



# MINISTRY OF WATER AND ENERGY

## NATIONAL WATER, SANITATION AND HYGIENE (WASH) SECTOR CAPACITY DEVELOPMENT GUIDELINE



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## ACKNOWLEDGEMENTS

Water, sanitation, and hygiene (WASH) capacity-development tools that benefit the private sector, government, and civil society in Ethiopia were identified and studied in several ways. The Ethiopian government, in partnership with stakeholders, has been undertaking significant capacity-building activities, which incorporated in One WASH National Program (OWNP).

The USAID Transform WASH initiative has been operating since 2017 in collaboration with PSI, SNV, IRC, and Plan International. The project achieved its aims improving the lives of people who resides in the target area. One of the specific objectives of the project is strengthen sub-national government structure in WASH governance and management competence. In this result area, USAID Transform WASH collaborated with other implementing partners to support MoWE for the development of this Capacity Development guideline.

The Ministry of Water and Energy compliments to thank the PSI, SNV, Plan International, and IRC-WASH consortium members of the USAID Transform WASH project for their technical assistance in developing this capacity development guideline for WASH implementers. Furthermore, the MoWE recognized stakeholders for their dedication to full engagement in the development process.

## FOREWORD



Ethiopia is working on an indicative long term plan aligned with the ambition to achieve SDG targets for basic and safely managed Water Supply, Sanitation and Hygiene at the national level. The Ministry of Water and Energy, in collaboration with other Ministries, Development Partners, and Donors implement sector wide approach known as One WASH National Program (OWNP) since 2013. The Phase I of the OWP was completed in 2018. Phase II of OWP is still under implementation. The program is contributing towards improving the health, well-being and economic development of both the rural and urban population by increasing access to water supply and sanitation and adoption of good hygienic practices in equitable and sustainable manner.

In both phases of the OWP, commendable results are recorded in the WaSH sector. Out of the four pillars of the Phase II OWP, capacity development for improved delivery of WASH service is the main milestone. Capacity gaps at all levels have been identified and found to be one of the most pervasive threats to the successful implementation of the program. Capacity development of Implementing partners at all levels is one of the vital needs that remains to be addressed. Thus the program gives attention to capacity development which is the most important issue to accomplish the SDG targets in the WaSH sector.

The key capacity development elements include Institutional and organizational capacity building; human resources (training and education); material and financial; community mobilization and participation; monitoring and evaluation. Capacity building efforts should also focus on building the capacity of government agencies, civil society organizations, and other stakeholders to advocate for policies and programs that support improved WASH access and outcomes.

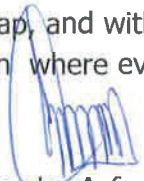
Furthermore, relevant policies and strategies were developed over the years. There are also specific guidelines developed by sectoral ministries and partners. However, so far no national WaSH sector capacity development guideline has been developed. Thus, this guideline is expected to play an important role in the effective implementation of WaSH projects and enhance the enabling environment.

To reduce delays in implementation, it is crucial to retain staff with the necessary skills and resources to manage consultants and contractors. This helps to achieve more effective WASH program implementation and sustainable operations through enhanced institutional and managerial capacity. As a nation, we recognize the critical role that water, sanitation, and hygiene plays in the health, well-being, and economic prosperity of our citizens.

However, we cannot achieve our goals without a strong and capable workforce dedicated to the WaSH sector. That is why the National WASH Sector Capacity Development Guideline is important. It provides a framework to guide the development of our human resources, ensuring that we have the knowledge, skills, and expertise needed to deliver high-quality WASH services to all Ethiopians. By investing in capacity building and implementing the guidelines, we can build a workforce that is equipped to meet the challenges of the future and drive sustainable growth and development for our country.

To this end, I would like to emphasize the importance of this well-crafted capacity development guideline will play important role in meeting our SDG set sectoral targets. With this guideline as our

roadmap, and with the dedication and hard work of our WASH professionals, we can achieve our vision- a vision where every person in Ethiopia has access to safe and reliable WASH services.



**Ambassador Asfaw Dingamo**  
**State Minister**

Ambassador Asfawu Dingamo

State Minister for Water Supply and Sanitation Sector

Ministry of Water and Energy

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Ethiopia



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# 1. INTRODUCTION

## 1.1. Background

The WASH sector Capacity Development is a well-established need in the WASH sector globally and is prioritized in Target 6.A of the Sustainable Development Goals (SDGs) 2.3. Target 6.a states: “By 2030, expand international cooperation and capacity-building support to developing countries in water- and sanitation-related activities and program, including water harvesting, desalination, water efficiency, wastewater treatment, recycling and reuse technologies.”

Moreover, the sub-Saharan Africa including Ethiopia is behind in Water supply, Sanitation and Hygiene (WASH) achievements on top of different thought challenges, among the core gaps. In Capacity Development priority should be given in areas of financial, political, technical and strategical issues for the WASH sector.

As a key instrument to achieve the goals of the WASH sector, both national (GTPII) and global (SDGs), in a more coordinated manner, the GoE designed One WASH National Program (OWNP). The OWNP is a flagship Government program supported by development partners (DPs), non-governmental organizations (NGOs), and private sector actors in which these actors came together and agreed to address WASH as an integrated package of interventions.

The Government of Ethiopia (GoE) has set capacity development as a priority for the WASH sector. This was notably demonstrated through the WASH Implementation Framework (WIF) of 2019, the GTP II and the OWNP II which address capacity building in the WASH sector.

The Phase II OWNP encompasses five clear components, among the fifth component; ‘enabling environment, program management and capacity building’ is mainly focused on improving skills and capacity of the Programme’s organizations and implementing parties at all levels.

The Capacity Building components recommended through the OWNP-I and also reconsidered under the phase II WNP having additional some thematic elements and more budget even though very small when compared with other components. Thus, this guideline will be crucial in moving one step ahead the WASH sector on the area of the capacity building in making the experts to be on the same page, giving directions in comprehensive and organized manner for those at different level and integrating, harmonizing and considering the priority areas.

## 1.2. WASH Overview: Global Context

The latest report shown that the global progress toward SDG 6 estimated that in 2020, out of a global population of over 1.6 billion people lack safely managed drinking water services, 3.6 billion lack safely managed sanitation services, and 2.3 billion lack basic hand-washing facilities<sup>1</sup>.

Although a significant change was recorded globally during the Millennium Development Goals (MDG) period, the effort was not fully successful, particularly with respect to sanitation. For this reason, the global programme for WASH services has been developed and extended to 2030 through the introduction of Sustainable Development Goals (SDGs), superseding the MDGs and involving 17 goals and 169 targets. SDG 6 aims to **“Ensure availability and sustainable management of water and sanitation for all”** and includes three technical targets relating to:

- a. Drinking water (Target 6.1); “by 2030, achieve universal and equitable access to safe and affordable drinking water for all”

<sup>1</sup> WHO/UNICEF JMP, 2019



- b. Sanitation and hygiene (Target 6.2); “by 2030, achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable situations”
- c. Wastewater management (Target 6.3); “by 2030, improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous.

Besides, the 2030 global agenda for water and sanitation services goes beyond the WASH sector targets to support the achievement of other SDG targets through WASH services.

During the MDG period, global monitoring focused on access to drinking water, sanitation and hygiene at the household level. While household access remains the primary concern, the SDG Programme includes institutional WASH (schools, health care facilities and workplaces). The SDG targets 6.1 and 6.2 referring to ‘universal access’ and ‘for all’ for boys and girls, men and women and persons with disabilities and other vulnerable groups and marginalized groups and further reinforces the importance of WASH in all settings, not only the household.

### 1.3. WASH Overview: National Context

The Sustainable Development Goals (SDGs) recognize WASH as central to sustainable development with SDG 6 calling for universal access to safe and adequate water, sanitation and hygiene for all by 2030 (United Nations, 2015). There is, however, a lack of evidence regarding the trends and predictors of WASH practices over time in Ethiopia and thus little indication about the progress the country is making in achieving SDG 6.

Millions of Ethiopians still lack improved water and basic sanitation facilities, and very few people regularly wash their hands with soap and water at critical times. Water supply, sanitation and hygiene should be addressed as integrated packages and the Government is committed to implementing a Sector Wide Approach (SWAp) through the One WASH National Programme, supported by a number of Development Partners and NGOs.

The Government of Ethiopia’s main goal for the second Growth and Transformation Plan (GTP II) is to contribute to achieving lower-middle-income country status by 2025. The main focus of the plan is to ensure the availability of water supply and sanitation services satisfies the lower-middle-income country criteria by 2025. The Government of Ethiopia’s ability to deliver against the newly established levels of service in line with the Sustainable Development Goals (SDGs). The expected challenge will be how to provide higher levels of service with systems that provide good quality drinking water to a growing population in a sustainable manner. For sanitation and hygiene too, the SDGs present a challenge to provide services that are adequate and equitable to all, even the hardest to reach, while embedding sustainability into systems to ensure that gains are maintained over the long term.

A new focus on the entire sanitation chain (including collection and treatment) has also increased the level of service for sanitation. Ethiopia is making a serious effort to address climate sustainability. The Government of Ethiopia is putting increased effort into addressing climate variability, owing to the adverse effects this will have on achieving development targets. The country has adopted a Green Economy Strategy, in support of a climate-resilient economy. The plan addresses universal and sustainable access to WASH through its strategic priorities. This will have significant contribution through proper capacity building to achieve set goals in the WASH sector.

## 2. MAJOR FINDINGS OF THE CAPACITY ASSESSMENT AND IMPLEMENTATION PROCESS<sup>2</sup>

In line with the findings of Assessing the National WASH Sector Capacity Building Approaches and Implementation Process, the major gaps identified in the WASH sector are listed below.

### 2.1. Federal Level

At the federal level the main stakeholders are the four WASH miniseries (MoWE, MoH, MoE and MoFE) and their sectoral offices under different administration levels.

- Coordination and stakeholder alignment with the demand needs improvement
- Limited fund raising capacity and ineffective and inefficient financial management for the allocated budget
- Data collection, Monitoring and Evaluation - There is no well-established and updated capacity building assessment tools and data base tracking in the MoWE and MoH. Lack of easily accessible web-based database at the national level makes M & E difficult like project performances and sustainability checks could not be done easily. Most decisions are made based on long-term strategic planning and visioning rather than using databases/evidence and M & E reports that shows the objective reality on the ground.
- Quest for up-to-date manuals and guidelines - Many guidelines and manuals were developed in the first years of the WSSP and were distributed to and used for training at regional, woreda, kebele, community and town levels. Besides, most of them taken by individuals are not available.
- Little emphasis to the knowledge base of the groundwater resources, wastewater management practices and water conservation measures and environmental impact issues and utilization of endogenous knowledges.
- Poor documentation of good lessons, capitalizing/scale up and utilizing for next WASH approaches improvement like PHAST, CLTSH, Hygiene campaigns, BCC, Sanitation marketing etc. Even they are not supported with research based and systematic assessments for lessons learning.
- The Hygiene approaches are not adopted and promoted considering context rather undertook in rush as taken from other body like NGOs', donors or from other countries.
- Even though there is huge demand for capacity building through appropriate training for the staffs working in WASH sector, there is no frequent capacity/need assessment and the thematic areas are not identified regularly. Besides, there is no recorded data for the provided training and cascading plan.
- There is no clear guideline for sanitation facilities management like public latrines, institutional latrines and no budget for their managements.
- There is loose supervision of WASH infrastructures and construction.
- The existing value chain for WASH activities needs more improvement, particularly for O & M and drilling and construction water supply and sanitation infrastructures.
- Poor contract management capacity and the contract liability also has some limitations particularly in making of contractors accountable for underperformed projects.

### 2.2. Regional and Zonal Level

At regional level, the WASH organizations (RWCO, RPMUS, RWSC, RWTT), were established and are to a certain extent functioning properly. But the approved budgets for sanitation and institutional programs and water supply are inadequate. In general the major capacity gaps of regional and zonal mentioned as below.

- Insufficient and ineffective human resources and physical capacity (e.g., vehicles, computers and water quality testing equipment, reagents, GPS apparatus, gadgets for O & M, etc.) of some WASH sector institutions. There is high staff turn-over and some are responsible for more than one position. Besides,

some positions have been covered with inappropriate/technically unfit person.

- Low WASH Coordination capacity at regional level to manage WASH programs in planning, harmonization, advocating, coordinating and integration.
- Regions and zones staffs have low capacity in conducting assessments, preparing proposals and developing technical documents for fund raising and loan application. Besides, documentation and good practices recordings are very poor.
- Training given so far is not enough to capacitance the staffs and manage projects even some are outdated. Besides, the given capacity developments were not recorded well, not follow up and monitoring mechanism on the utilization/practicing.
- Most gadgets and equipment purchased for water quality testing are not properly functioning either due capacity or missed items and reagents. Besides, the follow up and reporting mechanism poor.
- There is no capacity development budget allocation or very minimal and major of the capacity development given by NGOs/donors and federal sectors that usual not in the plan of zonal and regional sectors. In the other side, the funds that allocated usually not enough to complete projects on time, very beneath to provide the intended trainings and to purchase required materials and equipment including accessories for operation and maintenance.
- Lack of well documented (including base line date), easily accessible database to be used for knowledge-based decisions (e.g. Web-based WASH database). And the data bases are not updated that
- Lack of water schemes data, well accomplishment reports, hydrogeological assessments, water schemes infrastructures (equipment, materials) documentation and handing over.
- There is no clear guideline for sanitation facilities management like public latrines, institutional latrines and no budget for their managements.
- Loose or absence of supervision during the construction of WASH infrastructures and also with limited capacity.
- Even though there are improvements in getting attention to the software part, still gaps in budget allocation, HR allocation, poor structure, supporting with technology and less in using the feedbacks for decision making.
- Lack of commitment to demand responsive approach to identifying projects, community involvement in technology selection based on associated costs, and affordability are the overriding concern in project design.
- Low IT equipment and limited skills.
- Coordination and communication gaps with TVETs and regional universities to get capacity assistance.
- Their involvement on WASH sector policy development, guideline preparations and bylaws very minimal. Even they did not get enough orientation and trainings to execute in fruitful way.

### 2.3. Woredas, Kebeles and Communities

The woreda WASH plan was prepared and approved at the woreda level; woredas agree with the communities on fund contribution and to allocate separate sanitation and institutional WASH budgets. The woreda WASH team has been established at the woreda level, but there are no M & E staffs in many cases, and no readily available synthesized data at that level. WASHCOs are established but not all regions have achieved the legalization of WASHCOs.

Visible achievements have been recorded at community level a lot have been done to capacitate the WASHCOs, HEWs the local communities in hygiene and sanitation having awareness. Training was given on O & M and project and managements. Most of the gaps those identified for regional and zonal level are existing in the woredas even with high level magnitude.

The following additional gaps have been identified.

- Their involvement on sector policy and guideline development and level of understanding very limited even they have capacity constraints to implement, including cost recovery, decentralized implementation,

involving all stakeholders including the private sector, TEVT and university.

- Woredas fail to assign enough resources, including staff, capacity development, and other running costs.
- There is no financial incentive to WASHCOs personnel. They lose interest without incentive as they are voluntarily working.
- Lack of trained manpower in accounting and auditing with decentralized implementation at woreda and kebele level
- There are no guidelines or regulations on rural water tariffs. The Cost recovery is very low. Due to financial constraints and woreda government capacity challenges, very difficult to handle professional maintenance. Often experienced staffs leave kebele and woreda and there are high turns-over common.
- The non-functional of infrastructures are high that related to low capacities of WASHCOs to operate and maintain the infrastructure, as well as inefficient spare parts supply chains.
- Limited funding allocation/resources including vehicles and water quality testing equipment. Major of them utilize poorly and no monitoring on the utilization of water quality.
- Insufficient staff, as well as low IT equipment and data skills capacity.
- In some cases, there is no transparency in the collection and expenditure of money collected by WAPCOs and no regular reporting. Most members do not have experience in financial management.
- In most places, either there is no culture of properly keeping manuals, guidelines and operation manuals or do not use effectively in woredas.
- The participation of women in WAPCOs and WASH related offices is low. Gender imbalance is abundantly clear at all level.
- The community institutional and management capacity, particularly that of the WASHCOs, is low and performance has been modest in terms of managing and sustaining the rural WASH facilities and services wherever they are available.

## 2.4. Private Sectors and Professional Associations

The private sector in the WASH context includes drilling companies, retailers, WASH consultants, investors, financial institutions and enterprises. The professional associations those most likely contribute the WASH sectors like EEHPA, EWASHPA, EPHA and Ethiopian Engineering Associations. The following gaps have been identified.

- Guidelines and regulations are not in place to support private WASH sector works. There is no conducive environment to engage the private sector directly in WASH programs. Business operation skills of the drilling companies and retailers are inadequate for efficient operations. Viable and sustainable business model development is difficult.
- There are limited, incapable or underfunded WASH sector professional association and almost no direct involvement of professional associations in the sector. No clear guideline and platform to engage professional associations in the planning, design, implementation and quality control and auditing of the WASH projects and infrastructures by the professional associations.
- WASH related products and services are in low demand from customers in some regions. On the contrary, recently there is no enough drilling accessories in the local market.
- Supply chains are incomplete or non-functional for the WASH sector equipment, materials and resources. This is much worst at woreda and zonal levels. The exiting value chain does not allow to get accessories and construction materials easily. The current foreign currency problem makes things much worst.
- Guidelines and regulations are not in place to support the private sector to be involved in the WASH sector directly. Most of the interviewed drilling companies have never come across any guideline and manuals from the WASH sector ministries. The same is true for retailers and academic institutions.
- O & M of drilling machinery is difficult, mainly due to low technical skills and financing constraints. There is high level institution that train drillers and drilling technicians except the short-term training being given by the Ethiopian Water Technology Institute.
- The WASHCOs who were trained are losing interest as they are working as volunteers. Furthermore, private sector models for operations and maintenance are limited and not fully self-sustaining.

- The involvement of women in the private sector is very low.
- Lack of trained staff to ensure social and environmental safeguards during construction, natural resource abstraction and disposal of wastes.
- Cumbersome licensing and import procedures and bureaucratic hurdles
- High taxation of drilling machines, chemicals and related accessories
- Very limited or no financial institutions providing loan serves for WASH sector.

## 2.5. NGOs, CSOs and Funding Partners

- There is weak joint planning and coordination, limitations in understanding of OWNP versus CWA, and OWNP vision is not fully captured by all stakeholders. Generally, there is insufficient communication and coordination across all stakeholders and with lower administrative levels.
- There is difficulty in developing trusted partnerships with some NGOs to capitalize on strengths of capacity development.
- Limited understanding of the broader WASH systems by some partners, NGOs and CSOs. In the other side, some of the NGOs' striving to provide emergency activities for short time.
- They over-focus on hardware implementation than the software.
- Budget reimbursement depends on the utilization of water and health sectors and not based on individual sector achievements.
- There is low financial utilization in some projects which is related to low absorption capacity of the implementing agencies on behalf of towns.
- Low physical performance and budget utilization at woreda/regional levels.
- National WASH sector offices, regions, NGOs and CSOs have their own WASH plans, implementation strategies and guidelines. However, they don't strictly follow the OWNP document in terms of project implementation.
- Even though OWNP states one report, there are no clear reporting processes from implementing partners to the NWCO. The result is that many of the CSOs contributions to the sector are not properly captured in the annual reports. The responsibility on reporting should rely on both the NWCO and also on the CSOs who need to be more proactive in the reporting of their activities.
- Harmonizing and linkage gaps between the WASH development and emergency actors particularly with NGOs' and CSOs'.

## 2.6. Universities and Training Institutions

The major role of the WASH center of Excellence is to develop the capacity of the human resources in the sector. One of the major gaps identified is lack of proper framework and conducive cooperation environment for the academic institutions and the private sector to be involved in the WASH programs. The following gaps have been identified also;

- Minimal funding, high turnover and a lack of information about needed skillsets prevent TVETs from filling capacity gaps in WASH. Universities training relevant experts do not have strong link with WASH practical programs. They are not playing significance role in the research and specialized training of staffs employed by WASH ministries and their sectorial office and private companies.
- They are not well aware of the complex nature of the WASH programs and implementation processes and projects.
- Technical Institutes that have received support to update WASH programmers did not progress as anticipated. No significant support has been provided to regional and national training institutions or to universities loosely involved in the sector. Considering the substantial capacity building needs of the TVETCs and HSCs, the evaluation team finds this problem to be given at most priority after thorough need assessment.
- Limited funding does not make the center of excellence to work at their full capacity and coming with

innovations and technologies.

- Generally there is limited role in organizational support for WASH center of Excellence.
- There is no harmonization of curriculum of the training institutions with WASH sector need assessment or plans.
- There is no well organize database on the number of graduates or persons who took short term and practical training by these institutions.
- There are no Regional and National training institutions with enhanced WASH courses. No major activities as focus have been done on capacity enhancement of TVETCs/HSCs.
- There are physical capacity limitations (e.g. Computers, chemicals, projectors, cars etc.)

### 3. DEFINITION AND CONCEPT OF CAPACITY DEVELOPMENT

***“Great companies don’t hire skilled people and motivate them; they hire already motivated people and inspire them. Unless you give motivated people something to believe in, something bigger than their job to work toward, they will motivate themselves to find a new job and you’ll be stuck with whoever’s left.”***  
**-Simon Sinek**

UNDP defines capacity development as “the process through which individuals, organizations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time.”<sup>2</sup>

The concept of capacity development has evolved over the past two decades, from one that focused on human resource development and individuals, to a concept that encapsulates individuals, organizations and the wider society in which they function. Importantly, there is recognition in development discourse that sustainable capacity development is an endogenous process driven by those whose capacities are to be developed. This means that while external assistance can play an important role in developing capacities, externally imposed initiatives are less likely to develop sustainable capacities. Developing sustainable capacity, therefore, needs to be demand-driven and focus on outcomes or results, in contrast to technical assistance that tends to be supply-driven and focus on inputs.

Capacity development is not a one-off intervention but an iterative process of design-application-learning-adjustment. Approaching capacity development through this process lens makes for a rigorous and systematic way of supporting it, without using a blueprint, and improves the consistency, coherence and impact of projects or efforts. It also helps promote a common frame of reference for a programmatic response to capacity development.

The achievement of the Sustainable Development Goals and other international and national development targets pivots on capacities of individuals, organizations and societies to transform, in order to reach their aimed development objectives. Even though the financial resources are a vital for any development, they are not enough to promote the sustainable development in any aspects, but supportive laws, policies, strategies, procedures, well-functioning organizations, and educated and skilled people when given great attention. The countries that lack the foundation to plan, implement and review their national and local development strategies, Capacity development helps to strengthen this foundation. It is the ‘how’ of making development work better.

#### WASH Capacity Development Overview, Concept and Its importance

***“The world needs more knowledgeable, skilled, and motivated practitioners who plan, design, implement, operate, and maintain WASH programs. Many existing education and training programs targeting practitioners are limited scale, quality, and impact. Capacity Development, when done well, leads to action and behavior change.”-CAWST***

The capacity buildings in WASH sectors is very crucial for the improvement of the sector performance and this proved globally and stated in Sustainable Development Goal (SDG), Target 6.a ***“By 2030, expand international cooperation and capacity-building support to developing countries in water- and sanitation-related activities and programmes, including water harvesting, desalination, water efficiency, wastewater treatment, recycling and reuse technologies.”***

<sup>2</sup> UN Development Programme. Capacity Development: A UNDP Primer. (2009).

As the studies that was done by International Water Association in 15 countries, mentioned that while the Millennium Development Goals increased work and funding in areas such as infrastructure, institutional development, human capacity development has been overlooked. The study also noted the lack of women with high levels of technical and managerial capacities to support WASH services, the need for more related courses in tertiary education institutes and the influence that a lack of trained professionals has on operations and maintenance.

It is important to note that capacity development does not equate only with trainings. Conceptually, it is much broader and includes **resources, materials** and **enabling environments**. A corresponding study by the UN also noted as there is a critical global lack of planning and availability of human resources in the WASH sector.

Despite the visible impact of the WASH programs at the national level currently, still capacity development is considered as important for better to meet the set targets at the national level. This is a well-established need in the WASH sector which is prioritized in Target 6A of the Sustainable Development Goals (SDGs). Target 6A states “by 2030 expand international cooperation and capacity building support to developing countries in water and sanitation related activities and programs”. Not apart from this, the capacity development package is not well framed around formal institutionalized education, continued professional development and the enabling environment for WASH service delivery in Ethiopia. This lacked to support OWNP to have more coordinated and harmonized capacity development approaches.

It should be noted that capacity development is the process through which individuals, organizations, and societies obtain, strengthen, and maintain the capabilities to set and achieve their own development objectives over time. In the WASH Implementation Framework, the capacity development assessment will be made based on a systems approach that includes building of:

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

In addition to the government initiative on capacity building, lots of partners have embedded capacity building initiatives in WASH sector, but they focus mainly on training in their project implementation. These trainings are project-based topics, specific donor/organization interest areas, in most cases they are not continuous and not undertaken on the ground. Despite the project level implementation, the capacity building initiatives are not well framed to support the OWNP to have more coordinated and framed capacity building approaches with clear guidelines.



## 4. SIGNIFICANCE OF THE GUIDELINE

This National WASH Capacity Development Guideline will be helpful for WASH experts, government WASH sectorial, institutions, donors, association and firms to be referred for capacity development tasks. Thus, the major significance of the capacity development guideline are listed below.

- Contributes in guiding as roadmap for the concerned bodies in enhancing the WASH sector capacity.
- Helps to give guidance on the process of developing the capacities of the WASH experts and concerned bodies.
- Helps to have the same understanding on National WASH sector capacity development across the country.
- Helps to identify the priority gap that needs support from different donors and professionals.
- Helps to show directions for policy makers and strategic developers.
- Has an advantage of keeping documentation and sharing lessons and learning for future WASH sector capacity development guidelines.
- Harmonized capacity building approaches helps to support the development of human resources, organizations, systems rather than focusing only on the training part.
- Will provide recommendations, document the process in the sector, and highlight capacity building implementation information.
- In place minimum WASH capacity development packages with clear implementation process, approach and action plan matrix aligning with required resources and logistics.
- It can address the capacity building gaps in the legal, administrative policy issues related to the WASH sector that might be identified through the assessment.
- It contributes for the achievement of ten years perspective plan of Ethiopia (2021-2030) and SDG

## 5. PURPOSE AND OBJECTIVE

### 5.1. Purpose of the National WASH Capacity Development Guideline

This guideline aimed to identify the key existing WASH capacities, helpful to provide targeted capacity building for the WASH sector and other supporting sector actors to operationalize Ethiopia's WASH policies, strategies, and guidelines, and to make the government entities effective decision-making, capable of managing and sustaining WASH activities and services and guide the response to the capacity needs of all actors involved in the Program (the coordination structures, the WASH institutions and actors including private sectors at federal, regional, zonal, woreda and community levels giving more emphasis to regions that requires special attention).

### 5.2. Objectives

- It serves to guide, improving skills and capacities of the WASH sector Programme's for the National WASH sector Capacity development.
- To give guidance for sector and actors (including policy makers, strategic developers and donors but not limited to), on the areas of Capacity Development on WASH that to be done in coordinated, evidence based, harmonized, comprehensive and sustainable manner.

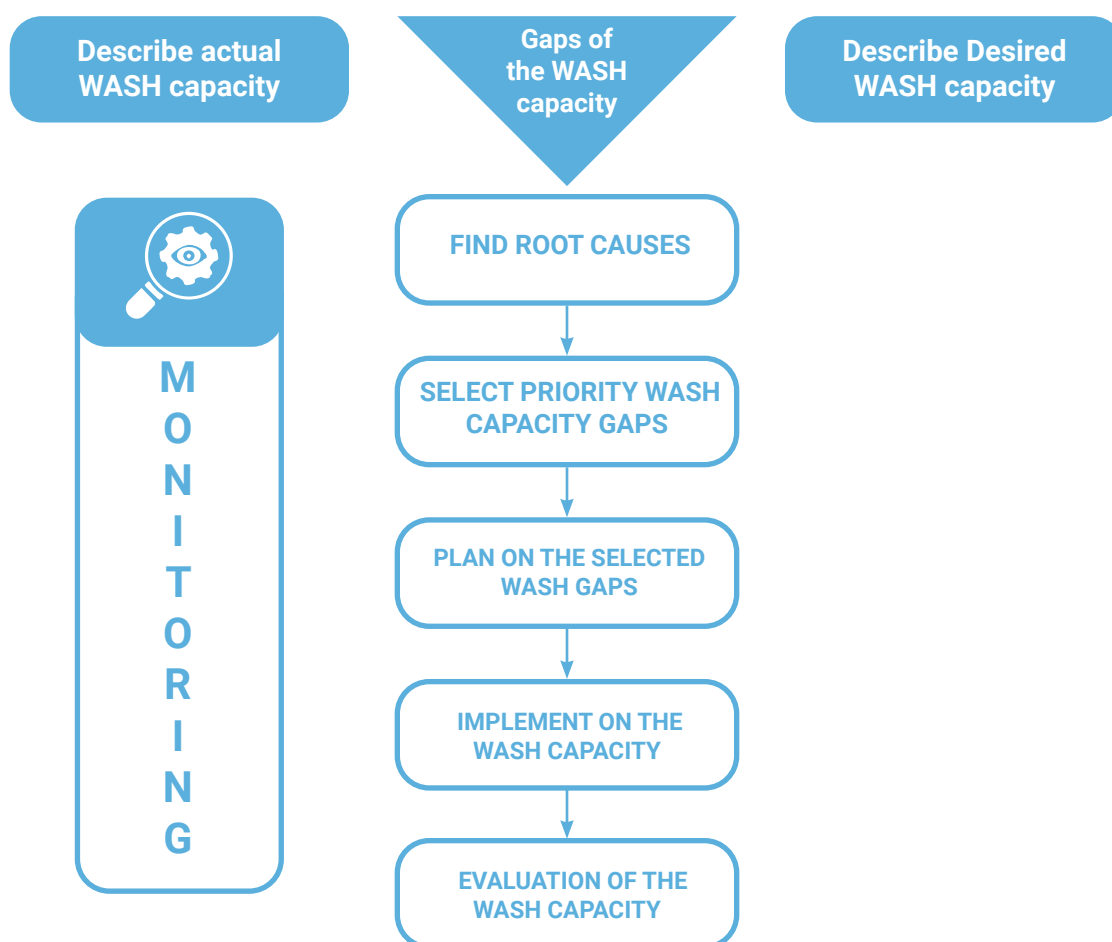
## 6. WASH CAPACITY NEED ASSESSMENT PROCESS

### 6.1. WASH Capacity Need Assessment Framework

A capacity assessment is an analysis of desired capacities against existing capacities which generates an understanding of capacity assets and needs that informs the formulation of a capacity development response. Capacity assessments can be integrated into the planning and programming process at various levels. These include the level of a national, sector or local development strategy or plan. A capacity assessment provides a comprehensive perspective on the capacities critical to achieving a country's development objectives. It is an analysis of desired capacities against existing capacities and offers a systematic way of gathering data and information on capacity assets and needs. Conducted during the initial stages of development planning, a capacity assessment serves to provide an input for formulating a **capacity development response** that addresses those capacities that could be strengthened and that optimizes existing capacities that are already strong and well founded.

It can also set the baseline for continuous monitoring and evaluation of progress against relevant indicators and help create a solid foundation for long-term planning, implementation and sustainable results.

Capacity Needs Assessment Framework



Source: Adopted from USAID Capacity development framework

Figure 6.1: WASH capacity need assessment framework

## 6.2. Procedures of the WASH Capacity Assessment

Primarily the WASH capacity development should be part of planning both in strategic and annual plans. It should also be done in participatory, jointly, collaboratively, in a well-planned and organized way.

The WASH capacity assessment process section focuses the stages on how to integrate capacity development into the different stages of the WASH sector process. The guidance on issues to consider at each stage is summarized in five steps featuring the main points where different capacity-development considerations enter into the programming cycle (Figure 6.2).

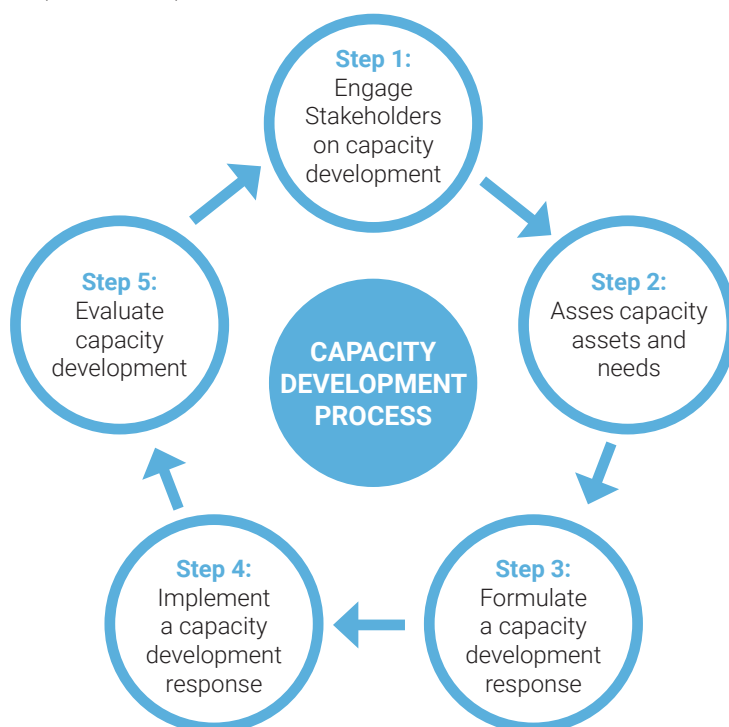


Figure 6.2: Shows the procedures that can be executed to identify the capacity gap  
*Source: The UNDP capacity development process3)*

The major steps on how to assess the WASH capacity is listed below.

**Step 1: Getting Agreement on the Process:** (Why do WASH capacity assessment? How are we going to do it? What resources is it going to take? How often are we going to do this WASH capacity assessment?)

**Step 2: - Identify the background data:** (What are WASH background risks and vulnerabilities?) Note that: The WASH risk/vulnerability of any population depend on their practices, knowledge, and habits as well as the context of the water supply, sanitation, and hygiene environment, and their socio-economic situation. Note that the background data majorly can be taken from the WASH assessments, researches and also from records, experts views, etc.

**Step 3: Identify the likely gaps:** Here the most likely capacities of governmental organizations those at different level, stakeholders (NGOs), Donors, UN agencies, Institutions having role players in WASH in terms of Financial, Human capital strengthen, Political, structural, materials and technology. Here it is also advisable to see in terms of sustainability, linkages with resilience and emergency and vice versa.

Capacity is not static but it is very dynamic. For example, in a single entity or woreda the organizational/agency field staff had enormous problems with identifying what staff could be made available for a response to a WASH sector of a particular scale. We should have to get a clear picture from the assessment (using tools) that

the capacities that are made available in any particular development/program are contingent on a whole range of factors, including the scale and nature of the situation, management experience and personalities, the time of year, funding availability, and other commitments.

**Step 4: Analyzing the capacity gaps:** Once you have identified gaps in WASH response you need to examine them to what the causes are. Two tools for analysing problems that you can use in a setting are the Ishikawa (or fishbone) diagram and the problem tree.

#### **Step 5: Identify priorities for action**

The gaps those identified under step 4, can be many in type, number and scope. Thus, based on the need and capacity to undertake the action prioritization will be must. So, we can prepare the action plan for the capacity development assessing.

#### **Step 6: Developing the capacity building plan**

Through the previous steps the gaps, needs and priority area for capacity development for the WASH identified. Therefore, we develop a capacity development plan that should be SMART.

#### **Step 7: Monitor the implementation of the plan**

M&E is an embedded concept and constitutive part of every project or programme design (“must be”). M&E is not an imposed control instrument by the donor or an optional accessory (“nice to have”) of any project or programme. M&E is ideally understood as dialogue on development and its progress between all stakeholders. Thus, to ensure the achievement of the intended capacity building having well prepared monitoring and evaluation plan will be must.

The approach to capacity-building and strengthening comprises of (1) structured mentoring integrated into the research, administration, financial management and communication activities; (2) specific training to address immediate gaps in skills; and (3) Academic (TEVET to PhD programme designed to build lasting research capacity within institutions (including non-governmental organizations and universities; and (4) Complementary trainings line project management, leadership, etc.

## **6.4. Capacity Assessment Pillars**

### **6.4.1. Organizational Capacity Assessment: Structural, Financial and Policy**

Capacity development activities should focus on reinforcing technical skills, ensuring the organization has the financial and material resources (e.g. office furniture, computers, printers, waste collection trucks, containers, water pumps, equipment, kits, etc.) to carry out effective WASH programming, in addition to reinforcing administrative systems (finance, admin, logistics). Any interventions program in WASH service provision should be carried out in an organization in well planned, systematic manner, evidence based and carefully designed with continued support of capacity building.

Assessing organizational capacity development on WASH involves an investigation of systems and infrastructures as they relate to overall organizational capacity, and helps to ensure sufficient absorptive capacity for new technologies or skill sets. Individuals or workgroups need the organizational support quietly to perform well, since enabling environment would play crucial role.

An organizational WASH sector needs assessment may include, but is not limited to, collection of information about the following issues.

- Organizational vision, mission, values, goals, and strategies;
- Management structure;
- Financial viability;

- Financial and resource management systems;
- Information about key personnel of the WASH sector;
- Management information systems; the WASH personal involvement on management;
- Logistics management;
- Roles and responsibilities of work groups and individuals;
- Management practices;
- Gender issues;
- Human resource management systems;
- Monitoring and evaluation systems; and
- Institutional performance monitoring and performance management systems to ward WASH.

The information collected, will be analyzed to identify key capacity gaps that need to be addressed to improve organizational performance gap with recommendations for possible capacity development planning. The planning section is shown under implementation plan for capacity development.

#### 6.4.2. Technology and Innovation Capacity Assessment:

It helps to assess low-cost and affordable technologies those able to contribute to improve the WASH service. The technology and innovations are among the crucial issues to utilize the existing capacities and improve the current WASH sectors gaps and bottle necks in linking with technology. Under this thematic issue, better to have clear policies, strategies and finances to identify the technology that services more communities, that improves the WASH priority gaps, and then support the innovation ideas and promote the supported with research based follow up. The process of developing, utilize and monitor for innovation and technology requires active collaboration with industry, institutions and working with organizations on real WASH problems. Besides, having the documentation and lessons learned that captured the whole process.

While assessing the technology and innovation, the steps that we should have to consider are **identification, selection, acquisition, exploitation and protection together with the internal and external factors**. To make the technologies usable, focusing on the organization’s leadership and management style, organizational culture and the management of competences, and their appropriateness for desired technology, ultimately and business performance in WASH sector.

**Table 6.1: Innovation & Technology Assessment Maturity Levels.**

Innovation & Technology Assessment Maturity Levels	
1. Ignorance	No awareness at all and/or denial of relevance to WASH sector
2. Awareness	Some awareness with no/inadequate evidence to demonstrate sufficient understanding of the issue (and the acknowledgement of need for an effective process)
3. Knowledge	Good awareness and understanding of the issue
4. Implementation	Very good awareness/understanding of the issue; with some implementation (imperfect or in-progress)
5. Effective Implementation	Comprehensive awareness/understanding of the issue; have implemented an effective process and can demonstrate benefits to the business.
6. Monitoring	Improvement areas assessed, feedback collected/documented and utilized for further technology improvement

#### 6.4.4. Individual Capacity Assessment/Self-Assessment

The individual/personal Capacity assessment is the start point for personal capacity development planning. Improving individual skills, knowledge and performance through training, experiences, motivation and incentives; of an individual would contribute remarkably in the improvement of WASH sector capacity.

To do so, let you ask yourself;

- Are you fully in control of your career?
- Do you have a clear and inspired idea for what you want to advise in the future? And are you actively taking steps to pursue the career of your dream?

Individual capacity assessment can be done in structured way as indicated below:

- Understand yourself so, you can set meaningful goals;
- Next you define these goals in terms of what you want to achieve & steps you need to get there;
- Finally, you identify gaps in your skills & experience and create an action plan that will fill them in, so that you start to move you closer and closer your end goal.

To assess and analyze the personal capacity, use the SWOT and PEST under SWOT Analysis.

#### 6.4.5. Community capacity assessment:

**Endogenous knowledge Community capacity** assessing is the combined influence of resources and skills that can be leveraged to build on strengths and opportunities. And also provides a closer look at your community thereby increasing your understanding of the local context. Capacity is more than 'things' and money; it is about developing relationships, partners, and new abilities. So, understanding your community is essential before planning for any WASH program. We can make the community assessment an effective component of a larger WASH program development process.

Use the below steps as a tip for community capacity assessment:

1. Is the Core Group ready to champion the community capacity assessment process?
2. Who should be involved in the capacity assessment process?
3. Should the assessment process be carried out during one long meeting or spread out over several shorter sessions?
4. When and where should the meeting(s) be held?
5. How can barriers to widespread participation be reduced and how can incentives are enhanced?

Participating the communities since starting from the assessment is vital development process that helps to utilize the local endogenous skills, increase their participation, helps to develop ownership and ultimately ensure sustainability which is the core for WASH program.

### 6.5. Stakeholder Analysis

"Stakeholder management is critical to the success of every WASH Program in every organization I have ever worked with. By engaging the right people in the right way in your project, you can make a big difference to its success... and to your career."

Stakeholders are "key persons, groups or institutions with an interest in a project or programme". Note that the primary stakeholders are the communities themselves for any program.

Stakeholders can be divided into three categories:

- **Primary stakeholders** who are directly affected, either positively or negatively, by the implementation of the programme.
- **Secondary stakeholders** who play some intermediary role and may have an important effect on the project/programme outcome.

- **External stakeholders** who are not directly involved, but may nevertheless be affected by a specific project or programme.

And also based on their level of participation could be categorized in two ways.

- Active stakeholders are those who affect or determine a decision or action in the system or project.
- Passive stakeholders are those who are affected by decisions or actions of others.



Figure 6.3: Picture showing typical Stakeholders Analysis meeting

An effective relationship between the various stakeholders within a stakeholder framework is one based on compromise and consensus rather than confrontation. Any action between local government, NGOs, Private organizations/firms, institutions and CBOs should refer to Stakeholders framework rather than be driven by immediate crisis issues.

Stakeholder Analysis is the technique used to identify the key people/organizations who have to be won over. The benefits of using a stakeholder-based approach are that:

- You can use the opinions of the most powerful stakeholders to shape your projects at an early stage. Not only does this make it more likely that they will support you, their input can also improve the quality of your project
- Gaining support from powerful stakeholders can help you to win more resources – this makes it more likely that your projects will be successful.
- By communicating with stakeholders early and frequently, you can ensure that they fully understand what you are doing and understand the benefits of your project – this means they can support you actively when necessary
- You can anticipate what people’s reaction to your project may be, and build into your plan the actions that will win people’s support.

There are the following three key steps in Stakeholder Analysis.

### **Step 1 – Identify Your Stakeholders**

The first step in your Stakeholder Analysis is to **brainstorm** who your stakeholders are. As part of this, think of all the organizations that are affected by WASH sector, who have influence or power over it, or have an interest in its successful or unsuccessful conclusion.



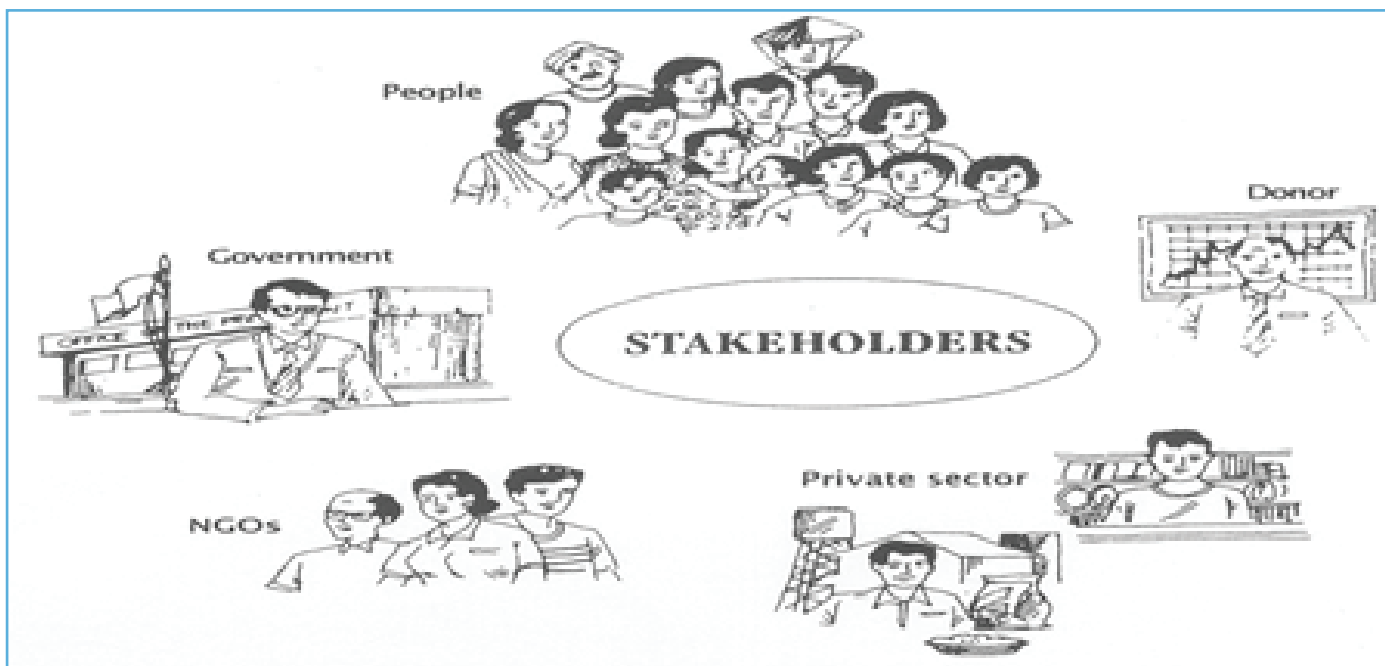


Figure 6.4: Pictures showing the sample stakeholder

Table 6.2: Example list out as much as possible the WASH sector stakeholders, see table below for a sample.

Community/ groups	Government organizations	UN agencies	NGOs'	Institutions	Private organizations	Association/ Firms
Religious leaders	Water Bureau	UNICEF	International NGOs'	Universities	Manufactures	EEHPA
Cultural leaders	Health Bureau	WHO	National NGOs'	Colleges/TVET National		EEHPA
Community institution/ CBO	Education Bureau	UNDP		Laboratories		EWASHA
	Finance	UNHCR				EPA
	Regulatory					EEA

Remember that although stakeholders may be both organizations and people, ultimately you must communicate with people. Make sure that you identify the correct individual stakeholders within a stakeholder organization.

### Step 2 – Prioritize Your Stakeholders

You may now have long list organizations that are affected by WASH Program/work. Some of these may have the power either to block or advance. Some may be interested in what you are doing, others may not care. Map out your stakeholders on a Power/Interest Grid as shown below, and classify them by their power over your work and by their interest in your work.

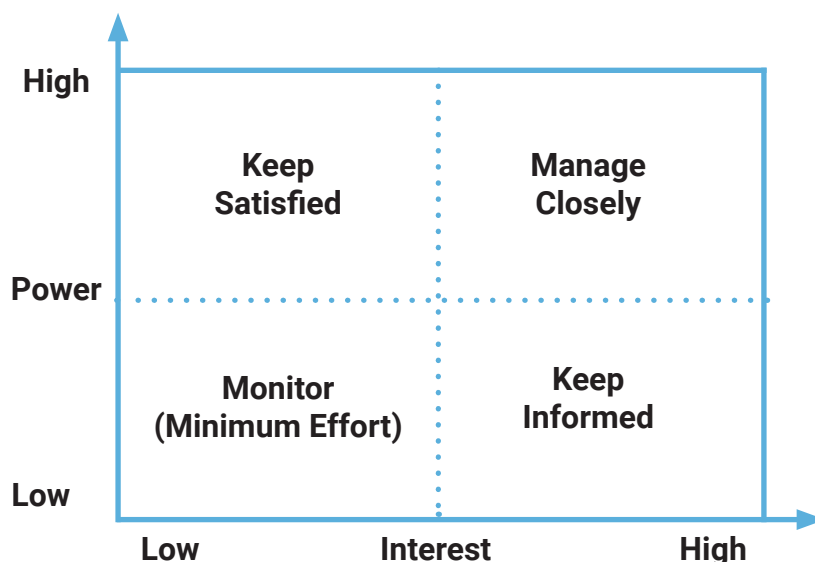


Figure 6.5: The Power/Interest Grid for Stakeholder Prioritization

Stakeholders could be classified in to the following groups.

- **High power, highly interested people (Manage Closely):** you must fully engage these people, and make the greatest efforts to satisfy them.
- **High power, less interested people (Keep Satisfied):** put enough work in with these people to keep them satisfied, but not so much that they become bored with your message.
- **Low power, highly interested people (Keep Informed):** adequately inform these people, and talk to them to ensure that no major issues are arising. People in this category can often be very helpful with the detail of your project.
- **Low power, less interested people (Monitor):** again, monitor these people, but don't bore them with excessive communication.

Your boss, for example, likely has high power and influence over your projects and high interest in them. Your family, however, may have high interest in them, but won't have power over them.

Table 6.3: Scoping Exercise template for Stakeholders analysis

Stakeholder	Stakeholder group	Role of stakeholder	Stake (interest) in the project	Category of stakeholder (primary, secondary, etc)

### Step 3 – Understand Your Key Stakeholders

You now need to know more about your key stakeholders. You need to know how they are likely to feel about and react to your project. You also need to know how best to engage them in your project and how best to communicate with them.

Key questions that can help you understand your stakeholders are:

- What financial or emotional interest do they have in the outcome of your work? Is it positive or negative?
- What motivates them most of all?
- What information do they want from you?
- How do they want to receive information from you? What is the best way of communicating your message to them?
- What is their current opinion of your work? Is it based on good information?

- Who influences their opinions generally, and who influences their opinion of you? Do some of these influencers therefore become important stakeholders in their own right?
- If they are not likely to be positive, what will win them around to support your project?
- If you don't think you will be able to win them around, how will you manage their opposition?
- Who else might be influenced by their opinions? Do these people become stakeholders in their own right?

A very good way of answering these questions is to talk to your stakeholders directly – people are often quite open about their views, and asking people's opinions is often the first step in building a successful relationship with them.

You can summarize the understanding you have gained on the stakeholder map, so that you can easily see which stakeholders are expected to be blockers or critics, and which stakeholders are likely to be advocates and supporters of your project. A good way of doing this is by color coding, as shown below.

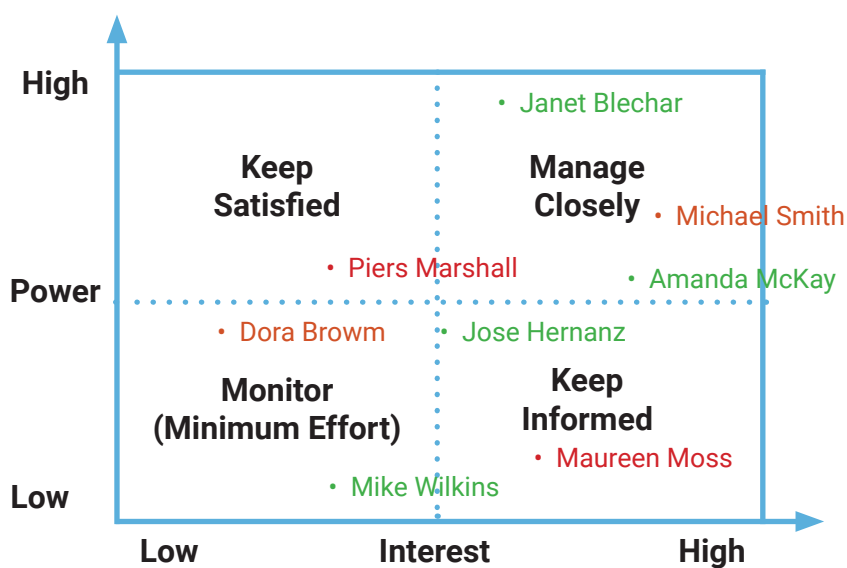


Figure 6.6: Example Power/Interest Grid with Stakeholders Marked<sup>3</sup>

<sup>3</sup> [www.mindtools.com/rs/StakeholderAnalysis](http://www.mindtools.com/rs/StakeholderAnalysis)

## 7. STRENGTH, WEAKNESS, OPPORTUNITY AND THREATS (SWOT) ANALYSIS

SWOT analysis is designed to facilitate a realistic, fact-based, data-driven look at the strengths and weaknesses of an organization, initiatives, or within its industry. The organization needs to keep the analysis accurate by avoiding pre-conceived beliefs or gray areas and instead focusing on real-life contexts. It is helpful to gauge how a project will perform, or to analyze how a project performs. The analysis also gives the possibility to explore strengths and weaknesses of a possible introduction of water management measures. It can help to take decisions which are important in order to make further steps towards a sustainable utilization of water.

SWOT analyses can be a helpful tool to analyses an organization or a planned or ongoing sanitation and water management and its environment. The acronym SWOT stands for strengths, weaknesses, opportunities, and threats. Strengths and weaknesses can be regarded as internal factors whereas opportunities and threats stand for external factors. The SWOT analysis gives the possibility to develop a strategy which can help to tackle the weaknesses and threats. It can help to match resources and capabilities to threats and opportunities in the competitive environment.

### Tips

- SWOT analysis is a strategic planning technique that provides assessment tools.
- Identifying core strengths, weaknesses, opportunities, and threats leads to fact-based analysis, fresh perspectives, and new ideas.
- SWOT analysis works best when diverse groups or voices within an organization are free to provide realistic data points rather than prescribed messaging.

### Advantages

- Easy to use
- Works without much technical equipment
- Raises awareness of opportunities, weaknesses and threats
- Gives the possibility to respond to threats and weaknesses
- Generates new ideas and strategies

### Disadvantages

- The SWOT analysis is subjective
- There is a certain danger of oversimplifying
- The SWOT analysis is often performed as a simple list and not reflected and analyzed thoroughly

The SWOT analysis is a basic, straightforward framework. It accomplishes this by summarizing the risk and opportunities for any organization or planned undertaking or intervention. There are factors which pertain to the internal environment. Normally, these internal factors are provided by the classification of Strength (S) and Weakness (W). The external factors consist of Opportunities (O) and Threats (T). The SWOT analysis is easy to understand and to carry out. The analysis is typically represented by a four-box model that lists strengths, weaknesses, opportunities, and threats in the following order (see Table 7.1).

### Conducting a SWOT Analysis

Normally, a SWOT analysis begins with strength and weaknesses and moves out to the external factors opportunities and threats. To start, the group should conduct a **brainstorming** to list factors for the four letters. There should also be a time limit in which the analysis has to be done.

- If you conduct the analysis, this should be done with asking questions. The most important questions are:
- What are the strengths of our organization/intervention on capacity development in WASH?
- What are the weaknesses of our organization/intervention on capacity development in WASH?
- What opportunities exist in our external environment for WASH capacity building?
- What threats to the organization/intervention exist in our external environment for WASH capacity development?

Of course, there are many more questions which can be asked in this way. Below there are some more possible questions, which can be posed:

- What could be potential issues (political, social, economic etc.) which make an adaptation of a water management project difficult to realize?
- What possibilities could exhibit a WASH management project?
- How is the organization/intervention accepted socially?
- Which technology fits the project best?

Those topics are primarily to be examined for the external factors (threats and opportunities). These factors should not only be formulated on the basis of what exists now, but also considering future trends and developments. It is important to examine threats and opportunities in one step since they are often associated with each other. Threats may appear as the dark side of opportunities, but they exhibit also possible opportunities. The internal factors are more up to the abilities of an organization/intervention and since abilities depend on oneself, strengths and weaknesses should be assessed in a down-to-earth-manner. Following there are some abilities which can be considered:

- Ability to implement a (water and sanitation) project (resources)
- Know-how of the participants involved
- Ability to convince people of a (water and sanitation) project
- What are possible advantages of the project?
- What are possible limitations?

There are many more questions to explore the four factors. The questions depend on the respective organization or interventions. Therefore, the SWOT analysis can be used to examine various types of applications.

**Table 7.1: The SWOT analysis four-box model**

	Strengths	Weaknesses
Internal	<ul style="list-style-type: none"> <li>• Professional WASH staffs hired</li> <li>• WASH capacity building guideline available</li> </ul>	<ul style="list-style-type: none"> <li>• The WASH staffs involvement on management weak.</li> <li>• No budget allocated for artesian of latrine and water schemes</li> </ul>
	Opportunities	Threats
External	<ul style="list-style-type: none"> <li>• Sanitation Marketing Financing private company, MFI</li> <li>• Online WASH trainings</li> <li>• Donor attention for WASH</li> </ul>	<ul style="list-style-type: none"> <li>• Lack of awareness of WASH about the technologies</li> <li>• Recurrent conflict</li> </ul>

## 8. RESOURCE MAPPING

The capacity building mapping approach can be **used to identify existing resources in the communities, organizations, institutions, specific locations/offices, etc** . As part of this approach, inventories are used to provide information for a capacity map.

It can also be used to generate group discussions around issues like capacity gaps, resource allocation and management, use and benefits obtained from the resources and relationships between the different resources toward capacity building. It may also involve:

- Shared understanding among the actors/staffs about the resources in their area and their geographical location.
- Identification of key factors (i.e. institutional settings, customary rights and agreements, regulations, managements, conflicts, financial capacities etc.) that shape the relationships between the social actors and the biophysical resources in the site.

There are the following four steps in Resource Mapping.

**Step 1: Creating a map** - In groups, construct a map illustrating the main resources (Natural, physical, financial, technical) of the site. You can use a flipchart and/or other materials to represent the different resources and their spatial distribution in the map. This exercise encourages effective participation and participants are able to make as many corrections as they need to. After an agreement has been reached on a first sketch as a good representation of the project site, participant representatives can then transfer it on a clean flip chart.

**Step 2: Discussion** - In the same groups, discuss formal resources based on the map (consider different disciplines (Leadership, Environmental health, Engineer, Technician, artesian, contractors and groups etc. in the discussion). Some questions that you can use to guide the discussion are:

- Who has access to which areas?
- Who does not benefit from the capacity building to access resources in the area and why? (Indicate restrictions/barriers).
- What capacity building properties apply in the area?
- What resources are managed under a WASH sector? By whom?
- What regulations apply on what areas?
- What conflicts are there on natural resources?

**Step 3: Use and benefits analysis** - Working in the same groups, discuss how participants use the resources mapped and how they benefit from them. Use the following questions as a guide:

- What resources in the map are used to satisfy your needs (resources that benefit you in WASH capacity building)? List the resources and the satisfied needs using a table on a flipchart (Remember needs can be direct and indirect).
- Describe the resource in terms of abundance, seasonality (if natural resources) and/or functionality (if physical resources). Add this to the table where you listed the resources (see example below).
- How do you use the resources? Add the different uses to the table (see example below). Use stones to define how much of each resource you allocate to the different uses.

**Table 8.1: Shows the resources**

Resources	Skills	Abundance	Accessibility	Seasonality/ Functionality	Direct and Indirect Benefits

**Key:** Skills: 1 Unskilled, 2 Skilled, 3 Highly skilled

Abundance: 1 Very rare, 2 Few, 3 Some, 4 Abundant, 5 Very abundant

Accessibility: 1 Difficult to access, 2 Relatively easy to access, 3 Very easy to access

Benefits: The participants list some direct and indirect benefits from the resources.

The Major resources are:

- Natural Resource
- Financial Resource
- Human Resource/Human Capital
- Endogenous Knowledge/skill
- Institutions
- Technology

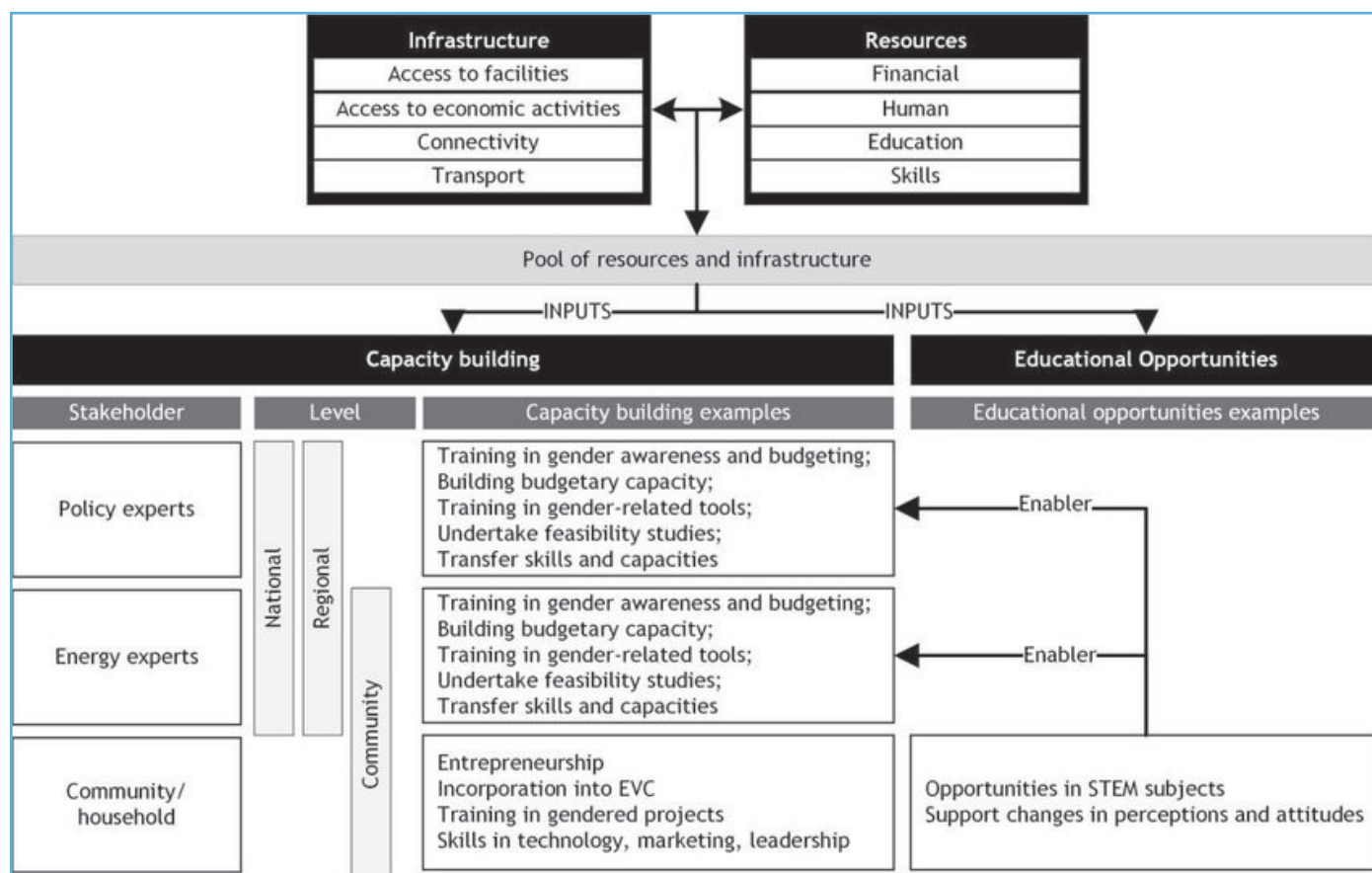


Figure 8.1: Conceptual mapping of Capacity Building<sup>4</sup>

<sup>4</sup> South African Journal of Industrial Engineering November 2020 Vol 31(3) Special Edition pg 90

## 9. PRINCIPLES FOR WASH CAPACITY DEVELOPMENT

Any WASH capacity development issue Needs to follow the following principles:

- 1. Ensure coherence in capacity development efforts:** Ensure capacity development activities secure national coherence among national, subnational and local level actors and processes; avoid duplication and unnecessary efforts among the government, national partners, UN agencies and other development actors; and foster the sustainability of gains beyond the duration of a programme or project.
- 2. Develop and apply quality standards for capacity development:** The WASH Capacity development interventions need to be guided by specific quality standards that enable the measurement of the quality of progress in terms of effectiveness, efficiency and sustainability and results at all key decision points.
- 3. Develop indicators to measure capacity development:** Use specific development goals to associate with and identify appropriate capacity development objectives, targets and indicators, to measure capacity for what (e.g., capacity to maintain facilities for safe and adequate sanitation).
- 4. Build data systems and conduct baseline and follow-up assessments:** Build data systems to systematically collect relevant data against specific indicators, generate time series and analyse trends to take evidence-based decisions, recognizing that capacity development in all its forms is a long-term objective. Conduct baseline assessments and regularly schedule sectoral capacity assessments to measure progress towards capacity development objectives against capacity development indicators, relying wherever possible on existing monitoring and evaluation systems/proxy indicators. Share analysis and information with stakeholders, partners and the public.
- 5. Use evidence to inform programming decisions:** In measuring capacities, consider that sustainability and self-sufficiency cannot be definitively measured until capacity development support has ended, but regular monitoring can inform the likelihood of and improvements towards sustainability. Use regular objective and critical reviews during formulation and implementation stages, and during evaluations, to ensure quality and comprehensiveness of capacity development measurement indicators, processes and results achievement, and to make evidence-informed Programme and project-related decisions.



## 10. STEPS FOR WASH CAPACITY DEVELOPMENT ASSESSMENT

The following steps must be followed in the course of capacity development assessment.

- 1. Don't rush** - Capacity development is a long-term process. It eludes delivery pressures, quick fixes and the search for short-term results.
- 2. Respect the value system and foster self-esteem**- The imposition of alien values can undermine confidence. Capacity development builds upon respect and self-esteem.
- 3. Scan locally and globally; reinvent locally** - There are no blueprints. Capacity development draws upon voluntary learning, with genuine commitment and interest. Knowledge cannot be transferred; it needs to be acquired.
- 4. Challenge mindsets and power differentials** - Capacity development is not power neutral, and challenging mindsets and vested interests is difficult. Frank dialogue and a collective culture of transparency are essential steps.
- 5. Think and act in terms of sustainable capacity outcomes** - Capacity is at the core of development; any course of action needs to promote this end. Responsible leaders will inspire their institutions and societies to work accordingly.
- 6. Establish positive incentives** - Motives and incentives need to be aligned with the objective of capacity development, including through governance systems that respect fundamental rights. Public sector employment is one particular area where distortions throw up major obstacles.
- 7. Integrate external inputs into national priorities, processes and systems** - External inputs need to correspond to real demand and be flexible enough to respond to national needs and agendas. Where national systems are not strong enough, they should be reformed and strengthened, not bypassed.
- 8. Build on existing capacities rather than creating new ones** - This implies the primary use of national expertise, resuscitation and strengthening of national institutions, as well as protection of social and cultural capital.
- 9. Stay engaged under difficult circumstances** - The weaker the capacity, the greater the need. Low capacities are not an argument for withdrawal or for driving external agendas. People should not be held hostage to irresponsible governance.
- 10. Remain accountable to ultimate beneficiaries** - Any government is answerable for its people and should foster transparency as the foremost instrument of public accountability. Where governance is unsatisfactory it is even more important to anchor development firmly in stakeholder participation and to maintain pressure points for an inclusive accountability system.

# 11. METHODOLOGY AND APPROACHES OF WASH CAPACITY DEVELOPMENT

To conduct the WASH sector capacity assessments, it should be systematic and rigorous, yet flexible and adaptable; it is not a blueprint but can be used in a variety of contexts at country wide and as well as Varsity experts' levels to suit purposes of WASH sector improvement in comprehensive, integrated and harmonization. The methodology provides a structure for discussion about the scale, scope and process of a WASH sector capacity assessment practice and avail the capacity development agenda as guidance.

Key features of the WASH Capacity assessment methodology are:

- A **structure** for discussion about the scale and scope of a capacity assessment and more generally about a capacity development agenda;
- A systematic **process** for assessing capacity assets and needs and formulating a capacity development response; and
- **Resources and tools** to support a capacity assessment including content for assessing functional capacities along points of entry and core issues.

For the enhancement of WASH capacity development, the United Nations Development Program (UNDP) capacity assessment methodology which has three dimensions could be adopted.

1. **Points of entry:** in WASH sector that capacity resides on different levels – the enabling environment, the organizational and the individual. Each of these levels can be the point of entry for capacity assessment methodologies. Please look the below capacity Assessment Framework that adopted from UNDP that is specifically tailored to the enabling environment and the organizational level;
2. **Core issues:** These are the four capacity issues that empirical evidence suggests to be the most commonly encountered across sectors and levels of capacity:
  - i. Institutional arrangements;
  - ii. Leadership;
  - iii. knowledge; and
  - iv. Accountability

Note that every assessment needs to cover all four, but a capacity assessment team should at least consider all of them as it defines the scope of an assessment.

3. **Functional and technical capacities:** Functional capacities are necessary for creating and managing policies, legislations, strategies and programmes. The following functional capacities are key: 1) Engage WASH stakeholders; 2) Assess a situation and define a vision and mandate of WASH sectors; 3) Formulate policies and strategies toward WASH sector; 4) Budget, manage and implement for WASH; and 5) Evaluate the WASH sectors.

The methodology is different from many other assessment methodologies in that it: Focuses on capacity and not, for example, on organizational design, functional roles and responsibilities, or a risk analysis; Emphasizes the link between a capacity assessment and a capacity development response and thereby sets the stage for moving beyond analysis to action; Establishes indicators for capacity development and benchmarks for measuring progress on it.

## Methods how to collect the National WASH Capacity Assessment

To collect the information about the Capacity existing on WASH of the Organizations as well as individuals the following listed items could be applied,

- One-on-one interviews
- Focus groups
- Surveys
- Questionnaires and/or
- Organizational mapping sessions

### How can we approach capacity development? What to 'do'?

There is a broad range of possible approaches for capacity development available. We will introduce this broad range, combined with the suggestion to be able to combine them in ways that can respond to the escalating complexity of development. Just to get an idea of possible approaches:

- Supplying additional financial and physical resources;
- Helping to improve the organizational and technical capabilities of the organization (technical assistance, training, systems improvement, better working conditions, etc.);
- Helping to settle on a clear strategic direction;
- Protecting innovation and providing opportunities for experimentation and learning;
- Helping to strengthen the bigger organizational system;
- Helping to shape an enabling environment;
- Creating more performance incentives and pressures.

The WASH sector to be effective the listed below suggested measures should be taken to be more effective in developing national capacities:

- 1. Alignment with national needs and priorities:** The measures proposed most frequently pertained to WASH sectors aligning capacity development strategies and programme with national priorities. This helps to get more attention from leaders and politicians. In the other side, helps to mobilize and increase involvement of different actors. There was a call for a more demand-driven approach and for WASH sectors to support governments' own capacity development initiatives. In the national WASH capacity development proposed greater collaboration between United Nations entities, Non-governmental Organizations and government ministries and consultation with all relevant stakeholders, including non-state actors, to ensure that capacity development initiatives are relevant to the needs and priorities of the country. The involvement of ministries in the design of programmes and projects was also proposed.
- 2. Use national systems and capacities:** There were several proposals pertaining to the use of existing national capacities and national systems, to ensure sustainability. Measures to improve the effectiveness of the Capacity development system should be include greater and better use of country systems (financial and procurement), and national expertise. There was a call for strengthening existing capacities where strengthening is required rather than gap filling with external advisers. All the WASH actors, including UN and NGOs' suggested to use and align with the government system which is part of strengthening capacity.
- 3. Harmonization and Coordination:** Harmonization and coordination enables all actors – national and local government, donors, lending banks, NGOs and other water sector stakeholders – to recognize and adhere to common principles and approaches when supporting WASH program including capacity strengthen. For instance, the principle of aid effectiveness, which means external actors will better coordinate amongst themselves and align behind a recipient country's national policies, priorities, and systems. In other words, implementing programmes (at local level) should follow nationally-set guidelines and standards. Strong coordination is key to an efficient and effective response, and is required for the successful implementation of national strategies. Capacity development plans for national coordinating bodes should identify coordination challenges both internally and at a national and district level, as well as identifying the sectors working within the response, mapping these, and monitoring and evaluating all partners and their roles.
- 4. Approaches and Priority areas:** Programme countries suggested that the United Nations development system could be more effective in supporting the development of national capacities by paying attention to sustainability; supporting long-term capacity development programmes and moving away from ad hoc approaches; and adopting a results-oriented approach to capacity development. They also identified areas that required more attention, for example, capacity development in development and planning; conducting capacity assessments for institutions responsible for implementation, monitoring and evaluating national development and poverty reduction plans and strategies. There were suggestions that more attention be paid to line ministries with inadequate capacities rather than focus almost exclusively on central agencies; do more to develop capacities at sub-national levels; and greater attention to be paid to capacity development of women.

- 5. Resources for capacity development:** Programme countries expressed the need for increased resources for capacity developed. Measures proposed in respect of resources pertained primarily to knowledge and information resources. These include access to good practices from other countries that can be replicated; transfer of knowledge and know-how; sharing technology and providing support and assistance based on advanced technology. With regard to financial resources, it was proposed that governments should receive advance information on proposed technical assistance when government does its planning so that assistance can be provided by the United Nations, donors and other stakeholders.

## 12. WASH NATIONAL CAPACITY DEVELOPMENT FRAMEWORK

“By 2030, expand international cooperation and capacity-building support to developing countries in water- and sanitation-related activities and programmes, including water harvesting, desalination, water efficiency, wastewater treatment, recycling and reuse technologies.<sup>5</sup>”

To achieve the WASH sector capacity development we should have to foster the communities, groups (CBO, religious and cultural), organizations (government, NGO, private sectors and CSO), and in place the enabling environment (policies, guidelines, structures, technologies and advocacy) to achieve in cooperative and integrated manner.

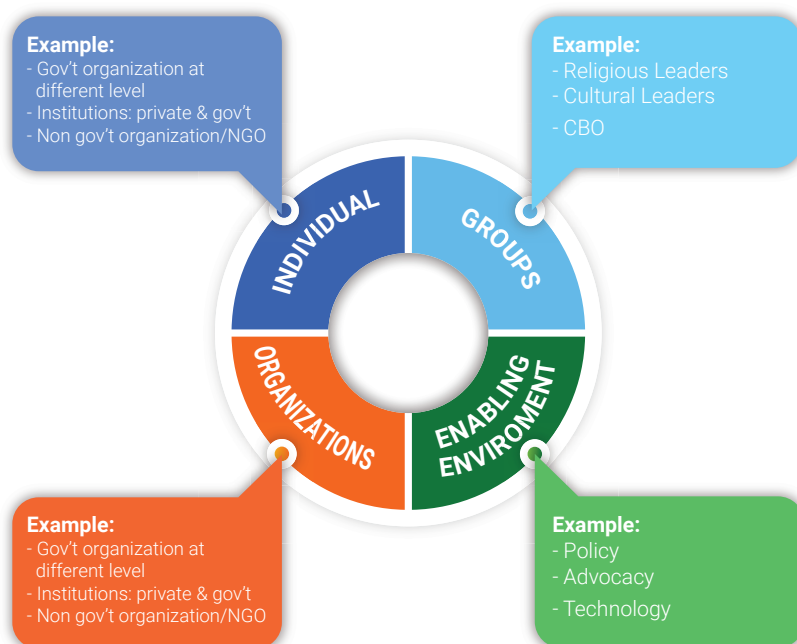


Figure 12.1: WASH Capacity Development framework

<sup>5</sup> UN Water. Integrated Monitoring Guide for SDG 6 Targets and global indicators. (2016).

## 13. IMPLEMENTATION PLAN FOR WASH SECTOR CAPACITY DEVELOPMENT

The Capacity Development implementation plan is formulated based on the identified capacity gaps through the assessment/research/ conducted at each level. As an entry point the summary gaps those identified through the assessment can be considered. The capacity gaps fall majorly into different categories namely Government at different level, Private sectors, Professional Associations, Civic Society organizations, Training institutions/ Universities and NGO/Funding Organizations. The capacity development assessment and implementation should be seen reaching the community needs, meeting the national and global standards that should have been seen technically, strategically, policies/laws, politically, economically and socially.

*“Capacity development planning, monitoring and evaluation are essential for improving service levels, operating and maintaining technology, increasing job creation in the water sector, and monitoring performance, including at community level. Water education is necessary at all level to develop a holistic understanding of the issues at stake, including for young people.*

*Capacity development is required in engineering, scientific and technical disciplines, and also all areas related to water and sanitation including in policy, law, governance, finance. Information technology, environment, gender, stakeholder participation and management. This includes strengthening the capacity of the local governments and water and sanitation providers in water and sanitation service delivery”-UN-Water, SDG 6 Global Acceleration Framework July 2020.*

### 13.1. Thematic Capacity Development Areas

For the details of the implementation plan see Annex 1.

Based on the identified gaps and thematic areas for capacity development the planning should have to be done in different sectors and areas. The planning of Capacity building should be in Strategic planning and Result Based management.

- Government: Federal, Regional, Zonal, Woreda and kebele level
- Private Sectors
- Community level
- Universities and training institutions
- Civil Society Organizations

#### **Organizational Capacities**

The Financial capacity, presence of equipment, and availability of other resource is mandatory for an organization to full discharge services expected from it. Therefore, the organization should be at its full capacity by wise allocation of resources. National level PMU, National Coordination Office, Regional coordination offices should be provided with necessary resources. The TEVT schools should have necessary equipment and teaching and training aid to produce efficient and technical expertise in executing operation and maintenance of water schemes.

National/Regional/zonal level capacity building includes provision of vehicle, office materials, computers, printers photocopy machine, water test kits, laboratory materials etc

Woreda level capacity building includes provision of motor cycle for scheme supervision, office desk, chairs, printer and photocopy machine

#### **Capacity building on Operational Systems**

The capacity building on operation system includes enhancing harmonized planning, financial management, procurement, capacity development, supervision, reporting, information management, and monitoring & evaluation. Improved capacity on operational systems will ensure self-sustained program existence at all level.

- Harmonized planning
- Financial management
- Information management
- Monitoring and Evaluation (Supervision, tracking of services, reporting, Periodic Evaluation).

### Harmonized planning

Harmonized planning helps to avoid effort duplication and enables to pool resource for synergy toward national level goal.

### Financial management

Budget control is achieved through a combination of commitment accounting and expenditure approvals. All engaged in the budget execution process are responsible for ensuring that all spending are in accordance with the budget and financial policy. Provision of Training on financial management at each level.

### Procurement

The Procurement Proclamation issued by the Federal Government (January 12, 2005) and the subsequent Procurement Directives released by MoFEC should be well known at each level to comply with. At each level the procurement code should be enacted by regional governments and the procurement directive adapted to each region based on a model prepared by the Federal Government. According to the Government's policy to decentralize and devolve responsibility, WASH procurement should be carried out, as far as possible, at the level where the goods are utilized and the services delivered to build capacity for local procurement.

Procurement requires quality assurance (QA). QA for goods can be undertaken in collaboration with the Ethiopian Standards Authority (ESA).

Training will be arranged in procurement planning timely request, bidding and procurement of material needed for One WASH program at each level.

### Information management

Data base which comprises comprehensive information on WASH should be established and should be updated periodically to ease both physical activities and financial/budget planning.

**Table 13.1: Summary of Implementation plan as an example for WASH Capacity building**

Area of Capacity building	Frequency	Means of verification	Expected outcome
<b>Building individual technical capacity to improve the efficiency of organization</b>			
<b>Federal, Regional, and Zonal level.</b>			
Training of trainer will be given on strategic planning at Federal level and regional/zonal level	Based on continuous need assessment	Pre and posttest training and Performance evaluation before & after	Feasible consolidated One WASH strategic plan will be produced and will be in place at each level
Federal/Regional/zonal level training on in Tendering and Contract Management for Technical Service	Based on continuous need assessment	Pre-post training test Staff performance evaluation	Increased quality services of One WASH Programme
Training on Service quality Assurance by establishing strong M & E system to measure progress against the indicator set	Based on continuous need assessment identified skill gaps	Pre-post training test, staff performance in tracking services, documentation, reporting & identification of lesson learnt & best practices	Strong Monitoring & Evaluation system will be in place, The staff at each level understand M&E tools and use it, and Timely and quality reports will be produced

Training on WASH technical skill at National/Regional/zonal level	Based on continuous need assessment	Pre-post test result, Performance evaluation of staff after the training	Well understanding of the program and delivery of quality services at each level.
Training on Thematic hygiene approaches: CLTS, SANMARK, MBS and Sanitation subsidy	Based on needs	Pre-post test result	# ToT given, trainings cascaded
Training on Sanitation and Hygiene promotion through SBCC	Based on need assessment	Pre-post test result	Improved Sanitation and Hygiene behavior
Provision of water quality training and continues water quality monitoring	Based on the gaps		Water quality monitoring reported
<b>Woreda level</b>			
Training on strategic planning & Result Based management at woreda/town level (for WWT/ Water board and WASH focal person from signatory sectors	Once	Pre-posttest result, trainees attendance sheet, Performance evaluation of trained staff	Availability of woreda level Consolidated feasible One WASH strategic plan
Woreda/town level training (for WWT and WASH focal person from signatory sectors on Tendering & Contract Administration	Once	Pre-posttest result, trainees attendance sheet, Performance evaluation of trained staff	Timely execution of Tendering and proper contract administration
Woreda/town level training (for WWT/water board and WASH focal person from signatory sectors on Contract Administration and supervision	Once	Pre-posttest result, trainees attendance sheet, Performance evaluation of trained staff	Increased capacity of contract administration and supervision
Training of WASH focal person and Scheme care takers on Operation and Maintenance	Periodical along with new scheme construction	Pre-posttest result, trainees attendance sheet, Performance evaluation of trained staff	Availability technical personal who can execute operation and maintenance of schemes Increased number of functional schemes
Training on Monitoring and Evaluation System and Tools and how to conduct period monitoring/and evaluation	Once and as new staff is deployed	Pre-posttest result, trainees attendance sheet, Performance evaluation of trained staff	The staff understands Monitoring & Evaluation tools & uses them appropriately Consistent & accurate quality data & reports will be generated
<b>Community Level</b>			
Training on strategic planning & Result Based Management to KWT members, WASHCO members, Technical service providers	Once before preparation of consolidated WaSH Plan	Pre-posttest result and trainees attendance sheet	Availability of Kebele level Consolidated feasible One WASH plan



Training KWT members, WASHCO members, technical service providers, WEWs, HEWS, DAs, Community Health Promoters, artisans, caretakers & operators on community level contract management	Once	Trainees attendance sheet	Well managed contract and quality scheme construction Effective and efficient resource utilization
Training KWT members, WASHCO members, Technical service providers, WEWs, HEWS, DAs, Community Health Promoters, artisans, caretakers & operators on tariff setting & money management to ensure sustainable operation cost.	Once	Trainees attendance sheet	There will be Acceptable tariff set which enables to mobilize operation and maintenance cost Sustainable WASH services
Training WASHCO members, Technical service providers, artisans, caretakers & operators Operation and Maintenance	Periodical	Trainees attendance sheet	Improved technical skill on operation & maintenance Non-functional schemes will be maintained to deliver service
Training on Monitoring & Evaluation Tools and how to conduct period monitoring	Periodical	Pre-posttest training Staff Performance evaluation	Improved technical skill in monitoring, usage of data tracking, documentation and reporting Presence of accurate data about schemes
Training on Data management	Periodical	Listed number of functional and non-functional schemes Specific location of schemes, Number of beneficiaries per household Household WASH coverage	Regularly updated Water facility inventory Updated S & H coverage Updated Institutional WASH coverage Updated household latrine coverage

## 13.2. Implementation of Capacity Development Structure

The core capacity gaps are categorized as National level, Regional level /zonal level, Woreda/town level gaps Kebele/Community level. Therefore, capacity building activities will be executed at each level.

**National level Advisory Group:** National level decision makers from the signatory sectors and representative of key stakeholders will take the lead in resource allocation.

**National level Technical Advisory group:** National level technical Advisory group comprises a group of expertise and specialists in WASH from National/ Regional and zonal sectoral offices. They evaluate soundness implementation plan of Capacity building, give feedback for timely incorporation of gaps identified, and oversee the standards of capacity building activities.

**Regional/Zonal Coordination Team:** This team will take the lead of facilitating training

**Woreda/town level Coordination Team:** will oversee woreda level and community level One WASH Program capacity building activities

**Community/Kebele level Team:** Oversee community/Kebele level One WASH capacity building activities.

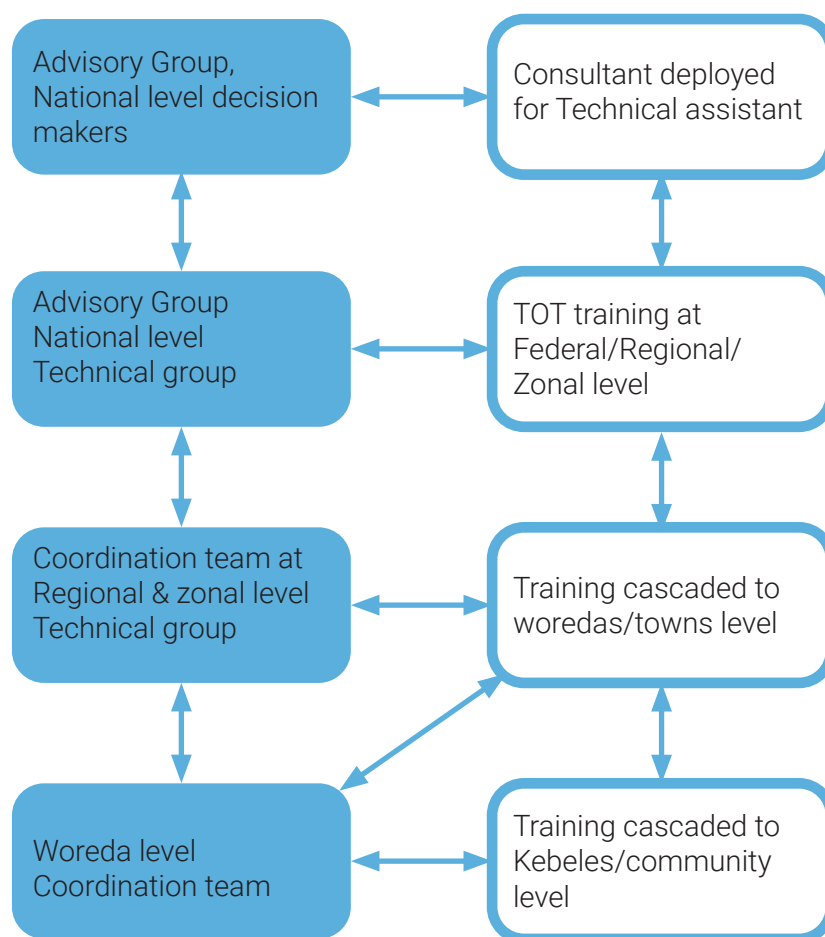


Figure 13.1: Organizational structure for training

### 13.3. Implementation steps and cascading plan

Implementation Plan for Capacity building will start from National level and will be cascaded down including the communities and other stakeholders (Private sectors, firms, CSO etc).

- The Deployed consultant will present brief content and scope of Capacity building implementation Plan to National advisory group.
- National level technical group will see the implementation plan and will forward comment within a week.
- The consultant will incorporate the comments and suggestion form National level technical group and submit the final plan Implementation plan within the second week
- The training and capacity building will be provided into four clusters
- National level TOT training takes two months to completed
- Regional/zonal level takes two month to cover all the training topics
- Woreda/ town level capacity building training takes two month
- Community or Kebele level capacity building training takes two months



Figure 13.3: Organizational structure for WASH

### 13.4. Human Resource/skill plan

Human resource Capacity development/building plan will be done in two ways

The first one is capacitating/human resource development through continuous short term and long term training based up on periodic capacity building need assessment.

The second one is allocation of budget and recruitment of competent staff to an occupied and vacant position at each level to deliver intended services.

Table 13.2: Staffs and training needs

Staffs who require capacity building to be trained on the topics listed below				
S.No	Level to be the capacity building will be given	Areas of Skill gaps	Number of staff	Responsible
1	Federal level/City	<ul style="list-style-type: none"> <li>Integration and harmonization of One WASH</li> <li>Communication</li> <li>Fund and resource mobilization</li> <li>Making decision at the right time</li> <li>Delegation of responsibilities</li> <li>Tendering and contract management</li> <li>Contract management and Supervision</li> <li>Monitoring and Evaluation</li> <li>Data management</li> </ul>		Federal

2	Regional/Zonal level	<ul style="list-style-type: none"> <li>• Integration and harmonization of One WASH</li> <li>• Communication</li> <li>• Funding and Resource mobilization</li> <li>• Making decision at the right time</li> <li>• Delegation of responsibilities</li> <li>• Tendering and contract management</li> <li>• Contract management and Supervision</li> <li>• Monitoring and Evaluation</li> <li>• Data management</li> </ul>		Regional bureaus
3	Woreda/town level	<ul style="list-style-type: none"> <li>• Communication</li> <li>• Making decision at the right time</li> <li>• Delegation of responsibilities</li> <li>• Tendering and contract management</li> <li>• Contract management and Supervision</li> <li>• Data management</li> </ul>		Woreda sector offices
4	Community level	<ul style="list-style-type: none"> <li>• Communication</li> <li>• Making decision at the right time</li> <li>• Delegation of responsibilities</li> <li>• Tendering and contract management</li> <li>• Contract management and Supervision</li> <li>• Data management</li> </ul>		Woreda sectors

**Vacant posts to be filled and estimated budget allocation**

S.No	Level of Capacity building need	Key personnel Unoccupied/ Vacant posts	Estimated budget	Date
1	National level	<ul style="list-style-type: none"> <li>• Program Directors</li> <li>• Specialists</li> <li>• Expertise</li> <li>• Project Managers</li> <li>• Project officers</li> <li>• MEAL Personnel</li> <li>• HR</li> </ul>		
2	Regional level/Zonal level	<ul style="list-style-type: none"> <li>• Program Directors</li> <li>• Specialists</li> <li>• Expertise</li> <li>• Project Managers</li> <li>• Project officers</li> <li>• MEAL Personnel</li> <li>• HR</li> </ul>		
3	Woreda/Town level	<ul style="list-style-type: none"> <li>• Specialists</li> <li>• Expertise</li> <li>• Project Managers</li> <li>• Project officers</li> <li>• MEAL Personnel</li> <li>• HR</li> </ul>		
4	Community or Kebele level	<ul style="list-style-type: none"> <li>• Expertise</li> <li>• Project officers</li> </ul>		

### 13.5. Logistics support plan

Logistic support plan in capacity building will map logistic gaps which hinder the operational capacity of One WASH program at all level. The overall logistic support plan for capacity building is just summarized in table below based on assessment that prioritized.

S.N	Level logistic support is needed	Type of logistic support	Quantity
1	National level	<ul style="list-style-type: none"> <li>• Vehicle</li> <li>• Laboratory kit and reagents for water test</li> <li>• Computer</li> <li>• Printer</li> <li>• Office furniture</li> </ul>	
2	Regional level	<ul style="list-style-type: none"> <li>• Vehicle</li> <li>• Motor cycle</li> <li>• Laboratory kit for water test and reagents</li> <li>• Computer</li> <li>• Printer</li> <li>• Office furniture</li> <li>• Teaching aid in TEVET school                             <ul style="list-style-type: none"> <li>• Afri Dev</li> <li>• Indian mark II</li> <li>• White board</li> <li>• Spare parts</li> </ul> </li> </ul>	
3	Woreda level	<ul style="list-style-type: none"> <li>• Motor cycle</li> <li>• Laboratory kit &amp; reagent for water test</li> <li>• Computer</li> <li>• Printer</li> <li>• Office furniture</li> </ul>	
4	Community Kebele level	<ul style="list-style-type: none"> <li>• Pipe thread</li> <li>• Pipes (both plastic and steel)</li> <li>• Fixtures (elbow, union, nipples, U, T)</li> <li>• Computer</li> <li>• Printer</li> <li>• Office furniture</li> </ul>	

### 13.6. Communication plan

Communication is the honest and open sharing of thoughts, ideas, and information between people. It involves actively listening to (not simply hearing) the other person’s/group’s ideas and points of view, even if they are different from our own. Through communication, people come to understand how others experience the world; this opens up opportunities to find ways to bridge gaps, resolve conflicts, and create effective ways of working together.

Effective communication should be consider the below points;

- Takes into account political, socio-economic and legal circumstances
- Takes into account language and culture
- Is trustworthy and credible
- Informs, convinces and encourages
- Treats people with respect

### **Strategies:**

Strategy is an Art, never a Science; it is the Art of the conscious mind in action

- Focuses on RESULTS
- Focuses on long-term goals and objectives, and actions to achieve them
- Takes into account external and internal environment
- Considers gaps between where you are now and where you would like to go, and what you need to achieve your objectives
- Considers who are the stakeholders and encourages them to be part of the solution, not part of the problem

There are three level of communication plan for WASH as suggested by UNICEF.

**Advocacy** consists of the information to be communicated through interpersonal contact and reports with a view to sustain acceptance, commitment and support for Programme activities. It is traditionally known as information and public affairs activities.

**Social mobilization** is the process of alliance building at field level. It aims to unite, inform and train all feasible and practical allies in the Programme who can help to raise people's awareness, to promote Programme activities, to assist in the delivery of resources and to strengthen community participation.

**Programme communication** is the process of identifying, segmenting and targeting specific messages and audiences through particular communication channels aiming at behavioral change. These activities come closest to what we could define as hygiene and health education.

## 14. MONITORING, EVALUATION ACCOUNTABILITY AND LEARNING

Strong and functional/workable Monitoring and Evaluation System should be in place. This includes understanding current WASH status at each level (baseline), setting target activities, and output and outcome indicators at each level, as aforementioned in the above table under planning. Training should be given on Monitoring and Evaluation System also. And then follow up should be executed to improve the capacity development.

### 14.1. Monitoring of the capacity development plan

Capacity Development Plan will be regularly monitored to ensure all the activities were performed as per the plan with intended quality. National level technical advisory group will take the lead in monitoring Regional and zonal level Capacity building implementation plan. The regional and zonal level technical group from regional WASH Coordination office will monitor woreda and town level capacity building and consequently, woreda/town level technical group will monitor the community or Kebele level Capacity building activities.

The capacity development implementation will be monitored using the checklist developed for this purpose which is annexed to this document Annex...1.

### 14.2. Evaluation plan for the implementation of the guideline

Evaluation plan for implementation of capacity building is to test the degree to which the guide line contributed to capacity enhancement of One WASH Program Phase II. The assessment conducted at this initial stage will be considered as bench/baseline and the progress in capacity will be measured in the course of application of the guideline and after capacity building intervention.

**Table 14.1: Level of capacity evaluation guide template**

S.No	Level of Capacity before	Capacity After
1	Integration and harmonization	
2	Technical skill of existing man power	
3	Number of vacant post which needs deployment of competent staffs	
4	Logistic supply	
5	Monitoring and Evaluation System	
6	Data base and information management system	
7	TEVET technical capacity to train necessary manpower	
7	Operational capacity of the organization	
7.1	National Level One WASH Coordination	
7.2	Regional/zonal level WASH Coordination	
7.3	Woreda/town level WASH Coordination	

## 15. DOCUMENTING THE PRACTICAL LESSONS LEARNED PLAN OF THE GUIDELINE

The best practices and lesson learnt in the course in the capacity building implementation plan will be identified and documented for program learning. Through the implementation of the capacity development there are many lessons and learning can be captured. To do, the WASH sector should have a plan for documentation of practical lessons and learning plan.

### How to Document Lessons Learned

1. Decide on the metrics you want to document for your reports.
2. Ask the team and stakeholders what went well and what can be improved in the future in WASH sector and related sectors.
3. Organize these responses into a document that's easy to read and reference for all the other stakeholders and for future.
4. Collect and store these documents for reference in future projects.



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## ANNEXES

### Annex: 1 WASH sector Capacity development plan template

S/n	Category/level	Identified gap	Suggested Capacity building area	Plan	Achievement	Time duration	Responsible	Remark
A	Federal level							
B	Regional level							
C	Zonal level							
D	Woreda level							
E	Community level							
F	Private sector							
G	Institutions							

### Annex 2: Checklists to Monitor Capacity Development plan Implementation

#### Level of supervision: National/Regional/Zonal/Woreda/town level

Date of monitoring \_\_\_\_\_, Place \_\_\_\_\_

Name of Supervisor \_\_\_\_\_ Date \_\_\_\_\_

Level at which capacity building is conducted \_\_\_\_\_

S.No	Types of capacity building activities	Quantity		Remark
		Planned	Achieved	
1				
2				
3				

4				
5				
6				
7				
8				
9				
10				

General comments on capacity building activities

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### Annex 3: The WASH staffs capacity assessment and profile

**1. What capacities?**

Design / construction / selection of technology  
 Planning  
 Operation / maintenance  
 Costing/Financing  
 Community support / mobilization  
 Monitoring  
 Sharing / informing / learning  
 Research  
 Else: please specify

**2. How to build the capacities?**

Workshop  
 Coaching  
 Regular training  
 Visit / exposure  
 Reflection / debriefing  
 Education  
 Else: please specify

**3. When to build these capacities?**

Year / month  
 Before / After a specific activity  
 In relation with other partner's activity

**4. Who will benefit?**

Profile  
 Number  
 Requirement  
 Expectation  
 Location

**5. Other beneficiaries?**

Have you already developed similar capacities?  
 Can other stakeholders benefit?  
 How and what would be the conditions?  
 Are you ready to share materials and methodologies with other organisations? On what conditions?

**6. Documenting CB activities**

List of participants  
 Repository of materials used  
 Video / interviews of beneficiaries / trainers  
 Evaluation

## Annex 4: WASH Organizational Capacity Assessment, adopted from UNHCR

<b>A. TECHNICAL SERVICE DELIVERY</b>	
<b>1. WASH sectoral expertise</b>	
a. Relevant WASH sectoral expertise and experience (water supply, excreta management, hygiene promotion, solid waste management, disease vector control) exists within the organization.	① ② ③ ④ ⑤ ⑥
b. The organization is able to carry out WASH related technical design, build, operate, train, transfer, and regulate related activities to national WASH quality standards.	① ② ③ ④ ⑤ ⑥
c. WASH expertise is distributed throughout the organization and does not rest with one or two individuals.	① ② ③ ④ ⑤ ⑥
<b>2. Geographical coverage</b>	
a. The WASH organization has a programmatic presence in areas affected by displaced population or has the ability to expand WASH programming into these areas.	① ② ③ ④ ⑤ ⑥
<b>3. WASH assets and resources</b>	
a. The WASH organization currently has the required staffing, assets, and resources (e.g. pumps, tankers, reservoirs, surveying equipment, water quality testing equipment, tankers, drilling equipment, waste collection equipment, vector control equipment etc.) to carry out WASH program delivery to relevant standards, or has a demonstrated ability to procure these assets?	① ② ③ ④ ⑤ ⑥
<b>4. Stakeholder consultation</b>	
a. WASH programs currently undertaken by the organization are based on real prioritized needs and are designed and implemented in association with stakeholders. Accountability mechanisms are in place and functional.	① ② ③ ④ ⑤ ⑥
<b>5. Value for money</b>	
a. WASH programs currently undertaken by the organization are efficient, adequate, cost effective, timely, and responsive.	① ② ③ ④ ⑤ ⑥
<b>6. Programmatic sustainability</b>	
a. The WASH programs carried out by the organization have clear exit strategies and systems of sustainable operation, maintenance and cost-recovery in the medium and long-term.	① ② ③ ④ ⑤ ⑥
<b>B. GOVERNANCE</b>	
<b>1. Board / advisors</b>	
a. The WASH organization has a board or list of advisors composed of elected and capable members who carry out key roles such as policy formulation, fund raising, public relations, or financial oversight.	① ② ③ ④ ⑤ ⑥
<b>2. Clearly defined mission and goals</b>	
a. The WASH organization has clearly articulated mission/goals and clearly defined objective statements aligned with a mission statement.	① ② ③ ④ ⑤ ⑥
<b>3. Legal status</b>	
a. The WASH organization is registered according to relevant legislation.	① ② ③ ④ ⑤ ⑥
<b>4. Leadership</b>	
a. Board / advisors, and senior management have a clear understanding of their respective roles and responsibilities.	① ② ③ ④ ⑤ ⑥

b. Leadership style of senior management is participatory.	① ② ③ ④ ⑤ ⑥
<b>C. MANAGEMENT PRACTICES</b>	
<b>1. Organizational structure and culture</b>	
a. The WASH organization has an organizational structure with clearly defined lines of authority and responsibility.	① ② ③ ④ ⑤ ⑥
a. Systems are in place to ensure appropriate involvement of all levels of staff in decision making.	① ② ③ ④ ⑤ ⑥
<b>2. Planning</b>	
a. The WASH organization has short, medium and long-term plans that are used and are updated regularly.	① ② ③ ④ ⑤ ⑥
<b>3. Administrative procedures</b>	
a. Administrative procedures and manual exist.	① ② ③ ④ ⑤ ⑥
<b>4. Monitoring, evaluation and reporting</b>	
a. The WASH program carried out by the organization incorporates monitoring, evaluation and reporting activities	① ② ③ ④ ⑤ ⑥
b. Systems exist to collect, analyses and report data and information.	① ② ③ ④ ⑤ ⑥
c. The organization has the ability to produce a range of appropriate reports.	① ② ③ ④ ⑤ ⑥
<b>D. HUMAN RESOURCES</b>	
<b>1. Human resources management</b>	
a. Recruitment processes are transparent and competitive.	① ② ③ ④ ⑤ ⑥
b. Job descriptions are documented and updated.	① ② ③ ④ ⑤ ⑥
c. Salaries are clearly structured and competitive.	① ② ③ ④ ⑤ ⑥
<b>2. Human resources development</b>	
a. Job appraisals are performance based and equitable.	① ② ③ ④ ⑤ ⑥
b. Staff training is based on capacity, needs and strategic objectives.	① ② ③ ④ ⑤ ⑥
<b>3. Human resources management</b>	
a. The WASH organization has short, medium and long-term plans that are used and are updated regularly.	① ② ③ ④ ⑤ ⑥
<b>4. Work organisation</b>	
a. Staff meetings are held regularly and team work is encouraged.	① ② ③ ④ ⑤ ⑥
<b>E. FINANCIAL AND PROCUREMENT</b>	
<b>1. Accounting</b>	
a. a. Appropriate financial procedures and reporting systems are in place. Account categories exist for separating project funds.	① ② ③ ④ ⑤ ⑥
<b>2. Budgeting</b>	
a. Budgeting process is integrated into annual implementation plans.	① ② ③ ④ ⑤ ⑥
b. A financial unit responsible for the preparation, management and implementation of the annual budget exists and budgetary control is carried out on an ongoing basis.	① ② ③ ④ ⑤ ⑥
<b>3. Procurement</b>	
a. Appropriate stock control systems exist.	① ② ③ ④ ⑤ ⑥
b. Appropriate procurement systems are in place.	① ② ③ ④ ⑤ ⑥

c. Internal and external audits are conducted on a regular basis.	① ① ② ③ ④ ⑤ ⑥
d. The organization has the ability to prepare, launch, analyses and award competitive tenders	① ① ② ③ ④ ⑤ ⑥
<b>4. Financial reporting</b>	
a. Annual financial report is prepared by a registered firm of auditors.	① ① ② ③ ④ ⑤ ⑥
<b>5. Diversification of income base</b>	
a. The organization has multiple funding sources.	① ① ② ③ ④ ⑤ ⑥
b. The organization has the ability to tender for contracts.	① ① ② ③ ④ ⑤ ⑥
<b>F. EXTERNAL RELATIONS</b>	
<b>1. Stakeholder relations</b>	
a. The organization is seen as credible by stakeholders and funders.	① ① ② ③ ④ ⑤ ⑥
<b>2. Inter-organisation collaboration</b>	
a. The organization networks and shares resources with other national WASH organizations.	① ① ② ③ ④ ⑤ ⑥
<b>3. Government collaboration</b>	
a. The organization has contacts with government policy and decision makers.	① ① ② ③ ④ ⑤ ⑥
<b>4. Funder collaboration</b>	
a. The organization has diversified contacts within the funding community.	① ① ② ③ ④ ⑤ ⑥
<b>5. Public relations</b>	
a. The organization engages in public relations. Activity information disseminated.	① ① ② ③ ④ ⑤ ⑥
<b>6. Local resources</b>	
a. The organization has relations with the private sector for technical expertise, material and/or human resources.	① ① ② ③ ④ ⑤ ⑥
<b>7. Media</b>	
a. The organization has media strategy and has attracted positive media attention.	① ① ② ③ ④ ⑤ ⑥
<b>G. SUSTAINABILITY</b>	
<b>1. Program/benefit sustainability</b>	
a. Programs are supported by those being served.	① ① ② ③ ④ ⑤ ⑥
b. The organization has developed systems for continuation of its program in the medium and long-term.	① ① ② ③ ④ ⑤ ⑥
c. The organization has developed programmatic phasing-out strategies.	① ① ② ③ ④ ⑤ ⑥
<b>2. Organizational sustainability</b>	
a. The organization has linkages with international NGOs, education institutions, government entities, research institutes, and the private sector.	① ① ② ③ ④ ⑤ ⑥
<b>3. Financial sustainability</b>	
a. The organization has the ability to access diversified resources.	① ① ② ③ ④ ⑤ ⑥
b. The organization has a fee for services and/or other cost recovery mechanisms built into service delivery where appropriate.	① ① ② ③ ④ ⑤ ⑥
c. The organization has a fund-raising strategy.	① ① ② ③ ④ ⑤ ⑥
d. The organization has capacity to develop proposals and respond to tenders and calls for proposals.	① ① ② ③ ④ ⑤ ⑥

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