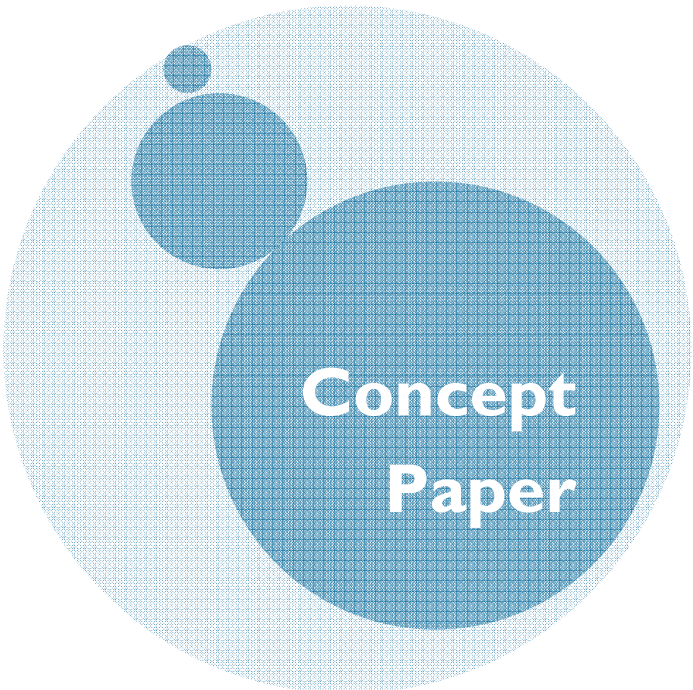
Research-inspired Policy and Practice Learning in Ethiopia and the Nile region

Governance and Planning theme:

Concept paper

February 2008



Research-inspired Policy and Practice Learning in Ethiopia and the Nile region (RiPPLE) is a five-year research programme consortium funded by the UK's Department for International Development (DFID). It aims to advance evidence-based learning on water supply and sanitation (WSS) focusing specifically on issues of planning, financing, delivery and sustainability and the links between sector improvements and pro-poor economic growth.

RIPPLE Concept papers introduce a new or existing concept, within its research themes..

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List of Acronyms

GaP	Governance and Planning theme
ICT	Information and Communication Technology
IDP	Integrated Development Plans
LPA	Learning and Practice Alliance
NGO	non-governmental organisations
SNNPR	Southern Nations and Nationalities People's region
UAP	Universal Access Plan
WASH	Water, Sanitation and Hygiene

RiPPLE Governance and Planning theme (GaP)

RiPPLE's Governance and Planning (GaP) theme started its work in Ethiopia's Southern Nations and Nationalities People's Region (SNNPR). The SNNPR Learning and Practice Alliance (LPA) brings together the most important actors in the water sector at the regional level. RiPPLE's model of LPA based action research is premised on the idea that new research about the reality on the ground can lead to responsive policy changes by those actors. This concept note represents a snapshot of where the thinking of the GaP team stood at the end of RiPPLE's inception period, and before the first round of detailed field work with the LPA in SNNPR began. The fact that there remain several outstanding areas of discussion regarding the focus of the work reflects the complexity of the subject matter and the degree to which approaches to governance are contested based, at least in part, on contextual and disciplinary perspectives. The Governance and Planning theme's concept paper continues to represent a work in progress.

The starting point for this paper and the RiPPLE GaP theme is the commitment of the Ethiopian Government, in the form of the Universal Access Programme (UAP), to ensure that by 2012 all citizens should have access to water and sanitation services according to nationally defined norms.[1] Central to this theme is the framework being used to achieve this goal: a decentralised, demand-driven and participatory approach to service provision. In this process, the state has a leading role in terms of guidance, coordination and the channelling of funds, while the main service providers are other stakeholders, such as Donor programmes, NGOs, and (to a limited extent) the private sector.

The paper begins with a brief introduction to key terms and an introduction to the focus of the GaP theme. It finally ends with an outline of the proposed lines for action research within the theme. In the first section, the main concepts and challenges surrounding the achievement of improved water governance to meet the UAP are discussed. The first section is primarily based on the GaP literature review and current discussions within the RiPPLE consortium and with external partners. The last section responds to these challenges with proposed lines of action research which should have both future policy and research implications.

[1] In rural settings, this is 15L/p/d within 1.5km.

Key Terms

'Good' Water Governance

Within the context of the RiPPLE GaP theme the term "water governance" is broadly understood as the entire set of processes by which policy makers and other actors manage their water resources, their water supply, and sanitation services. This includes who is involved in the decision-making processes, how the decisions are made (who has decision making power), and the way they are implemented.

However, 'good' governance is a contested concept and open to a wide range of interpretations. These are discussed in more detail in the GaP literature review. In recognition of this, the starting point for RiPPLE's work is an understanding of governance that encompasses both governance *outcomes* and *processes* and facilitates the operationalisation of various aspects of good governance (see Table 1).

Good governance includes positive outcomes in the areas of equity, poverty reduction, and empowerment; focusing on the rights of the poor to equitable access to water – and on the requirements of a government (and the governance system) to deliver such access. Secondly, it includes governance processes characterised by transparency, predictability and inclusiveness.

Table 1: Good Governance[2]

Outcomes	**Impact**
Equity	Some for all. Particular attention should be given to the rights and specific needs of women and of poor or marginalised social groups. Penalties for corrupt behaviour or sharp practices should be applied equitably. Water governance systems must be based on the ethical principles of the society in which it functions and on the rule of law.
Poverty reduction	Improved quality of life, health and income.
Empowerment	Recognition of rights and a voice to hold service providers accountable.
Processes	**Impact**
Transparency	Decisions and the information upon which they are based are clear and accessible. Water institutions should use language understandable to the general public. Water policy decisions should be transparent and accountable, particularly regarding financial transactions.
Predictability	The process by which decisions are made is understandable and logical.
Inclusiveness	Mechanisms exist for all stakeholders to play a role in decisions that affect them. Wide participation should be ensured throughout the water project management cycle, from visioning to implementation and evaluation.

Decentralisation

Decentralisation is commonly used as an umbrella term for various (contested) political and administrative processes (see Box 1) and generally refers the transference of power and/or

[2] Adapted from the EMPOWERS booklet version 21/9/2007

responsibility to lower institutional levels. There are at least three main flavours, namely, democratic decentralisation, deconcentration or administrative decentralisation, and fiscal decentralisation. Privatisation can, arguably, be added to these (see Box 1).

Democratic decentralisation is the devolution of power and resources to lower levels of authority, which in turn are representative of and accountable to citizens. Unless otherwise indicated, decentralisation will refer to democratic decentralisation in this document.

However, it should be noted that the Ethiopian decentralisation process is a mixture of these different flavours. While the understanding of what constitutes appropriate and effective decentralisation differs, the assumption that decentralisation in some form is a good thing is not widely contested among actors in Ethiopia.

Box 1: Dissecting decentralisation[3]

Political or democratic decentralisation: This occurs when powers and resources are transferred to authorities representative of and downwardly accountable to the local level. Democratic decentralisation aims to increase public participation in local decision making. Democratic decentralisation is in effect an institutionalized form of the participatory approach, it is a "strong" form of decentralisation from which theory indicates the greatest benefits can be derived.

Deconcentration or administrative decentralisation: This concerns transfers of power to local branches of the central state, such as préfets, administrators, or local technical line ministry agents. Deconcentration is a "weak" form of decentralisation because the downward accountability relations from which many benefits are expected are not as well established as in democratic or political forms of decentralisation.

Fiscal decentralisation: This is the decentralisation of fiscal resources and revenue-generating powers. It is also often identified by many analysts as a separate form of decentralisation. While fiscal transfers are important, they constitute a cross-cutting element of deconcentration and political decentralisation, rather than a separate category.

Privatisation: This is the permanent transfer of powers to any non-state entity, including individuals, corporations, NGOs and so on. Privatisation, although often carried out in the name of decentralisation, is not a form of decentralisation. It operates on an exclusive logic, rather than on the inclusive public logic of decentralisation

Participation

Participation is understood as citizens and/or water users playing a significant role within a governance 'structure'. This can vary along a spectrum between passive participation and self-mobilization (see Table 2). Within RiPPLE, full participation entails having an effective voice in decisions affecting the services used and resources relied upon. In Ethiopia, especially within the context of democratic decentralisation, participation is a widely accepted paradigm for achieving good governance.

[3] Adapted from Ribot 2002 (p ii-iii)

Table 2: The participation ladder[4]

1. Passive Participation	People participate by being told what is going to happen or has already happened. It is a unilateral announcement by an administration or project management without listening to people's responses. The information being shared belongs only to external professionals
2. Participation in Information Giving	People participate by answering questions posed by extractive researchers using questionnaire surveys or similar approaches. People do not have the opportunity to influence proceedings, as the findings of the research are neither shared nor checked for accuracy.
3. Participation by Consultation	People participate by being consulted, and external people listen to views. These external professionals define both problems and solutions, and may modify these in the light of people's responses. Such a consultative process does not concede any share in decision-making, and professionals are under no obligation to take on board people's views.
4. Participation for Material Incentives	People participate by providing resources, for example labour, in return for food, cash or other material incentives. Much on-farm research falls into this category, as farmers provide the fields but are not involved in the experimentation of the process of learning. It is very common to see this called participation, but people have no stake in prolonging activities when the incentives end.
5. Functional Participation	People participate by forming groups to meet predetermined objectives related to the project, which can involve the development or promotion of externally initiated social organisation. Such involvement does not tend to be at early stages of project cycles or planning, but rather after major decisions have been made. These institutions tend to be dependent on external initiators and facilitators, but may become self-dependent.
6. Interactive Participation	People participate in joint analysis, which leads to action plans and formation of new local institutions or the strengthening of existing ones. It tends to involve interdisciplinary methodologies that seek multiple perspectives and make use of systematic and structured learning processes. These groups take control over local decisions, and so people have a stake in maintaining structures or practices.
7. Self-Mobilisation	People participate by taking initiatives independently of external institutions to change systems. They develop contacts with external institutions for resources and technical advice they need, but retain control over how resources are used. Such self-initiated mobilisation and collective action may or may not challenge existing inequitable distribution of wealth and power.

Planning

Within the GaP theme, planning is understood as the formal framework and process by which a problem is understood, possible solutions identified and prioritised, actions undertaken, impacts assessed, and lessons learned. Planning should be cyclical as lessons learned should feed back into an iterative and adaptive decision-making process.

The ability to plan effectively, as well as to implement and follow up on plans represents a crucial skill set for good governance. This link is the focus of the next section. Furthermore, the quality of the planning process and outcomes can serve as an indicator of overall ability to provide services.

[4] From Pretty et al.

Global experiences

While decentralisation, the current Ethiopian political process, is an age old concept, there has been a trend towards strong decentralisation processes (see Box 1) across much of the developing world and the African continent since the early 1980s. While most decentralisation processes involve a mix of various forms, political decentralisation is the form most commonly, but not exclusively, associated with improved governance. In general, both practitioners and politicians set great store in the participation of users and citizens in decentralised governance. Most debates in development circles on participation tend not to be about *whether* participation is desirable but rather *how* to achieve it and how to make it effective, legitimate and efficient. Although decentralisation and participation are dominant paradigms within international development, the various implementations and successes of these approaches for service delivery and improved governance have been contested.

The motives behind decentralisation vary substantially and some are roughly summarized in Table 3.

Table 3: Drivers for decentralisation

Motives	Perspective	Typical subscribers	Comments
• Poverty reduction, • Improved services	Pragmatic	donors, CSOs, central government	
• Reduced central government expenditures • Devolved responsibility of service provision from the central government to other actors	Pragmatic	central government, private sector, multilateral development banks	These drivers are sometimes used as an alibi to reduce the accountability of the central government for failed service provision and thereby reduce political liability.
• Increased democratic representation • Local empowerment	Political	CSOs, local governments	

In essence, pragmatists tend to look at decentralisation through the window of increased impact on poverty and improved service provision, assuming that the transfer of decision making and financial resources from central to local government will lead to better delivery of poverty reducing services. Donors of all complexions typically subscribe to pragmatic versions of decentralisation, focussing on the need to 'get the job done' – where the job is typically interpreted as bringing new services to poor people. Many central governments are also motivated by a pragmatic desire to divest themselves of the practical (and fiscal) responsibility of providing services and thereby reduce political liability for failed service. From the political perspective, the focus is on the empowerment of (local) people with the view that decentralisation leads to government which is closer, more responsive and more accountable to citizens. Especially, NGOs and civil society groups subscribe to a political understanding of decentralisation.

While the trend to decentralise service provision is apparent, particularly in rural areas, considerable debate exists around whether decentralisation is working. The overarching theoretical basis for the decentralisation of service provision is clear – that decision making about services should take place as close as possible to the level of the users to ensure greater accountability, demand responsiveness, context specificity and flexibility, but there is very little empirical data to show whether decentralised

services are necessarily of a higher quality and/or more sustainable. This debate will be summarized in more detail in the following sections.

For this reason the RiPPLE GaP theme will seek to increase an empirical understanding regarding the challenges and opportunities of decentralisation in Ethiopia through action-research, while reflecting on global experiences.

Emerging challenges

An assumption of the GaP theme is that decentralisation and participation are essentially political processes, embarked upon by multiple actors with multiple (sometimes conflicting) viewpoints. Within such a context, improvement can only be understood within the context of locally owned and agreed criteria, some of which exist already (for example, at least partially, in the form of the UAP), but some of which will undoubtedly need to be developed. This will pose much of the challenge to the GaP theme and the RiPPLE LPAs.

In addition to the high level challenge of developing a vision of improved governance and garnering commitment, there are a number of over-arching challenges that can be identified from global experiences of decentralisation and participation. Among the most important challenges are:

- Fulfilling the need for a legally defined space for citizens and civil society organisations to interact with local government and the need for effective mechanisms to involve citizens in water governance,
- The need for adequate capacity (financial, human, physical) within local government – and other intermediate level actors,
- Resolving the tension between integrated and sectoral planning at the decentralised level.

Defining an arena for involvement

It is a challenge to ensure that the potentially numerous users of water services are adequately and meaningfully represented in decision making. Global experience points strongly to the need for citizen involvement in service provision to be underpinned by enabling legislation that creates the 'arena' within which this their involvement can take place. Without policy, legislation and procedures, which clearly identify the level of participation desired, clear points at which citizen input is required, and the mechanisms by which it should take place, the systematic involvement of citizens becomes impossible or left to the whim of those managing the decision making processes. This is particularly true where, for historical or other reasons, citizens may be wary of involvement with the government. Besides the clarity of mechanisms, a second challenge is to ensure that it is legitimate and accepted by major actors.

On the one hand, there is a tendency for government to prefer formal representation through local democratic structures such as elected councillors. On the other, many civil society organisation prefer to create alternative platforms for mass participation. Somewhere between the two extremes lie sector specific local governance structures such as water user committees. These have the advantage of being both democratically elected (and, ideally, legally recognised) as well as more involved in the specific area of interest, WASH, than councillors or other primarily political figures. Without formal mechanisms for user/citizen representation, local participation will at best succeed only in those 'islands' where it is supported by engaged actors, such as NGOs and other local

providers. Finally another way of strengthening citizen engagement that is being promoted is a rights based approach which tries to strengthen participation from bottom up within the current policy framework.

Local capacity

Particularly from the pragmatic perspective, decentralisation is presented as a means of making government provision of services more effective and responsive to people's needs. Yet in practice, without adequate local capacity, decentralisation is no more than shifting of the responsibility for failure to deliver services from the central to local governments. Therefore, capacity and the motivation of local government officials are critical for good governance. Without this local capacity, participation and accountable decision-making cannot be taken for granted.

Closely tied to the discourse of decentralisation is the assumption that local government's role should change from one of only provider to one of enabler, facilitator, regulator and manager of the processes of resource management and service provision. This change in role requires specific capacities that are seldom the ones that exist in the offices of technical line ministries at the local level. Turning engineers and technicians into facilitators and process managers is not a trivial change process.

The experience of GaP theme LPA members, suggests that there is a need to differentiate between required changes in capacity. On the one hand there are **absolute** changes in the number of people available to do the job, financial resources and material capacity. On the other hand, there are also **behavioural** changes in people and institutions. Broadly speaking the type of changes needed reveal a fault line between middle income and poor countries. In middle-income countries, the absolute basis of capacity is more often sufficient – in terms of trained personnel, budgets, vehicles and so on. In this case, it may be legitimate to talk of a change process that is primarily about behavioural and attitudinal changes.

In poorer countries, the initial absolute basis of local capacity cannot be assumed to exist. It is then much more difficult to talk of behavioural change processes, as the raw resources (people, finances, hardware) are simply not there. NGOs and donor projects often provide the missing capacity in the name of getting the job done, but with well known and widely acknowledged negative implications for sustainability and scalability.

It is against this background of deficient absolute capacity that 'community management' is often put forward in the WASH sector as a solution. In this environment, it is sometimes promoted as a key component of the decentralisation process. Yet, here too, there is a growing body of experience to show that while capable of much, communities are not capable of taking on all aspects of service provision by themselves, and that decentralisation in which community management is a component part must deal explicitly with the need to support community management structures.

In short, decentralised service provision requires capacity at decentralised levels to undertake the main roles required in planning and implementing services: problem identification, vision development, budgeting, monitoring and information management, and so on. These are often not the skills of the professionals found at the most local level, and there is often an absolute lack of local level capacity in the number of people required to do the job. Developing and maintaining local capacity remains one of the greatest challenges of decentralisation.

Integrated and sector planning at the local level

South Africa's Integrated Development Plans (IDP) are an illustrative example of a decentralised governance system, with local government expected to identify needs, and plan for services, across a number of key areas (health, education, water, transport). However, in practice, there is often a tension between the need to integrate between sectors at the local level and the maintenance of vertically integrated sectoral structures within line ministries. This is particularly exacerbated where line ministries have their own budgets or where specific sectoral priorities are given their own budgets by donors. This tension is found on the local scale across countries where decentralisation is taking place and is unlikely to be resolved as there will always be (legitimate) interest in prioritizing certain sectors over others. However, an important challenge is to find mechanism to minimize the tensions to moderate level, including through effective communication.

In addition, even where there is commitment to a more integrated approach to service delivery, the practical implications of having to coordinate the actions of a multitude of different actors each with their own expectations and ways of working poses huge challenges. Indeed there is some evidence that facilitating improved communication vertically between administrative levels and horizontally between different actors is a key element of improved water governance.[5]

[5] The EMPOWERS approach to water governance, developed by IRC and other partners, rests on two pillars. One of which is Stakeholder Dialogue. The other pillar, which is used to structure and give direction to the dialogue, is a water management cycle, supported by a set of analytical and planning tools. (Moriarty et al, 2007).

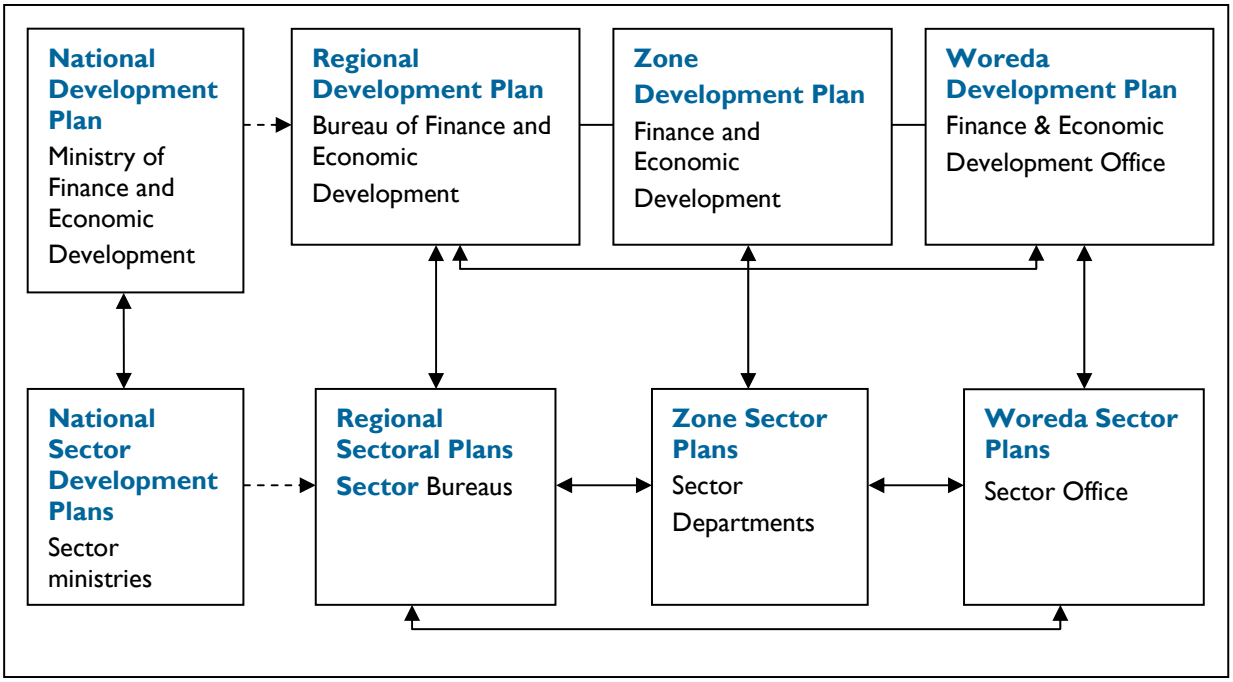
Water governance and planning in Ethiopia

Having presented some of the main challenges to decentralisation and participatory planning identified globally, this next section examines these within the Ethiopian context based on information from the initial scoping phase of the RiPPLE project.

Ethiopia is a federal system with a decentralised model of governance, under which the state is divided into ethno/cultural regions. Within these regions the key platform for decentralised government is the woreda level, and, in the larger regions, the zonal level. While political decentralisation began already in 1994, much of framework for decentralized service provision – and particularly for planning – remains work in progress, with precise roles and responsibilities of different actors at different levels variable, overlapping and sometimes poorly understood.

As part of this process of decentralisation and change, the Ethiopian government has introduced a new model of decentralised, bottom up and participatory planning, in which the woreda is the primary level for the development of integrated plans, fed by demand from the kebele. Under this new approach, planning follows a complex process of integration and disaggregation at woreda, zonal, regional and national level to come to a set of integrated and sectoral development plans. The conceptual flow and linkages between plans at the different levels is illustrated in the diagram below.

Figure 1: Sectoral and integrated development plans at different administrative levels in Ethiopia, and the links between them



The broken lines show the technical exchanges and the unbroken lines show administrative linkages and interactions. (MoFED, 2004/05)

Within the water and sanitation sector, this planning process is expected to contribute to the overarching needs of Ethiopia's Universal Access Plan – which specifies that by 2012 all citizens

should have access to services according to nationally defined norms (in rural settings this is 15l/p/d within 1.5km).

At this early stage of the development of the new planning process in the WASH sector, planning remains mainly sectoral and top-down based on 'strategic plans' developed for a region by consultants or NGOs in collaboration with government, and derived from national UAP. However, work on a bottom-up demand-led planning process is ongoing, most notably through the activities of the World Bank's woreda Support Groups as part of the Water Supply and Sanitation for Ethiopia programme (see Box 2). An important element of the World Bank programme is the creation of capacity building units within the Regional Water Bureaus, and the creation of private sector 'woreda Support Groups' to guide the process of participatory sector planning within pilot woredas.

Box 2: The World Bank's Water Supply and Sanitation Project for Ethiopia

The objective of the World Banks US$120 million Water Supply and Sanitation Project for Ethiopia is increased access to sustainable water supply and sanitation services, for rural and urban users, through improved capacity of stakeholders in the sector. There are three project components.

- Component 1 provides funding (i) to increase the capacity of participating woredas to effectively manage their rural water supply and sanitation programs, (ii) to increase the capacity of participating communities to effectively manage their water supply and sanitation facilities, and (iii) to ensure that well functioning water supply schemes are in place in participating communities.
- Component 2 provides funding (i) to increase the capacity of participating water board committees and operators to effectively manage their water supply and sanitation facilities, and (ii) to ensure that well functioning and properly utilized urban water supply systems and improved sanitation are in place in participating towns and cities.
- Component 3 is designed to support improvements to monitoring and management of water resources management at the federal and regional levels.

Source : http://web.worldbank.org/external/projects/main?pagePK=64312881&piPK=64302848&theSitePK=40941&Projectid=P076735

Key challenges and opportunities in Ethiopia

Some of the key challenges facing decentralised service provision in RiPPLE and identified during the initial phases of the project are presented below as well as the opportunities within and outside of the RiPPLE programme to meet these.

Capacity constraints

Probably the single biggest challenge to decentralised service provision is posed by the extreme lack of human capacity and other resources, particularly at the level of the woreda. The reality of fiscal decentralisation, as experienced by woreda government staff, is one in which annual planning and budgeting is largely decoupled from financial resources received.

Annual plans may include budget allocations usually cover little more than local salaries and some office operating costs[6]. They do not stretch to vehicles and support for ICT capacity is also limited. The picture regarding human capacity is similarly challenging: woreda water desks are typically staffed by 3-5 diploma (occasionally degree) level professionals.

This leads to a situation in which almost all implementation is carried out by either NGOs or donor projects, with a greater or lesser degree of involvement by woreda staff, while operation and maintenance is expected to be carried out by the community of users. Thus, in practice, services and, especially capital investment programmes for new infrastructure, are provided by a range of non-state providers.

GaP discussions with sector stakeholders suggest that, at its worst, this can lead to a parallel system of governance and service provision, in which government plans for resources that do not exist and third parties implement systems outside of government planning frameworks and financial channels. When gaps in government capacity are filled by NGOs, but on a largely ad-hoc basis, it appears that insufficient attention is given to requirements for long term support for the communities and the services. Thus, an improved understanding of the range of actors and capacities involved in providing services within target woredas and regions will be an important research opportunity for RiPPLE.

The World Bank woreda Support Groups are another initiative to meet at least some of this challenge by creating capacity within the private sector to undertake many of the planning functions, which traditionally are the responsibility of the government. What is not clear is what this model offers in terms of increased sustainability over the existing one. Given the chronic inability of either government or donors to provide sufficient finance to cover current costs, it is unclear whether the finance is available to cover private sector provision and whether this could lead to inequity among users. Concerns also remain as to how Woreda Support Groups, based at the regional level, will play a role in the decentralised planning model, which bases service provision primarily at the woreda level.

[6] It is noted that this represents the current situation, during a volatile period in which much donor support has been disrupted due to the suspension of budgetary support in 2005, and the realignment of aid flows towards 'protection of basic services' type activities. Nevertheless, while this has had a disrupting influence it is clear that this represents only some of the mismatch between vision (as expressed in plans) and reality found on the ground.

Information and communication

As part of the general lack of capacity, computerised information management systems for collecting, handling and using data are limited to the regional level and largely non-existent at the woreda level. There is a general trend to develop GIS systems at regional levels, although this is often reliant on one-off donor supported interventions to collect basic data, which quickly goes out of date without follow up data collection. ICT at the woreda level is very limited – particularly in sector desks while regional Finance and Economic Development (FED) desks are invariably the best staffed and resourced – down to the latest plasma screens!

While on paper the flow of information and communication relating to planning and service levels - from Kebele, to woreda to Regional level – is logical, in practice communication is intermittent, with few woredas having the resources to maintain an up to date inventory of the status of the local systems for service provision. As with other elements of the formal planning system, little effort seems to have been invested in understanding or spelling out the capacity requirements, especially long-term, of the planning and service provision systems chosen.

The identification of capacity constraints and ways to augment this capacity for better water governance will be considered by the GaP theme, which will also work in close cooperation with the RiPPLE Communication theme.

Limited coordination of stakeholders

In principle, within the Ethiopian context all non-government actors work within an overall framework provided by government. Coordination is assured by Finance and Economic Development officers at the regional. However, initial discussion and investigation suggest that the reality and theory differ. Rather, the coordination is mostly assigned to different actors at the level of the woredas. In the field and in private conversation, regional governmental staff refer to either 'World Bank woredas' or 'UNICEF woredas' due to the obvious differences in the way each type of woreda is managed, clearly based on the influence of the development partner. Within the woredas, the huge difference between the human and financial resources available to the development partners and local government mean that de-facto decision making is most often by the development partners – with the degree of involvement of government staff largely a question of preference and working modalities of the different agencies involved. In particular, this poses problems when it comes to the long-term maintenance of installed infrastructure as the respective responsibility of government, community and NGOs is often poorly defined (see next point).

The GaP theme will research what factors motivate and discourage different stakeholders from engaging in decentralised governance and service provision as well as how they understand their roles in WASH governance. These lines of research in should help clarify how coordination between actors can be improved in order to develop a predictable planning environment. The LPA will also help tackle this, if only by improving lines of communication between WASH sector actors.

Planning for implementation of new schemes only

The focus of planning within the water sector is almost solely on capital investment for the construction of new schemes and some very limited rehabilitation of older schemes. As mentioned previously, operation and maintenance of existing schemes is assumed to be the sole responsibility of the community. Yet neither international, nor local experience supports this as a realistic approach

to service provision; a survey in the SNNPR found ~20% of installed systems to be out of order. While community management has been demonstrated to be an effective approach for reducing overall costs and increasing sustainability there must be some backstopping to make it work since communities cannot do it all by themselves.

The long term sustainability of the Ethiopian governance and planning frameworks for WASH service delivery is a challenge which cannot be met solely on the basis of donor and NGO based projects. As such, the GaP theme will need to take a long term perspective when evaluating the baseline for good governance.

Little participation in strategic planning

Given that the drive for increased participation is sometimes seen as coming primarily from civil society organisations and capital investment is largely led by donors and NGOs in the WASH sector, it is not surprising that some element of community participation in the implementation of water supply projects and programmes is the norm. However, the level of involvement is short of strategic engagement, typically limited to participation in informational meetings and in being provided with aid to develop capacity for managing a system provided by external agents. Emphasis is given to developing capacity for operation and maintenance after 'hand-over'.

Strategic involvement by local stakeholders in decision making concerning the type of system or level of service has been limited. Transparent involvement in the development of strategic plans at woreda level has to date been largely absent. At the national level in the formal planning system, there is no explicit involvement of Kebele stakeholders in the work of prioritisation. Rather, demand from the Kebele level is aggregated and prioritised at woreda level. This represents a challenge to the systemic engagement of local people.

The barriers to greater involvement of citizens in strategic planning of their services will be an area of further RiPPLE investigation. One aspect of this investigation will be to characterise the level of resources and capacity required for participation. In practice, it is very difficult for woreda level staff to visit kebeles that are not close to woreda offices and there are no resources for kebele level actors to travel to woreda offices. There is anecdotal evidence from discussion and scoping visits of a general lack of skills at the woreda level to manage participatory planning processes.

Another, albeit challenging, focus will be to help develop a clear and generally shared and integrated ‘model’ or ‘picture’ of what decentralised service delivery should look like – identifying in broad terms the roles and responsibilities of different actors and the requirements in human, financial, and material resources to undertake and maintain such a system.

Summary of Global and Ethiopian Experiences

Experiences from around the global, as well as from Ethiopia, offer up a number of important observations and interdependent challenges for decentralised governance, which will have to be born in mind and actively addressed by RiPPLE.

Ethiopia's decentralised framework for integrated planning is based on an assumption of citizen and community participation in the development process. It does indeed provide a limited space for citizen involvement but specific mechanisms are largely lacking. On one hand, creating a space for citizen involvement in planning requires making their involvement 'relevant' to all actors. On the other hand, if water users are likely to take part, they must feel that their investment of time and effort leads to direct improvement of their access to water and sanitation services. This is, most notably, a challenge for the early involvement of the poorest and most marginalised since participation is voluntary and unremunerated. Improving citizen's awareness of their rights and strengthening their ability to have a voice in the institutional framework is one approach being promoted by NGOs, such as WaterAid, for enhancing collective citizen engagement in planning and implementation. Regardless, citizen and stakeholder participation in the complex multi-level planning system with a mix of integrated and sector-based planning is likely to be challenging to implement in practice.

The framework for integrated planning provides an attractive picture of overall harmonization between different sectors and levels for the development of strategic plans. However, as the current reality is a rather fragmented resulting in an ad-hoc decision making process determined by resource availability and the interests of development partners, achieving the necessary "buy in" of partners to support a truly integrated framework provides a major challenge.

In addition, capacity is severely lacking as the decentralised planning model adopted by Ethiopia is extremely demanding in terms of both human and institutional capacities and in terms of both knowledge and process management. In response to the limited capacity in government circles, especially at the woreda level, there are currently several initiatives being trialled. Besides the traditional NGO and donor support provided to woredas, private sector participation through Woreda Support Groups is an approach currently being trialled by the World Bank on a large scale.

Thus, a fundamental challenge remains the identification of incentives for good water governance and the capacities required by the whole range of actors, from citizens up to the federal government, to engage in integrated manner within the Ethiopian development framework.

Action research on Governance and Planning in RiPPLE

This section outlines the action research process that will be carried out by the GaP theme during the remainder of RiPPLE.[7]

Action research assumptions

The overall approach adopted by RiPPLE is carrying out research that is embedded in a Learning and Practice Alliance (LPA) consisting of the major WASH stakeholders at different institutional levels.

Thus, the difference between what is being researched (the governance of the sector) and those who are doing the research (the actors involved in governing the sector) blurs and this poses a particular challenge to the Governance and Planning theme. Conventional research, emphasising distance and objectivity of the researcher, becomes nearly impossible in this context. Rather, the role of the researcher is understood as that of a facilitator in a process of self-discovery, enhanced by the diversity and breadth of actors in the LPA.

In RiPPLE, the LPA is the site of new research generation as well as the means to ensure the uptake of research findings in practice. This rests on a number of key assumptions. There should be a willingness among members of the LPA and in the water sector to generate, together, new understandings of challenges and opportunities. There should be a willingness to search for and implement contextually appropriate solutions to identified problems in a coordinated manner. Most importantly, there must be a strong interest among key stakeholders to take part in an open-ended process.

Action research direction

As a result of considerable discussion within RiPPLE and the GaP theme, it has been concluded that there should not be a single hypothesis for the GaP theme due to the diversity within the RiPPLE partnership and the very complex and contested nature of governance. Rather than presenting a single hypothesis, a number of desired outcomes for action research, and leading research questions have been identified and are presented below.

Expected action research outcomes

Desirable outcomes of the action research under the GaP theme have been identified in consultation with LPA members. Within the target regions and woredas, the following outcomes are sought,

- strengthened governance of water resources and WASH services measured against a range of indicators to be defined for both governance *processes* and *outcomes*[8]*;*
- improved capacity of communities to take part in strategic planning and, subsequently, in the management of their services
- improved awareness among citizens of their responsibilities and right to WASH services and a strengthened voice to effectively claim these rights;

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[7] Since the first draft of this concept note, the approach and aims of the research in the GaP theme have undergone considerable modification. Most importantly, the use of case studies aims to bring greater analytical depth to the selection of priority areas for long-term action research.

[8] The governance outcomes include equity in service provision, poverty reduction, and empowerment. The governance processes include transparency, predictability, and inclusiveness.

- improved service provision, both in the sustainability of services and the satisfaction of users; and
- implementation of locally developed, adapted and tested approaches to tackling governance-related problems and formalised in the form of guidelines

These outcomes are currently expressed in a qualitative format but they will be specified and operationalised based on the findings of initial research. This initial research aims at establishing a baseline, which both captures the current practice and measures the impact of governance and planning on WASH services and water resources.

Leading research questions

The following list of research questions will help to guide the implementation of the action research over the next few years of RiPPLE. These will be further refined during the initial case study work:

- What is the potential for more streamlined and coordinated provision of WASH services given the different constraints affecting stakeholders?
- How do principle stakeholders understand their roles and responsibilities within decentralised WASH governance?
- What factors motivate (and discourage) different stakeholders from engaging in decentralised WASH governance and service provision?
- What mechanisms and incentives exist to encourage citizen participation in governance (and planning) – how can these be strengthened?
- What factors already exist that can be augmented for the implementation of the UAP (capacity, awareness, financial resources etc), and what needs to be developed?
- What factors enable communities to become more aware of their rights and responsibilities and more able to demand provision of WASH services?
- How can enhanced user participation be made cost effective and stronger in its contribution to effective improvements in WASH service provision.

Implementation of the action research

This section sets out in broad terms the main steps for implementing the Governance and Planning theme in RiPPLE.

Step 1) Identify and map experiences

This step relates primarily to the literature reviews ongoing at the international and national levels. These reviews will continue throughout the project and will contribute to the development of an accessible knowledge base on WASH governance, decentralisation and participatory planning.

Step 2) Establish learning and practice alliances

An LPA was formally established in SNNPR after the meetings in May and September 2007. The main areas for initial research have been agreed upon as well. In this step, two focus woredas have been

chosen in SNNPR, Mirab Abaya and Alaba, and an initial plan for action research by the LPA and its Research Group detailed.

Step 3) Develop case studies to prepare for long term action research

Between November 2007 and March 2008, two case studies will be carried out in SNNPR in the woredas of Mirab Abaya and Alaba. The first of these will look at the implications of the Universal Access Plan and SNNPR's own strategic plan in terms of stakeholders' knowledge, attitudes, and practices. It will also evaluate the financial and logistical requirements to meeting these plans. The second will focus on understanding the factors surrounding the sustainability of existing water supply schemes within both woredas; particularly as this relates to the governance of water services. The aim of the two case studies is to develop a detailed baseline picture of how water services are currently being supplied in these areas and what the challenges are for the current models of service provision and recent policy. The case studies will provide an important starting point from which to reformulate and specify the main GaP research questions and a baseline against which to measure the research outcomes. [Concept notes for the two case studies are included in annexes 1 & 2]

Step 4) Long term action research studies (LARs)

Based on the results of the case studies, a number of priority areas for further in-depth action research will be identified in collaboration with the LPA. This action research will investigate key research questions in more detail in order to help achieve the desired outcomes. Monitoring key indicators of behavioural change will continue during the LARs to help assess the impacts of the research on key governance indicators and outputs – as identified in the research directions.

Step 5) Reporting and communication

If the action research is to achieve its wider objectives in terms of policy impact and uptake, adequate reporting and communication of research findings will be essential. This will be true at both the level of the LPAs within SNNPR and the two focus woredas, but also within the other RiPPLE regions and nationally. The GaP team will work closely with the communication theme to ensure that findings are presented in an appropriate manner to audiences at the different levels – from local to international.

Annex 1: Case study on Scheme sustainability (concept note)

Introduction

The Ethiopian Government (subsequently the Regional Governments) has adopted its National Water Resources Management Policy in 1999. The overall goal of the Policy is to enhance and promote "efficient, equitable and optimum utilization of water resources" for sustainable socio-economic development. It recognizes water as an economic good and encompasses water supply and sanitation (WSS), irrigation and hydropower sub-sectors. One of its main objectives for the WSS sub-sector is to ensure that every Ethiopian citizen has access to water of acceptable quality to satisfy the basic human needs.

The rural water supply and sanitation program implementation arrangements reflect the policy objectives of decentralisation to lowest possible level, involvement of all stakeholders in the process, integration of sanitation with improvements to water supply and recognizing water as an economic as well as social good. Accordingly, the primary responsibility for implementation of rural water supply and sanitation improvements will rest with woredas and communities. The Regional Water Bureau is also providing technical support as needed. The Rural Water Supply and Sanitation Program (RWSS) component is getting support from various sources, and various stakeholders are directly and indirectly involved with different roles and responsibilities.

The water supply and sanitation coverage of the region was 20% in 1994/'95 (1987 EC). In the first five year plan (1988--1992 E.C) the coverage was raised to 45% in the rural, and 60% in the urban areas (BoWRD, 2007). However, recent documents (2006/'07) of the SNNP Bureau of Water Resources indicate that as of the year 2006, the average regional water supply coverage reached to 54% (urban: 64% rural: 49%).

In the region there are 1304 hand dug wells, 1678 shallow wells, 421 deep wells, 2686 spring developments with distribution points and 255 Springs with net work distributions that are constructed by the regional government and several NGOs in the past years (BoFED, 2007). These schemes are assumed to benefit about 6,953,649 people. The number of schemes by type and functionality for Alaba and Mirab Abaya is presented in Table 1. While the efforts made so far both by the GOs and NGOs are commendable, there is a general agreement that theses schemes are not fully functional and providing the anticipated services as intended in their planning and construction phase.

In the SNNPR Learning and Practice Alliance establishment workshop in Awassa, there was a general consensus on the factors affecting sustainability and grouped into institutional, technical and financial factors. The institutional factors include existence of organizational systems and capacity within community institutions managing water supply systems, such as WaSHCos, existence of backstopping support to community institutions, linkage with local governments and higher service providers. They also include systems of accountability between users and WaSHcos, between WaSHcos and local government or other higher level service providers giving backstopping support to community institutions. The technical factors include the use of locally appropriate technology, access to supply chain of materials, the capacity for technical management within community institutions and existence of technical backstopping support. The financial factors involve the willingness and ability of users to pay for services, existence of financial systems and capacity to manage with in community institutions managing the water supply system and the existence of financial backstopping support.

Table A1: Total number of water schemes by type and functionality for Alaba and Mirab Abaya woredas

Type of Water schemes	No of Schemes		Functioning schemes	
	Alaba	M. Abaya	Alaba	M. Abaya
Hand dug well (HDW)	0	11	0	5
Machine shallow well (MSW)	0	33	0	24
Deep Bore-Hole (DBH)	26	6	22	4
Protected small & medium spring	0	7	0	7
River intake (RIT)	0	0	0	0
Total	*26*	*57*	*22*	*40*
Water supply coverage in percent	*63*	*27.38*		

Sources: Regional Statistical Abstract. June, 2006

This sustainability case study will focus on understanding existing functionality and service level of water supply schemes in Alaba and Mirab Abaya woredas, identifying factors impacting on sustainability following a bottom up approach.

Objectives of Case Study

The major objective of the sustainability case studies is to assess the sustainability of the water schemes. It will investigate whether user communities will continue to use the new scheme after the project implementer has phased out and are willing and capable to face the challenges, or whether they will resort to previous habits in response to hardware (e.g. taps etc) or software (e.g. WASH committees) failure.

The specific objectives of the case studies are to:

- Assess the functionality and service level of existing water supply schemes in Mierab Abaya and Alaba,
- Examine the institutional, technological (including environmental factors) and financial factors impacting on sustainability of schemes;
- Examine links between participatory planning, social accountability, governance and scheme sustainability
- Identify issues for best practice guidelines for development practitioners to bring about improved sustainability

Research questions and *indicators*

No	Research questions	Indicators
1	What is the functionality and service level of existing water supply schemes in Mirab Abaya and Alaba?	**Proportion of schemes functioning** (type of scheme technology, Number of beneficiary of the scheme, number of non-functional schemes (hand dug well, gravity pulled etc..), design period of the scheme, service life span, Number of beneficiary and type of water use (domestic or productive), Number of watershed management projects in the area, water quality test records,
		Proportion of schemes providing satisfactory service (distance of the schemes from the users dwelling, water volume per household, time spent to fetch water), how soon systems are maintained after failure (Reliability), how soon systems fail after construction.
2	What are the **Institutional** factors impacting on sustainability of schemes?	**At community level** (WaSHcos selection, composition, incentives, duration, term, financial manual, bank account, legal entity of WaSHcos, clear monitoring and reporting system to users, audit system, book keeping, (transparency), community capacity to manage the systems (skills and trainings).
		at woreda level/ backstopping support (structural linkage between WaSHcos and woreda/ higher level support, regular follow up and supportive supervision, plans of the woreda water desk – does it include support to WaSHcos expressed in budget and human power, enforcement of agreement between WaSHcos and woreda water desk).
3	What are the **Financial** factors impacting on sustainability of schemes?	revenue against expense of WaSHcos, how is water fee set- tariff setting – taking account of vulnerable groups, how are decisions reached to set fees, investment cost of the different schemes, maintenance cost, timely auditing, source of investment and maintenance cost, sourcing of fund for major and minor maintenance cost, Saving of WaSH Cos for expansion and new schemes, saving for depreciation.
4	What are the **Technical factors** impacting on sustainability of schemes?	**supply chain** Number of suppliers at woreda and regional levels, availability and timely accessibility of spare parts, presence of local private suppliers, price of spare parts, system of revolving fund, sourcing mechanism to cover price of spare parts,
		User friendly design technology that can be managed by local capacity, how many are locally maintained, Number of external support requested, feasibility study document (population growth, water volume, quality of water),
		Capacity at community level Number of trained WaSHCos, Number of training to WaSHCos. on technical issues, equipment at WasHCO level and woreda level, awareness and promotion to WaSHCos.
		Technical backstopping Number of times visited by service providers, Number of annual supervision, Number of schemes maintained by the woreda and the region, Number of trainings given to WaSH Cos., (exist strategy for NGO managed schemes), Number of properly handed over projects, implementation as per the design which type of schemes and hardware parts often face failures

Methodology

As indicated in the RiPPLE project document and Governance and Planning team concept note, an important purpose of this research is not only the assessment of the sustainability of the water schemes, but the opportunity to indicate the future focus area of the LAR that is expected to follow.

Apart from the more quantitative (human resource, physical, material and financial) aspects of measuring scheme sustainability, the qualitative points which are key to the evaluation of the schemes' performance that are considered to constitute important inputs for future long-term research projects would be carefully reviewed and assessed. Some of the main ones include the gender and environmental sensitivity of scheme planning, prioritization and implementation and monitoring/evaluation, level of satisfaction, etc.

The Case Study will be undertaken over a period of 6 months by a research group made up of key LPA members, supported and guided by the RiPPLE GaP theme. RiPPLE sponsored IDR students, consultants, woreda and regional facilitators, government staff from the LPA on secondment basis and NGOs. World vision of MirabAbaya (Kefyalew), land use admin and natural resource department in agriculture and rural development office in both woredas, regional agricultural research institute, BoWR, BoAgri and rural Dev, hygiene and sanitation department in BoH, SNV (Selamawit), Plan international, zonal level BoWR, BoH, BoARD will be potential resource persons. It will try to link and coordinate with SNV, which is working on sustainability of water supply schemes and sanitation facilities in Alaba and Mierab Abaya, to reduce duplication of efforts. It will also link with the mapping team when it does water point mapping in the two woredas.

The specific methods and instruments to be used for the collection of data and other information for the research will include:

- **Documentation Review:** of all available documents regarding water schemes plans and implementation, monitoring and evaluation documents at woreda and regional levels. Sustainability principles and concepts will be also consulted.
- **Institutional and stakeholder mapping:** roles and responsibilities of different stakeholders? How do different organisations/stakeholders interact?
- **Resource mapping:** developing a detailed overview of the human, physical, and information resources available for service provision. This will include all actors: government, NGO, donor and private sector.
- **Field Visits/observations:** of operations and activities that are relevant to sustainability of water schemes will be made by the team to develop a holistic perspective, i.e., an understanding of the context within which the schemes operated in each water point.
- **House Hold survey and Focus Group Discussions:** Additional information, or information to supplement the documentation review and necessary to get a deeper understanding of the issues will be collected on the basis of interviews and discussions to be conducted with what are considered the main stakeholders of the projects.

It is proposed to prepare and use checklists to guide the interviews and discussions. The checklists will be developed in accordance with the specific objectives and the indicators presented in the above table. The checklists will be prepared after the researchers' team has had opportunity to review at least the most important documentation available, and hold a preliminary discussion with the major stakeholders

at zonal and woreda levels. It will obviously be logical to develop the checklists in such a way that would facilitate a direct response of the different stakeholders – a possible approach is the preparation of separate checklists by stakeholder groups but limiting the number to avoid cumbersome paper work.

Logistics

- Local consultant and enumerators
- Vehicle
- Flip chart, stationary, voice recorder, rain coat, digital camera, Topo Map, GPS, laboratory service for water quality testing,

Outputs

The main outputs of the study will be

- Case study reports (RiPPLE working paper) of the two woredas.
- Identification of LAR;
- Series of short presentations and briefings to the LPA members; and
- Short reports from each individual piece of work – posted on web-page

Annex 2: Case study on Challenges to achieving the Universal Access Plan in SNNPR (concept note)

Ethiopia's UAP, and by extension SNNPR's Strategic plan envisage a radical increase in coverage of water supply and sanitation services over the next three (SP) to five (UAP) years. These plans will be implemented under a new and fast evolving model for decentralised governance and service delivery. Despite the step-change in delivery implicit in the plans, no systematic assessment has been made of the change requirements inherent in achieving them: in institutional arrangements; knowledge and behaviour; or human and physical resources.

The list of governance related challenges identified in the SNNPR strategic plan (see box), is typical of those that have come out during GaP theme LPA meetings and situation analysis.

Internal weaknesses of the sector include:

- non participatory, non responsive and unaccountable nature of the existing leadership,
- inadequate integration of activities,
- inadequate monitoring and evaluation,
- low implementation of the previous strategic plans,
- limited human resource capacity and commitment,
- inadequate and inefficient management of financial resources,
- inadequate and poor management of material resources including vehicles,
- poor information access and dissemination

External threats to the sector

- low stakeholder participation and coordination (community, private sector, NGOs etc),
- high investment cost in some areas,
- poor community management of water resources and facilities,
- inappropriate technology choice,
- limited knowledge and information,
- instability after the election,

Governance related weaknesses and threats identified in SNNPR SWOT analysis

While there is widespread agreement that lack of integration is a particularly severe problem, this remains a relatively unstructured list, with no clear prioritisation of challenges. Nor indeed does a clearly articulated governance or service delivery model exist to clearly identify the roles and relationships between different stakeholders.

This concept note for a six month study of '*governance challenges to achieving universal access in SNNPR*' is intended to deepen shared understanding of the explicit and implicit challenges and requirements for change that lie behind the UAP and SNNPR plans.

Case study objectives and key research questions

The primary objective of the case study is to give greater depth and detail to the identification of challenges facing WASH sector governance in SNNPR. Rather than representing an end in itself, the case study is an important step in identifying high priority areas for long-term action research. Equally important is creating a shared baseline and common understanding among LPA members, and

as such the case study is likely to have an impact upon some of the weaknesses being investigated – for example lack of coordination.

This is an important point. By choosing to look at governance through action research by an LPA a feedback loop is created in which the act of carrying out research can be expected to impact upon the subject of the research. This in turn implies the need to identify and assess key governance related indicators early on in the process, so that change can be measured and assessed against the overall GaP hypothesis (that action research in a learning alliance can lead to improved sector governance). Such indicators will, therefore, be built into the case study.

In summary, the objectives of the case study are:

- To assess the current system for planning and delivering services, and significant differences between what is planned and what is delivered
- To deepen understanding of the key governance challenges faced by the WASH sector in meeting the demands of UAP
    - To develop an understanding of the network of actors, roles and linkages between them.
    - To identify the necessary requirements to fulfilling such roles
- To create a shared understanding among key stakeholders (members of the LPA) of priority challenges for further long-term action research

The research will be guided by a single overarching question, namely:

- **Is the model of service provision implicit in the UAP and SNNPR strategy realistic within the existing political, social and economic environment, and if not, what adjustments are likely to be necessary to make it so?**

This will be addressed under a number of sub-questions:

- What are the formal roles and responsibilities in service provision of different actors, and their rights and accountability towards each other?
- What are the implications of these roles and responsibilities in terms of requirements for financial resource and KAP (capacities)?
- What are the main drivers for different stakeholders to take part in decentralisation processes?
- How does the planning system work, in policy and practice; and how has planning diverged from implementation over the last five years?
- Where are the current weak points and blockages – and how can these be overcome?
- What are the incentives and barriers to different stakeholders engaging in decentralised WASH governance and what is the potential for more streamlined and coordinated provision of WASH services, given the different constraints affecting stakeholders?

Research focus and methodology

The case study will pay particular attention to the governance aspects of achieving the UAP objectives where, by governance, we mean the manner in which key decisions are taking regarding service provision. Decisions that include, but are not limited to: choice of technology and service level; expenditure on capital works; prioritisation of needs (and targeting of the poorest); responsibility for operation, maintenance; rehabilitation and expansion of systems. The case study will dig into: who is involved in making decisions, how the decisions are made, how transparent is the process, and how accountable are stakeholders for decisions taken.

As a framework for this analysis the case study will look in detail at the theoretical and actual application of different planning processes for water services, at regional, zonal and woreda level; by government and non-government actors. It will take a broad view of planning that includes the preparation of plans, but also their implementation, monitoring and assessment. Equally, it will look at planning for both initial system construction, and also for longer term sustainability.

The reason to take the planning (and budgeting) processes as the focus for this work is that they provide a practical framework for anchoring more intangible concerns surrounding governance. By examining the processes used for planning, it should be possible to unpack a wide range of critical issues relating to the research questions.

Methodology and main activities

The Case Study will be undertaken over a period of 6 months by a research group made up of key LPA members, supported and guided by the RiPPLE GaP and Financing themes.

To ensure anchoring of the work within the LPA, feedback workshops will take place at the beginning, mid-point and end of the work.

The research will take place primarily at regional, zonal and woreda level – however by linking with the *sustainability* case study it will stretch to community level.

The research will take place under a number of broad activity headings:

- **Institutional and stakeholder mapping:** who is doing what, where? How do different organisations interact?
- **Resource mapping:** developing a detailed overview of the human, physical, and information resources available for service provision. This will include all actors: government, NGO, donor and private sector.
- **Desk analysis of strategic and annual plans:** and budgets for the region, zone and woreda
- **Budget tracking:** of actual and planned sector spending by all stakeholders for previous 5 years
- **Trend analysis:** of WASH coverage over past 5 years (or more)
- A major component of the work will be **a survey of Knowledge, Attitudes and Practices** of key stakeholders. This will serve not only for the case study, but also as a baseline for the LPA in SNNPR. The survey will cover a representative sample of key service providers (government, NGO, WSG) and through the *sustainability* case also WASHCOs and water users:

- Understanding of own role, and of links to others
- Own appreciation of ability to fulfil role
- Appreciation of others ability to fulfil their roles
- Understanding of WASH planning (including monitoring of existing services), and of own and others role in it
- Appreciation of level of involvement in planning, and of effect of decisions made on own actions (i.e. do they take part in planning – and do they subsequently carry out the planned actions)
- Appreciation of degree to which planning is reflected in action (by self and others)

The case studies will make use of variety of tools, both quantitative and more qualitative and working with individuals and small groups. Tools will include:

- Budget analysis
- Resource mapping
- Semi-structured interviews
- KAP survey
- Focus Group Discussions
- Problem tree analysis
- RAAKS (a range of tools for stakeholder knowledge mapping)

The case study will be supported by an information collection exercise that will at regional level: identify and create a knowledge base of all relevant information at regional, zonal and woreda level (including: maps, reports, plans, and budgets); and, describe the process of developing the SNNPR strategic plan (who was involved, who was informed, etc.). At national level a background analysis of PASDEP and UAP will be undertaken.

Outputs

The main outputs of the case study will be a series of short presentations and briefings to the LPA members. Other outputs will include:

- Short reports from each individual piece of work – posted on web-page
- A baseline KAP survey of key actors – backed by database of key-informant interviews
- Case study report (RiPPLE working paper)
  - Including clear identification of LAR