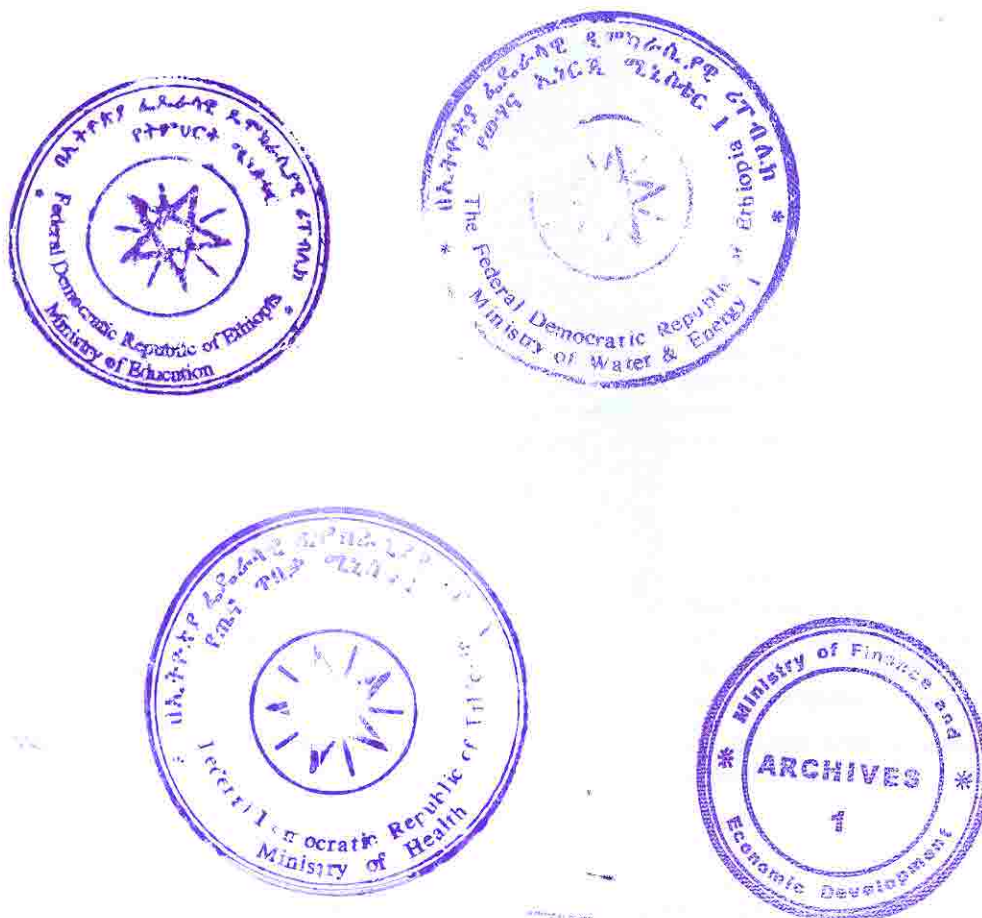




### 3.2.3 WOREDA WaSH TEAM

WWT has the following generic responsibilities:

- Prepares consolidated Woreda WaSH plans (strategic and annual)
- Review and monitor WaSH program implementation at woreda level
- Manages annual WaSH Inventory and M&E system and maintains woreda database/information system and ensures its annual update
- Reviews and prioritizes WaSH plans proposed and submit to WoFED for review and recommendation for approval,
- Contracts and supervises training and technical services if and as required – e.g. Community Facilitators, Woreda Support Groups etc
- Supporting WASHCOs to become legal entities
- Actively supports the emergence, training, equipping and engagement of artisans and other service providers in the private sector – and the establishment of a viable supply chain
- Ensures sustainability of WaSH services in collaboration with appropriate sector offices.



## 4 WaSH IMPLEMENTATION MODALITY

The overall WaSH implementation modality will be based on the four pillars of the ONE WaSH PROGRAM principles which are Integration, Alignment, Harmonization and Partnership. However, there will be differences in the detailed implementation mechanisms for urban and rural.

The three main WaSH programs are;

- Urban WaSH
- Rural WaSH
- Pastoralist WaSH

The urban WaSH program will be implemented through town water boards with the procedures outlined below, while the Rural WaSH program has four alternative implementation mechanisms;

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

### COMMUNITY MANAGED PROJECT (CMP)

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

### WOREDA MANAGED PROJECT (WMP)

The distinguishing feature of WMP is that the woreda (WWT) will be responsible for administering the funds for capital expenditures on water supply or sanitation. Although the Kebele Administration, WASHCOs and institutional WaSH committees are directly involved in project planning, implementation, monitoring and signing-off the project, the WWT is the Project Manager and is responsible for contracting, procurement, quality-control and hand-over to the community.

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

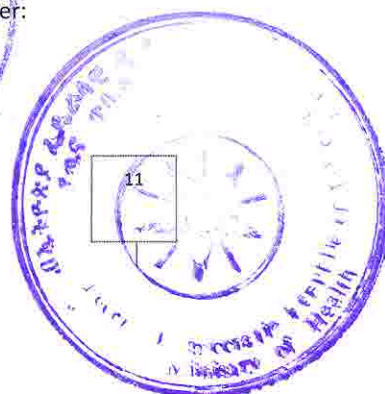
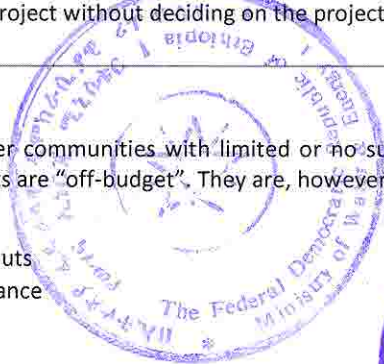
### NGO MANAGED PROJECTS

Non-Governmental Managed Projects are characterized mainly that projects funds are managed by the NGOs without going into the public finance system. The projects are managed either directly by the NGO or by communities. But communities will only implement the project without deciding on the project fund.

### SELF SUPPLIED PROJECTS

Self supplied projects are financed and managed by user communities with limited or no support from the government or/and Development Partners. These projects are “off-budget”. They are, however:

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





## 4.1 URBAN WaSH

### 4.1.1 DEFINITION AND COMPONENTS

The Urban WaSH (U-WaSH) Program has two components:

#### A. IMPROVED URBAN WATER SUPPLY SERVICES FOR A WHOLE TOWN AS PER THE UAP MINIMUM STANDARD AND LIQUID WASTE MANAGEMENT SERVICES

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

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

The investment cost for liquid waste management infrastructures are expected to be covered by the town administration from another financial sources.

#### B. HYGIENE AND SANITATION PROMOTION AND SANITATION FACILITIES CONSTRUCTION FOR INSTITUTIONS AND LOW INCOME COMMUNITIES

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

For the Urban WaSH Program towns are those settlements defined as towns by Central Statistics Agency (CSA). However, based on their water supply provision and management status these towns could be classified into three categories as follows:

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

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

### 4.1.2 THE U-WaSH PROGRAM IMPLEMENTATION MODALITY

#### 4.1.2.1 IMPROVED URBAN WATER SUPPLY AND SEWERAGE MANAGEMENT SERVICES

The U-WaSH program is designed to reflect the policy objectives of decentralization to lowest possible level and to involve all stakeholders in the process. To achieve this aim, the implementation modalities are classified in two steps. The first step is planning and preparatory and the second step is implementation. The steps are used in the urban water supply and sewerage management component that allows each town to move at its



own pace and receive assistance incrementally as capacities are developed and results that meet established criteria are achieved. Interventions in Step-1 are financed fully in grant while the interventions in Step-2 are financed in grant and/or loan based on the financial feasibility for creditworthiness of the investment study.

#### 4.1.2.2 HYGIENE & SANITATION PROMOTION AND SANITATION FACILITIES CONSTRUCTION FOR INSTITUTIONS AND LOW INCOME COMMUNITIES

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

Moreover, low income communities (including disabled and people with special needs), schools and health institutions are also assisted to improve their sanitation facilities. Thus, low income communities will be provided with communal latrines (for sustainability these latrines could include bio-gas, public showers and cloth washing facilities when feasible) clustering themselves in neighborhood households, and health institutions and schools with institutional/school latrines. This component is also implemented in two steps. Step-1 is planning and preparatory and Step-2 is construction phase. Interventions in both steps of this component are financed fully in grant. Their water demand is envisaged to be addressed through component one of the urban WaSH intervention under the Town's Water Board responsibility.

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

#### 4.1.2 URBAN WaSH STRUCTURES

Oversight and guidance of the program is conducted by the town WaSH Steering Committee. In case of towns/cities having local government status the town/city cabinet will be the town/city WaSH Steering Committee. In case of towns not having local government status the woreda cabinet will be the WaSH steering committee for the whole woreda including the towns in the woreda.

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

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

- **Town/City WaSH Steering Committee (T/CWSC)** - The Town/City cabinet serves as the WaSH Steering Committee.
- **Town/City Water Board (T/CWB)** - The T/CWB is established as per regional proclamations and functions as the board of management for town/city water supply and sewerage (liquid waste management) services. In most instances, the Utility Manager is a member of the Board and serves as Board Secretary
- **Town/City WaSH Technical Team (T/CWTT)** - The T/CWTT is established by the town/city administration or town/city WASH Steering Committee and consists of mainly representative from the town/city administration (municipality), the Water Board, Town's Finance and Economic Development, utility for WSS, health and education desk personnel. The Chairperson is designated by the establishing authority
- **Water Supply and Sewerage Utilities (WSSU)** - The WSSU is an existing institution that is responsible for the day-to-day operation and management of water supply systems and liquid waste management systems
- **Sub City or Kebele Development Committee** - The Sc/KDC is an existing institution that will be engaged in WaSH activities that would takes place in its respective Sub-city or Kebele. If such institution is not available in a Sub-city/Kebele, Sub-city or Kebele WaSH Team is established. The Composition would be Representative of Kebele administration, Health Extension Worker, School community members, Representatives of youth and women associations



## 4.2 RURAL WaSH

In the Rural WaSH Program community members - in their households, schools and health posts increase their use of **safe water**, upgrade and use their **sanitation facilities** and adopt healthier **hygiene behavior**.

### 4.2.1 IMPLEMENTATION MECHANISMS

There are four alternative modalities for financing and managing **water point and institutional (school) sanitation projects** in the WaSH program:

- **Community Managed Projects (CMPs)**
- **Woreda Managed Projects (WMPs)**, including regional managed projects on behalf of the WWT
- **NGO Managed Projects**
- **Self-Supplied Projects**

### 4.2.2 WOREDA WaSH PLANNING & MANAGEMENT

There is only ONE Woreda Annual WaSH Plan and ONE Woreda WaSH Budget. Both Strategic and Annual Plans are prepared by sector offices, consolidated by the WWT and reviewed and forwarded for approval by WoFED. WaSH plans and budgets are approved by the Woreda Council and constitute a component of the official Woreda Development Plan.

- **WaSH Strategic Plan** - The Strategic Plan sets out Woreda strategies, targets and schedules for achieving WaSH coverage over a 5 year period.
- **WaSH Annual Planned Budget** - The Annual WaSH Plan sets out the specific activities, outputs and expenditures for the year ahead. It incorporates the planned WaSH activities, investments and targets of all WaSH implementers – including other government programs, and the programs of NGOs that are active in the sector. The Woreda WaSH Budget includes funds coming to, or allocated by, the Woreda Administration for WaSH activities.

In addition to **planning** the WWT has a number of ongoing management functions for which the entire team is responsible. They include information, human resource, materials, financial, and quality management, as well as capacity building.

### 4.2.3 IMPLEMENTATION – THE WASHCYCLE

The implementation will be done at woreda and community level. As may be required and requested the Region supports Woreda Preparation by providing the services of a Woreda Support Agent (WSA)<sup>2</sup> and/or other regional-level expertise. This preparatory phase includes: orientation & advocacy, stakeholder analysis, resource mapping, inventory analysis, strategic planning, annual WaSH planning, staff preparation. After the completion of the planning phase the implementation will be done at community level. The roles and responsibilities and the detail process will be described in a One WASH Program guideline.

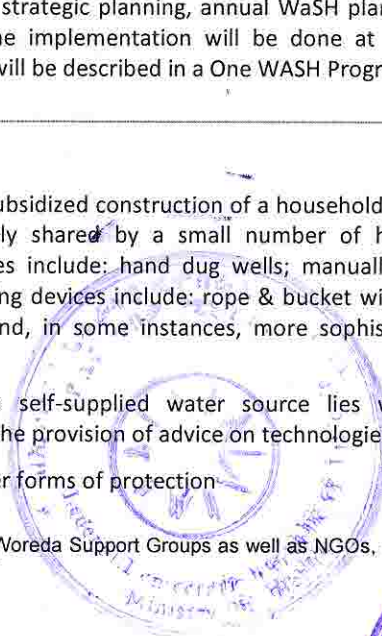
### 4.2.4 SELF SUPPLIED

Self-Supply in WaSH refers to the un-subsidized construction of a household water supply, or the construction of a partially subsidized water supply shared by a small number of households (10 and above). The technologies used vary. Water sources include: hand dug wells; manually augured wells; and rain water harvesting using roof catchments. Lifting devices include: rope & bucket with, or without, a windlass; simple bucket or rope and washer pump; and, in some instances, more sophisticated diesel, electrical or solar powered pumps.

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

- promoting well lining and other forms of protection

<sup>2</sup> The term Woreda Support Agent includes Woreda Support Groups as well as NGOs, consultants or other agencies that may be contracted to supply services to the WWT





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

#### 4.2.5 NON-GOVERNMENTAL ORGANIZATIONS AS WaSH IMPLEMENTERS

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

#### 4.3 PASTORALIST WaSH

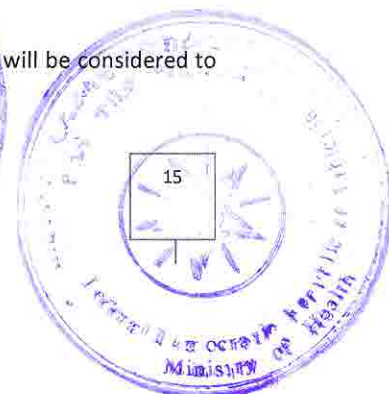
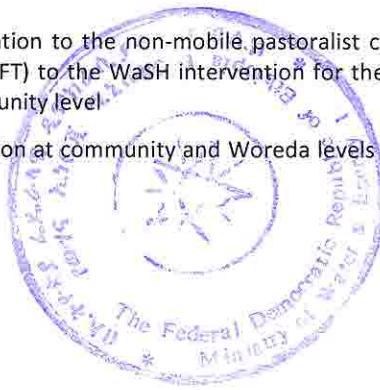
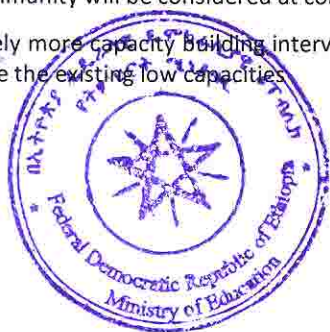
In Ethiopia pastoralists are not fully nomadic. The elderly, children and women who are pregnant or lactating remain in a permanent settlement. During the dry season, which lasts 3-4 months, the stronger men and youths move out in search of water and grazing land.

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

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

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

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





- The WaSH intervention will align with the government's effort to facilitate voluntary pastoralists' settlement
- Improvement/upgrading of local traditional water supply schemes to ensure safe drinking water supply and implementation of low cost technologies where they are feasible will be given due attention for rural WaSH to cope with the higher investment costs
- As the rural pastoralist communities usually settle in the vicinity of towns to share the water supply and other facilities of urban areas, this will be taken into consideration in urban WaSH planning, implementation and management
- Water points for the mobile pastoralist community members and their livestock will be constructed scattered avoiding concentration on limited grazing areas to avoid overgrazing

Moreover, to be effective in Pastoralist areas, WASH must be aligned with, and contribute to, the **sustainable livelihood approach** or strategy that is common to the most successful initiatives in pastoralist development, e.g. the Pastoralist Community Development Project (PCDP). To achieve its aims pastoralist WaSH will need to:

- be aligned with, and work through, existing woreda structure
- collaborate with, and learn from, other agencies, organizations and projects successfully implementing development programs among pastoralist communities

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

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

In each instance the WaSH implementation strategy varies



## 5 FINANCIAL MANAGEMENT & PROCUREMENT

### 5.1 INTRODUCTION

Funds supporting WaSH activities come from several sources:

- The Federal Government of Ethiopia
- External Financing Agencies (investors/Development Partners)
- Non-Governmental Organizations (civil society)
- Participating Communities

Development Partners' contributions to WaSH:

- are transferred from a *Foreign Special Accounts* into the *Consolidated WaSH Account (CWA)* administered by MoFED and
- flow only through Channel 1b to the governmental WaSH implementing agencies at the federal, regional, and woreda levels.

**In general, the WaSH financial system is based on the Federal Government of Ethiopia (FGE) Financial Management System's policies and procedures.**

### 5.2 BUDGETING

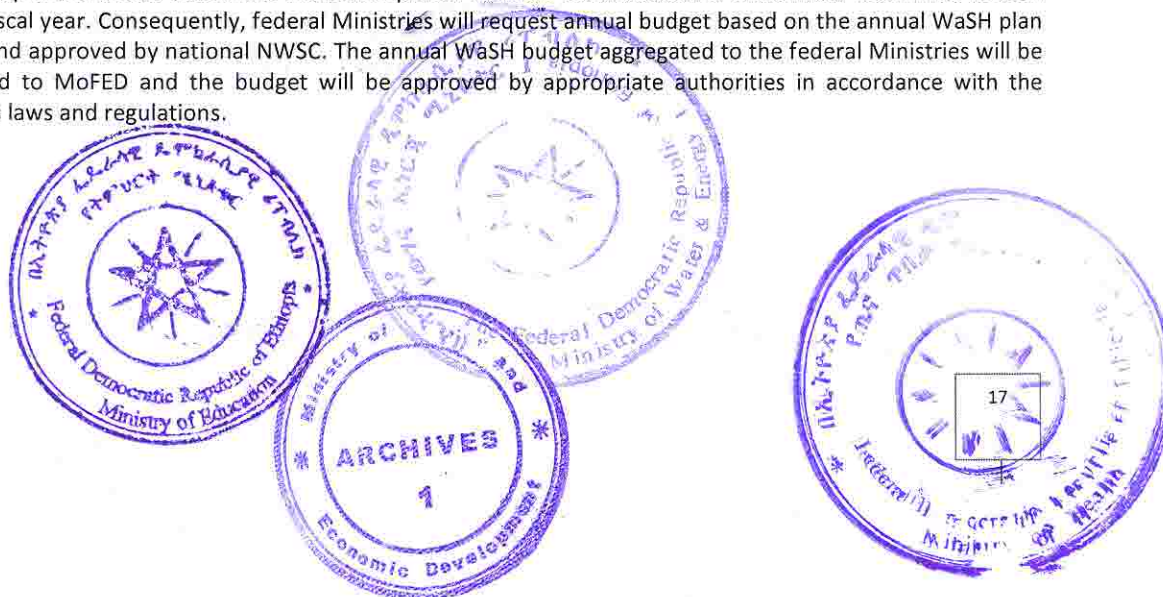
Budgeting takes place based on forms and procedures designed by MoFED. Sector offices from federal ministries to Woreda offices will be responsible for requesting WASH budget. It is based on a comprehensive resource mapping of all resources available to WaSH at the given level, i.e. federal, regional, zonal or woreda. While resource contributions from CSOs remain outside of the control of the government bodies concerned with WaSH, they should still be recorded and captured in the plan. Similarly the government budget that will be allocated for WaSH at region and Woreda levels and the community contribution will be included in the composite budget plan and report.

WaSH budget preparation will follow the government budget preparation schedule. The budget approval process for WaSH budget will also follow existing government regulations. While the Development Partners component is budgeted at federal level the government contribution will be budgeted at respective institutional levels of the government.

The budgeting process at Woreda level will be prepared by WoFED based on the annual WaSH plan of WWT and the earmarked budget from Development Partners and woreda allocation and will be submitted for approval to the Woreda Council.

Regional budgeting process will also follow the same process. RWCO will prepare regional annual WaSH plan based on woreda and town WASH plans and regional sector bureaus plans. Based on the annual WaSH plan prepared by RWCO regional sector bureaus will submit annual WaSH budget to BoFED.

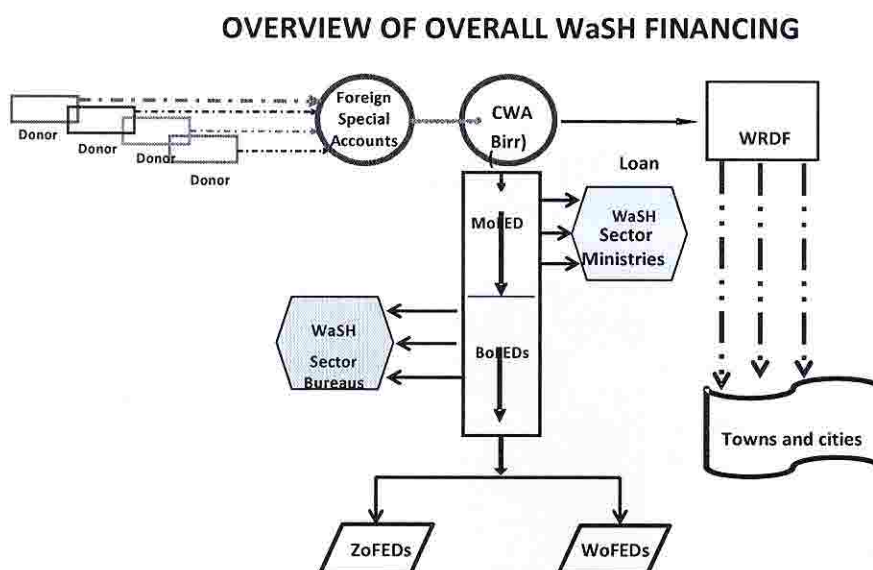
At federal level the NWSC will approve national WaSH plan based on regional WaSH plans and federal sector ministries plans and also determine the Development Partners contribution for the annual WaSH intervention for the fiscal year. Consequently, federal Ministries will request annual budget based on the annual WaSH plan agreed and approved by national NWSC. The annual WaSH budget aggregated to the federal Ministries will be submitted to MoFED and the budget will be approved by appropriate authorities in accordance with the countries laws and regulations.





### 5.3 FUND FLOW

Fund flows happen in two steps as shown in the diagram below:



#### Legend

---> Fund disbursement      —> Funds transfer,      -.-.-> Loan towns,

#### 5.3.1 STEP I: FROM DEVELOPMENT PARTNERS TO THE CONSOLIDATED WASH ACCOUNT

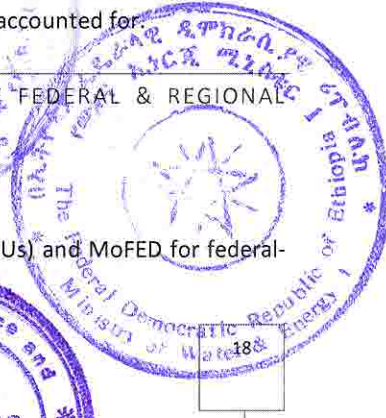
Development Partners deposit their initial (and subsequent) contributions into a Foreign Special Account opened by MoFED in each of their names at the National Bank of Ethiopia. Contributions are converted and transferred from the Foreign Special Accounts into the Consolidated WaSH (Birr) Account that is managed by MoFED.

When Development Partners' contributions are transferred into the Consolidated WaSH Account they become indistinguishable. They constitute ONE account for WaSH. This is a major feature of *harmonization* and radically affects the way in which funds are subsequently allocated, disbursed and accounted for.

#### 5.3.2 STEP II: FROM THE CONSOLIDATED WASH ACCOUNT TO THE FEDERAL & REGIONAL IMPLEMENTING AGENCIES

On instructions from MoFED, the National Bank of Ethiopia transfers funds:

- **Federally** – into accounts opened for the three sectoral ministries (WPMUs) and MoFED for federal-level expenditures and for the NWCC into accounts opened at the MoWE.



- **Regionally** – to BoFEDs for onward transfer into accounts opened for :
  - the RWCO into accounts opened at the regional water bureaus (for joint program support)
  - the three sectoral Bureaus and BoFED (for WPMU-specific expenditures)
- **Town/Woredas** - The BoFEDs also opens accounts for, and disburses funds to:
  - the WoFEDs for WWT expenditures
  - the participating towns (for the towns water supply and sewerage projects and other WaSH activities)

#### 5.4 FUND ALLOCATION

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

##### 5.4.1 FEDERAL LEVEL

The Annual (National) WaSH Plan & Budget specifies the amount of WaSH funds to be budgeted at the national level for:

- expenditures by the NWCO and by each of the four national WPMUs
- expenditures on trans-sector national WaSH activities

It also specifies the total amount to be allocated to the Regions. Allocation *among* the Regions is prescribed by the government's Block Grant formula. Expenditures on trans-sectoral national WaSH activities are those expenditures which are allocated for WASH integration and coordination and those that are expended for activities like JTR, MSF and other multi sectoral and monitoring activities.

##### 5.4.2 REGIONAL LEVEL

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

- expenditures by the RWCOs and by each of the four regional WPMUs
- expenditures on trans-sector regional WaSH activities

Regional level trans-sectoral expenditures are those expenses that are expended to facilitate regional level inter sectoral WASH activities like coordination, monitoring and joint intervention activities.

It also specifies the total amount to be allocated to the woredas and towns/cities. Recommendation for Allocation *among* the woredas and town/cities are made by the Regional WaSH Steering Committee:

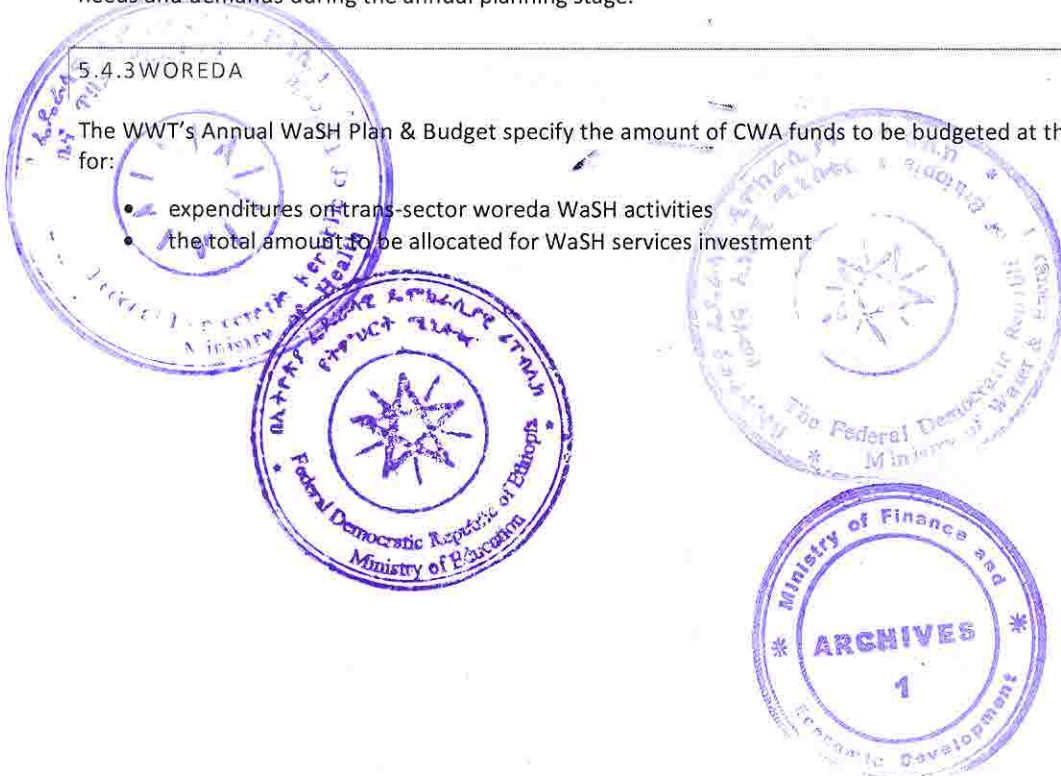
- on the basis of need/priority established in approved town/woreda Annual WaSH Plans
- within the framework of the Regional Strategic WaSH Plan

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

##### 5.4.3 WOREDA

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

- expenditures on trans-sector woreda WaSH activities
- the total amount to be allocated for WaSH services investment





## 5.5 DISBURSEMENT &amp; REPLENISHMENT

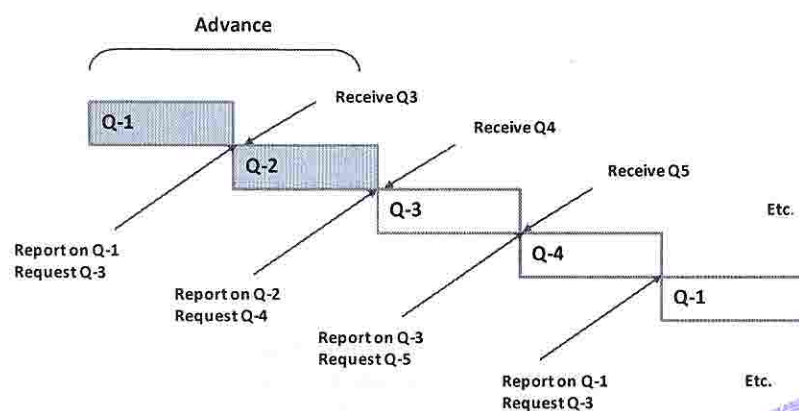
## 5.5.1 CONSOLIDATED WaSH ACCOUNT

At the commencement of the National WaSH Program implementation as per this Framework:

- The Development Partners' initial deposits into the program Foreign Currency Special Accounts with National Bank of Ethiopia constituted their *advances* to the Program.
- Contributions were converted into Birr and transferred to the Consolidated WaSH Account managed by MoFED.
- MoFED disburses funds, as advances for the first six months of the Program, into WaSH accounts established for implementing agencies at the federal and regional levels. (see Q-1 & Q-2 in diagram below)
- On the basis of Q-1 reports<sup>3</sup> MoFED, at the beginning of Q-2, requested replenishment from the Development Partners' accounts funds to cover Q-3 less:
  - the balance of 1<sup>st</sup> quarter funds - cash on hand and in the bank at the end of the quarter and at all levels – woreda and town/city, regional and national.
- MoFED continues, on the same basis, to make quarterly replenishment requests to the Development Partners three months in advance of scheduled expenditures.
- Upon receipt of replenishment from the Development Partners MoFED immediately transfers funds to the Implementing Agencies.

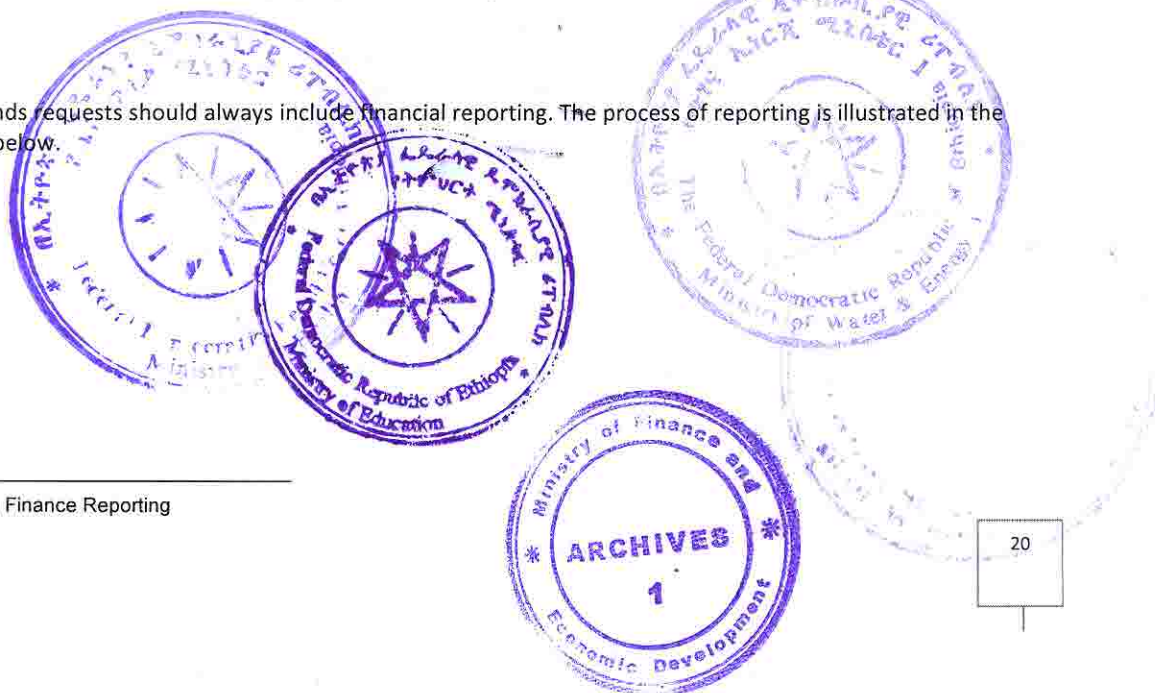
MoFED's requests are supported by Interim Expenditure Reports for the previous quarter.

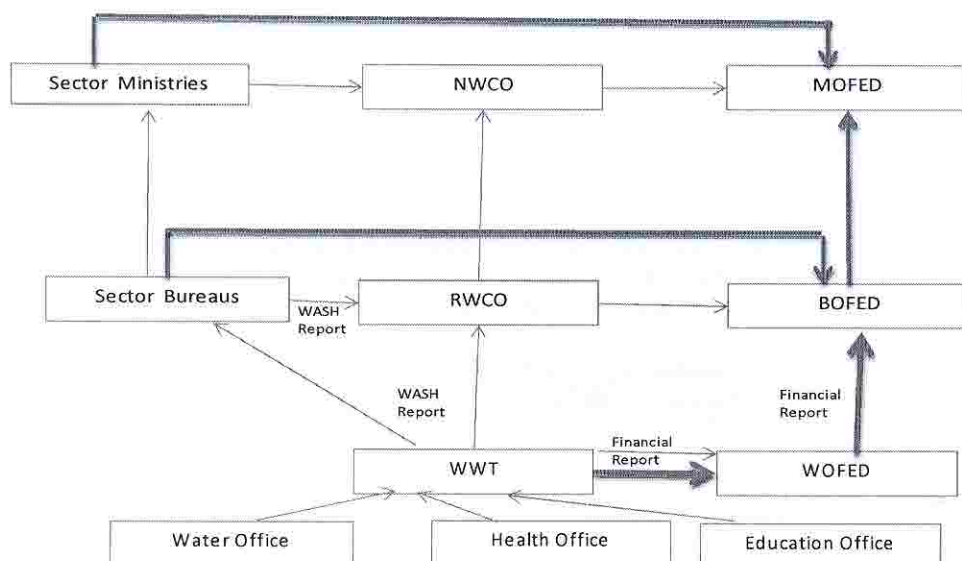
The process of disbursements and replenishments is illustrated in the diagram below.



The funds requests should always include financial reporting. The process of reporting is illustrated in the figure below.

<sup>3</sup> Interim Finance Reporting





### 5.5.2 IMPLEMENTING AGENCIES' ACCOUNTS

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

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

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

### 5.5.3 FINANCIAL REPORTING

Financial reports will be prepared and submitted quarterly. Financial reports will be prepared by WoFED, BoFED and MoFED respectively. WoFED reports to BoFED and BoFED reports to MoFED. MoFED compiles and reports to Development Partners. The financial reporting at each level shall facilitate the distinction of budget utilization to the sources of the fund. For this purpose financial plans will be prepared at each level indicating the source of finances. The financing plan then will be the basis for financial reporting and budget control. The detailed financial reporting arrangement will be described in the One WaSH Program Guideline.

### 5.6. BUDGET CONTROL

Provision is made in the WaSH structure for each of the governmental Implementing Agencies to have their own accounting staff to administer WaSH funds on a full or contractual basis. MoFED, BoFED and WoFED are responsible for financial reporting, the WaSH structures will be primarily responsible for monitoring WaSH implementation and provision of guidance to implementers.

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

Budget control is exercised to ensure that WaSH funds are being spent as planned with respect to categories, cost, timeliness and value for money. Primary responsibility for budget control in WaSH is with the WaSH



accountants. However, managers at each level (WWTs, RWTTs and the NWTT) will review on a monthly basis the financial reports prepared by their respective budget sections and take whatever action may be required to ensure effective budget control. The main tools will be budget codes, ledger cards, and budget tracking.

## 5.7 RESPONSIBILITY FOR FINANCIAL MANAGEMENT

### 5.7.1 FEDERAL LEVEL

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

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

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

### 5.7.2 REGIONAL LEVEL

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

- Opens a special account to receive WaSH funds from MoFED;
- Transfers funds, on the basis of approved plans and budgets, to special accounts opened by the RWCOs, the 4 Regional WPMUs and the WoFEDs;
- Monitors performance and receives reports from WoFED
- Provides technical support to ensure that proper accounting systems and competent accounting staff are established and maintained in each implementing agency;
- Provides internal auditing,
- Ensures timely replenishment of the consolidated WaSH account and fund disbursement to the implementing agencies (RWCO, RWPMUs, WoFED and towns).

### 5.7.3 WOREDA LEVEL

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

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

## 5.8 PROCUREMENT

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

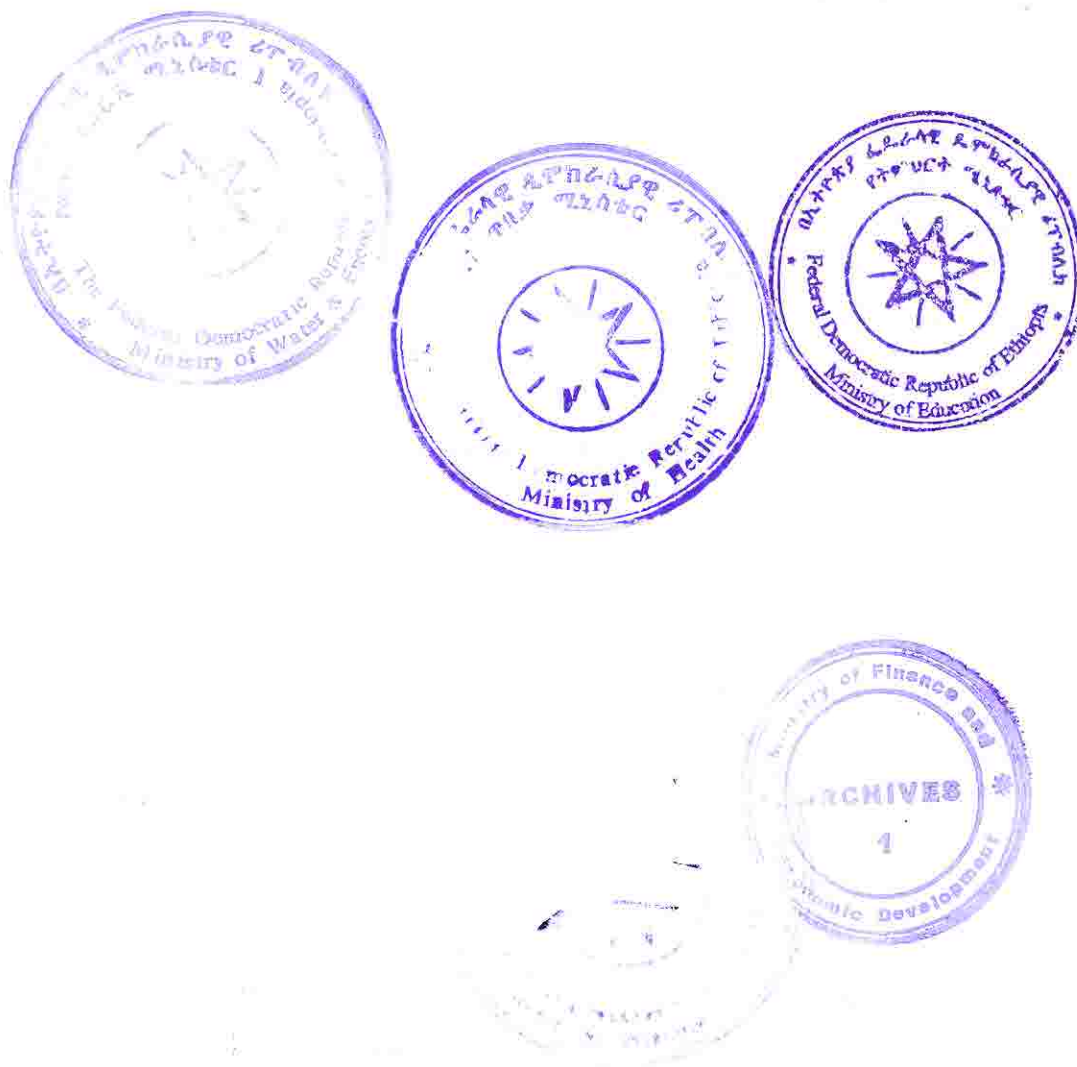
The Ethiopian Procurement Agency standard bid documents and manuals will be used for all tenders for procurement of goods and works under International Competitive Bidding (ICB) and National Competitive Bidding (NCB). Domestic preference would be applicable under ICB.

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

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

Procurement plan is an essential component in all Annual WaSH Plans at every level. Training and technical assistance is to be made available to assist regional, town, woreda and community planners.

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

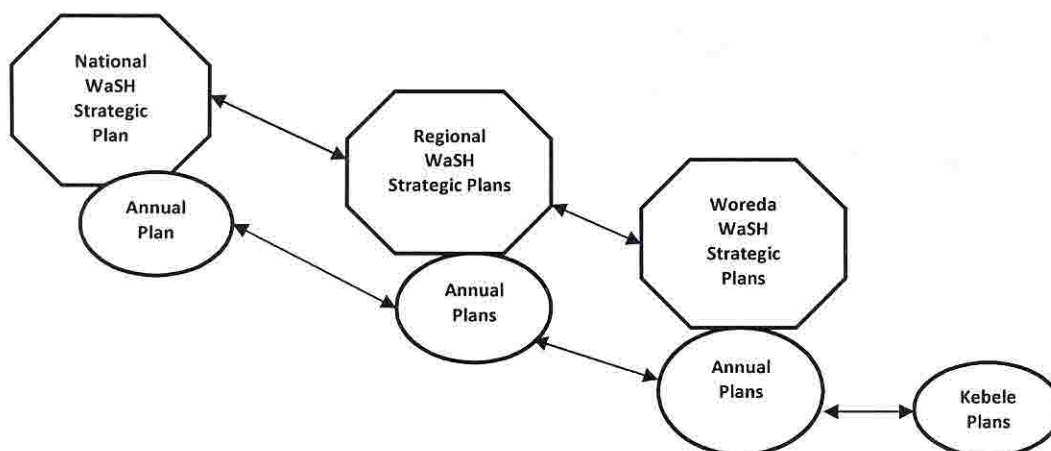




## 6. WaSH PLANNING

### 6.1 PLANNING FRAMEWORK

One WaSH Plan means that all major contributors (government, Development Partners, NGOs and communities) agree to be a part of a single comprehensive national WaSH program. The One Plan is built out of **Strategic Plans** and **Annual Plans** that are developed at each level and are linked to one another.

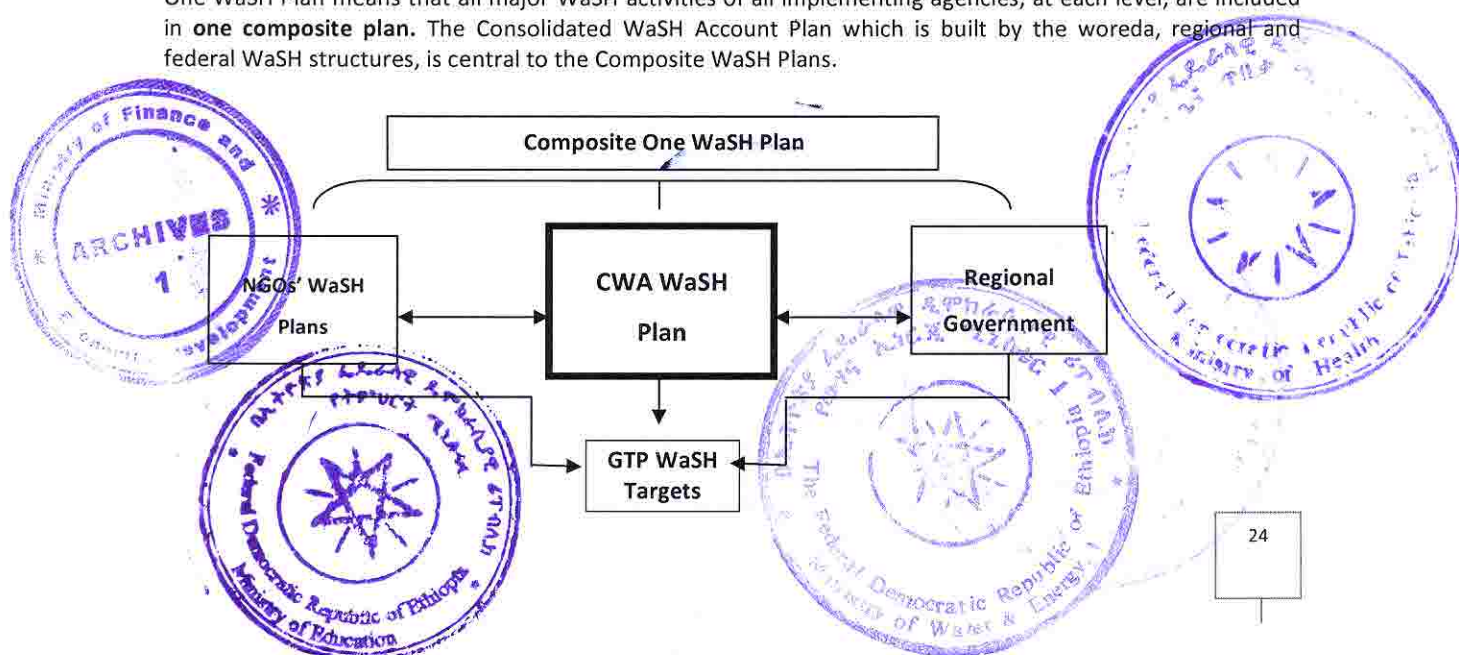


**Strategic Plans** have time frame in line with the period of the national development plan of the country and include goals, targets, strategies, resources and key activities. **Annual Plans** have a one-year time frame that translate the priorities of the Strategic Plan into a set of practical activities, detailed schedules, budgets and specific outputs or results directly relating to GTP targets. The Annual Plan is *operational*.

Both Strategic and Annual Plans are:

- **Linked** to resource mapping (of all anticipated financial and human resources)
- **Linked** to other plans (strategic-to-annual & from one level-to-next level)
- **Approved** - by the relevant federal/local government authority
- **Comprehensive** – covering all WaSH activities of all implementers
- **Consistent** - with the Strategic Planning & Management approach

One WaSH Plan means that all major WaSH activities of all implementing agencies, at each level, are included in **one composite plan**. The Consolidated WaSH Account Plan which is built by the woreda, regional and federal WaSH structures, is central to the Composite WaSH Plans.



## 6.2 STRATEGIC PLANS

Strategic plans should be prepared at the national, regional, zonal and woredas levels. All plans must be linked and mutually consistent with one another. Ideally, kebeles should produce Strategic Plans, especially with regard to schools and health facilities. However, limited capacity at kebeles level makes this unrealistic in most cases.

Producing Strategic Plans is a three step process, consisting of target identification, baseline establishment and resource mapping:

- **Targets** - The targets that prevail in the WaSH Program are those of the Growth and Transformation Program. These are calculated over a 5-year period in the Universal Access Plans of the Water and Health Ministries. Targets are adjusted annually based on data from the WaSH Inventory and the results of Resource Mapping i.e. the availability of funds
- **Baseline** - A second critical step in planning is to establish a reliable baseline to determine, as precisely as possible, what the current level of achievement is. Where we are now in relation to the targets that need to be achieved? What is the starting point in our Plan?
- **Resource mapping** - A third essential planning step is mapping the financial resources that can be reasonably expected to be available to support the WaSH program. This mapping involves all funds from all sources that are committed, or likely to be committed, to WaSH activities and investments. A major portion of these funds come from Development Partners contributions to the CWA and from government programs<sup>4</sup> and grants<sup>5</sup>. However, civil society organizations are also major partners in, and contributors to, the WaSH program. It is essential that, in the resource mapping exercise, their input is sought and their financial contributions are taken into account in program planning.

## 6.3 ANNUAL PLANS

Once WaSH Strategic Plans are finalized, the next step is to prepare Annual WaSH Plans and budgets at each level. Annual WaSH Plans show how the broader objectives, priorities and targets of the Strategic Plans are translated into practical activities and detailed budgets. Annual WaSH Plans are operational. Developing annual plans requires consultation at every level with major stakeholders including relevant government institutions, Development Partners, NGOs and, at the woreda and Kebele levels, with the community.

WaSH annual planning is done in two stages:

- **Core Planning** (August through November) establishes annual targets/outputs and CWA+ budget ceilings
- **Annual Work Planning** (December through February) adds the specifics - activities, assignments, schedules and proposed expenditures from all sources.

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

JULY
DEVELOPMENT PARTNERS CONFIRM CONTRIBUTION FOR FOLLOWING FISCAL YEAR
AUGUST
<ul style="list-style-type: none"> <li>• NWCO &amp; WMUs complete national Resource Mapping and propose national CWA+ budget ceiling and GTP targets for the Regions</li> <li>• EWTT reviews – recommends to NWSC – NWSC approves</li> <li>• NWCO notifies Regions of national CWA+ budget ceilings and GTP targets</li> <li>• RWCO &amp; WPMUs complete regional Resource Mapping</li> <li>• RWCO &amp; WPMUs propose national CWA+ budget ceiling and GTP targets for Towns, Special Zones and Woredas</li> <li>• RWSC endorses proposed ceilings &amp; targets and RWCO notifies Towns, Special Zones and Woredas</li> </ul>

<sup>4</sup> Government programs such as the Food Security (Productive Safety Net) Program invest large amounts in WaSH activities. These investments must be taken into account in WaSH planning and reflected in WaSH budgets.

<sup>5</sup> Regions and woredas may choose to commit a portion of their block grant to the National WaSH Program.



<b>SEPTEMBER</b>
<p>Towns, Special Zones &amp; Woredas:</p> <ul style="list-style-type: none"> <li>review anticipated resources and set priorities and interact with communities/kebeles re: potential programming</li> <li>estimate feasible physical and financial level of activity, investments, and outputs and draft Core Plans</li> <li>forward draft Core Plans to respective Development Committees for review and initial approval</li> </ul>
<b>OCTOBER</b>
<ul style="list-style-type: none"> <li>Towns, Special Zones &amp; Woredas forward draft Core Plans to RWCO for review and consolidation</li> <li>RWCO consolidates Core Plans from Towns, Special Zones &amp; Woredas and drafts Regional AWP</li> <li>RWSC endorses draft plan and forwards to BoFEDs for initial approval and to NWCO for review and consolidation</li> </ul>
<b>NOVEMBER</b>
<ul style="list-style-type: none"> <li>NWCO consolidates Regional Core Plans and completes National Core Plan</li> <li>NWCO submits draft national Core Plan to FWTT for review and forwarding to NWSC</li> <li>NWSC &amp; Development Partners review draft National Core Plan – NWSC approves</li> </ul>
<b>DECEMBER</b>
<ul style="list-style-type: none"> <li>NWCO notifies all levels that National Core Plan is approved.</li> <li>Woreda/Towns/Special Zones fine tune AWP</li> <li>Woreda/Towns/Special Zones forward AWP to WoFED (ZoFED) for information and to RWCO for review and consolidation</li> </ul>
<b>JANUARY</b>
<ul style="list-style-type: none"> <li>RWCO consolidates AWP from woredas &amp; special zones – drafts Regional AWP for RWSC endorsement</li> <li>RWSC endorses and forwards to BoFEDs for information and to NWCO for review and consolidation</li> <li>NWCO consolidates Regional AWP and drafts National AWP – forwards to FWTT</li> </ul>
<b>FEBRUARY</b>
February 8 <sup>th</sup> : NOTIFICATION OF ANNUAL SUBSIDY BUDGET & ISSUE OF BUDGET CALL
<ul style="list-style-type: none"> <li>NWTT reviews draft national AWP and recommends to NWSC</li> <li>NWSC &amp; Development Partners consult – and NWSC endorses composite Annual WaSH Plan and submit to MoFED for review and approval</li> <li>NWCO notifies Regions/Woredas/Towns of the endorsement of the composite Annual WaSH Plan</li> <li>Regions/Woredas/Towns submit composite Annual WaSH Plans to respective Councils for inclusion in Annual Development Plans</li> </ul>
<b>MARCH</b>
March 22 <sup>nd</sup> : DEADLINE FOR PUBLIC BODIES TO SUBMIT BUDGET REQUESTS



## 7 CAPACITY BUILDING

### 7.1 AIMS

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

- **Individual Capacities** - skills, knowledge, attitudes, and confidence of individual players at all levels – federal and regional managers, zonal, WWT and KWT members, WASHCO members, service providers, WEWs, HEWS, DAs, Community Health Promoters, artisans, caretakers and operators – to effectively carry out their assigned tasks
- **Organizational Capacities** – institutional development and strengthening of the new WaSH structures at different levels - national and regional coordination offices, PMUs, technical teams, and steering committees; Technical Vocational and Educational Training Colleges (TVETCs) with WaSH departments, WWTs and KWTs and WASHCOs
- **Operational Systems** – that support harmonized planning, financial management, procurement, capacity development, supervision, reporting, information management, and monitoring & evaluation
- **Teamwork** – communication and collaboration among implementing partners (governmental and non-governmental), Development Partners, private sector and other institutions in one integrated program
- **Supply & Logistical Support**– high standard and timely inputs increasingly accessed by communities through the private sector to promote local ownership and management and enhance the sustainability of services
- **Strategic Sector Support**– to inform WaSH policy, implementation and coordination through strategic studies, evidence, sector reviews, and support for networks and forums

### 7.2 TARGET GROUPS

As the WaSH program is implemented across different levels by different stakeholders there is a variety of target, each with its own distinct needs and requirements. Target groups for WaSH capacity building are shown in the table below, which is organized into different levels:

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



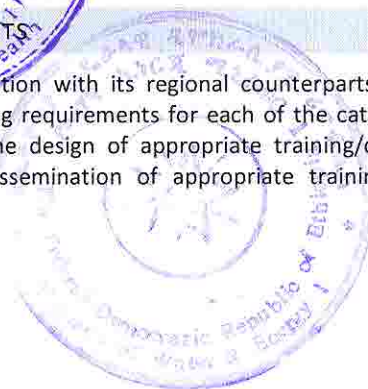
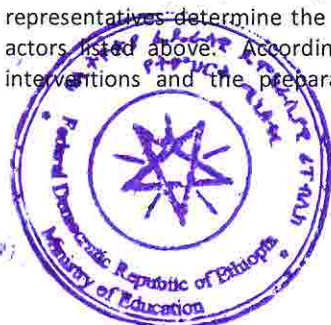
## 7.3 CAPACITY BUILDERS

Correspondingly, there is a range of different bodies which will engage in capacity building at different levels. The table below provides an overview:

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

## 7.4 MINIMUM CAPACITY BUILDING REQUIREMENTS

The Federal Capacity Building Support Unit in consultation with its regional counterparts and key NGOs representatives determine the minimum capacity building requirements for each of the categories of WaSH actors listed above. Accordingly, the Unit oversees the design of appropriate training/capacity building interventions and the preparation, production and dissemination of appropriate training manuals and



materials. Following the “cascading model” the national and regional CB Units implement a series of “training of trainers” workshops to ensure that the various capacity builders at each level are fully familiar with their materials and have mastered the methodology the training requires.

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

## 7.5 CAPACITY BUILDING RESOURCES

### 7.5.1 NATIONAL RESOURCES

- **The National Capacity Building Unit (NCBU)** reports to the head of the NWCO, and are responsible for coordination of WaSH Sector capacity building in the context of the new National WaSH Program. The CBU consists of a team of consultants and specialists including the CMP expertise of the COWASH Project.
- **Manuals, guidelines, tools and other materials** used in training WaSH practitioners and subsequently used by them as resources in their ongoing implementation and management of the program.
- **Ethiopian Water Technology Centre (EWTEC)** – currently part of Government (MoWE) supported by JICA, focusing on training on ground water assessment, development and extraction. Within its existing residential campus in AA, EWTEC offers ground water assessment and drilling courses for existing water supply professionals
- **RiPPLE:** Research into Policy and Practice through Learning in Ethiopia, a DFID-funded project that acts as a Reference Centre and knowledge broker for WaSH in Ethiopia and the Nile Region. Major areas of interest reflected in publications include sustainability, water for multiple use and climate change impacts on the WaSH Sector
- **COWASH:** a Finnish-Ethiopian bilateral project having as its purpose the accelerated implementation of the Universal Access Plan and the achievement of GTP WaSH targets through the wider adoption and application of the Community Managed Project (CMP/CDF) modality. COWASH provides TA/expertise in the context of the National Capacity Building Unit.
- **Joint Technical Review** is a semi-annual review process that brings together the government and all major WaSH supporting Development Partners to review program implementation including progress and challenges. These reviews provide an excellent opportunity for “big picture” learning and strategic problem solving
- **Multi-Stakeholder Forum** is an annual event that brings together stakeholders from government (including representatives from the four signatory Ministries), Development Partners, civil society organizations, and the private sector to review progress in the WaSH sector and to agree on key strategic undertakings to be jointly pursued during the year ahead. As such, the MSF is designed to improve communication between stakeholders, as well as supporting the mutual objectives of coordination, harmonization and alignment among partners across the implementing sectors

### 7.5.2 CIVIL SOCIETY ORGANIZATIONS

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





## 8 MONITORING AND EVALUATION

### 8.1 DATA SOURCES

A harmonized and integrated WaSH sector requires a harmonized and integrated monitoring and evaluation (M&E) system. Data needs to be collected regularly and timely from different sources at different levels. In particular these are:

- **WaSH Financial & Physical Reports:** These reports are submitted quarterly at every level and contain categories of information that are required by WaSH M&E managers regarding progress toward expected results and value for money.
- **Education and Health Information Systems:** Specific WaSH information questions are embedded in surveys and inventories administered by the education and health sector offices
- **Water Supply Management Information System and National WaSH Inventory:** The major portion of WaSH data is derived from the MoWE Water Supply MIS and includes information on:
  - The location and functional status of existing schemes
  - The development of new infrastructure
  - The expansion of existing schemes
  - The rehabilitation of abandoned or non-functioning schemes
  - The local (Kebele) WaSH planning process
- **The Household Survey System:** These reports are generated by the Central Statistical Agency and include such instruments as the Population Census, the Demographic & Health Survey and the Welfare Monitoring Survey. These surveys are planned to occur every few years and produce WaSH related data that can be used to confirm or question the results from the other sources.

### 8.2 M&E ACTORS

The WaSH M&E system comprises a wide variety of different actors at different level. See below for an overview.

Who	M&E roles and responsibilities
Water users / water point management group / WASHCO	Completes annual WaSH inventory
Kebele WaSH Teams	Supports WASHCOs to complete the Annual WaSH Inventory Completes Annual WaSH Inventory where there is no WASHCO Reviews WaSH status at School and Health Post Studies data and completes an analysis of the Kebele WaSH situation Uses M&E results to prepare and propose a Kebele Annual WaSH Plan Forwards data to Woreda WaSH Team Prepares monthly, quarterly, and annual WaSH progress reports and send to the Woreda Conduct WaSH progress review meeting quarterly with all Kebele WaSH stakeholders Participate at Woreda level WaSH progress review meeting quarterly
Woreda WaSH Teams	Supports Kebeles perform their roles of data gathering, WaSH analysis and action planning Visits all non-functional PPWSS to support users and Kebele to restore functionality Conducts technical assessment of every 3 years Verifies Kebele summaries against paper records for accuracy; makes any corrections Enters data from Kebele summaries onto computer spread sheet into one consolidated record of all Kebeles Performs analysis e.g. comparison between Kebeles and against previous year Uses M&E results to prepare a woreda Annual WaSH Plan Sends spread sheet and paper records to Regional or Zonal WaSH Coordination Office Prepares monthly, quarterly, and annual WaSH progress reports and send to the Zone/Region Conduct WaSH progress review meeting quarterly with all Woreda WaSH stakeholders Participate at Region/zone level WaSH progress review meeting quarterly



Who	M&E roles and responsibilities
Region / Zone WaSH Coordination Office	Supports Woredas perform their roles Verifies Woreda summaries against paper and computer records Recruits and Supervises data entry contractor Consolidates all Woreda records into one file for the complete Region / Zone Performs analysis e.g. comparison between Woredas and against previous year Uses M&E results to prepare annual Regional / Zone Annual WaSH Plan Sends spread sheet and summary analysis to National WaSH Coordination Office Prepares monthly, quarterly, and annual WaSH progress reports and send to the NWCO Conduct WaSH progress review meeting quarterly with all regional WaSH stakeholders including zones, Woredas and towns Participate at national level WaSH progress review meeting quarterly
TWTT, TWB, Town Utility	Completes One Time Report UWS-OTR, Completes Annual Report UWS-AR, Compares changes between years and reports on these to Region / Zone / Woreda Uses these data to report to public in Annual Report Use M&E data to prepare WaSH Annual Plan Forwards M&E data to R/Z WaSH Coordination Office Prepares monthly, quarterly, and annual WaSH progress reports and send to the RWCO Conduct WaSH progress review meeting quarterly with all town WaSH stakeholders Participate at regional level WaSH progress review meeting quarterly
National WaSH Coordination Office	Consolidates all Regional and Urban data Uses M&E results to prepare JTR reports etc Uses M&E results internationally with AMCOW, JMP etc Uses results to prepare and propose investment plans and loan / grant applications and national Annual WaSH Plan Provides NWTT with a consolidated WaSH M&E Report Prepares monthly, quarterly, and annual WaSH progress reports and send to the NWTT Conduct WaSH progress review meeting quarterly with all national and regional WaSH stakeholders Organizes annual MSF

### 8.3 REPORTING FREQUENCIES

Reporting Frequencies for the main M&E actors are given below:

- Kebele WaSH Team (KWT) submits monthly, quarterly, and annual WaSH progress reports to WWT
- Woreda (WWT) submits monthly, quarterly, and annual WaSH progress reports to Zone/Region
- Region (RWCO) submits monthly, quarterly, and annual WaSH progress reports to NWCO
- NWCO submits monthly, quarterly, and annual WaSH progress reports to NWTT and through it to NWSC

The WaSH progress reports will include both physical and financial status. Monthly and quarterly reports should show the progress against planned activities and/or outputs while the annual plan should show the achievements in meeting the annual targets, i.e. output and outcome results.

### 8.4. WaSH PROGRESS REVIEW MEETINGS

- KWT conducts quarter and annual WaSH progress review meetings with all Kebele WaSH stakeholders
- WWT conducts quarter and annual WaSH progress review meetings with the Woreda WaSH stakeholders including Kebele representatives,
- RWCO conducts quarter and annual WaSH progress review meetings with the region WaSH stakeholders including zone and woreda representatives,
- NWCO conducts quarter and annual WaSH progress review meetings with the national WaSH stakeholders including regional representatives,
- Joint Technical Review (JTR) meetings with WaSH development partners will be held twice in a year and Multi-stakeholders Forum (MSF) involving the major WaSH stakeholders will be held once in a year at national level. Similarly Regional multi-stakeholders' Forum will be conducted at regional level once in a year.





- Depending on the necessity, program mid-term and termination review could also be conducted at national level.

## 9. THE STRATEGY FOR NATIONAL WaSH PROGRAM IMPLEMENTATION

The planning, financial, procurement, implementation, and monitoring mechanisms outlined in the Framework will be in place by 2005 EFY and National WaSH Program (WaSH GTP/UAP) will fully start implementation in compliance with the Framework by the beginning of 2006 EFY. Thus, the following major activities are anticipated to be in place before the year 2005 EFY:

- the multi-donor Consolidated WaSH Account
- approved harmonized and integrated Annual WaSH Plans and Budgets at all levels
- operational WaSH coordination structures at all levels
- tools and procedures necessary for integrated planning, reporting and monitoring
- harmonized strategies and core materials for capacity building

Proposed time frame to Implementation and the urgency of GTP targets require parallel and simultaneous preparatory action. For instance:

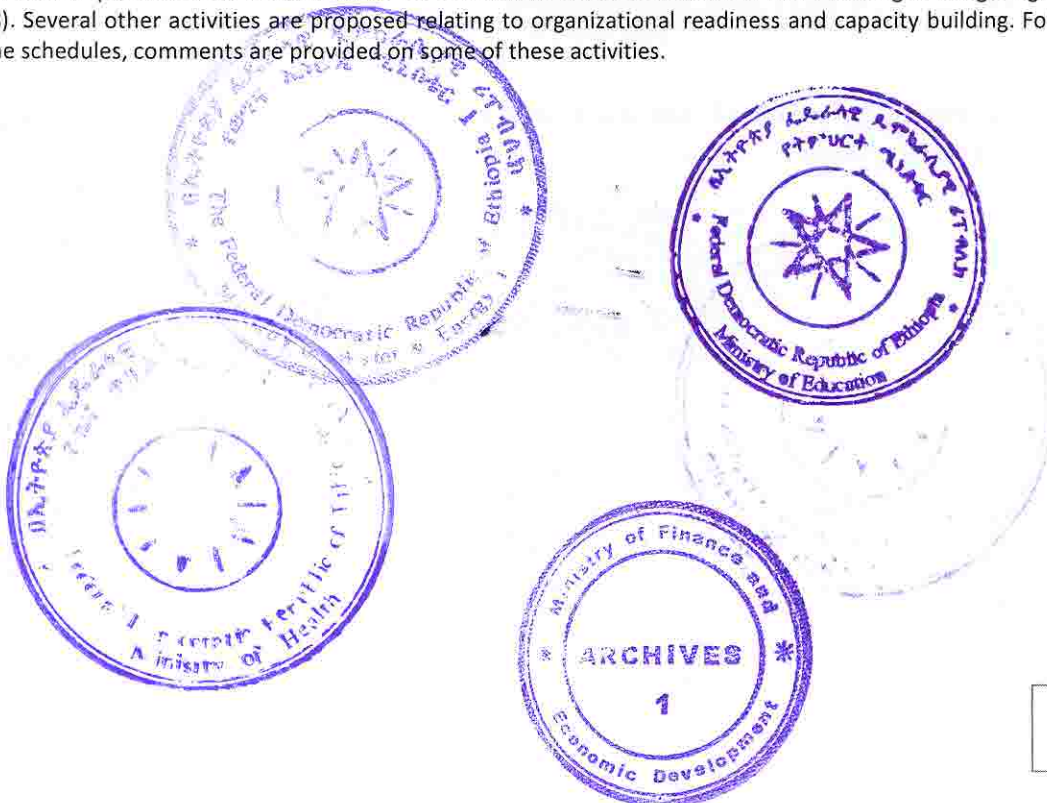
- work can and must start immediately, even prior to WIF approval, on the design and development of tools and mechanisms for integrated planning, budgeting and reporting
- the process of harmonizing training materials and drafting operational manuals can and should be started without delay

### 9.1 CORE PROCESS

The core process is Planning & Budgeting for EFY 2006 over the next months. This process is elaborated in some detail in future. To carry the process forward, however, the basic WaSH structures need to be in place and tools and mechanisms available for integrated planning, budgeting and reporting. The key drivers of the process will be the coordination agencies at each level with the National WaSH Coordination Office providing the lead, the direction and the technical resources.

The NWCO will need to bring regional WaSH implementing agencies – including WPMUs, WSA (WSGs) and NGOs together to introduce and work through the planning, budgeting and reporting processes and to familiarize them with the associated tools, formats etc. The Regions, in turn, will need to provide corresponding workshops for town and woreda WaSH implementers (Boards & WWTs).

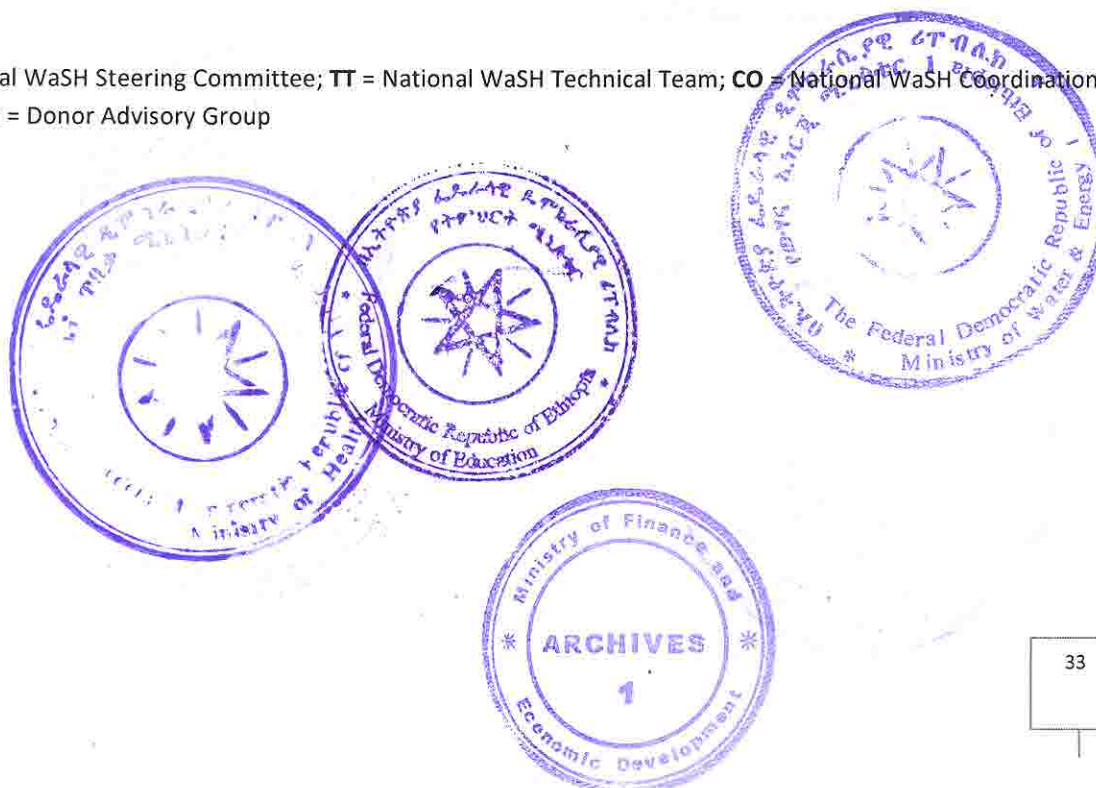
Tri-level Implementation Schedules are set out below. These are based on WIF Planning & Budgeting section (8). Several other activities are proposed relating to organizational readiness and capacity building. Following the schedules, comments are provided on some of these activities.



## A. National level WaSH Program Implementation Schedule

No	Activities	Responsible body	2013					
			Mar	Apr	May	Jun	Jul	Aug
	<b>Organizing</b>							
1	Establish National Structures	SC						
2	Confirm Development Partners Commitments	SC						
3	Establish CWA with MoFED	TT>MoFED						
	<b>Planning</b>							
4	Provide Indicative Ceilings & Targets	TT>MoFED						
5	Prepare National WaSH Strategic Plan	CO>TT>SC						
6	Identify/cost WaSH activities by sector	CO						
7	Consolidate Regional Core Plans	CO>TT						
8	Draft & recommend National Core Plan	CO>TT						
9	Nat. Core Plan approved/ endorsed	SC & DAG						
10	Notify Regions of Core Plan approvals	CO						
11	Consolidate Regional AWP/budgets	CO						
12	Draft National AWP/budget	CO>TT						
	<b>GoE issues Budget Call</b>							
13	Nat. AWP/budget approved/endorsed	SC/DAG						
	<b>GoE Budget Request Deadline</b>							
14	Notify Regions of Plan/budget approvals	CO						
15	Incorporate WaSH in Sector Plans	WMUs						
	<b>Capacity Building</b>							
16	Prepare planning & reporting tools	CO						
17	Provide Regional Prep. Workshops	CO						

SC = National WaSH Steering Committee; TT = National WaSH Technical Team; CO = National WaSH Coordination Office; DAG = Donor Advisory Group





**B. Regional level WaSH Program Implementation Schedule**

No	Activities	Responsible body	2013					
			Mar	Apr	May	Jun	Jul	Aug
	<b>Organizing</b>							
1	Establish regional/zonal WaSH structures	WM						
	<b>Planning</b>							
2	Revise Strategic Plan - priorities	CO>WM						
3	Propose ceilings/targets to woredas etc.	MC>BFD						
4	Review & aggregate Core Plans from field	CO>WM						
5	Draft Regional Core Plan & forward	CO>WM						
6	Notify field of approved Core Plans	CO						
7	Review & aggregate AWP from field	CO>WM						
8	Prepare Regional AWP and forward	CO>WM						
9	Notify woredas etc of Plan/budget approvals	CO						
10	Incorporate WaSH in Regional Sector Plans	WM						
	<b>Capacity Building</b>							
11	Provide Woreda/Town Prep'n. Workshops	CO						
12	Adapt/translate planning/reporting tools	CO						

WM = Regional WaSH Management; CO = Coordination Office; BFD = BoFED

**C. Zones, WWTs & Water Boards level WaSH Program Implementation Schedule**

No	Activities	Responsible body	2013					
			Mar	Apr	May	Jun	Jul	Aug
2	Foster Kebele/community WaSH planning	Mgmt.						
3	Receive/assess/respond to Kebele plans	Mgmt.						
4	Prepare <b>Core Plans</b> & forward to Regions	Mgmt.						
5	Draft Annual WaSH Plans ( <b>AWPs</b> )	Mgmt.						
6	Complete AWP and forward to Regions	Mgmt.						
7	Notify kebeles etc of Plan/budget approvals	Mgmt.						
8	Incorporate WaSH in Woreda/Town Plans	Cabinets						

Mgmt. = WWTs, Water Boards, Zonal WaSH Committees.

