

FINAL REPORT:

Evaluation of WASH Capacity Building Interventions in Ethiopia



Helle Stolz, Getachew Abdi and
Yemarshe Yemane

June 2013



**EVIDENCE
ON DEMAND**

CLIMATE & ENVIRONMENT
INFRASTRUCTURE | LIVELIHOODS



This report has been produced with the assistance of the UK Department for International Development (DFID). The work was contracted through the Climate, Environment, Infrastructure and Livelihoods Professional Evidence and Applied Knowledge Services (CEIL PEAKS) programme, which is jointly managed by HTSPE Limited and IMC Worldwide Limited.

The views expressed in the report are entirely those of the author (s) and do not necessarily represent DFID's own views or policies, or those of Evidence on Demand. Comments and discussion on items related to content and opinion should be addressed to the author, via enquiries@evidenceondemand.org

DOI: http://dx.doi.org/10.12774/eod_cr.june2013.hstolz



Contents

List of Acronyms and Abbreviations	iv
Acknowledgements	vi
Executive summary	vii
SECTION 1	1
Introduction	1
1.1 Background	1
1.2 Objectives and Scope of Evaluation.....	2
SECTION 2	4
Methodology and Limitations.....	4
2.1 Methodology.....	4
2.2 Limitations	8
SECTION 3	10
WASH Sector Context.....	10
3.1 Demographic and Socio-Economic Characteristics.....	10
3.2 Characteristics of the WASH Sector.....	10
3.2.1 WASH Situation.....	10
3.2.2 Policy, Strategy and Planning Framework.....	11
3.2.3 Institutional Framework	13
SECTION 4	17
Evaluation of Capacity Building Elements of the WSSP.....	17
4.1 WSSP Components and Approach	17
4.2 Relevance	19
4.2.1 Relevance and Coherence of Capacity Building Approach	19
4.2.2 Relevance of Three Main Categories of Capacity Building Interventions	21
4.2.3 Relevance of Combination of Capacity Building for the Demand and Supply Sides	21
4.2.4 Attention to and Relevance of Capacity Building on Sanitation and Hygiene Promotion.....	21
4.2.5 Contributions of Capacity Building Interventions to Progress in Achieving Targets	22
4.3 Effectiveness.....	23
4.3.1 Achievement of Capacity Strengthening Objective, Outcomes and Outputs... 23	
4.3.2 Regional and Zonal Levels.....	26
4.3.3 RWSS Component.....	27
4.3.4 UWSS Component.....	31



4.3.5 Interaction and Information Flow between Different Levels	33
4.3.6 Private Sector: Consultants, Artisans, Contractors and Suppliers.....	34
4.4 Efficiency	37
4.4.1 Efficiency in the WSSP's Design of Capacity Building Interventions	37
4.4.2 Efficiency in the WSSP's Implementation of Capacity Building Interventions..	38
4.5 Impact and Sustainability	39
4.5.1 RWSS Component	39
4.5.2 UWSS Component	41
4.5.3 Competition for Qualified Staff a Barrier to Sustainable Capacity Building.....	42
SECTION 5	43
Evaluation of DFID/GoF/IDC Capacity Building Project	43
5.1 Project Windows and Focus.....	43
5.2 Relevance	45
5.2.1 Relevance and Coherence of Capacity Building Approach	45
5.2.2 Relevance of Three Main Categories of Capacity Building Interventions	45
5.2.3 Relevance of Combination of Capacity Building for the Demand and Supply Sides	45
5.2.4 Attention to and Relevance of Capacity Building on Sanitation and Hygiene Promotion.....	46
5.2.5 Contributions of Capacity Building Interventions to Progress in Achieving Targets	46
5.3 Effectiveness	46
5.3.1 Achievement of Goal, Purpose and Outputs	46
5.3.2 Window 1: Organizational Development	49
5.3.3 Window 2: Continuous Professional Development.....	52
5.3.4 Window 3: Strategic Sector Support.....	52
5.3.5 Influence of External Factors Recorded as Assumptions in Key Project Documents	53
5.4 Efficiency	54
5.5 Impact and Sustainability	55
SECTION 6	57
Comparison with other Capacity Building Initiatives	57
6.1 Community-Led Accelerated WASH Programme (GoF)	57
6.2 WSP-supported Sanitation and Hygiene Promotion Programme	58
6.3 Multi-Village Rural Piped Water Schemes (NGOs)	59
6.4 Urban WASH Capacity Building (WaterAid)	60



6.5 Pastoralist Community Development Project in Somali.....	60
6.6 WASH Implementation Framework (WIF)	61
SECTION 7	63
Conclusions and Lessons Learnt	63
SECTION 8	74
Recommendations and Going Forward.....	74
8.1 Minimum Capacity Required and Main Gaps	74
8.2 Recommendations and Guidance	76
8.3 Minimum Capacity Building Package for Main WASH Actors	82

List of Tables


Table 1 Overview of Institutions Providing Information	8
Table 2 Water Supply Access and Usage and Latrine Access	10
Table 3 Rural WASH Programmes and Number of Woredas supported by Region.....	16
Table 4 Achievement of WSSP Objective and Outcomes	25
Table 5 Local consultants and service providers capacitated	25
Table 6 WSSP Capacity Related Risk Assessment	37
Table 7 Comparison of Programme Management Costs.....	38
Table 8 Achievements of WASH Capacity Building Project Goal, Purpose and Outputs	48
Table 9 Assessment of Assumptions	54
Table 10 Comparison of Capacity in 2002-2003 and in 2013	66
Table 11 Summary of Evaluation Questions and Conclusions & Lessons Learnt	73



List of Acronyms and Abbreviations

AfDB	African Development Bank
CB	Capacity Building
CLTS	Community Led Total Sanitation
CLTSH	Community Led Total Sanitation and Hygiene
CMP	Community Managed Project
COWASH	Community-Led Accelerated WASH
DAG	Development Assistance Group
DFID	Department for International Development
DHS	Demographic and Health Survey
EWTEC	Ethiopian Water Technology and Education Centre
FGD	Focus Group Discussion
GLoWS	Guided Learning on Water Supply and Sanitation
GoE	Government of Ethiopia
GoF	Government of Finland
GTP	Growth and Transformation Plan
HEW	Health Extension Worker
HIP	Hygiene Improvement Project
HR	Human Resources
HSC	Health Science College
IDA	International Development Association
IDC	Italian Development Corporation
IEC	Information, Education and Communication
IRT	Integrated Refreshment Training
JICA	Japan International Cooperation Agency
LBDI	Learning by Doing Initiative (on Sanitation and Hygiene)
l/c/d	Litres/capita/day
MDG	Millennium Development Goal
MoE	Ministry of Education
MoFA	Ministry of Federal Affairs
MoFED	Ministry of Finance and Economic Development
MoH	Ministry of Health
MoU	Memorandum of Understanding
MoWE	Ministry of Water and Energy
NWCO	National WASH Coordination Office
NGO	Non-Governmental Organisation
NWI	National WASH Inventory
OECD-DAC	Organisation for Economic Co-operation and Development – Development Assistance Committee
O&M	Operation and Maintenance
PAD	Project Appraisal Document
PCDP	Pastoral Community Development Project
PMU	Project Management Unit
RWSS	Rural Water Supply and Sanitation
S&H	Sanitation and Hygiene
SNPPR	Southern Nations, Nationalities and People's Region
SNV	Netherlands Development Organisation
SWAp	Sector Wide Approach
ToR	Terms of Reference
ToT	Training of Trainers





TVETC	Technical and Vocational Education and Training Centre
UAP	Universal Access Program
UNICEF	United Nations Children’s Fund
VfM	Value for Money
WASH	Water Sanitation and Hygiene
WASHCO	WASH Committees
WIF	WASH Implementation Framework
WSP	Water and Sanitation Program (administered by the World Bank)
WSS	Water Supply and Sanitation
WSSP	Water Supply and Sanitation Project (funded by IDA/DFID)
WWT	Woreda WASH Team



Acknowledgements

The evaluation team would like to express its sincere gratitude to all stakeholders met, including representatives from public institutions at federal, regional, zonal, woreda, town and kebele levels, community members, training institutions, consultants, contractors, NGOs and other development partners. Their assistance was very helpful and valuable, without which this evaluation would not have been possible.

It is our sincere hope that this evaluation will prove useful for sector stakeholders and Ethiopia's future One WASH Programme.



Executive summary

Introduction

This is an independent evaluation of the capacity building interventions under the IDA/DFID supported Water Supply and Sanitation Project (in the following referred to as the WSSP) and the WASH Capacity Building Project (in the following referred to as the Capacity Building Project) supported by DFID, the Government of Finland (GoF) and the Italian Development Corporation (ICD). The WSSP is being implemented from 2004-2013 and the Capacity Building Project from 2008-2013. The evaluation aims to provide an overarching assessment of capacity building interventions under the two projects, and to the extent possible, other major WASH capacity building initiatives, assessing lessons learned from both successful and less successful capacity building elements. It is the intention that the evaluation is to provide an input to the development of future capacity building approaches of the One WASH National Programme.

The evaluation has included collection and review of existing documents and data, semi-structured interviews and meetings at federal level and in Amhara, Somali and Southern Nations, Nationalities and People's Region (SNNPR). In the three regions, there have been interviews and meetings at regional level, in four zones, eight woredas, and six towns and at kebele and community levels. The woredas and towns were purposively selected to include woredas and towns supported by the IDA/DFID, other donors and the Government of Ethiopia (GoE) respectively.

Water Supply and Sanitation Project (WSSP)

During its eight - nine years of implementation, the WSSP has prepared a substantial number of guidelines, manuals and other materials, which have been used in all nine regions and the 224 woredas, 81 small towns and 31 medium sized towns supported by the WSSP. It has also trained many WASH professionals from the public and private sectors as well as community members in all nine regions.

It is assessed that the level of regional and woreda WASH coordination and integration has increased as a consequence of the capacity building provided by the WSSP, i.e. there is more coordination and integration of WASH activities today than there was when regional capacity assessments were conducted in 2002-2003, i.e. before the start of the WSSP. This is particularly the case in woredas which have received support from the WSSP - or other donor-supported WASH programmes. There has also been some replication effect to woredas which have only received GoE support.

It is, however, problematic that most training was provided during the initial 2-3 years of the programme and that the time-based contracts of the woreda support groups, the community facilitation teams and town support groups expired before the start of construction activities. The high staff turn-over in the public sector, particularly among woreda staff, is a big challenge in this connection as there has been very limited training of new staff and there is no system for – or tradition of – handing over knowledge, manuals, data etc. to successors.

As a consequence of the above training and support on Operation and Maintenance (O&M) is one area that appears to have been given less attention than intended in the design of the WSSP. In rural areas, this has in particular caused problems in relation to the O&M of rural piped schemes.



Sanitation and hygiene promotion was paid attention in the design of the RWSS component of the WSSP. The woreda support groups included for example a hygiene and sanitation promotion specialist, who provided training at woreda and community level during the initial years of the programme. Furthermore, the adjustments made following the 2007 Mid Term Review appear to have increased the effectiveness of the sanitation and hygiene promotion significantly, especially the decision to use the trained Health Extension Workers (HEWs) for sanitation and hygiene promotion. The HEWs are thus assessed to have played a key role in reducing open defecation in Ethiopia's rural areas. It is assessed that complementary sanitation and hygiene promotional approaches and related capacity building interventions are needed in order to achieve the targets of access to improved sanitation.

The WSSP attempted to consider regional differences by developing special guidelines for Somali and Afar regions, which have high levels of pastoralism. However, at least in Somali region this guideline appeared not to be used at the time of the evaluation – nor has it been adequately used in the past.

The town support groups provided much training to water boards in small towns and this training appears to have been effective. It is thus assessed that the small town water boards are reasonably well-functioning. There appears to have been a replication effect of the WSSP supported capacity building for town water boards to other donor/NGO supported programmes but not to any significant extent to GoE supported towns. It is recognized, though, that town water boards have been established in GoE supported towns, but GoE has rarely financed any capacity building activities for these boards.

The utilities in WSSP supported small towns have received some training, but this training does not appear to have been as effective as the training for the water boards, one reason being the lack of (training) guidelines and manuals specially tailored to the utilities and another reason being that the contracts of most town support groups had expired before the start of rehabilitation and/or construction activities. Many of the WSSP manuals for utilities have, however, been revised over the last 1-2 years and now appear more targeted.

In the case of medium size towns, consultants contracted through an open bid tendering process were assumed to have the capacity to conduct the required training, without first receiving much orientation or training from the WSSP. However, this assumption proved not to be correct and the regional water bureaus are now conducting, or organizing for, additional training of water boards and utilities in the WSSP-supported medium-size towns.

Almost all WSSP-supported towns have prepared integrated sanitation plans as required, but very few of them have implemented these plans. The WSSP's UWSS component has provided very little, if any, training on sanitation and hygiene promotion.

The WSSP has been effective in building the capacity of the private sector, by training and employing a number of consultants as national consultants, regional support teams, woreda support groups and town support groups. Many of these consultants are reported to still work in the WASH sector. The WSSP has also trained more than 2,000 artisans in the construction and repair of point water sources, while only a few contractors and drillers have benefitted from some limited orientation or training.

The low demand for spare parts makes it difficult to ensure that local communities and artisans have access to spare parts within a reasonable distance. The WSSP has paid attention to this problem, among others by initiating a supply chain study in 2010. The study's recommendations focussed on supporting the private sector in establishing sub-regional outlets. It appears very little action has been taken based on the findings and recommendations of the study.



It is assessed that the WSSP has contributed to gender mainstreaming within the sector, particularly through its support to establishment and training of WASH Committees (WASHCOs), where normally 40-45% of WASHCO members are women. Its capacity building activities at regional, woreda and town levels have mainly benefitted men, as most WASH employees are men, especially those in decision-making positions.

Capacity Building Project

The Capacity Building Project has contributed to both immediate capacity strengthening through training of individuals and more long-term and continuous capacity building through strengthening of the Technical and Vocational Education and Training Centres (TVETCs) and Health Science Colleges (HSCs). This combination is considered effective and good value for money as the many short training courses for WASH professionals have produced immediate results, while the capacity building of the TVETCs and HSCs aims at ensuring that a sufficient number of well-qualified WASH specialists are available in the future. In other words, by providing capacity building to training institutions the project has contributed to institutionalising capacity building interventions. The capacity building of training institutions is considered a good complement to the capacity building interventions under the WSSP.

The project has provided much support to strengthening the WASH coordination structures at federal level. The engagement of a number of national consultants to assist MoWE in this connection is considered effective and also good value for money as an interim solution, but can only be considered efficient in the long-term if the National WASH Coordination Office and the Capacity Building Facility are fully integrated into Government structures.

The technical assistance provided to the Ministry of Health (MoH) is considered effective in enhancing the sanitation and hygiene promotion capacity at woreda and kebele levels. Due to the very limited number of MoH staff involved in sanitation and hygiene promotion, it is assessed that the technical assistance has been less effective and efficient in enhancing and sustaining the capacity at federal level so that MoH can continue carrying out its sanitation and hygiene promotion responsibilities after the end of the project.

Capacity assessments have been conducted for 16 TVETCs and HSCs and support has been provided to eight TVETCs and four HSCs. Stakeholders have in particular emphasized the practical focus of the support. The introduction of the Guided Learning on Water Supply and Sanitation (GLoWS) approach is considered an effective way of introducing a more practical focus into the TVETC training in SNNPR. The approach is now being extended to Oromia, Amhara and Tigray regions with funding from the Netherlands Government. There has thus been a replication effect of the GLoWS approach developed and piloted with support from the Capacity Building Project.

After receiving training, the supported TVETCs and HSCs have now i) developed/revised their own specific WASH curricula so they inter alia are aligned with the national occupational standards, ii) facilitated that a number of their instructors has passed the national certificate of competence exams, iii) introduced national certificate exams for their graduate students, iv) managed to get agreements with additional companies and institutions on the practical training elements of their study programmes (the so-called corporate training). In addition, the procurement of tools, equipment, and laboratory and workshop facilities is assessed to be effective in improving the in-campus practical training of the TVETCs and HSCs.

The Capacity Building Project has been effective in providing training to a substantial number of WASH professionals. Much attention has been paid to capacity building related to



sanitation and hygiene promotion, through funding of training courses for HEWs and other health staff and provision of technical assistance to MoH (a full-time expert). There is general agreement that the HEW network has played a key role in reducing open defecation in the rural areas of Ethiopia. The achievements in this respect can be partly attributed to the Capacity Building Project. It is, however, assessed that complementary sanitation and hygiene promotional approaches and related capacity building interventions are needed in order to achieve the targets of access to improved sanitation.

It is assessed that the project has contributed to gender mainstreaming within the sector, particularly through its training of TVETC/HSC teachers and the conduct of at least one training course for regional WASH staff on gender mainstreaming.

The project has provided considerable funding for the development and roll-out of the National WASH Inventory (NWI). The project's support to the NWI is assessed as highly relevant as it is expected to contribute to substantially better and more realistic planning and monitoring of future WASH interventions. It should be noted that also the WSSP has provided substantial financial resources and other support to the NWI.

Comparison with Other Capacity Building Interventions

The Community-Led Accelerated WASH programme (COWASH), which started in 2011, appears to use a cascaded capacity building approach which has many similarities to the approach used by the WSSP. The main difference is that the COWASH training is to be provided over a longer period of time with slow phasing out of capacity building support and monitoring. Furthermore, zonal personnel are among those trained as trainers.

Based on experience from the Learning by Doing Initiative (LBDI) on total behaviour change in sanitation and hygiene in Amhara, the WSP is now paying special attention to sanitation marketing, i.e. supporting the building of a viable market for sanitation goods and services. There is limited experience with sanitation marketing in Ethiopia and it will be important to assess the experiences with this approach and the capacity building interventions required.

The study conducted in 2010 of seven multi village piped water supply schemes shows that local communities are able to manage and maintain rural piped schemes. The capacity building interventions appear to have been substantial and to have continued over a considerable period of time with much training provided directly by NGO staff. Although the study assessed the sustainability of the seven multi village schemes to be high, it will in the evaluation team's view not be possible for GoE to find the resources to widely replicate the capacity building approach used in connection with these schemes.

WaterAid has provided intensive training for water boards and utilities in seven towns. After the initial training, annual mentoring and support is provided. In particular, the practical training on O&M was much appreciated by the utility met by the evaluation team. The training provided to the water board appears to be similar to the training provided by town support groups to WSSP-supported small towns and also the capacity of the boards appears to be similar.

The WASH Implementation Framework's (WIF) capacity building approach builds on the experiences of the WSSP and other WASH programmes and is considered overall appropriate. It includes, however, not capacity building for the supply side, i.e. TVETCs, HSCs and possibly other training institutions, although TVETCs are mentioned as training providers. Capacity assessments of 16 TVETCs and HSCs conducted with support from the Capacity Building Project and also the evaluation team's visits to several TVETCs/HSCs show that many capacity gaps exist in these institutions.



Main Capacity Gaps

Section 8.1 includes an outline of what the evaluation team finds is the “at least minimum level of capacity required for investments to be made, water / sanitation facilities to be constructed, to remain working and to be used effectively”.

The main capacity gaps identified by the evaluation team are in relation to the following (the mentioned gaps are not in any order of priority):

- Management, including O&M, of rural piped water supply schemes (community and woreda levels)
- O&M, procurement, financial management and customer relations in connection with urban piped water supply systems (utilities)
- Approaches to promote rural and urban households moving up the sanitation ladder, e.g. sanitation marketing (HEWs, woreda, town and other health staff)
- The low number of federal-level MoH staff directly involved in sanitation and hygiene promotion activities (federal level)
- Increased coordination and integration of WASH activities (woreda, town, zonal, regional and federal levels)
- The facilities and the quality of the training in TVETCs and HSCs which have not received recent support
- Lack of up-to-date knowledge and skills of many WASH staff recently employed (woreda and other levels)
- Lack of up-to-date knowledge and skills in drilling, design, environmental & social impact assessments, and construction quality standards (private sector)
- Lack of incentives and seed financing to sell spare parts at sub-regional level (private sector)
- Lack of system(s) for handing over and sharing knowledge, guidelines and other materials with colleagues (all levels)
- Insufficient integrated planning, financial management, procurement and M&E skills (particularly at woreda and regional levels)
- Lack of attention, knowledge and skills related to gender mainstreaming

Recommendations

The following recommendations have been grouped under eight headings. They should be seen as inputs to the ongoing discussions on the capacity building approach and interventions to be used in the WASH sector’s move towards a One WASH Programme.

Capacity Building Approach

***Recommendation 1:** Human resources (HR) capacity building should be provided on a continuous basis over a considerable period of time in order to allow for initial relatively intensive training as well as refresher training, coaching and follow-up.*

***Recommendation 2:** The HR capacity building should have a practical learning-by-doing approach, using and building on the GLoWS principles now being used to build the capacity of woreda staff and artisans.*

***Recommendation 3:** A cascaded training approach should continue to be used for rural water supply and sanitation. For urban water supply and sanitation, it will also be relevant to use a cascaded training approach for promotion of good hygiene practices and improved on-*



site sanitation. A cascaded training approach is less relevant for urban water and sewerage utilities, whose capacity should be enhanced through training courses and on-the-job training by relevant training institutions, NGOs and consultants.

Recommendation 4: Horizontal experience sharing is often an effective and relatively inexpensive way of enhancing the capacity of different groups and this should be further developed at different levels.

Guidelines, manuals and systems

Recommendation 5: In line with the WIF, WASH guidelines, manuals and other materials should be reviewed, harmonised and updated – and new ones developed, as required. In particular, specific operation and maintenance manuals should be prepared for different types of urban water supply schemes and equipment.

Recommendation 6: Assistance should be provided to establish systems – and to ensure commitment to using such systems - for handing over responsibilities, sector knowledge, manuals, guidelines and data before WASH professionals leave their positions.

Strengthening both Capacity Supply and Demand Sides

Recommendation 7: HR capacity building should focus on both the supply side (training institutions) and the demand side (individual WASH actors). Focus should be on institutionalising capacity building interventions, by enhancing the capacity of TVETCs, HSCs and possibly other training institutions to provide good-quality and demand-responsive long-term study programmes as well as tailor-made short training courses.

Operation and Maintenance (O&M)

Recommendation 8: High attention should be paid to capacity building on O&M for both rural and urban water supply and sanitation. This should initially focus on finding a solution for the significant number of rural piped water schemes which appear to have been constructed without sufficient community and woreda involvement and ownership and which now face O&M problems.

Recommendation 9: A sustainable solution should be found so local communities get access to spare parts and maintenance support at affordable rates within a reasonable distance, preferably through the private sector.

Sanitation and Hygiene Promotion

Recommendation 10: MoH should review its federal-level responsibilities in relation to sanitation and hygiene promotion and allocate the number of federal-level staff and operational budget required to carry out these responsibilities.

Recommendation 11: The experience in Ethiopia of piloting the implementation of sanitation marketing should be assessed and, if positive, scaled up to encourage and facilitate that people move up the sanitation ladder. Capacity building should be provided to artisans and health staff. Sanitation marketing is relevant in both rural and urban areas.

Recommendation 12: Increased attention should be paid to sanitation and hygiene promotion in towns, including peri-urban areas, and the related capacity building. In addition to promoting good hygiene and appropriate on-site sanitation options, appropriate solutions to sludge management and the required capacity building interventions should be identified and implemented.



Planning, Procurement, Financial Management and Monitoring

Recommendation 13: Training and coaching should continue to be provided on integrated WASH planning skills at particularly woreda, zonal and regional levels, but also at federal level.

Recommendation 14: Procurement and financial management are other areas where capacity building needs to continue, particularly at utility, woreda and regional levels. Training of utility staff in customer relations is also important.

Recommendation 15: Priority should be given to capacity building in monitoring of progress and impact and not least the use of monitoring data for planning purposes. The monitoring system described in the WIF requires the use of NWI data, which is considered essential.

Strengthening Private Sector Capacity

Recommendation 16: Training should be offered to the private sector to strengthen its involvement in and contribution to the WASH sector. Initially, the priority should be to increase the capacity related to drilling, design of piped water schemes, environmental and social impact assessments and quality standards for construction.

Gender Mainstreaming

Recommendation 17: MoWE's recent Gender Mainstreaming Guideline should be used as the basis for training at different levels, including for training of teachers in TVETCs, HSCs and possibly other training institutions.

Further details and guidance are included in section 8.2, while an overview of the suggested minimum capacity building activities for the main WASH actors is included in section 8.3.



SECTION 1

Introduction

1.1 Background

Upon the request of the Government of Ethiopia (GoE), the World Bank designed a major water supply and sanitation project (WSSP – P076735) in close cooperation with relevant federal and regional institutions, with the objective to “increase access to sustainable water supply and sanitation services for rural and urban users through improved capacity of sector stakeholders”. Implementation of the project started in November 2004 with International Development Association (IDA) funding, while the United Kingdom’s Department for International Development (DFID) has provided funding since 2008 through a World Bank Trust Fund. The project has a revised closing date of September 2013.

The IDA/DFID WSSP has three components, namely i) Rural Water Supply and Sanitation, ii) Urban Water Supply and Sanitation and iii) Programme Support. Initially the WSSP was planned to introduce approaches for integrated WASH in 204 woredas and 50 towns throughout the country. Later additional funding was received and the project activities were expanded to cover the preparation and implementation of woreda WASH plans in 224 woredas.

A complementary water, sanitation and hygiene (WASH) capacity building initiative was developed in 2008. This was initially envisaged as a Capacity Building Pooled Fund, but materialised as bilateral support funded by DFID, the Italian Development Cooperation (IDC) and the Government of Finland (GoF). The initiative is organised in a coordinated way with funds channelled through the United Nations Children’s Fund (UNICEF), with a common framework and joint reporting. DFID’s support to the WASH capacity building project started in 2009 and ends in September 2013.

The coordinated DFID/GoF/IDC WASH Capacity Building Project (in the following referred to as the Capacity Building Project) has three components or windows: i) organisational development, ii) continuous professional development and iii) strategic sector support. The project is mainly related to rural water supply and sanitation.

Broadly speaking, the capacity building interventions under the WSSP and the Capacity Building Project can be divided into three categories, namely:

- Physical capacity building interventions;
- Human resource capacity building interventions; and
- Strengthening of the enabling environment.

The capacity building interventions have addressed both the demand and supply sides, i.e. both the institutions and individuals directly involved in WASH implementation and management (the demand side) and the training institutions and consultants responsible for training WASH sector actors (the supply side).



The capacity building interventions have included development of manuals, guidelines and other materials as well as procedures and systems. They have also included much training in the form of training courses and on-the-job training.

Finally, the enabling environment has been addressed through support to the roll-out of the National WASH Inventory, the half-yearly Joint Technical Reviews, research activities etc.

1.2 Objectives and Scope of Evaluation

As mentioned in the Terms of Reference (ToR), the main objectives of this evaluation are:

- To review, assess and document the achievements and lessons drawn from the capacity building activities undertaken by the IDA/DFID supported WASH programme (WSSP – P076735). It should independently evaluate the capacity building interventions and the programme's achievements against its objectives considering its relevance, efficiency, effectiveness, impact and sustainability; and
- To evaluate the DFID financed capacity building initiative managed by UNICEF and to review other ongoing and planned major capacity building initiatives in the WASH sector.

The evaluation has been done separately for the capacity building elements of the WSSP and for the Capacity Building Project. The evaluation of the latter project is an overall evaluation of the coordinated DFID/GoF/IDC WASH Capacity Building Project.

To the extent possible, other ongoing and planned major WASH capacity building initiatives by government and sector partners have also been evaluated at an overall level, with the aim of providing directions towards possible harmonisation of approaches.


Both successful and less successful capacity building elements and lessons learnt from the individual capacity building initiatives, and more generally for the sector, have been mentioned. Recommendations are made in relation to future capacity building within the sector as a whole in its move towards using a Sector Wide Approach (SWAp).

The evaluation has paid equal attention to capacity building interventions in hygiene, sanitation and water supply and has attempted to assess to what extent gender issues have been addressed through the capacity building activities.

The evaluation has utilized the Organisation for Economic Co-Operation and Development - Development Assistance Committee (OECD-DAC) evaluation criteria of relevance, effectiveness, efficiency, impact and sustainability. The evaluation questions included in the ToR in relation to the mentioned evaluation criteria have been updated, based on the findings, main issues and challenges identified during the inception period.

In a summarised form, the main capacity issues identified during the inception period were:

- Sanitation and hygiene promotion: there has been much progress in reducing open defecation, but much less progress in households moving up the sanitation ladder;
- Integration and coordination of WASH activities: there appears to be progress in this respect but still room for improvement;
- Comparison of capacity building approaches: the question is what level of capacity building the Government of Ethiopia (GoE) will be able to replicate.

- 
- Potential adjustment of responsibilities: In some instances the experience with capacity building interventions may lead to adjustments in roles and responsibilities, e.g. the responsibility for management of rural piped water schemes;
 - Capacity of the private sector: The private sector is foreseen to play an important role in future improvements within the water and sanitation sector. The question is whether and how WASH capacity building interventions have addressed private sector capacity issues and helped strengthening its capacity.
 - Gender mainstreaming in WASH capacity building: There are not many female staff in the water sector and very few in decision-making positions. This situation means that WASH capacity building activities are likely to have mainly benefitted men.
 - Competition for qualified staff: Many stakeholders have mentioned the high turn-over of WASH staff as a barrier to capacity building within the sector.
 - Physical capacity and systems: The relevance and effectiveness of the support to physical capacity and systems improvement are to be investigated.

The updated evaluation questions are included as Annex 4 to this report.

The evaluation includes capacity building interventions for all sector stakeholders (public, private and community) at each level of federal, regional, zonal, woreda, kebele and community.

During the inception period it was agreed that data were to be collected from relevant stakeholders at federal level and in purposively selected regions, woredas, towns and communities based on commonly agreed criteria. The selection criteria and an overview of stakeholders interviewed at different levels are included in section 2.1 below.

This evaluation started at the end of December 2012 and was completed in May 2013.

The evaluation team consists of three members:

- Helle T. Stoltz, international consultant and team leader
- Getachew Abdi, national consultant
- Yemarshe Yemane, national consultant



SECTION 2

Methodology and Limitations


2.1 Methodology

Triangulation has been applied by using different methods to collect data on the same issues and questions, which facilitated the validation of data through cross-checking and comparing data from more than two information sources. This included using a combination of secondary and primary data (i.e. collection and review of existing documents and collection of own data). For collection of primary data both qualitative and quantitative methods were used. For collection of quantitative data from federal, regional, woreda and town levels, specific forms were used as described below. For collection of primary data, there were semi-structured interviews at federal, regional, zonal, woreda, town, kebele and community levels and also some focus group discussions at community level and observations and brief household visits when walking through settlements; for further details see below.

Triangulation was also done by interviewing more than one person on the same issue, by comparing data, views and observations from different geographical areas and levels (federal, regional, woreda, town, kebele and community) and from both women and men. In addition, cross checking of data was done by comparing the information and views collected by different consultants. Triangulation was thus used as a means of ensuring the independence of the evaluation and of avoiding biases. Furthermore, the international team leader has had no previous involvement in the WSSP or the Capacity Building Project and therefore played an important role in upholding the independence of the evaluation.

The following methods were used:

- Collection and review of existing documents; these include WASH policy and strategy documents, appraisal reports, review reports, technical updates, studies and issues papers, manuals, guidelines and other tools.
- Collection and review of quantitative, administrative data from federal, regional, woreda and town level institutions. Forms were used to collect data on capacity building activities supported by the WSSP, the Capacity Building Project and other WASH programmes, including on manuals, guidelines and other materials, training courses and workshops, the number of woreda and town support groups, community facilitation teams, and technical or local service providers established and trained, equipment and other hardware support provided etc.
- Semi-structured interviews with collection of qualitative information from key stakeholders. Interviews were conducted at federal, regional, woreda, town, kebele and community levels in the selected regions (see below). Checklists of questions were prepared to structure and guide the interviews with different types of stakeholders.
- Focus group discussions (FGDs) with collection of qualitative information. FGDs were held with WASH Committees (WASHCOs) at community level. Much effort was put into having both female and male members of the WASHCOs voice their views during the FGDs. As women in many local communities in Ethiopia are reluctant to voice their views



when men are present, separate discussions were held with some female members. A checklist of questions has been prepared to structure and guide the FGDs.

- Walking through settlements where meetings were held with WASHCOs, making observations on the operation and maintenance of the water supply facility, the community and household sanitation and hygiene situation (including brief visits to model and other households). Brief discussions were held with both women and men.

To the extent possible, data have been disaggregated by sex.

Forms and checklists of questions are included in the Inception Report.

For the purposes of this evaluation, it has been agreed that data will be collected from relevant stakeholders at federal level and in purposively selected regions, woredas, towns and communities based on commonly agreed criteria.

The following are the agreed selection criteria and the regions selected.

Regions

1. Both relatively developed regions (relatively large populations) and emerging regions with pastoral communities (relatively small populations);
2. Regions with a substantial number of woredas and/or towns benefitting from WSSP and DFID/GoF/IDC capacity building activities;
3. Regions to include some where the Guided Learning on Water Supply and Sanitation (GLoWS) and the Community Managed Project (CMP) approaches are used; and
4. Regions to include some with DFID/GoF/IDC capacity building support to WASH Technical and Vocational Education and Training Centres (TVETCs) and/or Health Science Colleges (HSCs).

With the timeframe and resources available, the evaluation team was able to collect and analyse data from three regions. The three regions consist of:

- 2 out of 4 big relatively developed regions (where 80-90% of the total population lives);
- 1 out of 4 emerging regions.

It was agreed to select Amhara, SNNPR and Somali regions for the following reasons.

Amhara region is one of the relatively developed regions and a substantial number of its woredas and towns have benefitted from WSSP and DFID/GoF/IDC capacity building activities. The Community Managed Project (CMP) approach has been used in Amhara region for the last 10 years and it is receiving DFID/GoF/IDC support to some WASH TVETCs and HSCs.

SNNPR is also one of the relatively developed regions and a substantial number of its woredas and towns have benefitted from WSSP and DFID/GoF/IDC capacity building activities. The GLoWS approach has been used in SNNPR for the last three years and it is receiving DFID/GoF/IDC support to some WASH TVETCs and HSCs.

Somali region is one of the emerging regions and has many pastoralist and semi-pastoralist communities. It is one of the regions which the 2002-2003 capacity assessments found had



the lowest WASH capacity level in the country. A substantial number of its woredas have benefitted from WSSP and DFID capacity building activities.

Woredas

With the timeframe and resources available for this evaluation, the evaluation team was able to collect and analyse data from eight woredas.

The selection criteria were:

1. Woredas with different types and levels of WASH interventions, i.e. some woredas supported by WSSP, some woredas supported by other donors (COWASH / UNICEF / JICA / other donor) and some with GoE support only (i.e. without WASH support from donors and NGOs). The woredas in each region should be distributed as follows.

Three woredas in each of the two relatively developed regions (Amhara and SNNPR) as follows:

- 1 woreda with WSSP support
- 1 woreda with COWASH/UNICEF/JICA/other donor support
- 1 woreda with GoE support only

Two woredas in the emerging region (Somali) as follows:

- 1 woreda with WSSP support
- 1 woreda with GoE support only

It should be noted that WASH capacity building in Somali region is mainly provided as part of the WSSP, with only little support from other WASH programmes.

2. Woredas should include one where the GLoWS approach is being used (in SNNPR)
3. Woredas should include one woreda where the CMP approach is being used (in Amhara)
4. The woredas selected in a region should have similar socio-economic situations and similar distance to the regional town or another relatively big town.

In each woreda, there were to be visits to two communities where communal water supply facilities have been constructed or rehabilitated. The four - six communities visited in each region should have a variety of water supply technologies (springs, dug wells, boreholes, piped schemes etc.).

Towns

In accordance with the ToR, there was a comparison of intervention and non-intervention towns. Furthermore, towns from the two categories, i.e. below and above the 15,000 population threshold, were included. The emerging region, Somali, is largely pastoralist and the WSSP has only supported very few towns in this region. Three towns were therefore selected in each of the two relatively developed regions and no towns in the emerging region.

The following were the selection criteria:

1. Towns with WSSP capacity building interventions and towns without WSSP capacity building interventions;
2. Both small towns (with a population of less than 15,000) and medium size towns (with a population of more than 15,000) are to be included;
3. In one region (SNNPR), the medium size town should be a sub-loan town where WaterAid has provided capacity building support; and
4. To the extent possible, construction/rehabilitation should be completed in the sample towns in order to have the best possible assessment of the likely impact and sustainability of the capacity building interventions.

The sample was to include three towns in each of the two relatively developed regions, i.e. in total six towns, as follows:

- 1 small town with WSSP support
- 1 medium size town with WSSP support
- 1 town with GoE support only (i.e. without support from donors and NGOs)

The table below shows the number of institutions/persons at different levels from which information was obtained through semi-structured interviews, FGDs and forms.

Level	Respondents / interviewees (number of interviews)
Federal level	<ol style="list-style-type: none"> 1. Ministry of Water and Energy (3) 2. Ministry of Health (1) 3. Ministry of Education (1) 4. DFID (2) 5. World Bank (2) 6. UNICEF (1) 7. WSP-World Bank (1) 8. WaterAid (1) 9. SNV (1) 10. COWASH office located within MoWE (1) 11. National WASH consultants (1) <p>Number of semi-structured interviews: 15 Number of forms filled: 3 (MoWE, MoH and MoE)</p>
Regional level	<ol style="list-style-type: none"> 1. Regional WASH Team (3) 2. Bureau of Finance and Economic Development (3) 3. Regional WASH Support Team (3) 4. Woreda Support Groups (WSGs), including ex-members (1) 5. Town Support Groups (TSGs), including ex-members (1) 6. WASH TVETCs and HSCs in the region (4) 7. Hawasa University, which prepared the training modules for Hawasa TVETC, SNNPR (1) 8. Contractors, including drillers (3) 9. WASH/Water Zonal Offices (4) 10. In Somali, the Pastoral Community Development Project (1) <p>Number of semi-structured interviews: 24 Number of forms filled: 3</p>
Woreda, kebele and community levels	<ol style="list-style-type: none"> 1. Woreda Council (7) 2. Woreda WASH Team (5) 3. Health extension workers (HEWs) (10) 4. WASHCOs (14)



Level	Respondents / interviewees (number of interviews)
	Also brief visits to households and observations when walking through areas where WASHCOs have been interviewed. Number of semi-structured interviews: 36 Number of forms filled: 1
Town and kebele levels	1. Town Water Board (6) 2. The Water Utility (6) 3. Municipality, if any, and if involved in sanitation (3) 4. Town Health Office (4) 5. Health extension workers (4) Number of semi-structured interviews: 23 Number of forms filled: 0
All levels	Total number of semi-structured interviews: 98 Total number of forms filled: 7

Table 1 Overview of Institutions Providing Information

In addition, further information was obtained through informal discussions with a number of stakeholders.

2.2 Limitations

The following are the main limitations that the evaluation team faced in its data collection and analysis:

- The WSSP started in November 2004, i.e. more than eight years prior to this evaluation, and there has been a large staff turn-over at all levels since then. There were therefore limitations in the amount of information and views it was possible to collect in relation to the capacity building that took place during the first few years of the project.
- It was not possible to collect much quantitative data from regional, woreda and town levels for example on the number and topics of training courses conducted and the number and topics of manuals and guidelines used. Organisations often mentioned as reasons for not providing the requested data that they did not have such data; the training and manuals had been provided several years ago and there had been several staff changes since then.
- Conducting the evaluation during the preparations for local elections meant it was not possible to arrange interviews with some stakeholders, while other interviews had to be very brief.
- It was not possible for the evaluation team to meet with the WASH steering committees at federal and regional levels due to high-level political meetings and other engagements.
- The rain started during the evaluation team's data collection in the three regions. This meant that some WASHCO members had gone to their agricultural plots and were not available for interviews.
- Despite follow-up by the evaluation team, information about the evaluation was not sent / given to all woredas and towns in advance. Where done, this was only given one or two days prior to the evaluation team's visit. This meant it was not always possible to meet with all woreda WASH and town water board members.
- Due to time and resource limitations, it was only possible for the evaluation team to visit a limited number of woredas and towns, i.e. the sample size was small.
- Clear attribution of results to one specific programme's capacity building interventions has not always been possible, as some programmes have capacity building activities for



the same target groups within the same regions and also sometimes capacity building activities in the same wordas.





SECTION 3

WASH Sector Context

3.1 Demographic and Socio-Economic Characteristics

The latest Census was conducted in 2007. This showed a total Ethiopian population of 73.8 million, with 16% living in urban areas. The annual population growth was 2.6%, while the population density was 67 persons / km². More than 80% of the total population live in the regional states of Amhara, Oromia and SNNPR.

There are pastoral and semi-pastoral communities in two out of nine regions of the country, namely Afar and Somali regions.

3.2 Characteristics of the WASH Sector

3.2.1 WASH Situation

The 2011 Demographic and Health Survey (DHS) showed that 54% of the households in Ethiopia have access to an improved source of drinking water, with a much higher proportion among urban households (95%) than among rural households (42%). Eighty seven per cent of urban households used piped water, while this was only the case for 19% of rural households. Eleven per cent of rural households had access to drinking water from a protected spring and 8% from a protected well. The proportion of households who used some type of improved source of drinking water increased from 35% in the 2005 DHS to 54% in the 2011 DHS.

The 2011 DHS showed that only 8% of households in Ethiopia used improved toilet facilities that were not shared with other households, 14% in urban areas and 7% in rural areas. Ten per cent of households used shared toilet facilities (which would be considered improved if they were not shared by two or more households), with 32% in urban areas and 3% in rural areas. Thirty eight per cent of all households did not have/use toilets, with 16% in urban areas and 45% in rural areas.

Data for a National WASH Inventory (NWI) were collected in 2011. The processing and analysis of all data were completed and approved in March 2013¹. The following figures are from the approved inventory.

	Access	Usage
Rural water supply	49%	62%
Urban water supply	75%	87%
Rural and urban water supply	52%	65%
Rural latrines	60%	
Urban latrines	80%	
Rural and urban latrines	63%	

Source: National WASH Inventory, March 2013

Table 2 Water Supply Access and Usage and Latrine Access

¹

With the exception of Somali Region where data collection is currently under discussion



Definitions:

- Access in rural areas is defined as: % of rural population that is provided access to 15 l/c/d within 1.5 km of the water supply point.
- Usage in rural areas is defined as: % of rural population that is actually using water from the water point irrespective of quantities used and distance from the water point.
- Access in urban areas is defined as: % of urban population that is provided access to 20 l/c/d of improved water supply within 0.5 km.
- Usage in urban areas is defined as: % of urban population that is served by water supply utilities.

74% of all rural water supply facilities were found to be functional.

81% of the schools had access to latrine facilities, but only 33% to improved latrines. Only 31% of schools had access to water supply.

85% of health facilities had access to latrine facilities, while only 32% had access to water supply.

3.2.2 Policy, Strategy and Planning Framework

This section provides an overview of the national policy, strategy and planning framework within which the WSSP and the Capacity Building Project were designed and to which they relate during their implementation. According to the WSSP Implementation Manual from November 2004, the WSSP was designed to implement the Water Resources Management Policy, the National Water Strategy and the Ethiopian Water Sector Development Program.

The Water Resources Management Policy from 1999, the National Water Strategy from 2001 and the National Hygiene and Sanitation Strategy from 2005 constitute the overall policy and strategy framework for the water supply, sanitation and hygiene sub-sector in Ethiopia.

The Water Resources Management Policy includes a sub-sector policy for water supply and sanitation. One of the six detailed objectives of this sub-sector policy is “creating sustainable capacity building in terms of the enabling environment, including institutional human resources development, legislation and regulatory framework for water supply and sanitation”. The capacity building is to include building of technical capacity in design, construction, operation and maintenance, development of objective oriented training with special emphasis on trades-level training, community participation, administration and finance, and operation and maintenance. It is also to assist in the establishment and strengthening of water user associations and to equip water supply organisations with the necessary facilities.

The National Water Strategy includes a sub-sector strategy for water supply and sanitation. The capacity building aspects of this sub-sector strategy focus on the same elements as mentioned above for the Water Resources Management Policy. The strategy emphasises that special attention is to be paid to the role of women while establishing community based structures for the management of water supply and sanitation systems. Women are also to be specifically targeted with education in water-environment-health issues and their role and technical capacities in operation and maintenance (O&M) and management of water supply and sanitation schemes are to be strengthened.

The National Hygiene and Sanitation Strategy was developed to complement the existing Health Policy and the National Water Strategy by placing greater emphasis on on-site



hygiene and sanitation. The strategy includes preparation of a human resources development programme based on human resource assessment(s). It foresees that skills learning packages will be needed for institutions and key persons, particularly at community, kebele and woreda levels, and that various administrative systems and procedures would need to be established or strengthened.


Another important sanitation and hygiene document is the Community-Led Total Sanitation and Hygiene (CLTSH) Guideline, which was prepared and disseminated in 2011 (in both English and Amharic). This guideline is now used by health extension workers, NGOs and other sanitation and hygiene partners in their mobilisation of local communities.

The Ethiopian Water Sector Development Program from 2002 was developed by and for each region, listing targets and investment needs to meet the Millennium Development Goals (MDGs). The programme had an overall planning horizon of 15 years.

The Universal Access Program (UAP) for Water Supply and Sanitation Services for 2006-2012 was launched in 2005. It includes ambitious targets by 2012 of i) universal access to improved water supply and sanitation in urban areas, ii) universal access for the rural population to sanitation and iii) access to improved water supply for 98% of the rural population. The UAP includes an estimate of the human resources, i.e. the number and type of professionals, needed in each region in order to achieve the UAP targets. The nine Technical and Vocational Education and Training Centres (TVETCs) established since 2002 are foreseen to increase their enrolment to avoid future shortage of professionals. The WSSP capacity building approach appears to be replicated in the UAP, which mentions that a stepped approach similar to that of the IDA/DFID-supported WSSP will be used. Woreda and town support groups are for example part of the support strategy of the UAP as is the case for the WSSP. The UAP was updated in 2011 so as to align with the Growth and Transformation Plan (GTP) and will be further updated with data from the National WASH Inventory (NWI) conducted in 2010-2012 (the NWI was funded by the DFID/GoF/IDC supported Capacity Building Project).

The Memorandum of Understanding (MoU) on integrated implementation of water supply, sanitation and hygiene in Ethiopia is another key sector document. The MoU was signed in November 2012 by the four key ministries in the sector: the Ministry of Water and Energy (MoWE), the Ministry of Health (MoH), the Ministry of Education (MoE) and the Ministry of Finance and Economic Development (MoFED) and is a revision of the MoU signed in 2006 between the former Ministry of Water Resources, MoH and MoE. Before 2006 provision of water supply and sanitation services and hygiene promotion was undertaken by the different ministries in an uncoordinated manner and the 2006 MoU was signed to facilitate integrated WASH implementation. The recently signed MoU describes the administrative and technical arrangements to manage and administer the WASH program, i.e. the National WASH Steering Committee, the National WASH Technical Team, the National WASH Coordination Office and the WASH Management Units in each sector ministry, including their duties and responsibilities (see also section 3.2.3 below). According to several stakeholders, one of the advantages of the recently signed MoU is that it is signed by MoFED, which the MoU from 2006 was not. It is thus believed that the new MoU will strengthen the cooperation and integration within the sector, which among others would include official recognition of the National WASH Steering Committee and the National WASH Coordination Office.

Another recent sector document, the WASH Implementation Framework (WIF), is also intended to strengthen the integration within the sector. The WIF was prepared to achieve the targets of the Growth and Transformation Plan (GTP) and is to act as the guiding document for all WASH implementation. It thus defines an integrated One WASH Program with use of sector wide approach (SWAp) arrangements. The WIF capacity development strategy aims at i) building individual capacities (skills, knowledge, attitudes, and confidence



of individual players at all levels), ii) strengthening organisational capacities (institutional development and strengthening of the new WASH structures at different levels), iii) developing operational systems, iv) teamwork, v) providing supply and logistical support and vi) providing strategic sector support (studies, reviews, support for networks and forums etc.). The National Capacity Building Support Unit (based in MoWE), together with the regions and key NGOs, is to determine the minimum capacity building requirements for the different WASH actors. In line with the approach used in ongoing WASH programmes, a cascaded training approach is to be used, with training of trainers. The WIF has been signed by all the main ministries involved, i.e. MoWE, MoH, MoE and MoFED.

The WIF and the MoU set out the institutional framework and the responsibilities of different institutions and other sector players and thus constitute an important background for this evaluation's recommendations on future capacity building interventions. The WIF's capacity development strategy also forms an important background for these forward-looking recommendations, which may contribute to further detailing of the WIF capacity development strategy and/or to adjustments.

3.2.3 Institutional Framework

This section contains an overview of the key structures and institutions in the WASH sector and their roles and responsibilities. The latter are important in order to evaluate whether the capacity building interventions have been relevant and effective compared to the institutional mandates and responsibilities within the sector.

Federal Level

As described in the recently signed MoU, the following are the main structures and institutions involved at federal level in water supply, sanitation and hygiene promotion:

- National WASH Steering Committee, consisting of the Minister for Water and Energy and the State Ministers for the four sector ministries, invited representatives from the Water Development Assistance Group (DAG), the private sector, civil societies and the Director of Water Supply and Sanitation at MoWE as the secretary.
- National WASH Technical Team, consisting of appropriate directors appointed by the four sector ministries and the Coordinator of the WASH Coordination Office as the secretary.
- National WASH Coordination Office (NWCO), whose members are federal WASH ministries' PMU focal persons, supported by technical experts. The NWCO is currently based in the MoWE.
- MoWE has the overall responsibility for provision of safe and adequate drinking water for human consumption and domestic use.
- MoH has the overall responsibility for hygiene promotion, community-led approaches, introduction of appropriate sanitation technologies and monitoring of the quality of water for consumption.
- MoE is to ensure that water and sanitation schemes and facilities are provided in schools, support the establishment of WASH clubs in schools and incorporate WASH in the school curriculum and/or activities.
- MoFED oversees the WASH GTP implementation and is overall responsible for the soliciting, transfer and management of sector funding.

Regional Level

Ethiopia is divided into nine regions and two city administrations. The regions are Afar, Amhara, Benishangul Gumuz, Gambella, Harari, Oromia, Somali, Southern Nations



Nationalities and People's Region (SNNPR) and Tigray. The two city administrations are Addis Ababa and Dire Dawa. The regions are often divided into emerging regions (Afar, Benishangul Gumuz, Gambella and Somali) and relatively developed regions (the other regions).

According to the WIF, regional authorities are to decide the composition of the regional WASH structures, depending on the size of the region, the scope of the programme and the availability of human resources. It is expected that generally, in addition to the Bureaus of Water and Energy, Health, Education and Finance & Economic Development, the Bureaus of Agriculture and Women's Affairs are part of the regional WASH structures.

The regional level WASH structures are involved in the planning, facilitation and monitoring of WASH in both rural and urban areas.

Due to relatively limited planning, facilitation and monitoring capacity in pastoral regions (Afar and Somali) strong support is being provided to these regions by the Ministry of Federal Affairs (MoFA). MoFA cooperates with other ministries in its efforts to strengthen the institutional capacity in pastoral regions. The clan system plays an important role in the pastoral regions.

Zonal Level

According to the WIF, each region will decide what, if any, specific WASH structures are required at the zonal level and what their functions and responsibilities will be. According to sector stakeholders, several regions have - or are planning to have - WASH structures at zonal level.

Rural Areas: Woredas, Kebeles and Communities

Each woreda is to have a Woreda WASH Team (WWT). 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 and development partners (AfDB, GoF, IDA/DFID, JICA, UNICEF, WSP and others).


Members are the Woreda Administrator or his/her designate (chair) and the heads of the Woreda Offices for Water, Health, Education, Finance and Economic Development, and Women, Youth and Children's Affairs as well as NGO representative(s).

The arrangements for WASH management at the kebele level vary in accordance with the needs and resources – particularly the human resources – of the kebele. Where relevant, the Kebele Administration establishes the Kebele WASH Team under the direction of the Kebele Manager to manage the kebele level WASH implementation.

There are two full-time health extension workers (HEWs) in each kebele, responsible for among others hygiene and sanitation promotion at household level. The HEW network was established in 2005, with their basic training lasting one year. Around 90% of the 38,000 HEWs are in rural areas and the remaining 10% in urban areas. One HEW covers 300-1,000 households. The HEW turn-over is very low, perhaps 10%. Most HEWs are women and they all come from the local areas.

At the start of the health extension programme, the health extension workers were supported by WASH volunteers. Nowadays in most regions² the WASH volunteers are organised as

² In some emerging regions it is in a transition stage, where WASH volunteers are in the process of getting organised as the health development army.



the health development army that fights outbreaks of diseases and promotes good hygiene and sanitation practices. Currently, the health development army is organised in a group of five families under a model family that has graduated in 11 of the 16 health extension packages.

Household clusters using the same water point are to establish a WASH committee (WASHCO), with members elected among the users of the water point. The committee is responsible for managing the water point.

Urban Areas: Water Boards, Utilities and the Town Health Office

The main difference in the institutional set-up in rural woredas and in towns and cities is that most towns and all cities have established water boards and water (and sewerage) utilities.

The water boards consist of members of the different town / city administration departments, representatives from the private sector and the wider community (customers). The boards have the overall responsibility for planning and managing the town's / city's water supply (and sewerage) and for monitoring the operations of the water supply (and sewerage) utility.

The utility is responsible for the daily management of the water supply system, and in some towns and cities also by name carries the responsibility for sewerage. However, in reality this means that the utilities deal with septage collection, treatment and disposal as only Addis Ababa has a sewerage system. The utilities' responsibilities include technical operations and O&M aspects as well as customer services, financial and administrative aspects.

In towns where the utility is only responsible for water supply services, the municipality is responsible for septage collection, treatment and disposal.

Promotion of household sanitation and good hygiene practices is the responsibility of the town health office under the town / city administration. The health extension workers are responsible for promotional activities at household level.

Generally speaking, the kebele administrations in urban areas are not much involved in WASH activities, although the utilities may use them to channel information to their customers.

Private Sector

There is reported to be a number of consultants, both individual consultants and consultancy companies, doing capacity building activities in the WASH sector. Many of these consultants appear to have received training under the WSSP and other WASH programmes as members of woreda support groups, town support groups or community facilitation teams.

Other important actors are local artisans who construct communal water supply facilities and may also sometimes construct latrines. For larger construction and rehabilitation, contractors are involved.

MoWE issues licenses to national WASH consultants and contractors, while the Regional Water Bureaus issue licenses to regional WASH consultants and contractors.

Some private hardware stores and branches of national level suppliers sell construction materials and spare parts for repairs and maintenance of water supply and sanitation facilities in the regional capitals. There are not many sub-regional outlets selling spare parts, reportedly due to the often very low turn-over of spare parts.

Donors and NGOs

African Development Bank (AfDB), DFID, Government of Finland (GoF), JICA, UNICEF, the World Bank (IDA) and WSP are the main donors providing support to rural WASH programmes. The different WASH programmes support the following number of woredas:

AfDB:	In total 125 woredas, distributed in nine regions
IDA/DFID:	In total 224 woredas, distributed in nine regions
GoF:	In total 45 woredas in Amhara, Benishangul Gumuz, Oromia, SNNPR and Tigray
JICA:	In total 74 woredas in Afar, Amhara, Oromia, SNNPR and Tigray regions
UNICEF:	In total 78 woredas, distributed in nine regions
WSP:	In total 104 woredas in Amhara, Oromia, SNNPR and Tigray

The table below shows for some of the WASH programmes how the supported woredas are distributed among the regions.

Programmes	Number of Woredas Supported by Region										Total
	Afar	Amhara	B.Gumuz	Dire Dawa	Gambella	Harari	Oromia	SNNPR	Somali	Tigray	
IDA/DFID WSP (2004-2013)	7	38	6	1	3	3	84	46	18	18	224
UNICEF (2006-2011)	4	19	2	1	2	1	25	13	6	5	78
AfDB	4	29	2		3	3	41	23	9	11	125
JICA	9	20					17	18		10	74
COWASH (GoF)		27					5	4		4	40
FinnWASH-BG (GoF)			5								5

Table 3 Rural WASH Programmes and Number of Woredas supported by Region

In addition to WASH implementation in 74 woredas, JICA has since 2005 supported the Ethiopian Water Technology Training Centre and ground water assessments in rift valley lakes and in Jerer valley of Somali region.

Donors supporting urban water supply and sanitation improvements include DFID, the European Development Bank, IDA/the World Bank, and the Government of Italy.

A number of international NGOs are active in the sector, including among others SNV, WaterAid, and Plan International, while it is estimated that 70-100 local NGOs work in the WASH sector. More than 30 of these NGOs have since 2010 prepared annual reports. These reports show that they work in more than 200 woredas, but often only in a few communities in each woreda. However, some NGOs provide support to relatively large parts of a woreda when seen over a longer period of time.



SECTION 4

Evaluation of Capacity Building Elements of the WSSP

4.1 WSSP Components and Approach

The objective of the WSSP is, as stated in the Project Appraisal Document from April 2004 and the Project Paper on a Proposed Additional Financing from February 2010, to “increase access to sustainable water supply and sanitation services for rural and urban users through improved capacity of stakeholders in the sector”. Accordingly, the project is designed to build the capacity of all stakeholders, both public and private, to plan, construct and maintain water supply facilities and sanitation facilities. The project has three components, namely i) Rural Water Supply and Sanitation, ii) Urban Water Supply and Sanitation and iii) Program Support. Capacity building is a key element in all three components.

IDA has provided a total of USD 167 million and DFID £ 66 million for the WSSP.

RWSS Component³

Under this component, funding is provided for the following purposes:

- To increase the capacity of participating woredas to effectively manage their RWSS programs;
- To increase the capacity of participating communities to effectively manage their water supply and sanitation facilities;
- To ensure that well-functioning water supply schemes are in place in participating communities.

Key outputs include woreda-wide WASH programs, woreda staff trained and equipped to implement their WASH programmes, community water committees established and able to manage their systems, and local service providers capable of supporting the communities to construct and maintain their facilities.

UWSS Component

Under this component, funding is provided for the following purposes:

- To increase the capacity of participating water boards and operators to effectively manage and maintain their water supply facilities;
- To ensure that well-functioning water supply systems and improved sanitation are in place in participating towns and cities.

Key outputs include the establishment of town water boards with business plans and sound management systems; local operators with improved management systems; local consulting

³

The brief overview of the three components are taken from the Project Document on Proposed Additional Financing, February 2010



firms able to support town water boards and operators; and sustainable, efficient and improved water supply and sanitation facilities.

Program Support Component

Under this component, funding is provided for the following purposes:

- To build the capacity of the Ministry of Water Resources (MWR, now MoWE) and regional water bureau personnel plus regionally-based consultants;
- To equip water quality testing and training centres;
- To develop the MWR (now MoWE) web site and networking capabilities;
- To monitor and evaluate the programme; and
- To refine policies and programme implementation arrangements.

Initially the WSSP was planned to introduce approaches for integrated WASH in 204 woredas and 50 towns throughout the country. Later additional funding was received from DFID and IDA and project activities were expanded to cover 224 woredas. According to the WSSP Coordinator in MoWE, WSSP is now providing support to 87 small towns, 31 medium-size and large towns and six sub-loan cities. The number of towns receiving support has increased due to additional DFID and government funding.

The approach to capacity building is based on three interconnected principles. These are:

- Learning by doing through building attitudinal change (through behaviour change in sanitation and hygiene) and project implementation;
- A stepped approach to ensure beneficiaries are organised and provided with capacity building support before construction starts; and
- Tripartite arrangement (with government, private sector and users).

The three above principles have been implemented mainly through the use of a cascaded capacity building approach, i.e. through the training of trainers (see also later in this section).

It should be noted that the stepped approach was introduced so as to shift sector support from a supply-driven to a demand-responsive approach where woredas, towns and communities first receive capacity building support to prepare their own WASH plans (woredas and towns) and applications (communities) before they receive financial and management support to implement their plans.

The project's capacity building support has, as stated in the ToR, included:

- Preparation of series of training manuals, guidelines, standards and relevant technical documents;
- Provision of Training of Trainers (ToT) training for National Program support consultants, woreda support groups, town support groups, community facilitation teams, project management units at the federal, regional and woreda levels, and various stakeholders at different levels;
- Provision of equipment and other support to water quality laboratories, vehicles, office equipment and furniture, and in some cases office space.

The WSSP was designed to build the capacity at all levels from the federal level to participating communities, using a cascaded approach. International and national consultants were contracted to develop guidelines, manuals and other documents and based on these to train, support and monitor regional staff and regionally-based woreda support groups (WSGs) and towns support groups (TSGs).



For the rural water supply and sanitation (RWSS) component, WSGs were contracted at regional level to train woreda WASH teams, community facilitation teams (CFTs) and technical service providers (TSPs), who were mainly individual artisans. WSGs were also responsible for the design of water supply facilities, including rural piped water schemes. Each WSG consisted of four consultants, normally a management specialist, a community development specialist, a hygiene and sanitation promotion specialist and a technical specialist. The WSGs were trained and supported by national consultants and the consultants in the regional support team. One WSG was normally assigned to support six woredas for two years.

Each CFT consisted of 2-3 persons, including a community facilitation person, a hygiene and sanitation person and a technical person. They had a diploma or had completed the 10th grade plus 2 courses. The main tasks of the CFTs were to sensitize, assist and capacitate communities to plan, supervise and manage their communal water supply schemes and to promote improved sanitation and hygiene practices. One CFT was assigned at least 10 communities at a time and would work in these communities for six months before starting work in the next group of communities. Normally they worked in the same community for a period of 18 months.

For the urban water supply and sanitation (UWSS) component, TSGs were contracted at regional level to train town water boards and utility operators in small towns. The TSGs also conducted baseline assessments and feasibility studies and were responsible for design, construction supervision of immediate service improvements and preparation of tender documents. Each TSG consisted of four consultants, normally a town water board development specialist, a civil engineer, a financial specialist and a water supply operations specialist. The TSGs were trained and supported by national consultants and the consultants in the regional support team. One TSG was normally assigned 4-5 towns, which it would support for a total of two years.

National consultants were contracted through an open bid tendering process to capacitate water boards and utilities in medium-size towns. They do now appear to have received much training before taking up these assignments.

Program support consultants are individual consultants contracted at federal and regional levels to provide technical support for the respective programme implementation units in financial management, procurement and monitoring & evaluation.

The national consultants who have developed guidelines, manuals etc. and conducted training for regional consultants, WSGs and TSGs include specialists in the following areas: woreda programme development, community management, pastoralist water supply, rural hygiene and sanitation promotion, hand dug wells, borehole siting & supervision, town water board development, business planning & cost effective design, and utility operations and contract management.

4.2 Relevance

4.2.1 Relevance and Coherence of Capacity Building Approach

In 2002-2003, the World Bank conducted WASH capacity assessments in all regions of Ethiopia. The findings from these assessments were used to develop the WSSP capacity building approach and to decide on the level of capacity building to be provided. The assessments thus constitute part of the baseline for the capacity building activities under the WSSP. Having relatively detailed capacity assessments before the design of the capacity building activities is assessed as being highly relevant.




The assessments showed that generally the capacity was low, particularly at woreda level and in the emerging regions. The capacity assessments were conducted 1-2 years after the start of the decentralisation of responsibilities from regional to woreda level, which also influenced the level of capacity considerably. At the time of the assessments, woreda water offices had thus only been established in some regions, namely Amhara, SNNPR, Benishangul Gumuz and possibly Gambella, Oromia and Tigray regions (the evaluation team does not have access to regional assessment reports for the three last-mentioned regions). No woreda offices had been established in Afar, Harari and Somali. In some regions more than half of the Regional Water Bureau staff had been deployed to woreda water offices, but many of them had resigned shortly after, mainly because of the remoteness of the woredas. A more detailed summary of the findings and conclusions of the six regional assessment reports available to the evaluation team, namely for the regions of Afar, Amhara, Benishangul Gumuz, Harari, Somali, and SNNPR, is included as Annex 5 to this report.

In line with the above, the WSSP Project Appraisal Document from April 2004 lists decentralisation and capacity constraints as one of the major issues for development of the water supply and sanitation sector in Ethiopia. It also points out that there was a wide disparity in capacity between the more developed regions (Amhara, Harari, Oromia, SNNPR and Tigray) and the emerging regions (Afar, Benshangul-Gumuz, Gambella and Somali) and that emerging regions are likely to need significant capacity building and continued support from the Ministry of Water Resources (now MoWE). This indicates that the WSSP was to provide relatively more capacity building support to emerging regions than to other regions, which in view of the evaluation team would be relevant. It appears, however, that overall the WSSP has provided the same level and type of capacity building to all regions. It should be mentioned, though, that part of the DFID funding to the Capacity Building Project has been used to place four consultants full-time in the four emerging regions, which can be seen as complementary to the IDA/DFID supported WSSP capacity building interventions.

The capacity building approach of the WSSP, i.e. learning by doing, the stepped approach and the tripartite arrangement (with government, private sector and users) is assessed to be relevant and coherent with the overall WASH sector, i.e. with the Water Resources Management Policy from 1999 and the National Water Strategy from 2001. It is also assessed to be overall consistent with the National Hygiene and Sanitation Strategy finalised in 2005, i.e. after the start of the WSSP.

According to the WSSP Appraisal Document, capacity building was to constitute a major part of the Program Support component, which had as its two key outputs: i) improved systems for monitoring and managing water supply and sanitation improvements and ii) trained staff and consultants at the federal and regional levels to manage and monitor implementation of the water supply and sanitation improvements. A key element of the capacity building approach was to organise practitioner specialist groups with a view to exchange experiences and lessons learnt among staff at federal and regional levels and consultants. The Ministry of Water Resources (now MoWE) and the Regional Water Bureaus were also to establish “Help Desks” which towns, woredas and communities could contact to request assistance to fix a particular problem or build particular skills. The practitioner specialist groups were, however, never established as part of the WSSP, but as mentioned in the WIF are planned to be established in the future. The evaluation team agrees that increased horizontal experience sharing through so-called practitioners’ groups will be beneficial (see also later in the report). The Regional Water Bureaus have provided support to towns and woredas upon their requests, with the Regional WSSP Management Units acting as a kind of “Help Desks”.

The cascaded training approach as used from 2004 by the WSSP, with training of trainers, is assessed as relevant in the Ethiopian context. However, the situation has changed after



2004 and other training approaches for urban water supply and sanitation may now be more appropriate than the cascaded approach (see also later sections of the report).

4.2.2 Relevance of Three Main Categories of Capacity Building Interventions

As shown in the regional capacity assessments undertaken in 2002-2003, both the physical capacity and the human resources capacity were very low at the start of the WSSP. In view of the evaluation team, it was therefore relevant to include both human resources and physical capacity building elements in the RWSS component of the WSSP. The capacity building under the UWSS component focuses on human resources capacity building (training and development of manuals, guidelines etc.), but has also included physical capacity building for some utilities (office buildings, furniture, and equipment).

4.2.3 Relevance of Combination of Capacity Building for the Demand and Supply Sides

The WSSP has focused on building the capacity of the demand side, i.e. the institutions and individuals directly involved in WASH implementation and management. At the same time, it has addressed the supply side by providing training to consultants (national consultants, woreda support groups, town support groups and community facilitation teams), but was not designed to include capacity building interventions for training institutions. Considering that the WSSP started in 2004 and the immediate need for capacity building at this time, the WSSP's combination of capacity building support to the demand and supply sides is assessed as relevant.

4.2.4 Attention to and Relevance of Capacity Building on Sanitation and Hygiene Promotion

Sanitation and hygiene promotion are included as integrated elements of the WSSP design, as described in the Project Appraisal Document and the Project Implementation Manual (PIM), especially for the RWSS Component.

For the RWSS component, according to the PIM, the emphasis in relation to sanitation and hygiene promotion were to be on training WASHCOs to educate communities about hygiene and to promote sanitation, while local artisans were to be trained in construction and marketing of household latrines and animators in promoting improved hygiene practices. Also the WSGs were to be trained in hygiene and sanitation promotion, including its integration into the woreda RWSS strategic and action plans with specific hygiene and sanitation indicators. Furthermore, adequate time for hygiene education is mentioned as one of the reasons why four to six months would be required for project preparation at community level. Finally, and very importantly, the regional health bureaus and the woreda health offices are to coordinate, implement and monitor the WSSP-supported hygiene and sanitation promotion activities and be members of the regional and woreda WASH teams, respectively.

For the UWSS component, the PIM mentions that the capacity of the participating water boards / committees and operators to effectively manage their water supply and sanitation facilities is to be increased and that sanitation planning is to be carried out in conjunction with the planning of water supply systems. The PIM does not appear to mention that hygiene promotion is part of the UWSS component or to include any details on the capacity building approach related to urban sanitation. The town health office is not mentioned in the PIM as one of the institutions involved at town level. However, in the WSSP-supported towns visited by the evaluation team the town health office was a member of the town water board.



Several adjustments were made to the WSSP design following the Mid Term Review in 2007. In relation to hygiene and sanitation promotion these include i) recognition and inclusion of the ministries and bureaus of health and education as implementing agencies, ii) implementation of a 5 year strategic plan for hygiene and sanitation promotion under the leadership of MoH and based on an assessment of the financing needs at federal, regional and woreda levels, iii) replication of the hygiene and sanitation learning by doing program in Amhara under the leadership of MoH and WSP-AF, iv) finalising the formulation of a hygiene and sanitation strategy for small towns and urban centres and v) utilisation of the MoH trained health extension workers (HEWs) and common information, education and communication (IEC) materials, starting in the communities where HEWs are assigned.

In conclusion, in the view of the evaluation team attention was paid to sanitation and hygiene promotion in the design of the WSSP component and, based on the limited details included in the PIM, the capacity building approach for sanitation and hygiene promotion under the RWSS component appears to be relevant. This was further strengthened through the adjustments made during the Mid Term Review with emphasis on utilisation of trained HEWs. However, not much attention appears to have been paid in the original design of the UWSS component to capacity building related to sanitation and hygiene promotion. Furthermore, the hygiene and sanitation promotion strategy for small towns and urban centres recommended by the Mid Term Review has not been implemented, though reportedly a draft strategy was developed.

4.2.5 Contributions of Capacity Building Interventions to Progress in Achieving Targets

The Growth and Transformation Plan (GTP) and in particular the Universal Access Program (UAP) set ambitious targets for access to improved water supply and sanitation. The targets of the UAP are thus i) universal access to improved water supply and sanitation in urban areas, ii) universal access for the rural population to sanitation and iii) access to improved water supply for 98% of the rural population. The MDG target is to halve, by 2015, the proportion of people without sustainable access to safe drinking water and sanitation. According to the UNICEF/WHO Joint Monitoring Programme Report for 2012, 14% of the total Ethiopian population used improved drinking sources in 1990, while 3% used improved sanitation facilities. Using these figures, the MDG targets are that 57% of the population use improved water sources and 51.5% improved sanitation facilities by 2015. As mentioned in section 3.2.1, the 2011 DHS showed that 54% of households in Ethiopia had access to an improved source of drinking water, while the recent National WASH Inventory (NWI) shows that 65% of the population use an improved water source. The sanitation coverage figures vary more. The DHS showed that 8% of households had access to improved sanitation if shared toilets were not included and 18% if shared toilets were included. The NWI shows that 63% of households had access to toilets. The big difference indicates that the NWI data show access to any type of latrines and not access to improved latrines.

There is no doubt that the WSSP has contributed towards progress in achieving the UAP and MDG targets. The substantial funds provided for capital investments in especially improved water supply have played a major role in this connection. The capacity building interventions have also been important as they have increased the implementing capacity of both public sector institutions and the private sector to plan, construct or rehabilitate and maintain water supply facilities. Similarly, it is assessed that the WSSP's capacity building interventions have contributed to the reduction of open defecation in rural areas, but has not contributed to any significant degree to achieving universal access to improved sanitation in rural and urban areas (the access to improved sanitation is as low as 8% or 18%, depending on the definition used).

4.3 Effectiveness

4.3.1 Achievement of Capacity Strengthening Objective, Outcomes and Outputs

The Project Paper on Proposed Additional Financing from 2010 includes an updated WSSP results framework, listing the WSSP objective, intermediate outcomes and outcome indicators. The framework does, however, not distinguish between outcomes and indicators related to capacity and other outcomes and indicators. The substantial WSSP funds provided for capital investments in especially improved water supply have played a major role in achieving the indicator targets set for objective of the WSSP. The capacity building interventions have also been important as they have increased the implementing capacity of both public sector institutions and the private sector.

The table below list all outcome indicators of the WSSP and the achievements, with focus on achievements related to capacity building. It should be mentioned that the WSSP results framework in the Project Paper on Proposed Additional Financing from 2010 does not include the higher targets that must have been set after receiving funding from DFID.

	Outcome Indicators	Achievements
<u>Project Development Objective:</u> <i>Increase access to sustainable water supply and sanitation services, for rural and urban users, through improved capacity of stakeholders in the sector</i>	<p>2 million people in rural and 1 million people in urban project areas provided with access to Improved Water Sources</p> <p>2 million people in rural and 1 million people in urban project areas practice Improved Sanitation</p> <p>2 million people in rural and 1 million people in urban project areas directly benefit from the project of which 50% are female</p> <p>Effective Woreda water and sanitation programs established through project in 230 Woredas.</p> <p>Effective autonomous water boards established through the project in 50 town/urban water utilities.</p>	<p>According to the MoWE progress report for July - October 2012, 3.54 million people in rural areas had benefitted from IDA/DFID-supported improved water supply, with 94% of the planned total number of rural water schemes having been constructed. According to the MoWE annual report for July 2011 - June 2012, 437,000 people in 14 small project towns had been provided with access to improved water supply services, which is less than planned. However, construction and rehabilitation of water supply systems in programme towns is still ongoing at the time of this evaluation.</p> <p>The mentioned MoWE progress reports contain some information on the number of institutional and demonstration latrines constructed with WSSP funds, but no information on the number of rural and urban people who practice/use improved sanitation (latrines/toilets) as a result of the WSSP interventions.</p> <p><i>Achievements related to woreda WASH programs and water boards are included below.</i></p>
<u>Intermediate Outcomes:</u> Number of participating Woredas with prepared and approved RWSS programs	204 participating Woredas with prepared and approved WASH programs	After receiving the DFID funding, the number of WSSP supported woredas increased to 224. It was a requirement for infrastructure funding that woredas prepared WASH programmes so all 224 woredas have done this and they have been approved at regional level.
Number of participating Woredas with teams effectively implementing WSS Plans	175 participating Woredas with teams effectively implementing WSS Plans	According to information from MoWE, all 224 woredas are implementing their WASH programmes/plans.
Number of participating	2,800 participating communities	



	Outcome Indicators	Achievements
community WASHCOMs with facilities and management plan prepared, working according to bylaws with at least 50% female members participation	have WASHCOMs working according to bylaws with at least 50% female members participation	According to the 2010 Project Document on Proposed Additional Financing, 3348 (90%) of participating community WASHCOs were working according to bylaws, with at least 40% female membership. No updated data appear to be available.
Number of water points constructed in participating communities functioning properly	4,125 water points constructed in participating communities functioning properly	According to the 2010 Project Document on Proposed Additional Financing, greater than 90% of the 3,140 rural water points constructed at that time with WSSP funding were functioning properly. The NWI found that 74% of all rural water supply facilities were functioning. No updated data specifically for WSSP supported water supply facilities appear to be available.
Number of participating town water utilities with systems expanded or rehabilitated, functioning properly supplying at least 15 liter per capita per day	38 participating town water utilities with systems expanded or rehabilitated and functioning properly supplying at least 15 liter per capita per day	According to the MoWE annual report for July 2011 - June 2012, 14 participating small towns had completed expansion or rehabilitation of their water supply systems and according to MoWE all constructed / rehabilitated urban water supply systems are functioning and providing at least 20 litres / capita / day, which is the current design criteria.
Number of participating town water boards/committees operating autonomously with business plans	38 of participating town water boards/committees operating autonomously with business plans	All supported towns (87 small towns and 31 medium-sized towns) are reported to have established autonomous water boards and to have completed their business plans.
Number of additional people benefiting from improved water supply	2 million more people in rural and 1 million more people in urban area will get access to improved water supply	<i>See above under objective.</i>
Number of additional people practicing improved sanitation	2 million people in rural and 1 million people in urban project areas practice Improved Sanitation	<i>See above under objective.</i>
Number of participating town water utilities working under performance contract	38 of participating town water utilities working under performance contract	No cumulative data are available.
Number of participating town water utility revenue covering O&M plus renewal & replacement of short life assets	38 of participating town water utility revenue covering O&M plus renewal & replacement of short life assets	No cumulative data are available.
Number of participating towns with integrated sanitation plans	48 of participating towns with integrated sanitation plans	According to MoWE, nearly all supported towns (87 small towns and 31 medium-sized towns) have prepared integrated sanitation plans. However, only a few towns in SNNPR and Tigray have implemented these plans.
Regional Water Bureaus effectively managing regional programs	204 woreda WSS plans and 50 town utility business plans appraised	According to MoWE, all programme woredas have prepared woreda WASH plans and all programme towns have prepared business plans and both woreda WASH plans and the town utility business plans have been
MoWR effectively supporting and monitoring national programs	M&E frame work developed for the WSS sector	



	Outcome Indicators	Achievements
<p>Number of participating towns and Woredas effectively supported by regional service providers</p> <p>Improved capacity of MoWR for water quality testing</p> <p>WRDF effectively appraising and monitoring projects</p>	<p>204 woredas and 50 towns received technical assistance from regional service providers</p> <p>Set of water quality test kits provided by the project</p> <p>Six town utility business plan appraised and monitored</p>	<p>appraised at regional level.</p> <p>After delays, an M&E framework for the WSS sector was approved in 2008. There have, however, been delays in implementing this, one reason being that no baseline data were available for the whole country. After completing the NWI, such baseline data are now available and the roll-out of the M&E system has started.</p> <p>All programme woredas and small towns have received technical assistance from WSGs and TSGs, respectively. Medium-size towns have received / are receiving support from national consultants.</p> <p>According to MoWE, 4 items of water quality laboratory equipment were provided to MoWE, while water quality test kits were provided to all programme woredas.</p> <p>WRDF supported towns are not part of this evaluation.</p>

Source for first two columns: World Bank: Project Paper on a Proposed Additional Financing for WSSP, Annex 1, February 2010

Table 4 Achievement of WSSP Objective and Outcomes

The programme has been effective in building the capacity of local consultants and local service providers, i.e. the private sector, as shown in the table below.

	Number of teams and persons
National consultant	At least 16 persons, specialised in planning, water supply, sanitation and hygiene, community facilitation, contract administration, monitoring and evaluation etc.
Regional support teams	10 teams x at least 4 persons = at least 40 persons. Since there have been change of staff during the 8-year programme period, the number is more likely to be 80-100 persons.
Woreda support groups (WSGs)	35 teams x 4 persons = 140 persons
Town support groups (TSGs)	20 teams x 4 persons = 80 persons
Community facilitation teams (CFTs)	1,120 teams x 2-3 persons = 2,240-3,360 persons
Technical service providers (TSPs)	2,130 (TSPs are mainly individual artisans)
In total	4,686 – 5,826 persons

Table 5 Local consultants and service providers capacitated

International consultants provided training for the national consultants, who trained the regional support teams, the WSGs and TSGs. Following their training the WSGs trained the CFTs and TSPs.

Using a cascaded training approach, the following number of entities (the demand side) has received some level of training:

- 9 regional WASH steering committees (orientations only) and 9 regional WASH teams
- 224 woreda councils and WASH teams
- 87 small town and 31 medium-size town water boards and utilities, in total 236 entities



- 9,060 WASHCOs, with one WASHCO for each water supply facility (this figure is as of October 2012 and is assuming all WASHCOs have received training, also after the contracts of the CFTs and WSGs expired)
- Health extension workers (HEWs) in some rural kebeles, but it is not known how many.

The WSSP has prepared a substantial number of guidelines, manuals and other materials in the period 2005-2012. The list prepared by the WSSP Management Unit in MoWE in March 2013 shows that at least 66 guidelines, manuals etc. have been prepared, see also Annex 6. Many of these documents were prepared during the first years of the programme and the list may therefore not be complete. For many of the guidelines and manuals the year of completion and the year of a possible update are not known.

The WSSP Management Unit in MoWE has also prepared a list of the main training courses and workshops conducted from 2005-2012 by the federal level. This list is attached as Annex 7. Only limited data are available on the number of trainees/participants that have benefited from these training courses and workshops. In addition, many other training courses and much on-the-job training have been conducted by the WSGs, TSGs, CFTs and regional and woreda level WASH staff. Some information was obtained on the type of WSSP-supported training courses and workshops in the regions and woredas visited, but because of staff changes it was often not possible for regional and woreda staff to provide much detail.

4.3.2 Regional and Zonal Levels


Coordination and integration

Reportedly, all regions have today the regional WASH structures, which were established at the start of the WSSP, namely the regional WASH steering committee and the regional WASH teams. Their understanding of the WASH principles varies however and this has influenced the level of integration in their planning and implementation of activities. The WASH activities in Somali region thus appears less integrated and the regional WASH team less active than in the two other regions visited by the evaluation team. One example is that the regional WASH teams in Amhara and SNNPR met on a fairly regular basis and had issues of coordination and integration of different WASH activities on their agenda, while this did not appear to be the case with the regional WASH team in Somali. According to members of the Somali team, it had been inactive for some years, until it was revitalised in 2012.

The level of regional WASH coordination and integration has without doubt increased as a consequence of the capacity building provided by the WSSP, i.e. there is more coordination and integration of WASH activities today than there was when regional capacity assessments were conducted in 2002-2003, i.e. before the start of the WSSP. One example is that at the time of the evaluation, there was a regional WASH steering committee in all three regions visited, reportedly normally meeting on a quarterly basis to provide guidance on WASH implementation, approve WASH plans and budgets and monitor progress.

Duration of capacity building

There have been many staff changes in the regional WASH steering committees, the regional WASH teams and generally in the WASH bureaus since the start of the programme. In Amhara and SNNPR, only a few of the regional staff trained during the first 2-3 years of the programme were still members of the regional WASH teams. The regional staff members employed in recent years have received very little training compared to their predecessors and their training has mainly focused on procurement and financial management and less on integrated planning and monitoring. The Amhara regional WASH team thus mentioned that



90% of the WSSP implementation had to be done / facilitated by regional staff who have received no or very little training. In SNNPR, 11 staff had left the regional WASH team and the WSSP Management Unit over the last 5-7 years. In Somali region, all regional WASH team members were new and had only limited knowledge about the capacity building activities that had been carried out during the initial years of the WSSP. According to interviews with the three regional WASH teams, they had some WSSP manuals which they use for implementation of activities. It is assessed that the lack of continuity among WASH professionals and the very minimal training provided to new staff have negatively affected the process of strengthening the integrated regional WASH planning and implementation.

Delays and procurement and financial management capacity

There have been several delays in project implementation, inter alia due to the procurement and financial management capacity at different levels and initially reportedly also due to complex World Bank procurement procedures. These procedures were simplified somewhat. In addition, the WSSP has provided much training on procurement and financial management. One of the results of this is that the procurement threshold for the four regions of Amhara, Oromia, SNNPR and Tigray was increased in the middle of 2012 due to the increased regional procurement capacity. This has meant that these four regions are able to make quicker procurements. The financial management capacity is also reported to have improved, as a result of the training provided and after funds are transferred directly from MoFED to BoFED to WoFED.

Involvement of zonal offices

Initially, the zonal offices were not included as part of the capacity building and implementation structure of the programme. However, at a later stage some regions involved their zones in supporting the implementation and monitoring of activities. A zonal WASH team consisting of representatives from various zonal offices, mainly the water, health and education offices had also been established in two of the four zones visited. The staff in the two zonal water offices visited in SNNPR had received some training from the regional WASH team and the regional WSSP support team on technical aspects, procurement and monitoring. It had also received various WSSP/WASH guidelines. The two zones in Amhara had received some training and manuals from the COWASH programme.

The WSSP's cascaded training approach has not involved the zonal level, which appears an appropriate decision at the start of the programme; at this time the number of staff and the capacity at this level were very low, as shown in the 2002-2003 capacity assessment reports. Other WASH programmes, like the COWASH, have now included the zonal level in their cascaded capacity building approach, which appears advantageous today. The water offices in the four zones visited by the evaluation team thus each had 6-12 employees, mainly specialised in technical fields, but also including one socio-economist in each zonal water office.

4.3.3 RWSS Component

WASH integration and coordination

The regional WASH teams and two of the woreda WASH teams interviewed much appreciated the support provided by the CFTs and WSGs and believed this support had improved their and local communities' capacity to plan and implement WASH activities. The woreda WASH team interviewed in Somali had no recollections of this phase of the programme, as none of its members had been more than two years in their positions.



Without doubt, the WSSP support has strengthened the WASH coordination and integration in the 224 programme woredas. WASH coordination and integration also appears to have improved to some extent in other woredas (replication effect). As required, all 224 programme woredas thus established woreda WASH teams and prepared 5-year strategic woreda WASH plans in the first years of the programme. Based on the strategic WASH plans they also prepared annual action plans. It is unknown what proportion of the 224 woredas has updated their integrated strategic WASH plans. The evaluation team saw updated woreda WASH plans in two WSSP-supported woredas. These were, however, not properly integrated but rather individual plans from each of the WASH offices. Other stakeholders have confirmed that this is a common problem with the updated woreda WASH plans.


Duration of capacity building

The high turn-over among woreda staff is a big challenge, especially as there has been very limited training for new staff and there is no system for handing over knowledge, manuals, data etc. In two out of the three IDA/DFID supported woredas visited they had either none or only a couple of the many programme manuals developed and the current woreda WASH members had received either no or very little training. This means that often new staff members do not have the required knowledge and skills to do integrated planning and implementation, to provide training and support to existing WASHCOs and to mobilise new communities.

The WSSP's demand-responsive and stepped approach of building the capacity to plan and implement activities and to sensitize and empower local communities before starting construction was appreciated by many of the regional and woreda staff interviewed. It is, however, problematic that most training was concentrated to the first 2-3 years of the programme and that the time-based contracts of the WSGs and CFTs expired before the construction started. It had been envisaged that the WSGs and CFTs would provide some support and training during construction and for a limited period after construction was completed. However, due to delays in the start of construction activities (among others due to procurement and financial procedures and requirements), this had not been done. Several stakeholders thus reported that capacity building is much less systematic and effective now than it was during the first years of the programme and that the need for capacity building is still high.

Operation and maintenance

Due to the expiry of the WSG contracts prior to the start of construction, training and support on operation and maintenance (O&M) has been given less attention than intended in the design of the WSSP. Generally, this does not appear to have given significant problems in relation to point sources. The evaluation team's observations and discussions with WASHCOs and woreda WASH teams thus indicate that generally woreda WASH teams have been able to support and build the capacity of WASHCOs to operate and maintain point sources like dug wells, capped springs and shallow wells with hand pumps, though access to spare parts for hand pumps was mentioned as an issue. The financial management of these sources also appeared acceptable, with most WASHCOs collecting fees from households and having a small amount in their accounts for maintenance. One exception was the WASHCO managing a birka visited in Somali region. This WASHCO didn't have a bank account and generally appeared less active than other WASHCOs met. It did, however, collect fees from the 40 households using the birka when it had water, with one of the WASHCO members keeping the collected amount in cash, mainly for purchase of chlorine. The birka was dry at the time of the evaluation team's visit and it was not possible to establish how well operated and maintained the birka is or how much it is used.



The operation and maintenance of rural piped water schemes was found to be more problematic than that of point sources, with most woredas - whether supported by IDA/DFID, COWASH, SNV or GoE - requiring support from zonal and regional levels for most maintenance. There are a number of issues of concern in relation to the sustainability of rural piped schemes. Often the regions are now responsible for the design and construction supervision of rural piped water schemes and in several cases, whether in IDA/DFID or GoE supported areas, they have not involved local communities and woredas sufficiently in the planning and the design of the schemes. This has often led to a lack of ownership, as appeared to be the case in two WSSP supported piped water schemes visited by the evaluation team in Amhara and Somali, respectively. In addition, the quality of schemes has often been compromised due to inappropriate or poor design and construction supervision and/or poor quality materials. Also it is not always clear who will do the maintenance. The evaluation team thus visited one IDA/DFID supported motorised piped scheme in Amhara where there was extensive leakage. This had not been repaired reportedly because the woreda didn't prioritise assigning one of its plumbers as requested by the WASHCO. Many motorised rural piped schemes also face problems due to the increasing price of fuel.

Sanitation and hygiene promotion

As mentioned earlier, sanitation and hygiene promotion was paid attention in the design of the RWSS component. The WSGs thus included a hygiene and sanitation promotion specialist, who provided training at woreda and community level during the first years of the programme. Woreda staff and WASHCO members indicated that this training had been useful. Some training on sanitation and hygiene promotion was also provided at regional level at that time. The adjustments made following the 2007 Mid Term Review appear to have increased the effectiveness of the sanitation and hygiene promotion significantly especially the decision to use the trained HEWs for sanitation and hygiene promotion. The HEWs are thus assessed to have played a key role in reducing open defecation in Ethiopia's rural areas. For further details, see below under window 2 of the Capacity Building Project (section 5.2.3). It appears the WSSP has only provided limited training for HEWs on sanitation and hygiene promotion. Rather it has left this task to other programmes, like the WSP-supported programme and the Capacity Building Project. In conclusion it is assessed that the use of the HEW network in sanitation and hygiene promotion has been effective in reducing open defecation. This can only to a limited extent be attributed to the support from the WSSP as the capacity building in this respect was mainly provided by other programmes.

Gender mainstreaming

It is assessed that the WSSP has contributed to gender mainstreaming within the sector, particularly through its support to establishment and training of WASHCOs, where normally 2 out of 5 or 3 out of 7 WASHCO members, i.e. 40-45%, are women. Many treasurers are women, while it is rare to find women as chairpersons. The female WASHCO members met by the evaluation team indicated that they have influence on decisions and the management of the schemes. The programme has also promoted that both women and men should be well represented in the regional and woreda WASH teams. However, often the representatives in these teams are heads of department or section and most of these are men. The representation of women in the WASH teams is therefore low. The WSSP capacity building activities have thus benefitted both men and women at community level, but mainly men at woreda level.

Physical capacity building

The capacity development under the RWSS component has included physical capacity building. Each of the 224 programme woredas was provided with one computer, an office



desk, a few chairs, 1-2 motorcycles and a water quality test kit. The programme woredas visited by the evaluation team appreciated the physical support received, although most of these items were now worn out, particularly the computers and motorcycles. One of the woreda WASH teams mentioned it had received a water quality test kit and had received training, whereas the WASH teams in the other two WSSP supported woredas didn't mention having received such kits. The joint technical review visit to Oromia in May 2012 found that at least one of the zones visited had received test kits from the World Bank (this is assumed to mean from the WSSP). However, these kits had not been distributed to the woredas and no training had been provided. Lack of an assigned water quality expert and reagents were common reasons given for water testing kits not being used. The evaluation team finds it relevant and effective that the programme provided each woreda with 1-2 motorcycles and office equipment as these were the minimum physical requirements for the woredas to carry out their tasks. However, if it is not effective or efficient to provide water quality test kits if they were not used because of lack of training and/or reagents. According to some stakeholders, there was also uncertainty whether these test kits were to be used by the water office or the health office.

Regional differences

Regional differences were considered during the implementation of the RWSS component of the WSSP, particularly in relation to the high level of pastoralism in Somali and Afar regions. Because of this, the WSSP developed in 2006 a specific implementation guideline for the RWSS component for each of these two regions. As stated in the Somali guideline, the implementation of the WSSP was behind schedule in the pastoralist regions. The main reason for this delay was that the capacity building and support to woredas through WSGs had not started as planned because of difficulties in recruiting WSGs (lack of candidates, higher costs than expected). Furthermore, regional stakeholders had questioned the relevance of using the same implementation arrangements in the pastoralist regions as in other regions.

The Somali implementation guideline considers the specific physical constraints in Somali region, i.e. the long distances and poor roads, lack of telecommunication in many areas, high costs of materials, security issues and restrictions, and the environmental sensitivity with real shortage and lack of water. The guideline also considers that one of the main characteristics of pastoralist communities is that they are usually mobile. In addition, in 2006 when the Somali guideline was prepared the capacity was very low at all levels in Somali region.

Some of the Somali regional WASH team members and other Water Bureau staff knew about the special Somali implementation guideline, but did not appear to use or have used it. However, reportedly the guideline has been used in the past, but not adequately. The Somali guideline suggests for example that in complement to national and regional consultants, NGOs can play a role in capacity building and/or in implementation at all levels because of their significant experience in handling water supply, sanitation and hygiene projects in pastoralist regions. NGOs did, however, not appear to have been involved in capacity building or implementation activities. Instead the implementation arrangements had been changed so that the Regional Water Bureau and the regional WASH support team are responsible for all contract management and construction supervision, except for birkas where the design and construction supervision responsibilities were still with the woredas. The reason given for this concentration of design and construction supervision responsibilities at regional level was that the woredas did not have sufficient capacity to take on these responsibilities. Because of the long distances and the often poor roads in Somali region, it is, however, limited how much training and support region-based WASH staff are able to provide to the individual WASHCO.



4.3.4 UWSS Component

Town water boards

The first technical assistance to towns in the WSSP was related to the establishment of appropriate structures, particularly the formation of town water boards. These boards are responsible for the overall planning, management and monitoring of the town water supply systems. Town and city water boards had been formed in a few towns and cities prior to the start of the WSSP. The number of town water boards increased substantially through the WSSP supported capacity building. Most boards consist of cabinet members from the town administration, the health office, the water supply utility/office, local residents and the private sector. Due to the many reshuffles of cabinet members and the high turnover of staff in public institutions, many water boards have suffered from frequent changes of board members. It is therefore an interesting development that the Amhara region has revised its proclamation so that the four public sector representatives on the board can now come from any public institution. This allows representatives to continue serving on the board when they move to other public institutions. The revised proclamation in Amhara also states that two of the water board members should be women.

During its first years, the WSSP produced a substantial number of training guidelines and manuals in the areas of baseline assessment, immediate service improvement plans, stakeholder consultations, business plan preparation, cost effective design etc. (see also Annex 6). It also provided much training to the town water boards. The areas covered and the contents of the training materials are assessed to be relevant.

For the 87 small towns training was mainly through TSGs, while for the 31 medium-size towns training was done by national consultants contracted through an open bid tendering process.

In the case of the TSGs, the training included definition of the board's roles and responsibilities, on-the-job training on business plan preparation, financial management and procurement. The evaluation team interviewed two small town water boards which are receiving support from the WSSP. Some of the present board members had received training from the TSGs, while no training had been provided to new members. These new members had based their board work on programme manuals, guidelines and proclamations and the orientations by the board members who had received training. Both boards appreciated the training and support provided by the TSGs, but would like to have some refresher training, especially for new board members. Both boards were reported to meet on a regular basis and to prepare minutes from their meetings. One of the boards had reviewed its tariff on a six-monthly basis and the utility was able to cover its operation and maintenance costs. The other town board was planning to increase the tariff once improvements had been made to the water supply system. One of the boards, though, had not updated its business plans since the start of the programme, reportedly due to lack of capacity. In conclusion, it is assessed that the water boards in the WSSP small towns appeared reasonably well-functioning.

In the case of medium size towns, consultants contracted through an open bid tendering process were assumed to have better capacity to do the training than the TSGs and therefore received very little orientation/training from the WSSP. However, they carried out the capacity building in a conventional manner and according to several stakeholders the outcome of the capacity building efforts by these consultants was not as good as expected. The training which these consultants provided reportedly focused on financial management and business plan implementation aspects only. In fact regions are now doing/arranging the capacity building of these town water boards and utility staff either through a separate consultancy contract or through their regional WASH team.



As part of the IDA/DFID programme approach, town water boards were expected to enter performance-based agreements with their utility managers, setting out agreed performance targets in accordance with the business plans. None of the six towns visited by the evaluation team had such agreements at the time of the visit. However, the IDA/DFID supported town in SNNPR indicated it had signed such an agreement with its previous utility manager, who was replaced because of his failure to perform. The SNNPR town water board plans to sign a similar agreement with its new utility manager.

Water supply utilities

The utilities in WSSP supported towns have received some training on operation and maintenance, financial management with focus on handling of money and on procurement. The training on operation and maintenance in the two WSSP towns visited had, however, only focused on general operation and maintenance of pumps and generators and on leakage control. The utilities reported that as a result of the training they had improved the effectiveness of their leakage control, but complained that the training on operation and maintenance had not been specifically for their equipment.

Most of the training provided has been based on guidelines and manuals prepared by the programme. Many of the first guidelines and manuals were targeted at the work to be conducted by the TSGs and the town water boards and less at the capacity gaps in the individual utilities. The lack of appropriate (training) guidelines and manuals for the utilities thus appear to be one reason why the capacity building interventions for the utilities have not been sufficiently targeted and effective. Several of the recently prepared or revised guidelines and manuals are, however, targeted at the utilities and appear relevant, though some of them need to be more tailored to the end-users. This is for example the case with the recently prepared/revised operation and maintenance manual.


Sanitation and hygiene promotion

It is a requirement that the towns supported by the WSSP prepared integrated sanitation plans. The WSSP-supported towns visited by the evaluation team had prepared such integrated plans and almost all WSSP-supported towns are reported to have done the same. Most of these plans focus on construction of public latrines. A few public latrines have been constructed in some of the programme towns, but otherwise only a few towns in SNNPR and Tigray regions are reported to have implemented their sanitation plans. The WSSP-supported towns visited by the evaluation team had not implemented their sanitation plans. The programme has provided very little, if any, training on sanitation and hygiene promotion. None of the TSG members were thus specialized in sanitation and/or hygiene promotion. As a result, none of the water boards in the two IDA/DFID supported towns felt they had sufficient knowledge and skills to plan and implement sanitation and hygiene improvements.

In all the towns visited, HEWs were found to do house-to-house visits to promote good hygiene and sanitation practices. All HEWs interviewed complained, however, that it was not easy to work with town people and it took a long time to change their practices. It was also a challenge for households to find land where they could construct a new pit when the latrine was full.

Environmental and social safeguards

The WSSP was designed to meet the World Bank's requirements for environmental and social impact assessments, environmental management planning and resettlement action planning. This was considered particularly important in relation to the UWSS component. Initially, it was the intention that the management units in MoWE and at regional level were



to include environmental and social impact/management personnel. However, this never materialized. The lack of capacity to assess and mitigate potential environmental and social issues is thus mentioned in several WSSP review documents from the initial years of the programme. It appears it was only in September 2010 that the first substantial training course was provided for staff from federal, regional and town level institutions. It should be acknowledged, though, that environmental and social assessments and mitigation measures have been integrated into feasibility and design studies in the WSSP supported towns. It has not been possible for the evaluation team to assess the quality of these assessments and the proposed mitigation measures.

Gender mainstreaming

The programme has promoted that both women and men should be well represented in the town water boards. However, often board members are heads of department or section and most of these are men. Consequently, the representation of women in the water boards is low. Also the majority of utility employees are men. The WSSP capacity building activities under the UWSS component have thus mainly benefitted men.

Duration of capacity building

In conclusion, it is the evaluation team's assessment that the IDA/DFID supported programme has been effective in building the capacity of the water boards and some capacity in utilities in the towns it is supporting. However, as for the RWSS component it is problematic that most training was concentrated to the first 2-3 years of the programme and that the time-based contracts of the TSGs expired before the construction started. In Amhara the regional WASH team has chosen to again contract TSGs to do the construction supervision, while in other regions consultants have been contracted through an open bid process for construction supervision in small and medium-size towns. In most cases the consultants' contracts have also included some training, business plan revision and preparation of manuals.

4.3.5 Interaction and Information Flow between Different Levels

Many guidelines and manuals were developed in the first years of the WSSP and were distributed to and used for training at regional, woreda, kebele, community and town levels. However, as mentioned in section 4.3.3, many WASH institutions do not have these guidelines and manuals today due to the high staff turn-over and the lack of a system for - or tradition of - handing over materials.

At the time of the evaluation, the interaction between federal and regional levels included visits by IDA/DFID and AfDB financed national consultants to all regions and selected woredas on a relatively regular basis. The three regions visited appreciated the support provided during these visits, but indicated that they would like additional and more frequent support and preferably support from national consultants specialised within different fields (i.e. planning, contract administration, water supply, sanitation and hygiene, community management, M&E etc.). Currently one RWSS and one UWSS national consultant are "responsible" for supporting and monitoring a particular region within all professional fields.

WASH staff and consultants at federal level complained of lack of - or irregular - progress reporting from several regions. For the last MoWE quarterly report (July – October 2012), MoWE had for example only received progress reports from five regions, i.e. SNNPR, Tigray, Oromia, Amhara and Afar. In addition, and as mentioned in the MoWE progress report for July 2011-July 2012, there is very little information on sanitation and hygiene promotion activities in regional progress reports and the information is limited to the number of institutional latrines that have been constructed.



The regional WASH teams in both SNNPR and Amhara mentioned that the reporting and transfer of instructions and information between regional and woreda/town levels is weak because there is no data compilation and dissemination system nor a functioning management information system (MIS) in place. Reports from the woredas were thus often delayed, among others because the “woreda net” did not yet function. The interaction between regional and woreda levels and between woreda and community levels is also clearly constrained by insufficient operational budget for regional and woreda staff to regularly travel to woredas and communities, respectively. As an example, the SNNPR WASH team mentioned it had to rely on telephone calls for its interaction with woredas, including for progress reporting. The interaction between towns and regional level was reported to be easier as communication access is better in towns than in rural woredas.

The evaluation team considers the Joint Technical Reviews an important part of the monitoring system and a good, qualitative supplement to the sector progress reports. In recent years, the Joint Technical Reviews have included visits by representatives from WASH ministries and development partners to different regions, woredas, towns and communities. These visits are considered a good learning process in relation to specific sector issues and in some respects to increasing the interaction between different levels.

4.3.6 Private Sector: Consultants, Artisans, Contractors and Suppliers


Overall capacity of the private sector

As mentioned earlier, the WSSP has been effective in building the capacity of the private sector, by training and employing a number of consultants as national consultants, regional support teams, WSGs and TSGs. Many of these consultants are reported to still work in the WASH sector. The WSSP has also trained more than 2,000 artisans in the construction and repair of point water sources, while no orientation or training appear to have been arranged for contractors who construct and rehabilitate rural and urban piped water schemes. The WSSP has, however, financed the construction/rehabilitation of a number of piped schemes and can in this way be said to have increased the demand for water supply construction and rehabilitation services from the private sector and thereby encouraging more contractors to specialise within this field. At the start of the WSSP, there were no licenced water sector contractors, drilling companies or consulting companies. In 2013, 437 contractors, 42 drilling companies and 22 consulting companies have valid licenses to work in the water sector nationwide (i.e. licenses are issued at federal level). Regional licenses have been issued to other contractors, drilling companies and consulting companies. In SNNPR, 29 contractors, 1 drilling company and 4 consulting companies have regional licenses, while the corresponding figures for Amhara are 115, 1 and 7.

Drilling and hydrogeological capacity

According to several stakeholders, the private sector's drilling capacity is particularly low. In the UNESCO report “Groundwater in Ethiopia: State of knowledge and capacity gaps” from December 2011, it is thus estimated that the water sector needs to employ an additional 2,000 hydrogeologists and increase the number of drilling rigs from approximately 200 to approximately 600 in order to meet the targets of the GTP. The report recognises that the private sector involvement in drilling is increasing, with 72 private organisations licensed and actively participating in drilling. In addition, nine State Enterprises and some NGOs have drilling rigs. It should be mentioned that the estimated capacity gaps appear to be for both water supply and irrigation and that the GTP construction targets are ambitious and not realistic within the given timeframe.

The information provided by the director of a drilling and construction company in Somali region illustrates some of the challenges related to the drilling capacity in the sector. The



particular company is one of the largest private companies in the water sector in Somali region. The company has 10 drilling rigs, while the State Enterprise and other private companies have approximately 20 rigs. In total there is thus approximately 30 drilling rigs in this arid region where rain water collection and deep boreholes are often the only water sources. According to the director, the 30 drilling rigs would be able to meet the demand for new boreholes but there is a lack of trained drillers in the private sector. The private companies often had to rely on employing experienced drillers from the public sector, as according to the director they do not have access to training for their drillers in the Ethiopian Water Technology Training Centre. Other challenges were the capacity gaps in relation to hydrogeological investigations, the long distances company staff often had to travel and the security situation in parts of the region.

Availability of pumps and spare parts

The availability of construction material, pumps and spare parts within a reasonable distance to local communities is very important in order to ensure the sustainability of water supply schemes and facilities. As explained in the WSSP Mid Term Review Report from 2007, it had in the initial stages of the programme been agreed that the regional water bureaus would procure hand pumps (and spare parts) in bulk for delivery to a central warehouse in each region, with establishment of two to six sub-regional sales outlets in each region. It was foreseen that both the warehouse and the distribution would – or could - be managed by a private company.

The supply chain “model” outlined above appears, however, not to have been implemented. The supply chain study from 2010 thus showed that supply chains for hand pumps and spare parts, largely driven by market forces, were still in their infant stage of development. The supply chain study team’s visits to four regions (Amhara, Oromia, SNNPR and Tigray) showed that regional water bureaus were responsible for procuring hand pumps with limited spare parts and that there was no well-established spare part restocking system. In SNNPR, however, there was experience from piloting of five different models of hand pump and spare parts supply with support from JICA. These five models have as suppliers/distributors: i) a town water supply and sewerage service, ii) an artisans’ association, iii) a farmers’ cooperative, iv) a zonal water office and v) a private workshop. The 2010 supply chain study found that the private workshop model was the most successful since it had provided sustainable services by restocking spare parts from its own sources, while the other distributors/suppliers were waiting for the JICA-supported programme to assist with the restocking. The study recommended that the procurement of hand pumps and spare parts should be combined and suppliers motivated to open sub-regional outlets. It was also recommended that GoE pay for an initial stock of pumps and spare parts and suppliers restock with pumps and spare parts using their own resources. This recommendation does not appear to have been implemented.

The evaluation team’s visit to SNNPR showed that some sub-regional spare part outlets do exist. Norwegian Church Aid had for example recently provided assistance to establishment of a spare part outlet in the water office of one of the woredas visited by the evaluation team. Local artisans and WASHCOs were reported to buy spare parts from the outlet based on recommended official prices. It was intended to revise these prices based on prevailing prices in Addis Ababa similar to what is done for prices in the five JICA-supported models.

It is recognised that the low demand for spare parts makes it difficult to ensure that local communities and artisans have access to spare parts within a reasonable distance. It is also recognised that the WSSP has paid attention to finding a solution to this problem, among others by initiating the supply chain study in 2010. It appears, however, that very little action has been taken based on the findings and recommendations of the study.

4.3.7 Influence of External Factors Recorded as Risks in Key Project Documents

Risks	Progress over First 5 Years according to Project Paper on Proposed Additional Financing for the WSSP	Remarks of Evaluation Team on Capacity Related Risks
Sector policies may not be implemented by all levels of government due to capacity constraints, including cost recovery, decentralized implementation, involvement by all stakeholders (incl. the private sector)	The policies and institutional arrangements agreed during the preparation of the WSSP have been followed. With respect to the urban WSS component, the RWBs have established town water boards, who in turn have hired system managers and operating staff. Water tariffs are determined as part of the design and business planning process.	Interviews in Amhara, SNNP and Somali regions showed that the regional WASH teams have a reasonable knowledge about key sector policy documents whereas this knowledge was lower at woreda and town levels.
Lack of commitment to demand responsive approach to identifying projects, community involvement in technology selection based on associated costs, and affordability as the overriding concern in project design	There has been high demand for improved water supply on the part of rural communities and towns. Towns have readily established Water Boards, hired operators, and participated in the planning process. The risk remains that the RWBs will be diligent in appraising town project proposals for cost effectiveness and affordability.	The WSSP has been successful in using a demand-responsive approach in relation to point water sources and in the promotion of latrines, but less successful in connection with rural piped water schemes, see also section 4.3.3.
Project implementation is slow and cumbersome	Regional implementation manuals were in place at the beginning of the project and have been updated as part of the harmonization process so that government and donors adhere to the same implementation arrangements. The planning process for Town WS has been revised to expedite implementation.	There have been several delays in project implementation, inter alia due to the procurement and financial management capacity at different levels and initially reportedly also due to complex World Bank procurement procedures. These procedures were simplified somewhat and the procurement and financial management capacity has also improved, particularly at regional level. See also section 4.3.2.
Regional Bureaus and woredas fail to assign resources, including staff, and do not actively participate with all relevant stakeholders	Shifting funds between regions proved impossible due to strict adherence to the equity formula. In retrospect the biggest issue has been the difficulty the RWBs have had in hiring/retaining qualified personnel and purchasing vehicles to supervise the project due to restrictions applied at the cabinet level. High turnover of staff at woreda level has also been problematic. The original rating should have been "Substantial".	The high staff turn-over, especially at woreda level, is a real issue, especially as there is no system for handing over data, manuals and experience.
Individuals and small firms are not available or interested in participating in the water sector	The great success of local consultants (WSGs) in assisting woredas to establish and implement their Rural WASH Programs proved to be the cornerstone of the rural WSS component. Newly formed town consultants (TSGs) took longer than expected to go through the stepped planning and capacity building process in towns, primarily because it was new to them and the	Individuals and small firms have been available and interested in participating in water sector activities supported by the WSSP. They have thus formed WSGs, TSGs and CFTs, which provided support during the initial phase of the WSSP. Many of the WSG and TSG members are reported to still



Risks	Progress over First 5 Years according to Project Paper on Proposed Additional Financing for the WSSP	Remarks of Evaluation Team on Capacity Related Risks
Lack of trained manpower in accounting and auditing with decentralized implementation	national consultants who were there to support them. Having gone through the process in a number of towns, the TSGs are familiar with the process and can expedite it. In an effort to accelerate fund flow and to harmonize implementation arrangements with standard accounting and reporting practices, the project shifted to Channel 1, that is fund flow from the Ministry of Finance, to Regional Finance Bureaus, to Woreda Finance Desks for rural WSS and RWBs for urban WSS. Four other decentralized Bank projects utilize Channel 1, so there are opportunities for joint capacity building.	work in the WASH sector. Also some of the CFT members are still in the WASH sector. Training has been provide for accountants and auditors at regional and woreda levels and the delay in submitting financial reports is reported to have reduced considerably following the channelling of funds through MoFED to BoFED and WoFED.
Lack of trained staff to ensure social and environmental safeguards are identified and carried out	The project implementation manual, training materials, and consultant/works contracts set out safeguard policies and procedures. Staff are being trained again to conduct environmental baseline surveys, review environmental management and resettlement plans, and enforce them.	Training on environmental and social safeguards was conducted in September 2010, with participation of staff from the regional water bureaus, regional environmental bureaus, utilities and MoWE staff. Limited training on the same topic may have been included in other training courses. However, particularly in the initial years of the WSSP, capacity building within this area appears to have been paid too little attention.

Source for first two columns: World Bank: Project Paper on a Proposed Additional Financing for WSSP, Annex 2, February 2010

Table 6 WSSP Capacity Related Risk Assessment

4.4 Efficiency

4.4.1 Efficiency in the WSSP's Design of Capacity Building Interventions

As stated in the Project Appraisal Report, the WSSP capacity building approach built on a review of the experience gained through recent projects in Ethiopia's water sector and international best practices, which is considered a good basis for designing an effective and efficient capacity building approach.

The WSSP capacity building was designed to include an intensive capacity building period with support from CFTs, WSGs and TSGs and some follow-up training and support during and just after completing the construction of water supply and sanitation facilities. In its design, this stepped approach and the use of a cascaded training approach is considered an efficient way of using the available human and financial resources to build the capacity of a large number of people.

It is also considered good value for money that the interventions included physical capacity building interventions, with provision of 1-2 motorcycles and some limited office equipment for the woredas, as these items were pre-requisites for the woredas to carry out their tasks.

4.4.2 Efficiency in the WSSP's Implementation of Capacity Building Interventions

The WSSP has focused on building the capacity of the demand side, i.e. the institutions and individuals directly involved in WASH implementation and management. At the same time, it has also addressed the supply side by providing training to consultants (national consultants, WSGs, TSGs and CFTs). As mentioned in section 4.2.3, considering the immediate need for capacity building at the start of the programme, the WSSP's combination of capacity building support to the demand and supply sides is assessed as relevant. In its design this combination is also considered an efficient use of resources.

However, the efficiency - and the effectiveness – was negatively affected by delays in starting construction activities and the fact that most training took place in the first 2-3 years of the programme. This had among others the consequence that too little and too general training on O&M was provided, particularly for rural and urban piped schemes. In the view of the evaluation team, it is not efficient use of resources that most training was concentrated to the initial period. Instead it should have been possible to either spread the use of resources allocated for capacity building over a longer period of time or to allocate additional resources for capacity building interventions, e.g. by extending the contracts of the WSGs and TSGs.


When assessing the efficiency of the WSSP capacity approach, the obvious question to ask is whether other capacity building approaches and/or another combination of capacity building interventions could have provided better value for money. Such an assessment should ideally include a comparison of the costs or the proportionate costs of capacity building interventions.

The evaluation team has attempted to collect information on the specific costs of capacity building activities of different WASH programmes, but this has not been possible. The team did, however, receive indications as to what parts of the total investments different WASH programmes have allocated to programme management, including capacity building, as shown in table 7 below.

Programme	Programme Management Costs as % of Total Investment	Source of Information
IDA/DFID WSSP (rural and urban)	5-10% for water supply 3% for sanitation and hygiene	Programme Coordination Unit at MoWE
AfDB RWSS Programme	15%	Programme Coordination Unit at MoWE
COWASH (rural)	20-25%	COWASH staff
FINNIDA RWSS Programme, completed	>30%	COWASH staff
Multi-village Schemes, NGOs (average for three rural schemes), completed	24%	Estimate based on "Background Information and Existing Situation Analysis Report for Community Managed MVS" by Defere E. and Tsigae T., 2004
Average for 35 NGOs in 2011/2012	Capacity building: 10% Administration: 14%	NGO Activity Report, 2011/2012

Table 7 Comparison of Programme Management Costs

Unfortunately, it has not been possible to get a break-down of the type of costs included under programme management, which may differ significantly among the programmes. This confirms the evaluation team's impression that the figures provided are very much estimates and not based on actual accounts. Furthermore, the WSSP figures cover both rural and urban WASH while all the other programmes focus on rural WASH. The costs of improving



water supply infrastructure in urban areas are normally considerably higher than the corresponding costs in rural areas. The proportionate part of the total funding needed for programme management may therefore often be lower for urban WASH than for rural WASH. No conclusions can therefore be drawn from a comparison of the proportionate allocation of funding for programme management, including capacity building. The figures do, however, indicate that proportionately the WSSP has used much less than other WASH programmes for programme management, including capacity building (5-10%). The completed FINNIDA RWSS programme has allocated proportionately most funding to programme management (> 30%), while other programmes range from 15% (AfDB) to 24% (NGOs).

It should be noted that some NGO projects provide no or very little training, while other NGO projects provide intensive training and support at community level. NGO projects providing intensive training and support may therefore use more than 24% of their total costs on programme management, including capacity building. Such NGO projects are therefore not likely to be replicable nationwide because of the financial and human resources required.

The WSSP capacity building approach was designed with a view to replication at national level and such replication has taken place, both in GoE supported woredas and towns and in WASH programmes supported by other donors, e.g. the AfDB. In the evaluation team's assessment it would, however, have been more efficient if the WSSP had spread its training over a longer period, had provided more refresher training and also more training for new staff and for WASHCO members than was done.

Including more horizontal experience sharing in the WSSP capacity building interventions is also likely to have increased the efficiency of the approach. Horizontal experience sharing is thus often an effective and relatively inexpensive way of enhancing the capacity of different groups. The WSSP was designed to include practitioners' groups in order to exchange experience, lessons learned etc. among WASH professionals at federal and regional levels. For unknown reasons, these groups were not established and other forms of WSSP-supported horizontal experience sharing appear to have been limited. It is assessed that more focus on horizontal experience sharing could have increased the efficiency of the capacity building approach. In this connection, it is interesting that the WIF includes establishment of practitioners' groups for similar reasons as mentioned in the WSSP Appraisal Report.

4.5 Impact and Sustainability

4.5.1 RWSS Component

The development objective of the WSSP is to "increase access to sustainable water supply and sanitation services, for rural and urban users, through improved capacity of stakeholders in the sector." According to MoWE's progress reports, the WSSP had by October 2012 provided 3.54 million people in rural areas with access to improved water sources, with 94% of the planned total number of rural water schemes having been constructed. It appears likely that the remaining 6% of the planned schemes will be constructed before the completion of the WSSP. This means that the rural water supply outcome target is likely to be achieved. This can, however, not be solely attributed to the WSSP capacity building interventions as WSSP funding for investments has also been essential.

It is also part of the development objective that the water supply services should be sustainable. This aspect is directly related to the WSSP capacity building interventions. As concluded in section 4.3.3, generally woreda WASH teams appear to have been able to support and build the capacity of WASHCOs to operate and maintain point sources like dug wells, capped springs and shallow wells with hand pumps, though access to spare parts for



hand pumps was mentioned as an issue. A number of issues of concern in relation to the sustainability of piped water schemes have, however, been identified. In summarised form these are: i) local communities and woredas have in a number of cases not been sufficiently involved in the planning and design of rural piped water schemes, which has often resulted in a lack of ownership; ii) the quality of the schemes have often been compromised due to inappropriate or poor design, poor construction supervision and/or poor quality materials and iii) it is not always clear who will do the maintenance.


The woreda WASH team interviewed in a WSSP-supported woreda in Amhara attributed the increase in water supply coverage from 13.2% to 89.25% during the previous seven years to the WSSP. Out of 302 water supply facilities, only 6 (i.e. around 2%) were reported to be non-operational at the time of evaluation. There were reported to be no special maintenance problems as most facilities are hand-dug wells. Occasionally the woreda requests support from the zonal water office. Finally, there had according to the woreda WASH team been a replication effect, where new communities had initiated their own discussions, had collected their own upfront contributions and had asked the woreda to help construct water supply facilities in their areas. Similarly, the woreda WASH team in a WSSP-supported woreda in SNNPR attributed the increase in the water supply coverage from 10.4% to 32.2% to the WSSP. The WASH team believed that the WSSP capacity building activities had played a major role in this connection as this had enhanced the community awareness and the communities' skills to manage the constructed water supply facilities. The water supply coverage in the WSSP supported woreda visited in Somali was reported to be much lower, 15.5% during the rainy season and zero at the height of the dry season.

From the information available, it is not possible to assess how many people in rural areas practice/use improved sanitation (latrines/toilets) in the WSSP supported woredas as a result of the WSSP interventions. However, in the WSSP-supported woreda visited in Amhara, latrine access was reported to have increased from 10% to 90% during the seven years the woreda had received support from the WSSP. Furthermore, five kebeles were expected to soon be declared open-defecation-free. Handwashing practices were also reported to have improved significantly. Likewise, in the WSSP supported woreda visited in SNNPR latrine access was reported to have increased from practically zero to over 80% during the period it had received WSSP support. The WASH team in the WSSP supported woreda in Somali reported a latrine access of around 20%.

In both Amhara and SNNPR, the health extension workers were said to have played a very important role in achieving the significant increase in latrine access. Similarly, discussions with households and woreda staff in the WSSP supported woreda in Somali indicated that the HEWs play an important role in the promotion of improved sanitation and hygiene practices. Capacity building for the HEW network in relation to sanitation and hygiene promotion was mainly provided by other programmes than the WSSP. The achievements related to increased latrine coverage in the WSSP supported woredas can therefore only to a limited extent be attributed to the WSSP. This said, it should be recognised that the WSSP decision to use the HEW network for sanitation and hygiene promotion is considered appropriate. The HEWs' sanitation and hygiene promotion activities have thus played a key role in reducing open defecation.

However, many of the relatively new latrines are traditional latrines, which do not fulfil the criteria for improved latrines. It is assessed that complementary sanitation and hygiene promotional approaches and related capacity building interventions are needed in order to achieve the targets of access to improved sanitation. For further details, see section 6.2 below.

There is no doubt that the level of regional and woreda WASH coordination and integration has increased as a consequence of the capacity building provided by the WSSP, i.e. there is



more coordination and integration of WASH activities today than there was when regional capacity assessments were conducted in 2002-2003, i.e. before the start of the WSSP. One example is that at the time of the evaluation there were regional WASH steering committees in all three regions visited, reportedly normally meeting on a quarterly basis to provide guidance on WASH implementation, approve WASH plans and budgets and monitor progress.

The capacity in the woredas in terms of number of staff has improved considerably since the start of the WSSP. During the regional capacity assessments in 2002-2003, i.e. prior to the start of the programme, woreda water offices had only been established in some regions and the number (maximum 2-3) and the capacity of the woreda staff were very low. Woreda offices are now much better staffed (often 6-8 staff in the woreda water office) and many staff have benefitted from the training provided in the first years of the WSSP. The increased number of staff at woreda level is due to the overall decentralisation process that started around the same time as the WSSP and can thus not be attributed to the WSSP. The WSSP has, however, contributed to the increased knowledge and skills at woreda level through its many training activities.

The visits to GoE supported woredas showed that there has been some replication effect of the WSSP capacity building interventions. One example is from a GoE supported woreda visited in SNNPR which had received some training and support from the zonal water office. This training and support was similar to what the zonal office had provided to four WSSP-supported woredas. Based on this, the GoE supported woreda had been able to provide some training to 10 WASHCOs. From the visits to a few GoE supported schemes, it appeared that the training and support provided to the WASHCOs was sufficient for them to manage and maintain their hand-dug wells and point sources. There were, however, operation and maintenance problems in relation to rural piped water schemes supported by GoE, in many respects similar to the problems in WSSP supported piped schemes. It is emphasised that the evaluation team only visited in total three GoE supported woredas and only one GoE supported rural piped scheme so the above findings should be used with some caution.

Many WASH professionals at woreda, zonal, regional and federal levels mentioned the need for assigning community management focal persons to follow up on and further strengthen the capacity of the WASHCOs. Some mentioned these focal persons could be used to provide cascaded training in the coming few years' time so as to improve the O&M situation of rural piped schemes.

4.5.2 UWSS Component

As mentioned, the development objective of the WSSP is to “increase access to sustainable water supply and sanitation services, for rural and urban users, through improved capacity of stakeholders in the sector.” According to the MoWE annual report for July 2011 – June 2012, 437,000 people in 14 small project towns had been provided with access to improved water supply services compared with an outcome target of at least 1 million people, see also section 4.3.1. Construction and rehabilitation of water supply systems in programme towns is, however, still ongoing at the time of this evaluation.

It is too early to assess the sustainability of the improved water supply systems and the effects of the WSSP-supported capacity building interventions in this connection. As mentioned in section 4.3.4, the two utilities interviewed in WSSP-supported towns indicated that the training they had received on O&M had been too general, while the training on financial management had only focused on handling of money. It should be mentioned, though, that many of the WSSP manuals for utilities have been revised over the last 1-2 years and now appear more targeted. The evaluation team interviewed two utilities which



had received no donor support, at least not within the last 10 years or so. These towns had received very little direct training, although several of their staff had visited other utilities to learn from their experiences with e.g. installation and maintenance of pipelines, bill collection and preparation of financial statements.

Most of the WSSP-supported towns have developed sanitation plans, but very few towns have implemented these plans, which focused on construction of public latrines. From the information available, it is not possible to assess whether the access to improved sanitation (latrines/toilets) has increased in the WSSP supported towns since the start of the WSSP. However, if it has increased this cannot be attributed to the WSSP-supported capacity building interventions, as it has provided very little, if any, training on sanitation and hygiene promotion under the UWSS component.

The town water boards in the two WSSP-supported small towns visited by the evaluation team appeared reasonably well-functioning and appreciated all the training and support they had received from the TSGs, see also section 4.3.4. Interviews with boards in towns supported by other donors and NGOs showed they have received the same type of training as provided by the WSSP. The water boards interviewed in GoE supported towns had business plans, but their involvement in the preparation and their awareness of the contents were minimal. These town water boards had not received much training, if any. This indicates there has been a replication effect of the IDA/DFID supported capacity building for town water boards to other donor/NGO supported programmes but not to GoE supported towns. It is recognized that town water boards have been established in GoE supported towns, but GoE has rarely financed any capacity building activities for these boards.

4.5.3 Competition for Qualified Staff a Barrier to Sustainable Capacity Building

Many stakeholders have mentioned the high turn-over of WASH staff as a barrier to capacity building within the sector. The high turn-over is particularly found among WASH staff at woreda level, but it is also a problem at regional level and among WASH focal persons in the ministries. The main reasons given for this high staff turn-over in the public sector were that experts are attracted to move to the private sector, NGOs, donors and to other sectors like the transport sector, where remunerations are higher. Some are also attracted by the higher salaries and better working conditions offered in other African countries.

Some WASH staff who leave the public sector find new employment within the sector and the training they have received will therefore still benefit the sector, while the training received by staff who move to other sectors is likely to be beneficial to these other sectors and therefore to Ethiopia as a country. The training of these public sector employees is therefore not wasted, but the high staff turn-over is a factor that needs to be considered when planning future capacity building interventions.



SECTION 5

Evaluation of DFID/GoF/IDC Capacity Building Project

5.1 Project Windows and Focus

The goal of the DFID/GoF/IDC WASH capacity building project is that “Ethiopia achieves national UAP targets for access to water and sanitation”.

The following is from the Final Report/Technical Update for the WASH Capacity Building Project from November 2012.

The coordinated DFID/GoF/IDC WASH capacity building project has three components or windows: i) organisational development, ii) continuous professional development and iii) strategic sector support. Each window has specific objectives and their specific focus as follows:

Window 1: Organisational Development

The objectives are:

- Capacity of local, regional and national WASH education and training institutes strengthened to deliver relevant, quality education and training; and
- Capacity of woreda, regional and federal WASH institutions strengthened to plan, design, supervise and monitor cost effective, sustainable and inclusive WASH services.

Activities and inputs include a) support to the Capacity Building Facility, based in MoWE, with three experts in M&E, financial management and capacity building; b) support to the NWCO with three experts working in the areas of water, health and education; c) support the Sector Support Directorate in MoWE with four experts for the emerging regions; d) support to TVETCs and HSCs; e) support WASH office of MoE with office equipment; and f) support the WASH office of MoH with one expert.

Window 2: Continuous Professional Development/Individual Refresher Training

The objectives are:

- To develop and upgrade skills and competences of key stakeholders (individuals responsible for planning, managing, implementing and monitoring WASH service delivery);
- To develop and upgrade skills and competences specific to CMP modality of key stakeholders in regions where CMP is operational; and
- To develop and upgrade skills and competences of key stakeholders in identified areas specific to CMP modality as to be defined in WASH manual.

Activities and inputs include a) support courses offered by Ethiopian Water Technology Centre; b) support module preparation on water and health used by TVETCs to train WASH



professionals; c) support TVETCs and HSCs with needs assessments; d) support MoH in conducting Integrated Refresher Course Training for health extension workers; e) support exposure visits, seminars and conferences for WASH professionals of MoWE, MoH and MoE; f) support implementation of TVETC/HSC capacity enhancement plans.

Window 3: Strategic Sector Support

The objective is:

- WASH policy, its effective implementation and enhanced coordination refined through strategic studies, evidence, sector reviews, systems development and support for networks and forums and specialist inputs.

Activities and inputs include a) support to roll-out of the National WASH Inventory including Management Information System development, verification and reporting; b) support to bi-annual joint reviews and multi-stakeholder forum; c) conducting bi-annual DFID/GoF/IDC Capacity Building Project review and consulting meetings; d) finalization and dissemination of WIF, WASH MoU and UAP; e) finalization and dissemination of Gender Mainstreaming Guideline for the Water and Energy Sector; f) support to preparation/publication and dissemination of WASH materials for community level and schools; g) support to prepare a design and construction manual for water supply and sanitation facilities in health institutions; h) WASH challenge fund supporting WASH research projects; j) support national and international knowledge sharing events and networks; k) support to the Water Sector Working Group Secretariat which is to be established in MoWE; l) support upgrading of hygiene and environmental sanitation policy and conduct WASH policy orientation for MoH staff.

DFID's support to the capacity building project aims at strengthening the sector capacity at the regional and federal levels to coordinate, plan, implement and monitor progress in the WASH sector. DFID's funding can be used in any region. The support from DFID is for the period 13 March 2009 – 30 September 2013 and amounts to £ 3.3 million.

The support from IDC aimed specifically at improving the capacity to plan, supervise and monitor integrated WASH service delivery in 25 woredas located in four regions, namely Benishangul Gumuz, Gambella, Oromia and SNNPR, with additional supportive interventions at the regional level. The IDC support was for the period 10 December 2008 - 30 June 2012 and amounted to EUR 1.4 million.

GoF's support aims to develop critical capacity in 45 woredas in Amhara and Benishangul Gumuz regions (36 woredas in Amhara and 9 woredas in Benishangul Gumuz) to plan, implement and monitor community-managed WASH projects and to strengthen related federal capacity with improved policies, plans and systems. This includes support for the scaling up of the Community Managed Project (CMP) approach. The support from GoF is for the period 1 July 2010 – 30 June 2013 and amounts to EUR 2.2 million.

The IDC and GoF support focuses on specific regions (Benishangul Gumuz, Gambella, Oromia, SNNPR and Amhara), which does not appear fully consistent with the objectives of the three windows, while the DFID support has been used for interventions at federal and regional levels more generally.



5.2 Relevance

5.2.1 Relevance and Coherence of Capacity Building Approach

The need for a comprehensive capacity building initiative was identified prior to the WSSP Mid Term Review in May 2007 and supported by the Review Mission. The Aide Memoire thus states that the provision of sustainable water supply services to everyone in villages, towns and urban centres will require a large cadre of public servants, consultants, artisans, and utility operators. A comprehensive capacity building initiative was therefore needed to address education and training in technical colleges and universities, continued professional development of government staff involved in program implementation, and sector-specific capacity building of all those involved in program implementation.

A similar assessment is included in DFID's Project Memorandum from September 2007 on its future support to the WSSP and the WASH Capacity Building Project. It also mentions that scaling-up sector activities to achieve the MDG targets required a significant increase in implementation capacity, both in terms of number of staff required and the range of skills and competences needed. Reference is thus made to the UAP from 2005 which estimates that there was a national capacity gap of approximately 8,000 graduates and 18,000 technicians. Furthermore, in 2007 there were plans to increase the number of health extension workers from 17,000 to 30,000 and a need to re-train and upgrade the skills of many staff at all levels, particularly at woreda level.

Based on the above-mentioned background, the Capacity Building Project's combination of organisational development, continuous professional development/individual refresher training and strategic sector support is assessed to be relevant. It is also assessed to be coherent with the overall WASH sector, i.e. with the Water Resources Management Policy from 1999, the National Water Strategy from 2001 and the National Hygiene and Sanitation Strategy from 2005.

5.2.2 Relevance of Three Main Categories of Capacity Building Interventions

The DFID/GoF/IDC Capacity Building Project includes all three main categories of capacity building interventions, i.e. human resources capacity building for training institutions and sector professionals, physical capacity building for training institutions and coordination and management units at federal level and the creation of an enabling environment. This combination of capacity building interventions is assessed to be relevant.

5.2.3 Relevance of Combination of Capacity Building for the Demand and Supply Sides

The Capacity Building Project has addressed both the demand and supply sides, i.e. both institutions and individuals directly involved in WASH implementation and management (demand side) and the training institutions, i.e. the TVETCs and HSCs responsible for training WASH sector actors (supply side). Some of the training courses for individual WASH staff were conducted by the TVETCs and HSCs in collaboration with the zones/woredas. This combination of the two types of human resources (HR) capacity building is assessed as very relevant in the Ethiopian context as it has contributed to both immediate capacity strengthening through training of individuals and more long-term and continuous capacity building through strengthening of the TVETCs and HSCs. In other words, by providing capacity building to training institutions the project has contributed to institutionalising capacity building interventions. The capacity building of training institutions is considered a good complement to the capacity building interventions under the WSSP.

5.2.4 Attention to and Relevance of Capacity Building on Sanitation and Hygiene Promotion

Capacity building related to sanitation and hygiene promotion is part of the activities under the Capacity Building Project. This has among others included technical assistance to MoH (one expert full-time), physical and HR capacity building support to HSCs, support to integrated refresher course training for health extension workers, and support to training courses on CLTSH.

The project has thus paid considerable attention to sanitation and hygiene promotion and the capacity building interventions in this respect are assessed to be relevant.

5.2.5 Contributions of Capacity Building Interventions to Progress in Achieving Targets

The Capacity Building Project is assessed to have contributed to increasing the capacity in the WASH sector, both through human resources capacity development and by enhancing the enabling environment, e.g. through its substantial support to the development and implementation of the National WASH Inventory. This increased capacity among WASH professionals has in turn contributed to progress in achieving targets for water supply and sanitation coverage.

5.3 Effectiveness

5.3.1 Achievement of Goal, Purpose and Outputs

The UNICEF Annual Report on the Capacity Building Project from April 2012 includes an updated Log Frame, listing the goal, purpose, outputs, indicators, baseline, milestones and targets. The table below lists the achievements compared with targets. As can be seen, the goal of the project has clearly not been achieved, while the targets set for the purpose of the project are assessed to have been partially achieved.

	Indicator	Baseline	Target	Achievements
<u>Goal:</u> Ethiopia achieves national UAP targets for access to water and sanitation	National water supply Coverage	2007/08: 53%	2012/13: 98%	<i>This target has clearly not been achieved according to figures from the Demographic Health Survey (DHS) and the National WASH Inventory (NWI), both conducted in 2010-2011.</i> DHS: 54% NWI: 52% access & 65% usage
	Access to improved sanitation at national level	2007/08: 54%	2012/13: 100%	This target has clearly not been achieved according to figures from the DHS and the NWI. DHS: 8% if shared toilets are not included and 18% if shared toilets are included. NWI: 63% (this may be access to any type of latrine and not access to improved latrines)
<u>Purpose:</u> To strengthen the capacity of the WASH sector to coordinate, plan,	No. of Regions with functioning WASH Coordination Offices	2007/08: 0	Oct. 2012: 11	UNICEF progress report, April 2012: i) Regional WASH Steering Committees operational in Oromia, SNNP, Benishangul



	Indicator	Baseline	Target	Achievements
implement and monitor progress in the WASH sector				<p>Gumuz (BG), Gambella and Amhara (these are the 5 regions mainly supported by the Capacity Building Project).</p> <p>ii) Regional WASH Coordination Offices (RWCOs) established in the same regions, but not strengthened with staff.</p> <p>It should be noted that the 5 RWCOs have taken the first steps towards integration of all WASH activities, but there is still scope for improvements. Reportedly, RWCOs have not yet been established in the other regions as was also the evaluation team's finding from Somali.</p>
	No. of Woredas with functioning Woreda WASH Teams, using WASH Inventory to implement Woreda WASH Plans	2007/08: 0	Oct. 2012: 700	<p><u>UNICEF progress report, November 2012:</u></p> <p>In the 5 supported regions, 87 Woreda WASH Teams revitalised and supported to prepare woreda WASH plans.</p> <p>UNICEF does not have information from the other 4 regions or from woredas supported by other WASH programmes. This means it is not possible to assess whether this target is being achieved.</p>
	No. of Technical Institutes that have received support to update WASH programmes	2007/08: 0	2012: 20	<p><u>UNICEF information by February 2013:</u></p> <p>i) Capacity assessment and action plans prepared for 16 TVETCs / HSCs</p> <p>ii) Capacity support being received by 12 TVETCs / HSCs</p> <p>No support has been provided to regional and national training institutions or to universities as originally intended. Considering the substantial capacity building needs of the TVETCs and HSCs, the evaluation team finds this prioritisation appropriate.</p>
Output 1 Capacity of local, regional and national WASH education and training institutions strengthened to deliver relevant, quality education and training	No. of TVETCs with enhanced WASH courses (by region)	2009: 0	2012: 20	<p><u>UNICEF information by February 2013:</u></p> <p>12</p>
	No. of Regional and National training institutions with enhanced WASH courses (by region)	-	-	No activities as focus has been on capacity enhancement of TVETCs/HSCs
	No. of Universities with enhanced WASH courses (by region)	-	-	No activities as focus has been on capacity enhancement of TVETCs/HSCs





	Indicator	Baseline	Target	Achievements
Output 2 Skills and competences of key stakeholders (individuals) responsible for planning, managing, implementing and monitoring WASH programmes developed and upgraded	No. of HEWs and water technicians who received short courses (by gender)	2009: 0	2012: -	UNICEF progress report, April 2012: 2,117 HEWs, supervisors and regional health staff from all regions trained on CLTSH
	No. of regional WASH staff who received short courses (by gender and region)	2009: 0	2012: -	UNICEF progress report, April 2012: i) 352 (including a minimum of 22 female) WASH professionals from all regions trained in various technical subjects ii) 886 (M: 702, F: 184) TVETC staff and partners trained in i.a. curriculum dev. & teaching methodology.
	No. of zonal and woreda WASH staff who received short courses (by gender and region)	2009: 0	2012: -	UNICEF progress report, April 2012: i) 6,619 from all regions except Somali trained on NWI (ToT) ii) >5,350 WASH professionals mainly from 5 CB regions trained in water quality monitoring, sanitation and hygiene, gender, CMP orientation iii) 614 attended local knowledge sharing events iv) 7 WASH professionals attended international conference
Output 3 WASH policy, its effective implementation and enhanced coordination refined through strategic studies, evidence, sector reviews and systems development	No. of knowledge sharing events including seminars, technical meetings, conferences and practitioners' networks	2009: -	2012: -	UNICEF information by February 2013: i) Funding for 2 Multi-Stakeholder Forum (MSF), i.e. MSF 3 and 4 ii) Funding for 4 Joint Technical Reviews held in 2010-2012
	No. of special studies including action research undertaken together with other partners including RIPPLE, WaterAid and SNV	2009: -	2012: -	UNICEF information by February 2013: MoWE: 4 BoH in SNNPR: 1
	No. of i) regional WASH coordination offices and ii) woreda WASH coordination offices formalised and staffed	-	-	See above.

Sources: UNICEF: i) Annual Report on Water, Sanitation and Hygiene Capacity Building Project, April 2012, ii) Final Report to IDC and Technical Update to DFID and GoF, November 2012, and iii) Additional information from UNICEF, February 2013

Table 8 Achievements of WASH Capacity Building Project Goal, Purpose and Outputs



5.3.2 Window 1: Organizational Development

Capacity Building at Federal Level

The Capacity Building Project has provided substantial capacity building and support at federal level. As listed in the UNICEF Technical Update Report from November 2012, the main areas of support include: i) support to the establishment and operation of the Capacity Building Facility based in MoWE; ii) support to the operation of the National WASH Coordination Office (NWCO) based in MoWE; iii) support to the Sector Support Directorate in MoWE with four experts for the developing or emerging regions and iv) support to the WASH office of MoE in the form of equipment (computers); and v) technical assistance to the WASH office of MoH (one full-time consultant).

The Capacity Building Facility (CBF) was established in 2009 within MoWE. The head of the facility is a permanent MoWE staff member, while the other three positions in the unit are to be filled by consultants. At the time of the evaluation two consultants were in place, namely a finance expert and a monitoring and evaluation expert. The Capacity Building Project covers the salary costs for the CBF consultants and the operational costs of the unit. Originally, it was expected that by 2011 the CBF would be operational within the Government structure and would administer WASH capacity building funds, i.e. would take over the function that is now carried out by UNICEF. The incorporation of the CBF in the Government structure is, however, awaiting the final approval of the WIF by all parties involved. In the current version of the WIF, the National Capacity Building Support Unit reports to the NWCO.

At the time of the evaluation, the NWCO had three staff, while one position was vacant. The head of the NWCO is a permanent MoWE staff member, while the other three positions are to be filled by consultants. At the time of the evaluation two consultants were in place (a water supply expert and an environmental health expert). The Capacity Building Project covers the salary costs for the consultants and the operational costs of the office. The overall role of the NWCO is to coordinate the activities of the Programme Management Units in the three WASH ministries, MoWE, MoH and MoE. At the time of the evaluation, the NWCO was not authorised by the Ministry of Civil Service, i.e. it was not part of the Government structure. The role and responsibilities of the NWCO are, however, included in the updated MoU signed between the four ministries, MoWE, MoH, MoE and MoFED in November 2012. The NWCO is also mentioned in the latest version of the WIF. Consequently, MoWE believes it will be possible in the near future to fully integrate the NWCO in Government structures.

It is the evaluation team's assessment that the federal-level support from the Capacity Building Project has been effective in enhancing the coordination and integration of WASH activities, with appointment of WASH focal persons/coordinators in MoH, MoE and MoWE. The three ministries thus prepare joint annual WASH capacity building work plans and all three ministries appreciated the benefits of using an integrated and coordinated WASH approach. There is, however, still scope for improvements, in particular to ensure that sufficient attention is paid to sanitation and hygiene promotion at community level and to sanitation, water supply and hygiene promotion in schools.

It is of particular concern that the number of federal-level MoH staff involved in WASH activities is very low. The WASH focal person in MoH is based in the Pastoralist, Health Promotion and Disease Prevention Directorate, which is responsible for coordinating sanitation and hygiene promotion activities. Reportedly, the WASH focal person is the only MoH employee working specifically with sanitation and hygiene promotion and related capacity building activities. At the time of the evaluation, the WASH focal person was supported by three consultants, one of whom was contracted by the Capacity Building Project. Until 2010, MoH had a hygiene and environmental sanitation department and



according to several stakeholders at this time around 25 professional staff worked with sanitation and hygiene promotion. Currently, each regional health bureau has a team of four staff on average, who follow up on sanitation and hygiene promotion, namely one coordinator and three health extension, sanitation and hygiene supervisors. Each woreda health office has one health extension programme coordinator. In Tigray region, additional personnel have been assigned to work with sanitation and hygiene promotion. One junior environmental sanitation expert has thus been assigned to each health centre to support the HEW network in relation to environmental sanitation issues. There are 5-7 health centres in each woreda and in total 96 junior environmental sanitation experts are assigned in approximately 50% of the health centres. Environmental sanitation experts have received two years of college-level training.

As is the case with the current MoH WASH focal person, the MoE focal person is relatively new in this position. He is also the coordinator of a HIV/AIDS programme, which limits the time he is able to use on his WASH responsibilities. The current focal person has not received any WASH training and it appears there was no or very limited handover from his predecessor.

Capacity Building for TVETCs and HSCs


The Capacity Building Project has conducted capacity assessments of 16 TVETCs and HSCs, through contracts with SNV and WaterAid⁴. The summary reports from these assessments list the following main capacity gaps in the training institutions:

- Extremely limited and/or non-existence of essential physical and training resources, including equipment and tools, reference books, logistical and support facilities;
- Not working closely with relevant WASH stakeholders in connection with the planning of cooperative training and other training matters;
- Weak in making assessments of their operational environments and in developing training strategies and programmes;
- Skill gaps among teachers to effectively handle practical training, with only a few teachers having passed the teaching methodology course;
- For TVETCs providing training in health extension, the biggest problem was their lack of mandate to operate health extension departments; and
- Very limited knowledge of WASH policies and strategies.

As part of the capacity assessments, SNV and WaterAid assisted the TVETCs and HSCs in preparing action plans, which include external support that is needed to overcome the most critical capacity gaps and measures that the TVETCs/HSCs were to take without external support.

Based on these action plans, the project has provided support to eight TVETCs and four HSCs. The support includes i) physical capacity building support, i.e. procurement of equipment, tools, construction of some laboratories and health extension demonstration sites, ii) training on curriculum development, teaching and research methodology skills, practical skills like O&M, water quality testing, gender mainstreaming, iii) support to establishment of linkages and systems, including experience sharing visits to other TVETCs / HSCs, establishment of monitoring and evaluation systems, iv) strengthening of research and development with establishment of TVETC challenge funds.

⁴ SNV and WaterAid have also carried out capacity assessments of 18 woredas as part of the Capacity Building Project.



Mainly due to delays in establishing financial arrangements and in the transfer of funds, the support only started at the end of 2011 in eight of the TVETCs/HSCs and in the remaining four TVETCs/HSCs in the middle of 2012. As the project was planned to be completed in March 2013, these delays in starting the actual support may have meant the TVETCs and HSCs were put under pressure to implement their action plans quicker than originally planned.

The evaluation team met with one TVETC, which is receiving support (Hawassa TVETC). It finds the support very useful and in particular emphasized the importance of the new Guided Learning on Water and Sanitation (GLoWS) modules that has been prepared in cooperation between the TVETC, Hawassa University and SNV. Meta Meta and RIPPLE has also been involved in the training of teachers who provide training to former TVETC graduates from different woredas. The GLoWS modules have a very practical focus, with 3-month assignments in three rounds for the trainees back in their own woredas.

The lack of practical experience of fresh graduates from various training institutions has been one of the challenges mentioned by several stakeholders and it is the evaluation team's assessment that the GLoWS approach is an effective way of introducing a more practical focus into the TVETC training. This is supported by the evaluation⁵ of the first phase of GLoWS implementation for 48 woreda employees in eight woredas in SNNPR. The implementation of the GLoWS approach has since then been extended to additional woredas in Oromia, Amhara, Tigray and SNNPR. The extension in SNNPR is funded by the Capacity Building Project, while the extension to woredas in Oromia, Amhara and Tigray is funded by the Netherlands Government. There has thus been a replication effect of the GLoWS approach developed and piloted with support from the Capacity Building Project.

The TVETCs and HSCs have received training and support in developing/revising their own specific WASH related curricula based on model curricula so they are inter alia aligned with the national occupational standards. The revised curricula were not ready for use in 2012, but according to UNICEF the TVETCs and HSCs have now started using these revised curricula. The project support has enabled a number of TVETC instructors to pass the national certificate of competence exams, which is quite an achievement. Furthermore, TVETCs have recently introduced the national certificate exams for their graduate students and this has contributed to the acceptance of the graduates by the WASH sector.

Some of the findings from the TVETC and HSC capacity assessments were their lack of interaction with WASH stakeholders and their lack of knowledge about WASH policies. According to reports from UNICEF, and in particular the two consultants employed to support the TVETCs/HSCs, improvements in both areas have been significant. Generally, the supported TVETCs and HSCs are reported to now work closely with WASH stakeholders and to have improved knowledge on WASH policies. As a consequence of their increased interaction with stakeholders they have managed to get agreements with additional companies and institutions on the practical training elements of their study programmes (the so-called corporate training).

The procurement of tools, equipment, laboratory and workshop facilities, construction of demonstration facilities etc., i.e. the physical capacity building support, is assessed to be effective in improving the in-campus practical training of the TVETCs and HSCs.

⁵

This evaluation was conducted in April 2012 by the SNNPR Water Bureau, the TVET Bureau, zonal health and water offices and a representative from another TVETC.



5.3.3 Window 2: Continuous Professional Development

The project has been effective in providing training to a substantial number of WASH professionals. By the end of March 2012, nearly 16,000 WASH professionals at different levels, regional, zonal and woreda WASH staff had attended short training courses. Additional personnel have been trained within the last year but data had not been accumulated at the time of writing this report.

Sanitation and hygiene promotion

Out of the 16,000 WASH professionals trained, more than 2,000 are health staff (HEWs, supervisors and regional health staff), who have been trained on Community-led Total Sanitation and Hygiene (CLTSH). The project has also supported capacity building related to sanitation and hygiene promotion through technical assistance to MoH (one expert full-time), physical and HR capacity building support to HSCs, and its support to pooled funding of integrated refresher training for HEWs. In addition, training courses for WASH staff at zonal and woreda levels have included training on sanitation and hygiene promotion. The project has thus paid considerable attention to sanitation and hygiene promotion and the capacity building interventions in this respect are assessed to be relevant.

The interviews at community, woreda and town levels showed that the work of the HEWs is much appreciated. According to the data obtained particularly at woreda and regional levels the latrine coverage has increased significantly in rural areas over recent years, as a consequence of the efforts of the HEWs (the HEW network was introduced in 2005). Also improved hand washing practices were reported. Many of the relatively newly constructed latrines seen by the evaluation team were, however, traditional latrines and could not be classified as improved latrines. The achievements in reducing open defecation should, however, certainly be recognised. The achievements in reducing open defecation in rural areas of Ethiopia can be partly attributed to the Capacity Building Project. The project appears, however, not have supported any capacity building related to sanitation marketing or other initiatives that focus on households moving up the sanitation ladder and on the use of improved latrines.

Gender mainstreaming

It is assessed that the project has contributed to gender mainstreaming within the sector, particularly through its training of TVETC/HSC teachers. In addition, there has been support to one specific course on gender mainstreaming for 46 regional WASH professionals (28 women and 18 men). It is not possible to see from the data available to what extent gender mainstreaming has been integrated into other training courses. It is therefore not possible to estimate the extent or the effectiveness of the training on gender mainstreaming. The project has funded the translation and printing of MoWE's gender mainstreaming implementation guideline, which was completed in October 2012. One of the areas highlighted in the guideline is the importance of collecting and using sex-disaggregated data for planning and monitoring purposes. This is actually a limitation in the Capacity Building Project, where very few data are disaggregated by sex.

5.3.4 Window 3: Strategic Sector Support

The Capacity Building Project has provided considerable funding for the development and roll-out of the national WASH inventory (NWI), as has the WSSP. This includes funding for staffing of the WASH inventory office, printing of manuals and forms, development of a Management Information System (MIS), GPS equipment, logistical support and the training of enumerators and supervisors in 800 woredas. The NWI data, which were collected in year 2003 E.C. (i.e. July 2010-June 2011 European calendar) in all regions except Somali, were

officially released and accepted in March 2013. The NWI is expected to contribute substantially to better and more realistic planning and monitoring of future WASH interventions. Some woredas are thus reported to having started using the NWI data. The project's support to the NWI is assessed as highly relevant.

It is planned to integrate the NWI MIS into the overall M&E system for the sector, which in the view of the evaluation team is crucial in order to ensure that the NWI data are used and updated.

In addition, the project has funded two Multi-Stakeholder Forum, four Joint Technical Reviews, five research studies, the finalisation of several WASH sector policy documents and guidelines. In the view of the evaluation team, this support has contributed considerably to creating an enabling environment for the sector.

5.3.5 Influence of External Factors Recorded as Assumptions in Key Project Documents

	Indicator	Assumptions	Comments by Evaluation Team
<u>Goal:</u> Ethiopia achieves national UAP targets for access to water and sanitation	National water supply Coverage		
	Access to improved sanitation at national level		
<u>Purpose:</u> To strengthen the capacity of the WASH sector to coordinate, plan, implement and monitor progress in the WASH sector	No. of Regions with functioning WASH Coordination Offices	UAP supported with sufficient financial resources, political willingness and broader policies governing basic social services to deliver UAP targets. Progress is not significantly affected by natural or complex disaster.	The UAP targets for access to water and sanitation are very ambitious and sufficient financial resources have not been allocated to achieve these targets
	No. of Woredas with functioning Woreda WASH Teams, using WASH Inventory to implement Woreda WASH Plans		
	No. of Technical Institutes that have received support to update WASH programmes		
<u>Output 1</u> Capacity of local, regional and national WASH education and training institutions strengthened to deliver relevant, quality education and training	No. of TVETCs with enhanced WASH courses (by region)	Increased institutional capacity results in increased individual capacity – with Govt. able to pay staff salaries on a sustainable basis. Stakeholders, when trained, do not leave posts / government WASH sector for better paid jobs. WASH policies and plans enable increased capacity to be applied to achieve UAP results. Country is not beset by natural / complex disasters.	Many public sector employees have left their positions after having received training. The low staff salaries in the public sector are one of the reasons for the high staff turn-over in the public sector. Another barrier to institutional capacity enhancement has been the lack of a system for, and commitment to, handing over knowledge, manuals and data to successors.
	No. of Regional and National training institutions with enhanced WASH courses (by region)		
	No. of Universities with enhanced WASH courses (by region)		



	Indicator	Assumptions	Comments by Evaluation Team
Output 2 Skills and competences of key stakeholders (individuals) responsible for planning, managing, implementing and monitoring WASH programmes developed and upgraded	No. of HEWs and water technicians who received short courses (by gender)	Stakeholders, when trained, do not leave posts / government WASH sector for better paid jobs.	See above.
	No. of regional WASH staff who received short courses (by gender and region)	WASH policies and plans enable increased capacity to be applied to achieve UAP results.	
	No. of zonal and woreda WASH staff who received short courses (by gender and region)	Country is not beset by natural / complex disasters.	
Output 3 WASH policy, its effective implementation and enhanced coordination refined through strategic studies, evidence, sector reviews and systems development	No. of knowledge sharing events including seminars, technical meetings, conferences and practitioners' networks	Sectoral policy and plans are supported by improvements in institutional and individual capacity.	See above.
	No. of special studies including action research undertaken together with other partners including RIPPLE, WaterAid and SNV	Sector progress is not undermined by natural or complex disaster.	
	No. of i) regional WASH coordination offices and ii) woreda WASH coordination offices formalised and staffed	Sufficient funds to ensure effective implementation of WASH policy. Quality and reliability of data informing WASH policy and plans improves.	
			The data collected by the NWI are assessed to significantly improve the basis for WASH planning and monitoring.

Source for first three columns: UNICEF: Annual Report on Water, Sanitation and Hygiene Capacity Building Project, April 2012


Table 9 Assessment of Assumptions

5.4 Efficiency

As mentioned in section 5.2.1, the need for a comprehensive capacity building initiative was identified prior to the WSSP Mid Term Review in 2007 and supported by the Review Mission. The background for such an initiative was that scaling-up sector activities to achieve the MDG and UAP targets required a significant increase in implementation capacity, both in terms of the number of staff and the range of skills and competences required.

The Capacity Building Project has contributed to both immediate capacity strengthening through training of individuals and more long-term and continuous capacity building through strengthening of the TVETCs and HSCs. This combination is considered good value for money as the many short training courses for WASH professionals have produced immediate results, while the capacity building of the TVETCs and HSCs aims at ensuring that a sufficient number of well-qualified WASH specialists are available in the future.

The project has provided much support to strengthening the WASH coordination structures at federal level. The engagement of a number of national consultants to assist in this connection is considered good value for money as an interim solution. This can, however,



only be considered efficient in the long-term if the NWCO and the CBF are fully integrated into the Government structures.

The technical assistance provided to MoH is considered effective in enhancing the sanitation and hygiene promotion capacity at woreda and kebele levels. Due to the very limited MoH staff involved in sanitation and hygiene promotion, it is assessed that the technical assistance has been less effective and efficient in building the capacity at federal level.

The project has put much funding into the development and roll-out of the National WASH Inventory which will facilitate better planning and monitoring of future WASH interventions. It should be noted that also the WSSP has provided substantial financial resources and other support to the NWI (see also section 5.3.4). Using a training-of-trainers approach, the support from the two projects has included training of more than 6,600 enumerators and supervisors in all regions except Somali. The obvious question to ask is whether the NWI data could have been collected and processed in a cheaper and equally effective way. The evaluation team is not able to answer this question, but does agree with the general view among sector stakeholders that the NWI data is likely to contribute substantially to better and more realistic planning and monitoring of future WASH interventions. Before the availability of NWI data, the planning and monitoring of WASH interventions were often based on weak and incomplete data or on data collected by individual projects in their specific project areas. Furthermore, different organisations and projects have often used different definitions of e.g. access to (improved) sanitation, which made it difficult to compare the data available. Much effort went into planning and implementing the NWI, with many stakeholders involved in the design of it and much training for data collectors. All NWI data are presumably not “perfect” data and there may be data gaps, but according to several stakeholders there is now a much better baseline available for the different levels to plan and monitor WASH interventions. As an example it can be mentioned that the availability of the NWI data appears to have been an “eye-opener” in relation to water supply and sanitation facilities in health centres/posts and schools. As a result MoH and MoE now appear to pay more attention to improving the facilities in these institutions.

5.5 Impact and Sustainability

The goal of the Capacity Building Project is that “Ethiopia achieves national UAP targets for access to water and sanitation”, which are 98% national water supply coverage and 100% access to improved sanitation. This ambitious goal has clearly not been achieved. The purpose of the project is “to strengthen the capacity of the WASH sector to coordinate, plan, implement and monitor progress in the WASH sector”. The indicator targets set for this purpose have been partially achieved, as described in section 5.2.1.

It should be mentioned that the indicator targets for the goal and some of the indicator targets for the purpose relate to the sector as a whole. The achievements made towards these targets cannot be solely attributed to the Capacity Building Project. Several other WASH programmes have thus contributed to the increased water supply and sanitation coverage, the number of regions with functioning WASH coordination offices and the number of woredas with functioning woreda WASH teams. The third purpose indicator, “the number of technical institutes that have received support to update their WASH programmes”, is more an output than a purpose indicator.

It is the evaluation team’s assessment that the project interventions have contributed to enhancing the capacity at various levels. A key impact of the project is that it has enhanced the capacity of 12 TVETCs/HSCs to provide more focused and practical training for present and future staff in the WASH sector, especially staff working at woreda and town levels where the capacity gaps are greatest. By including capacity building for training institutions,



the project has also contributed to institutionalising and sustaining capacity building activities.

An example of the impact of the practical training conducted by TVETCs is from Mesrak Bedewacho woreda in SNNPR. The TVETC graduates in the woreda water office and selected artisans from the woreda have been trained in preventive O&M by the nearby TVETC. The evaluation team met with some of these TVETC graduates who found that the training had been effective. They as well as other woreda staff believed the preventive O&M training had contributed much to the considerable decline in the non-functionality of water supply facilities in the woreda (the non-functionality is now 10%, compared to the average 26% as recorded during the recent NWI). It is now planned to replicate the approach in other regions.

The impact of the training of individual WASH professionals is more difficult to measure. However, the substantial support provided to training of HEWs and other health staff on sanitation and hygiene promotion does appear to have had an impact. The access to latrines has thus increased since the start of the project. In some of the woredas visited by the evaluation team this increase had been significant and most households and WASH staff interviews attributed this to the work of the HEWs. Many of the new latrines are, however, traditional latrines. As mentioned earlier, it is assessed that complementary sanitation and hygiene promotional approaches and related capacity building interventions are needed in order to achieve the targets of access to improved sanitation.

The HEWs are part of the Government's health structure and it is part of their tasks to promote good hygiene and sanitation practices. They receive salaries from the Government and will be able to continue using the sanitation and hygiene knowledge and skills acquired through the project-supported training courses. Furthermore, the turn-over among HEWs is reported to be very low. The sustainability of the capacity building interventions for the HEW network is thus considered to be high. It is, however, acknowledged as a risk that HEWs are assigned an increasing number of curative tasks, which reduces the time they are able to spend on sanitation and hygiene promotion. The HEW time motion study planned by MoH will provide a better picture of this.

In section 4.5.3, the high turn-over of WASH staff in the public sector was mentioned as a barrier to sustaining the WSSP-supported capacity building interventions. The reflections in section 4.5.3 also apply to the interventions of the DFID/GoF/ICD-supported Capacity Building Project.



SECTION 6

Comparison with other Capacity Building Initiatives

6.1 Community-Led Accelerated WASH Programme (GoF)

The Community-Led Accelerated WASH (COWASH) Programme supports WASH implementation in 45 woredas in Amhara, Oromia, SNNPR and Tigray. It started in 2011 and uses the community managed project (CMP) approach which was first introduced in Amhara region 10 years ago by the previous Finnish-supported RWSS programme. One of the distinct characteristics of the CMP approach is that micro-finance institutions channel funds for construction of communal water supply facilities to WASHCOs. Approximately 7,000 communal water supply facilities have been constructed using the CMP approach. The functionality of these is reported to be as high as 98%, compared to a national functionality rate of 74% as found by the recent NWI. The CMP approach is also in other respects reported to be highly demand-responsive, with user contributions in some cases amounting to 25-40% of the total costs. The implementation speed is often five times higher than when woreda staff plan, construct or supervise the construction of facilities.

The above-mentioned achievements mainly relate to the Finnish-supported RWSS programme in Amhara and should be seen in the light of the considerable human and financial resources this programme reportedly put into capacity building at community and woreda levels and for the micro-finance institutions, especially at the start of the programme. A higher proportion of the total programme funding thus appears to have gone into capacity building than was the case with other donor-supported and GoE-supported WASH programmes.

The COWASH programme appears to have adjusted the CMP capacity building approach so it uses a cascaded training approach which has many similarities to the approach used by the WSSP. The main difference is that the COWASH training is to be provided over a longer period of time with slow phasing out of capacity building support and monitoring. Furthermore, zonal personnel are among those trained as trainers. The COWASH capacity building approach uses the very practical GLoWS approach, which was piloted with funding from the DFID / GoF / IDC supported Capacity Building Project. During the evaluation team's visit to Amhara, the regional WASH team described the COWASH programme as being strong in terms of empowering local communities through building of their capacity and preparing them for implementation with continuous training throughout the programme period. The WSSP support was said to currently focus more on construction activities. The visit to one GoF-supported woreda in Amhara showed that it faced similar problems as WSSP-supported woredas with high staff turn-over and lack of a system for handing-over of knowledge and data. The current staff in the GoF-supported woreda thus complained that they had received no training, though they had participated in some WASH workshops. The discussions with the WASHCO managing a hand-dug well, constructed with GoF support, showed that the WASHCO had received training in management of the facility, including financial management and O&M. The well appeared reasonably well-managed, although the hand pump didn't work at the time of the visit due to lack of a small spare part.



In addition to human resources capacity development, the COWASH also includes limited physical capacity improvements for zonal and woreda levels offices to ensure CMP implementation and acceleration of rural WASH development.

The COWASH capacity building approach appears to build on the experiences of past and ongoing WASH programmes, including among others the WSSP and the Capacity Building Project, and to have learnt from both successful and less successful capacity building elements of these programmes. It should be mentioned that the COWASH capacity building approach is in line with the approach described in the WIF.

COWASH has recently completed a market survey in some woredas and found that the private sector is keen to stock and market materials for construction of water and sanitation facilities. It finds it, however, more problematic to stock spare parts because of the low turn-over, though some shops did sell both materials and spare parts. Based on these findings and findings of the supply chain study undertaken in 2010 by MoWE with the assistance of the World Bank, the COWASH programme is planning to carry out a pilot project with establishment of enterprises / outlets at woreda level. These outlets are to sell spare parts and may later also provide maintenance services. The outlets will most likely be run by women and/or young people, thus creating income opportunities for them. An NGO may be engaged to assist with piloting in all nine regions. Such a supply chain model appears to be a potentially innovative way of involving small scale entrepreneurs in the WASH sector and at the same time enhancing their business skills. It will be interesting to compare the results of the pilot activities with the experiences from the five JICA-supported supply chain models in SNNRP (see also section 4.3.6).


6.2 WSP-supported Sanitation and Hygiene Promotion Programme

The Learning by Doing Initiative (LBDI) on total behaviour change in sanitation and hygiene, which is supported by the WSP and the USAID's Hygiene Improvement Project (HIP), started in 2006 in Amhara region. Intensive assistance was provided to four woredas, with immediate roll out of tools and approaches to all 30 WSSP-supported woredas in Amhara as well as 60 additional woredas in the region.

A WSP Learning Note from July 2011 concludes that the CLTSH approach has been effective in increasing latrine coverage and reducing open defecation and has had a high ripple (i.e. replication) effect in non-targeted woredas. However, one of the key lessons was also that building latrines is not enough and a focus on quality or building to minimum standards, maintenance and use are equally important. Another key lesson was that the availability of a handwashing facility at the right household locations can be an important behaviour change indicator, but that it is important water and soap are available at the handwashing facility.

Based on the above-mentioned experiences, the WSP is now paying special attention to sanitation marketing in Amhara region, i.e. to support the building of a viable market for sanitation goods and services. This is to enable and encourage households to move up the sanitation ladder. In addition to Amhara, the WSP-led programme has over the last two years been implemented in Oromia, SNNPR and Tigray regions, with plans to extend it to cover in total 104 woredas.

In addition, MoH is piloting sanitation marketing in 20 woredas distributed in four regions, with training of artisans on construction of sanplats, handwashing facilities and smoke-free stoves. One of the interesting elements of this project is its cooperation with a small and micro enterprises programme, including saving and credit institutions.



The Ethiopian experience with sanitation marketing and the related capacity building is still limited and will need to be assessed in detail before a decision is taken on its potential roll-out to the whole country.

6.3 Multi-Village Rural Piped Water Schemes (NGOs)

In 2010, the World Bank arranged for a study on proven management models for multi village water schemes. The study included seven schemes in Oromia and SNNPR, each serving a population of around 20,000 to 100,000. All schemes had been in operation for around 10 years.

Main findings included the following:

- All multi village schemes (MVS) were in areas with severe water shortage. This had led to committed community involvement in planning, design and management of the schemes.
- All MVS had put in place appropriate management structures with user representation in general assemblies and an executive board with effective oversight of operations.
- All MVS had been able to build adequate operator capacities and were operating and maintaining their schemes with limited outside support.
- Users of all MVS were satisfied with the level of service provided by the schemes and, except for one scheme, all felt that the price of water was reasonable and affordable.

The following are stated reasons why the seven MVS were considered sustainable:

- Communities had participated from the planning to the O&M phase.
- Communities had received the required support from NGOs and the government specifically during the early years of the projects, including training in management and O&M.
- Women's participation was high, varying from 50% to 100%.
- The MVS were relatively close to supply chain outlets.
- The MVS used renewable energy partially or fully, depending on the location of sources.
- The health extension programme had not only increased latrine coverage to more than 80% but also enhanced the demand for safe and potable water.

The seven schemes were, however, still facing some challenges, the main ones being i) how to secure the long-term sustainability of the services (replacement and expansion), ii) dependence on the local government and donors for technical assistance in connection with O&M, as private sector service provision was limited; iii) some MVS do not have legal status.

The study report mentions that all communities, except one, had received support from NGOs and the government, including training in management and O&M. It does not specify how much initial and follow-up training had been provided to each of the seven MVS. The capacity building interventions appear, however, to have been substantial and to have continued over a considerable period of time. Furthermore, it appears that NGO personnel have directly promoted the involvement of local communities in all project phases and have provided the training directly and not used a cascaded training approach like the WSSP did. It is thus assumed that substantially more human and financial resources have been used in ensuring local ownership and for training of local communities than large programmes like the WSSP are able to use. The proportionate allocation of funding for programme management, including capacity building, supports this assumption. The WSSP and the multi village schemes have thus used 5-10% and 24% respectively of their total funding for programme management and capacity building. The figures should, however, be used with much caution. For further details, see section 4.4.2.



Although the study assessed the sustainability of the seven MVS to be high, it will in the evaluation team's view not be possible for GoE to find the resources to widely replicate all elements of the capacity building approach used by NGOs in connection with the seven MVS.

6.4 Urban WASH Capacity Building (WaterAid)

WaterAid has developed an urban WASH capacity building strategy to support towns, which have capital investments from other donors. This support has now been provided to the following seven towns for three years:

1. Asosa, Benishangul Gumuz (good performance) – support from the WSSP
2. Burayu, Oromia (very good performance) – support from the WSSP
3. Sebeta, Oromia (good performance) – support from the WSSP
4. Butajira, SNNPR (very good performance) – support from the WSSP
5. Welkite, SNNPR (very good performance) – support from the WSSP
6. Mizan-Anan, SNNPR (good performance) – support from the Treasury/the Water Fund
7. Hosalna, SNNPR (good performance) – support from the WSSP


The population in each town ranges from 30,000 to 100,000. Based on capacity assessments, training programme and manuals/materials were developed and implemented on business planning, plumbing, leakage control, electro-mechanical works, water quality monitoring, policy etc., in total 17 manuals/guidelines were prepared. After the initial training, annual mentoring and support was provided. After three years, the progress in three towns was found to be very good as indicated above.

The evaluation team interviewed a water board and a water supply utility in SNNPR which were both receiving training from WaterAid. It was the evaluation team's clear impression that the utility had received more intensive training than the utilities trained by TSGs under the WSSP. In particular, WaterAid had provided more training on O&M and financial management. The WaterAid O&M training on electro-mechanical equipment was thus said to have been an eye-opener for utility staff and they would like to have additional training in this area. The training provided to the water board appeared to be similar to the training provided by TSGs to WSSP-supported small towns. Also the capacity of the boards appeared to be similar.

6.5 Pastoralist Community Development Project in Somali

The Pastoralist Community Development Project (PCDP) in Somali started 9-10 years ago and is currently being implemented in 21 pastoralist and semi-pastoralist woredas in Somali region. It has three components: i) sustainable livelihood development, ii) social livelihood programme and iii) pastoral risk management. Local communities identify and prioritise the improvements they would like to implement in their own communities and improved water supply is often among the three highest prioritised interventions. The project includes initial training of and continuous support to community and kebele level committees. The project has three project staff in each woreda and several mobile support teams, with one mobile support team normally covering four woredas. The woreda based project staff and the mobile support teams conduct the initial training and provide continuous support at community, kebele and woreda levels.

According to project staff, the project has been very successful in improving the livelihood of pastoralist communities, including their water supply situation. They attributed this success to the project's community-based approach with all decisions, procurement and



management taking place at community level. The capacity building activities conducted by the woreda-based project staff were considered essential in this connection. The turn-over among woreda-based project staff and among other project staff is low, reportedly because all project employees have good salary packages.

The capacity building approach used by the PCDP is intensive and is believed to require substantial human and financial resources. It has, however, not been possible for PCDP staff to indicate the PCDP's proportionate costs of capacity building and/or programme management compared to total costs. The evaluation team has also attempted to get information on the budget for capacity building and/or programme management from the appraisal report, but was not able to get distinct figures.

Although the PCDP capacity building approach, which deals not only with WASH but also with community livelihood, is reported to have produced good results, it is not likely to be replicable in the future One WASH Programme.

6.6 WASH Implementation Framework (WIF)

The WIF was prepared to achieve the targets of the GTP and is to act as the guiding document for all WASH implementation. It defines an integrated One WASH Programme with use of SWAp arrangements and includes a cascaded training approach, with many similarities to the arrangements used in connection with the WSSP.

The following entities are foreseen to solely focus on capacity building:

- National Capacity Building Support Unit
- Regional Capacity Building Support Units
- Training institutions, in particular EWTEC and TVETCs
- Woreda support groups or agents (WSGs)
- Town support groups or agents (TSGs)
- Community facilitation teams (CFTs)

The WIF document mentions that the many operational manuals, trainer's guides and other materials produced and used by a number of bilateral and multi-lateral WASH projects and by various NGOs are being assembled, assessed and revised to have a common set of materials for use throughout the One WASH Programme. Similarly the TA arrangements are being harmonised with the national and regional Capacity Building Support Units as the main future TA arrangements. The evaluation team agrees it is very important to review and harmonise the manuals and materials used in the WASH sector and also to harmonise the TA arrangements so as to make the best possible use of resources and with a view to avoiding duplication and gaps.

Though not explicitly mentioned in the WIF document, it is assumed that the National Capacity Building Support Unit is the Capacity Building Facility unit already established in MoWE with support from the DFID/GoF/ICD Capacity Building Project. According to the WIF document, the national and regional capacity building support units are to be functions under and report to the national and regional WASH coordination offices. This will integrate them into the official WASH structures, which is considered very important seen from a sustainability perspective.

According to the WIF document, the WSGs, TSGs and CFTs are to be hired from the private sector or from NGOs. The document does, however, not indicate how many consultants / NGO employees are expected to be employed in each of the mentioned units and groups or the number of WSGs, TSGs and CFTs that are likely to be needed. The use of WSGs, TSGs



and CFTs for capacity building interventions will without doubt be effective in closing capacity gaps in the short-term, but may be less effective in sustaining capacity building efforts in the longer term.

In the view of the evaluation team, it is thus important to consider how best to institutionalise capacity building activities into existing structures and to assess to what extent this is possible. Enhancing the capacity of the supply side, i.e. TVETCs, HSCs and possibly other training institutions, to provide good-quality and demand-responsive training is considered a very important element of institutionalising future capacity building activities. Human resources and physical capacity building for training institutions does not appear to be included in the WIF, although TVETCs are mentioned as training providers. Capacity assessments of 16 TVETCs and HSCs conducted with support from the Capacity Building Project and the evaluation team's visit to several TVETCs and HSCs thus show that many capacity gaps remain in these institutions.



SECTION 7

Conclusions and Lessons Learnt

This chapter gives the conclusions and lessons learnt from this evaluation of capacity building interventions in the WASH sector.

Table 10 includes a comparison of the situation described in six regional capacity assessments reports from 2002-2003 with the current capacity in WSSP-supported areas. The six assessment reports available to the evaluation team are for the regions of Afar, Amhara, Benishangul Gumuz, Harari, Somali and SNNPR. It should be mentioned that the level of detail and the focus of the six reports vary.

Table 11 includes a tabulated summary of the evaluation questions and the conclusions and lessons learnt for both the WSSP and the Capacity Building Project.



Level / Organisation	Capacity in 2002-2003	Capacity in 2013 in WSSP-supported Areas
Overall	Human resource and physical capacity was clearly lower in emerging regions than in other regions, particularly in Afar and Somali (see also below)	Though there is an improvement as compared to 2002-2003, the evaluation team's visit to three regions showed that the capacity in Somali region (emerging region) is clearly lower than in Amhara and SNNPR. The capacity in other emerging regions is also reported to be lower than in other regions.
Regions	<p>Despite decentralisation of implementation responsibilities from regions to woredas, most or perhaps all 6 Regional Water Bureaus (RWBs) had workshops and O&M staff. Some had own drilling rigs.</p> <p>Some RWB staff had been trained on strategic planning, but there was still a lack of strategic planning skills and insufficient involvement of other stakeholders in the planning process.</p> <p>In Afar and Somali, there was a chronic lack of trained manpower both in technical and managerial positions.</p>	<p>In Amhara and SNNPR, implementation responsibilities have to a large extent been decentralised from regional to woreda level. In Somali region, design, construction supervision and training responsibilities are still much concentrated at regional level. As a consequence, in Somali region the training and support to individual WASHCOs are very limited.</p> <p>The level of regional WASH coordination and integration and strategic planning has without doubt increased compared with the situation in 2002-2003. There are for example active regional WASH steering committees in all three regions visited. The level of coordination and integration varies, however. The WASH activities in Somali region thus appears less integrated and the regional WASH team less active than in Amhara and SNNPR.</p> <p>The procurement and financial management capacity has improved compared to 2002-2003. One of the results is that the procurement threshold for the four regions of Amhara, Oromia, SNNPR and Tigray was increased in the middle of 2012.</p> <p>The turn-over among regional WASH staff is relatively high. Many new employees have not received any or much WASH training and there is no system – or tradition – for handing over knowledge, guidelines and data. There is therefore still a need for capacity building for regional staff.</p>
Zones	There were some zonal water offices in Amhara, Afar and Somali regions. In Amhara each zonal water office had 1-2 staff.	The four zonal water offices visited by the evaluation team each have 6-12 employees. A zonal WASH team consisting of the water, health, education and other offices has been established in 2 out of the 4 zones. All 4 zonal water offices have received some WASH training.
Woredas (and Kebeles)	Woreda water offices had been established in 3 out of 6 regions, namely in Amhara, SNNPR and Benishangul Gumuz. This had taken place 1-2 years prior to the studies. The number of staff in the woreda water offices was very low, most often only 1-3 staff.	<p>Woreda water offices have now been established in all woredas in Ethiopia. Often each woreda water office has 6-8 staff. The increased number of staff is due to the overall decentralisation process and cannot be attributed to the WSSP.</p> <p>2 out of the 3 WSSP-supported woreda WASH teams interviewed by the evaluation team believed the support provided by the CFTs and WSGs had improved their and local communities' capacity to plan and implement WASH activities. Generally, woreda WASH</p>



Level / Organisation	Capacity in 2002-2003	Capacity in 2013 in WSSP-supported Areas
	<p>The woreda water offices in Amhara and SNNPR were assessed as weak in project identification, tendering & contract administration and M&E. The capacity to carry out preliminary design work, siting and preparation of facility management plans and to construct or supervise the construction of water point sources was assessed to be somewhat better, but not much.</p> <p>Only low woreda budgets were available for water and sanitation related activities, often only sufficient to cover recurrent costs.</p> <p>Problems identified by some woreda water offices: lack of training in O&M and community participation, lack of equipment, transport and spare parts.</p>	<p>teams appear to be able to support and build the capacity of WASHCOs to operate and maintain water point sources, while there are several concerns related to the sustainability of rural piped schemes.</p> <p>The integration and coordination at woreda level has improved compared to 2002-2003. However, reportedly updated woreda strategic WASH plans are often not integrated but rather consist of individual plans from each of the three WASH offices of water, health and education.</p> <p>The access to latrines has increased much over recent years. The HEW network is assessed to have played an important role in this connection. The substantial support provided by the Capacity Building Project to training of the HEWs thus appears to have had an impact. Many of the latrines constructed are, however, traditional and not improved latrines.</p> <p>Many woredas still have budget constraints, lack transport (the motorbikes provided by the WSSP need repairs or replacement) and spare parts are not available within a reasonable distance.</p>
Town Water Boards	<p>In Amhara, 14 out of 42 towns had received autonomy to have their water supply management by town water boards.</p> <p>In SNNPR, 15 out of 49 towns had received autonomy. In SNNPR, the capacity of the town water boards was assessed to generally be non-existent.</p>	<p>The small town water boards which have received WSSP capacity support appear to be reasonably well-functioning and to be able to cope with the frequent changes among their members. Their knowledge and skills related to sanitation and hygiene promotion appear, however, low.</p>
Water Supply Services or Utilities	No information provided.	<p>The overall capacity of the utilities in the WSSP-supported towns appears to be low, particularly as far as O&M of their specific equipment and financial management are concerned. Overall management and customer relations are other weak areas.</p>
The Private Sector	<p>In Amhara and SNNPR, there were no Local Service Providers to do design, siting and facility management plans.</p> <p>In Amhara, 900 artisans had been trained in construction of hand-dug wells and spring capping.</p> <p>In Afar, Benishangul Gumuz and Somali regions, skilled labour were available for masonry,</p>	<p>437 contractors, 42 drilling companies and 22 consulting companies have valid licences to work in the water sector nationwide (i.e. licences are issued at federal level). Regional licences have been issued to other contractors, drilling companies and consulting companies. In SNNPR, 29 contractors, 1 drilling company and 4 consulting companies have regional licences, while the corresponding figures for Amhara are 115, 1 and 7.</p> <p>There is still lack of spare parts within a reasonable distance of local communities, though an effort for opening shops is started in SNNPR and Tigray regions following the models</p>



Level / Organisation	Capacity in 2002-2003	Capacity in 2013 in WSSP-supported Areas
	carpentry, plumbing works etc. Very few shops sold spare parts. There were hardly any region-based consultants, but some consultants operating out of Addis Ababa were available in the regions. Some region-based contractors were available but not many.	piloted by JICA.
Systems	In Benishangul Gumuz, Afar and Somali regions, there was a lack of coherent design guidelines, criteria and manuals, no standard drawings and specifications, no supervision rules and manuals. There were no appreciable M&E activities in the three mentioned regions.	Many guidelines and manuals have been prepared with the support of the WSSP and to a smaller extent the Capacity Building Project. However, because of the many staff changes these are in a number of cases not available in the woreda and regional offices. M&E is still weak at all levels though quarterly evaluations are being carried out in the woreda and regional councils in a traditional manner. There have been delays in implementing the M&E Framework approved in 2008. However, after completing the NWI, baseline data are now available and the roll-out of the M&E system has started.

Table 10 Comparison of Capacity in 2002-2003 and in 2013



Summarised Evaluation Questions	Conclusions and Lessons Learnt
<p>Relevance of</p> <ul style="list-style-type: none"> • The capacity building approach of the two projects in the Ethiopian context • The three main categories of capacity building interventions, i.e. physical capacity building, human resources capacity building, and strengthening of the enabling environment • The combination of capacity building for the demand side and supply side • Attention and capacity building related to sanitation and hygiene promotion 	<p>Findings from WASH capacity assessments conducted for all regions in 2002-2003 were used to develop the WSSP capacity building approach and decide on the level of capacity building. This is considered highly relevant.</p> <p>The WSSP capacity building approach of learning-by-doing, the stepped approach and the tripartite arrangement is considered relevant. The cascaded training approach used by the WSSP for both rural and urban WASH is also assessed as relevant. However, the situation has changed since the start of the WSSP (2004) and other training approaches for urban WASH may now be more appropriate.</p> <p>The background for the Capacity Building Project was the identified need for a significant increase in implementation capacity, both in terms of the number of staff required and the range of skills and competences. On this background, the project's capacity building approach with a combination of organisational development (including for training institutions), continuous professional development (for individual WASH professionals) and strategic sector support is assessed as relevant.</p> <p>Both the WSSP and the Capacity Building Project include the mentioned three categories of capacity building interventions. This is assessed as relevant, as both the human and physical capacity was low when the projects were designed. Simultaneous strengthening of the enabling environment (i.e. establishing M&E systems) is assessed as important for putting the increased human resources capacity into full use.</p> <p>Considering the WSSP started in 2004 and the immediate need for capacity building at this time, the WSSP's combination of capacity building support to the demand side (WASH institutions and individuals) and the supply side (national consultants, WSGs, TSGs, CFTs) is assessed as relevant.</p> <p>The Capacity Building Project's support to both the demand side (training of individuals) and to the supply side (strengthening of TVETCs and HSCs) has contributed to both immediate capacity strengthening and long-term and continuous capacity building. This combination is considered highly relevant. The strengthening of training institutions is considered a good compliment to the capacity building interventions under the WSSP.</p> <p>In the design of the WSSP, attention was paid to sanitation and hygiene promotion. This was strengthened through the adjustments made in 2007 with emphasis on utilisation of the trained HEWs. The capacity building approach related to sanitation and hygiene in rural areas appears to be relevant, whereas not much - if any - capacity building on sanitation and hygiene was conducted in urban areas.</p> <p>The Capacity Building Project has paid considerable attention to sanitation and hygiene promotion. Its interventions in this</p>



Summarised Evaluation Questions	Conclusions and Lessons Learnt
<ul style="list-style-type: none"> Contributions of capacity building interventions to progress towards relevant MDG targets and GoE's GTP targets 	<p>connection have included technical assistance to MoH, strengthening of HSCs and a number of sanitation and hygiene related training courses for HEWs and other health staff. These interventions are considered relevant.</p> <p>Capacity building interventions of the two projects have increased the implementing capacity of both public sector institutions and the private sector to plan, construct/rehabilitate and maintain water supply facilities and have also contributed to the reduction of open defecation in rural areas, but have not contributed much to universal access to improved sanitation (the access figures for improved sanitation remain very low).</p>
<p>Effectiveness of</p> <ul style="list-style-type: none"> The three main categories of capacity building interventions (i.e. physical capacity building, human resources capacity building and strengthening of the enabling environment) The combination of capacity building for the demand side and the supply side <ul style="list-style-type: none"> The human resources capacity building interventions in reaching all relevant target groups, including both women and men 	<p>The WSSP has been effective in preparing a substantial number of guidelines, manuals and other materials and has trained a substantial number of WASH professionals from the public and private sectors as well as community members. The WSSP has thus been effective in improving the capacity of both the demand and supply sides. It is, however, problematic that most training was provided during the initial 2-3 years before the start of construction activities. Consequently, training and support on O&M has not been paid as much attention as originally intended.</p> <p>The Capacity Building Project has been effective in strengthening the capacity of TVETCs and HSCs (the supply side) and of a considerable number of individual WASH professionals (the demand side). The latter includes enhancement of sanitation and hygiene promotion capacity at woreda and kebele levels, but not at federal level as very few MoH staff are involved in sanitation and hygiene promotion.</p> <p>The physical capacity building (office equipment and motorbikes) provided by the WSSP to woredas and some towns is considered effective – and a prerequisite - for them to operate. The same is the case with the physical support provided by the Capacity Building Project to the TVETCs and HSCs.</p> <p>It is assessed that the two projects have contributed considerably to creating an enabling environment for the sector and thereby made the physical and human resources capacity building more effective. Support to an enabling environment has inter alia included funding for the NWI, joint technical reviews and finalisation of planning documents and guidelines.</p> <p>Both projects have built the capacity within both the public and private sector. In the private sector this has focused on consultants. At the start of the programme some orientation and training were provided to contractors who construct and rehabilitate rural and urban piped water schemes and to drillers, but this was very limited. Furthermore, the training provided by the WSSP to UWSS utilities and to WASHCOs responsible for the management of rural piped schemes is assessed as less effective than the training of other target groups. Both projects have contributed to gender mainstreaming within the sector, particularly in relation to rural WASH. The WSSP capacity building activities have benefitted both women and men at community level, but mainly men at regional, woreda and town levels (most WASH professionals at these levels are men).</p>



Summarised Evaluation Questions	Conclusions and Lessons Learnt
<ul style="list-style-type: none"> Considering regional/local differences Improving coordination and integration within the sector The interaction and the information flow between the different levels Addressing the challenge of ensuring communities access to spare parts Achieving objectives and capacity strengthening outputs and outcomes 	<p>The Capacity Building Project has supported the training of a substantial number of HEWs, most of whom are women. However, very little data for the two projects and generally for the sector are disaggregated by sex.</p> <p>The WSSP attempted to consider regional differences by developing special guidelines for Somali and Afar regions, which have high levels of pastoralism. However, at least in Somali region this guideline appears not to be used at the time of the evaluation. Reportedly it has been used in the past but not adequately. The Capacity Building Project has funded the placement of long-term consultants in the four emerging regions and thereby considered that the capacity is generally lower in the four emerging regions than in other regions.</p> <p>It is assessed that the level of regional and woreda WASH coordination and integration has increased as a consequence of the capacity building support provided by the WSSP and to a smaller extent by the Capacity Building Project. The WSSP has not been successful in integrating sanitation into sector activities in towns.</p> <p>Both projects have contributed to improving the coordination and integration at federal level. The Capacity Building Project has paid particular attention to this by strengthening the WASH coordination structures at federal level, i.e. the NWCO and the CBF, both located in MoWE. Both structures are, however, still to be fully integrated into Government structures.</p> <p>Many guidelines and manuals were developed and distributed during the first years of the WSSP. Many WASH institutions do not have these today due to the high staff turn-over and the lack of a system for – or a tradition of – handing over materials. The regions visited appreciated the support provided by IDA/DFID and AfDB financed national consultants, but would like more frequent support and preferably support from consultants specialised within different fields. The information flow in the form of progress reporting from woreda to regional level and from regional to federal has often been inadequate.</p> <p>The WSSP has paid attention to addressing this challenge, among others by initiating a supply chain study in 2010. It appears, however, that little action has been taken based on the findings and recommendations of the study.</p> <p>See the first item under impact and sustainability.</p> <p>The high staff turn-over in the public sector is a big challenge for the sector. The fact that most WSSP training took place during the first 2-3 years of the project means that new staff has received very limited training. The lack of systems for – or a tradition of – handing over knowledge, manuals, data etc. aggravates this situation.</p>



Summarised Evaluation Questions	Conclusions and Lessons Learnt
<ul style="list-style-type: none"> • Influence of external factors recorded as risks or assumptions in key project documents, including high turn-over among WASH professionals • Lessons learnt and recommendations 	<p>See chapter 8.</p>
<p>Efficiency</p> <ul style="list-style-type: none"> • Was efficiency/value for money considered in project design and implementation? • Did the capacity building interventions offer value for money compared to other potential approaches? 	<p>In its design, the WSSP's stepped approach and the use of a cascaded training approach are considered an efficient way of using available human and financial resources to build the capacity of a large number of people. However, construction activities were delayed due to mainly procurement and financial disbursement requirements. Most training therefore took place before the start of construction. In addition, the estimated proportionate part of the total programme costs allocated to programme management, including capacity building, is considerably lower for the WSSP than other WASH programmes (5-10% for the WSSP, 15% for the AfDB RWSS programme, 20-25% for COWASH, and 24% for big MVS schemes constructed by NGOs 10 year ago. See also section 4.4.2). It is not considered efficient use of resources that it was not possible for the WSSP to either spread the resources allocated for capacity building over a longer period of time or to allocate additional resources for such interventions. Including more horizontal experience sharing in the WSSP capacity building intervention is also likely to have increased the efficiency. Horizontal experience sharing in the form of Practitioners' Groups was included in the design of the WSSP, but not implemented.</p> <p>As per its design, the Capacity Building Project has contributed to both immediate capacity strengthening through training of individuals and more long-term and continuous capacity building through strengthening of the TVETCs and HSCs. This combination is considered good value for money at the time of the project (2008-2013).</p> <p>Several WASH programmes have replicated many elements of the WSSP capacity building approach. One of them is the COWASH programme. There is, however, one main difference in that the COWASH training is to be provided over a longer period of time with gradual phasing out of capacity building support and monitoring. The continuous capacity building approach is considered better value for money than concentrating most capacity building to the first 2-3 years of a project with duration of 8-9 years.</p> <p>WASH projects supported by some NGOs provide more direct and intensive training and support at community level than the</p>



Summarised Evaluation Questions	Conclusions and Lessons Learnt
<ul style="list-style-type: none"> Has the combination of capacity building for the demand side and the supply side provided value for money? What would be the most efficient ways to build the minimum capacity required of different categories of WASH actors? Lessons learnt and recommendations 	<p>WSSP and other large WASH programme have done. However, GoE will not be able to replicate all elements of such an approach because of the costs involved.</p> <p>The WSSP's capacity building of consultants (the supply side) is considered efficient as this made it possible to use a cascaded training approach. Considering that the WSSP started in 2004 and the immediate need for capacity building at this time, the WSSP's combination of capacity building support to the supply side and the demand side is considered good value for money. This approach gave quicker results than first building the capacity of training institutions so they could provide the required training.</p> <p>The Capacity Building Project started approximately four years after the start of the WSSP. It is assessed as good value for money at this time to focus the supply-side capacity building on training institutions.</p> <p>Suggestions in this connection are included in chapter 8.</p> <p>See chapter 8.</p>
<p>Impact and Sustainability</p> <ul style="list-style-type: none"> To what extent are the capacity building interventions likely to achieve their overarching impact or goal (in terms of capacity)? What likely impacts have the interventions had in terms of the capacity for delivering sustainable results at the community, woreda, zonal, regional and federal levels? 	<p><u>The WSSP' Rural Component:</u> The WSSP's outcome target in terms of number of rural water supply facilities constructed is likely to be achieved. This can, however, not be solely attributed to WSSP capacity building interventions as the funding for investments has also been essential. It is part of the WSSP development objective that the rural water supply facilities should be sustainable, which is directly related to the WSSP capacity building interventions. Generally, woreda WASH staff appear to be able to support and build the capacity of WASHCOs to operate and maintain point water sources, while there are several concerns related to the sustainability of rural piped schemes.</p> <p>The HEW network is assessed to play an important role in the reduction of open defecation in rural areas. Capacity building of the HEW network was mainly provided by other programmes than the WSSP. The achievements in reducing open defecation in the WSSP supported woredas can therefore only to a limited extent be attributed to the WSSP. The decision to use the trained HEW network is, however, considered appropriate.</p> <p><u>The WSSP' Urban Component:</u> The WSSP's outcome target in terms of the number of urban water supply systems constructed is expected to be achieved. This can, however, not be solely attributed to WSSP capacity building interventions as the funding for investments has also been essential. It is too early to assess the sustainability of the improved urban water</p>



Summarised Evaluation Questions	Conclusions and Lessons Learnt
<ul style="list-style-type: none"> What are the remaining main capacity gaps at each level, community, woreda, zonal, regional and federal levels? 	<p>supply systems and the effects of the WSSP-supported capacity building interventions in this connection. However, the training provided on O&M appears to have been too general, while the training on financial management focused on money handling only.</p> <p>Most WSSP-supported towns have developed sanitation plans, but very few have implemented these. Very little, if any, training on sanitation and hygiene promotion has been provided under the UWSS component. WSSP capacity building interventions have therefore not had any impact with respect to sanitation and hygiene improvements in urban areas.</p> <p>The small town water boards which have received WSSP capacity support appear to be reasonably well-functioning and to have been able to cope with the frequent changes among their members. The capacity that the WSSP has built for small town water boards thus appears to be sustained.</p> <p>The goal of the <u>Capacity Building Project</u> is that Ethiopia achieves national UAP targets for access to water and sanitation. These ambitious targets have clearly not been achieved. The purpose of the project is “to strengthen the capacity of the WASH sector to coordinate, plan, implement and monitor progress in the WASH sector.” The indicator targets set for this purpose have been partially achieved (see also sections 5.5 and 5.2.1).</p> <p>It is a key impact of the Capacity Building Project that it has enhanced the capacity of 12 TVETCs/HSCs to provide more focused and practical training for present and future WASH sector professionals. The project’s capacity building for training institutions has thus contributed to institutionalising and sustaining capacity building activities. The impact of the training of individual WASH professions is more difficult to measure. However, the substantial support to training of HEWs does appear to have had an impact. The access to latrines has thus increased much since the start of the project. However, many of the latrines are traditional and not improved latrines. The HEWs are part of the Government’s health structure and the sustainability of the capacity building interventions for the HEWs is considered high. There is, however, a risk that HEWs are assigned an increasing number of curative tasks, which would reduce the time they are able to spend on sanitation and hygiene promotion (see section 5.5)..</p> <p>The main capacity gaps are found at community, woreda and utility levels, but there are also gaps at other levels. The main gaps identified by the evaluation team are in relation to the following (<u>not</u> in any order of priority):</p> <ul style="list-style-type: none"> • Management, including O&M, of rural piped water supply schemes (community and woreda levels) • O&M, procurement, financial management and customer relations in connection with urban piped water supply systems (utilities) • Approaches to promote rural and urban households moving up the sanitation ladder, e.g. sanitation marketing (HEWs, woreda, town and other health staff)



Summarised Evaluation Questions	Conclusions and Lessons Learnt
<ul style="list-style-type: none"> Do there appear to be any unintended consequences, both positive and negative? Lessons learnt and recommendations 	<ul style="list-style-type: none"> The low number of federal-level MoH staff directly involved in sanitation and hygiene promotion activities (federal level) Increased coordination and integration of WASH activities (woreda, town, zonal, regional and federal levels) The facilities and the quality of the training in TVETCs and HSCs which have not received recent support Lack of up-to-date knowledge and skills of many WASH staff recently employed (woreda and other levels) Lack of up-to-date knowledge and skills in drilling, design, environmental & social impact assessments, and construction quality standards (private sector) Lack of incentives and seed financing to sell spare parts at sub-regional level (private sector) Lack of system(s) for handing over and sharing knowledge, guidelines and other materials with colleagues (all levels) Insufficient integrated planning, financial management, procurement and M&E skills (particularly at woreda and regional levels) Lack of attention, knowledge and skills related to gender mainstreaming <p>The staff turn-over in the public sector is high. WASH employees who have received training under the WSSP and/or the Capacity Building Project might find it easier than other staff to find employment in the private sector, among NGOs and donors. However, reportedly most of them remain in the WASH sector and their increased knowledge and skills therefore still benefit the sector.</p> <p>See chapter 8.</p>

Table 11 Summary of Evaluation Questions and Conclusions & Lessons Learnt



SECTION 8

Recommendations and Going Forward

8.1 Minimum Capacity Required and Main Gaps

This section starts with an outline of what the evaluation team finds is the “at least minimum level of capacity required for investments to be made, water / sanitation facilities to be constructed, to remain working and to be used effectively”. The outline takes into account the WASH mandates and roles of the different actors as described in the WIF.

The “minimum level of capacity required”

Federal level: MoWE, MoH, MoE and MoFED have the capacity to:

- Coordinate and integrate their WASH activities through integrated WASH plans
- Provide WASH guidance and support for regional level within their own focus area and in relation to integrated WASH planning and implementation
- Arrange for WASH capacity building for regional and zonal levels (ToT)
- Overall monitoring of WASH implementation through introduction and roll-out of an appropriate M&E systems for both rural and urban WASH
- Arrange for conduct of Joint Annual Reviews of the WASH sector

Regional and zonal WASH teams have the capacity to:

- Coordinate and integrate regional/zonal WASH activities through integrated WASH plans
- Conduct or arrange for conduct of assessments of the overall WASH capacity gaps in their respective woredas and towns
- Provide WASH training for woredas, based on assessments, and support as required
- Assist towns in arranging training based on capacity assessments
- Provide training in procurement and financial management for woredas and towns
- Assist woredas with procurement, where required, especially in connection with high technology water schemes
- Financial management of funds received
- Monitor WASH implementation in the region and prepare progress reports for federal level

Woreda WASH teams have the capacity to:

- Prepare comprehensive and integrated woreda WASH plans, which reflect the financial and human resources available
- Implement the woreda WASH plans in an integrated and demand-responsive manner
- Facilitate community discussions on options for water supply and sanitation improvements and the election of WASHCOs
- Procure materials and services for construction of high technology water schemes and possibly assist WASHCOs with procurement for other types of water schemes
- Financial management of funds received
- Train and support HEWs in sanitation and hygiene promotion
- Train and support WASHCOs in the i) preparation of community WASH plans and applications for investment funds, ii) engagement and supervision of artisans for construction of point water sources and latrines, iii) O&M of different types of water supply facilities as relevant in the particular community, iv) financial management
- Supervise or engage consultants to supervise construction of rural piped water schemes
- Monitor WASH implementation in their woreda and prepare progress reports for regional level

HEWs in rural and urban areas have the capacity to:



- Promote the reduction of open defecation through construction of any type of latrine
- Promote that households gradually move up the sanitation ladder so they use improved latrines
- Promote good hygiene practices, including hand washing, hygienic handling and storage of drinking water, proper disposal of wastewater and solid waste etc.

WASHCOs have the capacity to:

- Prepare and implement a simple community WASH plan, based on community discussions
- Prepare applications for investment funds
- Engage and supervise artisans for construction of point water sources and latrines
- Operate and maintain the community water supply facility (whether a point water source or a piped scheme)
- Collect and manage household water fees so they cover O&M and repair costs
- Promote construction of appropriate latrines and good hygiene practices, in cooperation with HEWs

Town water boards have the capacity to:

- Prepare or facilitate preparation of an overall and integrated town WASH plan (or business plan)
- Monitor the implementation of the different elements of this plan by different agencies (the utility, the town health office and possibly the municipality)
- Monitor the performance of the water (and sewerage) utility

Water (and sewerage) utilities have the capacity to:

- Implement relevant elements of the approved town WASH plan/business plan
- Operate and maintain their water supply (and sewerage) facilities
- Calculate tariff levels, collect water (and sewerage) fees, and do proper accounts
- Maintain good customer relations
- Procure goods and services, including contract management
- Organise and manage their staff in an appropriate way

Town health offices have the capacity to:

- Together with other members of the water board, integrate sanitation and hygiene promotion into the town WASH plan (or business plan)
- Implement relevant elements of the approved town WASH plan/business plan
- Train, support and monitor HEWs in sanitation and hygiene promotion

Private sector has the capacity to:


- Conduct hydrogeological investigations, design and supervise the construction of piped water and sewerage systems (consultants)
- Conduct capacity assessments and provide training at various levels (consultants)
- Conduct studies, environmental & social impact assessments, appraisals, reviews and evaluations (consultants)
- Drill boreholes (drilling companies)
- Construct piped water supply and sewerage systems (contractors)
- Construct dug wells, other point water sources and latrines (artisans)
- Provide repair and maintenance services (artisans)
- Sell construction materials, pumps, spare parts etc. at sub-regional level (shops)

TVETCs and HSCs have the capacity to:

- Provide good-quality and demand-responsive long-term study programmes
- Provide good-quality and tailor-made short training courses

As mentioned in chapter 7, the main capacity gaps identified by the evaluation team are in relation to the following (the mentioned gaps are not in any order of priority):

- Management, including O&M, of rural piped water supply schemes (community and woreda levels)

- 
- O&M, procurement, financial management and customer relations in connection with urban piped water supply systems (utilities)
 - Approaches to promote rural and urban households moving up the sanitation ladder, e.g. sanitation marketing (HEWs, woreda, town and other health staff)
 - The low number of federal-level MoH staff directly involved in sanitation and hygiene promotion activities (federal level)
 - Increased coordination and integration of WASH activities (woreda, town, zonal, regional and federal levels)
 - The facilities and the quality of the training in TVETCs and HSCs which have not received recent support
 - Lack of up-to-date knowledge and skills of many WASH staff recently employed (woreda and other levels)
 - Lack of up-to-date knowledge and skills in drilling, design, environmental & social impact assessments, and construction quality standards (private sector)
 - Lack of incentives and seed financing to sell spare parts at sub-regional level (private sector)
 - Lack of system(s) for handing over and sharing knowledge, guidelines and other materials with colleagues (all levels)
 - Insufficient integrated planning, financial management, procurement and M&E skills (particularly at woreda and regional levels)
 - Lack of attention, knowledge and skills related to gender mainstreaming

8.2 Recommendations and Guidance

The WASH Implementation Framework (WIF) has recently been approved by all main WASH ministries (MoWE, MoH, MoE and MoFED) and is the guiding document for all future WASH implementation. It defines a One WASH Programme with use of SWAp arrangements. The WIF's capacity building approach builds on the experiences of the WSSP and other WASH programmes and appears overall appropriate.

The following recommendations have been grouped under eight headings, with each group followed by further details and guidance. All should be seen as inputs to the ongoing discussions on the capacity building approach and interventions to be used in the WASH sector's move towards a One WASH Programme.

Capacity Building Approach

***Recommendation 1:** Human resources (HR) capacity building should be provided on a continuous basis over a considerable period of time in order to allow for initial relatively intensive training as well as refresher training, coaching and follow-up.*

***Recommendation 2:** The HR capacity building should have a practical learning-by-doing approach, using and building on the GLoWS principles now being used to build the capacity of woreda staff and artisans.*

***Recommendation 3:** A cascaded training approach should continue to be used for rural water supply and sanitation. For urban water supply and sanitation, it will also be relevant to use a cascaded training approach for promotion of good hygiene practices and improved on-site sanitation. A cascaded training approach is less relevant for urban water and sewerage utilities, whose capacity should be enhanced through training courses and on-the-job training by relevant training institutions, NGOs and consultants.*

***Recommendation 4:** Horizontal experience sharing is often an effective and relatively inexpensive way of enhancing the capacity of different groups and this should be further developed at different levels.*



It is a key lesson learnt from the WSSP that its intensive capacity building period was too short (2-3 years). Other WASH programmes have learnt from this and many ongoing WASH programmes have continuous capacity building activities. Although the capacity of different WASH actors has increased significantly since the start of the WSSP in 2004, there are still capacity gaps, particularly at woreda, town and community levels. The capacity gaps exist in woredas and towns which have not received any, or not much, capacity building support and in woredas and towns which have already benefitted from such support. One of the reasons for the latter is that there is a high staff turn-over at woreda and other levels in the public sector. This high turn-over is not likely to reduce in the near future and continuous capacity building is thus to include training of new staff as well as refresher training for other staff.

The level of capacity building required varies from region to region and also within a region, depending on the educational level, the socio-economic situation, the technology options suitable for the particular area, previous WASH capacity building activities, if any, etc. The evaluation team's visit to three regions thus showed that the capacity in Somali region (emerging region) is clearly lower than in Amhara and SNNPR. The capacity in other emerging regions is also reported to be lower than in other relatively developed regions. More capacity building will therefore be required in the pastoralist and other emerging regions than in relatively developed regions. The level and duration of capacity building interventions should depend on the capacity building needs established through specific capacity assessments and through monitoring of capacity improvements.

The WSSP introduced a stepped approach to shift sector support from a supply-driven to a demand-responsive approach where woredas, towns and communities first receive capacity building support to prepare their own WASH plans (woredas and towns) and applications (communities) before they receive financial and management support to implement their plans. Other WASH programmes have used the same approach and this approach is considered to still be valid for the One WASH programme for both rural and urban WASH. As mentioned, it is however important that capacity building continues during construction and also for some period after construction has been completed.

The GLoWS approach, which was piloted in eight woredas in SNNPR with support of the Capacity Building Project, is assessed as an effective way of introducing a practical learning-by-doing approach. At the time of the evaluation, the GLoWS approach is used for training of woreda staff and artisans in some woredas in Amhara, Oromia, SNNPR and Tigray. It is recommended that the same approach is introduced throughout the country through the TVETCs (see also recommendation 7). It should be explored whether similar learning-by-doing principles can be applied for training of regional, utility and possibly federal staff.

The major rural WASH programmes - like the WSSP, the AfDB-supported programme and the COWASH programme - use a cascaded training approach, which is found to be overall effective. It is recommended that this approach is also used in the future for rural WASH. The foreseen training cascade is as follows:

1. Federal institutions arrange for training institutions, NGOs, project staff or consultants to train regional and zonal staff
2. Regional and zonal staff train woreda staff (supported by consultants and/or training institutions)
3. Woreda staff train local communities and HEWs

It is important to be aware of the risk of diluting the learning effect if a training cascade has too many levels. This risk should therefore be closely monitored and adjustments made as needed.



The cascaded training approach is also relevant for training of town health staff and HEWs in promotion of good hygiene practices and improved on-site sanitation. Because of the higher level of complexity in urban water supply and sewerage, it is assessed as most effective to have training institutions, NGOs, consulting companies and individual consultants conduct the training for town water boards and utilities, i.e. without using a cascaded training approach as such. It will still be beneficial for many of the mentioned training providers to further develop and upgrade their knowledge and skills (see also recommendation 7).

Horizontal experience sharing should be further developed at different levels. In line with the WIF, it is recommended to establish Practitioners' Groups for exchanging experience and lessons learnt, solving implementation problems and helping to improve manuals and training materials. In addition to meeting for short workshops, members of Practitioners' Groups could also draw informally on each other's experience through e-mails, telephone calls etc. Practitioners' Groups are expected to mainly be established by federal and regional staff. Staff at woreda and community level can also benefit from horizontal experience sharing with for example exchange visits or study tours to neighbouring areas.

Guidelines, manuals and systems

***Recommendation 5:** In line with the WIF, WASH guidelines, manuals and other materials should be reviewed, harmonised and updated – and new ones developed, as required. In particular, specific operation and maintenance manuals should be prepared for different types of urban water supply schemes and equipment.*

***Recommendation 6:** Assistance should be provided to establish systems – and to ensure commitment to using such systems - for handing over responsibilities, sector knowledge, manuals, guidelines and data before WASH professionals leave their positions.*

A significant number of WASH guidelines, manuals and other materials have been developed and distributed by different WASH programmes and WASH guidelines and manuals are important both for training and reference purposes. However, the evaluation team found that such guidelines and manuals were often not available in the different WASH agencies, particularly not at woreda and regional levels, because of the large staff turn-over and lack of a handing-over system.

The first step will be to collect and review all WASH guidelines, manuals and other materials currently used and decide which ones should be updated and what new manuals and guidelines should be developed. Based on discussions with utility staff and a review of existing manuals, it is the evaluation team's assessment that new and very specific O&M manuals should be prepared for different types of urban water supply schemes and equipment.

The updated and new WASH guidelines and manuals should be widely distributed and introduced during training sessions and/or orientation meetings. At the same time, it should be discussed how best to ensure that responsibilities, sector knowledge, WASH guidelines and manuals are handed over before WASH professionals leave their positions. There is no tradition for such handing-over so establishing effective systems or procedures may require some time.



Strengthening both Capacity Supply and Demand Sides

***Recommendation 7:** HR capacity building should focus on both the supply side (training institutions) and the demand side (individual WASH actors). Focus should be on institutionalising capacity building interventions, by enhancing the capacity of TVETCs, HSCs and possibly other training institutions to provide good-quality and demand-responsive long-term study programmes as well as tailor-made short training courses.*

In the assessment of the evaluation team, it will be important in the future One WASH programme to focus on both immediate capacity strengthening through training of individual WASH actors and more long-term and continuous capacity building through TVETCs, HSCs and possibly other training institutions. This was the approach used by the Capacity Building Project and this is assessed as effective.

The recent capacity assessments of 16 TVETCs and HSCs conducted with support from the Capacity Building Project and also the evaluation team's visits to several TVETCs/HSCs show that many capacity gaps remain in these institutions. It is therefore recommended that capacity building for these training institutions is included in the One WASH Programme. This should include both human resources and physical capacity building.

As provision of tailored short training courses will be new to many training institutions, they may benefit from working closely with NGOs or individual consultants for the initial courses. The capacity building for training institutions should in the coming years continue to focus on TVETCs and HSCs as their graduates mainly find employment at woreda and kebele levels, where the capacity gaps are greatest. It is important that the TVETCs tailor their training programmes in line with the requirements of both the private and public sector, as graduates are expected to find employment in both public institutions and in the private sector (as artisans and with contractors and possibly consulting companies).

As mentioned earlier, it is recommended that the GLoWS approach is introduced throughout the country through the TVETCs (see recommendation 2 and the subsequent guidance).


Operation and Maintenance (O&M)

***Recommendation 8:** High attention should be paid to capacity building on O&M for both rural and urban water supply and sanitation. This should initially focus on finding a solution for the significant number of rural piped water schemes which appear to have been constructed without sufficient community and woreda involvement and ownership and which now face O&M problems.*

***Recommendation 9:** A sustainable solution should be found so local communities get access to spare parts and maintenance support at affordable rates within a reasonable distance, preferably through the private sector.*

It is suggested that each region investigates the types of O&M and other problems which exist for rural piped schemes in their region and finds a solution for each individual scheme, in close cooperation with WASHCO members and woreda staff. Clarification of O&M responsibilities and additional training on O&M for both scheme operators and woreda staff are expected to be required in connection with several of the schemes. It should be considered to involve national consultants in this process.

Following this, the O&M guidelines/manuals for rural piped schemes should be reviewed and possibly updated. Future training on O&M for rural piped schemes should likewise be reviewed and strengthened. Naturally, O&M training on rural point water sources needs to continue.



There is a need for further and tailored training of water and sewerage utilities on O&M of their specific water supply schemes and equipment. This should start by preparing new and very specific O&M manuals for different types of schemes and equipment (see also recommendation 5 and the subsequent guidance).

The WSSP initiated a supply chain study in 2010 to find a solution so local communities and artisans get access to spare parts within a reasonable distance. The study's recommendations focussed on supporting the private sector in establishing sub-regional outlets. It is recommended to review the recommendations and implement them or find alternative solutions so progress can be made in this respect.

In connection with the updating of the UAP in 2012, it was agreed to strengthen the operation and maintenance support currently provided by woreda, zonal and regional water offices. One option discussed was the establishment of O&M support units at selected centrally located zones, as recommended in the water supply and sanitation master plan prepared in 2002. In the beginning, these units could be established in a partnership between the public sector and the private sector (suppliers, youth groups organized for running small scale workshops etc.). Ultimately the units can be transformed into private entities. The experience from Tigray region is interesting in this respect. In this region, private entities like garages and associations of TVETC graduates are used to undertake maintenance at recommended rates. Key stakeholders have also mentioned the approach used in Amhara region as effective. Here the training of a considerable number of artisans and the focus on low-cost appropriate technologies (hand dug wells and spring development) are reported to have contributed to easy maintenance by artisans. It is recommended that these options are explored in further details and implemented as appropriate.

Sanitation and Hygiene Promotion

***Recommendation 10:** MoH should review its federal-level responsibilities in relation to sanitation and hygiene promotion and allocate the number of federal-level staff and operational budget required to carry out these responsibilities.*

***Recommendation 11:** The experience in Ethiopia of piloting the implementation of sanitation marketing should be assessed and, if positive, scaled up to encourage and facilitate that people move up the sanitation ladder. Capacity building should be provided to artisans and health staff. Sanitation marketing is relevant in both rural and urban areas.*

***Recommendation 12:** Increased attention should be paid to sanitation and hygiene promotion in towns, including peri-urban areas, and the related capacity building. In addition to promoting good hygiene and appropriate on-site sanitation options, appropriate solutions to sludge management and the required capacity building interventions should be identified and implemented.*

The current number of federal-level MoH staff directly involved in sanitation and hygiene promotion activities is very low. MoH therefore relies on consultants to carry out many of its tasks in relation to sanitation and hygiene promotion, which is not sustainable. It is not possible for the evaluation team to estimate how many staff MoH will need to carry out its sanitation and hygiene promotion tasks. However, according to several stakeholders MoH had 25 staff assigned to such tasks a few years ago.

The WSP has for the last couple of years paid special attention to sanitation marketing, i.e. to support the building of a viable market for sanitation goods and services, so as to enable and encourage households to move up the sanitation ladder. Furthermore, MoH has gained some experience. The experiences from these and possibly other programmes should be



reviewed in detail and, if positive, scaled up. Artisans should then be trained on construction of different types of latrines and on business and promotional skills. Also health staff, including HEWs, should be trained on this new approach.

It should be considered to train the health development army, i.e. model households, in the promotion of good sanitation and hygiene practices, including sanitation marketing. It is foreseen that such training could be provided by HEWs with assistance from woreda health staff.

It is the evaluation team's assessment that very little attention has been paid to sanitation and hygiene promotion in towns, where the health implications are often greatest, especially in densely populated low-income areas. Both financial and human resources are needed for promotional activities, emptying of septic tanks and pit latrines as well as sludge management. Training of health, municipal and/or utility staff as well as the private sector is important.

Planning, Procurement, Financial Management and Monitoring

Recommendation 13: Training and coaching should continue to be provided on integrated WASH planning skills at particularly woreda, zonal and regional levels, but also at federal level.

Recommendation 14: Procurement and financial management are other areas where capacity building needs to continue, particularly at utility, woreda and regional levels. Training of utility staff in customer relations is also important.

Recommendation 15: Priority should be given to capacity building in monitoring of progress and impact and not least the use of monitoring data for planning purposes. The monitoring system described in the WIF requires the use of NWI data, which is considered essential.

It is important to provide training and coaching on all the topics mentioned in recommendations 13-15. Priority should in this connection be given to training in monitoring of progress and impact in connection with the roll-out of national M&E system, which has started after completing the national WASH inventory recently. It is essential that the capacity building includes the use of monitoring data for integrated planning purposes.

Strengthening Private Sector Capacity

Recommendation 16: Training should be offered to the private sector to strengthen its involvement in and contribution to the WASH sector. Initially, the priority should be to increase the capacity related to drilling, design of piped water schemes, environmental and social impact assessments and quality standards for construction.

The WSSP and other WASH programmes have trained a substantial number of consultants as national consultants, regional support groups, WSGs and TSGs. Reportedly many of these consultants have continued working in the WASH sector after termination of their contracts. A significant number of artisans have also been trained in the construction and repair of point water sources. There are, however, still capacity gaps in the private sector. The capacity building areas mentioned in recommendation 16 are those identified by the evaluation mission but there may be others which are also important to address.

Generally speaking, private sector participants should be asked to pay a fee for their training, although training for individual artisans may have to be free of charge.



Gender Mainstreaming

***Recommendation 17:** MoWE's recent Gender Mainstreaming Guideline should be used as the basis for training at different levels, including for training of teachers in TVETCs, HSCs and possibly other training institutions.*

WASH programmes have paid attention to gender mainstreaming, especially rural WASH programmes. There is, however, a need to strengthen the knowledge and skills on gender mainstreaming at all levels. This includes for example the collection and use of sex-disaggregated data for planning and monitoring purposes.

The training should include support to the trainees to develop simple gender action plans for their own institutions.

8.3 Minimum Capacity Building Package for Main WASH Actors

The following is a brief overview of the minimum capacity building activities suggested for different levels. It is, however, emphasized that specific capacity assessments and monitoring of performance improvements will be required to determine the duration of the capacity building. The suggested main topics and training providers are indicated below.

Federal level – MoWE, MoH, MoE and MoFED

- Main topics: Integrated WASH planning and monitoring
- Trainers: National consultants and/or training institutions

Regional and zonal WASH teams

- Main topics: Integrated WASH planning, monitoring, demand-responsive approach, procurement and contract management, O&M, financial management, sanitation and hygiene promotion, capacity and training needs assessments and training skills
- Trainers: national consultants, NGOs and/or training institutions

Woreda WASH teams

- Main topics: Integrated WASH planning, monitoring, demand-responsive approach, procurement and contract management, O&M, financial management, sanitation and hygiene promotion, training skills
- Trainers: regional and zonal WASH staff, with support from national/regional consultants and/or training institutions

HEWs in rural and urban areas

- Main topics: sanitation marketing and/or other approaches for households to move up the sanitation ladder, CLTSH, promotional skills
- Trainers: woreda/town health staff, with support from regional or zonal health staff and/or HSCs

WASHCOs

- Main topics: Preparation of community WASH plans and applications for investment funds, engagement and supervision of artisans, O&M, financial management (collection and management of water fees), sanitation and hygiene promotion
- Trainers: Woreda WASH staff

Town water boards

- Main topics: Integrated WASH planning and monitoring
- Trainers: Training institutions, NGOs and/or national consultants



Water (and sewerage) utilities

- Main topics: O&M, financial management, customer relations, procurement and contract management
- Trainers: Training institutions, NGOs and/or national consultants

Town health offices

- Main topics: Sanitation and hygiene promotion, training skills
- Trainers: Regional or zonal health staff, with support from national/regional consultants and/or HSCs

Private sector

- Initial topics: Drilling, design of piped water schemes, environmental and social impact assessments and quality standards for construction
- Trainers: Training institutions, NGOs and/or national consultants

TVETCs and HSCs

- Topics to be identified based on specific capacity assessments
- Trainers: National consultants, NGOs and/or possibly TVETCs/HSCs which have already received capacity building support



Annex 1 Terms of Reference

Ethiopia Water Supply and Sanitation Project – P076735 (Cr. No. 3901-ET& 4713-ET, and Grant No. H-085-ET, TF 91704) Plus UNICEF MOU Terms of Reference

Evaluation of the capacity building intervention under the projects

Background

1. In 2000, Ethiopia approximately needed to reach additional 3 million people each year with improved water supply services to achieve the MDG. With one of the lowest coverage rates in the world and such a large population, the Government was busy exploring various avenues to realize this goal. This includes the preparation and implementation of investment programs such as the Universal Access Program (UAP) for Water Supply and Sanitation that calls for total coverage by 2012. Moreover, as improved water supply and sanitation was such a high priority, the Government enlisted the World Bank to assist with the development of its WASH Program. The aim of this collaboration was to build the capacity needed to supply and sustain water supply services and to attract increased funding from external financiers.

2. To align its response with the government's interest, the World Bank initiated a capacity assessment of the sector during 2002 – 2003. The assessments revealed that, the capacity to prepare and execute water supply and sanitation programs was not adequate and became increasingly inadequate at the sub-national levels. In addition to this the then capacity was found not to fit the needs of the determined process of decentralization of services that the GoE was pursuing.

3. To address the capacity shortfalls two areas of focus on capacity building have been taken forward with the support of World Bank and DFID. The first directly targets the capacity building required at implementation level of a major water and sanitation programme, using a sequenced and cascaded approach to capacity building that relates directly to the phases of implementation required to plan and construct water schemes and support expansion of sanitation use. The second area relates to wider capacity building in the sector to support the enabling environment for progress on WaSH including strategy development.

4. In relation to the first area of focus on capacity building, with this background and upon the request of the Government of Ethiopia, the World Bank prepared a major water supply and sanitation project (WSSP – P076735) to support the government's national program. The WSSP aims at **increasing access to sustainable water supply and sanitation services**, for rural and urban users, through capital investment and improved capacity of stakeholders in the sector. The project consists of three components (Rural Water Supply and Sanitation, Urban Water Supply and Sanitation, and Program Support), capacity building being key ingredient in all of them. The project became effective in Nov. 2004 and has an official revised closing date of March 2013.

5. The project started from a very low capacity base, where the effort and comprehension on an integrated approach to Water and Sanitation was very minimal. For Rural Water Supply and Sanitation (RWSS), while the basic concept and effort towards community ownership was there, major planning, budgeting, study and design concentrated at region and national level including fiduciary arrangements and the public water sector structure was extended only up to the zone level. With regard to Urban Water Supply and Sanitation (UWSS) - despite policy provisions and initiatives to interpret these into practice - urban water supply services were having range of management models; the understanding on cost recovery to



enable sustainability was very shallow, and like that of the rural, most activities were concentrated at the national and regional level.

6. Capacity building under the project was of paramount importance due to the limited implementation capacity and magnitude of the challenge in meeting the national and millennium development goals. This necessitated the design of a robust capacity building support element under the project with the following key elements:

- (a) A stepped/phased implementation approach whereby woredas/towns and communities first receive technical and financial assistance to build their capacity and to prepare their strategic WASH plans, and subsequently given financial and management support to implement it;
- (b) A demand driven, performance oriented, and cost effective service involving districts and communities from planning to operation and maintenance to ensure sustainability
- (c) The combined effort of communities, government and private sector to take full advantage of all local capacity
- (d) The combined effort of the ministries and bureaus of water, health and education to implement integrated WASH Programs in each region and Woreda
- (e) A national program to provide implementation capacity that attracts increasing government and donor investments and achieves MDG and GOE targets.

7. To address the second area of focus of the wider capacity for an enabling environment in the WASH sector, a **complementary capacity building initiative** was developed (in addition to the capacity building under the WSSP). While it was initially envisaged as a Capacity Building Pooled Fund, this capacity building initiative materialised as bilateral support funded by DFID (£3 million), the Italian Development Cooperation (IDC) and the Government of Finland (GoF). Although the support by each donor is bilateral, it is organised in a coordinated way with funds channelled through UNICEF, with a common framework and joint reporting. This composite Capacity Building Project (CBP) is structured in three mutually supporting components or “windows”: 1) Organisational development; 2) Continuous Professional Development; and 3) Strategic Sector Support.

Window 1 (Organisational development) focuses on strengthening the capacity of WASH education and training institutions to deliver relevant, quality education and training. This has been working closely with the Technical and Vocational Education and Training Centres (TVETCs).

Window 2 (Continuous Professional Development) focuses on developing and upgrading the skills and competences of key stakeholders (individuals) responsible for planning, managing, implementing and monitoring WASH programmes. It has delivered a large number of training courses to Health Extension Workers (HEWs), and other Regional and woreda WASH staff.

Window 3 (Strategic Sector Support) has focuses on WASH policy and its effective implementation and coordination. This has provided support to developing strategy, through strategic studies, evidence, and sector reviews and systems development.

8. This evaluation is to consider the capacity building interventions both at implementation levels (through DFID/IDA support to WSSP) and the broader sector level (through DFID support to the composite CBP via UNICEF).



Introduction to WSSP

9. WSSP – P076735, started with a budget of US\$100 million with the aim of introducing the stepped approaches for integrated WASH in selected woredas and towns throughout the nation (200 woredas and 145 towns). The project has gone through some important changes (the major one being the change in fund flow⁶ after May 2007 MTR) and has served as a platform to take forward the sector from project to program approach. The initial WSSP managed to leverage additional resources (£ 70 million from DFID and additional US\$80 million from IDA). The implementation manual of the project served as starting base for the AfDB intervention on Rural Water Supply and Sanitation (US\$60 million) and also for the design of government programs.

10. The project assisted the preparation of woreda wide WASH plans in 224 Woredas, and assisted the establishment and strengthening of WASH committees to plan, implement, and manage their water supply schemes. In the process more than 7000 water schemes (eg hand-dug wells, larger piped systems etc) were constructed benefiting more than 2.8 million people.

11. Due to the complexities of services in urban areas and the limited experience in autonomous management of urban water utilities, the subcomponent demanded for longer time and intensive capacity building intervention before it took off. This is also because; some of the implementation arrangements on urban water supply and sanitation (the stepped approach, Business plan preparation...) were new to the country and the frequent turnover of water board members demanded for repetitive orientation from the town support groups.

12. The approach to capacity building was based on three interconnected principles. These are: (i) Learning by Doing through project implementation, (ii) a stepped approach (see Annex 1) to ensure both Rural and Urban beneficiaries are organized and provided with capacity building support to justify investment, (iii) tripartite arrangement (with government, private sector and users) to reach all in a highly decentralized environment with technical assistance and implementation support.

13. The project has done a lot in building the capacity of the sector and laying the foundation for the way forward. These constituted preparation of series of training manuals, guidelines, standards and relevant technical documents ; Provision of Training of Trainers (ToT) training for National Program support consultants (12), woreda support groups (37), Town support groups (22), project management units at the national regional (9) and woreda level (200+), and various stake holders at different levels; Provision of equipment and other support to water quality laboratories and for technical colleges, vehicles, office equipment and furniture, and in some cases office space.

14. At the preparation stage, the proposed capacity building approach was even more ambitious. Plans were in place to facilitate the establishment of Practitioners' Network in various areas. Moreover there were plans to support Capacity building for Consultants and contractors, Establishment of Regional Help desk, Regional Water Bureaus, for WRDF, Support the development of a Web site, and undertake applied research. Not all these plans were taken forward into implementation.

⁶ The fund flow changed from Channel 2 to Channel 1B – that is from the sector managed financing to the Ministry of Finance and Economic Development (MoFED) sector specific government systems



Rational for the Evaluation

15. The World Bank / DFID programme of over £185m (US\$ 270 million equivalent) has been the largest programme of WASH support to Ethiopia. The initial WSSP has been running since 2004 (when decentralization was in its early years in Ethiopia) with DFID funding through the MDTF commencing in 2008 along with the support to the complementary capacity building initiative in 2008. The WSSP has been influential in the design of government and other donor programmes. The programme ends in March 2013 and the design of a follow on programme is currently being considered (with the preference of the Government of Ethiopia being for coordinated support to a Sector-Wide Approach). An independent look is needed to assess the coherence and relevance of the capacity building interventions under the overarching programme incorporating also the complementary composite Capacity Building Project being delivered through UNICEF. The findings will be used to inform both the programmes future design (which is likely to be significant) that is likely to commence in April 2013 but also ways to ensure further robust monitoring and evaluation of the key components.

16. The capacity building principles as set out above (Learning by doing, stepped approach and tripartite collaboration) have been accepted by the government in the preparation of the Universal Access Program. African Development Bank's rural water supply project is using the project's Implementation manual fully endorsing the approach and benefitting from the capacity established under the IDA support. It has become common practice to see Woredas outside the project operational area making an effort to prepare a woreda wide WASH plan or towns contracting consultants to prepare business plan.

17. Given the scope and diversity of the capacity building activities, it is necessary to review their current status and contribution to the sector. Learning about the background to its design, the building blocks for its formulation, the extent of its achievements, the challenges and constraints it encountered, areas that need focus and issues to be factored in designing future sector capacity building initiatives for the sector is very timely. At this important juncture of the sector (moving towards a programmatic approach) review of this subcomponent and drawing lessons is even more than ever essential.

18. During this time period the sector Ministries have been active, with some development partner support, in further developing the WaSH strategy and framework for future plans and their implementation. To inform future programming, it is important that the evaluation should also include the DFID support to the complementary Capacity Building Programme through UNICEF, and the overall effectiveness of capacity strengthening throughout the sector.

Governance

19. The study will be agreed and overseen by a small Oversight Group that will include representatives from the Government of Ethiopia, DFID, and World Bank. Consultation and validation will involve a wider Stakeholder Group that will comprise of donor representatives (WB, DFID, AfDB, UNICEF, Finland etc), GoE, and civil society representatives (WaterAid etc). These bodies will consider issues of budget, evaluation design, commentary on draft reports and uphold the independence of the evaluation.

It will be supported by formal quality assurance function of evaluation products.



Objective

20. The main objectives of this assignment are:

i) to review, assess and document the achievements and lessons drawn from the capacity building activities undertaken in WSSP – P076735. It should independently evaluate the capacity building interventions and the programme's achievements against its objectives considering its relevance, efficiency, effectiveness, impact and sustainability; and

ii) to evaluate the DFID financed capacity building initiative managed by UNICEF and review other ongoing and planned major capacity building initiatives in the WASH sector

21. The evaluation will need to provide an overarching assessment of the intervention, articulate the most successful capacity building elements and consider how the programme could be strengthened going forwards – with a particular focus on the capacity building activities. The evaluation should list the lessons and make recommendations both on the strategic approach as well as detailed Capacity Building activities to assist the sector in its preparation to move to a Sector Wide Approach (SWAP).

22. The assignment must cover capacity building interventions in hygiene and sanitation with equal focus to those in water supply.

Evaluation questions

The evaluation will adhere to international best practice and utilize the OECD-DAC evaluation criteria of relevance, effectiveness, efficiency, impact and sustainability

The evaluation questions should be clearly applied to the two focus areas of the assignment, i.e. (i) The project implementation related capacity building and (ii) the broader capacity building to the sector.

The following evaluation questions will need to be answered, however these can be refined during the inception phase:-

Table 1

Evaluation Questions	DAC Criteria
<ul style="list-style-type: none">To what extent was the (i) IDA/DFID supported capacity building approach (the stepped approach, Tripartite arrangements, cascaded training) and (ii) the Sector Capacity Building, relevant in the Ethiopia context and coherent within the overall WaSH sector?To what extent have the interventions directly contributed to progress towards achievement of the relevant MDG targets and GoE's GTP targets?	Relevance
<ul style="list-style-type: none">What capacity interventions have been undertaken and how effective have they been in developing capacity to deliver and sustain outcomes?To what extent were the capacity strengthening outputs, outcomes and impacts achieved and to what degree can they be attributed to the intervention?To what extent does the capacity recorded and observed in the target areas accord with (i) the World Bank and DFID's Results and Logical Frameworks or (ii) DFID/UNICEF's logframe (as appropriate) ?With regard to the capacity building element of the interventions what are the reasons for the achievement or non-achievements of the	Effectiveness



Evaluation Questions	DAC Criteria
<ul style="list-style-type: none"> objectives? Specifically, what is the evidence on the extent that staff retention at each level and other assumptions in the logical frameworks / PAD have impacted on outputs and outcomes? What can be done to make the intervention more effective? 	
<ul style="list-style-type: none"> Did the programme consider VfM and efficiency through both its design, management and implementation? How could this be improved going forwards? Could the intervention have been implemented with fewer resources without reducing the quantity and quality of the results – or could more have the same results have been achieved with the same resources Did the programme offer VfM compared to other potential approaches? 	Efficiency
<ul style="list-style-type: none"> To what extent have the programmes achieved their overarching impact or goal (in terms of capacity)- are these attributable to the programmes? Are these results sustainable? For example are the requirements of local ownership satisfied and is the technology utilized appropriate to the economic, educational and cultural conditions of Ethiopia? What impact has the intervention had in terms of the capacity for delivering sustainable results at the community, woreda, Zonal, Regional and Federal levels. To the extent possible pre and post comparisons and with without comparisons should be made. What are the remaining capacity gaps at each level - community, woreda, zonal, Regional and Federal (with comparison of intervention and non-intervention woredas). Is there evidence of spillover and/or unintended consequences, both positive and negative? 	Impact and Sustainability

Recommendations from the evaluation should take a forward look at the requirements of the GoE UAP/WIF. The evaluation should consider the issues of gender and to what extent this has been addressed through the programme. The evaluation questions should explicitly be related to hygiene and sanitation interventions in addition to water supply.

Scope

15. The review shall take stock of the major capacity building outputs including:-

- Tools produced:- manuals, guidelines, promotional materials, policy briefs, studies and issue papers produced by the project at each step (promotion, planning, construction, supervision, and operation and maintenance),
- Logistics supported: vehicles, motor bikes, office equipments, construction tools and equipments, office spaces, etc.
- Trainings and workshops :- number of training and CB workshops conducted by area and type of training (TOT, roll out etc) and number, level and type of participants (private, community, PMUs, bureaus/offices)
- Technical capacity developed in the sector number of NCs/ WSGs/TSGs/CFTs/TSPs etc..
- Capacity developed in community managed water supplies e.g. community behavioral change in WaSH, capacity building of WaSHCOs', caretakers/operators/area mechanics etc.
- Institutional development: WaSH structures (Steering committees, Technical Teams, and Coordination offices), WSGs/TSGs/ CFTs/TSPs etc.

- WaSH implementation and M&E system development: WIF, MIS-M&E, NWI,
- Training Institutions (TVETs) capacity building; Training, logistics, etc

16. The evaluation shall cover the parent project i.e WSSP – P076735, the WaSH trust fund WaSH –MDTF (TF 070960), and the additional WB financing, and also the DFID support to the Capacity Building Project managed by UNICEF.

17. The evaluation shall cover to the extent possible other relevant capacity building activities by government and sector partners (AfDB, UNICEF, Finland, the Capacity Building pooled fund, JICA, SNV and others) with the aim of providing directions towards possible harmonization of the approaches.

18. The evaluation shall cover sufficient representative samples from the big and emerging regions, woredas including communities and towns from the two categories (with 15K population threshold) and also the national level.

19. The evaluation should include capacity building interventions for all stakeholders in the sector (public, private and community) at each level federal, regional, zonal /woreda and community levels

20. The evaluation should cover the capacity building interventions conducted under all components of the project urban, rural and program support components

21. The evaluation shall follow Documents review, focus group discussions, key informant interview (one to one consultations), field visits and related methodology that will assist to get the clear story line and arrive on rational conclusions.

22. The findings and recommendations have to be shared at a verification workshop that will be organized towards the end of the assignment. This will allow getting comments and inputs and leading to the final submission of the report.

Existing information sources

Existing information sources will be made available to the evaluators and include GoE reports, annual reviews from World Bank, DFID and UNICEF, studies and issues papers produced at each step of implementation (promotion, planning, construction, supervision, and operation and maintenance), strategy documents, manuals, guidelines and other tools supported.

Methodology

It is envisaged that a mixed method approach to evaluation is undertaken – combining both process and theory based approaches, using both quantitative and qualitative methods.

An Inception report will be delivered with a detailed evaluation framework – clarifying, methodologies to be used, how each evaluation question will be assessed, information sources used and judgment criteria to be applied. The evaluation questions may be refined during the inception phase and subsequently agreed with DFID, World Bank and MoWE representatives.

The inception report will be reviewed by both the Oversight Group and an external quality assurer. The final report will also have inputs from a wider Stakeholder Group and be reviewed by the oversight group and an external quality assurer to ensure the approach has been both methodologically robust and the ToRs have been adequately responded to.



Milestone payments will be linked to successful and adequate responses to the quality assurance of the main products.

Timetable

See schedule shown in Table 2 below.

Skills and qualifications

A small team of both international and local consultants would be expected to be assigned to this evaluation.

International Consultant: The international consultant shall have more than 15 years of experience on Capacity building issues in general and the WaSH sector in particular. Educational background on Management, public administration and related social science fields is desirable. Working experience in a developing country in general and in an African setting in particular will be advantageous. They must be entirely independent of the DFID/World Bank support to the water sector in Ethiopia.

Local consultants: The local consultants shall have a water supply and sanitation or relevant educational background with a minimum of 10 years' experience working in the sector. Practical Knowledge on the rural and urban water supply and sanitation sector in Ethiopia will be an advantage. Direct involvement in the World Bank / DFID support to the WASH programme should be limited.

Proposed inputs

23. A team consisting of one international and two local consultant (covering rural and urban aspects) is proposed for the assignment. A 45 days input from the international and a 45 days input from each of the local consultant spreading over the period December 2012 – February 2013 shall be sufficient for the review, the validation workshop and the preparation of the final report.

Logistics and procedures

Responsibilities:-

World Bank (with support from DFID on DFID/UNICEF documentation):


All the capacity building intervention documents under the programme/projects (training proposals, manuals, guidelines, and others), project implementation review mission reports will be made available to the consultant immediately after signing of the contract.

Ministry of Water and Energy (MoWE):

Make the arrangements for the consultant team to meet individuals, institutions, groups for face to face interview and meetings.

Evaluation Team:

The evaluation team will be responsible for identifying gaps in the documentation and requesting further information, in addition to work-planning and all the outputs as shown below. The international consultant shall assume the role of team leader and be responsible for quality of work. The local consultants apart from participating and contributing in all aspects of this exercise; will be responsible for data and information collection, organizing



and undertaking local consultations. The evaluation team will clearly set out their approach to ethics and fieldwork prior to field work proceeding.

Oversight Group:

Named representatives from DFID, World Bank and GoE will be responsible for commenting on study outputs within two weeks of receiving the output. Independent Quality assurance of study outputs will be arranged through DFID and World Bank.

The oversight group will arrange with the Evaluation team suitable dates for inception, validation and review meetings.

Morag Baird, Water Adviser, DFID Ethiopia and Yitbarek Tessema-Task Team leader, World Bank-AFTU1, will oversee the assignment. The DFID Programme Officer, Mekdes Wolde will be responsible for contractual matters and other project management issues.

Outputs

The following outputs are expected from the team

#	Deliverable	When
1	Inception Report including consultants understanding of the TOR and its comments, proposed methodology, data collection instruments, field visit plan and report outline, detailed evaluation framework, and implementation plan	Two weeks after signing of contract
2	Draft Report with two major parts: Part I dealing with IDA/DFID program and part II dealing with DFID complementary Capacity Building Project for the wider WASH sector	Eight weeks after signing of contract
3	Final report incorporating comments from the validation workshop and recommendations	Twelve weeks after signing of contract

29. The consulting team shall proceed to the next step after getting acceptance of each output as described in the consultant reporting requirement above. The consultant shall submit the draft report in soft copies and has to make sufficient hard copies for the validation workshop. The consultant shall submit 20 bounded copies and 20 CDs (the soft copy in PDF and Word format) of the final report.



Tentative schedule

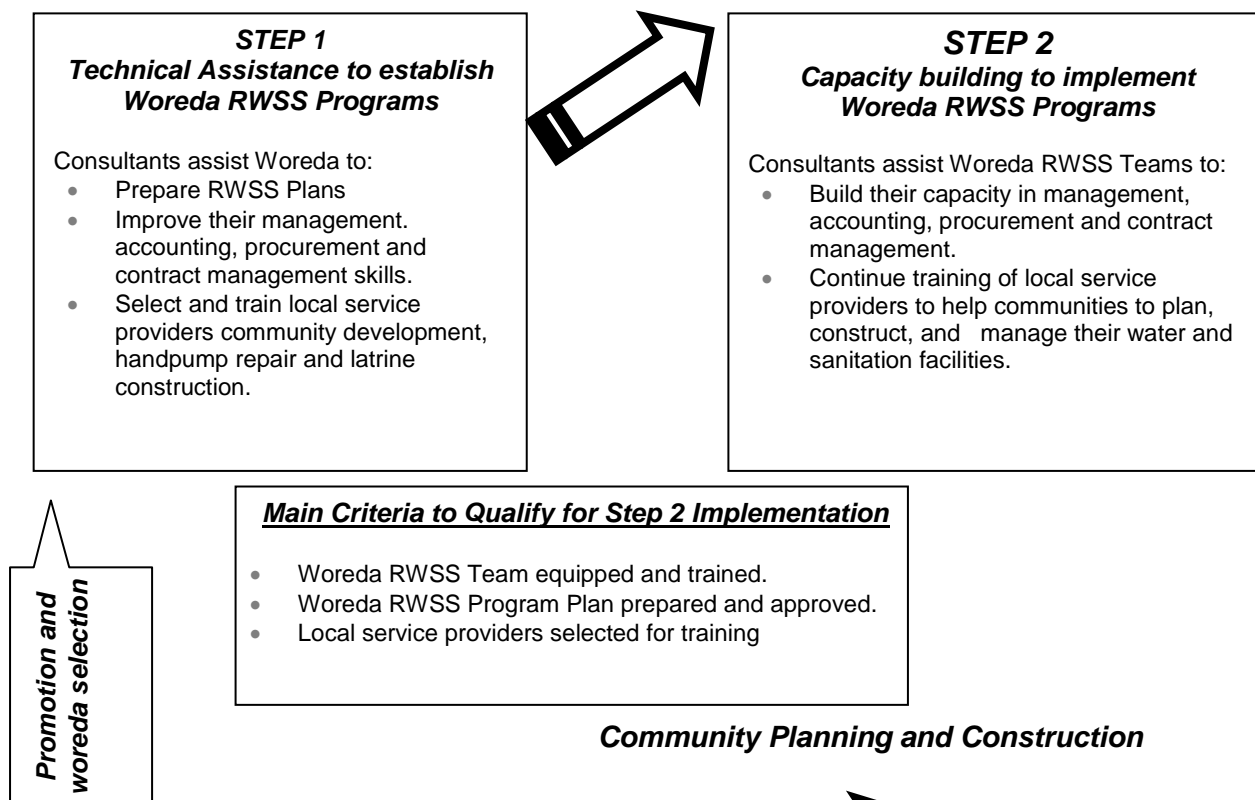
33. The tentative schedule will have the following time frame (to be updated to reflect actual contract start date):

Table 2

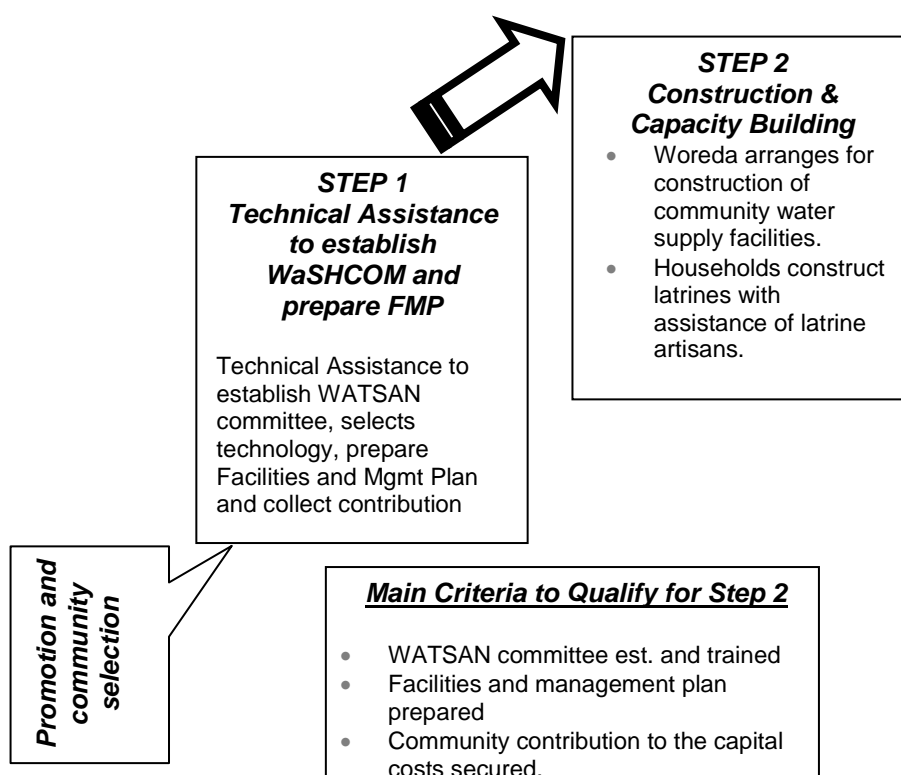
#	Activity	2012								2013											
		November				December				January				February				March			
		W 1	W 2	W 3	W 4	W 1	W 2	W 3	W 4	W 1	W 2	W 3	W 4	W 1	W 2	W 3	W 4	W 1	W 2	W 3	W 4
2	Finalise ToR following discussion with Ministry of Water and Energy																				
3	Identify potential consultants																				
4	Recruit and deploy consultants				◆																
5	Inception Report							◆													
6	Draft Report													◆							
7	Validation workshop																◆				
8	Submission of Final Report																			◆	

The stepped approach for RWSS

Woreda Planning and Implementation

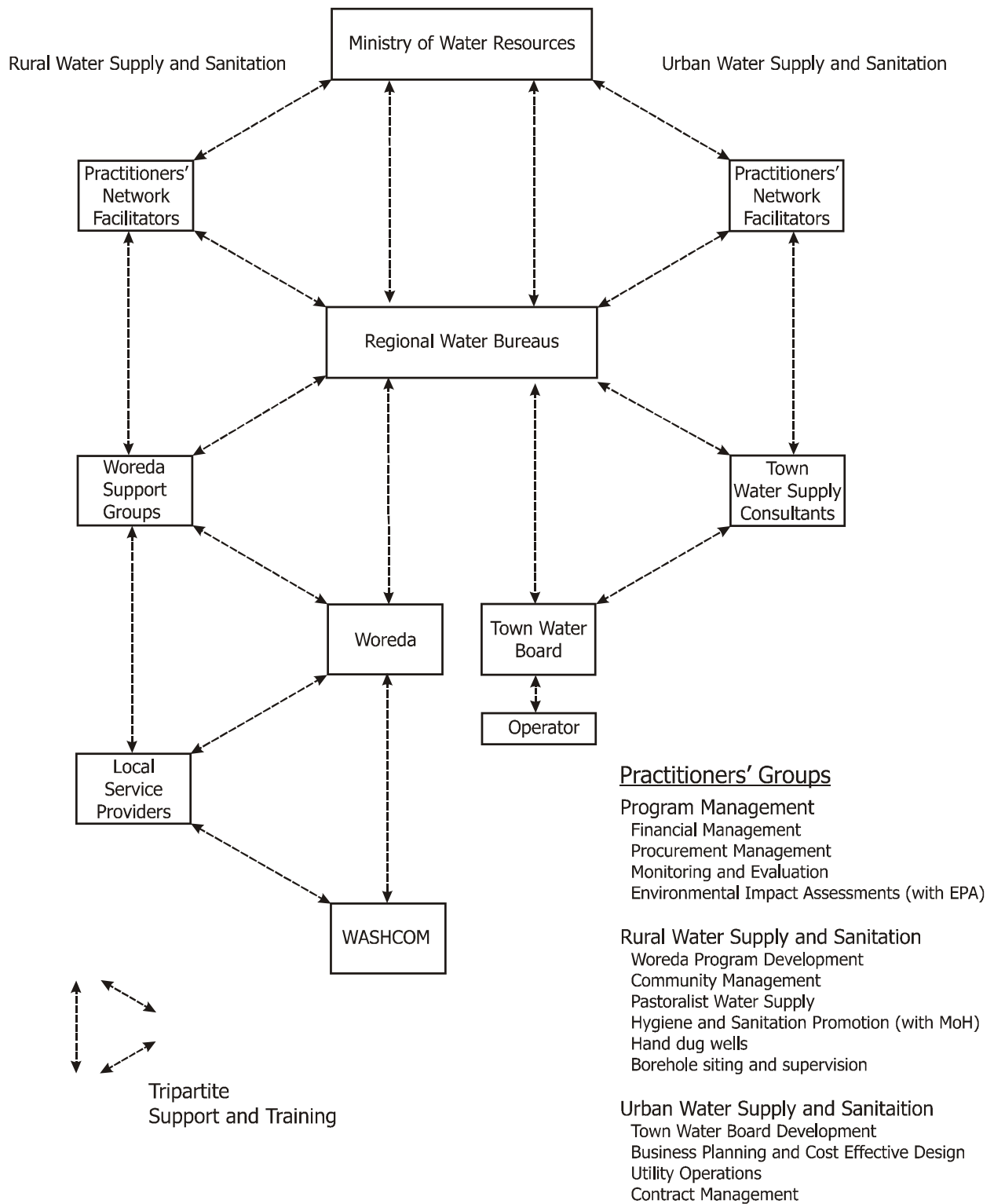


Community Planning and Construction

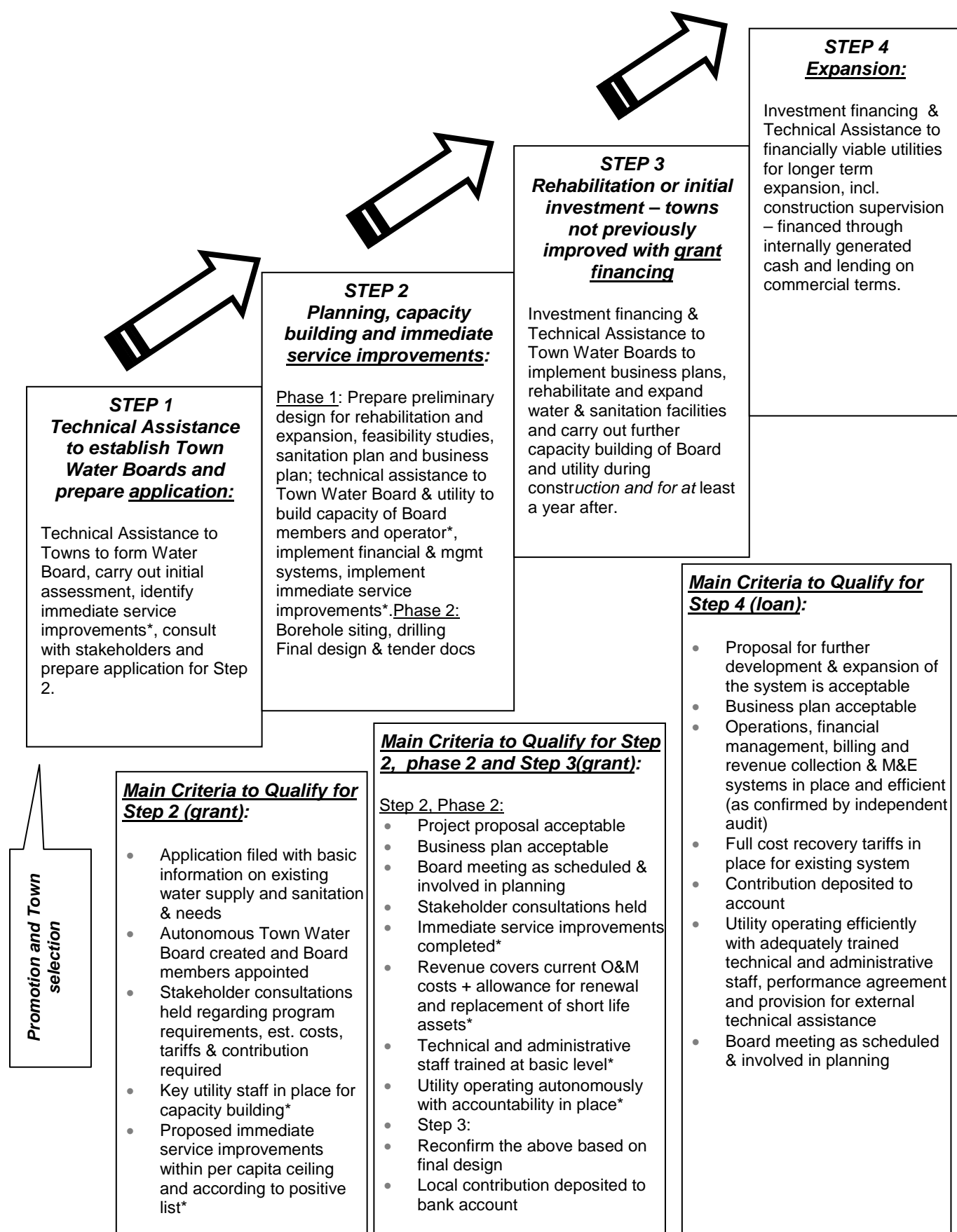




Institutional Arrangements and Practitioners' Groups



Stepped Approach to Town Water Supply & Sanitation



Annex 2 List of Sites Visited and Key Persons Met

Rural Woredas and Sites Visited

Region	Zone	Woreda	Scheme location	Source of Support	Type of Scheme and Year of Construction	Population served
SNNPR	Sidama	Arbegona	Outskirt of Arbegona town	WSSP (IDA/DFID)	Hand dug well, 2012 G.C.	The scheme serves about 50 households living around the school.
	Hadya	Mesrak Bedewacho	Emburse Anjelo	World Vision	Rural piped scheme 2000 G.C.	The scheme serves up to 12,000 people from 9 kebeles and the surrounding areas.
			WeiraLalo kebele	Government, UNICEF, SNV	Diesel motorised scheme at a spot 2004 G.C.	The scheme serves up to 4,000 people from 4 kebeles and the surrounding areas.
	Silte	Silte	Halkeso 01 kebele	Government	Rural Piped scheme 2000 G.C.	The scheme serves up to 20,000 people from seven kebeles.
			Asano Kebele	Government/JICA	Hand dug well 2006 G.C.	The scheme serves about 250 persons
Amhara	Awi	Dangila	Gumidre Brunto No.2	WSSP (IDA/DFID)	Hand Dug well 2010 G.C.	The scheme serves about 250 people
		Dangila	Chara Kebele	WSSP(IDA/DFID)	Rural Piped scheme 2011 G.C	The scheme serves >5000 people
		Banja	Senkit Lideta at AderaYest a kebele	Government	Hand dug well 2011 G.C.	The scheme serves about 215 people
			Bata Imbi	Government	Hand dug well, 2011 G.C.	The scheme serves about 250 people
	Mesrak Gondar	Farta	AmoraHar uvillage in Kanat Kebele	CoWASH, Care	Hand dug well 2006 G.C.	The scheme serves about 250 people
			Village close to highway from Debretabor to Bahir Dar (10 km from Bahir Dar)	Government (TanaBeles Project)	Gravity spring Box 2010 G.C.	The scheme serves about 150 persons and more than 500 cattle
Somali	Jijiga	Harshin	Village at the outskirt of Harshin	WSSP(IDA/DFID)	Birka(12 meters length*10meters deep*4 meters	The Birka serves about 250 people and not less than



Region	Zone	Woreda	Scheme location	Source of Support	Type of Scheme and Year of Construction	Population served
			town		depth) 2010 G.C.	300 cattle during the rainy season
			Village 5 km away from Harshin on the road to Kebribeyah	WSSP(IDA/DFID)	Big Dam with treatment unit 2012G.C.	Not operational since it couldn't retain water (lining with Geo membrane is required)
		Kebribeyah	Daneba	Government	Diesel Motorised scheme with public taps and cattle troughs 2011 G.C.	The scheme serves about 5300 people and more than 1000 cattle
			Gerbi	Government	Birka 2009 (as per information by the family visited in the village)	The scheme serves about 200 persons and more than 500 cattle during the rainy season

G.C. = Gregorian calendar or European calendar

Towns Visited

Region	Zone	Towns	Source of Support	Type of Scheme and Year of Construction	Population served
SNNPR	Gedo	Dilla	Government financed now	Borehole -One of the 25 towns project financed by WB from 1999-2003. The old surface water treated system is still operational –though had problem with filter clogging.	100,000 residents and additional 15,000 university students.
	Hadiya	Shone	WSSP (IDA/DFID)	Boreholes and system expansion are in its finals stage of construction.	25,136
	Gurage	Butajira	WRDF and WaterAid Ethiopia doing the capacity building	Boreholes. This was also 25 towns project financed by WB from 1999-2003. System expansion by WRDF at the completion stage.	43,456 people
Amhara	Dangla		German govt. KFW	Borehole, completed in 2009	44,840 including the 5 rural Kebeles
	Addet		Government	Borehole since 1984 with additional boreholes in 2003 and system expansion in 2006.	24,661 people – the town population
	Merawi		WSSP (IDA/DFID)	Boreholes and expansion of existing system are still being undertaken	31,000 people



Key Persons Met

Federal Level

Mr. Abiy Girma, Coordinator, NWCO, MoWE
Mr. Nuredin Ahmed, Coordinator, WSSP PCU, MoWE
Mr. Tamiru Gedefa, Urban Desk Coordinator for the WSSP, MoWE
Mr. Ajanaw Fenta Getaneh, Irrigation Work Senior Expert and TVETCs Coordinator, MoWE
Mr. Ato Yared Tadesse, Focal WASH Person, MoH
Mr. Hadish G. Tensay, MoE WASH focal person

Regional Level

Mr. Samuel Tolesa, WASH Coordinator, Oromia Region
Mr. Getachew Jember, Water Bureau Head, SC chair
Mr. Dagnent Fenta, SNV, WASH member, Amhara
Mr. Habetamu Alebachew, SNV, WASH member, Amhara
Mr. Haimanot Assefa, UNICEF, WASH member, Amhara
Mr. Yigezaw Gebeyehu, PIE, WASH member, Amhara
Mr. Dagnaw Awoke, WASH member, Amhara
Mr. Jemal Mohamed, BoWRD, WASH member, Amhara
Mr. Yimenu Adane, UNICEF, WASH member, Amhara
Mr. Takele Hunde, UNICEF, WASH member, Amhara
Mr. Abrham Kebede, COWASH, WASH member, Amhara
Mr. Teklu Yemanebirehan, BoFED, WASH member, Amhara
Mr. Zewdu Ayenadis, Plan, WASH member, Amhara
Mr. Yalew Tizazu, PIE, WASH member, Amhara
Mr. Tenagne Addisu, RIPPLE, WASH member, Amhara
Mr. Molla Henegnaw, BoH/BoWRD, WASH member, Amhara
Mr Yimer, WASH Coordinator, Amhara

Mr. Woinshet Mengesha, Health Bureau focal person, SNNPR
Mr. Wolde Wakasso, Finance Bureau focal person, SNNPR
Mr. Gashaw, Education Bureau focal person, SNNPR
Mr. Mulugeta Mussie, Water Bureau Coordinator, SNNPR

Mr Abdul Berissa Seid, WASH focal person with BOFED, Somali
Mr Mohammed Ali, M&E expert for the WASH program in Water Bureau, Somali
Mr Mohammed Sherif Abdi, M&E officer PCDP, Somali
Mrs Farthun Cabdi, Water Bureau Head, Somali
Mr Abdureshid Mohammed, Deputy Head of Water Bureau, Somali
Mr Muhaydin Alahmin, NGO & Donors officer in Education Bureau, Somali
Mr Hussein Shukur Adem, WASH Procurement specialist with Water Bureau, Somali
Mr Mohammed Hussein Mursal –WASH rural focal person with Water Bureau, Somali
Mr Abdirisak Sayad Hirsi, WASH focal person with BOFED, Somali
Mr Kelif Adem, Channel 1 coordinator with BOFED, Somali
Mr Kedera Shedei, WASH focal person, Bureau of Health, Somali
Mr Seid Farah, WASH accountant, Bureau of Health, Somali
Mr. Kelbi Ahmed Jama, project coordinator, PCDP, Somali Region
Mr. Sidel Abdi, the regional procurement officer, PCDP, Somali Region
Mr. Mohammed Shariff Abdi, M&E officer, PCDP, Somali Region



Zonal Level

Mr Kefelegn Otisso Oromo, water supply provision and schemes management process owner of the Sidama zonal water office, SNNPR

Mr. Endale Tamire, Silte zone water office head, SNNPR

Mr. Abebaw Alemeu, water supply process coordinator, Debu Gondar zone, Amhara

Mr. Mulat Fentahun, mining works expansion expert and coordinator, Awi zone, Amhara

Woreda Level

Harshin Woreda, Somali Region WASH Team

Mr. Jemal Abdi Khahr, Woreda Administrator Chairman

Mr. Adan Kusow Ali, Head Water Office, member

Mr. Fuad Said, Head Health Office, member

Ms. Sahur Ahmed Head Women Affairs Office, member

Mr. Mohammed Hassan Head Livestock, crop and natural resources office, member,

Mr. Abdi Wahab Idid Head Education Office, member

Mr. Barchad Ousman, Head finance office, secretary

Kebribeyah Woreda, Somali Region

Mr. Ahmed Nur, Kebribeyah woreda, Woreda Administrator

Dangila Woreda, Amhara Region WASH Team

Mr. Kasa Tilahun, Head of Water office-Chair man

Mr. Lakew Dagne, Head of Finance Office-member

Ms. Netsanet Ejigu, Deputy Head of Finance Office-Assistant

Mr. Wasihun Walleign, Hygiene Officer of Health Office-member

Mebratu Amare, planning and programming coordinator of Water Office-Assistant

Ms. Mintamir Getnet, Head of Children, Youth and women's affairs office-member

Farta Woreda, Amhara Region WASH Team

Mr. Mersah Sebisib Mekonen Deputy Woreda Administrator, chairman,

Mr. Tarekegn Ayele, Head Health office, member

Mr. Fetene Mulugeta, Deputy Head Education office, member

Mr. Aduugna Tsegaye, Head water office, secretary coordinating woreda WASH intervention

Banja Woreda, Amhara Region Woreda Council

Mr. Melese Adal, woreda administrator, chairman

Mr. Mulualem Bitew, head of woreda water office, member

Miss Alganesh Zeleke, head women's and youth affairs, member

Mr. Yetwale Getaneh, head environmental protection and land administration office, member

Mr. Ayenew Temesgen, head health office, member

Mr. Yalew Bezuneh, head finance and economic development office, member and secretary

Arbegona Woreda WASH Team members, SNNPR

Mr. Tamire Rikiba Woreda Administrator

Mr. Bekele Shune Woreda WASH Officer

Mr. Haile Harisa, Woreda finance office head


Mr. Desalegn Dangiso, Woreda health office head

Mr. Birhanu Burke, Woreda Water office head

Mr. Mathewos Mamo, from water office

Mr. Legesse Shaqa, from water office

Mesrak Bedewacho Woreda WASH Team



Mr. Tekle Ashebo Sadebo, Woreda Administrator
Mr. Wondesen Alemu, Head of Finance office
Mr. Maereg Mathewos, Head of Health office
Mr. Mesele Mathewos, Woreda Water office head


Silte Woreda/zone Woreda Council

Mr. Hayatu Muktar, Woreda administrator
Mr. Mohammed Hussien Ibrahim, Water office head
Mr. Melese Fantu, Head Health office
Mr. Abdulkarim Mustafa, Youth office
Ms Fetiya Menan, Women's affairs office
Mr. Kemal Temam, Head Education office

Town Level

Mr Atsebeha Tekeste Board chairman, Adet town Head of finance office
Ms Shimaachash Yayneabeba, Board member representing the community of Adet town
Ms Tsehay Ashageri, Adet Water Utility Manager
Mr Geremew Kassa Board member, Board member representing community of Adet town
Mr Gashaw Negatu, Water Supply Process head with the Adet town water utility
Ms Mulugojam Endalew, Adet town Deputy health office head
Mr Behonegn Alamne, Planning expert in the municipality of Adet town
Mr Mulatu Eshetu, Dangla town Deputy mayor of the town administration
Mr Yaregal Asres, Dangla town Previous Board Chairman
Mr Melaku Asres, Dangla Water Utility Manager
Mr Abate Demrew, Communities representative- Dangala town
Mr Kassay Worku, Acting head of Dangla Woman and Children Office
Mr Getnet Belete, Procurement and Finance Process head at Dangla Water Utility
Mr Mandefro Ademe, Water Supply process head at Dangla Water Utility
Mr Seleshi Tadesse, Human Resource administration head at Dangla Water Utility
Ms Seida Getahun, Dangla Kebele 01, health extension worker
Mr Tezena Betseha, Board chairman, Merawi Town administration
Ms Abeba Achenefer, Board member from Merawi civil service, program expert
Mr Ayneaddis Belete, Acting Merawi Water Utility Manager
Mr Yeshambel Kasse, Board member, Merawi Head of finance office
Mr Kindu Kelkay, Board member Hygiene and sanitation officer, Merawi Health office
Ms Rahel Aweke, Merawi Kebele 01, Health Extension worker
Ms Mastewal Yigrem, Merawi Kebele 01, Health Extension worker

Mr Tofic Mola Mohammed, Mayor of Butajira town
Mr Habtamu Mekuria, Butajira town Water Utility Manager
Mr Shemsu Kedir, Plumber for Butajira town Water Utility
Mr Siraje Hussein, Electro-mechanical mechanic for Butajira town Water Utility
Mr Jemal Siraj, Plumber for Butajira town Water Utility
Mr Tesfay Wolde, Plumber for Butajira town Water Utility
Mr Metkei Argaw, Plumber for Butajira town Water Utility
Mr Seifu Hailu, Plumber for Butajira town Water Utility
Mr Fekerei Biftu, Procurement and Finance coordinator for Butajira town Water Utility
Mr Muluget Admas, Procurement and Finance officer for Butajira town Water Utility
Ms Maimuna Hussein, Procurement and Finance officer for Butajira town Water Utility
Ms Genet Aderra, Internal audit and inspection officer for Butajira town Water Utility
Ms Selamawit Mengistu, Store keeper for Butajira town Water Utility
Ms Belaynesh Wedajeneh, Procurement and Finance officer for Butajira Water Utility
Mr E. Getachew, Disease Prevention & Control supervisor, Butajira Town Health Office
Mr Abebe Belachew, Mayor of Dilla Town
Mr Tsegaye Bogale, Dilla Town Water Utility Manager



Mr Ferew Zeleke, Drinking water section head at water utility for Dilla Town Water Utility
 Mr Feseha Yesus, Gedeo Zone Water Resource Development Office Head
 Ms Abebech Getahun, Development planning head for Dilla Town Water Utility
 Ms Bayush Assefa, Human resource section head for Dilla Town Water Utility
 Mr Getnet Almasen, General Manager of Dilla town municipality
 Mr Emnet Desta, Education office head of Dilla town
 Mr Tsegaye Gedi, Finance office head of Dilla town
 Mr Tekle Ashebo, Mayor of Shone town
 Mr Desta Aman, General manager of Shone Municipality
 Mr Wondesen Alemu, Head of Finance office of Shone town
 Ms Abebech Lelorei, Bill production, reading, selling head (Board member)
 Mr Maereg Mathewos, Head of Health office of Shone town
 Mr Ashenafi Feleke, Representative from the private sector of Shone town
 Mr Mesele Mathewos, Woreda Water office head (new board member) of Shone town
 Mr Tessema Egana, Woreda Water office representative of Shone town
 Mr Lolasa Belasa, Shone town Water Utility Manager
 Ms Belaynesh Markos, Procurement and Finance officer for Shone town Water Utility
 Mr Tesfahun Zeleke, Bill production officer for Shone town Water Utility
 Mr Berhanu Tadesse, Water supply process head for Shone town Water Utility
 Mr Haile Werabo, Operation and maintenance personnel for Shone town Water Utility

Consultants

Mr. Aweke Gulilat, M&E Expert, CB Unit of MoWE
 Mr Arto Suominen, Chief Technical Advisor, Ramboll, COWASH Programme, MoWE
 Mr. Getachew Belayneh, UNICEF seconded staff based in MoH
 Ato Shikur Nuru, WSG member, Amhara region
 Mr Fanta Feissa, Rural WASH Community Participation Development Specialist
 Mr Assefa Birru, Rural WASH Planning and program Specialist
 Mr Getachew Debele, Urban WASH technical specialist
 Dr Alemayehu Mekonen Rural WASH Planning and program Specialist
 Mr Agajei Asmama, Rural WASH Planning and program Specialist
 Mr Abera Negash, Urban WASH Contract Management Specialist
 Mr Wedu Kemal, Civil Engineer TSG in Amhara region
 Mr Getnet Hailu, Technical Specialist – O&M - TSG in Amhara region

Contractors

Mr. Shikuri Yusuf , Waheen Drilling and Construction Company, Somali region
 Mr. Eyob Tsadiku, General Contractor, Level 4, SNNPR
 Mr. Anteneh Webeshet, General Contractor, Level 5, SNNPR

Development Partners, including NGOs

Ms. Morag Baird, DFID
 Mr. Tesfaye Bekalu, World Bank
 Mr. Ato Yitbarek Tessema, World Bank
 Ms. Rahel Kaba, World Bank
 Ms. Meaza Kebede, CB Specialist, UNICEF WASH
 Mr. Kebede Faris, Water and Sanitation Specialist, WSP-WB
 Mr. Gulilat Berhane, Director, Policy Research & Sector Support, WaterAid
 Ms. Tigist Tefera, Capacity Building Unit, WaterAid
 Mr. Bruck W. Aregai, Senior Advisor WASH, SNV

Ms. Zinash Tsegaye, WASH Advisor, SNV, SNNPR
 Mr. Fitsum , GLoWS Coordinator, SNNPR



TVETCs and HSCs

Mr. Gedewon Teka, SNNPR

Mr. Kasahun Shentema, SNNPR

Mr. Chalachew Gebeyehu, Amhara Region

Mr. Hussein Mohammed, Deputy Dean of TVETC, Somali

Mr. Lemma Kiftaga, Water Sector Head of TVETC, Somali

Mr. Muktar Sheik Abdul, Acting head HSC, Somali

Participants in Workshop on 26 March 2013

No.	Name	Organization
1	Abiy Girma	MoWE
2	Fillipo Arch	Italian Development Cooperation
3	Michael Pohe	Italian Development Cooperation
4	Meaza Kebede	UNICEF
5	Morag Baird	DFID
6	Aynew Admasu	MoWE
7	Assefa Biru	MoWE(NC)
8	Abebaw Dagne	MoWE(NC)
9	Asirat Getaneh	One WASH plan (OWNP) - NC
10	Abdulkadir Memhur	One WASH plan (OWNP) - NC
11	Getachew Alem	One WASH plan (OWNP)- NC
12	Rahel Kaba	World Bank
13	Tassew Ashagre	MoWE
14	Aklilu Beyene	MoWE
15	Desalegn Gizaw	MoWE
16	Awoke Gulilat	MoWE
17	Agaz Asmamaw	MoWE
18	Getachew Debele	MoWE
19	Fanta Feyisa	MoWE
20	Dr. Alemayehu Mekonen	MoWE
21	Sileshi Taye	MoH/NC
22	Chanyalew Tadesse	MoH/NC
23	Behailu W/Mariam	MoWE
24	Belay Bancha	MoWE
25	Tamiru Gedefa	MoWE
26	Abera Negash	MoWE NC
27	Ajanaw Fenta	MoWE (Sector Support Dev.)
28	Gulilat Berhane	Water Aid Ethiopia & WSF
29	Muluken Abate	One WASH plan (OWNP) - NC
30	Mohammed Ibrahim	Water Supply and Sanitation Specialist
31	Kebede Faris	WSP
32	Worku G/Sillassie	One WASH plan (OWNP) - NC
33	Wondwossen Feleke	World Bank
34	Linda Annala	COWASH
35	Yemarshe Yemane	WASH Evaluation NC
36	Helle T. Stoltz	WASH Evaluation IC
37	Getachew Abdi	WASH Evaluation NC
38	Yakiyasu Sumi	JICA
39	Ephrem Fufa	JICA

IC = International Consultant; NC = National Consultant;



Annex 3 List of Key Documents Consulted

Central Statistical Agency: Ethiopia Demographic and Health Survey for 2011, March 2012

Defere, E. and Abdi, G.: Documentation of Proven Management Models for Multi Village Water Schemes, December 2010

DFID: Annual Review of Water, sanitation and hygiene program, Ethiopia, March-May 2012

DFID: Annual Review of Water, Sanitation and Hygiene Sector Capacity Building Project, May 2012

DFID: Project Memorandum, Ethiopia, Water Supply, Sanitation and Hygiene Project, September 2007

Joint Technical Reviews: Several Reports

Kebede, S. and Makarigakis, A.: Groundwater in Ethiopia, State of knowledge and capacity gaps, December 2011

Ministry of Finance and Economic Development: Growth and Transformation Plan (GTP), 2010/11-2014/15, September 2010

Ministry of Health: National Hygiene and Sanitation Strategy for Ethiopia, October 2005

Ministry of Water and Energy: National WASH Inventory Data, March 2013

Ministry of Water and Energy: Gender Mainstreaming Implementation Guideline, October 2012

Ministry of Water and Energy: National WASH Inventory, Progress and M&E – MIS Report, Presentation, September 2012

Ministry of Water Resources, Ministry of Health, Ministry of Education, Ministry of Finance and Economic Development: WaSH Implementation Framework, Summary, August 2011

Ministry of Water Resources, Ministry of Health, Ministry of Education, Ministry of Finance and Economic Development: WaSH Implementation Framework, August 2011

Ministry of Water Resources, Ministry of Health, Ministry of Education, Ministry of Finance and Economic Development: Memorandum of Understanding on integrated implementation of water supply, sanitation and hygiene program in Ethiopia

Ministry of Water and Energy: National Water Supply, Sanitation and Hygiene Programme (WASH), Progress Report for July-October 2012, December 2012

Ministry of Water and Energy: National Water Supply, Sanitation and Hygiene Programme (WASH), Annual Report for 2004 EFY (July 2011-June 2012), August 2012


Ministry of Water and Energy: National Water Supply, Sanitation and Hygiene Programme, Annual Report for July 2010 to June 2011

Ministry of Water and Energy: National Water Supply, Sanitation and Hygiene Programme, Annual Report for July 2009 to June 2010

Ministry of Water and Energy: Region Specific Supply Chains for Hand pumps and Spare Parts in Ethiopia, May 2010

Ministry of Water Resources: Sustainable Hand Pump and Spare Parts Supply and Maintenance Arrangements for Community Water Supply Systems, June 2009

Ministry of Water Resources, Ministry of Health and Donors: Aide Memoire, Water Supply and Sanitation Project Cr. No. 3901-ET (Grant No. H-085-ET), Mid Term Review Mission, May 2007



Ministry of Water Resources: Universal Access Program for Water Supply and Sanitation Services, 2006 to 2012, International Calendar, December 2006

Ministry of Water Resources: Implementation Guidelines for Water Supply, Sanitation & Hygiene Program, Somali Regional State, August 2006

Ministry of Water Resources: Capacity Assessment and Implementation Manual Preparation Study, Capacity Assessment Reports for Somali Region, Afar Region, Benshangul Gumuz Region, Harari Region, SNNPR and Amhara Region, 2002-2003

Ministry of Water Resources: National Water Strategy, 2001

Ministry of Water Resources: National Water Resources Management Policy, 1999

National WASH Programme, Joint Technical Review, Aide Memoire, October 2007

Ramboll: Capacity Development Plan to Accelerate WASH Development in the Rural Areas of Ethiopia, January 2012

Ramboll: Training and Capacity Building for CMP Implementation, no date

SNV: Synthesis Report on WaSH TVETCs Capacity Mapping and Benchmarking Project, Part III: Capacity Assessment and Development Support Plan, March 2011

UNICEF: Final Report to Italian Development Cooperation, Technical Update to United Kingdom Government Department for International Development and Government of Finland. Water, Sanitation and Hygiene Sector Capacity Building Project, November 2012

UNICEF: WASH Capacity Building Project, Annual Report for November 2011 – September 2012 by A. Addege (Consultant), October 2012

UNICEF: WASH Capacity Building Project, TVETC Final Report by G. Sengogo (Consultant), August 2012

UNICEF: Annual Report, Water, Sanitation and Hygiene Sector Capacity Building Project, April 2012

WSP-AF: Scaling Up Rural Sanitation and Hygiene in the Four Regions in Ethiopia through Alignment with Health Extension Program, Consensus with the Whole System and Total Engagement with Communities, October 2012

Water and Sanitation Program (WSP) Learning Note: Scaling Up Rural Sanitation. Learning by Doing: Working at Scale in Ethiopia, July 2011

Water Partnership Program: Documentation of Proven Management Models for Multi Village Water Schemes, December 2010

World Bank: Project Paper on a Proposed Additional Financing in the Amount of SDR 51.1 Million (USD 80 Million Equivalent) to Ethiopia for a Water Supply and Sanitation Project, February 2010

World Bank: Project Appraisal Document on a Proposed Credit in the Amount of SDR... (US\$100 Million Equivalent) to the Democratic Republic of Ethiopia for Water Supply and Sanitation, April 15, 2004

WSSP: Implementation Manual, November 2004

WSSP: Various Issue Papers, Manuals, Guidelines and Toolkits

Annex 4 Evaluation Questions

Evaluation Questions	DAC Criteria	Main Evaluation Methods	Main Information Sources
<ul style="list-style-type: none"> To what extent is the (i) IDA/DFID supported capacity building approach (the stepped approach, tripartite arrangements, cascaded training) and (ii) the Sector Capacity Building, relevant in the Ethiopia context and coherent within the overall WASH sector? Have all three main categories of capacity building interventions, i.e. physical capacity building, human resources capacity building (training and manuals, guidelines etc.) and strengthening of the enabling environment been relevant? Has the combination of capacity building for the demand side and supply side been relevant? How much attention was given to capacity building related to sanitation and hygiene promotion? Were the capacity building approaches and activities related to sanitation and hygiene promotion relevant? How have the capacity building interventions contributed to progress towards achieving the relevant MDG targets and GoE's GTP targets? 	Relevance	<p>Document review</p> <p>Semi-structured Interviews</p> <p>Focus group discussions</p>	<p>National sector policies, strategies and plans</p> <p>DHS and NWI data</p> <p>Progress/review reports</p> <p>Institutions and individuals at all levels</p> <p>WASHCOs (16)</p>
<ul style="list-style-type: none"> What WSSP and DFID/GoF/IDC capacity interventions have been undertaken related to sanitation, hygiene promotion and water supply? How effective have the three main categories of capacity building interventions (i.e. physical capacity building, human resources capacity building and strengthening of the enabling environment) been in developing capacity to deliver and sustain outcomes? Has the combination of capacity building for the demand side and the supply side been effective in developing capacity to deliver and sustain outcomes? Were the human resources capacity building interventions effective in reaching all relevant target groups within the public and private sectors and at community level? Were the interventions effective in reaching both women and men? Did the WSSP and DFID/GoF/IDC capacity building interventions sufficiently consider regional/local differences in their approaches? To what extent were the two projects effective in improving coordination and integration within the sector? Have the interaction and the information flow 	Effectiveness	<p>Document review</p> <p>Collection and review of quantitative, administrative data, using forms</p> <p>Semi-structured interviews</p> <p>Focus group discussions</p> <p>Observations</p>	<p>Progress/review reports</p> <p>Study reports</p> <p>Manuals, guidelines etc.</p> <p>Federal, regional, woreda and town level institutions</p> <p>Institutions and individuals at all levels</p> <p>WASHCOs (16)</p> <p>In the communities</p>

Evaluation Questions	DAC Criteria	Main Evaluation Methods	Main Information Sources
<p>between the different levels been effective? (E.g. in relation to dissemination of guidelines, submission of progress reports, timely provision of training/advice)</p> <ul style="list-style-type: none"> Have the capacity building interventions in the WSSP and DFID/GoF/IDC capacity building interventions been effective in addressing the challenge of ensuring communities access to spare parts within a reasonable distance? To what extent have the specific capacity strengthening outputs and outcomes been achieved? Can they be attributed to the WSSP and DFID/GoF/IDC capacity building interventions on their own or were the outputs and outcomes also influenced by other WASH interventions? To what extent does the capacity recorded and observed in the target areas accord with (i) the World Bank and DFID's Results and Logical Frameworks or (ii) DFID/GoF/IDC logframe (as appropriate)? With regard to the capacity building element of the interventions what are the likely main reasons for the achievement or non-achievements of the objectives? Have external factors recorded as risks or assumptions in the key documents for the WSSP and the DFID/GoF/IDC Capacity Building Project influenced the outputs and outcomes of the projects? If yes, how? How have the high turn-over among WASH professionals influenced the capacity within the sector? What are the lessons learnt and the recommendations to make future WASH capacity building interventions more effective? 			visited (16)
<ul style="list-style-type: none"> Did the WSSP and DFID/GoF/IDC capacity building interventions consider value for money and efficiency in their design and implementation? Did the WSSP and DFID/GoF/IDC capacity building interventions (physical capacity building, human resources capacity building and strengthening of the enabling environment) offer value for money compared to other potential approaches? Has the combination of capacity building for the demand side and the supply side provided value for money? Considering the importance of replication throughout the country, what would be the most efficient ways to build the minimum capacity required of different categories of WASH actors? 	Efficiency	<p>Document review</p> <p>Review of administrative data</p> <p>Semi-structured interviews</p>	<p>Progress/review reports</p> <p>Study reports</p> <p>Manuals, guidelines etc.</p> <p>Federal, regional, woreda and town level institutions</p> <p>Institutions and individuals at all levels</p>



Evaluation Questions	DAC Criteria	Main Evaluation Methods	Main Information Sources
<ul style="list-style-type: none"> What are the lessons learnt and the recommendations to make future WASH capacity building interventions more efficient? 			
<ul style="list-style-type: none"> To what extent are the WSSP and DFID/GoF/IDC capacity building interventions likely to achieve their overarching impact or goal (in terms of capacity)? Are they likely to be fully attributable to the two projects' capacity building interventions? Are these results likely to be sustainable? What likely impacts have the interventions had in terms of the capacity for delivering sustainable results at the community, woreda, zonal, regional and federal levels? To the extent possible pre and post comparisons and with/without comparisons will be made. What are the remaining main capacity gaps at each level, community, woreda, zonal, regional and federal levels? Comparison of intervention and non-intervention woredas and towns will be made. Do there appear to be any unintended consequences, both positive and negative? What are the lessons learnt and the recommendations to make future WASH capacity building interventions sustainable? 	Impact and Sustainability	<p>Document review</p> <p>Semi-structured interviews</p> <p>Focus group discussions</p> <p>Observations</p>	<p>Progress/review reports</p> <p>Study reports</p> <p>Manuals, guidelines etc.</p> <p>DHS and NWI data</p> <p>Institutions and individuals at all levels</p> <p>WASHCOs (16)</p> <p>In the communities visited (16)</p>



Annex 5 Summary of Capacity Assessment Studies from 2002-2003

Overall Issues

In 2002-2003, the World Bank conducted WASH capacity assessments in all regions of Ethiopia. These assessments constitute part of the baseline for the capacity building activities under the WSSP. The following is a summary of the findings and conclusions of the six regional assessment reports, available to the evaluation team, namely for the regions of Afar, Amhara, Benishangul Gumuz, Harari, Somali, and SNNPR. It should be mentioned that the level of detail and the focus of the six assessment reports vary.

The capacity assessments were conducted 1-2 years after the start of the decentralisation of responsibilities from regional to woreda level. In 2002-2003, woreda water offices had been established in all woredas in Amhara, SNNPR and Benishangul Gumuz regions, whereas no woreda water offices had been established in the two emerging regions of Afar and Somali or in Harari region. In Amhara and SNNPR, 60% of the staff in the Regional Water Bureau and the water zonal offices had thus been deployed to the woreda water offices. However, in at least Amhara region many of those deployed from regional and zonal levels left their jobs shortly after, mainly because of the remoteness of the woredas.

Three out of six regions, for which capacity assessment reports are available, are so-called emerging regions, namely Afar, Benishangul Gumuz and Somali and at the time of the capacity studies, the human resource capacity and the physical capacity were clearly lower in these three regions than in the other regions, particularly in Afar and Somali regions. In these two latter regions, nomadic and semi-nomadic pastoralism was – and is - the way of life for most people and the economy was predominately based on livestock with relatively few areas of settled farming agriculture. An important water supply issue was - and is - thus livestock watering. Often rural water schemes were, and are, therefore provided with cattle troughs near the water source. In Somali there was, and still is, also some international cross boundary movements.


Regional Water Bureaus

The decentralisation process meant the responsibility for detailed planning and implementation was to be gradually moved from regional to woreda and town levels, whereas the responsibilities remaining at regional level were the regulatory, facilitative and support functions as well as overall planning⁷. Naturally, this was a major change in the responsibilities of the regional water bureaus and in the expertise and skills needed. At the time of the capacity studies, the organisational structures of the regional water bureaus still reflected, to a large extent, their previous focus on detailed planning and implementation. Most or perhaps all six regional water bureaus thus had workshops and staff employed to carry out operation and maintenance of water schemes. Some also had their own drilling rigs.

Shortly before the capacity studies, staff in some of the regional water bureaus had been trained on the development of strategic plans, which had led to development or revision of strategic regional WASH plans, but generally without considering the financial and human resources available to implement the plans. The lack of strategic planning skills and insufficient involvement of other stakeholders in the planning process were thus identified as key capacity constraints in the regional water bureaus.

⁷

Due to their current relatively low capacity levels, the majority of woredas have asked the regional level to assist them with planning and implementation of higher-technology piped systems, while the woredas are directly responsible for the planning and implementation of simple point sources, e.g. spring boxes and hand pumps.



For Afar and Somali, the capacity assessment studies found that the lack of trained manpower both in technical and managerial positions was a chronic problem. Even vocational and trades level technicians were in short supply.

The capacity assessment reports do not include an assessment of the capacity of the Bureaus of Health to plan and implement sanitation and hygiene promotion or of the capacity of the Bureau of Education to plan and implement WASH in schools.

Zonal Water Offices

At the time of the capacity assessments, the Amhara Regional Water Bureau had established zonal water offices, which each had 1-2 staff members. Also Afar and Somali regions had some zonal water offices, which according to the assessment reports served as transitional phase arrangements towards full-fledged woreda level decentralisation. The Somali and Afar reports do not indicate the average number of staff employed in each zonal water office, while the SNNPR and Benshangul Gumuz reports do not mention whether zonal water offices existed.

Woreda Water Offices

As mentioned, at the time of the capacity assessment studies (2002-2003) woreda water offices had been established in woredas in three of the six regions, namely in Amhara, SNNPR and Benishangul Gumuz regions. This had taken place 1-2 years prior to the studies and the capacity was generally very low in all woreda water offices.


In Amhara region, the approved existing structure of one woreda water office included seven staff, but the 105 woreda water offices only had a total of 264 staff, i.e. on average 2½ staff per woreda water office. In SNNPR, the proposed woreda water office structure allowed for 18-21 staff but the capacity study found that the staffing level was only satisfactory in 21 out of 104 woredas, while the remaining woredas had 1-2 staff or no staff.

The challenge in the woredas was not only the lack of a sufficient number of staff, but just as much a lack of qualified staff. The capacity of the woreda water offices in Amhara and SNNPR was assessed in relation to their capacity to do project identification, preparation, appraisal, implementation and monitoring and evaluation.

All woreda water offices in the two regions were weak in the project identification phase. Some of them had one or two social workers/community promoters, but most of them did not have proper training in social work and none of them had the knowledge and skills needed to use the recently introduced demand-responsive approach. The same was the case among technical woreda staff and among staff and volunteers at kebele and community level.

There were no Local Service Providers (LSPs) in Amhara and SNNPR and it was therefore left to the woreda water offices to do preliminary design work, siting and preparation of facility and management plans. In Amhara it was assessed that just under half of the woreda water offices had the capacity to do these tasks, while in SNNPR it was assessed to be the case for 1/5 of all woreda water offices. In both regions it was assessed that approximately 1/5 of all woreda water offices had this capacity, while none of them had the skills needed for tendering and contract administration.

The woreda water offices' capacity to construct or supervise the construction of hand-dug wells and spring capping and to operate and maintain schemes was assessed to be somewhat better, but not much. None of the woreda water offices were assessed to have the knowledge, skills and experience to do monitoring and evaluation.



Another major issue was the low woreda budget available for water and sanitation related activities. Often the budget was only sufficient to cover recurrent costs.

The problems identified by some woreda water offices during the assessment process were lack of training in O&M and community participation, lack of equipment, lack transport (vehicles and/or motorbikes) and lack of spare parts to maintain and repair the water schemes.

Town Water Boards and Utilities

At the time of the capacity assessments, water supply schemes in towns were either managed by town water boards or by woreda water offices. In the bigger towns which had town water boards there were water supply and sanitation services responsible for day-to-day operations of the water supply systems.

In Amhara, 42 towns qualified as per the regional criteria to have their water supply managed by town water boards, of which at the time of the study 14 had received autonomy from the regional government. In SNNPR, 49 towns qualified to have town water boards, of which 15 had received autonomy. In SNNPR, the capacity of the town water boards was assessed to generally be non-existent.

Government-owned Water Works Construction Enterprises

Amhara and SNNPR had Government-owned Water Works Construction Enterprises, mainly doing drilling but also some construction of distribution pipelines and treatment plants. At the time of the study, the enterprise in SNNPR had the capacity to drill 40 deep wells annually and to do some civil works.

The Private Sector

As mentioned earlier, there were no Local Service Providers (LSPs) in Amhara and SNNPR to do design, siting and facility management plans. However, in Amhara artisans were contracted to construct hand-dug wells and spring capping. 600 artisans had thus been trained in construction of these facilities and in community participation by the Finnish-supported RWSS programme, where 30% of the trainees were to be women and all trainees had to commit themselves to staying in their woredas after the training. The Water Bureau had also on its own trained 300 artisans in construction of hand dug wells and spring capping.

The Amhara and SNRRP capacity assessment reports contain no other information on the private sector capacity and there is also no information in the Harari report, while there is more detailed information in the reports for Benishangul Gumuz, Afar and Somali regions.

In Benishangul Gumuz and Afar regions there were no dependable spare part shops, although in Afar some shops sold spare parts together with building materials. In Somali there was reported to be a few reliable spare part shops. In all three regions supplies had to be ordered from Addis Ababa and/or another major town.

In all three regions, skilled labour was available from the informal sector for masonry, carpentry, plumbing works etc.

There were no region-based consultants in Afar and Benishangul Gumuz, while in Somali region there were two region-based consulting firms, one in the water sector and one in the road sector. All three regions had a few consultants who operated from Addis Ababa.



In Benishangul Gumuz, there were 5 region-based contractors in the water sector, in particular constructing hand-dug wells. In Somali region there were about 5 contractors mainly engaged in construction of buildings and roads, but very few firms doing drilling and water works. There were no contractors originating in Afar region.

Systems

The availability of systems like guidelines, manuals, procedures and standards was assessed in connection with the capacity assessments in Benishangul Gumuz, Afar and Somali regions. It was concluded there was a lack of coherent design guidelines, criteria and manuals, no standard drawings and specifications, no supervision rules and manuals, only generic contract documents (FIDIC) and only random and not reliable water quality monitoring.

Due to lack of organized information services, no appreciable M&E activities existed in the three regions. In Afar, sites were thus only visited when problems were reported.

For Somali region it was mentioned as a problem that policy, strategy and legal documents had not been translated into the local language.

Annex 6 WSSP Manuals, Guidelines and Other Materials

No.	Name of tool, year of publication (if indicated)	Updated later by MoWE	Remarks
	Overall and RWSS Component		
1	Regional Rural & Urban Program Implementation Manuals (National Program Implementation Manual)		
2	Standard Tender Documents (for National tendering)		
3	World Bank Financial Manual		
5	4 Issue Papers for World Bank Program (Technical, Sanitation, Management and Supply Chain)		
6	Result Based Planning & Management Guide of the Woreda R-WaSH – 1999)		
7	Steps in Community Promotion & Selection-Flyers		
8	Community Project Cycle-flyers		
9	Baseline Data Collection Formats		
10	Community Application Form for WaSH Implementation		
11	Community WaSH Planning Guide		
12	WaSH Players & their Roles-Players		
13	Communities WaSH Application Guide		
14	Booklet for Managing O&M Money for WaSH Services		
15	Bid document for BH Drilling		
16	Hand pumps Maintenance Image		
17	Guide for trainings of WaSH Committee		
18	Community Facilitation Guide		
19	Five RWSSHP Resource Booklets (Community Application, Money Management, Technical Issues, H&S, and Facilitation Skills)		
20	WATSANCO Handbook		
21	Woreda RWSSHP Operational Manual		
22	M&E Manual		
23	NWI Manuals, Guidelines & Training Materials		
24	Urban and Rural WaSH Performance Indicators and Benchmarking		
25	WaSH Implementation Framework (WIF)		
26	Integrated Biannual WaSH reporting guideline and format		
27	Minimum H&S Manual		
28	Advocacy Document		
29	Gender Mainstreaming Manual & Guideline	Yes	
30	Trainer's Guide for training TSPs on HDW, Spring & Latrine Construction		
31	Trainer's Guide for training TSPs on caretakers training		
32	HDW, spring & latrine construction manual		
33	Trainer's guide for training caretakers		
34	Participatory tools		
35	WaSH Volunteers trainer's guide		
36	WaSH Motivator		
37	Contract Management and Supervision Manual		
38	Community Operation and Maintenance Manual		



No.	Name of tool, year of publication (if indicated)	Updated later by MoWE	Remarks
39	Training Notes		
	UWSS Component		
40	Cost Recovery Potential of WSS Systems toolkit, Sept. 2004		
41	Step one guidelines, August 2005		Used to train TSGs about activities in stepped approach
42	Stakeholders consultation		
43	Baseline Assessment		
44	Water Board Development		
45	Immediate Service Improvements		
46	Utility Operations & Management		
47	Step two guidelines		
48	Preparation of Business plan, March 2004		
49	Cost effective design, February 2007		
50	Integrated Sanitation Plan, 2006		Guidelines were prepared in 2006 by TSGs. In 2012 the guidelines were revised so as to be standardised at national level.
51	Utility financial manual, 2006	Yes	Guidelines were prepared in 2006 by TSGs. In 2012 the guidelines were revised so as to be standardised at national level.
52	Non -managerial staffs administration manual, 2006	Yes	Guidelines were prepared in 2006 by TSGs. In 2012 the guidelines were revised so as to be standardised at national level.
53	Managerial staffs administration manual, 2006	Yes	Guidelines were prepared in 2006 by TSGs. In 2012 the guidelines were revised so as to be standardised at national level.
54	Store management, 2006	Yes	Guidelines were prepared in 2006 by TSGs. In 2012 the guidelines were revised so as to be standardised at national level.
55	Town water boards working manual, 2006	Yes	Guidelines were prepared in 2006 by TSGs. In 2012 the guidelines were revised so as to be standardised at national level.
56	Performance agreement, 2006	Yes	Guidelines were prepared in 2006 by TSGs. In 2012 the guidelines were revised so as to be standardised at national level.
57	Procurement manual, 2006	Yes	Guidelines were prepared in 2006 by TSGs. In 2012 the guidelines were revised so as to be standardised at national level.
58	Billing manual, 2006	Yes	Guidelines were prepared in 2006 by TSGs. In 2012 the guidelines were revised so as to be standardised at national level.





No.	Name of tool, year of publication (if indicated)	Updated later by MoWE	Remarks
59	Operation and Maintenance, 2006	Yes	Guidelines were prepared in 2006 by TSGs. In 2012 the guidelines were revised so as to be standardised at national level.
60	Town water supply planning manual, Dec. 2008		
61	Study document on Legal and Regulatory Environment for Town Water Utilities Autonomy, Nov. 2009		Draft document
62	Performance Indicators & Benchmarking Manual, 2012		
63	Draft National guideline for Water Utility categorization, Oct. 2012		Draft document
64	Draft Water Utility tariff setting guideline, Oct. 2012		Draft document
65	Draft Guideline on Technical Service Provision to Customers, Oct. 2012		Draft document
66	Draft Guideline of organizational set up, Oct. 2012		Draft document

Source: WSSP Management Unit in MoWE, March 2013

Annex 7 WSSP Training Courses and Workshops

Most of the WSSP training courses and workshops listed below were conducted by federal level. Only limited data are available on the number of trainees/participants and the data that are available have not been disaggregated by sex.

No.	Topics of trainings / workshop, training institutions, WASH programme (sponsor), duration and year	Targeted groups	No of trainings / workshops	Total or average no. participants	Total trainees	
					Female	Male
	Overall and RWSS Component					
1	Result-based planning and management (cascaded training through TOT)	RPMU, WSGs, WWTs and CFTs, WaSHCOs	Once per year per region for three years	108 participant in 2009 and 327 participants in 2008		
2	Implementation Phase TOT (Contracting and Contract Management)	RPMU, WSGs, WWTs and CFTs, WaSHCOs	Once per year per region for three years			
3	Program Performance Monitoring and Evaluation – 2001	RPMU, WSGs, WWTs				
4	Drilling and RPS Construction Supervision	RPMU and Zones	Once (2003 EFY)			
5	TOT on Community Led Total Sanitation & Hygiene	HEWs & Supervisors	Once (2002 EFY)			
6	Regional Advocacy W/P on Acute Water Diarrheic (AWD)					
7	National Review W/P on 5 draft H&S Guidelines					
8	National TOT on Water Quality Test Kit Utilization					
9	CLTSH Verification Guideline					
10	Training on low cost latrine technology	Small scale organized cooperatives				
11	TOT on financial management					
12	Project planning and Management	Federal and RPCC members				
13	TOT on procurement					
13.1	Procurement of Works and Consultant Selection	Federal and RPCC members				
13.2	Procurement of Goods and non-consulting services	Federal and RPCC members				
14	Project Monitoring evaluation and Reporting	Federal and RPCC				
15	Environmental and social Impact assessments	Federal and RPCC				
	UWSS Component			Total participants		
16	Orientation workshop on business planning & its toolkits, April 2005	National consultants, Regional Urban Focal persons		20		
17	Orientation workshop on WSSP for Key stakeholders, 2005-2006			110		
18	TSGs Orientation workshop, May-July 2005	TSGs, RPCU staff		70		
19	Experience sharing workshop, May 2005	Water Bureaus , Ministry & World		70		



No.	Topics of trainings / workshop, training institutions, WASH programme (sponsor), duration and year	Targeted groups	No of trainings / workshops	Total or average no. participants	Total trainees	
					Female	Male
		Bank staff				
20	"Training of Trainers" workshop on business planning, December 2005	National Consultants, Regional focal persons and towns		25		
21	TSGs Orientation workshops on Business Planning, December 2005	TSGs		20		
22	Orientation workshops on draft step1 the guidelines, August 2005	Federal PMU, Focal person, FPMU, National and International Consultants, key MoWE persons		22		
23	TSGs orientation workshop on draft Step 1 guideline, August 2005	TSGs, RPCU staff, utilities & water boards		24		
24	Water Board Development					
25	Baseline Assessment					
26	Utility Operations					
27	Immediate Service Improvements Plan					
28	Stakeholder Consultation					
29	Application for Step 2					
30	Overall program Planning and inception reports					
31	Training workshop on step 1 guidance document in all Region, Sept. 2005 – Feb. 2006	TSGs, RPCU staff		103		
32	TSGs Inception report review, 2006	TSGs, RPCU staff, utilities & water boards		287		
33	Business plan guideline & tool kit review, Dec. 2006	National consultants		7		
34	Training of TSGs on step 2 guidelines	TSGs, RPCU staff		94		
35	Business Planning					
36	Cost effective design					
37	Integrated Sanitation Plan					
38	Practitioners Net Work Workshop, June 2006	TSGs, RPCU staff, utilities, water boards & MoWE, WRDF, donors, private firms		60		
39	Feasibility study reports review Workshop, 2007	TSGs, RPCU staff, utilities & water boards		150		
40	Training Workshop on Non-Revenue Water Management and Reduction, 2006	Key stakeholders		70		
41	Regional level Midterm review workshops, 2007 (urban and rural)	Representative of all WASH stakeholders		250		
42	Federal level Midterm Review workshop, 2007			100		
43	The Legal and Regulatory Environment for Town Water Utilities Autonomy, Nov. 2009	Water Bureaus, Ministry & World Bank staff, Water Utilities & Representative		70		



No.	Topics of trainings / workshop, training institutions, WASH programme (sponsor), duration and year	Targeted groups	No of trainings / workshops	Total or average no. participants	Total trainees	
					Female	Male
		water boards				
44	Training on Environmental and Social Safe Guards, Sept. 2010	Regional Water Bureaus, Utilities, Regional Environmental Bureaus, Ministry staff		35		
45	Midterm Review of MDTF supported WSSP, 2011 (urban and rural)	Federal MoWE, MoH, MoE, all Regions, water, health and education Bureaus, donors, water utilities, nat. consultants		150		
46	Performance Indicators and Bench Marking Workshop, August 2011	Utilities, Water Boards, Water Bureaus, Ministry staff		250		
47	Training on Performance indicators and bench marking, May-August 2012	Water utilities and Water bureau staff		417		
48	Training on Updated water Utilities' manuals, January 2013	Utilities, Water Boards, Water Bureaus, Ministry staff		80		
49	Operation and Maintenance					
50	National guideline for Water Utility categorization					
51	Water Utility tariff setting guideline					
52	Guideline on Technical Service Provision to Customers					
53	Guideline on organisational set up					
54	Training on Contract administration and supervision (SNNPs, Amhara, Tigray)at regional level, 2011	Technical staff from Water bureaus, Zonal Water offices		70		

Source: WSSP Management Unit in MoWE, March 2013