

# COMMUNITY-LED ACCELERATED WASH (COWASH) PHASE III (8/2016-7/2019)



Effective and sustainable  
WaSH services

## INCEPTION REPORT

(DRAFT)

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ADDIS ABABA, JANUARY 2017

DISTRIBUTION OF THE REPORT: EMBASSY OF FINLAND, MoWIE, MoFEC,  
MoH, MoE AND ALL 5 COWASH REGIONS

# ACKNOWLEDGEMENTS AND PREFACE

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This Inception Report has been prepared by the Federal Technical Assistance Team (FTAT) of Community-Led Accelerated WASH (COWASH) Phase III. The report is purposely written as short as possible in order to make it reader-friendly. There are several documents prepared by FTAT during the Inception Phase. These documents are also published in the COWASH web-page <http://www.cmpethiopia.org/page/2104>. The CMP web-page provides also other relevant sector information the reader may need in the process of fact finding for COWASH and CMP.

The Inception Phase of COWASH Phase III (August 2016 - January 2017) took place during a period when other relevant WASH developments in Ethiopia took place. All these developments had great impact to the planning of COWASH Phase III:

- One WASH Monitoring and Evaluation (M&E) project start-up including the One WASH Impact Assessment baseline data collection
- Start-up of the GTP II second year implementation and the water GTP II was published
- Start-up of 2 major projects financed by the USAID:
  - Low-land WASH project (focusing on Afar and Somali regions)
  - Transform WASH project (focusing on sanitation marketing)
- Full scale implementation of One WASH-Consolidated WASH Account (CWA) Program
- Parallel development of School WASH strategies and guidelines by the Ministry of Education (MoE)
- Parallel development of Hygiene and Environment Health Strategy, Household Water Treatment and Water Quality Monitoring Guidelines by the Ministry of Health (MoH)

The readiness of the regions to continue the implementation of CMP approach was encouraging.

The COWASH Technical Assistant Team is thankful to the Ministry of Water Irrigation and Electricity (MoWIE) for providing excellent working facilities and working environment for the FTAT. The Team also thanks MoWIE staff for the encouragement and assistance during the Inception Phase. Great thanks are also extended to the Embassy of Finland for the innovative and empowering work for the development of the WASH sector in Ethiopia as future member of the One WASH-CWA Program board and the Embassy's tireless role in development of the Community Managed Project approach in particular.

We would also like to thank all the other federal ministries for their warm welcome of COWASH Phase III. Our special thanks go to regional bureaus, zones and Woredas as well as to Regional Support Units, who eagerly and open-mindedly have demonstrated the CMP approach in the regions. Our appreciation is also addressed to development partners in Ethiopia such as the World Bank (WB), African Development Bank (AfDB), and DFID, UNICEF, USAID, SNV, WaterAid Ethiopia, Plan Ethiopia, IRC-WASH, World Vision International, Oxfam International and many others in their supportive role for COWASH during the Inception Phase. Last but not least, our great thanks go to the Ministry for Foreign Affairs of Finland as well as Ramboll and Niras Finland for their continuous support, understanding and encouragement.

Addis Ababa in February 20, 2017

Arto Suominen (CTA) and the COWASH Technical Assistance Team

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20. COWASH Launch Workshop

21. Revised ToR for Regional Support Units

## Abbreviations and Acronyms

Abbreviation	Interpretation
AfDB	African Development Bank
BoANR	Bureau of Agriculture and Natural Resources
BoE	Bureau of Education
BoFED	Bureau of Finance and Economic Development
BoH	Bureau of Health
BoW	Bureau of Water
BSGR	Benishangul Gumuz Region
CDS	Capacity Development Specialist
CLTSH	Community-Led Total Sanitation and Hygiene
CMP	Community Managed Project
CMPS	Community Managed Project Specialist
COWASH	Community Led Accelerated WASH in Ethiopia
CSA	Central Statistics Agency
CTA	Chief Technical Advisor
CWA	Consolidated WASH Account
DA	Development Agent
DFID	Department for International Development (UK)
EA	Enumeration Area
EFY	Ethiopian Fiscal Year
ETB	Ethiopian Birr
EUR	Euro
FTAT	Federal Technical Assistance Team
GIS	Geographic Information System
GMSES	Gender and Micro and Small Enterprise Specialist
GoE	Government of Ethiopia
GoF	Government of Finland
GTP	Growth and Transformation Plan
HEW	Health Extension Worker
HOC	Home Office Coordinator
IRC	International Resource Center
KWT	Kebele WASH Team
M&E	Monitoring and Evaluation
MFA	Ministry for Foreign Affairs (of Finland)
MFI	Microfinance institution
MIS	Management Information System
MoE	Ministry of Education
MoFEC	Ministry of Finance and Economic Cooperation
MoH	Ministry of Health
MoU	Memorandum of Understanding
MoWIE	Ministry of Water, Irrigation & Electricity
MSE	Micro and Small Enterprise
MSF	Multi-Stakeholder Forum
NRM	Natural Resource Management

<b>Abbreviation</b>	<b>Interpretation</b>
NWCO	National WaSH Coordination Office
NWSC	National WaSH Steering Committee
ODF	Open Defecation Free
O&M	Operation and Maintenance
OWNP	One WASH National Program
RPS	Rural Piped Scheme
RSU	Regional Support Unit
RWS	Rural Water Supply
SERCRSM	Social, Environmental and Climate Risk Screening Management
SM	Sanitation Marketing
SNNPR	Southern Nations & Nationalities Peoples Region
ST	Short Term
STC	Short Term Consultant
TA	Technical Assistance
ToR	Terms of Reference
ToT	Training of Trainers
TVET	Technical Vocational & Educational Training
UNICEF	United Nations Children’s Fund
WASH	Water supply, Sanitation and Hygiene
WASHCO	Water Supply, Sanitation and Hygiene Committee
WMP	Woreda Managed Project
WoANR	Woreda Office of Agriculture and Natural Resources
WoE	Woreda Office of Education
WoH	Woreda Office of Health
WoW	Woreda office of Water
WSP	Water Safety Plan
WSSD	Water Supply and Sanitation Directorate
ZoW	Zonal Office of Water

## PROJECT PROFILE

Project Title	Community-Led Accelerated WASH(COWASH), Phase III	
Sector	Social Development	
Sub-sector	Water, Sanitation and Hygiene	
Project Area	76 Districts of five Administrative Regions of Ethiopia (Amhara, Tigray, SNNPR, Oromia & BSGR)	
Duration	Phase III from August 2016 to July 2019	
Project Financing	Total (Grant)	EUR 40 Million (the agreement) + 1.3 Million roll over
		ETB 909 Million
	Government of Finland(GoF)	EUR 12.7 million (the agreement) + 1.3 Million roll over
		ETB 308 Million
	Government of Ethiopia(GoE)	EUR 23.3 Million
		ETB 513 Million
Beneficiary Community	EUR 4 Million	
	ETB 87 Million	
Competent Authorities	Ministry of Finance and Economic Cooperation(MoFEC) at Federal level	
	Bureau of Finance and Economic Development (BoFED) of Amhara, Tigray, Oromia, Southern Region and Benishangul-Gumuz National Regional States	
	Ministry for Foreign Affairs of Finland (MFA)	
Lead implementing agencies and programme oversight	Ministry of Water, Irrigation and Electricity (MoWIE) Water Resources Development Bureaus of Amhara, Tigray, Oromia, Southern Nations & Nationalities Peoples and Benishangul-Gumuz National Regional States in association with regional WASH partners: Bureau of Health (BoH) and Bureau of Education (BoE) and Bureau of Women Affairs (BoWA)	
	National WASH Steering Committee, Regional WASH Steering Committee, Zone WASH Team, Woreda WASH Team	
Overall Objective	To achieve universal access to WASH in the rural areas of Ethiopia	
Project Purpose	To support the acceleration of Universal Access Plan-rural water, sanitation and hygiene targets attainment through the establishment of an enabling environment and the implementation of CMP interventions in selected rural areas of Ethiopia	
Exchange rate	1 EUR equals to 22 ETB	

## 1 EXECUTIVE SUMMARY

COWASH Phase III Project started in August 2016. The project will last for three years and is operational in 76 districts (Woredas) of the five regions of Amhara, Tigray, SNNP, Oromia and Benishangul Gumuz. COWASH Phase III is very much a continuation of COWASH Phase I & II (2011-2016), but it includes new components such as women-led business development in WASH, mainstreaming of the people with disabilities in WASH and social, environmental and climate risk screening and management. The total budget of COWASH Phase III is 40 Million EUR from which EUR 12.7 million (32 %) is covered by the Government of Finland, EUR 23.3 million (58 %) is covered by the Government of Ethiopia and EUR 4 million (10 %) is contributed by the communities.

Each region signed a financing agreement with the Government of Finland. Capacity building funds from the Government of Finland are transferred directly to the Regional Finance Bureaus, who are the competent authorities at the region level. At Federal level the competent authority is the Ministry of Finance and Economic Cooperation. Federal ministries and regional bureaus of water, education and health are implementing authorities of COWASH. The project is steered at federal and regional level by the WASH Steering Committee.

The federal level technical assistance team housed in the Ministry of Water, Irrigation and Electricity facilitates the overall implementation and capacity building of COWASH. Regional Support Unit staff employed by the regional water bureaus facilitate the regional COWASH implementation and capacity building. The regional WASH bureaus and woreda WASH offices are responsible for COWASH implementation at community level.

COWASH Phase III main aim is to improve the health and livelihood of the rural population in the 76 COWASH woredas through the following WASH sector interventions:

1. Contribute to the increase of rural water supply access coverage from 64 % by 2008 EFY to 72 % by 2011 EFY
2. Contribute to the increase of school water supply access coverage from 42 % by 2008 EFY to 52 % by 2011 EFY
3. Contribute to the increase of health facility water supply access coverage from 21 % by 2008 EFY to 34 % by 2011
4. Facilitate the construction of 4,669 rural community water supply schemes serving an estimated population of 625,370 by 2011 EFY
5. Facilitate the construction of 457 school water supply schemes 330 health facility water supply schemes by 2011 EFY serving close to 74,500 beneficiaries
6. Contribute to the increase of school water supply latrine access coverage from 41 % by 2008 EFY to 43 % by 2011 EFY
7. Contribute to the increase of health facility latrines access coverage from 50 % by 2008 to 56 % by 2011 EFY
8. Facilitate the construction of 1,760,499 household level latrines by 2011 EFY
9. Facilitate the construction of 159 school and 199 health facility latrines by 2011 EFY
10. Contribute to the reduction of water supply on-functionality from 11 % by 2008 EFY to 8 % by 2011 EFY
11. Facilitate the rehabilitation of 841 water supply schemes by 2011 EFY serving 115,866 rural people by 2011 EFY
12. Facilitate the establishment of 26 sustainable women-led micro businesses in sanitation marketing, water supply maintenance and spare parts selling by 2011 EFY
13. Improve the gender mainstreaming and increase the number of women in WASHCOs and in leadership positions of WASHCOs
14. Introduce the mainstreaming of disabled people into WASH and ensure that the people with disability have an access of WASH services

In inception phase baseline data collection was carried out. The study area consisted of 24 woredas. A total of 1,930 rural households were selected for the survey: 560 in Amhara, 350 in Tigray, 250 in SNNPR, 420 in Oromia and 350 in Benishangul Gumuz sample woredas

Gender focus of COWASH Phase III is to further intensify the achieved results to the level of bringing women to leadership positions in WASHCOs and in WASH focused business enterprises. In order to achieve the envisaged result, COWASH has designed a gendered WASH approach in order to bring



positive impact on the livelihood of women and men. One part of the gendered WASH approach is to establish women-led WASH businesses for sanitation marketing and rural water supply maintenance. The initiative brings pioneer business women with leadership positions in WASH sector so that more women and youth will be attracted in the WASH business.

COWASH phase III aims to increase the awareness, understanding and capacity of relevant stakeholders in the WASH sector at all levels. All water and sanitation facilities built should be accessible for all and People with Disabilities should be increasingly included in the community WASH activities. COWASH has planned strategic action steps to be taken in order to make COWASH

In order to improve the project's efficiency COWASH planning and reporting database system was developed to be used in regular COWASH monitoring and reporting. Regional COWASH staff was trained for the use of the database in the beginning of February 2017. Furthermore the result framework was revised to accommodate and serve the COWASH III effective monitoring and implementation.

The present regional level capacity building funds can facilitate only the implementation of rural water supply schemes for 625,000 new beneficiaries although the planned number of new beneficiaries in the project document was 1 million. The capacity and potential built in the COWASH woredas in Phase I & II can accommodate more implementation if additional capacity building funds can be found.

The committed investment budget allocated from Benishangul Gumuz Region is inadequate to facilitate the achievement of set water and institutional sanitation construction targets. A project proposals need to be prepared to call for the support from other financiers to address the extensive need of the community for improved water and institutional sanitation infrastructure in the region.

## 2 BACKGROUND AND SITUATION UPDATE

The goal or expected impact of COWASH Phase III Project is "*improved health, women's equal access to and control over WASH management and related entrepreneurship in the program areas by 2019*". The achievement of the goal is measured by the reduction in under 5 mortality per 1,000 live births in target woredas, and by reduction in under 5 diarrhea incidences in target woredas.

Project objective (larger outcome) is to contribute to the achievement of the second Growth and Transformation Plan (GTP II) targets for WASH sector in Ethiopia by 2019 by using Community Managed Project (CMP) approach. This larger outcome is measured by the

- (i) Improved Rural Water Supply Access Coverage in GTP II standard contributed by all actors,
- (ii) Contribution of COWASH in Community Water Supply Access Coverage in GTP II standard,
- (iii) Improved School Water Supply Access Coverage contributed by all actors,
- (iv) Improved Health Facilities Water Supply Access Coverage contributed by all actors,
- (v) Contribution of COWASH in School Water Supply Access Coverage,
- (vi) Contribution of COWASH in Health Facilities Water Supply Access Coverage,
- (vii) Increase of School Improved Latrine Access Coverage contributed by all actors,
- (viii) Increase of Health Facilities Improved Latrine Access Coverage contributed by all actors,
- (ix) Contribution of COWASH in School Improved Latrine Access Coverage,
- (x) Contribution of COWASH in Health Facilities Improved Latrine Access Coverage
- (xi) Increased proportion of rural households using Improved Latrine in COWASH woredas supported by all actors
- (xii) Increased percentage of verified ODF rural Kebeles in COWASH woredas supported by all actors

In **annex 1** the Goal (Expected Impact), Objectives (Larger Outcome), Outcomes (Sub-Outcomes) and Expected Outputs for each Outcome and their indicators, federal and region level targets and assumptions are presented in detail in the revised Project Result Framework and Monitoring Plan. Newly developed project outcomes, revised from the original Phase III project document, are the following:

1. Increased climate resilient community and institutional water supply access coverage (GTP II standards, including water quality) in the target Woredas in 5 Project Regions by 2019
2. Increased community, institutional sanitation & hygiene access coverage (GTP II), in the target Woredas in 5 program Regions by 2019
3. Increased functionality and sustainability (O&M) of built WASH facilities through improved service delivery in the target Woredas in 5 project Regions by 2019
4. Women's empowerment, leadership and inclusion of people with disabilities achieved through WASH related activities in the 5 project Regions by 2019
5. Project Implementation effectively managed

COWASH Phase III framework bi-lateral agreement between Finland and Ethiopia was signed between the Ministry of Finance and Economic Cooperation (MoFEC) and the Ministry for Foreign Affairs (MFA) of Finland on March 9, 1989. For the actual implementation of COWASH the bi-lateral agreement was signed for COWASH Phase III on May 13, 2016 and the COWASH Project Document for Phase III annexed to the bi-lateral agreement will govern COWASH implementation.

COWASH Phase III is implemented in Amhara, Tigray, SNNP, Oromia and Benishangul-Gumuz regions. Separate regional bi-lateral agreements were signed between MFA and BoFED of each region as follows.

Amhara: July 21, 2016  
Tigray: July 21, 2016  
SNNPR: Aug 09, 2016  
Oromia: July 27, 2016  
BSGR: July 21, 2016

Separate technical assistance provision agreement was signed by the MFA with Ramboll Finland consulting company July 25, 2016. In each region Regional Water Bureaus employ Regional Support Unit (RSU) which facilitates the COWASH implementation in regions. Each regional sector bureau will assign COWASH focal person to lead COWASH implementation in the sector area and Regional Water Bureau will assign a Project Coordinator (Director) who is responsible to integrate and coordinate COWASH implementation with five regional bureaus namely:

1. Bureau of Finance,
2. Bureau of Water,
3. Bureau of Health,
4. Bureau of Education and
5. Bureau of Women Affairs.

At woreda level the Woreda Water Office is the main office to coordinate COWASH implementation and Water Office nominates a CMP Supervisor to facilitate and coordinate COWASH implementation and Woreda Finance, Health, Education and Women Affairs offices assign a woreda level focal person for COWASH.

The funds for physical implementation (investments) and most of the operational costs are allocated from the regional governments. Finland's contribution is mainly used for physical and human capacity building including the payment of RSU costs.

The figure 1 below illustrates the organizational and legal establishment of COWASH Phase III.

### BI-LATERAL ARRANGEMENTS OF COWASH PHASE III

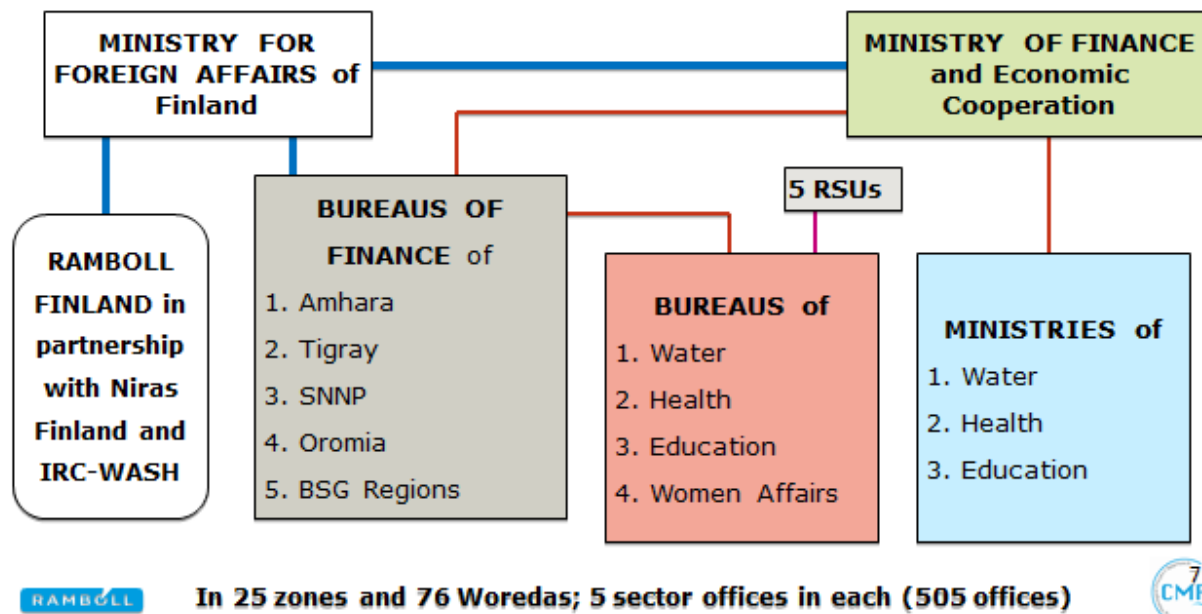


Figure 1: COWASH Phase III bilateral arrangements

In CMP implementation the Micro Finance Institutions (MFIs) are used to transfer the implementation funds to the user communities. In COWASH the user communities are responsible for procurement and construction management of their WASH facilities. The National WASH Implementation Framework (WASH strategy) approved by the Federal Government and development partners includes CMP implementation modality as one of the four implementation modalities. In the implementation of the strategy the Ministry of Finance and Economic Cooperation (MoFEC) has requested that in CMP implementation modality the funds shall be transferred to beneficiary communities through Woreda Finance Office and the use of MFIs is not accepted. Furthermore, the Public Finance and Procurement Directives do not recognize community-groups as eligible organizations to receive and use Public Funds. The CMP Implementation Manual for Communal and Institutional Water and Sanitation implementation has been revised to follow the Public Finance and Procurement Systems so that CMP could be implemented nationwide using the Public Funds. The revised manual has been submitted in February 2015 by MoWIE for MoFEC approval to be part of the Consolidated WASH Account System and related Program Operational Manual.

The map of COWASH project districts are presented in Figure 2 below.

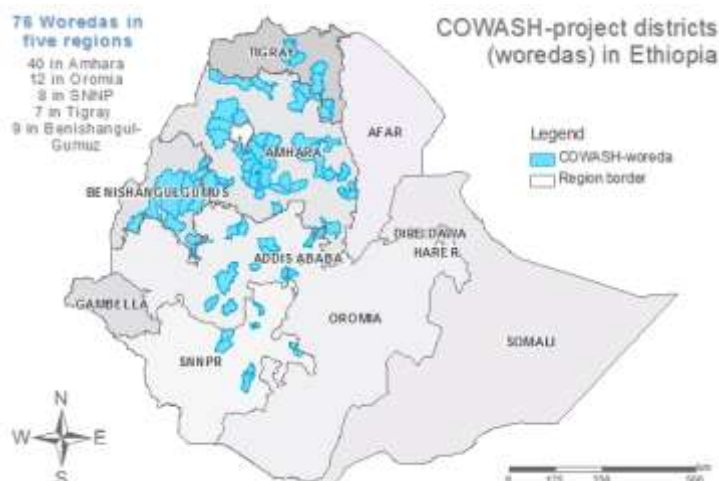


Figure 2. COWASH Phase III intervention Woredas in 5 regions

The Federal TA Team (FTAT) is housed by the Water Supply and Sanitation Directorate (WSSD) in MoWIE. The WSSD with the help from the RWS Coordinator facilitates the effective provision of COWASH support to regions. WSSD supervises the activities of the FTAT.

The FTAT through the CTA is accountable to the Director of the WSSD. FTAT works closely with the Federal One WASH Management Units of Water, Health and Education and with National WASH Coordination Office (NWCO). Other relevant Directorates in MoWIE with whom COWASH is working closely are Women Affairs Directorate, Geo-Information and Information Technology Directorate, Micro & Small Enterprises Development Mainstreaming Unit, Hydrology & Water Quality Directorate and Research and Development Directorate.

FTAT is governed with the internal COWASH Management Unit formed from three technical assistance team members of: Chief Technical Advisor, CMP Specialist and Capacity Development Specialist.

### 3 OVERVIEW OF THE WORK CARRIED OUT DURING INCEPTION PHASE

#### 3.1 MOBILIZATION OF COWASH PHASE III AT FEDERAL LEVEL

The mobilization of the COWASH Phase III started in July 2016. The overview of the work carried out in the mobilization/inception stage is<sup>1</sup>:

- Recruitment of the Federal Technical Assistance Team. The Federal level staffing plan for COWASH Phase III is presented in **Annex 4**.
- Development of the detailed federal technical assistance budget plan and federal technical assistance work plan for the Phase III. The detailed federal technical assistance budget plan is presented in **Annex 2** and the federal technical assistance work plan for Phase III is presented in **Annex 3**.
- Development of the responsibility matrix for the division of sanitation responsibilities in COWASH Phase III. The responsibility matrix is presented in **Annex 5**.
- Development of the revised COWASH Phase III Result Framework and Performance Monitoring Plan. This plan is presented in **Annex 1**.
- Development of the COWASH Phase III Risk Management Plan according to the new guideline for the bi-lateral program implementation provided by the Government of Finland (**Annex 6**).
- Development of the Training Standards for all COWASH training events at federal, regional, zonal and Woreda levels and distribution to regions (**Annex 7**).
- Preparation of training schedule to train the COWASH regional staff and to be executed by the Federal Technical Assistance Team (**Annex 8**).
- Revision and improvement of WASHCO Procurement Guideline to be adopted by each region and approved by BoFED for CMP implementation in the regions (**Annex 9**).
- Carrying out high tech CMP implementation assessment done so far in Phase I and II and based on the assessment developing recommendations for CMP high tech implementation in COWASH Phase III (**Annex 10**).
- Development of a strategy on gender programming in COWASH Phase III including action plan for gender programming (**Annex 11**).
- Assessment of ongoing business development in WASH implementation and based on that an initiative for the implementation of Women-Led Micro and Small Enterprise Development for spare parts supply, maintenance service and sanitation marketing was developed (**Annex 12**).
- Assessment of potential partners in disability mainstreaming and development of a disability mainstreaming strategic plan for COWASH Phase III (**Annex 13**).
- Development of a Guideline on Social, Environmental and Climate Risks Screening and management planning (**Annex 14**). Regional staff for its use was trained.
- Development of a criteria for the selection of water supply schemes for rehabilitation (**Annex 15**).

<sup>1</sup> All Annexes can be found from the CMP web site: <http://www.cmpethiopia.org/page/2104>

- Development of COWASH Phase III performance monitoring database system (**Annex 16**) and training regional staff for its use.
- Development of the preparedness plan for the Ramboll on COWASH project. This plan was prepared on the request from the MFA and is for possible upcoming emergency situations in Ethiopia (**Annex 18**).
- Development of the data-base system for the updating of the WASH facility data to be used in mapping and training of the regional staff for its use.
- The COWASH III kick-off meeting was conducted in October 4, 2016 (**Annex 19**).
- COWASH III Launch workshop was conducted in November 24, 2016 (**Annex 20**).
- Revised the Regional Support Unit ToR to reflect the existing situation and to align with the Consolidated WASH Account posts and salary scales (**Annex 21**).
- Preparation of COWASH Phase I and II completion report.
- Preparation of two quarterly reports of 2009 EFY focusing on the federal progress as regional reports were not made available

### 3.2 MOBILIZATION OF COWASH PHASE III AT REGION LEVEL

The overview of the work carried out at region level is:

- Five Regional Support Unit staff was recruited to support COWASH implementation at region level.
- All five Regional COWASH III financing agreements were signed between the MFA and Regional BoFEDs.
- Five regional plans for 2009 EFY (7/2016-6/2017) were prepared and approved by the Regional WASH Steering Committees.
  - Amhara Region Plan as **Annex 17a**
  - Tigray Region Plan as **Annex 17 b**
  - SNNP Region Plan as **Annex 17 c**
  - Oromia Region Plan as **Annex 17 d**
  - BSG Region Plan as **Annex 17 e**
- The regional financial balances of COWASH Phase II were calculated and remaining GoF funds in the regions were transferred to Phase III.
- All five regions completed the rolled over projects from COWASH Phase II during the first two quarters of 2009 EFY.

## 4 OVERVIEW OF THE BASELINE DATA TO BE COLLECTED

A multi-stage cluster sampling method is employed to select the respondents. The sampling procedure is designed in a way that sample households are representative of groups of Woredas in the five regions of the project. The primary sampling units are project Woredas selected proportional to size of rural population of the Woredas. In the second stage, rural Kebeles within the selected Woreda were randomly selected. At the third stage, clusters (Enumeration Areas, EAs) were selected by Central Statistical Agency (CSA) from the sample Kebeles. In the last stage, 20-25 rural households in the sample EAs (Secondary Sampling Units) were selected using systematic sampling method. For the purpose of selecting households from the EAs, afresh list of households in the EA was prepared by the consultant in collaboration with the kebele administration and village level key informants. This new list served as a Sampling Frame for the household selection by employing systematic sampling technique.

WASH data was also collected from community water supply schemes that the rural households in the selected EA are using. In most cases, there is only one community water supply scheme in an EA. However, if there was more than one community water supply scheme in an EA, all of them were considered for data collection. If there was no any water supply scheme in an EA and rural households are benefiting from a scheme outside of the EA, the consultant considered all the nearby water supply schemes that the households are getting potable water.

All schools and health facilities in the selected Kebeles were the target of the survey. It is known that there are two institutions (1 school and 1 health facility) in a rural kebele. If there was no any school or

health facility in a selected kebele, institutions nearby that the people of the selected kebele are using were considered for data collection. Moreover, if there are more than one schools or health facilities in a sample kebele, data was collected from all of these institutions as per the data collection tools developed by COWASH.

The study area consisted of 24 woredas. The number of households per woreda vary according to size of rural population in the woredas. A total of 1,930 rural households were selected for the survey: 560 in Amhara, 350 in Tigray, 250 in SNNPR, 420 in Oromia and 350 in Benishangul Gumuz sample woredas.

COWASH prepared data collection tools and pre-tested them in Dire Enchini Woreda of Oromia region in June 2016. The following were the tools used for the data collection:

1. Baseline Household Survey Questionnaire
2. Community Water Supply Scheme Inspection Questionnaire
3. Health Facility Baseline Data Collection Questionnaire
4. School Baseline Data Collection Questionnaire
5. Kebele Key Informant Questionnaire used for kebele level focus group discussion with kebele WASH team, religious leaders, youth and women's associations in the selected kebele
6. Woreda Key Informant Questionnaire used for Woreda level focus group discussion with Woreda WASH team

## 5 CHANGES IN THE IMPLEMENTATION ENVIRONMENT DURING THE INCEPTION PHASE

Major challenges during the 2009 EFY 1<sup>st</sup> quarter implementation were the social unrest and violent demonstrations in Amhara and Oromia regions. Movement to the Woredas was restricted and sometimes even forbidden. Based on the request from the Embassy of Finland emergency meeting was called upon by the Embassy and Ramboll-Niras-COWASH emergency preparedness plan reflecting different emergency situations in Ethiopia was developed (**Annex 18**).

At the Federal level all WASH Ministers and the State Ministers were changed during the inception phase. The full briefing of Water Minister and State Minister on COWASH was not possible during the inception phase as both Ministers had very tight schedule. Both Ministers were anyhow briefly informed on COWASH by the project and by the Embassy of Finland using all available means to meet them. In addition the State Minister of water visited Finland in January 2017 and received more information on Finland bi-lateral cooperation with Ethiopia.

A similar change of cabinet members at regional level took place. All new regional WASH Steering Committee members were briefed by the COWASH RSU staff. In addition to this COWASH Federal TA Team succeeded to brief new SNNPR WASH Steering Committee members and Tigray Water Bureau Head and Oromia Water and Finance Bureau Heads. Amhara and BSG WASH Steering Committee members will be visited by FTAT in near future.

It was learned during the inception phase that in some regions COWASH Woredas were split into two. The implication of this is that one Woreda resources are also split into two and both Woredas will need additional physical and human capacity building to implement WASH. The challenge is that COWASH does not have enough financial resources to accommodate both split Woredas into COWASH. The practise has been that only one of the split woreda is included into COWASH.

## 6 PROGRESS MADE

### 6.1 INCREASED CLIMATE RESILIENT COMMUNITY AND INSTITUTIONAL WATER SUPPLY

#### 6.1.1 CMP procurement guideline

The phases I & II of COWASH project were implemented in number of woredas increasing from year to year and reached 76 in the 2008 EFY. Since August 2016 the phase III of the project to last for three years has been started in the same 76 woredas. In the last two phases which had been implemented for 5 years the same community procurement guideline for the whole five years was used. Due to various reasons this guideline needed to be revised. The revised WASHCO procurement guideline is found in **Annex 9**.

The need for revision of the procurement guideline used in the past two phases and the preparation of this new guideline has arisen due to the following reasons.

- The increasing cost of major construction materials and tools demands raising the thresholds of procurement so that WASHCOs can make procurements easily and without delay.
- The inclusion of pocket woredas in the last years of phase II in some regions such as Benishangul Gumuz region woredas demanded raised threshold of direct procurement method as it is difficult for WASHCOs to get enough number of suppliers for collection of proforma invoices.
- The initial idea in the CMP approach was that WASHCOs make procurement of construction materials and labour separately but now there has been an increased experience of full contracting by WASHCOs in many woredas which demands the detailing of full contracting procedure of works.
- The procurement guideline in use for low and high tech water supply schemes have been different which sometimes may cause confusion in its use (as high techs will aggressively be implemented in this phase) by woredas and even there is lack of clear demarcation between springs with collection chamber and rural piped schemes (RPSs) from gravity springs to apply the two different procurement guidelines. So there is a need for having one procurement guideline which can be applied for low & high tech water supply schemes and institutional latrines.
- The procurement guideline used in phase I & II does not provide detailed instructions on the open tendering procurement method and there is a need to make this part in detail so that WASHCOs can properly use this method when conditions demand.
- The CMP procurement guideline used in phase I & II does not consider how WASHCOs can sell leftover construction materials if any.

Based on these needs the guideline was revised to serve the implementation of Phase III

#### 6.1.2 CMP in high tech implementation

In 2012/13 the demand for the inclusion of high tech water supply schemes for financing using the CMP approach has increased. The increased number of abandoned hand dug wells, the transformation of some rural areas to semi urban due to population & economic growth and the increased awareness of the communities on the importance of the piped water supply system were the major reasons which justified the demand. Major challenges in CMP high tech implementation are:

- Need for repeated tender for shallow wells by zones
- Resistance of some WASHCOs do not to effect payment of abandoned wells
- WASHCOs loose of ownership & capacity if many of the contracting is done by others through delegation
- In Amhara decentralization of shallow well contracting and contract management to the zones
- In Tigray WASHCOs have to at least co-approve the payment with the bureau

- Signing MoU for implementation of RPS from non-gravity springs and deep wells

All these challenges were addressed in the report and detailed recommendations on how to implement high tech CMP schemes were prepared. See **Annex 10**.

### 6.1.3 SECRSM Implementation Strategy

COWASH has developed a Social, Environmental and Climate Risks Screening and Management (SECRSM) guideline, which ensures that all water supplies constructed in Phase III will manage the pressures caused by social, environmental and climate changes. The strategic actions start from the capacity building which is cascaded from the Federal to the community level. Important feature in SECRSM implementation is the cooperation with Agriculture and Health sectors at region, woreda and kebele levels. SECRSM implementation is incorporated into the CMP project cycle.

#### A. Capacity building

The capacity building starts from the training of regional experts from Regional Support Unit, Bureau of Water, Bureau of Agriculture (Natural Resource) and Bureau of Health in SECRSM. These are the same regional experts who took the Climate Resilient Water Safety Planning training. Regional experts then train Woreda and Zone experts who are from the same line offices (ZoW, WoW, WoANR, WoH). The training to woreda experts is given together with the CMP appraisal training.

Woreda gives awareness raising training to KWTs, WASHCOs and selective community members during the KWT CMP management training, WASHCO CMP management training, and community promotion respectively.

#### B. SECR screening and management plan preparation, implementation and monitoring

SECR screening and management plan is to be prepared for each WASH facility. Woreda water, education and health offices are responsible for the preparation of the SECRSM plan, its implementation, monitoring the SECRSM plan implementation and updating of the SECRSM plan for their respective WASH projects.

Woreda office of Agriculture and Natural Resources is responsible for providing technical support in SECR screening, management plan preparation, implementation, monitoring and updating of the plan. Woreda experts who took the training undertake SECR screening prepare risk management plan during the field appraisal time.

KWT especially HEWs and NRM DA (part of the woreda team) are responsible for the risk screening and management plan preparation. The KWT, WASHCO and beneficiary community are responsible for the risk screening, management plan preparation, implementation, monitoring, and revising/updating the risk management plan.

FTAT; BoW, BoH, BoANR and BoE; WoW, WoH, WoE and WoANR provide technical support in the implementation of the SECRSM.

#### C. Reporting

CMP supervisor at woreda level prepare SECRSM performance report to RSU, and RSU compile woreda report to FTAT under output 1.5.2.

The detailed SECRSM guideline can be found in **Annex 14**. The figure 3 below illustrates the SECRSM process and approach.



## COWASH SOCIAL, ENVIRONMENTAL AND CLIMATE RISKS SCREENING AND MANAGEMENT STRATEGY

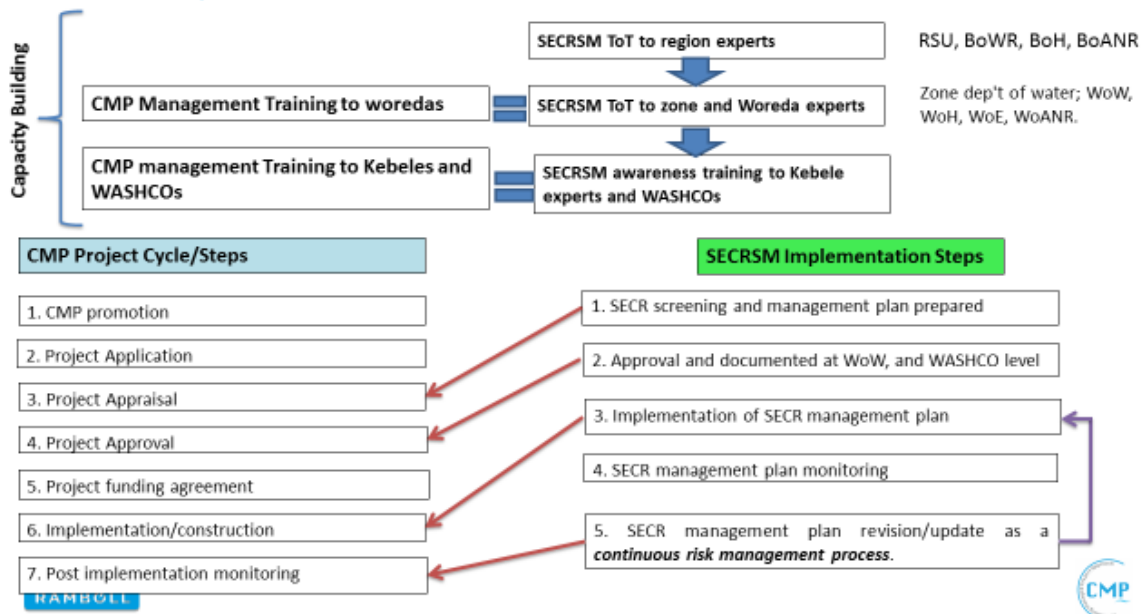


Figure 3: Social, Environmental and Climate Risks Screening and Management process

## 6.2 INCREASED COMMUNITY, INSTITUTIONAL SANITATION & HYGIENE

The household hygiene and sanitation implementation strategy of COWASH has been implemented in an integrated way with the health sector at region and woreda levels. This means that COWASH does not implement anything on its own, but instead financially supports the health sector in Hygiene and Sanitation capacity building at all levels so that the regional and woreda level health sector hygiene and sanitation strategies and action plans can be effectively implemented in COWASH woredas. Therefore COWASH cannot measure its own household level hygiene and sanitation development and progress but is to be measured together with all actors implementing hygiene and sanitation promotion in the woreda.

In institutional sanitation COWASH specific approach is used for the implementation. The school and health facility water supply, hygiene and sanitation implementation is carried out using CMP implementation approach. The designs used in implementation are the standard designs provided by the education and health sectors.

COWASH will focus also on sanitation marketing development by establishing women led sanitation entrepreneurs. These entrepreneurs can be either woreda based or mobile. This initiative and its implementation are described more in detail in **Annex 12**.

In order to improve the health and education sector participation in COWASH joint dialogue forums at federal and regional levels will be organized.

## 6.3 INCREASED FUNCTIONALITY AND SUSTAINABILITY

Water supply functionality in COWASH Phase III is addressed through water supply rehabilitations, training of preventive maintenance personnel for each water scheme and promotion and establishment of small private women-led entrepreneurs to take over the spare part supply and maintenance service from the local government.

This development is carried out in close collaboration with the Women and Youth-Led Spare Part Supply and Maintenance Micro-enterprises Project financed by the African Development Bank (AfDB). The project is implemented by the Ministry of Water, Irrigation and Electricity for three years (2016 to 2018). The Women Affairs' Directorate and the Micro and Small Enterprises Mainstreaming Unit of the MoWIE are leading the project to organize 20 micro-enterprises for maintenance of water schemes and 11 micro-enterprises for the supply of spare parts in all 9 regions and 2 city administrations. The potential of

existing trained artisans in all COWASH woredas are encouraged to establish these micro level businesses.

In Phase II COWASH completed the National RWS Operation and Maintenance Manual. Special ToT training on rural water supply O&M has been planned to take place together with the OWN-P-CWA program.

## **6.4 INCREASED WOMEN'S EMPOWERMENT, LEADERSHIP AND INCLUSION OF PEOPLE WITH DISABILITIES**

### **6.4.1 Gender Programming**

Community Managed Project (CMP) is one of the implementation modalities stipulated in the Government of Ethiopia WASH implementation framework. CMP has been implemented in Government of Finland funded projects since 2003. In the previous phases of COWASH, notable results have been registered in the promotion of women at the level of WASHCOs, pump attendants and artisans. Gender focus of COWASH Phase III is to further intensify the achieved results to the level of bringing women to leadership positions in WASHCOs and in WASH focused business enterprises. In order to achieve the envisaged result, COWASH has designed a gendered WASH approach in order to bring positive impact on the livelihood of women and men. Strategic elements that need to be given due attention are:

- Capacity development in gender mainstreaming
- Sharing responsibilities for gender mainstreaming in water and sanitation
- Equal access to and control over water and sanitation services among user communities
- Equity between men and women in decision making of WASH service management
- Partnership, networking and advocacy for gender programming in water and sanitation sector
- Gender and disability inclusive research
- Planning, monitoring, evaluation and reporting
- Rewarding grass root level gender champions /role models/

More detailed plan on how to make this taking place in COWASH Phase III is presented in **Annex 11**.

### **6.4.2 Business development**

In the three years program period, 26 women-led micro and small enterprises for sanitation marketing, spare parts supply and maintenance service of water supplies will be established in selected pilot woredas of the 5 program regions ( i.e. 6 each in Amhara and Tigray; 5 each in Oromia and SNNPR; and 4 in Benishangul Gumuz).

COWASH understands that the establishment of WASH focused enterprises fulfil dual purpose: (i) Contributes to ensure the sustainability of water schemes through the provision of maintenance and spare part supply services with fair price at the earliest possible time after malfunctioning of the scheme while the sanitation marketing business enable user communities to have access to improved sanitation facilities at household level. (ii) The initiative brings pioneer business women with leadership positions in WASH sector so that more women and youth will be attracted in the WASH business

By making use of existing national opportunities as well as assessment findings and inputs obtained from group work discussion during the launching workshop, COWASH has come up with the following strategies for women-led WASH enterprises development in the course of three years implementation period.

- Women-led refer not necessarily to mean all members are women. Rather, women do hold at least four of the five leadership positions in the enterprise (i.e. chairperson, vice chairperson, finance, procurement and secretary);
- Strengthen established WASH focused women-led enterprises or establish new enterprises – Opt for 5 members /enterprise ;
- Focus on the inclusion of persons with disabilities;
- Ensure quality in terms of slab production, maintenance spare parts and water schemes maintenance works through providing skill upgrading training, making close supervision and linking the entrepreneurs with accredited spare part suppliers;

- Work closely with all pertinent organizations in pilot woredas (Water, Health, Women Affairs, MSE Dev't Agency, and TVET);
- Work closely with Regional SM multi stakeholders forum;
- Consider SM enterprises at health center catchment area & water schemes maintenance / spare parts supply enterprises in woreda capital;
- Capacity building & strengthen market linkage (WASHCOs with WASH business enterprises; Health center staffs including HEWs & kebele council with SM enterprises); using sales agents (to be approached by the entrepreneurs themselves);
- Support enterprises to have skill & entrepreneurship trainings, have business plans & diversify their products & businesses

A more detailed approach description can be found in the Women Led Micro & Small Enterprises Development Initiative paper in **Annex 12**.

### 6.4.3 Inclusion and Disability Mainstreaming

Disability mainstreaming means that the rights and specific needs of persons with disabilities (PwDs) are considered at all levels and in all the different components of the project and PwDs can equally benefit from the project. COWASH phase III aims to increase the awareness, understanding and capacity of relevant stakeholders in the WASH sector at all levels on disability issues. All water and sanitation facilities built should be accessible for all and PwDs should be increasingly included in the community WASH activities. COWASH has planned strategic action steps to be taken in order to make COWASH inclusive. These action steps are described in detail in Annex 12. The main steps are:

- Familiarization with the disability sector in Ethiopia
- Addressed the lack of data and information on disability
- Cooperation with various stakeholders
- Development and use of Inclusive WASH guideline (Not only for COWASH)
- Awareness creation and trainings
- CMP promotional training to include disability mainstreaming
- Piloting the ideas
- Establish disability mainstreaming network

More detailed COWASH inclusion and disability mainstreaming strategic plan is presented in **Annex 13**.

## 6.5 PROJECT IMPLEMENTATION EFFECTIVELY MANAGED

The COWASH Phase III Project Document Result Framework was critically analysed and COWASH Phase III Result Framework was revised. Based on this framework also detailed Project Monitoring Plan was developed and compiled together. This plan also includes the target setting for each region. See in more detail **Annex 1**.

In order to improve COWASH WASH facility monitoring a WASH Facility Database system was already developed by the COWASH GIS expert in Phase II. The training of the regional and federal COWASH staff took place in July 2016 which was the agreed extension month for the Phase II. The updating of the WASH facility data was going on up to now. So far only 7 Amhara Woredas WASH facility data was updated and uploaded to <http://www.cmpethiopia.org/page/169>. The data collection and updating delayed due to the violent demonstrations in August-October 2016 and due to the massive staff change at all levels.

COWASH Federal Technical Assistance Team developed COWASH III database system to be used in regular COWASH monitoring and reporting. For this purpose a local consultant was employed and regional COWASH staff was trained for the use of the database in the beginning of February 2017.

The baseline data collection strategy, methodology, questionnaires were developed by the Federal Technical Assistance Team and consultant was selected for baseline data collection. According to a defined methodology and encoding and preparing the data for statistical analysis in appropriate software enumerators were trained and data collection was completed in January 2017.

## 6.6 REGIONAL PLANS

Regional plans for 2009 EFY have been prepared and approved. The regional plans are presented in the following annexes:

- Annex 17 a: Amhara**
- Annex 17 b: Tigray**
- Annex 17 c: SNNP**
- Annex 17 d: Oromia**
- Annex 17 e: BSGR**

The summary of the planned regional outputs is presented in Table 1 below.

### PHASE III TARGETS (MAJOR)

	Amhara	Tigray	SNNP	Oromia	BSGR
RWS access targets (GTPII) (%)	71 %	74 %	73 %	76 %	71 %
No of communal water supplies	2,298	601	790	876	104
No of new beneficiaries	344,700	90,150	118,600	86,700	15,600
No of rehabilitations	308	51	66	100	316
No of rehab beneficiaries	41,550	6,915	9,387	13,500	44,550
Planned functionality rates	98 %	98 %	98 %	98 %	98 %
Institutional water supplies	440	98	95	96	58
Institutional latrines	99	50	56	102	51
No of new households with improved latrine in Phase III	538,978	81,344	105,420	116,162	44,466

Table 1: Major COWASH outputs

The total COWASH Phase III budget is presented in Table 2 below.

### COWASH 3 TOTAL BUDGET IN BIRR

Region	Total GoF rolled over from Phase II	GoF new as agreed	Total GoF funds available	GoE as agreed	Community 10% from investments	TOTAL
	Birr	Birr	Birr	Birr	Birr	Birr
Amhara	9,889,456	99,220,000	109,109,456	248,000,000	42,160,000	399,269,456
Tigray	440,862	35,112,286	35,553,148	85,500,000	14,535,000	135,588,148
Oromia	3,546,092	34,245,420	37,791,512	74,400,000	12,648,000	124,839,512
SNNP	4,036,499	26,513,630	30,550,129	49,600,000	8,432,000	88,582,129
BSG	10,670,239	33,157,036	43,827,275	55,800,000	9,486,000	109,113,275
<b>SUB TOTAL</b>	<b>28,583,148</b>	<b>228,248,372</b>	<b>256,831,520</b>	<b>513,300,000</b>	<b>87,261,000</b>	<b>857,392,520</b>
Federal TA		51,257,800	51,257,800	-		51,257,800
<b>GRAND TOTAL</b>		<b>279,506,172</b>	<b>308,089,320</b>	<b>513,300,000</b>	<b>87,261,000</b>	<b>908,650,320</b>

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Table 2: COWASH budget for Phase III

The share of the budget between the GoF, GoE and Community is presented in the figure 4 below.

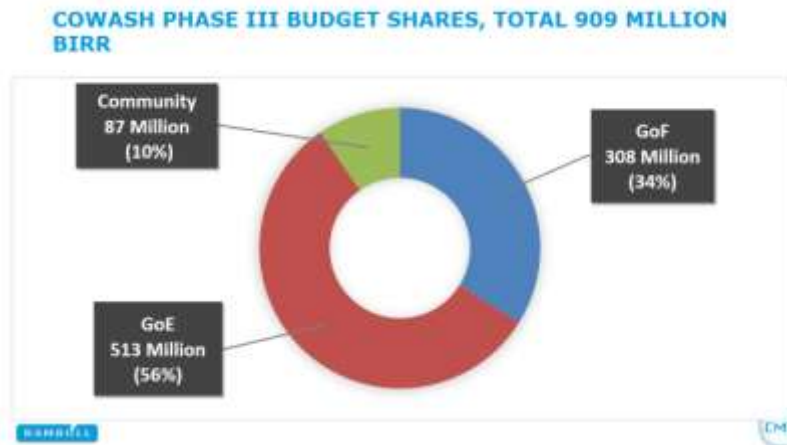


Figure 4: The share of COWASH III budget

The share of COWASH III budget between the regions and Federal TA team is presented in figure 5 below.

**COWASH 3 BUDGET (GOE+GOF+COMMUNITY) DISTRIBUTION**

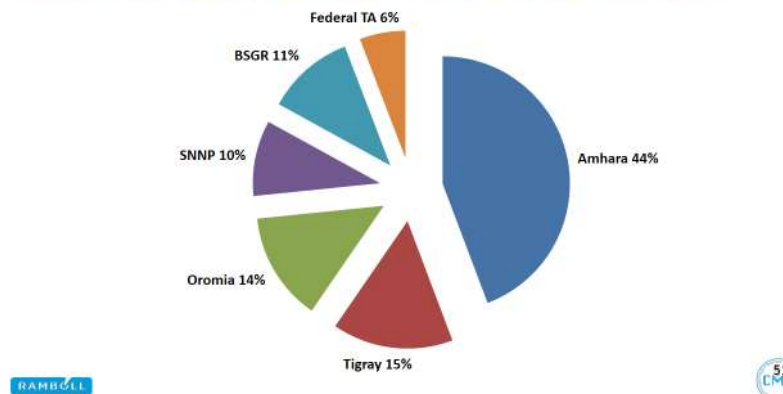


Figure 5: The share of COWASH budget between the regions and Federal TA

The distribution of COWASH III budget between the sectors and federal component is presented in figure 6 below.

**COWASH PHASE III BUDGET DISTRIBUTION BETWEEN SECTORS**

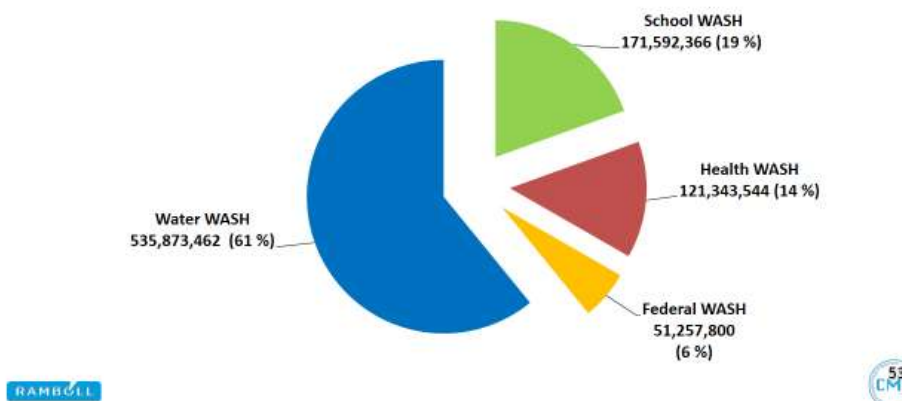


Figure 6: The share of COWASH III budget between the sectors and Federal component

## 6.7 FEDERAL BUDGET AND PLAN

The Federal technical assistance level budget was fixed in the tendering of the component by consultant companies. Ramboll Finland in partnership with Niras Finland and IRC WASH won the competition. The federal level budget summary is presented in the table 3 below.

Definitions	Plan	Plan	Plan	TOTAL
	2016/2017	2017/2018	2018/2019	
	EUR	EUR	EUR	
<b>Fees</b>	<b>442,642</b>	<b>386,142</b>	<b>327,116</b>	<b>1,155,900</b>
International Long term Consultants	188,281	194,922	189,164	572,366
International short term consultants	21,975	615	615	23,205
National long term consultant	182,468	188,760	135,493	506,721
National short term consultants	49,919	1,845	1,845	53,609
<b>Reimbursable costs</b>	<b>503,434</b>	<b>354,167</b>	<b>316,400</b>	<b>1,174,000</b>
<b>Technical assistance running costs</b>	<b>254,793</b>	<b>278,750</b>	<b>236,150</b>	<b>769,693</b>
Home office coordination	11,000	12,000	13,000	36,000
JPO salary costs	63,842	69,600	11,600	145,042
International duty travels	12,300	5,000	12,000	29,300
Duty travels in Ethiopia	42,749	52,400	46,100	141,249
Home leave travels (internationals)	2,000	4,000	4,000	10,000
Relocation	9,715	-	17,500	27,215
Housing	35,162	25,000	7,600	67,762
Office	41,008	54,000	64,400	159,408
School (international)	36,244	55,700	58,800	150,744
Miscellaneous	773	1,050	1,150	2,973
<b>Sector support</b>	<b>188,641</b>	<b>75,417</b>	<b>37,917</b>	<b>301,974</b>
<b>Impact Assessment</b>	<b>60,000</b>	<b>-</b>	<b>42,333</b>	<b>102,333</b>
<b>TOTAL</b>	<b>946,075</b>	<b>740,309</b>	<b>643,516</b>	<b>2,329,900</b>

Table 4: Federal level summary budget.

With this budget the federal TA will facilitate the COWASH planning and reporting whereas the implementation responsibility is given to the regions through separate financing agreements.

Federal level has a total budget of EUR 301,974 to facilitate the region level capacity building and sector support. Baseline data collection for the impact assessment is limited to EUR 102,333. The end line data collection is planned to be conducted at the end of Phase III but may also be postponed to fourth year if additional funds are approved.

With this budget the national long term experts can be employed only to the mid of third year and there was not enough resources available to employ the sanitation specialist for the FTAT. It is expected that additional funds will be made available to accommodate the Phase III specialists to the end of Phase III. Only one 2-year Junior Professional post can be included for the project due to the limited funds. If Phase III is extended by one year and additional funds will be made available another Junior Professional 2-year post can be incorporated into the Project.

The staffing plan prepared is presented in table 5 below.

International long term specialists	2009 EFY	2010 EFY	2011 EFY	Total
	Work days	Work days	Work days	Work days
1.1 Chief Technical Advisor	221	221	207	648
1.2 Junior Professional Officer				
<b>SUB TOTAL</b>	<b>220.5</b>	<b>220.5</b>	<b>206.913</b>	<b>647.913</b>
National long term specialists	Work days	Work days	Work days	Work days
2.1 Capacity Development Specialist	220	220	146	586
2.2 CMP Specialist	220	220	146	586
2.3 Gender and MSE Specialist	196	220	146	562
2.4 Communication and Knowledge Management Specialist	220	220	146	586
2.5 Climate , Environmental Risk and Water Safety Specialist	213	220	146	579
2.6 M&E Specialist	220	220	220	660
<b>SUB TOTAL</b>	<b>1289</b>	<b>1320</b>	<b>947.5</b>	<b>3556.5</b>
International Short term specialists	Work days	Work days	Work days	Work days
3.1 Development of financing packages in O&M and SM	11			11
3.2 GIS mapping consultant	4	3	3	10
3.3 Impact Assessment baseline coordinator	30			30
<b>SUB TOTAL</b>	<b>45</b>	<b>3</b>	<b>3</b>	<b>51</b>
Local short term specialists	Work days	Work days	Work days	Work days
4.1 O&M training	86			86
4.2 Market study consultant	25			25
4.3 Hygiene & Sanitation consultant	20			20
4.4 Sanitation Marketing consultant	25			25
4.5 Performance monitoring database development consultant	21			21
4.6 Disability and inclusion consultant	21			21
4.7 GIS mapping consultant	10	9	9	28
4.8 Others to be defined later on in the process	18			18
4.9 Others to be defined later on in the process	18			18
<b>SUB TOTAL</b>	<b>334</b>	<b>15</b>	<b>15</b>	<b>364</b>
<b>GRAND TOTAL</b>	<b>1,888</b>	<b>1,559</b>	<b>1,172</b>	<b>4,619</b>

Table 5: FTAT staffing plan

## 7 CRITICAL ISSUES

### Result Framework

The result framework designed in the original approved COWASH III project document was revised to accommodate and serve the COWASH III effective monitoring and implementation. See **Annex 1**.

### Federal TA budget

In order to solve the problem of federal budget shortage it is proposed that international short term consultancies and national short term consultancies will be used as little as possible and one national long term consultant is not employed. As the Phase III is only for three years it is important to avoid knowledge loss from Phase I&II. This will also help Phase III speedy start up. Therefore it is recommended to avoid new recruitments as much as possible.

The hygiene and sanitation activities in Phase III will be focusing on capacity building support for regions and woredas to implement integrated hygiene and sanitation. Another focus area is the development of sustainable sanitation marketing as a business. The technical assistance support to CMP implementation in institutional sanitation can be covered by the exiting Federal and Regional TA staff and MSE development in Sanitation Marketing will be covered by the Gender and MSE Specialist. Therefore it is proposed not to employ Hygiene and Sanitation Specialist to COWASH Phase III. The following table will present on how the hygiene and sanitation related activities will be covered by the FTAT staff:

Activity	Responsible
Water and sanitation technical audits	CMPS
Water and sanitation construction	CMPS
Water and sanitation rehabilitation	CMPS
Sanitation design preparation	CMPS
Tendering and procurement in sanitation	CMPS
Identify MSEs in O&M and sanitation	GMSES
Market studies in O&M and sanitation in selected woredas	GMSES+STC
MSE capacity development in O&M and sanitation	GMSES
O&M and sanitation MSE case studies	GMSES
School menstrual hygiene management guideline development	GMSES
Establish financing system to support MSEs in business development in the areas of O&M and sanitation marketing	GMSES+STC
Support in women leadership development in sanitation	GMSES
Manage GIS mapping data, water and sanitation infrastructure data	MES
Develop COWASH H&S approach	CTA+STC
Support in COWASH school water and sanitation implementation	CMPS+CDS
Support in COWASH public latrine and ODF implementation	CMPS+CDS
Support in COWASH community centred H&S implementation	CDS
Support in COWASH Sanitation marketing implementation	CDS+GMSES
Coordination and development with MoH	CDS

### Regional level capacity building funds

The present regional level capacity building funds can facilitate only the implementation of rural water supply schemes for 625,000 new beneficiaries although the planned number of new beneficiaries in the project document was 1 million. The capacity and potential built in the COWASH woredas in Phase I & II can accommodate more implementation if additional capacity building funds can be found.

### Benishangul Gumuz budget deficiency

The investment budget allocated to Benishangul Gumuz Region is inadequate to facilitate the achievement of set water and institutional sanitation construction targets. Because of the low budget share from the Federal Government and the high demand for social infrastructures the regional state couldn't allocate more than 40% of its share to implement the COWASH project. Therefore project proposals need to be prepared to call for the support from other financiers to address the extensive need of the community for improved water and institutional sanitation infrastructure in the region.

### Risks and Assumptions

The revised Result Framework and Performance Monitoring Plan is prepared with certain assumptions. The assumptions are addressed at output level and are valid also at outcome level. The major assumptions are:



- No major social or political instability occur in Phase III
- The exchange rate will not vary significantly (CB money coming from Finland)
- The sector offices provide their staff for the trainings
- WASHCOs will avail themselves for the trainings organized
- The Regional Governments transfer committed investment funds
- The communities contribute minimum 15 % of the investments
- No severe drought and flooding occur due to climate change and variability in the project areas
- Woreda WASH Team give required attention in promotion and allocation of resources for school water supply
- The school and health facility beneficiary community contribute minimum 6 % of the investments
- Agriculture and health sectors cooperate at all levels (region, woreda and kebele) in the SECRS in management planning and implementation of the plans for each water supply
- Communities incorporate the Social Environmental and Climate Risk Management as part of the water supply management
- Regional Government provide required guidelines for water quality testing and reporting
- Local governments have required staff for water quality monitoring
- Funds for reagents and sample collection provided by the local government
- Woreda water offices properly maintain and use the provided water quality testing kits
- Woreda water office conduct water quality tests as per the directives
- Agriculture and health sectors cooperate at all levels (region, woreda and kebele) in the CR-WSP preparation and implementation
- The health sector lead the planning and implementation of H&S activities of COWASH"
- Woreda WASH Team give required attention in promotion and allocation of resources for school and health facility latrine construction
- Households finance and construct their H&S facilities according to the agreed standards and guidelines
- Health Extension Workers carry out the monitoring and provide H&S data for COWASH III
- Regions O&M strategy and directives developed and implemented on supply chain and maintenance services
- Beneficiary communities accept the responsibility for O&M and cost recovery for O&M
- Local government supports the private sector's engagement in supply chain and O&M service provision"
- Micro and Small Enterprise Development Agency, TVETs and health sector offices provide support in business development and establishment
- Micro Finance Institutions or other financial institutions provide loans for established businesses
- Capable women accept the responsibilities of leading the established businesses
- Demand for the water supply spare parts, maintenance services and sanitation products exist
- Attitude and culture of the community (men and women) towards women leadership in WASHCO management improves
- Women ready to accept leadership positions in WASHCOs
- Social affairs and women affairs sector offices at all levels cooperate and support COWASH
- Disabled People's Organizations support COWASH at all levels
- Stakeholders avail their pertinent staff for trainings organized by FTAT
- COWASH activities are part of the WASH sector plans
- Internet connection improves
- All communication channels accessible
- Resources provided to the regions used for the project purpose
- Regional Support Unit staff engaged in COWASH activities"
- Regional, zonal and woreda budget allocations do not affect the annual plan approvals
- Regional WASH Steering Committee members available for making timely decisions
- Regional audit reports, plans and performance reports submitted as per the agreement
- No major delays of Steering Committee Meetings

See the assumptions more in detail in **Annex 1**.

There are also risks associated in the COWASH Phase III implementation. The COWASH risk assessment is divided into:

- a) Contextual
- b) Programmatic and
- c) Institutional

Risks division is made according to the new GoF guideline on bi-lateral cooperation projects. The level of presented risks are estimated according to the level of likelihood and impact. Level of impact of the risk to the project's results and targets is measured on the three levels:

- d) Insignificant,
- e) Manageable and
- f) Significant

Level of likelihood of the risk to happen is measured either as

- g) Low,
- h) Moderate or
- i) High.

See the risk management plan in more detail in **Annex 6**.

## 8 RECOMMENDATIONS

Recommendations to be considered by the National WASH Steering Committee on COWASH:

- Approve the revised Result Framework and Performance Monitoring Plan.
- Approve the FTAT staffing plan
- Approve the Federal Phase III plan and budget
- Initiate additional funds for capacity building
- Initiate additional funds for Benishangul Gumuz region investment funding