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Mid-term Review of the Water Supply and Sanitation Sector Reform Programme, Phase II (WSSSRP II), Nigeria

Final Report

11th of August, 2014

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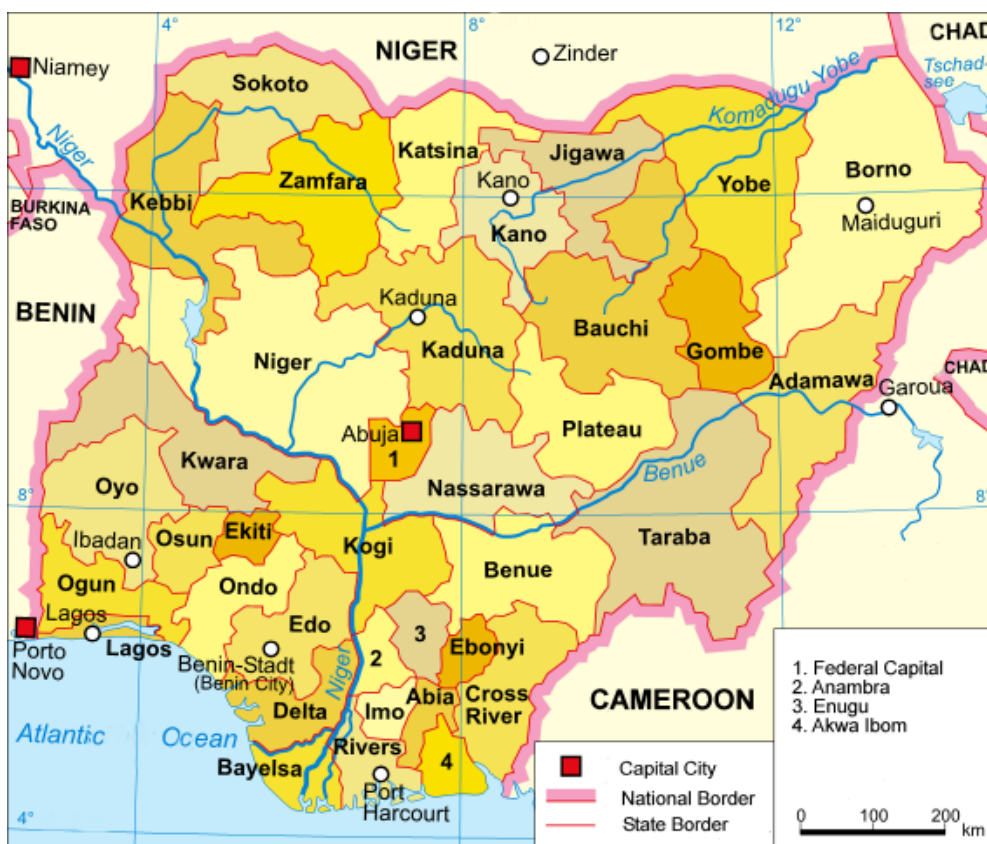
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Our thanks and gratitude are extended to the structures at the Federal level, namely the NPC, the FMWR, the State structures, TAT and UNICEF, and the LGAs and the small town and community levels. We thank the EU for giving us the opportunity to serve and assist by providing a better and clearer bird's eye view of the realities, the programme's design and path as presented in our findings, analysis or conclusions and recommendations.

Map 1: States of Nigeria



Map 2: States, with Population Densities

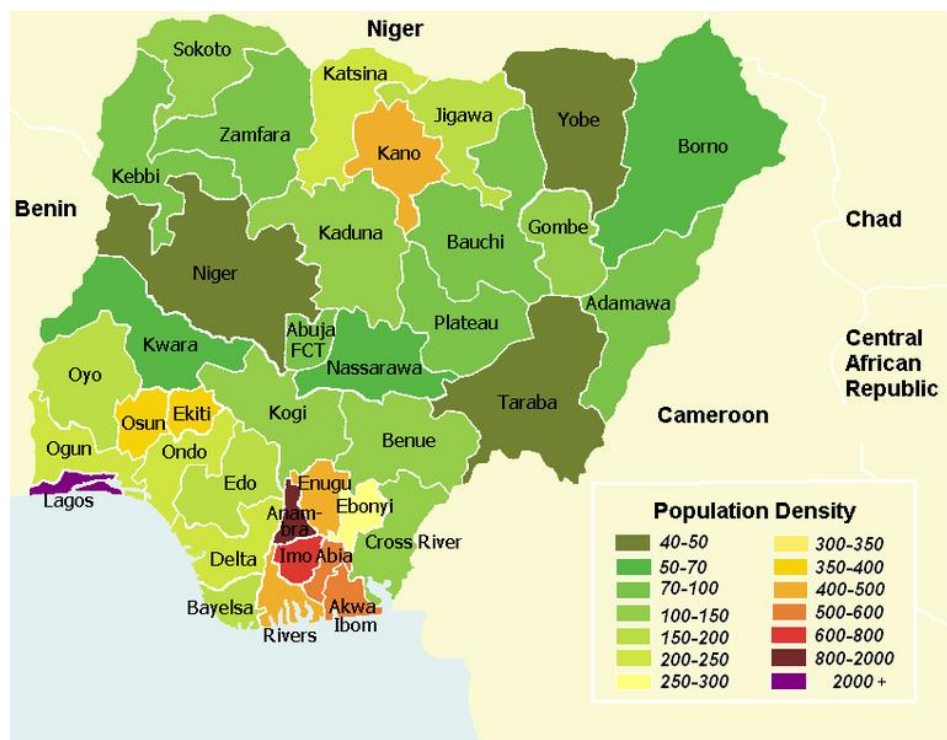


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LIST OF ABBREVIATIONS

CAPs	Community Action Plans
CLTS	Community Led Total Sanitation
CRSWB	Cross River State Water Board
DIDC	Department of International Development Cooperation (Cross River State)
EC	European Commission
EU/EUD	European Union/ European Union Delegation
FGD	Focus Group Discussion
FGN	Federal Government of Nigeria
FMWR	Federal Ministry of Water Resources
GIS	Geographic Information System
HACT	Harmonised Approach to Cash Transfers to Implementing Partners
HIS	Health Information System
HJRBDA	Hadejia Jama'ara River Basin Development Authority
IEE	Initial Environmental Examination
IPE	Institutional and Policy Expert
IWRM	Integrated Water Resources Management
IWRMC	Integrated Water Resources Management Commission
JMP	Joint Monitoring Programme
JSWB	Jigawa State Water Board
KAP	Knowledge Altitude and Practice
KIWRMC	Kano Integrated Water Resources Management Commission
LGA	Local Government Area
MDG	Millennium Development Goals
MoU	Memorandum of Understanding
M & E	Monitoring and Evaluation
MWR	Ministry of Water Resources
MTEF	Medium Term Expenditure Framework
MTSS	Medium Term Sector Strategy
NAO	National Authorising Office(r)
NEWSAN	Network of NGOs in Water and Sanitation
NIWRMC	Nigerian Integrated Water Resources Management Commission
NPC	National Planning Commission
O&M	Operation and Maintenance
ODF	Open Defecation Free
OPE	Operational Programme Estimates
PIA	Programme Implementation Agency

PPP	Public Private Partnership
PRA	Programme Recipient Agencies
PRS	Planning, Research and Statistics
PSC	Programme Steering Committee
PSP	Public Sector Partnership
RUDA	Rural Development Agency
RUWA(T)SSA	Rural Water Supply and Sanitation Agency (Cross River state)
RUWESA	Rural Water and Environmental Sanitation Agency (Osun)
RUWASSA	Rural Water Supply and Sanitation Agency (Kano, Jigawa, Anambra and Yobe)
SHAWN	Sanitation , Hygiene and Water in Nigeria
SMART	Specific, measurable, attainable, relevant and time-bound (indicators)
SMWR	State Ministry of Water Resources
STOWA	Small Towns Water Agency
STTA	Short-term TA
STU	State Technical Unit
SWAP	Sector Wide Approach
SWB	State Water Board
SWC	State Water Company
TAT	Technical Assistance Team
ToR	Terms of Reference
TOT	Training for trainers
UNICEF	United Nation Childrens' Emergency Funds
VIP	Ventilated improved Pit (toilet)
VLOM	Village Level Operation and Maintenance
WASH	Water Sanitation and Hygiene
WASHCOM	WASH Committee
WASHIMS	Water and Sanitation Information Management System
WCA	Water Consumer Association
WCCF	Water Consumer Consultative Forum
WHO	World Health Organisation
WSE	Water and Sanitation Expert
WSS	Water Supply and Sanitation
WSSSRP	Water Supply and Sanitation Sector Reform Programme
CAP	Community Action Plan
CLTS	Community Led Total Sanitation
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WHO	World Health Organisation
WSE	Water and Sanitation Expert
WSS	Water Supply and Sanitation
WSSSRP	Water Supply and Sanitation Sector Reform Programme

EXECUTIVE SUMMARY

Background

Under a framework agreement between the EU and the Alanet Consortium, this assignment was commissioned to carry out a mid-term review (MTR) of the Water Supply and Sanitation Reform Programme II (WSSSRP II) for Nigeria. The MTR took place from May 27th to July 18th 2014.

The WSSSRP II (2012-2017) follows the forerunner WSSSRP I (2005-2011) and aims at addressing weaknesses in the legal and institutional framework and in efficiency of the water resources and water services (i.e. water supply, sanitation and hygiene) sector in the country at the Federal level and in the six EU-focal states, i.e. Cross River, Kano, Anambra, Jigawa, Osun and Yobe. WSSSRP II includes two components: (i) a small town/urban component supported by a technical assistance (TA) to the Federal Ministry of Water Resources and to State agencies in charge of water supply and sanitation at the urban / and small town level; (ii) a rural component supported by UNICEF for the water supply, sanitation and hygiene at the rural community level. **The main innovation of WSSSRP II with respect to its forerunner relates to the operational set-up: embedment of the TA and UNICEF consultants within the ministry/agency receiving the support instead of operating through parallel structures (programme implementation units) in order to increase ownership and sustainability.**

The National Planning Commission (NPC) – housing the National Authorizing Officer (NAO), the Federal Ministry of Water Resources (FMWR), and the State and Local governments are the major stakeholders on the Government's side for the WSSSRP II programme. At the State level the RUWASSA is servicing the local communities through the Local Government Areas' (LGAs) WASH Departments/Units and the communities' Water, Sanitation and Hygiene Committees (WASHCOMs). The TAT State team is servicing the urban and small towns subsector in water, sanitation and hygiene through either the LGAs or through Zonal Offices¹ and the Water Consumers Association (WCAs).

The total cost of the programme is €94M where EDF contribution is €80M, UNICEF €1m (in kind), and contributions from the LGAs, State Governments amount to €13M.. According to the Contribution Agreement between the EU and UNICEF, EU contributes €30M, UNICEF €1m and local (State, LGA & Benefitting communities) counterpart contribution is of €4m – to cover the costs of water supply contracts only. The TA Service Contract value with the EU amounts to €20.5M (contracted in two tranches, the first of which runs for two years and amounts to approximately €9.1M while the second will be contracted by early 2015). The WSSSRP II, including the works contracts are being managed by the NPC/NAO under partial decentralised management. The programme is basically an institutional strengthening (policy, regulatory, institutional capacity) one supported by the delivery of water and sanitation facilities.

It is expected that the programme would result in new laws at the federal and state levels and institutional strengthening at the three tiers of Government as well as water, sanitation and hygiene facilities and awareness at the State and LGA levels. These are expected to result in higher levels of institutional efficiency and improved water supply as well as improved sanitary and hygiene conditions leading to achieving the MDGs (discussed below).

Purpose/Objective

The purpose of the MTR is to provide decision makers with sufficient information to make an informed judgement:

¹ The urban/small towns agencies do not necessarily reach the small towns through the LGA's. Rather there is a sort of sub-delegated arrangement where the agencies set up Zonal offices (servicing one or more LGAs) that rarely relate with the LGA administration. This is a weakness of the institutional arrangement of the Nigerian water sector that needs to be addressed by the TAT in its efforts to streamline institutional relationships at the State level.

- (i) about the performance of the WSSSRP II with respect to its relevance, efficiency and effectiveness, and sustainability;
- (ii) about the decisions to make any required changes to programme design and scope for an enhanced and successful implementation for the remaining period of the programme.

Methodology

The methodology adopted by the MTR followed three main phases. These were:

- (1) Briefing meeting with EUD and main stakeholders in Abuja, collection and analysis of relevant documents; development of the evaluation questions, preparation of the evaluation tools and preparation of the State visits;
- (2) Field visits in each of the 6 focal States and meetings with relevant stakeholders; identification of preliminary key issues and development of the inception report;
- (3) Thorough analysis of information collected (interviews, documentation), additional meetings with stakeholders in Abuja (EUD, TAT, UNICEF and FMWR), presentation of preliminary findings and recommendations and development of the evaluation report.

Key Findings and Recommendations

Relevance:

The weak capacities of the sector in terms of legal framework, institutional efficiency and access to water supply, sanitation and hygiene are still holding. This ensures consistency of the programme objectives and related activities and, thereby, the relevance of the programme in terms of addressing problems and weaknesses which befall the sector. In addition to this the programme is overall complementary to other donors' interventions in the sector. The programme needs, however, to consider developing better synergies with other programmes in the sector and narrowing its scope due to available time and resources.

Effectiveness:

The programme is characterised by the positive effect of drawing attention to sanitation and hygiene. There is a good response from the beneficiaries who invested in latrine construction before the programme's physical inputs were provided. Many communities are satisfied with the programme's contribution to their health, livelihood and well being. More access to services is expected at delivery of physical facilities. However, the effectiveness shown by the positive response by the target population at the rural community level has to be taken with care. This may be partly attributable to the forerunner project as physical facilities (boreholes, public latrines, etc) delivered in the WSSSRP I may have also had an effect on the people's response. This phase has made some physical input by the UNICEF component, while the WSSSRP II promises to provide 'Quick win'² and additional water supply facilities, planned for the remaining period of the project.

Efficiency:

The programme is overall on track in terms of delivery of its outputs to the target population. The achievements so far have been more significant in the rural component due to its earlier mobilization as compared to the urban component (about one year earlier). Baseline surveys have been conducted in all 6 States and enabled to gather useful data for planning and M&E purposes. At community level, CLTS and hygiene promotion activities have taken place extensively as well as setting up and training of WASHCOMs and WCAs, with good results so far. At Federal and State levels efforts have been made to push forward the institutional reform through the approval of the water bills but the process is slow and facing difficulties due to weak political commitment and different priorities. The main weaknesses identified so far are related mainly to coordination, planning and reporting and M&E. The quality of planning is a major drawback of the programme. The integration of the two components is still relatively weak. The embedment approach, although having succeeded in getting the public authorities on board, is yet to stand up to expectations in terms of effective institutional strengthening and transfer of skills; a

² Also known as priority programmes. These are dysfunctional and other boreholes in need of repair, which the project promised to rehabilitate and the process is ongoing with good progress.

major weakness being the lack of integration of the programme's tools for planning, reporting and M&E into national procedures. Weaknesses have also been observed in terms of communication and understanding/agreement of all stakeholders on the "rules of the game" especially in terms of States participation in the procurement process.

Sustainability

Sustainability depends on two major inputs of the programme: firstly, the programme's focus on capacity building, community management and institutional development as strong determinant towards attaining sustainability. These factors all contribute to the sustainability of the programme's benefits, including change in behaviour and adoption of new legal framework. Secondly, the leadership roles given to the PIAs accompanied by the embedment of TAT within the institutional structures encourage ownership and promote replication. If the lack in adequate planning and reporting deficiencies mentioned above is overcome, if the capacity building is effective and if the embedment approach is improved³, the programme is likely to achieve sustainable results.

Recommendations

The key recommendations of the MTR team for the programmes are the following:

- Improve internal planning, monitoring and reporting; more detailed annual plan with calendar of activities; internal monthly planning + reporting of staff required. Streamline reporting design with the Programme logframe and alignment between Government, TAT and UNICEF.
- Increase efforts on M&E to facilitate the adoption and dissemination of a simple and consolidated M&E framework which will integrate the various ongoing initiatives and ensure consistency among those initiatives.
- **Improve communication with all stakeholders to clarify the programme's objective.** Better communicate to all stakeholders on budget ceilings and
- Budgetary deadlines. **Provide clear written guidelines on EU procedures that apply to this programme.**
- Increase involvement of the States in the procurement process by involving them in the evaluation committee, with the process being carried out in the States concerned with representation from the federal level (NAO/NPC), FMWR, etc.
- **Establish an advocacy strategy with clear steps to push forward the approval of the water policy and the water bill.**
- Increase efforts to support the urban/small town component in terms of capacity building and strengthening of institutions in charge at State and LGA levels.
- Improve tools and methods to efficiently and sustainably deliver technical assistance and capacity building; consider less short-term consultants and more long-term staff⁴.

Structure of the report:

This report is divided into 4 chapters. The first chapter provides an overview of the water sector in Nigeria and an introduction to the programme and the MTR objectives and methodology. The second chapter gives an insight

³ The PIAs and the experts are working as a team. Team work is a process that lends itself to improvement over time, if that is established as a target to realise better results from the embedment. A closer study of the workings of the system is bound to suggest better ways of collaboration and higher levels of efficiency gained from the embedment. From another standpoint, in planning for instance, either develop a parallel plan (with its own logframe, based on the project's) depicting activities of the experts (local and visiting) team, or created an integrated plan made up of the State's development plan and the TA plan with specific activities to be carried out by each in an integrated manner. This in fact, feeds in in the planning process observed and the fundamental need to have a well structured plan (as addressed in the Report) for the TA counterparts.

⁴ This applies specifically to the community mobilisation and management experts. This is proposed in the face of the fact that in the short term recipient communities may tend to neglect or wane in commitment as time goes on. This has negative effects on sustainability. The continuous presence of such experts over longer periods would keep contact, advice and motivation of the recipients alive and with this support they would not feel left alone and loose interest due to lack support.

into the overall assessment of the programme with respect to progress towards achievement of results. The third chapter looks more in depth into the evaluation findings and more specifically with respect to the four main evaluation criteria of relevance, effectiveness, efficiency and sustainability. Detailed and thorough recommendations are provided in each section of this chapter. Finally, the last chapter provides a summary of the lessons learned and recommendations.

1. INTRODUCTION

1.1. Overview of the water sector in Nigeria and in the 6 focal States

The imbalance in the water infrastructure development, population increase and rapid urbanisation rates has created a serious deficiency in the quality of life of an average Nigerian with its dire consequence on sanitation, food, security, health, employment and standard of living. It is the recognition of this critical issue and gap that led to the necessity for the re-birth of the Nigerian water sector reform. A major step taken by the Government towards the reform is the decoupling of the Federal Ministry of Water Resources from the erstwhile Federal Ministry of Agriculture and Water Resources in April 2010.

Water resources in Nigeria are not adequately managed. WHO/UNICEF Joint Monitoring Programme (WHO/UNICEF JMP, 2012) reported that some 109 million Nigerians still lack access to basic sanitation facilities while about 63 million do not have access to improved source of safe drinking water. Poor sanitation and hygiene-related diseases (including diarrhea, being the second main cause of infant mortality, after malaria, and the third main cause of under-five mortality in Nigeria) still threatens the health conditions of Nigerians and results in high morbidity level. As in many parts of Africa, the challenge facing the Nigerian water and sanitation sector is a governance crisis. A challenge that lies in long lasting inability in defining roles and assigning clear responsibilities to stakeholders, while building their skills and improving the availability of financial resources to maintain water supply and sanitation facilities over the long term. This is manifested in i) inadequate sector policy and institutional framework; ii) weak sector institutions that are poorly funded and unable to deliver on their mandate. The consequence of these problems is that water sector institutions cannot deliver sustainable water and sanitation services to the population.

The draft National Water Resources Law, in its current state, proposes streamlining of water sector institutions and the management of water resources at the lowest possible geographic level to accelerate sustainable water and sanitation services delivery. The on-going 10th EDF Water Supply and Sanitation Sector Reform Programme Phase II (WSSSRP II) is supporting the Federal Ministry of Water Resources to finalise the Bill and pass it on to the national legislative house for enactment into law.

The current Nigerian administration has also identified programmes and initiatives capable of transforming the Water Resources Ministry and encouraging private sector participation in the management and execution of government's initiatives where relevant, e.g. at the local community level. Accordingly, the Federal Government through the Federal Ministry of Water Resources has observed the need to develop a roadmap for water resources development to put the nation back on track in achieving the Vision 20:2020 targets, Millennium Development Goals (MDG) targets for 2015 and the Africa Water Vision in 2025.

The WSSSRP II has selected 6 States and 2 LGA in each State for the implementation of the programme's activities. There are three "Southern" States (Anambra, Cross River and Osun) and three "Northern" States (Jigawa, Kano, and Yobe). The six States stand in contrast in terms of area, population, culture, geographic and climatic conditions as well as availability of water resources. While Anambra is the smallest State, with an area of approximately 4 400 km², Yobe is more than 10 times bigger with an area of approximately 45 500 km². In terms of wealth, Yobe is the poorest state with a GDP/capita of 843 USD while Osun has a GDP/capita above 2,000 USD. Islam religion is prevalent in the North, while Southern States have a mixture of Christians, Muslims and traditional religions. The literacy rate is overall quite low in the North (around 30%) and much higher in the South (around 70%). Water resources are generally abundant in the South and scarce in the North with Yobe having the lowest availability and bordering on water scarcity. In terms of access to water supply, the situation is very irregular: Osun and Jigawa have the highest rates (above 64%) while Anambra and Cross River have the lowest rates (around 30%)⁵. With respect to access to sanitation, Anambra has the highest rate, followed by Kano (above 67%), while Yobe and Cross River have the lowest rates (about 40%).

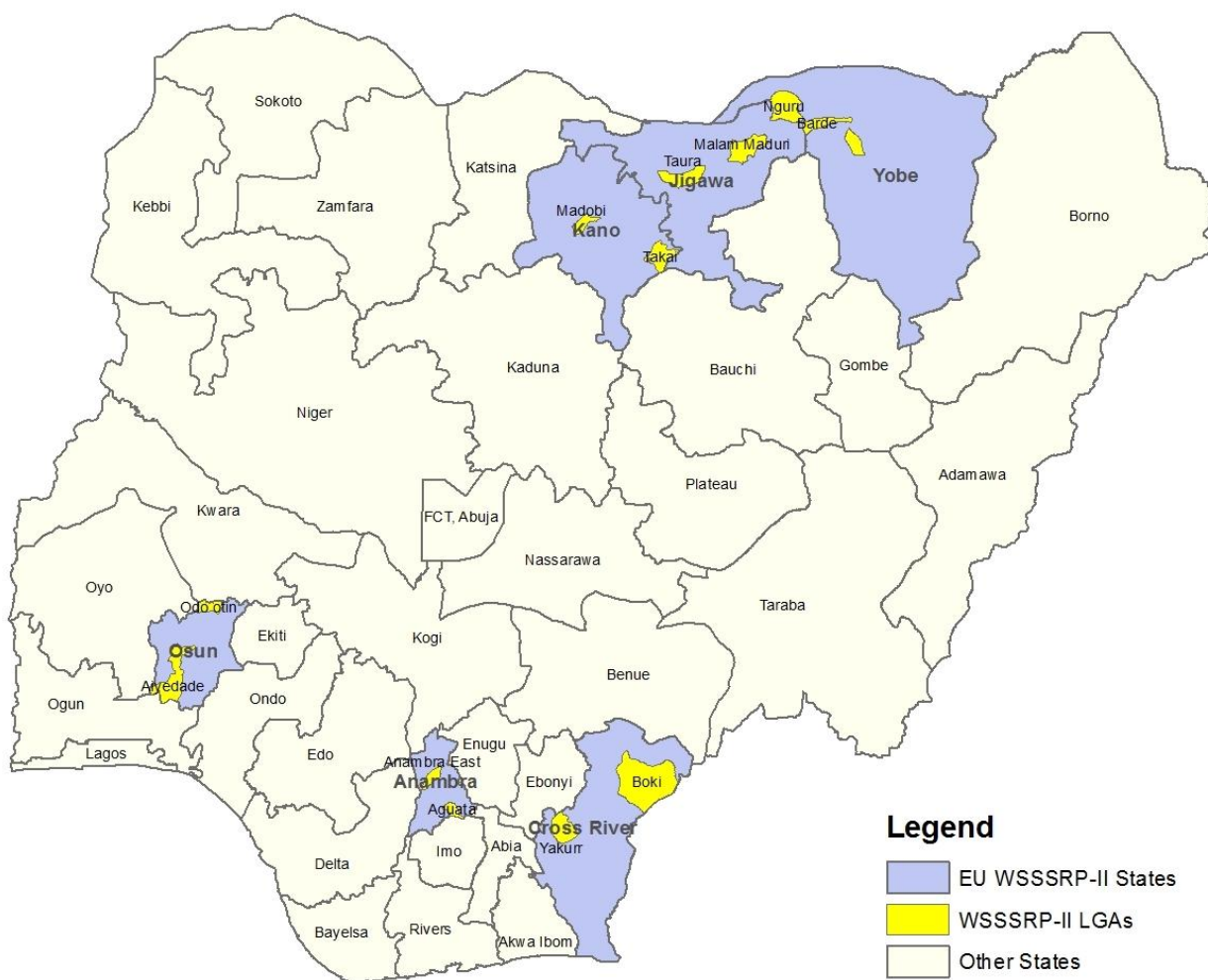
⁵ Source: CWIQS, 2006.

1.2. Overview of the Water Supply and Sanitation Sector Reform Program II (WSSSRP II)

As mentioned in the TOR, the 10th EDF funded Water Supply and Sanitation Sector Reform Programme - WSSSRP (Phase II) was designed as a successor programme of the 9th EDF WSSSRP (Phase I) to consolidate the achievements of the latter. The programme has a total budget of €94M (EDF contribution is €80M; UNICEF - €1M and local contribution - €13M). It operates at the federal level and in the 6 EU focal States of Anambra, Cross River State, Jigawa, Kano, Osun and Yobe through the provision of technical assistance and capacity development to Ministries and Agencies responsible for water resources management as well as water and sanitation services delivery, namely the Water boards, the Agencies in charge of small towns (STOWA) (where these exist), the agencies for rural water supply (RUWASSA), and the Local Government Agency (LGA) WASH departments.

The program has 2 components. The rural component, mainly focused on CLTS interventions as well as provision of boreholes and latrines to schools in rural communities, has also a focus to strengthen the State Rural Water Supply & Sanitation Agencies, the LGA's WASH Departments/Units as well as communities' WASHCOMs. It will also provide support for organizational improvement and capacity building in RUWASSA's, LGAs' WASH Depts/Units and in Communities' WASHCOMs. The small town and urban component, mainly focused on institutional capacity building and sector reform, as well as provision of water schemes for small town settings. While the rural component is supported by UNICEF, the small town and urban component is supported by a technical assistance team made up of a consortium led by Messrs WS Atkins International of UK.

Map 3: Location of the 6 EU Focal States in Nigeria

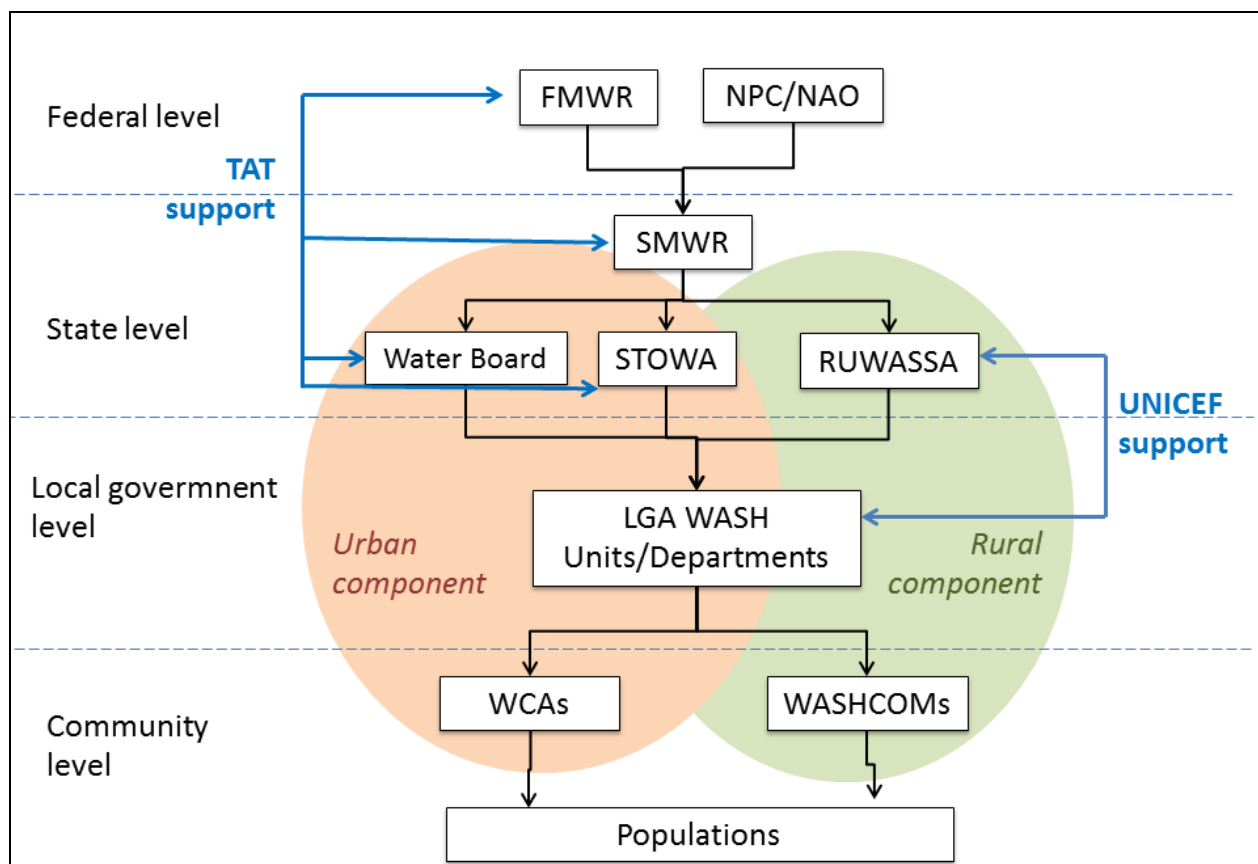


Source: UNICEF Year 1 Report

The following chart gives an overview of the different stakeholders involved in the program:

While most activities are implemented at State level, the Federal level is involved in terms of policy, institutional reforms, monitoring and evaluation and coordination (Federal Ministry of Water resources) and also plays a leading role in procurement of major works for the small town/urban component (through the National Authorizing Officer, NAO)

Figure 1: Structure of the programme



The program has a duration of 5 years (2012-2017). While UNICEF started its activities in August 2012, the TAT was mobilized only in March 2013 (it was preceded by an Interim TAT from September 2012 to February 2013). Due to the late mobilization of the TAT compared to UNICEF, the urban/small town component is suffering from a certain delay in implementation as compared to the rural component.

The main areas covered by the program's activities are the following:

- Sector reform: approval of Water Bill, water strategy and other legal instruments required to implement the law, adoption of IWRM principles, restructuring of sector institutions, improvement of sector coordination.
- Monitoring and evaluation framework, including baselines studies, data-collection and compiling tools and procedures, information management systems, etc. to be established at Federal level and adapted and implemented at State, local and community levels.
- Community Mobilization: setting-up of water committees in charge of raising community counterparts contributions, dissemination and sensitization on positive WASH behaviors, operation and maintenance of infrastructures (also through private-sector participation according to local preferences/conditions)
- Hygiene and sanitation promotion through CLTS approach in communities and schools and promotion of hygiene education
- Construction and rehabilitation of water systems (solar, motorized or fitted with handpump boreholes, weirs and river-based schemes, distribution networks, etc.) and of public sanitation facilities in schools and health centres.

- Training and capacity building of all sector agencies and stakeholders in planning and reporting, M&E, community mobilization, O&M, etc. in order to enable sustainability of service delivery.

While “hard” activities (construction of schemes) has not yet started (although technical studies took place and tender documents are almost ready), most “soft” activities have already started and were ongoing when the MTR took place.

1.3. Objectives of the MTR

The global objective of the MTR is “To provide decision makers in the National Planning Commission (NPC) and the Federal Ministry of Water Resources, the six EU-focal State Governments and the European Union with sufficient information to make an informed judgement (i) about the performance of the WSSSRP II (for both the UNICEF-Rural and TAT-Urban/Small Towns components), as it concerns its relevance, efficiency and effectiveness, and eventual sustainability; (ii) about the decisions to make any required changes to programme design and scope (e.g. the objectives, expected results, financing, implementing and management arrangements, duration, etc.) for an enhanced and successful implementation for the remaining period of the programme.”

The specific objective of the MTR, as given in the ToR, is to deliver an assessment and recommendations/conclusions on the following issues:

- (i) the extent to which the WSSSRP II remains consistent with, and supportive of, the policy and programme framework within which it is placed;
- (ii) stakeholders' participation in the implementation of the programme, and the level of local ownership;
- (iii) programme performance with respect to efficiency (input delivery, cost control and activity management) and effectiveness (delivery of outputs and progress toward achieving the specific objectives or purpose). Compare progress made so far with what was planned. Assess also possible impact of the programme so far.
- (iv) programme management and coordination arrangements, especially the embedment of the technical assistance team (TAT) within the government service structure, and the sub-granting arrangement between UNICEF Headquarters in Abuja and the State level Rural Water Supply and Sanitation Agencies (RUWASSAs or RUWATSANs). Assess the extent to which timely and appropriate decisions are being made to support effective implementation and problem resolution for the two components of WSSSRP II.
- (v) the quality of operational annual work plans and extent of their implementation by UNICEF, RUWASSAs and the Federal and States' Programme Implementation Agencies (PIA's) for each of the programme components, budgeting and risk management.
- (vi) the quality and regularity of information management and reporting, especially of the financial and technical reporting arrangement between the States' RUWASSA's and the UNICEF's Zonal and National Offices. Also assess the quality and effectiveness of reporting for each of the programme components
- (vii) the extent to which key stakeholders in the States and Federal level are kept adequately informed of programme activities (including the beneficiaries/target groups in the LGAs and communities).
- (viii) the extent and quality of data collected, their analyses, application (use) by programme implementers, and the extent data are disaggregated by gender and disseminated.
- (ix) extent of monitoring by stakeholders and the use of monitoring information to improve implementation.

1.4. Methodology used for the Mid-Term Review

The EU Delegation in Nigeria hired the ALANet Consortium to conduct the Mid-Term Review (MTR) of WSSSRP II. As per the ToRs (available in Annex 1), a team of four experts was mobilized, made up of two Policy/Institutional experts and two Development specialists, two senior and two junior experts. The mission started on May 27th, 2014 and was concluded on July 18th, 2014. The MTR was conducted in three phases:

- (1) Briefing meeting with EUD and main stakeholders in Abuja, collection and analyses of relevant documents, development of the evaluation questions, preparation of the evaluation tools and preparation of State visits;

- (2) Field visits in each of the 6 focal States and meetings with all relevant stakeholders; identification of preliminary key issues and development of the inception report;
- (3) Thorough analysis of information collected (interviews, documentation), additional meetings with stakeholders in Abuja (EUD, TAT, UNICEF and FMWR), presentation of preliminary findings and recommendations and development of the evaluation report.

The detailed programme of the assignment is available in Annex 5.

As per the ToRs, the MTR was expected to assess the performance of the WSSSRP II program with respect to the four evaluation criteria of relevance, effectiveness, efficiency and sustainability.

The specific objectives defined in the ToRs were therefore combined with priority focus issues raised in the briefing meeting, reorganized according to the four evaluation criteria and structured into an evaluation matrix during inception phase. The evaluation matrix (available in Annex 7) provides an overview of the inter-linkage between the evaluation criteria, evaluation questions and indicators and sources of information. It provides a critical checklist of what are the key issues to be addressed and allows to identify triangulation of data for some of the evaluation questions.

A set of evaluation tools was then developed on the basis of the evaluation questions in order to collect comparable data in the six States. These tools include check-list for bibliographic review, semi-structured interview guides for meetings with key informants at Federal and States level, questionnaires with key indicators for PIA staff and guides for Focus group discussions at community level. Some of these evaluation tools are provided in Annex 8.

In order to efficiently cover the 6 States within the time-frame of the assignment, the team was divided into two groups. A first group (2 experts) visited the three Northern States and the other group (2 experts) visited the three Southern States. In each State, meetings were held with staff from the Ministry, RUWASA, Water Corporation and STOWA when available, LGAs (steering committee and WASH units/departments) and communities including WASHCOMs, WCA and CSOs. The complete list of people met is available in Annex 2.

The key findings of this MTR have been presented and discussed with the major stakeholders at the Federal level in Abuja at a debriefing meeting held on Friday, July 11, 2014 (minutes available in Annex 9). The debriefing meeting enabled the consultants to present the preliminary findings and recommendations to key programme stakeholders and to receive very useful feedback from participants that was integrated in the evaluation report.

The MTR process has been smooth and has overall enabled to access the required information. However, the MTR team faced the following constraints which to a certain extent may have contributed to limit the depth of the analyses and the independence of the consultant: participation of higher level officials in meetings with WASHCOMs and WCAs at community level has limited the objectivity and honesty of answers from beneficiaries; lack of access to budgetary information has hindered the assessment of cost-efficiency of programme's interventions; overall challenging access to documentation has reduced the efficiency of the work process; misperception of the consultants' mission from stakeholders tending to see the MTR team as EU representatives had biased discussions; and compliance to very long official protocols limited the time available for in-depth technical discussions.

Limitations to the proper and smooth running of the MTR process as mentioned in the IR relate to the risky conditions in the North. Kano has been less exposed to this risk, while Yobe and Jigawa were much more exposed to it. This has been overcome by taking necessary precautions by the team assigned to the Northern States.

This Report has made the attempt to produce an internally consistent and evidence-based findings as well as practical and implementable recommendations relevant to the objectives of the project as stated in the ToR. This has not been an easy task and in some cases important information were either not available or for one reason or the other not accessible. Such conditions were clearly pointed to in the Report. Examples are the UNICEF capacity building plan and action plan on the basis of which processes (timely and appropriate decisions), administrative measures, or results/output data could be properly assessed and evaluated. The attempt to produce an effective, guiding and corrective, comprehensive and relevant review, we assume, has been well achieved.

2. OVERALL ASSESSMENT OF THE PROGRAMME

2.1. Program Logical Framework

The MTR team has identified the following key issues with respect to the Programme's Logical Framework:

Overlaps and gaps regarding the M&E framework development and implementation: M&E is scattered among various different results and activities of the log frame: this does not help produce a unique and consistent M&E framework for the water sector. The main challenge is the fact that both UNICEF and TAT each have one result to achieve on M&E: result 1c for the TAT (“A national M&E system is established in the FMWR”) and well as result 2f (“Regular sector monitoring and review is institutionalized”) and result 4d for UNICEF (“State level M&E system, integrated with the federal-level system is established in the focal States). In addition, baseline surveys (activity 3b1, activity 3c1, and activity 4b1) are not included as part of the M&E activities but rather as part of the “works” component. It is not clear who is leading the process between the TAT and UNICEF and there is no clear instruction to produce a unique and integrated M&E framework. Ideally, the M&E framework should be developed by the Federal level and adapted + *tested* at the State and LGA levels, with UNICEF and TAT support. Finally, there should be an official event to formally *adopt* the M&E framework, followed by implementation. There should be no parallel M&E initiatives and all M&E-related activities (baselines studies, data-collection and compiling tools and procedures, information management systems, etc) should all fit inside one unique framework at State level to be piloted and managed by the State, with an efficient bottom-up data-collecting process through WCA/WASHCOMs and LGAs. Also, indicators to be monitored within the framework should not only be result/situation indicators but also process indicators and performance indicators (for utilities). However, our field visits showed that currently, there is not enough integration between UNICEF-led M&E initiatives (WASH profiles, web-based facility tracking, WASHIMs, etc) and TAT-led M&E initiatives (M&E assessment, complementary baseline, etc). Although the two components have agreed to work together on M&E, there is yet not enough coordination and integration *in practice*.

Community management vs. private-sector participation: Result 3d “Strategy for community-ownership and management of water supply facilities in small towns is developed and implemented” contradicts to a certain extent result 2e on “Strategy for private sector participation (PSP) in the water supply and sanitation services delivery is developed and implemented”. It is not totally contradicting because community management could imply indirect management though a PSP as one specific strategy for management (as opposed to direct management), however the Log Frame does not explain this and the way the results are presented could lead to some gap or some misunderstanding of the PSP concept. Our field visits confirmed that in fact, there is very little effort put into promoting PSP and most activities focus only on direct community management. In Yobe State, for instance, there are private investment in water facilities at the local community level in Nguru and other villages. These investments are made by affluent citizens to help their communities. These are managed by the local community volunteers who go and collect money at situations of disrepair or damage to the facility. No money is collected for the service and collecting water is 100% free to the whole community. In most cases the WASHCOM council elects an attendant who plays the role of maintaining the facility and from time to time collect a little more than needed to sustain himself and his family, knowing (*his limits*) to maintain this source of income.

Planning and reporting: The word “action plan” appears 12 times in the log-frame, however, there is some vagueness about what are the objectives/targets of the action plans, what should be included in the action plans, what should be their time-span and level of detail and there is sometimes overlap and gaps on the planning and reporting requirements. It is also not always clear whether the action plans refer to program's activities or to overall agency's activities (beyond the program's scope).

Repetitions: There are a few repetitions in the Log Frame namely between the activities of result 4b and the activities of result 4c.

These and other issues show the need to undertake an in-depth analysis and revision of the logframe. It is planned that the logframe will be revised following the baseline study. UNICEF has tried to review its specific logframe, but the result is not yet satisfactory and the work is ongoing.

2.2. Overall Progress towards the Achievement of Results

Table 1: Progress towards the achievement of Results under Objective 1 (Federal level)

Results as per the logframe	OVIs	Activities	Progress in implementation	Main bottlenecks / challenges
<p><u>Result 1a</u> National Water Resources Bill is enacted and implemented.</p>	<p>National Water Resources Bill is passed and signed into law Guidelines and action plan to implement the law are agreed by stakeholders and implemented by FMWR Institutional structuring Plan, in accordance with the Water law, is agreed upon and implemented by the FMWR.</p>	<p>01.a.1. Organise consultation among water agencies (e.g. IWRMC, etc.) to harmonise with agencies laws. 01.a.2. Organise workshops to agree on harmonized sector agencies laws. 01.a.3. Advocacy and study tours for FMWR, Assembly, civil society to facilitate enactment.</p>	<p>01.a.1. Done 01.a.2. Done 01.a.3. Not yet done (under preparation) Comment: Final stakeholder meeting planned for June 2014 was postponed to an unknown date</p>	<p>- Lack of political commitment to pass the law and lack of ownership on the content law; - lack of clear advocacy strategy or action plan by the Program</p>
<p><u>Result 1b</u> Water resources is managed in accordance with integrated water resources management principles</p>	<p>Action plan, based on the Water Resources law, to implement good water governance is prepared and agreed upon by stakeholders. Fund is provided in the Annual Budget to implement Action Plan.</p>	<p>01.b.1. Implement capacity building on IWRM principles at Federal level 01.b.2. . Prepare Action Plan to roll out IWRM at FMWR 01.b.3. . Support study tour to study IWRM in water supply and sanitation service delivery.</p>	<p>01.b.1. Not done yet 01.b.2. Not done yet 01.b.3. Not done yet Comment: No need to wait for the law to be passed in order to implement CB activities</p>	<p>Challenge of having too many agencies involved in IWRM with overlapping mandates ; scope of program not clear</p>

Results as per the logframe	OVI	Activities	Progress in implementation	Main bottlenecks / challenges
<p><u>Result 1c</u> A national monitoring and evaluation system is established in the FMWR</p>	<p>An M&E Unit is established and equipped at the FMWR Data from the states are being collected and analysed Reports on the status of water and sanitation in Nigeria are regularly published and disseminated to stakeholders</p>	<p>01.c.1. Review the current situation 01.c.2. Prepare an Action Plan for Activities and investment in harmony with the existing initiative in the FMWR. 01.c.3. Provide support for the implementation of the Action Plan 01.c.4. Organise workshops to review progress on water and sanitation status.</p>	<p>01.c.1. Not done yet 01.c.2.. Not done yet 01.c.3. Not done yet 01.c.4. Not done yet Comment: M&E assessments have been done in some States but not at Federal level. Need to support official approval of National Framework</p>	<p>Existence of multiple non-coordinated M&E initiatives (UNICEF-led initiatives eg. WASHIMs, CLTS database, web-based tracking facility; States have their own systems) ; lack of activity monitoring of agencies and lack of performance monitoring of utilities.</p>

Table 2: Progress towards the achievement of Results under Objectives 2, 3, 4 (State, LGA and community level)

Results as per the logframe	Anam bra	Cross River	Jigawa	Kano	Osun	Yobe
Programme objective 2: To improve water and policy and institutional framework in six focal states						
<u>Result 2a</u> State water law is enacted and implemented						
<u>Result 2b</u> Sector institutions are structured in accordance with the state water law						
<u>Result 2c</u> Budget for sector institutions to fulfill their mandate is secured.						
<u>Result 2d</u> States adopt IWRM principles in water resources management						
<u>Result 2e</u> Strategy for private sector participation in water supply and sanitation services delivery is developed and implemented						
<u>Result 2f</u> Regular sector monitoring and review is institutionalised						
Programme Objective 3: To support urban and small towns water institutions in the six states to deliver sustainable water supply service.						
<u>Result 3a</u> Management and Financial viability of Urban Water Institutions is improved						
<u>Result 3b</u> Urban Water Works are rehabilitated and improved;						
<u>Result 3 c</u> Existing but non-functional water supply schemes in small towns rehabilitated and new water supply schemes constructed						
<u>Result 3 d</u> Strategy for community-management of water supply facilities in small towns is developed and implemented						
Programme objective 4: To support rural water and sanitation institutions in the six states to deliver sustainable water supply and sanitation services						
<u>Result 4a</u> LGAs' WASH Units are upgraded as Departments and strengthened to implement rural water supply and sanitation programmes.						
<u>Result 4b</u> Existing but non functional water schemes are rehabilitated and new ones constructed in rural communities						
<u>Result 4c</u> Access to improved sanitation and hygiene promotion services in small towns and rural communities is increased.						
<u>Result 4d</u> A state level monitoring and evaluation (M&E) system, linked to the national M&E system is established						

Legend:

	Delay
	On-track
	Ahead of schedule

From the table above, it seems Jigawa is the most advanced State, because it has the least record of delay in implementation (delay in 3 Results). Jigawa is followed by Cross River (delay in 4 Results) and Osun State (delay in 5 Results) respectively. The last following States are Kano (delay in 6 Results), Anamra (delay in 6 Results) and Yobe (delay in 9 Results). The security conditions are clearly accountable to a great extent for this apparent delay (9 Results!). During our visit to the State and before the maiden meeting with the stakeholders, almost all participants cheered the team for courage and daring to come to the State under the ruling conditions. They all complained that the security conditions and the media are responsible for the lack of visits by officials to the State, difficulty of movement (curfew and frequent control posts within the city and on intercity roads) in a more difficult condition than what obtains in neighbouring and other States.

It can also be seen from the above table that States follow an almost regular pattern compared with the jump in delay in Yobe State.

Jigawa is a little less affected than Yobe by security disturbances, yet it comes at the head of the list. As of now we cannot think of an apparent reason, but the State being new and the resolve of the administrative set-up to make advances in many facets of development is quite felt in the State. The State's clear policy to prioritise water services and hygiene in the State is an important factor leading to these strides in water and sanitation. Now STOWA in Jigawa State is a formalised independent agency attached to the Commissioner's Office and is involved in establishing and supporting WCAs in small towns in the State with commendable commitment and vigour. The STOWA in Jigawa, for instance, has been established long before the project (in 1991 and formally in 2000 by Law No.2 to improve and manage water supply in the State as an operator), but as the project (WSSSRP I) came they adopted the project's policy and philosophy. STOWA⁶ has been restructured and its role as operator changed into a new role of facilitator and it went on successfully establishing WCAs, which actively built and managed facilities in their "townships" within and outside the EU-focal areas (e.g. Birnin Kudun, Hadejia and others). Today STOWA has a total of 273 small towns managed by WCAs.

Under WSSSRP II, STOWA was supported to re-structure its organization to enable it properly carry out the role of facilitation. The STOWA Board of Directors (made up of a Chairman and 6 members all appointed by the State Governor) approved the establishment of a new department for Community Management and Sanitation while the former operations department is now transformed to a technical support department⁷. The Planning department was strengthened with

⁶ Jigawa is the only State in Nigeria with a functional STOWA. It has a clear institutional structure with not only water supply services, but also community mobilization, sanitation and hygiene departments. Source Report No.3: Restructuring of STOWA and the Commissioner's Briefing to the MTR expert group, June 2014. STOWA had constructed 557 water schemes to about 400 small town communities in the state serving about 30% or an estimated population of about 1.9million people and the status of the projects were as follows.

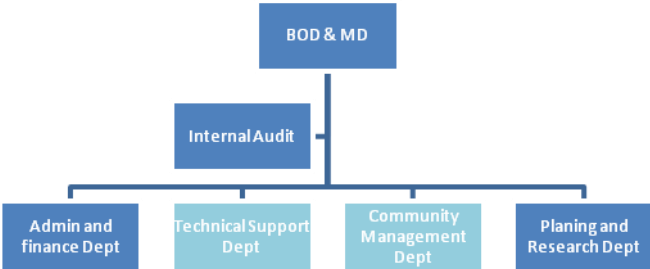
Table 1. Status of Schemes				
	As at 2006		As at 2013	
Status	Motorised	Solar	Motorised	Solar
Functional water schemes	103	12	264	286
Non-functional water schemes	120		6	1
Total	223	12	270	287

Source: STOWA monthly progress reports from 2000 to 2013

⁷ The new structure of the Jigawa STOWA is given below. (See figure on footnote continued on next page).

a Monitoring and Evaluation unit. This new “facilitation” role of STOWA has not only changed the way small towns water supply and sanitation is implemented in the state but gave a new focus for STOW to convert into a total community management facilitator. It plays the important role of establishing WCAs which own, manage and operate their water supply facilities/systems in a sustainable manner. This is bestowed on it by virtue of the WASH Policy, 2010, developed under the WSSSRP.

Figure 2: The new structure of the Jigawa STOWA



WSSSRP 2 is supporting this development and is assisting in approval process, as the case in all other States, of a new water law giving legal backing to all the on-going reforms in the state. It is important to note that it is not the absolute number of facilities or benefiting townships is important here, but the institutional changes and mode of operations as introduced by WSSSRP in general: the early adoption of the concept and its further development by establishing a functioning STOWA with government support. This development has not been observed in the other States. According to our judgement Jigawa stands ahead of the other States which relatively stand at a rather rudimentary stage of institutional development compared to Jigawa. The general format/shape of institutional development remains the same for all States.

The variation among other States shows a regular pattern and an acceptable deviation among them from the middle value in delays.

2.3. Perception of the Programme by the Stakeholders

The stakeholders were asked to state to what extent they consider that the programme is meeting the expectations according to the evaluation criteria. The results are presented in the table below.

Table 3: Perception of the Programme by the Stakeholders

State \ Criteria	Maximum possible mark	Cross River	Kano	Anambra	Jigawa	Osun	Yobe
Relevance	80	39	50	59	44	46	56
Effectiveness	40	28	35	40	27	32	34
Efficiency	16	9	6	8	7	9	9

Institutional Development Impact	8	5	4	8	5	4	6
Sustainability	62	30	31	38	30	30	29
Government Performance	16	8	10	7	8	6	9
EU Performance	16	10	10	4	10	7	9

Legend:

	Highest possible mark
	More than half (good perception)
	Less than half (fair perception)

Where States give more than 50% of the maximum mark, they support the positiveness of the criterion, where the mark given is below 50%, they believe this criterion is not positively contributing to the programme.

The Stakeholders involved in this questionnaire were drawn from project workers (PIA/PRA), NGOs, civil servants, some assisting experts, and the community. For the extreme values recorded in the different States there is specific reason to account for this. As the number of respondents differ from State to State (ranging between 10 and 15 it is possible that such differences may affect the final result. In some State the number is far less than that (e.g. Osun and Anambra). Cross River was the first State visited by the experts and the score in relevance of the project is not significantly below the median or average value.

In particular, both the EU and the Federal Government (represented by the NPC & FMWR) are not direct players in terms of project implementation or delivery, yet they are there. Both have a role in bringing about the project per se to existence and both take important decisions while implementing the project. These roles are not quite clear to the laymen, who are not directly involved with these bodies. Many a times the reason for a delay or success will be attributed to either or both of them. This being an examination of perceptions of those involved in the project need not be overemphasized, but should also be *perceived*.

Two points should be mentioned:

i) This investigation does not reveal the proper understanding of the objectives of the programme by all stakeholders: rather than being a water supply programme as perceived at State/LGA's and community levels, but besides changes brought about in the legislative and institutional framework, it's a reform programme in terms of proper monitoring of the sector activity, coordinated and efficient integrated management of the water resources, institutional efficiency, awareness and sustainability. The direct benefits in terms of improvement of water supply situation in the focal states and improved understanding and behavior in terms of sanitation and hygiene are not to be forgotten. While most people – especially at the grassroots level understand the objective of the programme to be delivery of water supply, sanitary facilities, etc., it is necessary to note that, the basic objective of this project is changing the legal framework and the associated institutional set up at the federal, state and local level as well as behaviour, attitudes and capacities (e.g. O&M, managerial) rather than mere supply of water or provision of facilities

per se. Other projects in the sector are doing that at various levels (e.g. the World Bank at small towns and urban sector levels).

ii) Perception by stakeholders is significantly different from expert opinion reflected in the evaluation report which is based on informed judgement. The report is based on investigated and proven facts, while perceptions are approximate and lack specialised experience and knowledge from other similar situations elsewhere – Perceptions are important. What is lacking from the above analysis is the reason behind stakeholders' perceptions. A possible reason for this perception is the level of awareness inculcated so far in project stakeholders. This seems to need more discussion and explication such that the basic objectives of the project are better understood by all stakeholders. A second reason can be drawn from the very nature of perceptions (intuitive sensing (or visions) of reality) themselves. These are in most cases not quite congruent with facts, proven results and findings.

The questionnaire can be seen in Annex 8.2.

3. OVERALL ASSESSMENT AND KEY FINDINGS

3.1. Relevance

Studies have indicated that, in many States, coverage of water and sanitation has declined in percentage terms in recent years, and that Nigeria is lagging behind in meeting relevant targets and MDG goals in this sector. Typical levels of access are 55% to improved, safe water, and 35% for improved sanitation.

The water supply and sanitation sector in Nigeria is still facing the challenges that the Programme wishes to address both in terms of weak capacities of sector institutions and in terms of low access rates to water supply and sanitation services. WSSSRP II remains therefore consistent with, and supportive of, the policy and programme framework within which it is placed.

Over the years, due to low funding of the Nigerian water sector, both at the federal and state level, the provision of water and sanitation has suffered decay in infrastructure and in the quality of personnel who handle these facilities. Other problems of the overall Water Supply and Sanitation (WSS) sector in Nigeria include weakness of existing institutional arrangements, absence of a regulatory framework, and inconsistency in the implementation of existing policies and inadequate database.

Investment to expand services in the water and sanitation sector is low. Funds provided under the federal and state budgets are not used effectively, due partly to corruption and mismanagement. To some extent it is also because the right persons with adequate understanding of the issues, competent and with right mix of programming skills are usually not in final decision making positions. In addition to low funding (lack of application of the cost sharing formula as stipulated in the 2000 National Water Supply and Sanitation Policy), funding for maintenance by almost all the public WSS services providers is inadequate, in part because the policies on tariffs are unclear and cost recovery is low. The centrepiece of the Nigeria's water supply and sanitation policy shall be the provision of sufficient potable water and adequate sanitation to all Nigerians in an affordable and sustainable way through participatory investment by the three tiers of government, the private sector and the beneficiary. The overall objective of the WSSSRP II is to increase access to safe, adequate and sustainable water and sanitation services in six selected states.

Similarly, the EC has the objective to support and contribute to the achievement of the major Water and Sanitation related MDGs and in particular the pledge to halve the proportion of people without sustainable access to safe drinking water by 2015

It is with this in mind that the WSSSRP programme was conceived and designed to complement government efforts towards addressing the existing problems through institutional reforms and service delivery in the water supply and sanitation sector in the Country.

Areas that attention has been focused include: improved water governance at the federal and state levels through establishing policy and regulatory framework, M & E systems and capacity building and training, rehabilitation of existing infrastructures and the provision of new ones in selected urban and small towns, promotion of access to better sanitation and hygiene, inclusion of CSOs/NGOs in water and sanitation delivery, promotion of private sector participation and gender mainstreaming in the water sector.

Development agencies such as the EU can only make a small contribution to capital funding. However, their limited funds can be made best use of, and can have a much bigger impact by focussing funding on Institutional Reforms that will enable additional funding to be leveraged. By contributing to the creation of an improved enabling environment, the WSSSRP II will help change the priorities (towards options that give best value for money – often this will be rehabilitation rather than new works), and encourage investments by Government, IFIs and the Private Sector, giving confidence to the investors that sustainable improvements will result. The EU WSSSRP II is therefore appropriately focussed on Institutional Reforms, and the TAT support has, in turn, very relevant and appropriately designed to strengthen the capacity of the 6 selected States to deliver the reforms

The targeting of beneficiary States and LGAs has the overall degree of flexibility and responsiveness as WSSSRP II incorporates a demand driven approach to the provision of water supply and sanitation to local communities. After cost-estimates are prepared for different WSS options, the communities will determine which scheme they prefer based on their ability to cover their share of the costs of the works. As such, there is a good degree of direct responsiveness to the needs of the community as perceived directly by the beneficiaries.

The Program is overall complementary with other donor's intervention especially in the capacity building target; it is aligned with other donors in the overall approach and there is coherence of WSSSRP II activities with Nigeria's and EC development policy on international agreements e.g. Dublin, Rio, Johannesburg, etc; and with other EU and donors' interventions in the water sector in Nigeria. However, EU should consider developing synergies in areas of M&E with the World Bank Urban Water Supply Sector Reform Program. The programme design and scope is overall relevant, although the scope is to a certain extent very wide as compared to the resources available, and the time-frame seems relatively short for the achievement of the expected results in terms of sector reform and capacity building and in terms of supporting the correct operation and maintenance of constructed facilities. The counterpart contribution requirements by the, States, LGAs and communities as designed in WSSSRPII is in response to desire of government to promote sustainability in water supply and sanitation through the participatory involvements of all stakeholders.

The embedment approach is to be praised as it encourages ownership and responsibility of public institutions although it poses challenges to timely implementation of activities. The TA support to the WSSSRP II has added value to the overall programme by providing strong and focussed support on the key issues that need to be taken forward.

In the program design, there seems to be a gap in TAT support to LGA level and to UNICEF support to Federal level this does create some difficulties for implementation of the urban/small town component also due to weaknesses of institutions in charge of this area. This is mainly due to the fact that there is no corresponding agencies of the State Water Boards or STOWA at LGA level.

To a certain extent there is some overlap between the TAT and UNICEF role on M&E. The MTR team identified the non-participation of States representatives in the evaluation of contracts for construction of facilities as one of the main weaknesses of the Program design and a major risk for the success of the programme. However UNICEF has some activities at the federal level with the support to the federal level for CLTS in the Dept of Water Quality and Sanitation. UNICEF supports M&E for CLTS at federal level and throughout the 6 States. Furthermore, the WASHIM – software package for M&E system is perfected by UNICEF and UNICEF is deploying this at both federal and State levels. TAT will be involved with CD for system management, etc.

In case of the rural component, the procurement exercise is facilitated wholly by the States using the harmonized procurement guidelines while the UNICEF monitors and ensures compliance to guidelines.

Government policy is to encourage rural communities to take full ownership of government's water and sanitation facilities in their localities. This aspect is being implemented in the WSSSRP II through the collaborations with UNICEF in the rural communities. In this arrangement, facilities put in place by the RUWASSAs (with UNICEF providing the designs, supervision and monitoring of works) will be handed over to the communities (RUWASSAs) to be owned and maintained by them. Usually UNICEF releases payments for works only after certification by RUWASSA and the WASHCOMs.

Prior to the commencement of WSSSRP I, which is the precursor of WSSSRP II, in 1998, the Government formulated a Small Towns Water Supply and Sanitation Strategy which was incorporated in the 2000 National Water Supply and Sanitation Policy (STWSSP), the following were very and still relevant

- The Programme Purpose supported the Overall Objective which is directly linked to MDG No.7 to halve the proportion of people without access to safe drinking water and adequate sanitation by 2015 for the six states.
- On the Federal level the existing water-related laws were in need of revision in order to have them harmonized in a new Water Law. Partly as a result of the weak institutional, legislative and

regulatory framework occasioned by the lack of a comprehensive and up-to-date Water Law, over the years low funding of the Nigerian water sector resulted and water and sanitation infrastructure deteriorated as did the quality of personnel who handle these facilities. Reform had become a priority for FGN.

It was found that the key challenge that Nigeria's public programmes have largely failed to direct these resources effectively to deliver real services to the population due to waste and misappropriation which resulted into failure of reaching the expected outputs. From the EU-Nigeria Strategy Nigeria subscribes firmly to the goals of the Africa-EU strategic partnership launched in Lisbon in December 2007. This commitment was emphasised at the Nigeria-EU Ministerial Troika Meetings in Ljubljana, Slovenia in May 2008 and in Prague in June 2009. The parties in Ljubljana and Prague agreed to intensify their political dialogue and cooperation and in Prague they adopted a strategy to enhance their relations ("The Nigeria-EU Joint Way Forward"). In addition to agreeing to coordinate their respective approaches to global and regional issues, the parties reaffirmed the importance of achieving the millennium development goals (MDG) in Nigeria, the most populous country in Africa, where over 64% of the population lives in extreme poverty (90 million people representing about 11% of the population of sub-Saharan Africa).

The CSP/NIP therefore prioritised assistance towards showing that Nigeria's own systems can be improved and reformed. The CSP/NIP chose two obvious ways of supporting Nigeria: (i) directly helping the Nigerian Authorities improve their own service delivery mechanisms through support to good governance, institutional strengthening, reform of public finance management, and (ii) by developing and promoting success stories. The CSP/NIP 2001-2007 chose Water and Sanitation and State and Local Institutions and Economic reforms as the two focal sectors. In emphasising the central role of reforms, the CSP/NIP noted that improvements in the management of State level resources are not a purely technical matter to be tackled only by better administrative techniques and structures, they are also a social and political issue in a democracy and can be realised in a substantial way solely by strengthening controls and participation "from below" as well as "from above."

At the state level, the State Water Edicts and bye-laws formed the legal basis and authority for the water use and management of the entire water resources within the states. There are also customary laws related to water and sanitation that are as well important and binding as any written enactments for regulating water and sanitation related activities, especially at the level of rural communities at LGAs. There were all in need of harmonising under an overarching federal Water Law prior to the start of WSSSRP.

In 1998, the Government formulated a Small Towns Water Supply and Sanitation Strategy which was incorporated in the 2000 National Water Supply and Sanitation Policy. The basis of the strategy is demand responsiveness and community decision-making. Since the concept of community management is a recent development, and since there is insufficient experience for decision-makers to set policies and strategies at the national level, the FMWR sought assistance of the World Bank as well as of the EU to test and refine the strategy. A pilot programme was implemented, from 2000 to 2004, with the support of the World Bank in the three states of Ebonyi, Katsina and Niger. The World Bank-assisted pilot programme was concluded in June 2004. While EU is assisted in STWSSP with the testing of the strategy in three states, namely: Adamawa, Delta and Ekiti. This followed with a new phase of WSSSRP I. The programme implementation during the first phase began in 2005 till the end of 2008. The implementation framework consisted of the Programme Management Unit (PMU) which was managed by a consortium led by Louis Berger SAS for the federal level, while 2 other consortia led by Messrs Mouchel Parkman and Messrs Rodeco GmbH respectively, managed the 6 State Technical Units (STUs) located in the 6 focal states, Mouchel Parkman for the 3 states in the South (Anambra, Cross River and Yobe) and Rodeco GmbH for the 3 in the North (Jigawa, Kano and Yobe). The programme implementation during the second phase started from 15 February 2009 for an initial duration of 22 months with an extension of 8.5 months to end on 31 July 2011. Messrs WS Atkins managed all the STUs in the six focal states.

The European Union is funding the second phase of the Water Supply and Sanitation Sector Reform Programme (WSSSRP II) (budget EUR 94M; EU contribution – EUR 80M) in the six EU focal States EU is also funding the Niger Delta Support Programme (NDSP), whose Component 3 - Water and Sanitation – is being implemented in five States of Akwa Ibom, Bayelsa, Delta, Edo and Rivers with a total budget of EUR 64.95M (EU contribution-EUR56M). WSSSRP III will be implemented in parallel with these water programmes. In order to harmonise implementation strategies and enhance synergy amongst EU-assisted water and sanitation programmes in Nigeria, it is designed that the three water and sanitation programmes supported by EU will be coordinated and supervised by a common federal-level project steering committee.

EU is also financing the Micro Project Programmes (MPP9) in rural and poor communities in the nine oil producing States in the Niger Delta region. About a quarter of these micro-projects concern projects for water supply and sanitation services delivery.

3.2. Effectiveness

The OECD on the implementation of the Paris Declaration 2005-2010 emphasised that the process to make aid more effective has made an important contribution to development of partnership. In the process, greater emphasis has been placed on transparency and demand-driven aid. It has been established that greater efforts need to be made by developing countries in aid effectiveness in order to have much wider reaching impact on institutions and development results. Donors, including EU, should recognise the progress made by partner countries and should deepen and sustain their support.

But still there are challenges in implementing existing commitments as proven by the Paris Declaration and emphasised in the Accra Agenda for Action (AAA). Most of the challenges identified⁸ are ultimately political and governance related rather than technical and requires sustained leadership for reforms, if they are to be addressed, i.e. apart from increasing aid volumes, key is that the most important dimension of quality should not be lost. This is in the interest of citizens and taxpayers in both developing and developed countries in order to ensure that aid is effective and contributes to development results.

The AAA's priorities for accelerating and deepening the implementation in terms of effectiveness go to emphasise the roles of stakeholders and important factors beyond the donor and the recipient country's Government. Both the Paris Declaration and AAA aim at making progress in implementing specific commitments related to:

- (a) Developing country genuine ownership of policies and strategies,
- (b) Alignment of aid to developing countries' priorities and systems
- (c) Making efforts amongst donors to harmonise aid practices,
- (d) Predictability and transparency
- (e) Results and mutual accountability.

The Final Evaluation of WSSSRP I confirms that the EU Development Assistance for water and sanitation is guided by the 2002 European Commission (EC) policy on water management in developing countries.⁹ The importance of water in EU development assistance was reiterated in the 2005 EU Consensus on Development as one of the nine priority areas for EU development policy. On the other hand,

{the 2001 – 2007 Country Strategy Paper (CSP) and the National Indicative Programme (NIP) Good Governance and Water and Sanitation became the two key focal sectors of EC

⁸ See the OECD 2011 survey on monitoring the Paris Declaration.

⁹ Water Management in Developing Countries: Policy and priorities for EU development cooperation. European Commission (March 2002).

cooperation with Nigeria. Under the 9th European Development Fund (EDF) the water and sanitation sector had an allocation of Euro 230 Million. Significant support to the water and sanitation sector in Nigeria began with the **Small Town Water Supply and Sanitation Programme** (STWSSP), an EC funded project of EUR 15 million implemented between 2001 and 2006 with the FMWR in Adamawa, Ekiti and Delta states. Valuable experience was gained and lessons learned from the implementation of the STWSSP which led to the realisation that, given the Nigerian context, in order to maximise effectiveness, the EC assistance has been targeted to a limited number of focal states and local governments chosen for their proven commitment to reform, performance in public finance management (PFM) and record in service delivery¹⁰.

The CPS/NIP for the 9th EDF in the **Water Supply and Sanitation Sector Reform Programme**, signed in 2002, the major interventions foreseen were:

- Institutional support to reforms and strengthening of the water and sanitation sector in these six states;
- Budget support to fund expanded provision of water and sanitation, conditional on the success of the state's reforms and the institutional support in improving service delivery in the six states in this sector;
- Support for water and sanitation policy at federal level.
- Support to reforms and strengthening of governance, public finance management and service delivery in these six states.
- The above effort commenced in WSSSRP I and culminated in WSSSRP II where the results are commented upon below very briefly:

At the Federal, State and LGA levels the programme had several primary and secondary effects. At the Federal level the introduction of the Draft National Water Resources bill has directly resulted in a new understanding that cast its effect on the legislative framework of the whole sector. The IWRMC is being run under a law (yet to be passed finally) that conforms to the provisions of the water bill. The FMWR has been restructured in line with the forthcoming law. At the State level the draft State Water Laws are established in line with the draft National Water Resources Bill. At the local level “departments” for water and sanitation and hygiene have been created, in some of the EU focal and other non-focal States, with powers and resources which lend the newly created departments to more effectiveness and impact when compared to the former Water and Sanitation and Hygiene (WASH) “Units”.

The change in hygiene and sanitation practices at the State and particularly at the local level has been very immense. On triggering sanitary campaigns large numbers of people adopted new hygiene and sanitary behavior because they were convinced of the benefits. Water supply facilities (though constructed in the first phase of the programme) have far reaching effects for women in terms of reducing the time spent on fetching water, or paying for exorbitantly high prices for water vendors. Children have for more time for education instead of helping the family early in the morning, midday and in the evening to fetch water for the family. Access to and use of improved sanitary facilities has resulted in very low rates of diarrhoea and other diseases resulting from unhygienic behavior¹¹. Healthy conditions meant better quality of life, family budget relieved of medical expenses and time lost in seeking treatment.

Regarding progress towards the achievement of results, it was not possible to assess implemented activities vs planned activities due to non-availability of quality work plans¹²; however, according to the

¹⁰ Final Evaluation of the WSSSRP I.

¹¹ There is no independent proof, but this has been communicated in discussions and statements based on observations by UNICEF, field experts and the community activists.

¹² The absence of well structured work plans has been discussed in many instances in this Report. Recommendations were made to follow a well structured and temporally organised tasks and activities. The TAT

MTR analyses of implemented activities so far as compared to the programme's logical framework, WSSSRP II is overall on track both for the rural and for the urban/small town component and no dramatic delays have been observed. Identified delays concern the finalization of the tender documents for the facility constructions, the approval of the Water laws, and overall capacity building activities addressed to sector institutions and agencies. In terms of effects of the programme so far, according to interviews with stakeholders and beneficiaries the program has the merit of making sector actors pay greater attention to WASH and especially sanitation that is gaining increasing importance. At community level, the program has brought increased awareness on hygiene issues and many communities are very satisfied with the increased knowledge the program brought. Access to sanitation facilities has increased in triggered communities. Stakeholders and beneficiaries also claim that WASH practices have changed and that these are positive effects on health. It was not possible (nor expected) to confirm these claims with official data but the positive perception of beneficiaries on the sanitation component is a good indicator of the programme's effects so far. Beneficiaries do however regret that no water has been provided yet and are requesting to expedite action.

Recommendations:

1. The present emphasis on only two LGAs per State is a step in the right direction by way of buttressing effectiveness at the local level. This trend should continue with the present project.
2. Community participation and ownership and cost sharing among the community and the Government should continue, but on the basis of contribution of beneficiaries to the service / meaningful participation.
3. Autonomy of the service provider and the principle of water as an economic good should be upheld.
4. An effective communication strategy should be developed to realize the above for the two components.

3.3. Efficiency

3.3.1. Coordination

The coordination mechanism between the two components (rural and small town/urban) during the WSSSRP I was briefly addressed in the Final Evaluation Report. It was particularly stated that due to its scale, scope and modality, the rural component of WSSSRP I implemented by UNICEF was in reality a large separate project of the Programme - not well coordinated with the rest of the Programme.¹³ While no clear and focused recommendations were made with respect to strengthening coordination in general within the programme structure and between the two components, several related recommendations were made and their inclusion in the design of the WSSSRP II influenced the nature of the coordination mechanism in place. These include in particular two measures:

- The embedment of TAT/UNICEF within the Nigerian authorities (ministries, states, LGAs) where the TAT/UNICEF personnel are physically hosted in the respective premises of the authorities and aim to form an inclusive part of their staff for advising, planning, coordinating, managing and monitoring the Programme – this applies for both the rural and the small town/urban component.
- The aim of strengthening a Sector Wide Approach (SWAp) which would provide a strong planning and coordination mechanism for all water related activities at State level, involving donors, such as WB, Water Aid and AfDB, who operate in the same sector. While in principle reducing overlap and

reported that initial attempts to go this way have been turned down. UNICEF did not reveal clear plans and only summaries were provided that do not allow practical judgement on work progress to be made. Both TAT and UNICEF follow a detached path in meeting their project implementation tasks. Efforts are ongoing to share more experience and in opening up to each other such that learning from each other is better facilitated.

¹³ WSSSRP I: Final Evaluation of the WSSSRP I, April 2013.

duplication of efforts and activities and meeting aid effectiveness requirements as outlined in the Paris, Accra, Busan aid effectiveness meetings, only initial steps have been taken so far, i.e. in Cross River State and partly in Anambra State. Significant determination and engagement on the side of the stakeholders at federal and state levels for the SWAp will be needed for it to gain momentum. Generally the MTR team sees little engagement on the side of the principal stakeholders to adopting a SWAp approach.

- With respect to the sub-granting arrangement between UNICEF Headquarters in Abuja and the State level Rural Water Supply and Sanitation Agencies (RUWASSAs or RUWATSANs), no particular difficulty was observed and the arrangement seems to be working well.

Coordination deficiencies

The team's *findings* regarding the coordination of work of the two components during the first two years of the Programme include the following:

- The inconsistent use of the logframe structure for designing and planning the Programme involving the two components;
- The UNICEF supported rural component was initiated some 10 months before the small town/urban component. This situation created complications with respect to implementation of concrete activities in the communities across the two components, primarily because of poor coordination, exemplified by the need to conduct the supplementary baseline survey for urban and small towns;
- In the breaking down of urban areas into small towns and/or rural areas and small towns into rural areas or vice versa, the Programme has contributed to confusion and overlap of interventions by the two components. Without tight synchronization of activities and clarification of definitions of 'what is a small town' and 'what is a rural area' and agreements on who intervenes where and when, there are risks of overlap and inconsistency in intervention. The LGAs – the main authority in charge of both small towns and rural areas at the local level – therefore have not been able to implement their work in an efficient manner. A clear example is the following: Inisa, a town in Osun State with four political wards, was chosen by the small town component to replace previously selected but now deleted small towns. It turned out that two of the four wards already had been subject to intervention by the rural component of the Programme.¹⁴
- While the general perception of the two components as being part of a common Programme with a common goal may be present among some stakeholders, it is evident that *in practice* the two components operate separately. As pointed out in the recent Political Economy report there is weak coordination between the donors, the State, the Basin authorities and the LGAs. In fact, there exist no real platform for a shared vision and coordination between key stakeholders. This leads to overlap and duplication of efforts and, as such, a high degree of inefficiency in the sector.¹⁵ This state of affairs seems also to reflect the situation of the two components in the Programme¹⁶.

Following the design of the Programme coordination will be assured at the level of the PIA – normally the State Ministry responsible for Water Resources where a consolidated State Annual Work Plan will be established. Coordination is also to be assured through annual stakeholders' sector review/forum to be organized by the States. At project component levels, coordination will be established for joint activities, e.g. Joint monitoring missions, a single M&E system at State level, etc.

¹⁴ MoM, Joint meeting of the rural and small town components of the WSSSRP II, 2 May 2014.

¹⁵ WSSSRP II: Political Economy. Scoping Report v. 7. June 2014, p.16.

¹⁶ It has been explained by the EUD that the design of the programme is that Coordination will be assured at the level of the PIA – normally the State Ministry responsible for Water Resources where a consolidated State Annual Work Plan will be established. Coordination is also to be assured through annual stakeholders' sector review/forum to be organized by the States. At project component levels, coordination will be established for joint activities, e.g. Joint monitoring missions, a single M&E system at State level, etc. There is the National Project Steering Committee for coordination at national level. The challenge is that the above mechanisms are poorly understood by stakeholders and are yet to be put in action.

There is the National Project Steering Committee for coordination at national level. The challenge is that the above mechanisms are poorly understood by stakeholders and are yet to be put in action. Steps must be taken to activate and formalise these dominant institutional settings to strengthen coordination and M&E practices.

- Supporting coordination from key federal stakeholders could be stronger. The first National Steering Committee meeting for the Programme was only held in January 2014 and has so far been the only one. This limited dedication to the Programme from the federal level is further underscored in the recent Political Economy report.¹⁷

In an attachment to the logframe and in the Atkin's contract with EU, the TAT is supposed to coordinate with the UNICEF on a number of activities. These include (i) support to the baseline survey; (ii) support to the development of the State M&E framework, i.e. at RUWASSA, LGAs and communities levels; (iii) design, dissemination and use of training packages (especially for the use of CLTS in small towns); (iv) implementation of the institutional restructuring plan as regards RUWASSAs and LGAs' WASH Department, WCAs and WASHCOMs as presented in the States water policies and draft water laws; and (v) Information processing and monitoring, in particular, on dissemination of "good" practices within selected LGAs and in non-selected LGAs. Furthermore, (vi) TAT should coordinate with the "State and Local Government Governance Project" to ensure coherence and complementarities between the two projects. This will include the establishment of a channel of communication, exchanges of information on project implementation, monitoring complementarities of the two projects and of activities aiming at optimising the efficiency of EU intervention. What *progress* has been made of these coordination tasks? Some are mentioned below.

- A supplementary baseline survey was conducted in March–June 2014 by TAT consultants following RUWASSAs/UNICEFs baseline survey carried out in the autumn of 2013. The main reason being that mainly 'hard' data needed for the small towns were not included. This has resulted in further delay in the implementation of the work in the small towns.
- The design, dissemination and use of training packages for the CLTS in the small towns (WCAs) has overall been neglected by the WASH units/departments in the 12 programme LGAs (though being a part of their responsibility), mainly due to the perception that the CLTS approach relates to the UNICEF component and to the rural areas. Furthermore, the apparent lack of a TAT Consultant and the presence of a UNICEF Consultant at the LGA level may have implied a sole focus on the rural areas. It should however be mentioned that the team observed that CLTS and WCA support to training was included in some instances. However, it is clear that there is no coordination mechanism in place for these capacity building efforts.
- The dissemination of "good" practices within selected LGAs and in non-selected LGAs through regular inter-LGA meetings seem to have been one of the few successful efforts made in terms of coordination. Yet, the documentation is limited and results not verifiable. For example, in Osun State, monthly technical review meetings (called "WASH clinics") take place with the presence of *all* LGAs' WES units/departments in the State. During these meetings experiences are exchanged and information provided about the progress of various donor funded programmes, e.g. in Osun the AfDB supported programme, which covers 24 LGAs with an almost similar approach as the WSSSRPII programme. While these meetings are held, in principle, monthly, it has only been possible to obtain documentation (MoM) from one meeting held in June 2013. Furthermore, there seems not to be any mechanism put in place that evidence that the 'best practices', if any, are actually disseminated and applied. The recent case study document on CLTS in Nigeria is a good example of best practices dissemination¹⁸, however, with the exception of Jigawa State, there are no indications in any documents or from interviews that any best practices have been replicated outside the Programme and to which extent they have been successful.

¹⁷ WSSSRP II: Political Economy. Scoping Report v. 7. June 2014.

¹⁸ UNICEF: Community Led Total Sanitation in Nigeria. Case Studies. No Year (but assumed mid-2013).

As for the UNICEF work plans (Year 1) they do not include coordination activities with the TAT component. This indicates that the rural component is more inclined to operate autonomously, detached from the urban component. While monthly meetings, in principle, are held between the two components at Programme level, there are no documentation available to the team of those meetings and what precise actions that have been taken to strengthen coordination.

While planning has been observed as a critical deficiency of the Programme, so has obviously coordination. Without proper planning instruments in place, coordination is not likely to succeed. Planning includes the full understanding of the logframe and its OVI and their use in establishing plans and implementation activities.¹⁹ Without such understanding and drafting effective and implementable work plans meaningful coordination is not possible. Therefore coordination at any level (Federal, State/SWAp, LGA and communities) requires that planning is understood and work plans are designed for effective implementation.

Recommendations on coordination

1) It is recommended that the SWAp is further supported and the steps taken in Cross River State so far is encouraged (a framework that can be operationalized) and is shared with the other states for inspiration and action. While the SWAp is most likely a viable approach to strengthened aid effectiveness with the establishment of a sector basket funding modality recent research indicates otherwise. Where the SWAp is taken seriously as an aid delivery modality the likely practical shortcomings of the approach must be taken into consideration. These include, among others, limited real alignment and harmonization, no effect on transaction costs, limited sector stewardship and limited equity and coverage of front line service delivery.²⁰ If these shortcomings are not adequately dealt with in the operationalization of the SWAp where it is to be tested and implemented in the States, its likely success will be questionable. Before embarking on a fully fledged SWAp specific shortcomings of the SWAp application in a State context must be identified and the SWAp analysis and framework for Cross River State reviewed with this perspective in mind. This could be done through a consultancy with the support of the MWR/TAT. If the SWAp implies organising annual sector review workshops, make sure not to organise additional workshops but rather strengthen the existing ones (which may have different names). As mentioned, already designed coordination and M&E structures and mechanisms at federal and state levels must be re-activated.

2) It is recommended that National Steering Committee meetings are held on quarterly basis during the remaining time-span of the programme. These meetings must ensure that the Programme logframe, for both components, and its OVI are thoroughly reviewed, that each OVI or groups of OVIs are broken down into operational work plans and that correlation between the two components' work plans are ensured and – if the embedment approach is to be effectively applied – be inclusive to Federal, State and LGA work plans. The Committee must ensure that all stakeholders are knowledgeable of the Programmes' goal and purpose and that each component *in practice* contributes to the same goal and purpose. The Committee is responsible for the necessary coordination mechanisms set in place and that reporting and minutes of meetings are drafted and distributed to all stakeholders and that actions decided upon are identified and responsible persons assigned and proper follow-up to actions are made. Equally, *State Steering Committees* should hold quarterly meetings during the next year for the similar purposes as the National Steering Committee and ensure that all key stakeholders are represented, e.g. UNICEF. Currenty State Steering Committee meetings in all the states are held highly irregularly indicating limited commitment to the Programme by key stateholders at the State level.

3) It is recommended that the nature of the current monthly meetings between the two components is improved to strengthen coordination. It should be a forum for coordination, not only a presentation of

¹⁹ The logframe has been applied very poorly in most development programmes. Objectively verifiable indicators (OVIs) are probably the most critical part of the logframe and basic rules for their design are key to successful programme results. An OVI must as a minimum have three characteristics: *quantity, quality and being time bound.*

²⁰ http://papers.ssrn.com/sol3/papers.cfm?abstract_id=2041830 – this particular analysis from 2012 relates to the health sector but the problems for the water sector are similar.

activities from each component. The meeting agenda and the minutes of meetings must as a minimum include the following:

- *Changes to the logframe* (e.g. old OVIs have been completed and stored in a data base, and new ones are emerging, e.g. change in number of small towns receiving water schemes, or upscaling of LGA-wide CLTS triggering for ODF);
- *Implications for changes to the OVIs for the work plans of both components;*
- *Implications of the changes in terms of possible coordination of work of the two components in the field*, i.e. implications for the State MWR/RUWASSA work plans, the LGAs WASH units/departments' work plans and for the communities' CAPs. Work plans must be synchronised vertically as well as horizontally;
- *Clearly state in the MoM the coordination actions* to be taken, the assigned responsible person and his/her institution as well as clearly state a date for reporting back and the nature of reporting (e.g. updated work plans at all levels).

The key aspects on which coordination between the two components is needed are the following: planning, M&E and trainings. Various activities with respect to these aspects can be jointly implemented (e.g. development of the M&E framework; trainings on planning/reporting/M&E) with clear definition of a task-sharing. Joint working groups whose members cut across the 2 components could be established to facilitate the process (such as is the case in Anambra State).

Preparation of simple formats and templates will be needed for the coordination work to be effectively implemented with feed back to the monthly meetings for assessment of work plan progress at all levels. A logframe section must be included as a standard item in the annual, semi-annual reporting for the Programme components.

4) It is recommended that State based LGA WASH department meetings are held regularly (e.g. every two months) with the purpose of (i) presenting the status of WASH activities in each LGA (progress and concerns/problems) documented in a simple template containing four columns: LGA name; description of progress on WASH issues; concerns/problems encountered (if any); and steps taken or to be taken to mitigate concerns/problems, (ii) identify possible synergy effects and/or possible replication of successful WASH interventions across the State. This should be a standard reporting procedure in all State reporting, and applied to the two components.

As regards the division of settlements in rural, small town and urban sections, it is primarily an institutional issue and recommendations are presented in Chapters 4.3.7 and 4.3.8.

3.3.2. Planning and reporting

Prerequisites for good planning and reporting

Works plans are ideally based on the logframe of the Programme. So fundamentally, the quality of the logframe, particularly the objectively verifiable indicators (OVIs), is the first and foremost prerequisite for preparing useful and relevant work plans for the two programme components. As suggested by the Final Evaluation of the WSSSRP I it is important that “in a Sector Reform Programme with stand-alone subsidiary components or projects these component projects should be designed with their own, fully elaborated logframes.”

This has to some extent been applied in the logframe design for WSSSRP II where the TAT/MWR is responsible for all policy related issues and urban and small town activities and UNICEF/RUWASSA are responsible for the rural component. However, there seems to be some inevitable overlap regarding M&E and community mobilisation at State level. Clear distinguishing of responsibilities for implementation by each component and strong coordination of activities at each administrative level must be outlined. On a more practical basis, yet important for references, coordination, and monitoring and evaluation of the Programme, the code and numbering used in the original logframe should be applied by both components. Currently this is not the case. Please, see section on Community Mobilisation below and the discussion of unclear jurisdiction between TAT and UNICEF with respect to water, sanitation and hygiene support in some small towns and rural community areas.

Good work plans follow simple yet information rich data with useful activity templates forming the basis for assessing and reporting on the progress of the OVI in the logframes. Without a clear connection between the work plans and the logframes' OVI structures will be of any value and reporting be useless for decision-makers, implementers and evaluators. Currently this connection is blurred.

With this ideal planning and reporting setting in mind, how has the Programme performed?

The basis for the review

Materials received for assessing planning and reporting of the Programme included the following for the policy and urban/small town component: two six monthly TA reporting, covering March 2013-August 2013 and September 2013-February 2014, respectively, and excel based activity/budget 'work plans' for the TAT and for selected states. For some states a few briefly outlined results sheets were provided in connection with Programme presentations. An example of monthly planning for May and June 2014 was provided for Anambra State. For the rural component the following documentation was received: UNICEF 1st annual report covering July 2012-May 2013, UNICEF's 2nd annual report (August 2013-July 2014) yet covering the first and second year of the Programme as well as UNICEF state sample work plan for May 2014 and related reporting (for Osun State). In the view of the review team the materials received is inadequate for a full and comprehensive planning and reporting assessment. While requested continuously during the mission for relevant documentation, responses from stakeholders have been limited to the above material.

Work plan and reporting findings

- *TAT work plans and reporting*: Generally, the materials received indicate well described activities and achievements but inadequately developed work plans. While the work plans overall follow the Programme logframe's OVI as outlined in the Financial Agreement they lack a detailed timeline that will make it possible to assess progress – which is now not possible. 'Annual Work Plan Budgets' are shown in Annex 3 in the 1st Semi Annual TA report, where work plans are linked to the budget, which is relevant, but not to time. The 1st Semi Annual TA report follows the main logframe results and the Service Contract ToR for which TAT is responsible. This includes the project management, the reform process, the urban and small town sector institutions, information processing and monitoring, and coordination – covering the federal as well as the state levels. While the descriptions of activities and achievements overall are well presented in the report it is not possible to assess actual progress, as it lacks a clear overview of progress according to time and specific reference to the logframe. The same problem remains with the 2nd Semi Annual TA report where neither the Annual Work Plan (Budgets) nor the logframe are presented – which they should.

State level work plans are primarily based on the budgets allocations and not timelines and phased activities, milestones, etc. within, say, a year. While this is relevant and important for financial reporting it is insufficient for progress reporting which includes quantitative and qualitative assessments of OVI based on achievements of work plan activities within a given time frame, say, a year. A well structured plan should show temporal outline of specific activities, tasks and sometimes milestones, critical paths over the lifetime of the project. This cannot be seen in the plans provided by the UNICEF or by the TAT (Federal or State level).

- *UNICEF work plans and reporting*: The materials received indicate inconsistency in the work plans and uneven quality in the reporting. The 1st Progress Report (July 2012-July 2013) contains the overall logframe for the UNICEF component, a summary of achievements against first year's work plan, and the detailed breakdown of activities that do not comply with the logframe. The report includes relevant information for assessing progress against results and forms a good basis for subsequent reporting. However, the 2nd Progress Report (August 2013-July 2014) that we received was only a summary as the complete report is still under preparation. In this summary, assessment of progress does not cover the second year but an entire two year period (2012-2014). Progress is therefore not possible to assess on a time-basis. Furthermore, only selected logframe results are presented, not all, which gives an incomplete picture of the work carried out and possible progress, if any. Some activities are not presented at all in the work plans of the two reports, while mentioned in the text (e.g. IEE). Also, coding is not consistent between the two reports. In addition, the percentage and numbers in progress appear arbitrary without

clear indication of the reason(s). For example, according to Y1 90%, or 1,923 communities, WASHCOMs were formed and trained across the States with communities' action plans (CAPs) developed. According to the 2nd report (covering two years) a total of 2,110 out of 2,449 WASHCOMs were formed, trained and CAPs developed. This indicates that only 187 communities were formed and trained in Y2 out of 534 remaining for the second year (2,449–1,923). There is no explanation to these figures. The above are but a few examples of the deficiencies of the UNICEF HQs work planning and reporting. Finally, it should be added that time bound work plans and reporting is also needed in UNICEF's reporting as is the case with the TAT.

The team managed to obtain an example of the UNICEF monthly work planning and reporting from the State level, the month of May 2014 for Osun State. The report claims to assess achievements in line with expected results and progress towards Programme objectives. It does neither, because there is no reference made to the logframe's OVIs in the work plan or in the reporting. Furthermore, there is no clear correlation between the format used in the monthly report and what is used in UNICEF's HQ formats for reporting.

Overall UNICEF reporting is confusing and (in several cases) inconsistent, and planning and reporting is weak and does not cater for any proper assessment of progress.

Recommendations on planning and reporting

1) It is recommended for the TAT planning and reporting that clear reference is made to the logframe in work plan descriptions and a timeline be added in the reporting structure to be able to assess progress. Also, for each main heading in the report there must be a sub-heading called *Progress according to work plan* – and another sub-heading called *Activities planned for next 6 months period*. This will provide the reader with a useful overview of progress and planned activities to achieve for the next period. And when repeated in the next report it will be possible to assess progress based on the planned work. The Executive Summary should include a clear and data condensed summary of each key theme raised in the report, e.g. on community management. State based TA reporting from the IPEs should be organised likewise.

2) It is recommended that UNICEF reviews its planning and reporting structure to meet basic requirements for management, implementation, monitoring and evaluation, at HQs and state levels (the team did not see work plans for the LGA consultants). As point of departure UNICEF should return to the 1st Year work plan and reporting structure and improve it. This includes that the entire work plan must reflect the logframe and OVI structure. Clear explanations must be provided for any or lack of changes to each results code. Results codes must also be ordered correctly within the overall Programme logframe. Reporting on progress should be on an annual basis and not cover two years. (A summary table can be provided to sum-up the previous years and show overall progress). State (and LGA) work plan and reporting formats must be re-designed so as to feed logically into progress reporting at HQs level. As of now it is difficult to see to what extent UNICEF's reporting is accurate. As for the TAT, the UNICEF reporting must include the headings *Progress according to work plan*, and *Activities planned for next 6 months period*, for accountability and usefulness for progress assessment, monitoring and evaluation.

3) For the above recommendations not to be prepared in 'isolation' it is further recommended that a Programme planning and reporting workshop is conducted for federal and state level stakeholders supported by a consultant/facilitator with strong logframe, project management and planning and reporting experience. Such a workshop would need to strengthen the correlation between the two components, streamline the work plans and reporting formats for both components to meet basic requirements for planning, management, reporting, monitoring and evaluation, and ensure that progress and achievements can be assessed logically and in line with international aid effectiveness principles.

The organisation of the workshop may include several subsequent workshops at LGA levels so as to ensure that a planning and reporting culture is strengthened in the Nigerian public service. Since the 'embedding' approach is applied in the Programme, it should be considered how the planning and reporting structures of the components can be streamlined with the current WASH planning and reporting in the public sector to make work procedures more efficient. Without a clear and professionally designed planning and reporting structure the value-for-money in WSSSRP II cannot be properly accounted for.

4) Finally, it is recommended that UNICEF submit semi-annual reporting, like TAT. This will strengthen the harmonisation with the TA work and reporting towards Nigerian authorities, ensure better

coordination and better comparison of achievements between the two components. This will require changes to the Financial Agreement item 3.3.3²¹.

3.3.3. Policy, institutional reform and IWRM

Phase I achievements and recommendations for Phase II

WSSSRP II is expected to build upon the achievements of the previous phase, consolidate and further develop them. With respect to the institutional reform, the main achievement of Phase I at the Federal level were the following: the preparation and adoption by FGN of a National Water Resources Policy (January 2009), the preparation of a draft National Water Resources Strategy to implement the National Water Resources Policy; and the support to the preparation of drafts of the National Water Resources Bill. At the States level, main achievements were the adoption of State Water Policies (in all 6 States) and drafting of Water Laws. In some cases, the program even contributed to the creation of a State Ministry for Water Resources where no such ministry existed before (ex. Osun State and Cross River State). With respect to IWRM, the main achievement of Phase I, the IWRM project (2008 – 2010) was successful in building the organisational and IWRM capacities of two River Basin Development Authorities but was constrained by coinciding with a period of uncertainty in the sector related to IWRM and the water regulatory and institutional framework. During this period, the FMWR created 2 new agencies with IWRM and regulatory tasks potentially overlapping with the official mandate of existing River Basin Authorities: the National Integrated Water Resources Management Commission (NIWRMC) and the National Hydrological Services Agency (NIHSA).

The main recommendation for Phase II as identified by the final evaluation report of WSSSRP I was the need to give the Policy legitimacy and operationalize it through the approval of a National Water Resources Law, both at Federal and State Level. In order to achieve this, it was recommended to develop a Communication Strategy to advocate with stakeholders and beneficiaries on the need for sector reform and sector reform implications. With respect to IWRM, the main recommendation of the evaluation report was to further support IWRM as a continuation of the IWRM Project (sub-component of WSSSRP I) targeted to the national level as well as specific River Basin Development Authorities; although no clear recommendation was given with respect to reconciling the mandates of various existing IWRM agencies. The Water Law however is expected to address these issues and to clarify the task-sharing between the different agencies.

Expected results for Phase II

According to the WSSSRP II Program log frame, the key expected results of WSSSRP II in terms of institutional reform are the following:

- Result 1a: National and State Water Resources Bills are enacted and implemented.
- Result 1b: Water resources is managed in accordance with IWRM principles
- Result 2b: Sector institutions are structured in accordance with the state water law
- Result 4a: WASH Units in LGAs are upgraded to WASH departments

Progress made so far by WSSSRP II

So far, efforts have been undertaken by the PIA with support from the TAT to progress towards the achievement of these results, and the situation observed is as follows:

At the Federal level, two parallel processes are taking place, on one side to review and approve the overall Water Sector Policy (2009 draft) which has not been yet officially approved, and on the other hand, to review and approve the Water Bill (2013 draft).

²¹ It has been confirmed by the EUD that the suggestion for half-yearly reporting for UNICEF will be discussed with the Organisation. However, the FA under which the Contribution Agreement is signed allows UNICEF to present a yearly reporting.

With respect to the Policy, the current document has a complete focus on *water resources* and insufficient provisions concerning *water and sanitation services*. Also, sanitation issues have not been addressed exhaustively. The current organization of sector institutions regarding water and sanitation services in Nigeria, including the distinction between rural, urban and small town services, seems to be unclear, with overlapping mandates and gaps. The Policy needs to be updated also taking into account the various existing sub-sector policies: Water Supply and Sanitation policy, Irrigation and drainage policy, Dams and reservoirs policy, IWRM policy, etc. in order to correctly address all the sub-sectors in a consistent and comprehensive manner. Up to date, the process of updating the Policy has not been given much priority as compared to the Bill, although logically the Policy would need to be approved before the Bill. The TAT is however planning to engage efforts to review and update the policy during the next months.

With respect to the Bill, this is already supposed to address all these sub-sectors. In February 2014 the TA undertook a thorough review of the fourth draft of the National Water Bill and made significant and relevant recommendations for improving the document, especially on the issue of overlapping mandates among too many IWRM agencies, and on the need to simplify and strengthen provisions on planning, monitoring, reporting and information management. A series of National Water Resources Bill technical sub-committee meetings are taking place in conjunction with the FMWR to discuss the comments on the fourth draft. These will be followed by a national workshop to gather input from key stakeholders (originally planned for June 2014, this has been postponed to early August 2014). Once the Policy and Bill are officially approved by the Ministry, they will need to be examined by the Federal Executive Council and by the Ministry of Justice, before being submitted to the Parliament for approval and translation into law. The whole process is likely to take approximately 6 to 8 months; in order to gain time, the PIA/TAT are already involving staff of the Executive Council and the Ministry of Justice in the preparatory meetings in order for them to get acquainted with and sensitized on the process.

At State level, the situation varies slightly from one state to another, but with some common features. During WSSSRP Phase I, the State Water Policy has been approved in all 6 States and the development of a first draft of the water bill took place also in Phase I. Among the first activities implemented by the TAT at State level there was the review of such water bills and advocacy for the approval. Progress varies depending on the specific situation of each State. In some States, the water bill has not yet been approved by the executive council (Yobe, Osun) while in other states it has already been approved by the executive council and is now at the House of Assembly (Anambra, Cross River, Jigawa). In Kano the law has already been approved by the Assembly, but is still awaiting to be signed by the Governor. In order to speed-up the process, the PIA in Anambra State took the members of the House of Assembly to a study trip to Lagos to facilitate the reading and encourage the approval. In terms of the law's content, the State water policies and laws are quite complete, addressing all sub-sectors including water resources and water services. However, sanitation is generally not given much emphasis. In most States the law plans to create a regulatory commission, IWRM committee and a STOWA where it does not exist, as well as restructuring of the Water Board in some cases. In some States, STOWA exists already either as an Agency (such as in Jigawa) or as a unit or department within the Ministry (such as in Kano and Cross River). Anambra is also planning to set-up a unit or department within the Water Ministry in charge of small towns while waiting for the law to be passed and the formal establishment of the Agency.

In terms of LGA WASH Departments, Jigawa, Osun and Cross River States have established WASH (or WES) departments while the remaining States still only have WASH Units under the environment or health department. According to UNICEF Y1 and Y2 progress report, "This evidence is being used to influence the review of LGA scheme of service to favor establishment of WASH departments across all LGAs in the country"; however, The PIA/UNICEF strategy for upgrading the units to departments is not very clear.

With respect to IWRM, some states are ahead of others, such as Kano where an IWRM coalition already existed and is now under the process of restoration, and such as Cross River where the State is already taking steps to establish the Inter-ministerial IWRM Committee foreseen in the Water Bill. The TAT has organized workshops and meetings in all the States to assess the current situation, engage dialogue among main stakeholders and sensitize them on the IWRM principles. All States have agreed to embrace the principles but interviews conducted by the MTR show that there is no clarity among State actors on the implications of the concept and on how to operationalize it. In addition, since the process is being led by Abuja (short-term consultant) the MTR observed a lack of ownership and responsibility of State actors in

this area. The interaction with Water Basin agencies so far has been limited. The identification of IWRM activities is planned for the next months. IWRM issues in fact seem to be of more priority/relevance in some states than others. For example, in Osun and in Anambra IWRM is not a real need since there are no big conflicts or challenges in terms of water resource management.

The IWRM Institutional Assessment conducted by the TAT was finalized in June 2014. The main outcome of the assessment indicated the need to strengthen institutional integration by establishing IWRMC's in the Southern States of Anambra, Cross River, and Osun, and reinvigoration of IWRMC's in the Northern States of Jigawa, Kano, and Yobe.

Main challenges and weaknesses identified

Overall, with respect to policy and institutional reform (including IWRM), the MTR observed that the programme is facing the following main challenges:

- The sustainability of Phase I achievements proved unfortunately not to be well anchored within Federal and State agencies, and the MTR has observed that during the first year of Phase II, the PIA had to put important efforts on the simple consolidation of previous achievements, to avoid stepping back and losing the momentum, without being able to significantly move forward.
- The level of commitment of public institutions to adopt the new law and reform the sector varies from State to State; although key actors express their commitment, it does not automatically translate into action and bottlenecks appear. To a certain extent, challenges have to do with varying political agendas of succeeding Governments and existing conflicting interests among water agencies with respect to the content of the Water Law. It seems to a certain extent that the reform process is donor-driven and there is no in-depth ownership of the process.
- There is still an underlying lack of consensus among sector players on the direction of the reform, especially with respect to the mandates of the different institutions and the difficulty in clearly distinguishing the area of influence of each agency (no clear boundaries exist between rural, small town and urban from an administrative point of view and the distinction is artificial and sometimes "flexible" to meet specific needs or agendas). The creation of a STOWA is contested in some States. The lack of involvement of the Water Supply department of the Federal Ministry in the programme is a weakness as this department could have provided guidance on the specific issue of urban/rural/small town distinction and setting up of STOWAs.

The MTR team has also observed the following weaknesses of the programme:

- The focus of the TAT on the Water Bill (as per their TOR) at Federal level should not underestimate the need to review the Water Policy to focus more on services and include all sub-sectors and push forwards for its approval. The Water Policy seems to give too much importance to IWRM as compared to other sub-sectors.
- All policies and bills seem not to give much priority to sanitation. Sanitation is mentioned in the Water Policy only as part of the water supply and sanitation sub-sector, sanitation in terms of wastewater management seems to be absent. There is no specific sanitation policy and sanitation is always and exclusively associated to water supply. The reason for this is that sanitation is within the context of MDG definition which is associated only with safe excreta disposal. Other aspects of sanitation such as wastewater management, solid and liquid waste management, industrial waste/effluence discharge are sole responsibility of the Ministry of Environment and its various agencies. However sanitation is still given insufficient attention within the water supply sector.
- The lack of a clear and detailed action plan or advocacy strategy of the PIA/TAT on the exact steps to take at each stage of the process (including sensitization of stakeholders) in order to encourage the approval of the Water policy and Water law may risk hindering efficiency and promptness of the process. These policies and laws have reached the stage that only the CEOs of MDAs can take them further; however, a higher level of advocacy above State TAT such as joint visit of EU/NPC/FMWR and Atkins to the States can be more effective.

Recommendations on policy and institutional reform

To address the observed challenges and weaknesses, the MTR is suggesting the following main recommendations:

1) Clarify the distinction between urban/small town/rural. This distinction is the basis for the definition of the mandate of sector agencies at State level: RUWESA, STOWA and Water Corporation; it is also a fundamental distinction at the basis of the M&E framework and for data-collection and compiling purposes. This distinction is a particular distinction set-up for the water sector and does not correspond to an administrative division. The population criteria (0-5000, 5000-20 000 and above 20000) is not sufficient for a clear distinction and this creates overlaps and gaps in the geographical area of influence of the various agencies. The population criteria should be associated with other criteria such as availability of infrastructure, type of habitat, population density, etc. This issue deserves to be discussed and a guidance document on this issue could be issued by the Federal Ministry with the support of the TAT in order to provide for a basis for project implementation; such a document could be domesticated and adopted at State level. States will then need to dress lists of cities, small towns and rural communities to clearly distinguish the three areas and attribute corresponding responsibilities to the Agencies. The TAT could hire a consultant to support the FMWR to develop a first version of such a document. The States will then have to update such list on annual basis (as settlements are not expected to be static).

2) The content of the reform, and the creation of new sector Agencies, should be discussed with sector stakeholders as to reach a consensus/agreement. The relevance of setting up new institutions needs to be seriously measured, as there is a risk in advocating for creation of new agencies/institutions because these may become bureaucratic and inefficient structures and become burdens for the sector. Moreso, States such as Cross River have continuously said that creation of new agencies increases overhead cost of governance which they are not willing to incur that's why Cross River rejected the idea of establishing STOWA for a department in the MWR. It is therefore encouraged to aim at practical solutions and functionality.

3) In addition to the water bill, the TAT needs to focus on the Water Policy at Federal level and proceed to a revision which includes the analyses of all sub-sector policies in order to have a consistent and comprehensive document not focusing too much on water resources but also on water supply and sanitation services. Although the Federal level is mainly in charge of water resource management and not water and sanitation service provision, it is up to the Federal Ministry to provide guidelines and set standards also on water and sanitation service provision so this area should not be underestimated. To avoid confusion and strengthen focus on services, start referring to the policy and bill as the "water policy and bill" instead of "water *resources* policy and bill".

4) An additional effort is encouraged in order to give sanitation the importance it requires within all legal documents and institutional framework. The TAT/PIA could consider developing a separate sub-sector sanitation policy at Federal Level that will not only include guidelines and principles on-site sanitation (such as CLTS which is increasingly gaining popularity in Nigeria) but also wastewater collection and safe treatment and disposal. This will need to be developed in collaboration with the Federal Ministry of Environment and the National Task Group on Sanitation. The TAT could hire a consultant specialized on sanitation policies and strategies in order to support the FMWR to develop this document. The programmes could also support the development of a CLTS/Sanitation Operational Guidelines and Principles to be championed by UNICEF/RUWASSA to be easily implemented at State level.

5) In order to encourage sector stakeholders to quickly move forwards on the reform process, it is suggested for the TAT/PIA to develop a simple and clear advocacy strategy that will include a description of the process (what legal stages are needed, the timing, etc.) and what exact steps need to be taken at each stage of the process (including sensitization of stakeholders and higher-level advocacy actions) in order to encourage the approval of the Water Bills and Water Policy (for Federal level). This action plan should be a simple and operational internal working document to facilitate follow-up on the process. It is also important for programme donor to insist with State institutions that unless these policies and laws are passed, works cannot commence. A higher level advocacy to the States such as joint visit of EU/NPC/FMWR and Atkins could be more effective than simple actions taken only at State level by TAT consultants.

6) IWRM not being a priority issue in some States (especially the Southern states) due to abundance of water resources, this component should not be given priority as compared to other aspects such as strengthening of water supply and sanitation institutions.

3.3.4. Capacity building

Capacity building has formed a comprehensive part of the first two years of the Programme – particularly in the rural component. In this sub-chapter capacity building efforts undertaken by the Programme is described and analysed briefly with respect to planning, implementation and impact.

Capacity building planning

The UNICEF logframe only includes limited references to capacity building issues, namely a capacity building plan ready by June 2013 for institutional capacity enhancement of the LGAs WASH departments and action plan for training of different LGA staff categories. The team has not had access to the two documents, given that they existed. Capacity building is also mentioned in connection with the establishing of development of an M&E system. From UNICEF’s 1st Annual Work Plan capacity building activities are mentioned in connection with the formation of the WASHCOMs, where executive members are to be trained in managing the Community WASH assets and their CAPs. At the State and LGA level WASH staff are to be trained on data management, reporting and feed-back mechanism using the WASHIMs.

As for the TAT logframe capacity building relates primarily to the implementation of the water law and policy (2.5) and for stakeholders that are responsible for adopting IWMR principles (2.11). A complete capacity building ‘package’ is to be applied for the WCAs. This includes training of WCA officials for (i) overseeing construction works and O&M of constructed facilities (3.12) and (ii) investment plans as well as training in managing the community’s water infrastructure, including the establishment of resource mobilisation strategies, such as revenue collection, setting up bank accounts, estimate financial projections to cover O&M, replacement, expansion and design of tariffs (3.15). Furthermore, the TAT is supposed to organise community sensitisation and mobilisation sessions and pilot CLTS in selected small towns in the six states.

In addition the TAT’s ToR include a number of specific assignment that relates to capacity building, including “transfer of knowledge and skills” through training, coaching and mentoring of personnel of project implementation and recipient agencies.

Based on the above presentation the team *overall* assesses that the capacity building activities planned appear to cover well the requirements needed for the Programme to be successful and contribute to achieving its objectives. However, from the field visit as well as from the logframe it appears that not enough focus has been put on capacity building of State and LGA staff for the small town/urban component.

Capacity building implementation

It was not possible to get documentation on the overview of the completed (the first two years) or planned capacity building activities provided by the TAT and UNICEF. It was not clear whether data existed or access was not possible. Therefore it was not possible for the team to assess the implementation of total capacity building ‘component’ of the Programme. The team therefore relied on data provided by some of the states visited.

The table below shows data from RUWASSA, Osun State. While the data just presents the achievements (and not comparing to target) they nevertheless show the magnitude of training provided within a relatively short period of time.

Table 5: Capacity building activities (RUWASSA, Osun State)

Level	Capacity building activities
State	<ul style="list-style-type: none">• Procurement process on WASH facilities• Capacity building on Web-based Facility Tracking System (This was also showcased in one international WASH workshop in Burkina Faso on April, 2014)• Capacity Built on usage of WASHSIMs for monthly reporting of WASH activities• Capacity Built on Documentation, Reporting, HIS, HACT, Reporting and Proposal writing.• Development of WSSSRP-II inception phase Work Plan as well as 2014/2015 Work Plan
LGA	<ul style="list-style-type: none">• Capacity of 72 Ward Officer’s built on Web-based Facility Tracking System• Capacity of 4 M&E Officers Built on Administrative/Portal management of FTS as Domain

	Administrator <ul style="list-style-type: none"> • Capacity Built on usage of WASHSIMs for monthly reporting of WASH activities • Capacity of 100 Facilitators built on CLTS • Capacity of facilitators Built on Community Management • Capacity of Facilitators Built on Documentation, Reporting, HIS, HACT, Reporting and Proposal writing • Capacity of facilitators built on Monitoring and Supervision of Triggered Communities
Communiy	<ul style="list-style-type: none"> • Capacity of 268 WASHCOMs built on Community Management • Capacity of 720 Facility Care Takers built in 3 LGAs on SMS based Reporting to the Facility Tracking web-portal

Source: Presentation on level of Implementation of WSSSRP II – Rural Component, RUWASSA, Osun State, n.a.

Capacity building impact

In some cases (which are rare) it is easy to assess the impact of capacity building. This seems to be the case for the CLTS sensitization and triggering exercises run primarily by the UNICEF/LGA WASH departments. The mere number of community latrines built and the degree by which communities have claimed ODF are indisputable indicators for assessing the CLTS/ODF sensitization and triggering activities. There is no doubt, despite inexact data available from UNICEF, that the exercise has been successful, which is confirmed partly by the data delivered, partly by the presentation of the many successful cases in the 2013 CLTS report – and last but not least the team’s positive experience from the field visits.

While the team did not visit any community that indicated issues or problems related to the CLTS ODF activities (they may not exist?) we may, however, within a larger context consider other factors than the capacity building activities contributing to the success. This includes mainly the communities’ anticipation of being provided with water facilities subsequent to the CLTS/ODF implementation. It is not possible to assess to which extent capacity building *or* expectations for water supply facilities have been the motivating factor for the success of the CLTS/ODF activities. But we have no doubt that capacity support has contributed to the success.

In other cases the capacity building impact appears to be poor. For example, during the field visit it was observed that the WASHIMs training of LGA WASH department staff seemed to have had limited impact on their performance and as such the effective use of the WASHIM for the LGA/State; they were not able to operationalise the software satisfactorily. While this may have been a single case it appears that it is a global problem across the target LGA WASH departments. As such there seems to be a capacity problem in terms of training methodology, skills of trainers, learning environment and follow-up. Similarly, observed huge weaknesses in planning and reporting enabled to deduce that the training on “Documentation, Reporting, HIS, HACT, Reporting and Proposal writing” was very limited. One of the causes of these weak impacts might be the lack of development / provision, during the training, of adequate templates for work plans and reporting and the lack of follow-up on the utilization of such templates if they were provided.

To which extent other training performed suffer from the similar shortcoming were not possible to assess. However, based on the MTR teams observations in the field, it is most likely that other training efforts may have had limited impact on organisational performance. This is further confirmed by the fact that similar types of training conducted under WSSSRP I has not had the required impact on performance, e.g. the continuous weak WASHCOMs management of sanitation and water facilities. This obviously calls for a review of all future training efforts to be conducted.

Recommendations on capacity building

Capacity building activities should be viewed from mainly two perspectives: (i) where capacity building is delivered on a ‘classroom’ basis and (ii) where capacity enhancement is delivered on the basis of coaching and mentoring, often one-to-one or to smaller groups, and often on-the-job training, performed by the TA experts. One of the main roles of the TA experts, particularly those recruited on a long-term

basis, is to provide skills transfer through coaching and mentoring adopting techniques and methods that are found to be useful and effective. No systematic applications of coaching and mentoring methods were observed during the state visits.

1) While acknowledging the individual characteristics and personality of the TA staff and their support to transferring of skills it is recommended that a more systematic approach to skills transfer is adopted and integrated into the capacity building work. Without it we will have too little data available for assessing the impact of the TA support. At the same time a system should be simple and little time consuming. This could include informal feedback notes on progress prepared by the TA staff and discussed with the State/LGA staff being coached/mentored. Also, minor tests, such as multiple choice and true-false questions, could be used as well as the use of behavioural checklists. Other methods could include the adoption of reinforcement methods, which regularly repeats the same assignment/tasks over and again for the trainee to ensure that learning takes place and skills increase. This could very well be exercised during the entry and handling of data collected from the field into the WASHIMs at the LGA level – performed and supervised by the UNICEF LGA Consultant. The Consultant him/herself must in this case of course be well skilled and knowledgeable in the use of the WASHIM software.

2) It is further recommended that during sessions where all (or many) TA Programme staff are gathered (e.g. for annual, semi-annual or event based sessions) they should include a session that particularly discuss their experiences with skills and knowledge transfer methods. This should be included in the semi-annual or annual reporting of the two components as a standard reporting item. The TA team leader could develop and provide to TA staff guidelines on coaching and mentoring techniques and corresponding tools.

3) It is recommended that the Programme's OVI's as per the log frame, apart from being mainly quantitative, should also reflect qualitative characteristics. For example, tests on staff performance and application of TA methodology for skills transfer must be included as qualitative descriptions of the OVI's for capacity building – and subsequently applied in practice.

4) As of now the Programme does not seem to have a clear plan for capacity development for the remaining period of the Programme. It is recommended that a rapid training needs assessment is conducted to update/review existing capacity building considerations for the coming period, for both components. At the same time, to ensure success of the Programme, it is important that training needs of Federal/State/LGA staff are identified on a demand-driven basis, reflecting current needs in the work place for Federal/State/LGA staff. It is the duty of the TA staff to capture these needs and address them constructively through effective learning approaches. This should be included in the semi-annual or annual reporting of the two components as a standard reporting item.

3.3.5. Community mobilization

The Programme has developed community management strategies that have been approved by the FMWR. The strategies are very similar for the urban/small town component and for the rural component. They include guidelines for the establishment of community based management structures (WASHCOMs/WCAs), building relevant soft skills, including leadership and management capacity for O&M and strengthening communication between the communities and the Government (LGA/State). During the field visit one community leader stressed that he previously saw the 'Government' as an enemy doing no good for the people, but with the introduction of the Programme he saw it differently.

In order to support the Strategies several steps have been taken. This includes (i) State and LGA based WASH staff have been trained to operationalise the Strategy at the community level for both the rural and small town components, (ii) A training manual for community management facilitators (State/LGA and CSO representatives) have been developed to support the process, and (iii) in some states (e.g. Anambra) a CSO-Rural Water and Sanitation Initiative has been established as one of several steps to facilitate community mobilisation and management. Also, artisans have been engaged in training for O&M services. The increased involvement of water related CSOs have been initiated based on the limited use of these civil groups during WSSSRP I. The Phase I Final Evaluation report states that "the support to

NGOs to build capacity at LGA and community level and enhance the demand side of governance, transparency and accountability has been limited.”²²

The community mobilisation process and assessment

For all the States the *main process* for community mobilisation and management of the Programme intervention has been as follows (each State/LGA is at different stages in this process):

- In the 12 LGAs WASHCOMs/WCAs have been established and most of them are or are in the process of being registered with the local authorities. The WASHCOMs/WCAs consist of elected executive members and (in principles) have prepared Community Action Plans (CAPs). The main difference between WCAs and WASHCOMs is that due to more complex schemes in small towns, WCAs are more likely to delegate service management to a private operator and protect consumer’s interests vis-à-vis the operators, while WASHCOMs are more likely to directly manage the (simpler) rural schemes.
- Communities have been sensitized through the CLTS approach for sanitation and hygiene issues leading to ODF communities and with a perspective of LGA-wide ODFs. Volunteer Hygiene Promoters have also been selected being responsible for supporting the community hygiene issues. While this process has been very successful with the WASHCOMs in the rural component less CLTS/ODF activities have been carried out for the WCAs, partly because the component started almost one year later than the UNICEF component and because the WASH units/departments in the LGAs have focused their work on the WASHCOMs.
- Following – or concurrently with – the sanitation and hygiene mobilisation and latrine constructions in the communities, the WASHCOMs/WCAs that have been selected to receive water supply schemes have opened bank accounts, and in many instances they have been mobilised to pay at least the minimal funding for opening an account (approx. 20.000 Naira). The mobilisation of funds differs from community to community and it has not been possible to get an overview of level of fund mobilisation from the rural component. While the rural component may collect these data they have not been presented in any of the UNICEF/State documents available. The TAT 2nd Six Monthly Report, Annex 4, has a detailed and very useful presentation of the progress made in counterpart contribution by the WCAs in the small towns. The level of funding mobilised by each community is a good indicator for motivation and engagement by the communities in the Programme. Community fund mobilisation is often based on the community’s capital strength and level of poverty but also on the degree by which the communities are confident in and trust the information provided by the LGAs/State and/or the Programme. As can be seen from the same Annex 4, the WCAs’ contributions show that limited funds have been deposited in the bank accounts, apart from a few small towns. While most communities in the Southern States are confident that they will be able to raise the requested amounts of funds, some communities especially in the Northern States have expressed serious difficulties to this regard. As the team understands the Programme tries on a regular basis to mobilise the communities for depositing funds to meet the required 5%. It has been agreed with the State authorities that 3% are acceptable to guarantee the commencement of water scheme interventions. There is no documentary evidence to this, but it has been mentioned and seen some texts.–
- Information and awareness on appropriate technology options provided by the technical staff of the State/LGA are supporting the communities in making the right technological choice for their schemes, e.g. solar panels, motorised boreholes, etc. Also, the communities have been involved in the verification of the data collected during the surveys of the two LGAs.

The overall assessment of the *initiation* of community management activities are that the rural component has been very active and provided significant support for the mobilisation of the WASHCOM’s in terms of capacity building, sanitation and hygiene activities, and funds mobilisation for water schemes. As is

²² WSSSRP I Final Evaluation, p. 72.

evident from the 2nd Six Monthly Report the small town component has also demonstrated significant progress during the limited time it has been active. However limited involvement of the LGA staff on the small town component has limited to a certain extent the impact of community mobilisation in these areas.

Sustainability of the community mobilisation

The overall assessment as to which extent those community management institutions and support mechanisms set in place are actually effective and can be sustained seems more questionable. The point of departure for such an assessment is most clearly understood by looking at the experience of the Phase one of the WSSSRP. Several of the State TATs have during the early stages of the WSSSRP II performed assessments of the challenges that the WSSSRP I projects face after several years of existence. An overview of some of the key challenges is listed here²³:

- Non-payment of the counterpart contribution to the schemes (=State/LGA)
- Many dysfunctional schemes (estimated at 30-50% during the initial briefing meeting in Abuja)
- Lack of community involvement and poor WCA management
- Underutilisation of schemes in the small towns
- O&M issues, including lack of supply of diesel/spare parts, poor support to WCAs for O&M from the LGAs/CSOs and failure to collect funds for O&M
- Lack of agreement on collection of water charges in WASHCOMs
- Lack of regular WCA meetings and proper reporting, including financial reporting on fees charged
- Theft of installation equipment

It is claimed that the ‘lessons learned’ from these ‘challenges’ during the WSSSRP I have been addressed in the design of the WSSSRP II. Yet there are nowhere in the documentation or in the discussions with stakeholders that indicates clear and focused remedies that address these challenges. On the positive side, a Community Management Expert is recruited in each State within the TAT structure (but on a short-term basis) and the Community Management Strategy is an excellent document in itself but is also very general.

What is needed, however, is testing of concrete remedies for challenges observed. For example, theft appears to have been a regular event during the WSSSRP I and in several States this has continued without the State/LGA or the communities have taken the necessary steps to limit it. Because the intensity in theft has increased during the first two years of WSSSRP II some States/LGAs/communities have now initiated fencing and guards to limit the thefts. While it is important to address these very obvious challenges, of more significant importance is how to ensure continued and sustained sanitation and water supply through the WASHCOMs/WCAs management that effectively tackle the problems encountered during WSSSRP I.

There is probably no single panacea to cope with these challenges. But in order for the community management to become more effective and deliver its mandate through its *managing* of the sanitation facilities and water schemes in their respective communities, their likely *motivation* to do so should, as one of probably several issues, be identified. During the field visit to the new WSSSRP II WASHCOMs/WCAs the team often experienced great community motivation to the Programme based on the sanitation and hygiene efforts provided through the CLTS sensitisation and triggering exercises. However, communities also often made it clear that it was functional water schemes they wanted and that they were not sufficiently informed about what was going on subsequent to the sanitation intervention.

It appears that the Community Action Plans (CAPs) have not been prepared in a participatory manner and are not actively used – or that the CAPs have been prepared for the CLTS and ODF activities *only* and not

²³ TAT 2nd Six Monthly Report, pp. 19-23.

for any subsequent water scheme intervention. Whatever the reason the MTR team did not see any CAP during its many visits to the communities. While communities may have been informed about the subsequent activities there is no written and confirmed documentation that the communities can relate to and they feel uncertain about and probably some reluctance to the Programme due to lack of a plan and what the next steps are. This may also impact on the communities' willingness to deposit funds in the bank accounts. In fact most communities mentioned that generous people will start donating "once they see that works are starting" but that current uncertainty on whether the constructions will really occur limits the motivation to donate.

Recommendations on community management

The MTR suggests three recommendations that could contribute to addressing constructively the challenges facing sustained community mobilisation.

1) It is recommended that a critical review of the CAPs is undertaken with strong involvement of the communities. The CAPs must be brief, written and include clearly formulated steps on the proposed intervention in the communities. The CAPs must be authorised (=signed) by a senior official at the State or LGA level and a time and meeting schedule agreed upon for the duration of the intervention. While all may not go as planned, it is important to give reasons in due time for any activity postponement or cancellation of meetings, etc. In doing so communities may revise their often stated opinion that the 'Government' is not supportive to their needs and cannot be trusted. This recommendation should be included as an aspect of a planned Communication Strategy for the Programme. Since all 12 LGAs have prepared WASH Profiles and Local Investment Plans as well as baseline surveys it should be possible to prepare useful and operational CAPs that the communities can rely upon. For example, the communities have in principle verified the results of the baseline surveys.

2) It is recommended to provide additional support to the communities in the 12 LGAs through the CSO-Rural Water and Sanitation Initiatives established in some States. There is a need for the WASHCOMs/WCAs to be *continuously* supported in their managing of the sanitation, hygiene and especially water schemes. The Programme should enter into extended arrangements (e.g. 1-2 year contracts) with qualified CSOs, with the perspective that these contracts will be re-conducted by the Government after the end of the Programme. These CSOs must have a very strong track record for community support in the water sector, including private sector involvement. The CSO participation should ensure a stronger bottom-up support and provide improved and consistent management support of sanitation practices (community ODF continued) and water schemes (introducing PSP arrangement, regular reporting and practicing fee charge). Also, sensitization of the communities that water is an economic good should have priority. Another important part of the CSO support would be to strengthen the voice of the WASHCOMs and WCAs at a state and national level through supporting the establishment of federations of WASHCOMs/WCAs. According to the recent UNICEF report 18 federations of WASHCOMs have been established under the WSSSRP II Programme.

Finally, the CSO must assist the communities if the State/LGA does not comply with the CAP agreement, and vice versa, to have the community to comply with the CAP content. Extended contracts with the CSOs must include a clear reporting structure that will enable assessment of the performance of the communities as well as of the CSOs themselves. Particular support must be given to the M&E tasks.

3) It is recommended that the TAT Community Management Expert at the State level be recruited on a long-term basis, not short-term, as is the case for several of the CMEs. As community management issues are at the core of the Programme – and as such important for its final success and sustainability – continuous TA support is needed at this level. The CME must work closely together with the UNICEF State consultant (who is recruited on a long-term contract) to ensure well-coordinated community support inputs to the Programme, particularly avoiding community uncertainty and overlap of activities caused by the confusion of the definition of rural vs. small town areas. To strengthen LGA staff involvement on the small town component, it is recommended either that the TAT increases support to the LGA level by multiplying visits and capacity building activities, or that the mandate of UNICEFs consultants at LGA level is increased to include the small towns CM aspects.

3.3.4. Capacity building

Capacity building has formed a comprehensive part of the first two years of the Programme – particularly in the rural component. In this sub-chapter capacity building efforts undertaken by the Programme is described and analysed briefly with respect to planning, implementation and impact.

Capacity building planning

The UNICEF logframe only includes limited references to capacity building issues, namely a capacity building plan ready by June 2013 for institutional capacity enhancement of the LGAs WASH departments and action plan for training of different LGA staff categories. The team has not had access to the two documents or have any verification about their existence. Capacity building is also mentioned in connection with the establishing of development of an M&E system. From UNICEF’s 1st Annual Work Plan capacity building activities are mentioned in connection with the formation of the WASHCOMs, where executive members are to be trained in managing the Community WASH assets and their CAPs. At the State and LGA level WASH staff are to be trained on data management, reporting and feed-back mechanism using the WASHIMs.

As for the TAT logframe capacity building relates primarily to the implementation of the water law and policy (2.5) and for stakeholders that are responsible for adopting IWMR principles (2.11). A complete capacity building ‘package’ is to be applied for the WCAs. This includes training of WCA officials for (i) overseeing construction works and O&M of constructed facilities (3.12) and (ii) investment plans as well as training in managing the community’s water infrastructure, including the establishment of resource mobilisation strategies, such as revenue collection, setting up bank accounts, estimate financial projections to cover O&M, replacement, expansion and design of tariffs (3.15). Furthermore, the TAT is supposed to organise community sensitisation and mobilisation sessions and pilot CLTS in selected small towns in the six states.

In addition the TAT’s ToR include a number of specific assignment that relates to capacity building, including “transfer of knowledge and skills” through training, coaching and mentoring of personnel of project implementation and recipient agencies.

Based on the above presentation the team *overall* assesses that the capacity building activities planned appear to cover well the requirements needed for the Programme to be successful and contribute to achieving its objectives. However, from the field visit as well as from the logframe it appears that not enough focus has been put on capacity building of State and LGA staff for the small town/urban component.

Capacity building implementation

It was not possible to get documentation on the overview of the completed (the first two years) or planned capacity building activities provided by the TAT and UNICEF. It was not clear whether data existed or access was not possible. Therefore it was not possible for the team to assess the implementation of total capacity building ‘component’ of the Programme. The team therefore relied on data provided by some of the states visited.

The table below shows data from RUWASSA, Osun State. While the data just presents the achievements (and not comparing to target) they nevertheless show the magnitude of training provided within a relatively short period of time.

Table 5: Capacity building activities (RUWASSA, Osun State)

Level	Capacity building activities
State	<ul style="list-style-type: none"> • Procurement process on WASH facilities • Capacity building on Web-based Facility Tracking System (This was also showcased in one international WASH workshop in Burkina Faso on April, 2014) • Capacity Built on usage of WASHSIMs for monthly reporting of WASH activities • Capacity Built on Documentation, Reporting, HIS, HACT, Reporting and Proposal writing. • Development of WSSSRP-II inception phase Work Plan as well as 2014/2015 Work Plan
LGA	<ul style="list-style-type: none"> • Capacity of 72 Ward Officer’s built on Web-based Facility Tracking System • Capacity of 4 M&E Officers Built on Administrative/Portal management of FTS as Domain

	Administrator <ul style="list-style-type: none"> • Capacity Built on usage of WASHSIMs for monthly reporting of WASH activities • Capacity of 100 Facilitators built on CLTS • Capacity of facilitators Built on Community Management • Capacity of Facilitators Built on Documentation, Reporting, HIS, HACT, Reporting and Proposal writing • Capacity of facilitators built on Monitoring and Supervision of Triggered Communities
Communiy	<ul style="list-style-type: none"> • Capacity of 268 WASHCOMs built on Community Management • Capacity of 720 Facility Care Takers built in 3 LGAs on SMS based Reporting to the Facility Tracking web-portal

Source: Presentation on level of Implementation of WSSSRP II – Rural Component, RUWASSA, Osun State, n.a.

Capacity building impact

In some cases (which are rare) it is easy to assess the impact of capacity building. This seems to be the case for the CLTS sensitization and triggering exercises run primarily by the UNICEF/LGA WASH departments. The mere number of community latrines built and the degree by which communities have claimed ODF are indisputable indicators for assessing the CLTS/ODF sensitization and triggering activities. There is no doubt, despite questionable data available from UNICEF, that the exercise has been successful, which is confirmed partly by the data delivered, partly by the presentation of the many successful cases in the 2013 CLTS report – and last but not least the team’s positive experience from the field visits.

While the team did not visit any community that indicated issues or problems related to the CLTS ODF activities (they may not exist?) we may, however, within a larger context consider other factors than the capacity building activities contributing to the success. This includes mainly the communities’ anticipation of being provided with water facilities subsequent to the CLTS/ODF implementation. It is not possible to assess to which extent capacity building *or* expectations for water supply facilities have been the motivating factor for the success of the CLTS/ODF activities. But we have no doubt that capacity support has contributed to the success.

In other cases the capacity building impact appears to be poor. For example, during the field visit it was observed that the WASHIMs training of LGA WASH department staff seemed to have had limited impact on their performance and as such the effective use of the WASHIM for the LGA/State; they were not able to operationalise the software satisfactorily. While this may have been a single case it appears that it is a global problem across the target LGA WASH departments. As such there seems to be a capacity problem in terms of training methodology, skills of trainers, learning environment and follow-up. Similarly, observed huge weaknesses in planning and reporting enabled to deduce that the training on “Documentation, Reporting, HIS, HACT, Reporting and Proposal writing” was very limited. One of the causes of these weak impacts might be the lack of development / provision, during the training, of adequate templates for work plans and reporting and the lack of follow-up on the utilization of such templates if they were provided.

To which extent other training performed suffer from the similar shortcoming were not possible to assess. However, based on the MTR teams observations in the field, it is most likely that other training efforts may have had limited impact on organisational performance. This is further confirmed by the fact that similar types of training conducted under WSSSRP I has not had the required impact on performance, e.g. the continuous weak WASHCOMs management of sanitation and water facilities. This obviously calls for a review of all future training efforts to be conducted.

Recommendations on capacity building

Capacity building activities should be viewed from mainly two perspectives: (i) where capacity building is delivered on a ‘classroom’ basis and (ii) where capacity enhancement is delivered on the basis of coaching and mentoring, often one-to-one or to smaller groups, and often on-the-job training, performed by the TA experts. One of the main roles of the TA experts, particularly those recruited on a long-term

basis, is to provide skills transfer through coaching and mentoring adopting techniques and methods that are found to be useful and effective. No systematic applications of coaching and mentoring methods were observed during the state visits.

1) While acknowledging the individual characteristics and personality of the TA staff and their support to transferring of skills it is recommended that a more systematic approach to skills transfer is adopted and integrated into the capacity building work. Without it we will have too little data available for assessing the impact of the TA support. At the same time a system should be simple and little time consuming. This could include informal feedback notes on progress prepared by the TA staff and discussed with the State/LGA staff being coached/mentored. Also, minor tests, such as multiple choice and true-false questions, could be used as well as the use of behavioural checklists. Other methods could include the adoption of reinforcement methods, which regularly repeats the same assignment/tasks over and again for the trainee to ensure that learning takes place and skills increase. This could very well be exercised during the entry and handling of data collected from the field into the WASHIMs at the LGA level – performed and supervised by the UNICEF LGA Consultant. The Consultant him/herself must in this case of course be well skilled and knowledgeable in the use of the WASHIM software.

2) It is further recommended that during sessions where all (or many) TA Programme staff are gathered (e.g. for annual, semi-annual or event based sessions) they should include a session that particularly discuss their experiences with skills and knowledge transfer methods. This should be included in the semi-annual or annual reporting of the two components as a standard reporting item. The TA team leader could develop and provide to TA staff guidelines on coaching and mentoring techniques and corresponding tools.

3) It is recommended that the Programme's OVI's as per the log frame, apart from being mainly quantitative, should also reflect qualitative characteristics. For example, tests on staff performance and application of TA methodology for skills transfer must be included as qualitative descriptions of the OVI's for capacity building – and subsequently applied in practice.

4) As of now the Programme does not seem to have a clear plan for capacity development for the remaining period of the Programme. It is recommended that a rapid training needs assessment is conducted to update/review existing capacity building considerations for the coming period, for both components. At the same time, to ensure success of the Programme, it is important that training needs of Federal/State/LGA staff are identified on a demand-driven basis, reflecting current needs in the work place for Federal/State/LGA staff. It is the duty of the TA staff to capture these needs and address them constructively through effective learning approaches. This should be included in the semi-annual or annual reporting of the two components as a standard reporting item.

3.3.5. Community mobilization

The Programme has developed community management strategies that have been approved by the FMWR. The strategies are very similar for the urban/small town component and for the rural component. They include guidelines for the establishment of community based management structures (WASHCOMs/WCAs), building relevant soft skills, including leadership and management capacity for O&M and strengthening communication between the communities and the Government (LGA/State). During the field visit one community leader stressed that he previously saw the 'Government' as an enemy doing no good for the people, but with the introduction of the Programme he saw it differently.

In order to support the Strategies several steps have been taken. This includes (i) State and LGA based WASH staff have been trained to operationalise the Strategy at the community level for both the rural and small town components, (ii) A training manual for community management facilitators (State/LGA and CSO representatives) have been developed to support the process, and (iii) in some states (e.g. Anambra) a CSO-Rural Water and Sanitation Initiative has been established as one of several steps to facilitate community mobilisation and management. Also, artisans have been engaged in training for O&M services. The increased involvement of water related CSOs have been initiated based on the limited use of these civil groups during WSSSRP I. The Phase I Final Evaluation report states that “the support to

NGOs to build capacity at LGA and community level and enhance the demand side of governance, transparency and accountability has been limited.”²⁴

The community mobilisation process and assessment

For all the States the *main process* for community mobilisation and management of the Programme intervention has been as follows (each State/LGA is at different stages in this process):

- In the 12 LGAs WASHCOMs/WCAs have been established and most of them are or are in the process of being registered with the local authorities. The WASHCOMs/WCAs consist of elected executive members and (in principles) have prepared Community Action Plans (CAPs). The main difference between WCAs and WASHCOMs is that due to more complex schemes in small towns, WCAs are more likely to delegate service management to a private operator and protect consumer’s interests vis-à-vis the operators, while WASHCOMs are more likely to directly manage the (simpler) rural schemes.
- Communities have been sensitized through the CLTS approach for sanitation and hygiene issues leading to ODF communities and with a perspective of LGA-wide ODFs. Volunteer Hygiene Promoters have also been selected being responsible for supporting the community hygiene issues. While this process has been very successful with the WASHCOMs in the rural component less CLTS/ODF activities have been carried out for the WCAs, partly because the component started almost one year later than the UNICEF component and because the WASH units/departments in the LGAs have focused their work on the WASHCOMs. An agreement has been entered where UNICEF will continue with CLTS in small towns. This explains the observation made in some States where a small town was sub-divided into small units and WASHCOMs formed in these sub-units. The WASHCOMs are aggregated to form the WCA for the whole of the small town. That is, WASHCOMs are responsible for the Sanitation and CLTS while WCA takes care of water supply and coordination. The Programme is yet to assess how this arrangement is working out in the field.
- Following – or concurrently with – the sanitation and hygiene mobilisation and latrine constructions in the communities, the WASHCOMs/WCAs that have been selected to receive water supply schemes have opened bank accounts, and in many instances they have been mobilised to pay at least the minimal funding for opening an account (approx. 20,000 Naira). The mobilisation of funds differs from community to community and it has not been possible to get an overview of level of fund mobilisation from the rural component. While the rural component may collect these data they have not been presented in any of the UNICEF/State documents available. The TAT 2nd Six Monthly Report, Annex 4, has a detailed and very useful presentation of the progress made in counterpart contribution by the WCAs in the small towns. The level of funding mobilised by each community is a good indicator for motivation and engagement by the communities in the Programme. Community fund mobilisation is often based on the community’s capital strength and level of poverty but also on the degree by which the communities are confident in and trust the information provided by the LGAs/State and/or the Programme. As can be seen from the same Annex 4, the WCAs’ contributions show that limited funds have been deposited in the bank accounts, apart from a few small towns. While most communities in the Southern States are confident that they will be able to raise the requested amounts of funds, some communities especially in the Northern States have expressed serious difficulties to this regard. As the team understands the Programme tries on a regular basis to mobilise the communities for depositing funds to meet the required 5%.
- Information and awareness on appropriate technology options provided by the technical staff of the State/LGA are supporting the communities in making the right technological choice for their schemes, e.g. solar panels, motorised boreholes, etc. Also, the communities have been involved in the verification of the data collected during the surveys of the two LGAs.

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The overall assessment of the *initiation* of community management activities are that the rural component has been very active and provided significant support for the mobilisation of the WASHCOM's in terms of capacity building, sanitation and hygiene activities, and funds mobilisation for water schemes. As is evident from the 2nd Six Monthly Report the small town component has also demonstrated significant progress during the limited time it has been active. However limited involvement of the LGA staff on the small town component has limited to a certain extent the impact of community mobilisation in these areas.

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- Non-payment of the counterpart contribution to the schemes (=State/LGA)
- Many dysfunctional schemes (estimated at 30-50% during the initial briefing meeting in Abuja)
- Lack of community involvement and poor WCA management
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It is claimed that the 'lessons learned' from these 'challenges' during the WSSSRP I have been addressed in the design of the WSSSRP II. Yet there are nowhere in the documentation or in the discussions with stakeholders that indicates clear and focused remedies that address these challenges. On the positive side, a Community Management Expert is recruited in each State within the TAT structure (but on a short-term basis) and the Community Management Strategy is an excellent document in itself but is also very general.

What is needed, however, is testing of concrete remedies for challenges observed. For example, theft appears to have been a regular event during the WSSSRP I and in several States this has continued without the State/LGA or the communities have taken the necessary steps to limit it. Because the intensity in theft has increased during the first two years of WSSSRP II some States/LGAs/communities have now initiated fencing and guards to limit the thefts. While it is important to address these very obvious challenges, of more significant importance is how to ensure continued and sustained sanitation and water supply through the WASHCOMs/WCAs management that effectively tackle the problems encountered during WSSSRP I.

There is probably no single panacea to cope with these challenges. But in order for the community management to become more effective and deliver its mandate through its *managing* of the sanitation facilities and water schemes in their respective communities, their likely *motivation* to do so should, as one of probably several issues, be identified. During the field visit to the new WSSSRP II WASHCOMS/WCAs the team often experienced great community motivation to the Programme based on the sanitation and hygiene efforts provided through the CLTS sensitisation and triggering exercises. However, communities also often made it clear that it was functional water schemes they wanted and that they were not sufficiently informed about what was going on subsequent to the sanitation intervention.

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It appears that the Community Action Plans (CAPs) have not been prepared in a participatory manner and are not actively used – or that the CAPs have been prepared for the CLTS and ODF activities *only* and not for any subsequent water scheme intervention. Whatever the reason the MTR team did not see any CAP during its many visits to the communities. While communities may have been informed about the subsequent activities there is no written and confirmed documentation that the communities can relate to and they feel uncertain about and probably some reluctance to the Programme due to lack of a plan and what the next steps are. This may also impact on the communities’ willingness to deposit funds in the bank accounts. In fact most communities mentioned that generous people will start donating “once they see that works are starting” but that current uncertainty on whether the constructions will really occur limits the motivation to donate.

Recommendations on community management

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Finally, the CSO must assist the communities if the State/LGA does not comply with the CAP agreement, and vice versa, to have the community to comply with the CAP content. Extended contracts with the CSOs must include a clear reporting structure that will enable assessment of the performance of the communities as well as of the CSOs themselves. Particular support must be given to the M&E tasks.

3) It is recommended that the TAT Community Management Expert at the State level be recruited on a long-term basis, not short-term, as is the case for several of the CMEs. As community management issues are at the core of the Programme – and as such important for its final success and sustainability – continuous TA support is needed at this level. The CME must work closely together with the UNICEF State consultant (who is recruited on a long-term contract) to ensure well-coordinated community support inputs to the Programme, particularly avoiding community uncertainty and overlap of activities caused by the confusion of the definition of rural vs. small town areas. To strengthen LGA staff involvement on the small town component, it is recommended either that the TAT increases support to the LGA level by multiplying visits and capacity building activities, or that the mandate of UNICEFs consultants at LGA level is increased to include the small towns CM aspects.

3.3.6. CLTS and hygiene promotion

Achievements of Phase I and recommendations for Phase II

Community-led total sanitation (CLTS) has been piloted in Nigeria with UNICEF support from 2004 to 2007 in several areas of the country and following promising results it has been adopted in 2008 as the main approach to promote sanitation and eliminate open air defecation. Significant progress has been made in improving access to sanitation since the introduction of CLTS: according to UNICEF, whereas only 15 ODF communities were reported in 2008, over 4690 communities were claiming ODF status in March 2013, of which 1,654 have been certified²⁶.

Phase I of WSSSRP played a significant role to contribute achieving this positive result nationally. According to the Phase I Evaluation report, “the R-WSSSRP implemented by UNICEF was broadly successful in improving WSS and hygiene promotion services in the target communities, particularly vis-à-vis the CLTS approach” (...) “The CLTS approach adopted in the R-WSSSRP component of the Programme is now beginning to be appreciated and adopted by the RUWASSAs”. Main CLTS achievements of WSSSRP I are the following: 87,175 household latrine constructed, 2,290 communities triggered of which 857 declared ODF, 419 certified ODF and 966,880 beneficiaries with improved access to hygienic sanitation²⁷.

Notwithstanding the success of CLTS, the phase I evaluation report expressed the following comments and recommendations:

- The excessive focus on coverage rates may well have led to communities not being given sufficient follow-up support by UNICEF and RUWASSAs, e.g. O&M support for WASHCOMS, post CLTS triggering or attainment of ODF status
- More attention should be given to the consideration of cost-effectiveness during the implementation of future EU interventions in the WSS sector using reliable figures for population and number of beneficiaries.
- There are a number of concerns regarding the accuracy of the data being reported, the follow-up support given to communities post triggering and post reaching ODF status to ensure hygiene behaviour change is embedded and sustained and the effectiveness of the ODF verification process to ensure that communities are properly ODF-certified.
- Some communities visited face numerous challenges not only in mobilising the 5% contribution, but also in fulfilling the O&M requirements of established WSS facilities.

Expected results for Phase II

With respect to WSSSRP II, according to the programme’s logical framework, only result 4c under the UNICEF supported *rural component* is related to CLTS: “Access to improved sanitation and hygiene promotion services in small towns and rural communities is increased”. Activities for this result include “Facilitate Community-Led Total Sanitation (CLTS) in communities (including schools sanitation)” and CLTS-related OVIs are the following: “At least 400,000 households (including households in small towns) are supported through CLTS to have access to improved sanitation facilities and hygiene services and at least 500,000 school pupils have access to improved sanitation and hygiene services”.

In addition to the programme’s logframe, UNICEF developed its own more detailed logframe which enables better monitoring of progress and which is used in UNICEF progress reports. According to UNICEF’s logframe, there are three main activities related to CLTS, with corresponding OVIs: (1) Develop LGA-wide ODF plans and support LGAs and communities to attain ODF through CLTS approach with increased participation of women groups and CSOs. OVI: LGA ODF plans for 12 project LGAs developed and implemented with 70% of project communities in project LGAs triggered; (2) Support the National Water Resources Institute, Kaduna (NWRI) to develop necessary guidelines, manuals and tool-kits on Sanitation & Hygiene promotion; and to facilitate training of stakeholders. OVI: National handbook on CLTS implementation developed and disseminated; and (3) Develop Hygiene Improvement Framework and Action Plan for communities and schools. OVI: Hygiene improvement

²⁶ Source: UNICEF Case Studies report on CLTS in Nigeria, June 2013

²⁷ Source: R-WSSSRP Final Report (December 2011).UNICEF, as quoted by the Phase I Evaluation report

plans developed in 60% of the communities.

As per the programme's logframe, there is no mention of CLTS as part of the TAT supported *urban/small town component*; however, Result 3b on increased access to safe water supply in urban and small towns and Result 3c on community-management of water supply facilities could imply the need to include CLTS and sanitation promotion in urban/small town settings. In addition, CLTS is mentioned several times in the TAT TOR, and especially with respect to the need to closely coordinate with UNICEF on the following activities:

- Conduct studies in selected small towns to develop and promote innovative and appropriate technologies for water and sanitation service delivery, including the application of CLTS approach in small towns.
- Pilot CLTS in selected small towns in the states
- Follow up on results of baseline surveys for rural water supply, sanitation and hygiene practices and their reviews, CLTS, willingness-to-pay study and Community/LGAs/States M&E systems.
- Coordinate with UNICEF on the design, dissemination and use of training packages (especially for the use of CLTS in small towns).

Achievements so far

Overall, the results of the MTR mission confirm to a large extent the positive assessment of CLTS made in the Phase I evaluation report, especially with respect to the *rural component*. UNICEF has been actively supporting the rural component to implement CLTS and hygiene promotion activities with positive results in the focal states' 12 LGAs. According to the UNICEF first two years progress report, main achievements so far are the following:

- Over 75 CSO actors have been trained in various aspects of programme implementation, especially in facilitating community processes. ODF Plans have been developed in the 6 States. 75% (2,006) Communities have been triggered while 515 communities are already reporting ODF with 258 communities certified. All LGAs have LGA-wide ODF plans endorsed and this is guiding CLTS implementation at the LGA level. (120% achievement of results)
- Draft National Handbook on CLTS implementation has been developed. Stakeholders meeting of the finalization of this draft is being proposed (55% achievement of result)
- Hygiene improvement plans are being developed in CLTS triggered communities, Volunteer Hygiene Promoters (VHPs) have been formed in 388 communities, Environmental Health Clubs (EHCs) have been formed in 93 schools with 72 EHCs trained (38% achievement of result!).

Yet, it is not clear how the percentage provided for the achievement of results is calculated. Because of the lack of a clear plan stating what is proposed and progress reports based on such a simple proportion of what is achieved against what is proposed has not been possible.

The percentage of achievement of result provided by UNICEF is supposedly based on a proportion of what is achieved against what is proposed as project target; however, the detail of the calculation was not provided so the MTR team was not able to assess its accuracy.

In addition, field work in the 6 focal states enabled the MTR team to interview Ruwassa and LGA staff and visit some triggered communities to see how the CLTS approach is taking place in practice and the level of ownership by local staff and communities. Interviewed staff at LGA WASH Unit/Departments seemed well involved, well trained on CLTS methodology, satisfied with results achieved so far and globally motivated. Interviewed communities showed a good ownership of the process, good understanding of the main messages of CLTS, satisfaction and pride of the constructed latrines, and commitment to pursue the effort and achieve and sustain ODF status. Messages on hygiene promotion (especially hand washing with soap or ash at critical moments) seemed well understood and well integrated. Although it might be too early to witness strong impacts of the programme, the communities have an overall very positive perception of the improvements brought by a better hygiene in terms of reduction of diseases and better quality of life. They also consider that the LGA staff and/or UNICEF consultants mobilizing them have been professional, open to dialogue and committed, so they are globally satisfied with the interventions of the programme. Good results achieved so far in CLTS, especially following the adoption of the LGA-wide approach in 2010, are encouraging the States to scale-up CLTS

and implement it also in other LGAs outside the programme's intervention area: this is for example the case in Osun State where the Ministry and Ruwessa have clearly expressed the intention to expand the approach also to cover other areas.

With respect to the *small town component*, the CLTS approach has been adopted as part of the community management strategy; small town communities are being triggered and WCAs are being trained to encourage latrine construction and monitor progress towards achievement of ODF status. Training on CLTS to Ministry staff and LGA staff has been provided by UNICEF and there was therefore no need for the TAT to duplicate the trainings. Staff interviewed and small town communities visited also expressed interest and satisfaction with the work done so far. However, the MTR team was not able to clearly assess the level of collaboration between TAT and UNICEF on the implementation of CLTS in small towns. Up to now, no specific study has been conducted by the urban/small town component on the adaptation of CLTS approach to small-town setting. LGA and Ministry staffs, even if supported by the TAT, still witness some weaknesses in terms of capacities to adequately and successfully intervene in town/urban areas on hygiene promotion activities.

Challenges and weaknesses

Overall, notwithstanding the motivation of LGA staff and communities and the very promising results achieved so far, the MTR observed that the programme is also facing some challenges with respect to CLTS implementation and hygiene promotion which deserve attention, namely:

- The LGA-wide approach supported by UNICEF which covers rural, small town and urban areas, creates some overlapping with the small town/urban component of the programme, with no clear collaboration mechanisms or task-sharing yet in place between UNICEF and TAT on this specific issue. Two key issues emerge: on one side, as per their TOR, UNICEF's consultants at LGA level are not expected to intervene in small town/urban areas and therefore tend to leave this responsibility to Ministry and LGA staff; on the other side, the TAT which is supporting the urban component is not present at LGA level and this leaves a gap in terms of capacity building of LGA staff to specifically intervene in small town/urban areas. In fact this is one great challenge that makes continuous engagement with WCA difficult for the urban component. This needs to be emphasized so that UNICEF can review their LGA Consultants ToR to include monitoring performance of WCAs and also involve them in all activities they involve WASHCOMs.

- The absence of a clear strategy or guidelines to adapt CLTS to urban and small-town settings leaves state and LGA staff with uncertainties on how to adequately address some key issues that appear in urban settings such as lack of social cohesion / uniformity, presence of mobile populations, specific sanitation needs of public places such as markets and bus stations, difficulty to enforce social norms, pit emptying and faecal sludge management. In fact, very interesting experiences and smart solutions have been developed by UNICEF of how to adapt CLTS approach in urban settings for example in Ugep town (Yakurr LGA, Cross River); however, no in-depth study has been developed and these experiences have not been translated into detailed strategies or guidelines; besides, the urban/small town component has not been involved and/or has not taken stock of this exercise.

- Association of software (CLTS) and hardware (water supply) in the same community is relevant but sometimes tricky. Since impacts of a good sanitation cannot be achieved in the lack of access to improved water source, this association is relevant and it is the result of a deliberate strategy of the PIA. Software interventions precede construction of water facilities in order to keep up motivation of beneficiaries. Although this approach is overall successful, in some cases issues can arise: Firstly, when beneficiaries seem to see the efforts they put into latrine construction simply as a requirement to obtain water and do not consider the benefits of sanitation *per se*. This perception was found to be present in many communities interviewed by the MTR team. It is a dangerous dynamic because it can seriously hinder the sustainability of the software achievements. Secondly, since not all communities are actually going to benefit from water schemes, there is a risk of raising false expectations; and communities that feel deceived or disappointed by the program with respect to provision of water schemes will be much less motivated to achieve and sustain CLTS results.

- The MTR team observed that not many activities have taken place so far with respect to promotion of hygiene and sanitation in schools so far besides needs assessment, identification of beneficiary schools

and in some cases, celebration of global Hand-washing Day (Cross River State). According to UNICEF year 1 and 2 summary progress, EHCs have been formed in 93 schools with 72 EHCs trained²⁸, however, it seems that the strategy for WASH in schools is not yet well defined and/or well appropriated by State and LGA staff. There is an overall high awareness on the need to work in schools and good motivation to do it, but specific tools and guidelines are missing. So far, no data on schools have been included in the M&E framework (although WASHIM does enable for school data to be introduced).

- The high number of communities as compared to the relatively low number of staff available and reduced means of transport makes it challenging to do a regular follow-up of communities after triggering and to closely monitor progress. Although WASHCOMs and WCAs, as well as Ward-level committees are in charge of monitoring and reporting on CLTS achievements, in reality it has been observed that the monitoring and reporting mechanisms associated are not yet well established and functional (see chapter on M&E). Without a close follow-up from LGA staff and/or NGOs or other actors trained on the CLTS process, especially during the first weeks/months, it is likely that the impacts of triggering are reduced as well as the quality of achievements.

Among the four challenges identified in the Phase I evaluation report (see above), it seems that the need to take more into consideration cost-effectiveness has been addressed by Phase II with quite satisfying results namely thanks to the LGA-wide approach, which enables to save time and resources as compared to the previous “scattered” approach. Of the three additional challenges identified, one still seems relevant (the insufficient follow-up after triggering) while it was too early for the MTR to assess whether the two remaining challenges will appear during the remaining period of the programme (challenges faced by WASHCOMs and WCAs in mobilising the 5% contribution and in fulfilling the O&M requirements). On the other hand, the two challenges were observed in the WSSSRP I and as shown in the Community Mobilisation chapter the MTR recommends stronger CSO support to the WASHCOMs/WCAs for them to be able on a continuous basis to manage better their WASH assets.

Recommendations on CLTS and hygiene promotion

To address the observed challenges, the MTR is suggesting the following main recommendations:

- 1) The urban and rural components should jointly develop a study on CLTS adaptation to urban, small-town and peri-urban settings in Nigeria, taking stock of UNICEF’s experience in some States (also outside the program if applicable), further developing the approach and establishing implementation guidelines addressed to State and LGA staff.
- 2) Improve collaboration mechanisms between TAT and UNICEF to intervene in urban and small towns areas: engage discussions and decide either to strengthen TAT involvement / support at LGA level to cover the urban areas under the LGA-wide approach, under UNICEF’s leadership; or expand the TOR of UNICEF consultant at LGA level for him/her to support LGA staff interventions in small towns.
- 3) Carefully design and rigorously implement the forthcoming communication strategy addressed to communities with respect to soft vs. hard components of the program: adapt messages according to the community and be careful not to imply that water might be provided if it is not the case, in order to avoid raising false expectations. Communities that feel deceived or disappointed by the program with respect to water provision expectations will be much less motivated to achieve and sustain CLTS results
- 4) Pursue efforts to develop clear and simple but complete guidelines and tools for WASH in school interventions, and train LGA staff and other stakeholders on these guidelines and tools. There is a need that such guidelines and tools are common for the 2 components: although the specific situation of rural and urban schools may vary, it would be preferable to have a unique document with specific chapters to address urban and rural specificities if needed.
- 5) Increase efforts on follow-up of communities after triggering. Due to the large number of communities, there is a need to prioritize monitoring activities according to the needs (based in the WASH profiles) and also plan more rigorously for follow-up activities by LGA staff and engage long-term with CSOs to

²⁸ Jigawa State (37 in Mallamadori LGA and 35 in Taura LGA) and Kano State (11 in Madobi LGA and 10 in Takai LGA).

address follow-up activities on a broad range of community management responsibilities, and specifically support the WASHCOMs and WCAs ability to fulfil its management mandate (see recommendation under Community Mobilisation).

3.3.7. Monitoring and evaluation

Point of departure for the Programme M&E

Monitoring and evaluation is a key element to determine the success of any project, program or strategy, but it is also and fundamentally a tool to plan for sector development based on evidence of needs; and a tool to re-orient strategies and interventions if these prove ineffective. M&E had been identified by the evaluation team of WSSSRP I as one of the weaknesses of the programme, on two levels. According to the report, on one hand, “there was little or no monitoring, evaluation or reporting on the impacts *of the Programme* in terms of the benefits for the users of the services and systems provided”; with no baseline data available, no impact indicators defined in the programme logical framework (neither for service delivery nor for sector governance and reform); on the other hand, there was a gradual establishment of a *national M&E Framework*, supported by EU in 2004 and facilitated by Atkins, but which is not yet embedded or fully functional. According to the evaluation report, from about 2007 the Programme, through UNICEF, begins to establish a National Framework for M&E. Support has been provided to the FMWR by an experienced UNICEF management information systems (MIS) consultant working with and training FMWR staff from the Monitoring Units of the Departments of Water Quality & Sanitation (WQS) and Planning, Research & Statistics (PRS) for a number of years. An overarching WASH information management system (WASHIMS) based on two previous systems has been developed. However, due to lack of coordination within FMWR, lack of capacity (staff, office space, IT equipment and software) progress has been slow and the system is not taking off yet.

Constraints observed in the Phase I evaluation report include the following:

- Data collection and processing has a low priority within the FMWR and is not adequately resourced (professional staff and IT equipment);
- The M&E Units exist in most FMWR Departments but none has taken a strong lead on M&E within FMWR;
- M&E and MIS systems are generally seen as a serving a ‘policing’ rather than as a means to inform planning, decision making and policy development;
- The work of the UNICEF MIS and M&E consultants with FMWR is taking place externally from a rented office and is not adequately integrated into the Ministry Departments.

Main recommendations on M&E made by the Phase I evaluation report include:

- Developing and implementing an M&E system designed for the whole WSS sector at the federal and state level which defines the essential data required and the institutions responsible for providing and receiving these data
- The M&E function within FMWR needs to be given higher priority and one of the existing M&E Unit, possibly upgraded to a Department and appropriately staffed and resourced, should be identified to take the lead
- To ensure reliability of monitoring data, a quality-control system should be established where qualified staff monitor and control the quality of monitoring data before using data for reporting.
- Logframes should be designed with clearly defined and SMART OVI that address outcomes at the higher level and not only activities/outputs.
- Requirements for M&E and reporting responsibilities should be explicitly assigned in the management of the programme/project.
- There should be regular independent monitoring to validate Programme progress and reporting against OVIs.

M&E in the Programme logframe

In order to address all these challenges and recommendations, WSSSRP II has given strong priority to M&E, both for the urban and for the rural components. With respect to the urban component, Result 1c in the programme logical framework is about **establishing a national M&E system in the FMWR** and is

associated with the following 3 OVI: (i) An M&E Unit is established and equipped at the FMWR, (ii) Data from the states are being collected and analysed, (iii) Reports on the status of water and sanitation in Nigeria are regularly published and disseminated to stakeholders. Result 2f is about “Regular sector monitoring and review is institutionalised”, with as OVI: (i) Sector institutions set up regular monitoring system and (ii) Regular sector forum established at state level to review sector status. Baseline studies in urban/small town areas are also expected to be undertaken under programme Result 3b.

With respect to the rural component, Result 4d is about **establishing a state level monitoring and evaluation (M&E) system linked to the national M&E system** and is associated with the following 3 OVI: (i) A community/LGAs and state M&E system is set up in all the six states to capture urban, small towns and rural water and sanitation services delivery by end of 2014 and system integrated with the national M&E system. (ii) 80% of the LGA's have functional M&E system regularly collecting data from rural communities by 2014, and (iii) Reports on the status of water and sanitation services delivery in the State are regularly issued and disseminated to stakeholders by the State Ministry of Water Resources as from 2013. Baseline studies in rural areas settings are also expected to be undertaken under programme Result 4b and 4c.

At first sight, it appears to be a clear task-sharing between the TAT and UNICEF on M&E (TAT at Federal level and UNICEF at State level); however, the MTR team believes that this task-sharing is to a certain extent not adequate because it controverts the overall rural/urban task-sharing between the two components. The M&E system should deal both with rural and urban at both Federal and State level; therefore, UNICEF should contribute to the Federal level M&E for the rural aspects and the TAT should contribute to the State level M&E for the urban aspects. In addition, UNICEF has been supporting the FMWR on M&E for many years (and is still doing so, outside the programme), but the support is mainly on WASH related data and not including the institutionalization of M&E in the FMWR. For all these reasons, it seems more relevant that the main responsibility of supporting the FMWR in establishing a M&E framework should be given to UNICEF instead of the TAT or that at least much stronger collaboration should be required to take place between the two. Of course the leadership of the process should remain in the hands of the FMWR, but with stronger support from UNICEF and TAT.

Current M&E activities

Notwithstanding these flaws in the programme logframe, a significant number of activities have been implemented so far on M&E:

- *At federal level*, the TAT has conducted exploratory meetings with the UNICEF WASH Programme and the FMWR Department of Water Quality and Sanitation, who have been managing the Ministry's WASH M&E activities during Phase I. A preliminary review of the suitability of existing MIS tools currently developed and used by UNICEF and of the FMWR data bank feasibility study has been undertaken. The TAT then organised a water supply and sanitation sector M&E stakeholders meeting to discuss main challenges and way forward. According to the TA second six-month report, it was agreed at the meeting that the Planning Research and Statistics Department of the FMWR should be the coordinating directorate for all M&E related functions in the FMWR. The resolutions of the stakeholders meeting have been drafted in the form of a memorandum to the Permanent Secretary and the Minister for their approval. Following the meeting, the TAT has also proceeded to draft the terms of reference for the establishment of an Inter Agencies Working Group on Water Resources Sector Monitoring and Evaluation, which will be in charge of formulating an action plan for M&E in the FMWR. Besides these initial exploratory meetings and the organization of the workshop, the TAT has not yet implemented any other activity under M&E at Federal Level; most efforts having been put at State level. The TAT has not yet supported the formulation of the M&E action plan, nor its implementation, presumably because it is waiting for the Working Group to be formally established first and for the baseline activities be concluded because issues might be built on its outcomes.

- *At the state level*, the TAT has undertaken M&E assessments of the current situation in all six states and has implemented complementary baseline surveys in small towns and urban areas, including a baseline asset inventory with GPS mapping exercise (the reports are currently being finalized). The M&E assessments reports are interesting and useful documents, but did not yet translate into a capacity building plan or strategy; besides, interviews with staff at State level showed a lack of knowledge and ownership on the content of the M&E assessment report. With respect to the baseline surveys, these managed to

largely involve all key stakeholders and especially State and LGA staff, which translates into greater awareness, ownership and responsibility; however, the MTR team was not able to access and review the documents as these are not yet finalized. In addition to M&E assessment and supplementary baseline, the TAT has supported some States in domesticating the National M&E framework and establishing and adopting their own State M&E framework by building upon work done by UNICEF in Phase I (more advance States in this process are Kano, Cross River and Anambra). However, this needs to be considered as work in progress since the systems are not yet in place. The TAT has also implemented trainings on M&E to public staff at State level, for example, State officers were trained on the use of ArcGIS software. However these trainings have been done ad-hoc to train the staff to implement the M&E baseline, and did not aim to provide a bigger picture of the M&E framework, tasks and responsibilities in order to make the system operational on a regular basis (this of course will need to take place at a later stage once the M&E framework is finalized).

- *At the state level, UNICEF* has been very actively involved in supporting M&E activities which include: development of the LGA WASH profiles (based on data collected through baseline surveys, inventory of facilities and capacity assessment), development of the Local Investment Plans; further rolling-out of the WASHIM system, implementation of the Web-based facility tracking system, further informing of the CLTS database. These are all very interesting, relevant and promising M&E and IMS initiatives which go beyond the requirements of UNICEF's Contribution Agreement with the EU and have been gradually developed and improved based on previous experiences and long-lasting commitment of UNICEF in this area. The WASH profiles are very complete and thorough assessments which have been carefully designed and managed and do address real needs of beneficiaries. The development of LIP is a good example of how M&E data is being used to inform planning and decision-making. Both these initiatives have contributed to raising the importance given to M&E and the more effective use of IMS for policy and planning function. The WASHIM system is the most complete IMS currently available in the water sector in Nigeria. It is an Information Technology/ software based process of collating, storing, managing or organizing and representing WASH Data. It has been gradually developed and improved by UNICEF over the years during previous programs, and is now in the form of a sophisticated database system that includes numerous sets of indicators on communities demographic data, CLTS, Water schemes, WASH in schools, Water sources, trainings, budget tracking, etc. WASHIM's ambition is to become the overall IMS for Nigeria water and sanitation sector and to eventually integrate data coming from other systems like the Web-based facility tracking system and CLTS database. In addition to developing these initiatives, UNICEF has also undertaken M&E trainings addressed at RUWASSA and LGA staff to train them for the implementation of the baseline surveys and on the use of these various IMS.

M&E challenges

Overall, notwithstanding the progress in implementing all these activities, and the originality and potential of some of these systems, the MTR observed that very serious challenges exist with respect to M&E, and that progress towards the achievement of the expected results of the programme remains low. Main challenges identified include:

- The lack of a single and comprehensive M&E framework at Federal level leaves space for overlaps and gaps in existing initiatives: As correctly pointed out by the TA second six-month report, there is a lot of duplication of M&E systems and initiatives between and within the different FMWR departments, projects and units with no integration and weak coordination. Many departments implement different donor led M&E systems, e.g. the Water Quality Control and Sanitation Department have Water, Sanitation and Hygiene (WASH) M&E; the Water Supply Department implements the World bank supported Benchmarking system; and the PRS hopes to implement the upcoming World Bank Database project. All these initiatives are scattered, sometimes overlapping, and do not feed into one single and integrated M&E framework that is agreed-upon by all stakeholders and managed by a single agency or department. The current M&E framework at federal level is a draft document dating from 2004 which is outdated and inadequate, and has not been adopted by the Ministry. The to-be-created Inter Agencies Working Group on Water Resources Sector Monitoring and Evaluation is expected to partially pick up the challenge and move forward by engaging the review of the M&E framework and take the lead on the development of a single and comprehensive M&E framework; however, the TOR seem very vague with this respect and due to the

wide representation there is a risk that the Agency becomes a political body not very operational. It would be preferable for the TOR to be much more detailed and for the TAT to keep playing a strong role in pushing forwards the process without waiting for the Agency to take initiative.

- The lack of involvement of UNICEF at Federal level under WSSSRP II might undermine WASHIM's ambition to become a national system. During previous programmes, UNICEF was supporting the Water Quality and Sanitation Department of the FMWR which is the department in charge of piloting WASHIM in all Nigeria; currently, UNICEF is still collaborating with this department mainly through the National Task Group on Sanitation but the current support provided by UNICEF at the federal level does not seem to adequately address the magnitude of the M&E challenge.
- The lack of a single and comprehensive M&E framework at State level similarly leaves space for overlaps and gaps in existing initiatives: similar challenges as mentioned above in terms of duplication of M&E systems and initiatives are taking place also at State level (although to a minor extent due to the presence of fewer donors). There have been some cases of data inflation and some discrepancies. Existing initiatives are incomplete and there is a significant gap in terms of indicators and data-collection in urban and small-towns settings. The weakness in terms of performance monitoring of urban water utilities is particularly worrying. Currently available M&E frameworks at State level, where available, are very preliminary documents that don't clearly indicate what indicators are to be collected, by whom, under the responsibility of which agency, with which periodicity, etc. No tools are provided and no mechanisms/procedures are established. The documents as per now are too preliminary to be implementable.
- Gender issues with respect to disaggregated data collection are being addressed in the 2004 M&E framework but not being dealt with in the State's M&E frameworks, nor M&E assessments. Gender issues are mentioned in the UNICEF's baseline studies (WASH profiles) but only very marginally. This is a serious gap of the monitoring and evaluation area and should be addressed.
- The existing M&E initiatives seem too sophisticated and demanding in terms of skills and resources to be managed and replicated by public staff at all three levels of government. The baseline surveys for example required significant resources and input of external consultants and are therefore not easily replicable. The WASHIM software is complex and not easy to use by staff with very little IT skills; besides, there are very many indicators and the amount of data to be collected and introduced is significant. The MTR team observed that public staff trained on WASHIM was not able to operate successfully and that there were contradictions between the data appearing in the software and the data appearing in the data-collection sheets. Rigorous procedures on data-collection and data-compiling processes are yet to be developed and/or understood and integrated by public staff. The Web-based facility tracking system is very promising (especially once it will include the possibility of voice-messages which is current being developed); however there are still many errors and gaps in the implementation, and there is still lack of clarity on how the collected information will be used. As long as community care-takers don't witness concrete positive results of the system they will not be encouraged to timely provide information. The GIS and mapping exercises seem also too complex to be implemented independently by public staff without continuous external technical support. Overall, all of the existing systems are still in the process of being tested and improved; none is completely and correctly functional yet and has therefore not yet been able to prove its feasibility. There is also a lack of embedment of these M&E initiatives into state and national M&E framework and procedures; and a lack of ownership of these initiatives by public staff as stakeholders involved tend to see them as programme donor-led initiatives.
- In addition, three of the four challenges identified in the Phase I evaluation report (see above) are all still relevant, although some progress has been made:
 - Data collection and processing is still being given low priority in Nigeria's water and sanitation sector, although awareness is slowly increasing, especially at State level. There seems to be a low level of commitment of the FMWR to take leadership in the process.
 - No clear leadership has yet been established for M&E within the FMWR and the SMWR, although a consensus is slowly emerging around the PRS department both at federal and state

level. At Federal level, there is still some competition between departments and the different institutions/agencies/departments are reticent to give up their own prerogatives.

- Monitoring mechanisms and tools are not yet well understood by key stakeholders: There is an overall still a very low capacity of stakeholders in M&E, low understanding of what is M&E and on why it is important; public servants still tend to confuse M&E with supervision and control (especially at State and LGA level) notwithstanding the trainings and sensitizations that took place in this area. There is no clear link between planning and monitoring either.
- Finally, there is some confusion between the programme's M&E requirements and the National /State M&E framework. This distinction is not yet clear to all stakeholders involved, and it is not clear to which extent some M&E initiatives implemented under WSSSRP II (such as the development of WASH profiles and LIP) have been developed to satisfy the programme's requirements and/or are expected to be replicated by the States with the same methodologies in other LGAs outside the program. In addition, as expressed by the Phase I evaluation report, the programme's own M&E framework has some weaknesses in terms of impact indicators, not only on the water supply and sanitation services aspect but also, and especially, on the capacity building and institutional strengthening aspects.

Recommendations on M&E

In order to face the challenges, the MTR team is suggesting the following recommendations:

1) At Federal level, there is an urgent need to review the National M&E framework, produce a new version which covers the whole water and sanitation sector (and not only water resources as is the case currently), clearly lists which are the indicators that apply nationally and how they are defined and collected, and that incorporates and all (relevant) existing initiatives, harmonizes them to make sure there is no overlapping or contradictions and to avoid data inflation, sets-up mechanisms to integrate the different systems for them to feed in a unique database. Discussions with the World Bank are required to define clear leadership in this process and avoid duplication This new National M&E framework (to which all stakeholders including donors will have to agree and conform) has to be based on existing initiatives including baseline surveys conducted at State level. An in-depth study is necessary to review all existing initiatives at Federal and State/LGA levels, identify common indicators which are already being collected, and integrate them into a unique framework. It is important to make sure that this new National M&E framework will be overall consistent with existing State M&E frameworks. Involvement of all departments under the FMWR is important (including the Water Supply Department) and consultations need to take place with all stakeholders during this process to make sure everyone is on board and to facilitate ownership and adoption.

2) There is a need to increase UNICEF's involvement at Federal level in supporting the development of the National M&E framework especially due to UNICEF's long-lasting experience in the area and UNICEF's support to WASHIMs which has the potential to become the main database for the sector. The TAT and UNICEF will need to closely collaborate on the process of reviewing the National M&E framework: UNICEF will need to first of all work on its own supported initiatives to make sure they all integrate to one single system (namely WASHIMs) and work with the TAT in integrating other initiatives (ex. WB's) to the system. UNICEF will also have to accompany the migration of the system from the Water supply and sanitation department to the PRS department and provide technical assistance to PRS staff for its implementation.

3) At State level, there is an urgent need to pursue efforts to review and improve existing M&E frameworks especially in terms of clearly selecting the indicators that each agency will collect, establishing the data-collection tools and methods, and defining the data-collection procedures, data-compiling and data-divulgence procedures and periodicity. Put strong focus on reviewing/establishing indicators and data-collection tools and procedures in urban and small-towns settings, especially concerning performance monitoring of urban water utilities. Again, extensive consultations need to take place with all stakeholders during this process to make sure everyone is on board and to facilitate ownership and adoption. Again, the TAT and UNICEF will need to closely collaborate on all this process,

especially with respect to inclusion of urban data into the WASHIM system and the establishment of consistent procedures for data collection and compiling for the two components (urban/small town and rural) to avoid overlaps and gaps.

4) The existing M&E initiatives need to be simplified in order to be managed and replicated by public staff at all three levels of government. A more limited number of key indicators could be considered and the IT complexity needs to be simplified. The need to rely on internet connexion needs to be limited. Rigorous procedures for data-collection and data-compiling processes including assignment of clear responsibilities and establishment of clear frequencies/periodicity need to be developed and/or better explained to public staff. These procedures need to be endorsed and officially adopted by the Ministry departments, sector agencies (Water Board, RUWASSA, STOWA where available), LGAs and communities.

5) Both at Federal and State level, there is a need to train all staff on M&E: Once the new M&E frameworks at Federal and State level are reviewed and officially adopted at large stakeholders meetings, staff at the 3 levels of government will need to be trained on its implementation. Trainings will also contribute to increase awareness and priority given to M&E, will help clarify false perceptions of M&E coinciding with control/supervision and improve understanding of M&E importance for planning and reporting. They will help clarify roles and responsibilities, will create acceptance of leadership, and help test tools and procedures. Once again, the TAT and/or UNICEF will need to closely collaborate in this process by jointly establishing a training plan and training modules, and sharing tasks for the implementation of the training activities depending on the targeted participants.

6) There is a need to clearly distinguish between the programme's own M&E requirements and the National /State M&E framework. While the former is meant to assess progress towards the programme's objectives, is based on the programme's logframe OVI and on EU M&E requirements, is applied only in the programmes LGAs and is implemented by the PIA, the latter has a much wider scope and is meant to serve the water and sanitation sector in Nigeria and potentially apply to all the States (although can be initially tested in the 6 focal states). In fact, while the programme's M&E requirements might be more sophisticated to respond to donors' needs, the national framework should as simple as possible to allow for sustainability after the end of the programme. With respect to the programme's own M&E framework, there is a need to improve OVIs to include impact indicators, not only on the water supply and sanitation services aspect but also, and especially, on the capacity building and institutional strengthening aspects.

3.3.8. Works contracts and procurement

As per the financing agreement, Phase II of the WSSSRP was designed as a successor programme of the 9th EDF WSSSRP to consolidate the achievements of the latter, including, to a certain extent, additional support on the works component to construct new water supply facilities where still needed and to repair and expand previously constructed facilities to make sure they are correctly functioning. "Hardware" achievements of the previous phase in the 6 focal States included: rehabilitation of 11 urban water supply schemes, construction of 47 new water supply and sanitation schemes in small towns, provision of water points to approximately 2,400 rural communities and WASH facilities to 254 schools (Source: Phase I evaluation report). However, according to the report, "The service delivery improvement component through the Works Contracts for urban, small town and rural WSS was problematic. The Works undertaken were not all implemented to a high standard and many Works Contracts were not completed before the end of the Programme due to delays, first in awarding the Works Contracts then in making timely transfers and payments for Works Contracts. In some cases the urban and small town WSS systems are still not operational 1.5 years after the end of the Programme." In the Southern states only about 60% of the small town schemes constructed or rehabilitated were fully functional at the time of the evaluation. The main recommendations for Phase II as identified by the final evaluation report of WSSSRP I with respect to the "hardware" aspects were the following ones:

- In order to improve supervision of hardware construction and to ensure new infrastructure meets the required standards, there should be a separate service contract for supervision of Works under the authority of the SMWR.

- Cost sharing arrangements for State/LGA Works contracts should be closely monitored and reported. Consideration should be given for future EU interventions not to require a Federal-level contribution for State and LGA level Works contracts as part of the cost sharing arrangement.
- The existing Procurement Guidelines should be revised and simplified to allow for one single tender-evaluation and procurement process managed at State level with appropriate participation of all project partners in the procurement process. Additional training on procurement and contract management should be provided at State Level.
- Community contribution should not be tied to WSS facilities Works contracts but be allocated by WCAs and WASHCOMs to future O&M expenditure after facilities are commissioned.

According to the WSSSRP II Program log frame, the key expected results of WSSSRP II in terms of WSS infrastructure development are the following ones:

- Result 3b: Urban Water Works are rehabilitated and improved. OVIs: (i) Designs for new water supply facilities are executed and (ii) Number of new water supply schemes constructed.
- Result 3 c: Existing but non-functional water supply schemes in small towns rehabilitated and new water supply schemes constructed OVIs: (i) Number of technical studies for rehabilitation works carried out and (ii) Number of existing water supply facilities rehabilitated.
- Result 4b: Existing but non-functional water schemes are rehabilitated and new ones constructed in rural communities (including provision of water points to schools and communities).
- Result 4c: Access to improved sanitation and hygiene promotion services in small towns and rural communities is increased (including support for procurement of sanitation works contracts in schools and supervision).

As per the Program log frame, planned activities for both components with respect to “hardware” (facility construction) include the following: Baselines and assessments of needs, Identification of rehabilitation needs; Identification of new water supply works to be constructed; Carrying out of Studies and designs for water supply works; Preparation of tenders for launching; Supporting procurement of water supply works contracts; Implementation of works contracts, including supervision; Supporting commissioning of completed water supply works.

In addition, the EUD/NAO introduced the concept of “quick wins” or “priority works” which are supposed to be small rehabilitations to existing facilities in order to quickly increase functionality and therefore motivate beneficiaries to get involved in the programme. While for the major works, a cost-sharing formula applies to cover the cost (70% EU, 30% States, LGAs and communities), for the priority works 100% of the cost is covered by EU.

So far, progress on the “hardware” component has been as described below:

- Urban and small town component:

Priority works:

The States submitted an initial proposal for the “quick wins”; however this proposal did not correspond to the requirements as the requested works were too expensive; therefore, in October 2013 the TAT provided clearer guidelines and requested the States to review their initial proposals. The new proposals from the States (including bill of quantities, technical drawings and tender documents) were received in May 2014, were assessed by the TAT and submitted to the NAO in June 2014. NAO is planning to launch the tender soon.

Major works:

The States have assessed all the water supply facilities constructed during WSSSRP I to determine the level of functionality and the rehabilitation needs. In some cases (ex. Anambra), the WSSSRP I uncompleted works contracts were re-activated at the beginning of 2014.

The urban areas and small towns which are to be included in Phase II had been pre-selected by the Interim TA but the TAT had to reconsider and reconfirm the selection and some changes were suggested. Technical assessments of the schemes to be rehabilitated or expanded under Phase II were then

conducted. In most cases the corresponding LGA and town authorities/WCA have been officially notified.

States are progressing at different pace: some States are more advanced (ex. Cross River has already developed the tender dossier and finalised costing for the rehabilitation of one scheme) while in some other States (ex. Kano State) fundamental disagreements on what type of works should be targeted may delay the process.

So far the States have started analysing the feasibility of the works; detailed design of the proposed schemes have not yet been developed as the States are still considering various technical options and corresponding costs. In order to discuss these issues and provide guidance on the technical choice, the TAT organized a design options workshop that was held in Abuja on 17th-18th June 2014. The TAT has also compiled a spread sheet to compare cost-efficiency of various options in terms of power supply (generator, solar, National Grid, Hybrid). Currently, two short-term water engineers have been hired to provide additional support on the design and technical specifications for the major works. These will be reviewing the design of Phase I facilities and will recommend improvements.

The NAO and TAT are planning to opt for a “design and build” works contract type and next steps include developing detailed TOR and scope of work to prepare the tender documents.

- *Rural component:*

UNICEF was mobilized to support the WSSSRP II rural component approximately one year ahead of the TAT, which enabled to achieve greater progress in the implementation of programme’s activities including on the hardware aspects, especially in the Northern States.

Inventory of existing facilities (including non-functional water points) was conducted in all 6 focal States as part of the baseline studies. Initial Environmental Examinations were conducted by a National Consultant and a comprehensive IEE report has been developed and shared. A Civil Engineering Consulting Firm was then contracted to conduct technical feasibility survey in all of 6 focal States to identify and recommend affordable and appropriate technology options for sustainable service delivery in the communities. A validation workshop was carried out and the final report submitted.

As part of the construction of facilities, UNICEF procured and delivered 1,800 sets of hand pumps, pipes and accessories to commence the drilling of water points specifically in the 3 northern States where hand pumps constitute the most feasible option and the one preferred by the communities. However it is not clear how these pumps will be installed and what will be the role of the private companies to be hired with respect to this equipment

Harmonized guidelines for the procurement of works and services have been developed and ratified by stakeholders, and over 34 State officers have been trained in 3 zonal workshops on procurement processes using the harmonized procurement guidelines.

Progress in the procurement process varies from one State to another, with the Northern States being overall more advanced: in Jigawa, Kano and Yobe States procurement processes have been concluded for the award of contract for 480 water points and works are currently ongoing. Procurement processes have also been concluded for the award of contract for sanitation facilities in schools in Cross River State and works are currently ongoing. For the remaining works, the list of beneficiary communities is available in every State; procurement plans are also available and the implementation process is underway. Most States have put the Procurement Committee in place and have prepared draft advertisement and tender Dossiers; these are expected to be launched soon.

- *"Counterpart fund" mobilization:*

In terms of counterpart fund mobilization, all stakeholders have been informed and have agreed on the suggested cost sharing formula (70% EU, 18% State, 12% LGA and finally 5% community, of which 3% for monitoring and supervision and 2% for community O&M.). States and LGAs have officially approved the corresponding budgets, but according to the MTR interviews at State level, in none of the 6 States the funds have been mobilized yet nor by the State nor by the LGA (although UNICEF staff at national level informs that some contributions have been made across the States, the MTR team does not have this information). In terms of community counterparts, WASHCOMs and WCAs have been sensitized and

have started mobilizing funds, although the situation varies largely from one community to another. In some cases, large amounts have already been raised (such as Igbaye small town in Odo-Otin LGA, Osun State which raised 3 million Naira so far), in other cases the process just started. Overall, less than half of WASHCOMs/WCAs have opened bank accounts so far; programme staff was unable to provide official records of the amounts of money raised.

Main challenges identified

Overall, with respect to works procurement process and the “hardware” component, the MTR observed that the programme is facing the following main challenges:

- The lack of involvement of the States in the evaluation of bids for the urban/small town component is a major risk to the success of the programme. Neither the financing agreement nor the MOU that was signed between the States and the NAO/NPC is clear on this point and the States feel that they legitimately deserve to participate in the evaluation. In some States (especially the Northern States) this participation is claimed as a condition for the State’s involvement in the programme and there is a risk for certain States to drop out if this is not guaranteed. In addition, if participation is not assured, this will probably lead to reduced ownership on the process and de-responsabilization of the States on the operation and maintenance of facilities. The EU and NAO are aware of these risks and during a meeting held in May 2014 they have agreed for the States to participate in the evaluation of bids; however, so far no official communication has been addressed to the States to formalize the decision.
- Cost-sharing and mobilization of counterpart: Following interviews and review of Phase I experience, it seems that complete and timely mobilization of the counterpart contributions is a challenge both at State/LGA and community levels. The lack of timely mobilization of counterpart contributions at State/LGA level might delay the payment of contractors and therefore lead to non-completion of works during the time-frame of the programme. While some States are capable of meeting this condition, other States (ex. Yobe) claim not to have sufficient funds available and therefore request to be exempted from contributing the 30% counterpart. A similar situation exists at community level, where some communities (especially in the Southern states) are capable of mobilizing the requested amount, others (especially in the Northern states) are not. The lack of counterpart might imply challenges for adequate O&M of facilities. In addition, the MTR observed that there is among programme stakeholders some confusion about how the community counterpart will be used: either for O&M or for construction or for both.
- Quality of works and weaknesses in works supervision: following past experience, it seems that quality of works have not been up to the standards. One of the reasons for this is to be found in the lack of capacities of public staff for supervision, especially in the case of urban works and sometimes small town schemes. In fact, leaving the works supervision task to the States for such important investments is very risky and inappropriate. The EU and NAO have recognized this risk and have decided to contract external companies to do the works supervision; however, so far the States have not yet been informed of this decision and they still believe they will be in charge of the supervision.
- Choice of technology: low quality of works in Phase I as mentioned above was also partially due to weaknesses in the technical design and the technology options. The States seem to lack adequate capacity to address these issues and guidance is required from the Federal level, however there is currently a lack of technical guidelines for quality infrastructure provided by the Federal level, partly due to the insufficient involvement of the Water Supply Department in the programme. The TAT recently hired two engineers to support on this process, but greater involvement of the Federal level remains necessary.
- The unclear distinction between rural and urban/small town areas (already mentioned in previous chapters) has translated into a tendency to split urban communities into small-towns (for example, in Osun State); however, this might not be the best solution in terms of technical options because it does not allow economies of scale and may be less cost-effective (although smaller schemes might enable better O&M, especially in the absence of a strong water utility). On the other hand, some States which are considering investing in regional scheme which are to cover both rural and urban/small town are similarly facing constraints due to some overlapping between the 2 components. It appears that the somewhat artificial distinction between rural and urban may have the following risks: (i) to

use “rural” technologies in urban areas (e.g. boreholes and hand pumps); (ii) to promote the wrong management model; (iii) to alter the pro-poor focus of the project; (iv) to create overlaps and gaps between the agencies in charge.

- Insufficient understanding and/or lack of clear guidance on EU procedures and dead-lines: Delays in the procurement process for quick wins was partly due to misunderstandings between the States and the EU/NAO on the nature of the works and on the budgetary ceilings, as it appeared that budget ceilings were not provided originally but only communicated at a later stage. Similarly, budget ceilings for major works were only communicated recently while some States had already budgeted for works which costs were above the ceilings. In addition, the TAT was not initially aware that all available project funds were to be engaged before end June 2015 and did not plan its activities accordingly. Overall, stakeholders expressed their difficulties to clearly understand EU rules and procedures especially on the procurement process. There is an overall absence of agreement on the rules of the game. The absence of a “manual of procedures” or “implementation manual” of the programme is a huge weakness with this respect.
- Lack of attention / prioritization of sanitation for the urban/small town component: while the rural component is actively working and largely succeeding to promote sanitation, awareness on the need to invest in sanitation is low among State actors for the urban/small town component. Sanitation works have so far not been included in the preliminary sites identified for the major works. The TAT has advised states to provide sanitation facilities in some schools, hospitals and other public institutions.
- Focus on “hardware” without sufficiently considering O&M: when selecting sites for rehabilitation and expansion works, it seems that not enough attention has been granted to finding out why the schemes have not been operational or not correctly maintained so far. Low capacity and/or low public commitment for O&M are very big challenges in Nigeria, especially in urban areas. Water corporations when existing are often over-staffed and under-equipped utilities with insufficient technical and administrative skills. For example, in Osun state, out of the 46 schemes under the responsibility of the Water Corporation, only 17 are functional. Investing in hardware without a serious risk-analysis on the O&M capacities could translate into non-sustainable service delivery.
- Contrasting priorities and approaches in Kano State: According to interviews conducted during the MTR, it appeared that Kano state administration is not in line with the programme’s objectives and strategies. Differences have been observed with respect to fundamental principles of the water policy (namely water as a public good to be provided for free vs. water as a commercial good requiring a tariff system); and also with respect to technology options / choices (namely big regional schemes vs. smaller local schemes). The administration is not committed to passing the water law and recently expressed disagreement on the very nature of the programme: the NAO has recently received a letter from Kano saying that the governor and commissioner are not interested in WSS schemes and are requesting the construction of dams for fish ponds instead. Although it is possible that Kano’s administration position does not reflect the position and needs of the beneficiary communities, the lack of endorsement of the programme by the authorities is a major risk for the programme’s success and for the sustainability of its achievements.

Recommendations:

To address the observed challenges, the MTR is suggesting the following recommendations:

1) Involvement of the States in the evaluation and award of the bids for quick wins and major works. The States need to participate as members of the evaluation committee with voting powers. Their participation should be at least proportional to their financial contribution (30%) or more. It is suggested that 2 representatives will need to participate from each State in order to have a total of 5 voting members in the evaluation committee. Even if modalities of the participation are not defined yet, it is urgent that the NAO sends an official letter to the States to inform them of their participation.

2) Cost-sharing and mobilization of counterpart: to address inequalities in financial capabilities between one State and another and one community and another, the cost-sharing formula could be amended to suit

specific cases (ex. Yobe state) where the counterpart contribution could be reduced (for example to 15% instead of 30%) but not eliminated. Within a State, the SMWR could decide to reduce the % for certain communities in very specific cases and contribute the difference for them.

In order to make sure that the States and LGA timely mobilize the agreed counterpart fund, the proof of this mobilization could be requested as a condition for the non objection to award contract until the state counterpart fund is ready.. This is however risky because it might imply delays in the evaluation process and difficult to implement due to possible different timing among the States. Payment in instalments should be allowed to facilitate disbursements (as is already the case in Osun state). In general, advocacy must be increased to promote commitment from the States/LGA to pay for their counterparts.

3) Works supervision: external independent companies must be hired for works supervision. This could be done either through contracts signed directly by the States, or through NAO, or through the TAT contract. (UNICEF will also need to hire its own supervision companies). In order to simplify procedures and allow for faster procurement, the MTR is suggesting opting for the latter solution (passing through TAT). This solution can also allow making 6 different contracts for each of the 6 states. A similar commission as the one set-up by UNICEF for the rural component can be suggested for the urban component in order to involve the States in the evaluation of bids for works supervision. The hired supervisor must report through TAT to avoid some level of compromise.

4) To facilitate adequate choice of technology: in addition to the ongoing processes led by the TAT for design revision and recommendation, it is suggested that the Water Supply department be directly involved in the establishment of technical guidelines or standards for both rural and urban/small town components. It could be useful to review existing guidelines and support the FMWR in establishing updated technical guidelines or at least provide a note on design recommendations if updating the guidelines is too time-consuming. UNICEF should be involved in this process for what concerns rural WSS facilities in order to build upon its significant experience and its guidelines.

4) Provide clearer guidelines on EU procedures, budget ceilings and deadlines to all stakeholders. The TAT could support the NAO to develop such guidelines in collaboration with the EUD. In addition, programme stakeholders at all levels of government need to be further trained on these procedures. The development and distribution of a “manual of procedures” or “implementation manual” for the programme could be very useful to create a common ground.

5) Lack of attention / prioritization of sanitation for the urban/small town component: a study could be undertaken in the 6 States to specifically and exclusively address the issue of sanitation in urban/small town areas. This could be done to a certain extent in collaboration with UNICEF and together with the study on CLTS adaptation to urban settings (see chapter on CLTS). The study should first of all review the existing documentation on the subject in Nigeria, analyse results of baseline surveys in the 6 States and then provide recommendations on what approaches and what technology options are to be promoted in urban/small town areas. The study should be engaged by the Department of Water Quality and Sanitation at the FMWR and addressed to the States.

6) To increase consideration of O&M factors in the selection of schemes to be rehabilitated/ expanded, the urban/small town component should define selection criteria also on the basis of O&M capacities of the relevant agencies. The criteria should be strict enough to allow discharging certain schemes/sites if these have proven to be repeatedly badly managed in the past, unless provisions for PPP are established before the construction). In the case of disregarded schemes, the programme should offer O&M capacity building/trainings exclusively and capital investments if required should be covered by the State/Agencies budgets outside the programme.

3.3.9. Risk management

Although staff at all levels are aware of the many challenges that the Programme faces, both components as well as the federal and state authorities have not developed risk management plans that can address current and up-coming challenges effectively. The recommendations provided in this MTR include various elements towards reducing important risks for the Programme to be implemented successfully. These include, among others, involvement of the States in the Evaluation Committee for the works

procurement process and institutionalising improved planning, reporting and M&E procedures for the two components.

The WSSSRP I Final Evaluation recommended that “risk management plans should be developed at an early stage to prepare for the eventuality of the Assumptions not holding true”, and that they should be adequately monitored.²⁹ These plans have not been prepared for the two components in WSSSRP II.

The main reason why many construction works were not completed (or initiated) at the termination of WSSSRP I was the lack of commitment to the cost-sharing formula and the timely disbursement of funds. In the Programme logframe for WSSSRP I this disbursement was assumed to take place. For WSSSRP II a similar assumption is presented in the Programme logframe Results 3.b and 3c.: “Political will to recognise the cost-sharing arrangement and secure counterpart funding in time to allow early launch of water works tenders”.

What measures that have been taken to avoid a similar problem for Phase II as for Phase I is unclear and as such could put the Programme success at risk. Similar concerns relate to other assumptions presented in the Programme logframe.

Some of the key risks that have been identified by the MTR team are the following:

- Risks of dropping out of some States if not adequately involved in the procurement process
- Risks of losing credibility and hindering fruitful collaboration with all stakeholders due to inadequate or insufficient communication and existence of misunderstandings at all levels.
- Risk of delays in payment of counterpart funds by State and LGA (approved but not yet paid)
- Lack of real ownership on the sector reform process and conflicting interests on the water bill
- Risk of WCA/WASHCOMs neglecting “software” activities and losing motivation and commitment due to unsatisfied expectations of quickly receiving water infrastructure

Recommendations

1) It is recommended, in line with the recommendation in the WSSSRP I Final Evaluation that Programme assumptions must be rigorously and systematically monitored. Risk management plans must be prepared and be reported on at quarterly held National/State Steering Committee meetings as well as in semi-annual and annual reports for the two components.

2) It is also recommended to apply a Risk Management Matrix in the reporting structure for both components. It is a supportive tool complementing the logframe assumptions/risks monitoring for emerging risks related to the day-to-day Programme implementation. The matrix assesses political, institutional, economic, financial and operational criteria using a format of high-to-low Probability (x-axis) against a high-to-low Impact (y-axis) of those five criteria (some examples shown in Matrix). Key issues relate to how the Programme will manage the risks if those criteria are developing towards or are being placed in the fourth quadrant – having high probability and high impact on the Programme implementation. It is a practical and useful tool that can see development of specific events that may have impact on the Programme on an-going and short to mid-term basis.

Table 6: Example of a Risk Management Matrix

High		<i>Elections (political)</i> <i>Reorganisation of Government (institutional)</i>
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²⁹ WSSSRP I Final Evaluation, 2013, p 8, 26

IMPACT		<i>State/LGA staff rotation (operational)</i>
	<i>Staff turn-over (operational)</i>	<i>Exchange rate (financial)</i>
Low	<i>Quarterly growth rate (economic)</i>	
	Low	High
	PROBABILITY	

3.4. Sustainability

3.4.1. Institutional sustainability

With respect to WSSSRP II, institutional sustainability refers to the fact that water sector institutions that have been involved are able to continue providing good quality WASH services after the end of the programme, so that the programmes achievements are sustained and expanded. In order to achieve this, it is important that institutions at various level and horizontally work in a complementary way in the face of objectives, work processes and results. Such conditions require clear task sharing between institutions involved, involvement and ownership of local/lower level organisation/authorities, relevant, effective M&E mechanisms being in place and the existence of a phasing out strategy of the programme.

In WSSSRP II the embedment approach, if properly implemented with adequate skill transfer between the TAT & UNICEF consultants on one side and the ministry and LGA officials on the other side, will encourage creation of a focused and committed leadership that will enable replication and scaling-up of initiatives. It is an excellent approach but the way it is now needs to be reviewed to actually make the consultants and government staff work together. Having the consultant's office within the Ministry is one thing and working together as a team is another thing. The current lack of integration of planning, reporting and M&E into the official procedures and into an integrated comprehensive system that comprises the federal, state and local levels is a major weakness of the programme. In addition, there is also insufficient institutional capacity building of staff. These need to be trained, especially on working procedures, and adequate mechanisms of incentives and penalties have to be set-up to promote efficiency and productivity of human resources. Staff needs to better understand the various aspects of their roles, the impact of these roles, and how they fit into the system and contribute to achieve the overall objective of WASH service delivery.

It is therefore strongly advised that programme tools and procedures are integrated into national tools and procedures (e.g. monitoring, data collection, planning, reporting). An important indicator of success in the above is that the public authorities at the State level are replicating the programmes activities and approach in other areas outside the programme's target areas. If this happens then that is a very strong indicator that the programme is attaining its objectives in a satisfactory manner.

3.4.2. Social sustainability

Social sustainability refers to the extent to which the good practices promoted by WSSSRP II in terms of hygiene behaviour and adequate community management of facilities will continue to be implemented and to produce positive effects after the end of the program. Key factors to achieve this are participation and ownership of beneficiary communities. Inclusion of disadvantaged groups, gender equality and integration of the programme within existing social structures (ex. traditional leaders, etc.) are also very important factors.

To date, WSSSRP II staff have been giving good attention to these factors: For example, the process of electing WCA and WASHCOM members who are representative of all social groups (different ethnic and religious groups, women, elderly, youth, etc.) has encouraged ownership and participation, and so has the embedment of WCA/WASHCOM under existing governance bodies at community level (ex. town unions, council of the elderly). The strong involvement of development aid groups, churches and mosques, as well as CBOs, is also a positive factor.

Weaknesses observed so far relate mainly to the insufficient follow-up by LGA staff/CBOs and the risk that WCA/WASHCOM become "ghost" structures after the end of the programme with gradually decreasing motivation of members to participate in activities due to decreasing external support and due to the absence of mechanisms in place to motivate the WCA/WASHCOM staff. Also, most members are quite aged, which on one hand increases respect and authority, on the other hand limits dynamisms and innovation. It is recommended to increase efforts on follow-up by LGA staff, also by strengthening involvement of CBOs. To increase motivation, it is recommended that stronger emphasis be put on encouraging the WCA/WASHCOM to engage in their own initiatives outside the programme to

correspond to their own priorities, and include these activities in the action plan. A problem-tree analyses exercise could be undertaken to support them in identifying such priorities.

3.4.3. Technical Sustainability

Technical sustainability refers to the fact that facilities constructed or rehabilitated under the programme are likely to be correctly operated and maintained from a technical point of view. To ensure this, there is a need to ensure that the technological choice of facilities is relevant to enable correct maintenance in terms of technical skills of the people in charge and availability of spare-parts. The sustainability of the rural water facilities depends to a certain extent to the choice of technologies which are less demanding in terms of O&M requirements and that encourage a sense of ownership created in many communities (hence the importance of involving the beneficiaries in the choice of the technology). For urban/small town schemes, technical sustainability relies on the skills and commitment of the agencies in charge.

Currently, the two components of WSSSRP II are undertaking technology options assessments to identify the most adequate solutions. Use of solar energy is increasingly being considered because these do not easily break down and demand less operational expenses compared to diesel generators. However these are more subject to risks of theft, so communities must devise stringent measures to prevent theft of the panels and its accessories. In addition reinforced concrete barriers could be constructed to safeguard the submersible pumps. Other measures can also be adopted like night guards, watch dogs, etc. Overall, simple technologies must be encouraged especially at community level. At urban/small town, there can be a trade-off between the size/complexity of the scheme and the sustainability of O&M. As much as possible, priority should be given to O&M feasibility instead of economies of scale/engineering considerations.

In order to promote a maintenance culture, it is recommended that the following should be taken into consideration: the Water Board, STOWA, Ruwassa staff, as well as WCAs and WASHCOMs members, should be adequately trained on technical issues; maintenance procedures should be established (not only to repair or replace broken parts but also to prevent breakdowns); and continuous awareness promotion in respect to maintenance should be done; clear responsibilities for O&M should be attributed to relevant staff; and effective financing mechanisms should be established to timely cover costs for any repairs of facilities (see below).

3.4.4. Financial sustainability

Financial sustainability is about making sure that adequate mechanisms are established to ensure that cost for O&M of facilities (and ideally, renovation and expansion) are covered. While usually O&M are covered by tariffs on water (and sanitation) services, other sources of income (as subventions) are also possible as long as they are part of a clearly established and functional procedure. In Nigeria, there is still a quite strong perception *by the public sector* of water being a social good to be provided for free. However, in fact, most WSS services are provided by the private sector and the populations are paying for them; and baselines show that the willingness to pay is high.

WSSSRP II is expected to establish such mechanisms, both for the rural and urban component, namely by promoting public-private partnership arrangements. The MTR team believes that although PPP are a good strategy to promote financial sustainability, however, insufficient focus has been given to these issues so far. According to the Phase I evaluation report, WASHCOMs and WCAs are not mobilizing enough funds for O&M particularly in the three northern states. For example the amount charged for water is too low to sustain future O&M of the schemes. In urban/small town areas, the level of investment of public agencies into O&M is dramatically insufficient, which translated into very low levels of functionality.

To increase financial sustainability, it is recommended that a much greater focus is put into establishing mechanisms with communities (in the case of smaller schemes) and with sector agencies (in case of bigger schemes). Increasing advocacy efforts needs to be addressed to the Government to raise awareness on O&M needs. Capacity building of staff on tariff-setting and cost-recovery is of utmost importance. Provisions for PPP establishment can be taken even before the end of the works. Identification and contracting of private operators need to take place within the time-span of the programme. If in certain

specific cases tariffs cannot be applied or increased for political reasons, then alternative but reliable and constant sources of income must be identified and established.

3.4.5. Environmental sustainability

Environmental sustainability of WSSSRP II is about determining whether the programme will create any long-term positive or negative impact on the environment. The environmental sustainability target of the Millennium Development Goals (MDG7) is expected to be achieved by integrating the principles of sustainable development into country policies and programmes; reversing the loss of environmental resources; reducing by half the proportion of people without sustainable access to safe drinking water; and achieving significant improvement in the lives of slum dwellers.

Thanks to its focus on increased access to WSS services as well as improved IWRM, WSSSRP II aims at contributing to this MDG. The positive environmental impacts of the programme should include: provision of safe water supply; reduction of pollution by the design of appropriate sanitation facilities; improved climate resilience of drinking water supplies in the communities encouraging water use efficiency and water conservation; rehabilitation of infrastructure including new transmission and distribution lines to ensure more reliable water supply and limit water losses; better IWRM at federal and state level.

Initial Environmental Examination (IEE) in the programme LGAs have been concluded by the rural component. This assessment defined possible adverse environmental implications of the programme, and suggested mitigation measures during programme implementation. No significant negative impacts on the environment have been identified so far by the MTR team, however, potential negative impacts for the programme could include construction related impacts (such as dust, noise, solid waste, traffic, access blocking and hazards to community; damage to other utility lines incurring service interruptions); and eventually over-exploitation of scarce water resources in some specific sites if adequate hydrogeological studies are not conducted. The lack of attention to sanitation could imply an environmental risk in terms of water contamination in case of not appropriate sludge and wastewater disposal and treatment.

The following measures are recommended for mitigating the negative potential environmental impacts: health and safety management of excavations and trenches, aquifer monitoring and development of water safety plans; inclusion of the necessary environmental clauses in programme tender & construction contract documents, increased attention to sanitation (especially in urban settings).

4. LESSONS AND RECOMMENDATIONS

4.1. Lessons Learnt from the WSSRP II

This chapter provides a quick overview of main lessons learned from the programme so far, both in terms of positive lessons learned and negative lessons learned. Many of these strengths and weaknesses have already been described in the various chapters of this report, but here they are summarized as to provide an overall picture.

The positive lessons are elements that can be put forward as positive examples that the State and other donors may wish to follow and replicate elsewhere. The main positive lessons learned of the programme so far as identified by the MTR are the following:

- WSSSRP II as compared to other programmes puts a stronger focus on repairs and rehabilitation instead of construction of new facilities. This is a very relevant approach in order to avoid multiplication of non-functional facilities; it is also a significant step towards gradually shifting focus of development stakeholders from capital investment to O&M.
- CLTS is a simple and effective method to promote hygiene behaviour change, fight open air defecation and leverage community engagement also beyond the sanitation sector.
- The priority given to community management as opposed to public management is in line with decentralization policies and the need to promote effective solutions to increase functionality of facilities and fill-in the gaps left by the public sector. Community management encourages accountability and promotes empowerment of beneficiaries. The closer the management level to the users, the better the chances it will be sustainable. Hence, the emphasis on longer periods of contract to community management experts, otherwise the recipients would tend to forget, in the short term, the advice and new attitudes brought about by the project.
- The web-based facility tracking system promoted by the rural component with UNICEF's support is very promising because it unites simplicity with responsibility of communities. It has the potential to become a useful method to improve M&E and IMS in Nigeria's water sector.
- The strong focus of the programme on governance and institutional strengthening at various levels in addition to service delivery is the best way to promote sustainability and replication. The embedment approach is a smart method to implement programmes if adequately structured, to the extent to which it enables skill transfer and it pushes the government to take up responsibility.
- The overall philosophy of WSSSRP II of donor's interventions as a way to give the example and for the government to pick it up and expand it is particularly adequate in Nigeria where ODA is very little as compared to national budget.

The negative lessons learned of the programme are issues that require attention and may need to be corrected during the remaining time-span of the programme. The main negative lessons learned of the programme so far as identified by the MTR are the following:

- The positive potential of the embedment approach can be hindered if there is weak integration of planning, reporting and M&E procedures between the programme and national institutions.
- The burden of complex donor procurements rules can hinder effectiveness and timely execution of works and at the same time hinder ownership by public authorities on the process.
- The existence of various components with separate implementing agencies, different time-spans and different operational mechanisms in the same programme is challenging especially if the two components have similar objectives and overlapping areas of intervention. These challenges should be correctly addressed by establishing adequate coordination and integration mechanisms.
- The commitment to reform taken by public authorities at different levels of government at the beginning of the programme cannot be given for granted due to varying political agendas and shifting priorities. A continuous advocacy effort should be kept up, as well as considering enough flexibility in programme implementation to accommodate to contextual changes that might appear.

4.2. Key recommendations of the Mid-term Review

4.2.1. Recommendations Specifically addressed to the NAO (Contracting Authority)/EU

1. Establish TA support to LGA on urban & small town component or expand UNICEF support to include these areas in order to respond to identified weaknesses.
2. Allow for more long term staff vs. short-term consultants for community management for greater consistency and ownership.
3. Better communicate to all stakeholders on budget ceilings and budgetary deadlines. Provide clear written guidelines on EU procedures that apply to this programme.
4. Review the logframe of the programme, especially concerning the M&E result in order to avoid overlap between UNICEF and TAT, but not only.
5. Consider a 4-year contract with the TAT (with performance conditionalities in the contract) instead of 2+2 years to facilitate engagement, consistency in approach, consolidation of achievements, avoid interruption in programme activities, strengthen professional links, etc.
6. For a future phase, consider increasing the time-span and reducing the scope of the programme (focus less on IWRM; either reduce ambitions or dramatically intensify efforts in urban settings). Also consider abandoning the interim-TA approach.

4.2.2. Recommendations Specifically Addressed to the Government

1. Allow for States to be part of the bid evaluation commission.
2. Hire an engineering company for work supervision, yet involving local stakeholders, and provide clear communication to all programme stakeholders on this issue.
3. Associate to the programme all relevant departments in the Federal Ministry of water resources.
4. Ensure that disbursements of approved State/LGA budgetary allocations for the Programme activities are made timely.
5. Give more importance to needs criteria (i.e. expressed and observed immediate needs) within the (self-) selection process of beneficiary LGAs.
6. Encourage more regular meetings of the Project Steering Committees (Federal & State levels).
7. The State Governments should assign to a task group within the various levels of State, Local and community the specific function of expediting and ensuring timely preparation and disbursement of funds meant for participation of that level in the project over the project's lifetime.

4.2.3. Recommendations Specifically Addressed to TAT

1. Improve internal planning, monitoring and reporting; more detailed annual plan with calendar of activities; internal monthly planning + reporting of staff required. Streamline reporting design with the Programme logframe and align with Government and UNICEF.
2. In collaboration with UNICEF, support Government to improve planning and reporting systems³⁰.

³⁰ Consolidated State Plans (i.e. urban + Small towns + rural + State governments' own normal development activities outside the WSSSRP II) in one document.

3. Establish an advocacy strategy with clear steps to push forwards the approval of the water policy and bill. Advocate for higher consideration to be given to sanitation.
4. Don't wait for the water law to be passed to engage in institutional strengthening activities.
5. As part of capacity building activities, strengthen trainings on planning, reporting and M&E and include trainings on performance-based, results-oriented HR management.
6. Increase efforts on M&E to facilitate the adoption and dissemination of a simple and unique M&E framework which will integrate and ensure consistency of various ongoing initiatives.
7. Increase efforts to support the urban/small town component in terms of capacity building and strengthening of institutions in charge at State and LGA level.
8. Improve communication with all stakeholders to clarify the programme's objective (strong focus on sector reform and capacity building in addition to infrastructure improvements).
9. Improve tools and methods to efficiently and sustainably deliver technical assistance and capacity building; consider less short-term consultants and more long-term staff.
10. There is a need to support the Government to produce clear guidelines on the distinction between rural, small town and urban.

4.2.4. Recommendations specifically addressed to UNICEF

1. Improve internal planning, monitoring and reporting: more detailed annual plan with calendar of activities at all levels of the organisation (HQ, State, LGAs & Communities). Streamline reporting design with the Programme logframe and align with Government and TAT.
2. In collaboration with TAT, support Government to improve planning and reporting systems.
3. Rethink and adapt CLTS approach for urban environments.
4. Improve communication with communities on programme's time-span and results to clarify misunderstandings and avoid raising wrong expectations; Prepare active and regular use of approved, written and signed action plans with the communities.
5. In collaboration with the TAT, establish one single and simple M&E system. WASHIMs, Facility tracking, CLTS database should be simplified and all feed into one single database.
6. In collaboration with the TAT, strengthen trainings on planning, reporting and M&E and include trainings on performance-based, results-oriented HR management.
7. Improve communication with all stakeholders to clarify the programme's objective (stress on importance of "software" as opposed to "hardware" aspects).
8. Improve tools and methods to efficiently and sustainably deliver technical assistance and capacity building; consider, in consultation with the EUD, less short-term consultants and more long-term staff.
9. Hire and train engineering companies for the construction and supervision of works.
10. Improve UNICEF accountability at Federal level and share progress reports with the Ministry and NAO.
11. Improve UNICEF accountability at Federal level and share progress reports with the Ministry and NAO.

Annex 1: Terms of Reference

SPECIFIC TERMS OF REFERENCE

Mid-term review of the Water Supply and Sanitation Sector Reform Programme Phase II (WSSSRP II) - Nigeria FWC BENEFICIARIES 2013 - LOT 2: Transport and Infrastructures EuropeAid/132633/C/SER/multi

1. BACKGROUND

The 10th EDF funded Water Supply and Sanitation Sector Reform Programme, Phase II (WSSSRP II) was designed as a successor programme of the 9th EDF WSSSRP to consolidate the achievements of the latter with a view to addressing the remaining fundamental weakness of the Nigerian water and sanitation sector: lack of or inadequate legal and institutional framework at both the federal and state levels. WSSSRP II intends to sustain and expand the improvements on water governance made by 9th EDF WSSSRP at the federal level and in the EU focal States (Anambra, Cross River State, Jigawa, Kano, Osun and Yobe) through the provision of technical assistance and capacity development to Ministries and Agencies responsible for water resources as well as water and sanitation services delivery at the federal level and in the focal States. A component of the programme, being implemented by UNICEF, is supporting capacity building of State and Local Governments Agencies responsible for the provision of water supply and sanitation services in rural communities and improving access to water supply, sanitation and hygiene services in the rural areas.

WSSSRP II has a total budget of €94M (EDF contribution is €80M; UNICEF - €1M and local contribution - €13M). The programme is implemented through a combination of partial decentralised management, implemented by the National Authorising Officer (NAO) with the support of a technical assistance team (budget = €9,109,980) and joint management, through a Contribution Agreement with UNICEF (budget = €31,000,000). The NAO-implemented component is focussed at consolidating good water governance in the Federal Ministry of Water Resources (FMWR) and in the six focal States as well as establishing regular sector monitoring and evaluation and improving access to water supply and sanitation services delivery in urban areas and small towns. UNICEF is charged with WSSSRP II implementation, through the State level Rural Water Supply and Sanitation Agencies (RUWASSAs) and the Local Government Areas (LGAs) WASH Departments/Units, to build capacity in the LGAs and in the communities in order to increase and sustain access to safe water supply, basic sanitation and proper hygiene practices in the rural communities.

The NAO is assisted by a technical assistance team made up of a consortium led by Messrs WS Atkins International of UK. The TAT mobilised in March 2013 for an implementation period of 24 months. However, the Financing Agreement has provided for additional services of up to 24 months at the end of the current TAT's contract. Meanwhile, UNICEF started activities in the States in August 2012 with an implementation period of 5 years.

At the Federal level, WSSSRP II, under the NAO-implemented component, is supporting the FMWR to finalise the National Water Resources Law. It is also assisting the Ministry to establish the necessary legal and administrative frameworks to manage water resources in an integrated manner. WSSSRP II is equally supporting the setting up of a monitoring and evaluation (M&E) system in the FMWR to collate, analyse, store and disseminate reports on water and sanitation data for planning and decision-making purposes. It is intended that the federal level monitoring and evaluation system will be integrated with the State level M&E systems.

In the six focal States, WSSSRP II is implemented in 2 LGAs which have been identified through a self-selection process for programme implementation. Both the NAO/TAT-Urban/Small Towns and UNICEF-Rural components are implemented in the same LGAs with the aim of securing and broadening the successes achieved under the 9th EDF WSSSRP by finalising water policy and regulatory framework (enactment of water law and re-organisation of states' sector institutions) and strengthening the capacity already built within the sector institutions to deliver sustainable water and sanitation services. Further capacities will be developed to connect medium term strategic planning to a medium term expenditure framework (MTEF). WSSSRP II will support the implementation of integrated water resources management (IWRM) principles in the States as well.

2. DESCRIPTION OF THE ASSIGNMENT

2.1 Global objective: To provide decision makers in the National Planning Commission (NPC) and the Federal Ministry of Water Resources, the six EU-focal State Governments and the European Union with sufficient information to make an informed judgement:

- (i) about the performance of the WSSSRP II (for both the UNICEF-Rural and TAT-Urban/Small Towns components), as it concerns its relevance, efficiency and effectiveness, and eventual sustainability;
- (ii) about the decisions to make any required changes to programme design and scope (e.g. the objectives, expected results, financing, implementing and management arrangements, duration, etc) for an enhanced and successful implementation for the remaining period of the programme.

2.2 Specific objective(s)

The mid-term review mission is required to deliver an assessment and recommendations/conclusions on the following issues:

- (i) the extent to which the WSSSRP II remains consistent with, and supportive of, the policy and programme framework within which it is placed;
- (ii) stakeholders' participation in the implementation of the programme, and the level of local ownership;
- (iii) programme performance with respect to efficiency (input delivery, cost control and activity management) and effectiveness (delivery of outputs and progress toward achieving the specific objectives or purpose). Compare progress made so far with what was planned. Assess also possible impact of the programme so far.
- (iv) programme management and coordination arrangements, especially the embedment of the technical assistance team (TAT) within the government service structure, and the sub-granting arrangement between UNICEF Headquarters in Abuja and the State level Rural Water Supply and Sanitation Agencies (RUWASSAs or RUWATSANs). Assess the extent to which timely and appropriate decisions are being made to support effective implementation and problem resolution for the two components of WSSSRP II.
- (v) the quality of operational annual work plans and extent of their implementation by UNICEF, RUWASSAs and the Federal and States' Programme Implementation Agencies (PIA's) for each of the programme components, budgeting and risk management.
- (vi) the quality and regularity of information management and reporting, especially of the financial and technical reporting arrangement between the States' RUWASSA's and the UNICEF's Zonal and National Offices. Also assess the quality and effectiveness of reporting for each of the programme components

² Note "programme" denotes the entirety of the WSSSRP II (both the UNICEF-Rural & TAT-Urban/Small towns components)

(vii) the extent to which key stakeholders in the States and Federal level are kept adequately informed of programme activities (including the beneficiaries/target groups in the LGAs and communities).

(vii) the extent and quality of data collected, their analyses, application (use) by programme implementers, and the extent data are disaggregated by gender and disseminated.

(viii) extent of monitoring by stakeholders and the use of monitoring information to improve implementation.

2.3. Requested services

In order to be able to deliver on the specific objectives of the mid-term review mission as stipulated in 2.2 (bullet points i-viii) above, especially as it concerns the assessment of and recommendations on relevance, efficiency, effectiveness, results and impacts of WSSSRP II, the experts (consultants) are expected to undertake the following services (non-exhaustive):

(i) Review all available documents pertaining to the programme: the Financing Agreement, Contribution agreement with UNICEF, TAT service contract, Progress/interim reports by the TAT and UNICEF, reports submitted by short-terms experts, etc;

(ii) Develop the protocols and checklists for the conduct of the mid-term review and share with EUD and NPC for their agreement

(iii) Meet with the relevant Government officials (e.g. National Planning Commission NPC, FMWR), donors (e.g. EU, UNICEF, DfID, etc) and NGOs in and around Abuja as well as in the States on WSSSRP II implementation;

(iv) Visit the six focal States and the two programme LGAs in each of the States (in accordance with the advice of the Delegation's regional security officer). Meet with the community-based water committee (WCAs, WASHCOMs) members in, at least, two benefitting small towns and two rural communities in each of the two LGA visited;

(v) Meet with the relevant officials of the State Ministries in charge of Water and Sanitation, and the respective agencies in charge of small towns and rural WASH in each State.

(vi) Hold briefing /debriefing sessions with State Government officials in each of the six States, and with EU/UNICEF/TAT/FMWR/NPC in Abuja. Prepare and transmit by e-mail to EUD a debriefing aide memoire (3-5 pages) a day before the debriefing meeting in Abuja.

(vii) Prepare and include as an annex to the final report names, designation and contact details (telephone, e-mails, etc) of key stakeholders met during the mission;

(viii) Report preparation and submission (Inception, Draft Final and Final Reports).

2.4. Required outputs

The expected results of the mid-term review mission would be clear recommendations from the consultants for any required changes/modification to programme design, scope (including objectives, management arrangements, technical assistant team composition, etc) in order to support effective implementation and the delivery of a sustainable benefit stream.

The recommendations will clearly distinguish between the UNICEF-Rural and TAT-Urban/Small towns implemented components.

2.5. Language of the Specific Contract

The language of the Specific Contract is English.

2.6. Subcontracting

Subcontracting is not foreseen.

3. EXPERTS PROFILE or EXPERTISE REQUIRED

3.1 Number of requested experts per category and number of person-days per expert

Two (2) category 1 and two (2) category II experts, proficient in English (writing and speaking), are required. It is recommended that the team splits up in two groups of 2 experts each which then work in parallel in the 3 northern and 3 southern States.

Experience with European Development Fund (EDF) contract procedures for EU external actions is required for at least one of the experts. Also will experience in operation and management of community-based water supplies be required from at least a member of the team.

One of the team members will act as the coordinator/team leader and shall be responsible for arranging the necessary meetings and contact with senior government officials and the Delegation of the European Union. S/he shall ensure timely delivery of the required outputs/deliveries.

Management team members are not required at any of the briefing and or debriefing meetings.

The composition of the experts is as follows: 3.2 Profile required (education, experience, references and category as appropriate)

Expert	Number of expert	Category	Working days
Expert No 1 (Team Coordinator/Leader) – Policy/Institutional expert	1	1	42 -(40 days in Nigeria + 2 day home base to finalise report)
Expert No 2 – Policy/Institutional expert	1	1	40 – all in Nigeria
Expert No 3 – Development specialist	1	II	40 – all in Nigeria
Expert No 4 – Development specialist	1	II	40 – all in Nigeria

Expert No1 – Team Coordinator/Leader Category 1 (1No)

Qualifications and skills:

Policy/Institutional specialist: Category 1.

- At least a University degree at Masters Level in Engineering, Social Sciences, Development studies, Economics, or related discipline.
- A minimum of 12 years of professional working experience, of which at least 3 years must be as a team leader in water related programmes.
- Experience with reforms (policy/legal/institutional) in the water sector in a developing country.
- Experience with evaluation (mid-term review or interim/final) of EU or other donor funded **water sector** (policy, regulatory or institutional) reform programme is required.

Expert 2. Category 1 (1 No)

Qualifications and skills:

Policy/Institutional specialist: Category 1.

- At least a University degree at Masters Level in Engineering, Social Sciences, Development studies, Economics, or related discipline.
- At least 10 years of professional working experience, of which at least 5 years must be in programme management in the water resources sector.
- Experience with reforms (policy/legal/institutional) in the water sector in developing countries is required.
- Experience with evaluation (mid-term or final) of donor funded water sector (policy or institutional) reform programme is required.

Experts No 3 & 4 – Category II (2 Nos)

Qualifications and skills:

Development specialist: Category – II

- At least a University degree at Masters Level in Engineering, Social Sciences, Development studies or related discipline.
At least 6 years of professional working experience, of which 3 years must be with **community-based programme** in water supply and sanitation sector in developing country (ies).
- At least, one of the experts must be a water engineer with experience in construction of small water supply schemes, including solar powered systems.
- S/he must have experience in programme management and must be familiar with the use of logical framework as a monitoring tool, and with the identification and measure of outcome/impact indicators in a **community-based** development programme, preferably in the water and sanitation sector.
- At least, one of the two experts must have in-depth knowledge and proven experience with CLTS
- Experience with mid-term evaluation of donor-funded water related programme(s) is required of the two experts.

3.3. Working language: English

4. LOCATION AND DURATION

4.1 Planning:

The assignment will be carried out in Nigeria from 26th May 2014 to 11th July 2014. The foreseen departure of the mission is on 12th July 2104. The team leader will, however, have 2 additional days, home base, to finalise the final report.

Indicative Planning Tasks			Weeks	Responsibility
	1-2	3-7	8 August 2014	
Desk Study/review of documents and meetings at Abuja Briefing meeting(s) with EUD/NPC/TAT/UNICEF/FMWR - Abuja	X X			Experts Experts, NPC, FMWR, EU, TAT, UNICEF
Inception Report (by e-mail to EUD)	X			Experts
Finalise inception report following comments by EUD/NPC (week 2) Implement assignment in Abuja and in 6 States Debriefing meeting in Abuja at end of field assignment	X	X	X X	Experts Experts Experts, NPC, TAT, UNICEF, FMWR & EU
Submission of Draft final report			X	Experts
Submission of Final report			X	Experts

4.2 Location of assignment:

Nigeria – Abuja, Anambra, Cross River, Jigawa, Kano, Osun and Yobe States and home base of the team leader. The team is expected to undertake field visit to all the States and target LGAs. (Note: the team will only travel to States and/or LGAs following the security clearance of the Delegation's Regional Security Officer).

5. REPORTING

5.1 Content The contractor will submit the following reports:

1. Inception report
2. Draft Final
3. Final report (including relevant annexes).

5.2 Language:

All the reporting will be done in English language

5.3 Submission/comments timing

The Draft Inception report will be submitted at the end of 2 weeks of commencement and will be subject to EU Delegation's approval. The content will cover a review/analysis of the ToR's and a work plan to achieve the requested services. The experts may suggest adjustment to the assignment's scope to better address the beneficiary needs which must be approved by the Contracting Authority. The Draft Inception report will be transmitted to the EUD by e-mail. The EUD will, within 5 calendar days of receipt, review the report and send comments to the Team leader by e-mail to consider and finalise the report.

The Draft Final report of the mission will be submitted (in one hard copy and electronic/soft copy) to the EUD before the team leaves Nigeria at the end of the assignment. Once the draft final report is submitted, the EU Delegation will indicate to the Contractor, within 30 calendar days, its approval or indicate the necessary changes to the Contractor in writing. The contractor will have 14 days after the receipt of the comments to

make the necessary modifications and for submission of the final version of the report. The EU Delegation will indicate to the Contractor in writing its acceptance of the final report.

5.4 Number of report(s) copies

Draft inception report is to be submitted to the EU Delegation in electronic format, by e-mail or CD (Word document and Excel file, if necessary). The Draft Final report will be submitted by e-mail and in one hard copy.

Final Inception and Final mid-term evaluation reports will be submitted following acceptance by the Delegation of the draft documents. All the required reports are to be submitted in electronic format by e-mail or CD and in 3 hard (paper) copies. Electronic/e-mail versions must be in standard format: Microsoft Word and Excel files. E-mails soft copies are to be sent to delegation-nigeria@eeas.europa.eu, with the subject matter clearly indicated.

6. ADMINISTRATIVE INFORMATION

6.1 Other authorized items to foresee under 'Reimbursable or Incidentals'

The Framework Contractor (the Contractor) is responsible for any arrangements as concerns supervision of experts, management, outputs and report production and delivery. A prospective Contractor must make available an appropriate logistical support for the experts, including their travel, visa and accommodation arrangements and other services such as internet connection and photocopies, as well as other equipment that may be necessary for the completion of the assignment. The Contractor will also be responsible for all arrangements for travelling to the states (including experts' transport and security escort, if needed, for inter and intra States travels) and the organisation of briefing and de-briefing meetings in the States. The Contractor is not responsible for payment of per diems, allowance, and transport fares to participants/stakeholders at briefing and/or de-briefing meetings or for arrangement of their accommodation and boarding. Contractors will not be required to provide participants at such meetings with meals, tea/coffee, meeting bags or folders, writing materials and papers.

The cost of photocopying of briefing and debriefing materials as well of the production of draft or final reports is included in the experts' fees.

For information only, the average cost of a return ticket for an hour flight to the States is about €200.

An expenditure verification report **will not** be required to accompany the final invoice; all expenditure justifications will be submitted with the final invoice.

6.2 Tax and VAT arrangements

On the ground of the specific Council regulations governing the concerned EU external aid program, local taxes and duties are excluded from the Community financing. However, VAT, where this cannot be reclaimed, is reimbursed.

Annex 2: List of People Met

Organisation	Name	Function	Phone Number	Email
List of people met in ABUJA				
EU	Klaus Gautsh	Head of Section , Rural & Social Development	07064185191 094617800 ext 1	klausgautsch@eeas.europa.eu
EU	Martin Mbonu	Programme Officer, Water, Environment	08033112797	Martin.mbonu@eeas.europa.eu
EU	Kate Kanebi	Programme Officer, Food Security, Water , Sanitation & Environment	08067771087	Kate-anwuli.kanebi@eeas.europa.eu
UNICEF	Kanar Nadar	Chief Water Sanitation& Hygiene	07064184029	knadar@unicef.org
UNICEF	Nwofor Raphael	Wash Officer	07064184029	rnwozor@unicef.org
UNICEF	Ephraim Danladi			
TAT Abuja	Nick Foster	Team Coordinator, Policy & Inst Expt	07066760726	n.foster@wsssrp.org
TAT Abuja	Mohammed Iliyas	Senior WSS	0803 314 5544	Miliyas2@yahoo.com
TAT Abuja	Gabriel Ekanem	Institutional & Policy Expert (IWRM)	08023815028	gekanem@wsssrp.org
TAT Abuja	Ogunpitan Francis	Institutional & Policy Expert	08034706091	f.ogunpitan@wssrp.org
FMWR TAT Abuja	Ambrose Nnaji	SSO	08055121192	Grace73ng@yahoo.com
FMWR	Mrs L. O Bagaiya	DPRS	08034507939	
FMWR	Eng. Wakil Adamu	DPRS (inc.)	08037881750?	
FMWR	Birdling J. D	DD (CP)	08033154205	
FMWR	Bassey E.A.	AD (TSS)	08036145428	
FMWR	Shem M. L	AD (Monitoring)	08065599023	firstshemum@yahoo.com
FMWR	Charles Ikediashi	AD (M&E)	07069698958	charlesikediashi@ymail.com
FMWR	Dr. Sam Eno	DD (M&E) PRS	081064179077	sam.ubana59@yahoo.com
FMWR	Engr Ngozi Abohwo	AD (WRCSS)	07036145389	ngiziabohwo@yahoo.co.uk
FMWR	Engr Gerald Osuagu	DD WS	08034531890	gosuagwu@hotmail.com
FMWR	Engr B ATunau	D WS	08094967448	funauba@yahoo.com
FMWR	Bassey Etwing A	AD (TSS)	08036045928	efybassey@yahoo.com
FMR	Mrs Alice Ojowu	DD PRS	08037033941 08089919678	ojowualice@yahoo.com
FMWR	Waxil Adamu	D PRS	08037881750	Wahil7gobirroad@yahoo.com
FMWR	Dangkwarf IP	AD II (M&E) PRS	08065808358	Pamum4@yahoo.com
FMW	G A Agwuma	PSO (Planning) PRS	08059692451	tagwuma@yahoo.com

Organisation	Name	Function	Phone Number	Email
NPC	Bassey Akpanyung	D Int Coop	08065304554 08058600173	bassey.akpanyung@gmail.com
NPC	John Akuse	Programme Officer	08033529647 08180366819	jonykus@yahoo.com
NIWRC	Reuben Habu	Coordinating Director	08037041066	reubenhabu@yahoo.com
NIWRC	Engr C. L. Yarima	Desk Officer WSSSRPII	08036323908	Lacristo2002@yahoo.com
NIWRC	Engr Y.K. Dalha	Director Corporate Support Services	08023212942 08065399058	ydalha@yahoo.com
Society for Water & Sanitation	David Abuta	Programme Manager SWA CSO Country Focal Point	08079367134 08126515881	
List of people met in Cross River State				
TAT	Adebayo Alao	IPE	08063623766	Alao.adebayo@wsssrp.org
TAT	Alfred Obeten	WSE	08035583763	Alfred.obeten@wsssrp.org
TAT	Janet Awah	Admin Assistant	08069054806	Janet.awah@wsssrp.org
TAT	Gabriel Adie	Driver	08057461855	adiebegim@yahoo.com
UNICEF	James Beetseh	Consultant	08036182067	James_beetseh@yahoo.com
MOWR	Engr. Elemi B. Etowa	Hon. Com. Water Resources	08036708465	etowa@crossriverstate.gov.ng
MOWR	Mrs. Theresa Edet	Permanent Secretary (PIA)	08033507507	thesyedet@yahoo.com
MOWR	Dan Ebri	Programme Director	08035372755	danebry@yahoo.com
MOWR	Andrew Odu	Director, PRS (IA)	08052826703	oduandrew@yahoo.com
MOWR	Margaret Ekpenyong	IAO -Snr. Accountant, A/G Office	08037259456	Ekpenyong.margaret@yahoo.com
MOWR	Linda Joson	Desk Officer, MWRs (Water Engr 11)	08180159818	lindajoson@yahoo.com
CRSWBL	James Inah Ekong	Desk Officer Water Board	08063828776	ekpenyong.margaret@yahoo.com
RUWASSA	Patrick Emori	GM	08033423280	patrickemori@yahoo.com
RUWASA	Okon Asuquo Ita ,	Desk Office(Dep. Dir. Water Supply)	08037144651	okonaita@yahoo.com
CRBDA	John Enoh	Desk Officer, IWRM	08030616202	coolj_e@yahoo.com
Peace Point Action (NGO)	Umo Isua –Ikoh	Director	080551844456	ppacanopy@yahoo.com umojohnson@yahoo.com
Health & Environmental Wellness Initiative (NGO)	Grace Effiong Ikpe	Executive Director	08035805766	hewiinit@yahoo.com
Coordination Unit	Ewa Ekeng	Desk Officer, DIDC	08062559470	
Waste Disposal	Godwin Ilem	Desk Officer, DIDC	08064355638	
Boki LGA		Chairman		
WASH UNIT LGA	Attah Samuel Itodo	UNICEF Consultant		
Ekumba Community WASHCOM	Edward Udorgu	Chairman		

Organisation	Name	Function	Phone Number	Email
Ekumba Community WASHCOM	Abun Peter Ndum	Secretary		
Ekumba Community	Florence Ekpam	Resident		
Ekumba Community	Chief Edward Bishop	Chief of Community		
Ekumba Community	Captain CY Odoh	Resident		
Ekumba Community	Vincent Blessing	Resident		
Ekumba Community	Scolastica Odu	Resident		
Nkim Community WASHCOM	Jerry Abah	Chairman		
Nkim Community WASHCOM	Rapael Isong	Secretary		
Nkim Community	Otu Richard	Village Head		
Nkim Community	Susan Otu	Resident		
Nkim Community	Highness Ndim Elias	Chairma Community		
Assiga Community	Ova Usang	Community Royal Fathers		
List of people met in Kano State				
Government Of Kano State	Engr Dr Rabiu Musa Kwakwanso	Governor		
MOWR	Dr Yinusa Dangwani	Hon Commisioner		
MOWR	Alhaji Sarki Shehu	Permanent Secretary		
Technical Assistance Team	Dr. Muslim Idris	IPE	0803 786 3970	m.idris@wsssrp.org
Technical Assitance Team	Silas Mathias	Admin Officer	0806 973 6528 0806 084 3425	s.mathias@wsssrp.org
RUWASA	Auwalu Abba	Auwalu Abba		
MOWR	Engr Abubakar Mahmud	Programme Director	08069767735	abubakarmahmud@gmail.com
MOWR	Muhammed S. Dukuruwa	CTO	08028628293	muhammadssani@gmail.com
MOWR	Abdullahi Abubakar Sadiq	CTO		
MOWR	Umar Sani	Alternate Imprest Accounting Officer	08034539151	Umarsani64@gmail.com
MOWR	Engr Mai Goro Usman	Imprest Administrator	08037036211	Maigoro1960@yahoo.com
MOWR	Ali Kassim	Imprest Accounting Officer	08099483234	aLikassim@gmail.com
TAKAI LGA				
LGA Executive	Avlo Ibrahim	Honourable Chairman (Rep)		
LGA Executive	Rabiu Adamu Molud	HOD Works		
LGA WASH Unit	Hassani Gambo	Community Mobilisation Officer		
LGA WASH Unit	Mudi Ibrahim	Wash Consultant		
LGA WASH Unit	Yakubu Ham	Wash Coordinator		
LGA WASH Unit	Aja Aleje	Wash Consultant		

Organisation	Name	Function	Phone Number	Email
LGA WASH Unit	Adama Idris	Hygiene Officer		
LGA WASH Unit	Maryam Garba	Hygiene Officer		
LGA WASH Unit	Muktahar Mowd	WASH DME		
LGA WASH Unit				
MADOBI LGA				
LGA Executive	Haruna Inuwa Clinka	Honourable Chairman (Rep)		
LGA Executive	Jubril L Adamu	Council Leader (Madobi LGA)		
LGA Executive	Isa Garba Kafi	Councillor (Madobi LGA)	0803287751	
LGA Executive	Suaibu Isa	Councillor		
LGA Executive	Suleiman Agnazumi	Councillor		
LGA STAFF	Isayaku Rabi Doka	HOD Agric		
LGA STAFF	Jubril Gambo	NAO		
LGA WASH Unit	Auwal Aliyu Bappa	LGA WASH consultant		
LGA WASH Unit	Lantana Suleiman	Ast Hygiene Promoter		
LGA WASH Unit	Maima Muhammed	Hygiene Promoter		
LGA WASH Unit	Binta Garba	Ast CM		
LGA WASH Unit	Mustapha Muazu	PME		
LGA WASH Unit	Saliu Suleima Goni	MCDO		
LGA WASH Unit	Dasaabe Alhassan Dogu	Ay / CPO		
LGA WASH Unit	Adamu Mohd Dauruwa	Mobilisation Officer		
LGA STAFF	Haladu Idris			
LGA STAFF	Isiaku Suleiman			
LGA STAFF	Hon Abubakar Haladu			
LGA STAFF	Nafiu Haruna			
LGA STAFF	Aliyu Tiujin Kiri	PHCC		
LGA STAFF	Sani Ali Ramo	AGd/ HSD		
LGA STAFF	Isiaku Abdu	HOD PRS		
LGA WASH Unit	Janilis Jubrin Kiris	Water Officer		
LGA WASH Unit	Habibu Ado	Sanitation Officer		
Sara Karama WASHCOM	Yahaya Yinusa	Secretary		
Sara Karama WASHCOM	Alhassan Ado	Vice Chairman		
Huguma Community	Sani Ubale	Water Operator		
Wakai Tawa WASHCOM	Mansa Yesufu	Chairman		
Wakai Tawa WASHCOM	Suleiman Ahmed	Vice Chairman		
List of people met in Jigawa State				
TAT	Nasser Yakubu	IPE	0806 228 8423	nasser.yakubu@wsssrp.org
TAT	Sunday Shobowale	WSE	0806 262 9912	so.shobowale@wsssrp.org

Organisation	Name	Function	Phone Number	Email
TAT	Mansir Musa	Office Assistant	0806 323 1536	m.musa@wsssrp.org
TAT	Hadiza A. Abubakar	SCM	08036851833	
TAT	Kabir Ibrahim	Driver		
UNICEF	Sulieyman Umar Farouk	Consultant		
RUWASA	Engr Labaran Adamu	Programme Director	08063546029	
RUWASA	Kamal Umar abdulahi	Youth Corper	08038935169	
MWR	Junjiri Abdulkadir	Hon. Com. Water Resources	08033266269	j dutse@yahoo.com
MWR	Ibrahim Alhaji	Permanent Secretary	08035983741	ibrahimalhaji@gmail.com
MRICD	Hussaini Ali	Permanent Secretary	08032867905	hussainkila@gmail.com
MWR	Garba Wada	Director Planning		
MWR	Yáú Adamu	D. H & H	08039432845	
MWR	Engr Ahmed U	D. Ws & QC	08065450982	uaruahamadu@gmail.com
MWR	Lawal M.N	DAF	08036519499	
RUWASA	Musa Maidugu	D. Water / San	08031801045	Maidugu.musa@yahoo.com
STOWA	Engr Ali Umar	MD STOWA Imprest Administrator	08036610877	maijamaas@yahoo.com
STOWA	Garuba Yakubu	M&E	08167174104	
Water Board	Engr Musa Gireman	MD Water Board	08067671473	
Water Board	Abba Dahiru	DD Planning		
Sabon Gari WCA	Garba Natado	Chairman		
Sabon Gari WCA	Alh Tijani Mulid	Secretary		
Sabon Gari WCA	Alh Suraja Kalgiri	PRO		
Sabon Gari VHP	Abdulahamid Garba	Chairman		
Sabon Gari WCA	Saifullahi Abdulahi	PRO 2		
Sabon Gari WCA	Sani Abdulahi	Sunveso		
Sabon Gari VHP	Ulaihudu Adamu	Treasurer		
Sabon Gari VHP	Adama Musa	Member		
Sabon Gari VHP	Amina Danladi	Member		
Sabon Gari VHP	Sabuwa Ali	Member		
Sabon Gari VHP	Hafsa Garba	Member		
Sabon Gari VHP	Indo Ada	Member		
WASHCOM Matara Community	Abubakar Musa	Chairma		
WASHCOM Matara Community	Saidu Umar	Secretary		
WASHCOM Matara Community	Yau Yau	Treasurer		

Organisation	Name	Function	Phone Number	Email
WASHCOM Matara Community	Adamu Abdulahi	PRO		
WASHCOM Matara Community	Mariama Haruna	Woman Leader		
WASHCOM Matara Community	Zaro Umuga	Vice WL		
WASHCOM Matara Community	Zainab Jubril	Woman mobiliser		
WASHCOM Matara Community	Aishatu Umar	VHP		
Garinmanu Rural community WASHCOM in Mallobi Madori	Ibrahim Yahaya	Chairman		
Garinmanu Rural community WASHCOM in Mallobi Madori	Adamu Usman	Secretary		
Garinmanu Rural community WASHCOM in Mallobi Madori	Hassan Ali	Treasurer		
STOWA	Ismaili Sanni	Zonal Mgr Hadejia		
WCA in Arki Small Town	Adamu Babanjeke	Chairman		
WCA in Arki Small Town	Muazu Mohammed	Secretary		
WCA in Arki Small Town	Musa Abdulahi	Financial Secretary		
WCA in Arki Small Town	Yaru Ywan	WL		
WCA in Arki Small Town	Zuba Yau	VWL		
WCA in Arki Small Town	Ayatu Babana	Woman mobiliser		
Zarega Community	Mohammed Abdu	Buluma (Village head)		
WASHCOM	Dauda	Chairman		
Kwajali small town	Yauwu Isa	Buluma		
WCA Kwajali	Adamu Abubakar	Chief Imams		
WCA Kwajali	Haliru Alhassan	Chairman		
List of people met in Yobe State				
Technical Assistance Team	Muhammad Chiroma	IPE		
Technical Assistance Team	Aliyu Ibn Shehu	WSE		
MOWR	Hussaini A Kabono	PD /DPrs		
MOWR	Idris F Dauda	IA		
MOF	Usman Abubakar	IAO		
MOWR	Adamu Musa Buluma	Programme staff		
MOWR	Aminu Abdulahi Chiromari	Programme staff		
RUWASA	Sam Andenyang	Consultant		
RUWASA	Abubakar L. Baba	Dir RWS		
RUWASA	Samaila Buluma	Programme staff		
AfDB-RUWASA	Nasiru Yahaya	SPIV		

Organisation	Name	Function	Phone Number	Email
Water Board	Mustapha Gazali	Programme staff		
HJKYB Trust Fund	Engr Abubakar Aji Mustaoaha	Eng Quality Officer		
CSO	Zabu Buba	Chairman		
List of people met in Anambra State				
Technical Assistance	Kabiru Abass	IPE		
Technical Assistance	Onuoha Ugochukwu	Admin assistant		
UNICEF	Clement Chibgo	Anambra State consultant		
UNICEF	Mark	Aguata LGA WASH Unit		
UNICEF	Amina Jean Omingi	Anambra East LGA WASH Unit		
SMWR	Mr. B. U. Azi	Programme Director, Director of Planning		
SMWR	Mrs Nonye Ofili	M&E officer		
SMWR	Ejide, Amauche	CM Coordinator		
SMWR	Chidi Onwudiwe	Permanent Secretary		
SMWR	Molokwu Josephine I.	Accountant		
SMWR	Ezenwaji Leo	Alternate IA and Policy/Law/IWRM Director of Water Resources		
RUWASSA	Mr. Victor .C. Ezekwo	Imprest Administrator		
RUWASSA	Berna Ozuluonye	Hygiene Promotion		
RUWASSA	Nwankwu Oluchi T.	Sanitation Officer		
RUWASSA	Ikegwuani Chinwe	programme accountant		
RUWASSA	Andy Nwanze	PMEO		
RUWASSA	Akwuba Godwin	Water supply officer		
STOWA	Okwuogu Emeka B.	Representative		
CSO	Idris M Umar	Representative		
Aguata LGA	Deputy Chairman, head of steering committee, + others			
Ag. LGA WASH Unit	Akwobi Peter	Aguata WASH Coordinator		
Ag. LGA WASH Unit	Ekweator GI	WASH PME0		
Ag. LGA WASH Unit	Alcubueze Theresa	CMO		
Ag. LGA WASH Unit	Irechurun Chino	Finance Officer		
Ag. LGA WASH Unit	Goodsoww Justina	ASO		
Ag. LGA WASH Unit	Aniogba Raphael	CBO		
Ora-Eri Small Town	PG of Small Town, Chairman of WCA, Members of WCA			

Organisation	Name	Function	Phone Number	Email
Umuchiana Rural Community	Chairman of community, chairman of WASHCOM, members of WASHCOM			
Umumilo-Umucho Rural Comm	Chairman of WASHCOM, members of WASHCOM			
Anambra East LGA	Deputy Chairman, head of steering committee, + others			
An.E. LGA WASH Unit	Arazobo Kelvin	WASH Coordinator		
An.E. LGA WASH Unit	Ngozi Nnolim	M&E		
An.E. LGA WASH Unit	Nkiru uzualor	CM		
An.E. LGA WASH Unit	Charity Okoli	Finance		
An.E. LGA WASH Unit	Ononye Nkoli	Assistant M&E		
An.E. LGA WASH Unit	Emmanuel Nzeguli	Water Officer		
An.E. LGA WASH Unit	Plul Eze Esther Igone	Assistant Sanitation Officer		
An.E. LGA WASH Unit	Offor Helen	Sanitation Officer		
An.E. LGA WASH Unit	Joseph Ezeobi	Admin Officer		
An.E. LGA WASH Unit	Jude Onyemeh	Assistant Hygiene Education		
An.E. LGA WASH Unit	Lawrence Dinyelu	Assistant CM		
An.E. LGA WASH Unit	Moses Abadom	Hygiene education officer		
Obinetiti Rural Comm.	Chairman of community, chairman of WASHCOM, members of WASHCOM			
Isiokwe Aguleri Rural Comm.	Chairman of community, chairman of WASHCOM, members of WASHCOM			
Umunchezi rural comm	Chairman of WASHCOM, members of WASHCOM			
Igboezunu small town	PG of Small Town, Chairman of WCA, Members of WCA			
Umuoba Anam small town	PG of Small Town, Chairman of WCA, Members of WCA			
List of people met in Osun State				
Structure	Name	Function		
TAT	Depo Adenle	IPE	0803325 1375	d.adenle@wsssrp.org

Organisation	Name	Function	Phone Number	Email
TAT	Funmilayo Oladosu	Comm Mobilization		
TAT	Dimeji Akinhanmi	Water and Sanitation Engineer	0803337 9282	d.akinhanmi@wsssrp.org
UNICEF	Olowole Modakai Ifemide	Osun State consultant		
UNICEF	Abidemi Omopariola	Ayedaade LGA WES Department		
UNICEF	Rebecca XXX	Odo-Otin LGA WES Department		
SMWR / RUWESA	Demola Olanrewaju	Programme Director, Director of Planning and M&E in Ruwesa		
SMWR	Kayode Oyebode	Imprest admin; director of water resources		
SMWR	Adekola Adefisayo	Imprest accounting officer		
SMWR	Dimeji Akinhanmi, water and sanitation engineer			
Ministry of Health	Ajayi L.O	Community mobilizer and sanitation officer		
Water corporation	Akinyale Emanuel, Water and sanitation engineer			
RUWESA	Alhaji Posi Adiatu	chief executive of Ruwasa		
RUWESA	Olawuyi Agbeja	Deputy Director of Wate Supply		
RUWESA	Mr. Aderibigbe A.	Head of Geophysical unit		
RUWESA	Prince T. G. Latona	Head of Water quality control		
RUWESA	Bayo	head of works and maintenance		
RUWESA	Belo Nurudini	procurement		
RUWESA	Ajiani	Sanitation department		
RUWESA	Moyinoluwa Segun	Director of Sanitation and Hygiene		

Annex 3: List of Documents Reviewed

Documents by the EUD	Content / comments	Pg
1. Final Evaluation of the Water Supply and Sanitation Sector Reform Programme (WSSSRP 1), Final Report, 8 April 2013	Evaluation of the Phase I of the Programme (Volume I – Main Report), (Volume II – Technical Annexes)	101 470
2. EU Delegation Comments on Draft Final Report of the Final Evaluation of WSSSRP	EU found first version of report not satisfactory; final version takes most comments in consideration.	2
3. Nigeria 10 th EDF programme formulation mission: Workshop 1 Proceedings, 24 November 2010	Sharing of programme formulation mission objectives, action plan and itinerary	8
4. Nigeria 10 th EDF programme formulation mission: Workshop 2 Proceedings, 25 January 2011	Findings and initial recommendations of the programme formulation mission	8
5. Minutes QSG 6/7 2011 Nigeria (WSSSRP II), 23/06/2011	EU comments and proposals for improvement of the Programmes Action fiche, TAPs, and CRIS	10
6. Financing agreement between EU and FGN for the WSSSRP II	Main document describing the Programme (2 components) and the technical and administrative provisions for implementation	52
7. Terms of Reference for the Interim Technical Assistance (Inception Phase) of WSSSRP II in the 3 Southern States	TOR for the 3 Northern States are the same	10
8. Terms of Reference for the TAT for WSSSRP II	Programme description and TAT responsibilities	26
9. Donor mapping 1 and 2 + “news on donor support”	Donors and organizations operating in the WASH sector, overview of their interventions and values ; key staff and contacts	4
10. List of WSSSRP II State Officials (word and Excel)		3+
11. Programme progress May 2014 - WSSSRP II	Summary of programme progress written by UE for internal purposes	1,5
Documents by the TAT	Content	Pg
12. TAT, 9 ACP UNI 006, Management of State Technical Units in Anambra, Cross River, Jigawa, Kano, Osun and Yobe States - Final Report, 15th January 2009 – 31st July 2011 (September 2011)	This is the final report on the Services Contract for the Management of the State Technical Units in the 6 focal States (WSSSRP Phase I).	169
13. Interim TA in the three Northern EU Focal States of Kano, Jigawa and Yobe in Nigeria - WSSSRP II – Final Report, March 2013	This is a TA contract issued by the EUD in expectation of paving the way for the TAT to enable a smooth start. According to EUD it did not help as much as expected.	42

14. Interim TA in the three Southern States of Anambra, Cross River and Osun - WSSSRP II – Final Report, March 2013	As above.	66
15. Interim Technical Assistance Assignment (Inception Phase), Annex 9.6.2 to the Final Report, First Year Action Plan, 11 February 2013	As above.	18
16. TAT Political Economy Draft Scoping Study, December 2013	Analysis of the political economy of Wat+San sector reform and service delivery in each of the 6 states + federal level ; Identification of the key advocacy areas and required TA input	98
17. TAT Inception Report 18th March 2013 – 18th April 2013	Description of initial phase of the TAT setting-up.	45
18. TAT Interim Report 1, 18th March 2013 – 31st May 2013	Description of initial phase of the TAT setting-up.	27
19. TAT Community Management Expert “End of Assignment” Report, April 2013 – October 2013	community- ownership and management of facilities, Water Consumers Associations (WCAs)	77
20. TAT Six Monthly Report 1, 18th March 2013 – 31st August 2013		124
21. TAT Six Monthly Report 2 (Word), 1st September 2013 – 28th February 2014		28
22. TAT Review of the fourth draft of the National Water Resources Bill, February 2014	This report sets out the findings of a desk review of the fourth draft National Water Resources Bill (the ‘draft bill’) dated March 2013.	38
23. Summary All Workplan 2013 v3	These are actually NOT workplans (there is no timing) but rather budgets associated to the activities in the 6 regions (OPE)	60+
24. TAT Staffing (excel); TAT team (Word)		1+1
By UNICEF	Content	Pg
25. UNICEF Narrative and Financial Progress Report to the European Union, SC 120422, 28 July 2012 – 27 July 2013 (word and PDF)	First year report of UNICEF’s rural-component.	46
26. Annex_I-DOA_WSSSRP_II_Final_28 June	Description of the rural component of the programme	36
27. Brief Notes on UNICEF Report	Brief Notes on UNICEF Report.	2
28. UNICEF, Baseline Assessment for 12 Programme LGAs Under FGN/EU/UNICEF WSSSRP II, August 2013	Summary of Baseline Survey Findings for UNICEF rural component	
29. UNICEF First Year Work Plan, August 2012 To July 2013 (in word and PDF)	UNICEF First Year Work Plan	9
30. UNICEF Second Year Work Plan, August 2013 To July 2014	UNICEF Second Year Work Plan	9
31. Minutes of 8 monthly meetings between EU and UNICEF, between March 2012 and November 2013	Issues discussed include WSSSRP_II, NDSP and WSSSRP_III (Adamawa, Ekiti, Plateau)	6

32. UNIECF, Final Report On Water & Sanitation Sector Public Expenditure Review (PER), October 2011 Anambra, Jigawa, Kano, Osun, Yobe, Cross River	<i>Part of the Public Expenditure Management and Financial Accountability Review (PEMFAR) in 6 EU Focal States</i>	60 to 70
33. Annexe I.A – Logical Framework - Rural Component of the Water Supply and Sanitation Sector Reform Programme Phase II – Nigeria		13
34. WSSSRP II (RURAL COMPONENT) Implementation in Cross River State: 2012 – 2014. (Power Point)	<i>A presentation made during Mid Term Evaluation of WSSSRP II in Cross River State by: PATRICK E. EMORI, CRS RUWATSSA. JUNE, 2014</i>	36
35. Water Supply Designs and Technical specifications - Cross River State - Technical Designs And Drawings CRS Nov 2009 - Technical Specifications Solar Installation March 2011		9 4
36. Excel database on facilities per LGA: - Bade (not part of the programme), 03/2013 - Kano_Madobi, 03/2013 - Kano_Takai, 03/2013 - Osun_Odo-Otin, 05/2013 - Osun_Ayedaade, 05/2013 - Jigawa_Mallamadri, 05/2013 - Jigawa_Taura, 01-03 / 2013 - Yobe_Nguru, 07-08/2013 - MISSING: Yobe (Barde); Anambra, Cross River	Database of water facilities in some LGAs	
Other documents	Content	Pg
37. Federal Republic of Nigeria, National Water Policy (revised), January 2009	The FMWR has denied ownership of this policy. WSSSRP II agreed to support the revision or formulation of a new Policy. The first stakeholders' meeting is scheduled this month	28
38. Fourth Draft of the National Water Resources Bill, March 2013		70
39. Federal Ministry Of Water Resources, Report of The Legal/Technical Sub-Committee For The Review Of The National Water Resources Bill, 17 TH July, 2013		23
40. An AMCOW Country Status Overview, Water Supply and Sanitation in Nigeria, Turning Finance into Services for 2015 and Beyond, 2011	Nigeria WASH profile and budget gap to achieve the MDG	36
41. Nigeria Rural Water Supply And Sanitation Sub-Programmes In Yobe And Osun States - Appraisal Report, May 2007	Overview of country WASH situation + rural WASH situation, sub-programmes information sheet, comparative socio economic indicators, logical framework, executive summary	
42. Enhancing Water Sector Funding in a Federative Setting: Sanitation An Economic Value, by Priscilla Mbarumun Achakpa, WSSCC National Coordinator, February 2013 (Power Point)	Power Point Presentation for the Presidential Summit on Water and Sanitation, State House, Abuja Nigeria	17

43. Nigeria's progress on High Level WASH financial commitments, by: Water and Sanitation Media Network, Nigeria for Society for Water and Sanitation in Nigeria (NEWSAN), February 2013		47
44. Society For Water And Sanitation's Annual Summary Of Activities (2013/14 FY) by David Akuta, (Programme Manager NEWSAN), 9 th December 2013	Power Point Presentation	16
45. Society For Water And Sanitation (NEWSAN), Indigenous Coping And Adaptation Knowledge To The Impacts Of Climate Change In Nigeria, March 2013		18

Annex 4: Chronogram of the Assignment

EC Framework Contract Request No. 2014/342593 - Mid-term review Nigeria

Tentative Work Plan

Tasks / Outputs	EXPERT	Week 1 (26.5.-01.6.)	Week 2 (02.6.-08.6.)	Week 3 (09.6.-15.6.)	Week 4 (16.6.-22.6.)	Week 5 (23.6.-29.6.)	Week 6 (30.6.-06.7.)	Week 7 (07.7.-13.7.)	Week 8 (14.7.-20.7.)	#####
1. Arrival of the experts and start of the mission (26th May)	all Experts	◻								
2. Desk study/review of documents and meetings at Abuja	all Experts	▬								
3. Briefing meetings with EUD/NPC/TAT/UNICEF/FMWR (Abuja)	all Experts	◻								
4. Submission of the Inception Report	all Experts				◻					
5. Finalise the Inception Report	all Experts			▬						
6. Implement the assignment in Abuja and in 6 States	all Experts		▬							
7. Debriefing meeting in Abuja	all Experts							◻		
8. Submission of the Draft Final Report	all Experts							◻		
9. Departure of the experts (12th July)	all Experts							◻		
10. Submission of the Final Report	TL									◻
Plan of Experts' input		Week 1	Week 2	Week 3	Week 4	Week 5	Week 6	Week 7	Week 8	#####
Expert 1 - Team Leader (42 working days)		▬								
Expert 2 - Policy/Institutional Expert (40 working days)		▬								
Expert 3 - Development Specialist (40 working days)		▬								
Expert 4 - Development Specialist (40 working days)		▬								

Annex 5: Program of the Assignment

Day	Date	Activity	Involvement	Remarks
We	May 28	Kick-off Meetig at EUD, Mr Klaus Kautsch, Mr Martin Mbonu, Representatives of NPC/NAO, TAT, FMWR, UNICEF, NGOs	Tigani, Sorenson, Okwudiafor	Initial agreement on Approach, Methodology, Milestones, receiving documents
Thu	May 29	Initial exploration of documents.	Tigani, Sorenson, Okwudiafor	Identification of further documents
Fri	May 30	Meetings with UNICEF, TAT and NPC/NAO Directors	Tigani, Sorenson, Okwudiafor	Preliminary discussion on programme outline, progress, bottlenecks and discussion of programme.
Weekend 1				
Mon	Jun 02	Meetings to discuss programme detail in EUD, TAT with M& E in FMWR.	Tigani, Sorenson, Okwudiafor	Agreement on itinerary, institutions and persons to meet
Tue	Jun 03	Meetings to discuss programme detail in NIWRC and PRS in FMWR. Drafting outline for IR	Tigani, Sorenson, Okwudiafor	
Wed	Jun 04	Continuation with exploration of documents, Preparations for visits.	Tigani, Sorenson, Okwudiafor	
Thu	Jun 05	Meetings with Donor Agencies (WB) Mr. Hassan KIDA- Snr. Water & Sanitation Specialist---08033119185 (DFID) Robert Watt – Head of office, 10 Bobo Close off Gana Street---09 460 2930 -59 (Ext)	Tigani, Sorenson, Okwudiafor	
Fri	Jun 06	Meetings with Donor Agencies (AFDB) Mr. Gaya Bashir IBRAHIM- Consultant Water & S, 08065722191 08095669529 (JICA) Ms. Chie SHIMODAIRA- Water Specialist - shimodaira.chie@jica.go.jp	Tigani, Sorenson, Okwudiafor	
Weekend 2		Departure to Calabar		Possibilities of afternoon meeting with TAT/Bayo in hotel?

Day	Date	Activity	Involvement	Remarks
Mon	Jun 09	<p>1. Visiting Commissioner of Water Resources, Contact Persons: Daniel Ebri, 08035372755, Alao Adebayo, 08082793539, 08079527688</p> <p>2. Interview all the State MDAs including SMRW RUWATSSA, TAT and NGOs</p> <p>3. Visit Institute of Policy Expert, <u>Daniel Ibri</u>: Programme Director/Director WQC</p> <p>4. Doma Yegpa, Director of Programmes in C.R., office of the Governor</p> <p>5. Interview with UNICEF officers Interviews with Water Board (7 Stations), TAT, UNICEF: GM: Patrick Emori 08033423280; Consultant: James Beetseh: 08036182067</p>	Tigani, Sorenson, Okwudiafor	
Tue	Jun 10	<p>1. Depart Calabar on Tuesday morning (7am) and drive to Okundi (Boki LGA) to meet with and interview Boki LG Council and WASH Dept.</p> <p>2. After the meeting visit a small town to meet with and interview WCA and</p> <p>3. WASHCOM in a rural community. Travel to sleep in Ugep (HQ of Yakurr LGA)</p>	Tigani, Sorenson, Okwudiafor	
Wed	Jun 11	<p>1 On Wednesday morning as early as 9am meet with and interview Yakurr LG Council and WASH Dept.</p> <p>2 After the meeting, visit the one small town to meet with and interview WCA</p> <p>3 and then a rural community to meet with and interview a WASHCOM and</p> <p>4 thereafter return to Calabar by evening say by 5pm and of course the next day prepare to depart to Abuja</p>	Tigani, Sorenson, Okwudiafor	
Thu	Jun 12	<p>Debriefing at 8am for 30 min with Commissioner / Permanent Secretary with TAT, UNICEF. Departure to Abuja</p>	Tigani, Sorenson, Okwudiafor,	

Day	Date	Activity	Involvement	Remarks
		Introduction and briefing for Miss Rama, EUD, NPC/NAO, submission of programme material to Miss Rama	Miss Martina Rama	
Fri	Jun 13	Preparation for field visits: Work on evaluation questions (State/LGAs), interviews and calls on NGOs, Update of Ms Rama	Tigani, Sorenson, Okwudiafor, Rama	
Weekend 3		Departure from Abuja to Kano and Anambra		
Mon	Jun 16	Visits to Commissioner of Water Resources; Meetings with WB, RUWASA, TAT Team Kano	Tigani, Okwudiafor,	
		Visits to Commissioner of Water Resources, Meetings with WB, RUWASA, TAT Team, Anambra	Sorenson, Rama	
Tue	Jun 17	Visits 1 st LGA in Takai, Kano	Tigani, Okwudiafor	
		Visits 1 st LGA in Anambra East	Sorensen, Rama	
Wed	Jun 18	Visit 2 nd LGA, Madobi, Kano State,	Tigani, Okwudiafor	
		Visit to 2 nd LGA in Anambra State, Aguata. Meeting with Governor, Kano, Commissioner of WR, State House.	Sorensen, Rama	
Thu	19	Meeting with Water Board, Hadejia RBA, IWRM, M&E. Depart to Dutse, Jigawa State.	Tigani, Okwudiafor	
		Visits to WSSSRP I PPP scheme Commissioner of Water Resources; Meetings with RUWASA, TAT Team, Osun Debriefing	Sorensen, Rama	
Fri	Jun 20	Visits to Commissioner of Water Resources; Meetings with Water Board, RUWASSA, TAT Team, River Basin Development Authority?, M&E, IWRM, Jigawa, Dutse	Tigani, Okwudiafor	
		Departure Abuja	Sorensen, Rama	
Weekend 4				
Mon	Jun23	Vists 1 st , LGA, Jigawa	Tigani, Okwudiafor	
		Departure for Osun State Visits to Commissioner of Water Resources; Meetings with WB, RUWASA, TAT Team, Osun	Sorensen, Rama	
Tue	Jun 24	Visit 2 nd LGA Jigawa,	Tigani, Okwudiafor	
		Visit 1 st LGA, Osun	Sorensen, Rama	

Day	Date	Activity	Involvement	Remarks
Wed	Jun 25	Travel to Damaturu Visits to Commissioner of Water Resources; Meetings with Water Board, RUWASSA, TAT Team, River Basin Development Authority?, M&E, IWRM, Yobe, Damaturu	Tigani, Okwudiafor	
		Visit 2 nd LGA, Osun	Sorensen, Rama	
Thu	Jun 26	Depart Dutse to Nguru. Visit Nguru L.G., Yobe. Finalise unfinished business in Kano. Depart to Kano	Tigani, Okwudiafor	
		Debriefing Osun Return to Abuja	Sorensen, Rama	
Fri	Jun 27	Debriefing Kano. Return to Abuja	Tigani, Okwudiafor/Sorensen, Rama	
Weekend 5				
Mon	Jun 30	Compilation of Report on States.	Tigani, Okwudiafor, Sorensen, Rama	
Tue	Jul 01	Compilation of Report on LGAs Submission of draft IR	Tigani, Okwudiafor, Sorensen, Rama	
Wed	Jul 02	Compilation of Report on LGAs	Tigani, Okwudiafor, Sorensen, Rama	
Thu	Jul 03	Further supplementary/follow-up visits and interviews in Abuja, exploration of documents. Receipt of Comments on IR	Tigani, Okwudiafor, Sorensen, Rama	
Fri	Jul 04	Further visits and interviews, supplementary, exploration of documents in Abuja Submission of final IR	Tigani, Okwudiafor, Sorensen, Rama	
Weekend 6				
Mon	Jul 07	Rounding of visits and interviews	Tigani, Okwudiafor, Sorensen, Rama	
Tue	Jul 08	Embark on Work on Report: Planning and organization.	Tigani, Okwudiafor, Sorensen, Rama	
Wed	Jul 09	Work on Report Analysis.	Tigani, Okwudiafor, Sorensen, Rama	
Thu	Jul 10	Work on Report analysis.	Tigani, Okwudiafor, Sorensen, Rama	
Fri	Jul 011	Work on Report/Findings	Tigani, Okwudiafor, Sorensen, Rama	
Weekend 7				

Day	Date	Activity	Involvement	Remarks
Mon	Jul 14	Compilation of Report	Tigani, Okwudiafor, Sorensen, Rama	
Tue	Jul 15	Compilation of Report	Tigani, Okwudiafor, Sorensen, Rama	
Wed	Jul 16	Compilation of Report, debriefing of stakeholders.	Tigani, Okwudiafor, Sorensen, Rama	
Thu	Jul 17	Submission of Draft Report	Tigani, Okwudiafor, Sorensen, Rama	
Fri	Jul 18	Work on Comments on Draft Report and submission of Final Report	Tigani, Okwudiafor, Sorensen, Rama	

Annex 6: Definitions of the evaluation criteria

The following evaluation criteria correspond to the traditional practice of evaluating development aid, formalised by the OECD-DAC (the first five criteria), and to the specific EC requirements (the last two criteria).

Relevance	The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies
Effectiveness	The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.
Efficiency	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.
Sustainability	The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time.
Impact	Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.
Coherence/complementarity	This criterion may have several dimensions: 1) Coherence within the Commission's development programme 2) Coherence/complementarity with the partner country's policies and with other donors' interventions 3) Coherence/complementarity with the other Community policies
Community value added	The extent to which the programme/programme adds benefits to what would have resulted from Member States' interventions in the same context.

Source: EU detailed Guidelines for Programme / programme evaluations, Guidelines for the evaluation team
http://ec.europa.eu/europeaid/evaluation/methodology/guidelines/gbb_det_en.htm#02_06

Annex 7: Evaluation Matrix

Evaluation criteria	Evaluation questions	Sub-questions	Possible indicators	Sources of information
Relevance	1. The extent by which the WSSSRP II remains consistent / coherent with, and supportive of, the policy and programme framework within which it is placed	a) Do the weaknesses of the sector which the program wants to address still exist?	<ul style="list-style-type: none"> - lack of sector coordination - lack of M&E - under-investment - do contradictory roles or overlaps in implementation exist? 	interviews with key informants biblio review of sector overview documents
		b) Is the program complementary with other donor's initiatives?	<ul style="list-style-type: none"> - intervention areas of other donors - objectives and focus of other donors' programmes 	Donor map (from EU) interviews with other donors and NEWSAN biblio review
		c) Has the results of the WSSSRP I been used in the design of WSSSRP II?	<ul style="list-style-type: none"> - Comparison of programme design for WI with financial agreement for WSSSRPII 	Programme design for WSSSRP I Financial agreement
Effectiveness	2. Assess progress made so far with what was planned	a) What is the level of progress of each of the programs results as per the logframe?	% of achievement against planned	<ul style="list-style-type: none"> - logframe - interviews - progress reports
		b) What has been the change in hygiene awareness and practices?	cleanliness of latrine, hand washing with soap or substitute at critical times, safe water storage, use of rack for cooking utensils, safe handling of baby excreta	TAT/RUWASSA Reports
	3. Programme management and coordination arrangements, especially (i) the embedment of	a) Is the design of the programme suitable for effective planning, management and monitoring?	<ul style="list-style-type: none"> - Quality and clarity in narratives, OVIs, MoVs and risks/assumptions 	Financial agreement State logframes

Evaluation criteria	Evaluation questions	Sub-questions	Possible indicators	Sources of information
Efficiency	the TAT with the Government structure; (ii) sub-granting arrangement between UNICEF HQs in Abuja and the State level RUWASSAs.	b) What are pros and cons of the embedment links of TAT within the Government structure?	- Integration of management and coordination practices (e.g. WPs, formalised fora, decision process, division of work, reporting, consultancy assignments, etc.)	MoM from relevant meetings (SCM, monthly meetings, etc.)
		c) What are the pros and cons of the embedment of UNICEF HQs within RUWASSAs	- Integration of management and coordination practices (e.g. WPs, formalised fora, decision process, division of work, reporting, consultancy assignments, etc.)	MoM from relevant meetings (SCM, monthly meetings, etc.)
	4. The appropriateness and timeliness of decision-making processes for the two components with the purpose of supporting the effective implementation and problem resolutions	a) What rules and procedures for decision making have been established?	Examples of rules and procedures established	Financial agreement Minutes of meetings Implementation Manuals
		b) Have these rules and procedures proved to be efficient?	- Major decisions at all levels taken or to be taken (design, work plans, etc.) - Flaws/gaps observed in the process - Extent and quality of follow-up to decisions made	MoMs/reports from (i) Federal SCMs, (ii) State SCMs, (iii) coordination meetings at State level, (iv) State-LGA meetings, (v) LGA-communities Progress reports Interviews at all levels
	5. The quality of operational annual work plans and extent of their implementation by UNICEF, RUWASSAs and the Federal and States' PIAs for the two components, budgeting and risk management	a) Have annual work plans been prepared?	- Work plans exist for all relevant levels (TAT, UNICEF, federal, state, LGAs) - Coherence between work plans at different levels	Work plans
		b) Are work plans consistent with program expected results?	- Work plans comply with programme logframe?	Work plans Logframe

Evaluation criteria	Evaluation questions	Sub-questions	Possible indicators	Sources of information
Efficiency		c) Implementation of the work plans?	<ul style="list-style-type: none"> - clear responsibilities assigned for each activities - Quality and use of mechanisms to monitor progress or WP implementation - Outputs delivered 	Work plans Progress reports management meetings Manual (?) Interviews
		d) Comparison of budget and WP activities	<ul style="list-style-type: none"> - Are budgeting based on realistic unit costs? - Coherence between budget and WP activities 	Budgets for WPs (input) Financial reporting
		e) Have risk management mechanisms been established?	<ul style="list-style-type: none"> - Quality and comprehensiveness of mechanisms - Flaws/gaps observed in use of the mechanisms 	Financial agreement Risk management related documentation
	6. The quality and regularity of information management and reporting	a) Has an effective information management/reporting system been put in place for the two components?	<ul style="list-style-type: none"> - MIS and reporting systems exist at all levels and in the two programmes - Appropriateness of quality and regularity of MIS and reporting - Are information and reports easily retrievable to all relevant stakeholders – and shared between the two components? 	MIS / reporting system Interviews with all key stakeholders, especially LGAs and beneficiaries
		b) What measures are taken to ensure adequate information delivery to stakeholders	<ul style="list-style-type: none"> -Level of understanding of programme set-up and procedures by key stakeholders 	Interviews with stakeholders

Evaluation criteria	Evaluation questions	Sub-questions	Possible indicators	Sources of information
		c) How is financial and technical reporting flow between RUWASSA, UNICEF zonal and national offices practiced?	<ul style="list-style-type: none"> - Reporting system exist between for the state-RUWASSA-UNICEF Zonal-UNICEF national offices? - Appropriateness of quality and regularity of this reporting structure? - Are reports easily retrievable to all relevant stakeholders – and shared between the two components? 	<ul style="list-style-type: none"> System described Financial reports Technical reports Interviews
	7. The extent and quality of data collected, their analysis, application (use) by programme implementers, and the extent data are disaggregated by gender and disseminated	a) Have the survey and data collection (baseline studies) been adequately designed (including field testing) and managed	- Design strengths and weaknesses identified	<ul style="list-style-type: none"> Survey results Field testing results Work Plans Interviews investment plans
b) Do they address real needs of beneficiaries?		- Extent of disaggregated data		
c) Are important stakeholders involved in and have influenced the survey/research?		<ul style="list-style-type: none"> - Training of survey enumerators - Survey result reflected in Work Plans - Extent of involvement 		
d) How is data being used to inform decision-making		link between baseline studies and investment plan		
	8. Extent of monitoring by stakeholders and the use of monitoring information to address bottlenecks and improve implementation	a) What monitoring systems have been put in place for the Programme?	M&E systems in place	<ul style="list-style-type: none"> M&E Framework Templates for data-gathering Interviews
		b) Are monitoring mechanisms and tools well understood by key stakeholders?	Level of understating of M&E systems	Interviews

Evaluation criteria	Evaluation questions	Sub-questions	Possible indicators	Sources of information
Efficiency		c) Are monitoring capacity (human, financial, technical) sufficiently addressed at all relevant levels?	Level of M&E capacity	Interviews
Sustainability	9. Stakeholders' participation in the implementation of the programme and the level of local ownership	a) Are participation and ownership measured in the Programme? If so, how?	Quality, usability and importance of Indicators used for measuring participation, local ownership and organisational, financial and technical sustainability	Interviews with key stakeholders Bibliographic review
		c) What steps are taken by the Programme to strengthen and ensure local ownership – particularly through the WCAs and the WASHCOMs?	Identified mechanisms initiated for local ownership (e.g. duly, timely and independent reporting by the WCAs)	Same as above
		c) What role are the CSOs playing in creating local ownership?	Nature and extent of CSOs involvement and approach	Interviews with CSO staff
		d) Level of mobilization of State and LGA contribution	% of national funds mobilized speed of mobilization	Interviews with key stakeholders Bibliographic review
	10. To what extent the procedures and mechanisms put in place by the programme are likely to continue functioning after the programme ends?	a) integration of program outputs and procedures into national rules and procedures (ex. monitoring, data-collection, planning, reporting)	Consistency between the two Potential for program's rules and procedures to be extended to become official procedures	Interviews with key stakeholders Bibliographic review
		b) financial mechanisms put in place to sustain newly created institutions and services	Set-up or planned financial mechanisms	Interviews with key stakeholders Bibliographic review
		c) focus on O&M mechanisms and procedures	O&M activities	Interviews with key stakeholders Bibliographic review

Evaluation criteria	Evaluation questions	Sub-questions	Possible indicators	Sources of information
	11. Does the government at State, Small Town and Community level, NGOs and private sector involved have the capacity to provide the required services for sustaining services in the long term?	a) Have the relevant stakeholders been adequately trained and their capacities strengthened to ensure effective service provision?	Degree to which capacity building is used effectively as a mechanism for impacting and sustaining programme objectives Return on investment (for capacity building and/or programme)	Interviews with key stakeholders Bibliographic review
b) Have O&M and sustainability (including financial sustainability) issues been adequately addressed and has awareness been created?		No. of discussion topics in these areas before, during and after completion of facility. Three times sessions at least.	Interviews with key stakeholders Bibliographic review	
c) Is the monitoring system effectively used by the public authorities and are visits (random and regular) planned for the post completion monitoring?		Continuous follow-up, surprise visits and anonymous monitoring results to ensure compliance. No. of various regulations and guidelines for LGA Water, Sanitation and Hygiene Dept. Booklets.	TAT/RUWASSA Reports Interviews with key stakeholders Bibliographic review	
Impact	12. What have been the positive and negative effects produced by the program?	a) What have been the primary and secondary effects of the intervention of the Program at the different levels?	Effects at the State level, LGA level and community level in terms of: working dynamics, relationships between stakeholders, etc.	TAT/RUWASSA Reports Interviews with communities
		b) Are the public authorities at State level replicating the program's activities and approach in other areas outside the program target areas?	Level of replication of activities and approaches in other LGAs	Interviews with State stakeholders
		c) What has been effect on access and use of improved sanitary facilities (for men, women and children)?	Effect of improved use of latrines in terms of: less exposure to risks of open defecation, pride and sense of responsibility, etc.	TAT/RUWASSA Reports Interviews with communities

Evaluation criteria	Evaluation questions	Sub-questions	Possible indicators	Sources of information
		d) What has been the effect of the interventions on the health of the target population?	Reduction of diarrheal and other hygiene-related diseases	Same as above Health Statistics at LGA level.

Annex 8: Evaluation Tools

Annex 8.1 Questionnaire to the States' Water Boards

Question	Response	Remark
Basic Information:		
Names and number of towns under the auspices of the water board.		
Population in each city.		
Number of customers (households, commercial, industrial, institutional and Government) served by the Water Board.		
Non-Financial/Technical:		
Level of Service, standards of service, bulk water supply (sources and quantities, cost, potential), production, water quality (test results for the last 3 months, pressure, availability), Infrastructure serviceability (number of pipe bursts, NRW), pipe bursts.		
Non-Financial/Commercial:		
Service coverage (present/target), metering (metered, not metred, defective meters), complaints (number for bills and other complaints), new connection response time.		
Financial:		
Sales volume, sales value (€), collections, arrears (either annual or for the last 12 months), unit costs (cost of 1m ³ sold and actually paid for (last month figure and the last half yearly values, say April, 2012 –April 2014) and capital expenditure.		
Wastewater		
Non-Financial/Technical:		
Standards of service “discharge (effluent) quality”, production reliability and serviceability, infiltration, breaks/pipe bursts;		
Non-Financial/Commercial:		
Service coverage, complaints (billing, technical), new connection response time.		
Financial:		
Sales (€), unit costs, capital expenditure, present tariff structure, tariff setting policy.		
Cost recovery analysis for both water and wastewater services:		
which may include financial cost recovery, operational cost recovery (present/target), financial cost recovery impact measures, commercial cost recovery impact measures, water revenue analysis, waste water revenue analysis, other income analysis, subsidy analysis, collection of revenues – willingness to pay, cost break down per main cost category (, cost break down per main cost activity, water supply tariffs vs water supply allocated costs, non-allocated costs,		
Budget impact on milestones:		
salary budget, other budget costs		

Annex 8.2.: Questionnaire to Various Programme Stakeholders³¹

Evaluation Criteria	Evaluation Question	Not Relevant	Fairly Relevant	Relevant	Very Relevant	Highly Relevant
		0	1	2	3	4
Relevance and quality at entry	Relevance					
	The programme was consistent with the water supply and sanitation sector policies and strategies of the Government of Nigeria?					
	The programme was consistent with the water supply and sanitation sector policies and strategies of the EU/UNICEF?					
	The programme addresses the critical needs of the people for water supply and sanitation services in the programme area?					
	Quality at entry					
	The objectives of the programme are realistic and achievable within the time and resources earmarked?					
	The programme concept was differentiated by target group, and a poverty analysis was available?					
	The programmes fostered the involvement of the poor in economic and political processes?					
	The programmes had positive results in terms of reducing poverty?					
	The programmes help overcome structural problems identified in the national poverty strategy?					
	The programme intervention logic is coherent and consistent?					
	The quality of stakeholder participation was adequate and they were involved in programme design?					
	The economic and financial analysis in the programme design were coherent and realistic?					
	The programme drew lessons from previous interventions in water supply and sanitation sector in their/other areas in the country?					

³¹ Respondents to this questionnaire were individuals from the government, the CSOs and the community who have some contact/experience with the programme. The number of participants from each State is between 7 and 10. Only Osun and Anambra have had much less than these numbers.

Evaluation Criteria	Evaluation Question	Not Relevant	Fairly Relevant	Relevant	Very Relevant	Highly Relevant
		0	1	2	3	4
	The programme conditionalities were realistic and conducive to programme implementation?					
	Gender issues mainstreamed in the programme design?					
	The arrangements for procurement and financial management were adequate?					
	Environmental safeguards were ensured by the programme design?					
	The programme takes into account the key risks and, the risk mitigation measures were adequate?					
	The monitoring and evaluation system design was adequate and results-based?					
	The monitoring and evaluation system delivered quality data and information to guide the programme implementation?					
	The monitoring and evaluation system ensured accountability and transparency?					
Effectiveness	Impact					
	The programme contributed or is likely to contribute to improvement in the quality of life of the people in the programme area?					
	The programme contributed to the realization of health outcomes of reduction in morbidity and mortality due to water- and sanitation related diseases?					
	The programme reduced the drudgery of women, enhanced self- respect and enabled them to use the saved time for productive purposes?					
	The programme resulted in educational outcomes such as improvement in school enrolment?					
	The programme increased availability of and access to drinking water of adequate quality and quantity in the programme area?					
	The programme increased access to adequate sanitation, hygiene facilities in the programme area?					
	The programme beneficiaries are aware of and adopt healthy sanitation and personal hygiene practices?					
	The programme contributes to improvement in the environmental quality of the programme area?					
	The environmental management capacity of the water and sanitation sector institutions are enhanced by the programme?					

Evaluation Criteria	Evaluation Question	Not Relevant	Fairly Relevant	Relevant	Very Relevant	Highly Relevant
		0	1	2	3	4
	The programme achieved the outputs as specified at appraisal or as modified in course of implementation with Stakeholders' agreement?					
Efficiency	The programme activities are implemented within the planned time and financial resources?					
	The programme receives the counterpart funding in time as per the implementation schedule?					
	The programme receives timely disbursement of funds from the EU as per the implementation schedule?					
	To what extent was the programme viable in terms of financial and economic internal rates of return?					
Institutional Development Impact	Contributed to improvements in norms and practices that enable the country to make more efficient, equitable, and sustainable use of its human, financial and national resources?					
	The programme facilitated public-private partnerships and sector management and governance capacity?					
Sustainability	The programme outputs delivered are technically sound and capable of yielding sustainable benefits?					
	The government shows and is likely to show adequate commitment for the functioning of water supply and sanitation system delivered by the programme?					
	The level of community ownership, as reflected in their participation in planning, construction and management of water supply and sanitation facilities is high?					
	The institutional arrangements for building, operating and maintaining the water supply and sanitation infrastructure and regulating the functioning of the system are adequate and have a long term vision and strategy?					
	The service providers (WBs) are well-equipped with institutional, managerial and technical capacity?					
	Systems of cost recovery (WBs) are responsive to the affordability and willingness to pay of the users in place and these are effective?					
	The programme facilities created are environmentally sustainable?					
	The functioning of water supply and sanitation system (WBs) is resilient to any likely external or internal shocks?					
	Are water tariffs (WBs and others) affordable to all income groups?					

Evaluation Criteria	Evaluation Question	Not Relevant	Fairly Relevant	Relevant	Very Relevant	Highly Relevant
		0	1	2	3	4
	Non-revenue water levels in the WB facilities are acceptable and measures are taken to reduce them are adequate?					
	The beneficiaries are willing to pay more in future for the services (supposing that the tariff in the WBs is already high due to the high un-accounted for water)?					
	LGAs are financially viable?					
	The sanitation facilities are used appropriately and hygienically without significant shortcomings?					
Government Performance						
	The government (NAO)/ executing agency (FMWR) perform effectively at different stages of the programme cycle from identification and preparation through implementation?					
	The government complied with fiduciary requirements and various covenants agreed upon adequately?					
	The M&E system and reporting are adequate and regular?					
	The NAO/FMWR contributed adequately to ensure quality-at-entry of the programme?					
EU Performance						
	The executing agency (FMWR) finds that the EU was responsive to solving the implementation problems?					
	The EU's timely fiduciary (procurement, procedures and financial management) inputs assist programme implementation?					
	The EU met the required supervision targets with adequate skills-mix?					
	The EU contributed to address sustainability issues?					

Annex 8.3 Focus Group Discussion Guide

Example of questions to be asked to raise discussions with WASHCOMs/WCAs:

- What is the approximate population of your community? Is it sub-divided in various zones?
- When was the WASHCOM/WCA established?
- How many members do you have? Of these, how many are women?
- Can you describe the process of selection of the members?
- What is the relation with the Town Union / the Community Council?
- How often do you meet? How many meetings took place since the creation?
- Do you have minutes of the meetings?
- Is your WASHCOM/WCA registered?
- What are the functions of the different members?
- What activities does the WASHCOM/WCA do?
- How do you organize / implement your sensitization campaigns?
- How often do you visit families to monitor/sensitize on hygiene and latrine construction?
- How many toilets have been constructed since the program started?
- Did you already open a bank account?
- How much money did you raise so far?
- What is your target in terms of money collection?
- What is your strategy for raising money?
- Do you know how this money is supposed to be spent?
- Do you have a work plan? What is its time-span?
- What activities are planned for the next month?
- Do you report your activities to the LGA WASH Unit/Department? How often?
- What works are planned for your community?
- What mechanisms are you planning to put in place to operate the scheme?
- Are you planning to sell water?
- Have you received any training so far? Which ones?
- Are you satisfied with this program? What did you learned from the program so far?
- Have you been correctly informed and involved in the program?
- Is there something that could be improved?
- Do you have any recommendations for the program?

Annex 9 : Minutes of the Debriefing Meeting

Mid-term Review of the WSSSRP II. Debriefing Meeting

Minutes of Meeting Held at the Premises of the Delegation of the European Union
to Nigeria and the ECOWAS

Meeting Room 1 Annex Building

21st Crescent, off Constitution Avenue, Central Business District, P.M.B. 280, Garki, Abuja, Nigeria

11.07.2014, at 10:00 - 12:30

Minutes	
Date: 11.07.14	Time: 10:00-12:30
Place: EUD, Meeting Room 1	
Purpose of Meeting	Debriefing meeting of the Mid-Term Review key findings and recommendations
Participants	<ul style="list-style-type: none"> • EU Delegation in Nigeria • National Planning Commission (NPC)/National Administrative Officer (NAO) • Federal Ministry of Water Resources (FMWR) • TAT Representative (WSSSRP II)/NPC • UNICEF • NIWRMC • Alanet Consortium team of experts <p>(see full list of attendance below)</p>
Supporting Documents	Summary note on preliminary key findings and recommendations distributed to participants by the Mid-Term Review Team
Agenda	<ol style="list-style-type: none"> 1. Opening remarks by Mr Martin Mbono, Programme Manager (Water, Sanitation and Environment), EUD 2. Self-Introduction of Participants. 3. Presentation of preliminary key findings and recommendations by the MTR team-leader, Mr. Mohammed Tigani 4. Questions, comments and clarifications from participants 5. Closing remarks by Mr Martin Mbono
Summary of Outcomes	<p>The main recommendations addressed to the MTR team by participants are the following:</p> <ul style="list-style-type: none"> • Assess the level of involvement and commitment of state (including to what extent states and LGAs are “on the driver’s seat” and to what extent they have provided their counterpart contributions); if there are challenges provide recommendations on how to overcome them. • Provide concrete recommendations on how the TAT and UNICEF can provide better support to the government to improve the embedment approach • Suggest concrete areas and activities to associate the Water Supply Department; while considering that it is up to the Ministry to have a strong internal coordination and make sure all departments are correctly involved.

	<ul style="list-style-type: none"> • The involvement of more long-term consultants as opposed to short-term should be recommended with respect to specific areas/topics which need to be specified • In the report, provide concrete examples of the findings and recommendations for a better understanding. • Consider recommendations also from previous reviews and assess whether they have been correctly addressed or are still relevant. • Prioritize areas where there is need to strengthen collaboration between TAT and UNICEF • Highlight was positive dynamics and experience are already happening, also in other states • Specifically look into the issue of Kano state’s diverging priorities with respect to the Programme • Overall, provide few, strong and concrete recommendations that can be easily implemented.
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Main issues discussed:

The meeting was opened by Mr. Martin Mbono. He explained that the choice of holding the debriefing meeting one week before the end of the consultants’ assignment was intended to leave enough time for the comments by participants to be incorporated in the report.

The MTR team represented by the team leader Mr. Mohamed Tigani was then invited to present their main findings and recommendations. A power point presentation was made and backed-up by a note distributed to the participants (available in Annex). It was explained that these are preliminary findings and very summarized and they will be further developed and explained in the final report.

After the presentation, the main comments and contributions were made by participants:

On the embedment approach: Mr. Mbono explained that the new set-up of the programme in Phase II aims at putting the Government on the driver’s seat. It appears from our presentation that we were considering the TAT and UNICEF as leading the implementation; it is important to note that the TAT and UNICEF are only there to support the Government. Mr. Akuse further said that what is expected from the MTR is to provide an insight on whether the people at State level are taking up their responsibility, to what extent they are really “on the driver’s seat”. Are we in the right direction to promote this ownership and responsibly? Mrs. Rama explained that the main finding of the MTR team is that the process is taking place and that we are going in the right direction, however, the recommendation addressed to TAT and UNICEF is about how to better support the government and how to strengthen the public agencies for them to provide adequate services. The focus needs to be put on the adequate tools, methods and skills for providing this support to it to be effective and provide sustainable results. Mr. Sorensen further explained that physical proximity is not enough, there is a need to ensure that the embedment approach is actually working well. Mr. Mbono concluded recommending to the consultants to provide in the report clear recommendations on how to improve this technical assistance to provide better support.

On the works supervision: Mr. Akuse asked the consultants why are they suggesting hiring an external company for works supervision. Mr. Tigani explained that the consultants suggestion does not mean to neglect the internal supervision capacity of the States, but also to make use of external companies because the States might not have the capacity in case of big schemes, to avoid a low quality of works. Mr. Akusa warned the consultants that the states

might not appreciate taking this responsibility away from them since they will have the feeling that they are not satisfactorily enough associated with the process. Mr. Mbono explained that the EU is already considering hiring external companies for works supervision due to observed deficiencies on the quality of works for previous phase. However the procedure has not yet been defined. Mr. Tigani suggested that the States be included in the process, as the capacities of supervision may vary from one state to another.

On the inclusion of the Water Supply Department (WSD): Representatives from the Water Supply Department warned that the lack of involvement of their department could become a weakness of the programme especially with respect to the lack of linkage between the Federal Ministry and the States on the technical components. The Director of WSD explained that various letters were exchanged between the Ministry and the NAO on this and that the issue was expected to be addressed and solved during the Mid-Term Review. The request was expressed to be officially associated. Mr. Tigani confirmed that the consultants are indeed recommending associating this department and Mrs. Rama mentioned 4 areas in which this department could play a major role in the programme : evaluation of bids, provision of technical guidelines for infrastructure, distinction between rural/small town/urban and M&E. Mr. Mbono explained that the program's new focus on policy justified working in closer collaboration with the Policy, Research and Statistics (PRS) department, but that the EU is not opposed to associating the WSD department as long as we can identify clear activities that they will be implementing. Participants explained that the past experience of the WSD in similar programmes could be useful to provide lessons learned and give continuity, as well as build upon the institutional memory of the staff. In addition to the areas mentioned by the consultants, additional areas where the involvement of the WSD is necessary were mentioned, such as the relation between Federal level and the States and the provision of technical guidelines, supervision and orientation. It was clear that the WSD is the most legitimate department to play this role with respect to the water sector in Nigeria. WSD is also expected to provide input in terms of the water policy and water bill as these are covering all the sub-sectors. Participants agreed that it was up to the Ministry to discuss internally and decide how to involve all the different departments and make them collaborate for the success of the programme. Mr. Mbono stressed the importance to have a good coordination mechanism within the Ministry to make sure all departments are involved; and that the EU is expecting the Ministry to provide a unique work plan whose implementation that the programme will support.

On the mobilization of short-term consultants: Mr. Mbono explained that the program was designed to have a limited number of long-term consultants and various short-term consultants to be mobilized on need basis, to avoid under-utilization of staff. Mrs. Rama explained that the MTR finding is related to a lack of ownership and insight from State people on reports written by short-term consultants due to the short presence and little follow-up on results. Mr. Akuse said he agreed to a certain extent to this observation but that the mobilization of specific short-term expertise was relevant in some areas (ex. economic or engineering expertise), while in other areas it would be preferable to have long-term experts, especially for the positions that interface with the communities (ex. CM and M&E). Mr. Gerald said that it is very important not only to design an M&E system but also to be there to accompany the staff for its implementation, to mentor the people in charge long enough to make sure they know how to run it, and this might take time so a long-term person is preferable.

On UNICEF's involvement in the program: Mr. Kannan representing UNICEF thanked for the presentation; said he agreed with some of the recommendations but also had some comments. On the collaboration between TAT and UNICEF, even though the division of labour is clear

(rural vs. urban), there might be some areas of overlap which might require deeper collaboration, however, this cannot be done on everything so there is a need that the consultant be more specific on which areas need further collaboration. On CLTS in urban areas, Mr. Kannan said UNICEF has experiences ongoing and there is a need to highlight what is already happening in other states, otherwise this will give the wrong impression that nothing has been done so far. With respect to improving communication with communities, it is often up to the LGA staff to manage the CM and UNICEF is only supporting as it would not be possible to intervene directly in all communities, so UNICEF is not controlling all the messages being forwarder to communities. On the hard vs. soft debate: very low coverage in sanitation being one of the challenges in Nigeria, it is a deliberate choice from UNICEF to implement the “soft” component first so as to keep the appetite of communities. On M&E, it has indeed been a challenge; however, it is worth noting that it is not a UNICEF system but that UNICEF is supporting the federal ministry to implement it. The WASHIM system can be housed in the DPRS. The CLTS database is again a government program, hosted in the department of water quality and sanitation. Eventually over time there will be linkages from the CLTS database and Facility Tracking to the WASHIM. In WASHIM there are already features that include urban areas; but there is need to collaborate with TAT on this. On the reporting procedures, Mr. Kannan clarified that UNICEF already reports to NAO.

Specific situation of Kano State: Mr. Mbono said the EU/NAO received a letter from Kano state saying that the government is not interested in our program, and that the EU should build fish ponds and irrigation infrastructure instead. Mr. Tigani explained that according to the MTR experience, the State of Kano is in disagreement with the program regarding the scale of the schemes, as the Commissioner and the Governor want larger regional schemes at small towns and does not want hand pumps. Mr. Mbono asked the consultants to provide clear findings and recommendations on this specific issue.

Cross-cutting recommendations to consultants:

- Mr. Mbonu requested for the consultants to look into the procurement process and specifically inform about the mobilization of the counterpart contributions from States and LGAs.
- M. Kannan said that regarding the methodology of the Mid-Term Review: it would have been good for us to have seen non-intervention areas too to compare with intervention areas to see the difference
- Participants recommended providing in the report examples of the findings and recommendations to enable a better understand, as well as providing further explanations to justify the findings and firther detail on the recommendations.
- Mr. Mbono suggested to the consultants to review their terminology: instead of UNICEF and TAT use “rural component” and “urban component”.
- Mrs. Kanebi requested for the consultants to assess recommendations made in the Phase I evaluation and state to what extent these have been taken into account and progress has been made, and which ones on the contrary have not yet been addressed adequately and still deserve attention.
- Various participants requested for the consultants to assess the level of involvement and commitment of the State staff and LGA staff to see if they are meeting the expectations; if not, to provide recommendations on how can we overcome this challenge.

- Mr. Basi suggested as a recommendation the organization of trainings of staff on EU rules and procedures, as these are not yet well-understood by stakeholders at federal, State and LGA level. There is a need of more clear guidance on these issues.
- Mr. Mbono requested the consultants to provide in the report few, strong and concrete recommendations, so that the stakeholders are able to implement them.

Conclusion:

Mr. Mbonu thanked all the participants for participating. He explained that stakeholders from the States were not present in the meeting because the consultants were already asked to make debriefings at State level after each of their visits. He requested all participants not to hesitate to provide inputs and recommendations even before receiving the draft report.

Mr. Tigani also thanked all participants for the useful contributions, repeated that the results presented are preliminary, that the MTR team is looking forwards to make recommendations that are useful therefore the feedback from stakeholders is more than welcome.

Finally, the meeting was concluded.

Annex 10: State Sheets

Annex 10.1: Anambra State

a) Summary table on key facts and figures

Population - 2006 census	Total: 4,181,082 (Urban: 72,8% ; Semi urban: 25,2% and Rural : 2%)	Population - 2015 projection	Total: 5,425,149 (Urban: 80%; Semi urban: 18,6% and Rural : 1,4%)
Area	4,416 Sq Km	Population density	1500-2000 per Sq Km
GDP per capita	\$1,615 (2007) (PPP)	Literacy rate	about 70%
N° of LGAs	21	LGAs in WSSRP II	Aguata and Anambra East
Languages	Igbo (98%) Igala (2%), English	Main religions	Christianity (85%), traditional (12%); Muslim (3%)
Major cities	Akwa (capital), Onitsha and Nnewi (commercial centers)	Present Governor	Chief Willie Maduabuchukwu Obiano since March 17th, 2014
Climate and environment	Tropical rain forest vegetation, hilly topography, with some erosion prone areas; 2 seasons with heavy rainfall in rainy season (8 months/year)		
Availability of water resources	Abundant water resources. Rainfall: 152-203 cm (1800 mm/year); abundant underground water resources of good quality except for iron occurrence in some areas. Major rivers: Anambra and Niger rivers + several minor rivers and streams.		
Access rates to water and sanitation	<p>Water: 26,7%; Sanitation: 85% (source: Core Welfare Indicators Questionnaire Survey, CWIQ 2006). No data available for urban and rural access rates.</p> <p>There are currently more than 1500 boreholes which is the main source of water; also rainwater harvesting occurs especially in Aguata LGA where groundwater is deeper. Superficial water is also used as source for domestic consumption and irrigation.</p> <p>Sanitation: 150 000 to 200 000 diarrhoeal deaths occur among under-5 children per year + dracunculiasis, schistosomiasis and onchocerciasis diseases are reported.</p> <p>The baseline identified 497 motorized boreholes, 72 hand pumps and 7 surface water schemes. Of all the schemes constructed by the government, 25% are functional.</p>		
Institutions in charge of water and sanitation	Ministry of Public Utilities (in charge of water, electricity and fire workers) is in charge of the water resources and services. RUWASSA is in charge of the rural water supply. A Water Corporation officially exists with 12 zonal offices and approximately 1000 staff; but has been inactive since more than 10 years and only 6,5% of its schemes are functional. There is no STOWA and no regulatory commission in place. The LGA have WASH Units under the Department of Health		
Private sector participation	Over 80% of water supply service provision is in private hands. The majority of boreholes are owned by private individuals that sell bottled or sachet water and give for free tap water to communities. There are also a low of water tankers that sell water to communities in areas where there is no access to boreholes. Initiatives by churches, mosques and communities are also very frequent (44,5% of all water projects are funded by communities).		

(Source of data: Anambra State Water Supply and Sanitation Policy)

b) Progress towards achievements of results as per the log frame

Results as per the logframe	OVI	Activities	Progress towards achievement (description)	Grading
Project objective 2: To improve water and policy and institutional framework in six focal states				
<u>Result 2a</u> State water law is enacted and implemented	State Water Bill is passed and signed into law. Action plan to implement the law is approved by the Government Action plan is implemented	2.1 Legal advice to the State Ministry of Justice to finalise drafting of the water bill 2.2 Technical support for advocacy meetings with members of the State House Assembly for passage of the water law. 2.3 Support to dissemination workshop for water law and policy 2.4 Support for the preparation of action plan to implement the water law 2.5 Implement capacity building for the implementation of the water law and policy	2.1 Done 2.2 Partially done (trip to Lagos) 2.3 Partially done (documents for dissemination are ready but workshop didn't take place yet) 2.4 Partially done (Strategy to implement the Water Policy under development) 2.5 Not yet done Comment: there is no clear <i>advocacy strategy</i> to ensure the State passes the law. There are strong bottlenecks due to lack of political will. Planned activities may not be relevant or clear enough.	on track
<u>Result 2b</u> Sector institutions are structured in accordance with the state water law	Existing institutions/agencies structured in line with the law. Internal organisational structure and allocated functions are prepared and action plan for implementation agreed	2.6 Update existing situation of sector institutions 2.7 Support to incremental implementation of structuring plan	2.6 Not yet done 2.7 Not yet done Comment: waiting for the law to be passed before restructuring the sector might not be the right approach as institutional strengthening and capacity building can already take place	delay
<u>Result 2c</u> Budget for sector institutions to fulfil their mandate is secured.	Sector institutions have approved annual work plans Annual work plans are actually funded and fund used for water and sanitation activities. Sector medium-term expenditure framework are prepared and applied as basis for annual budgeting	2.8 Support to the preparation of strategic plan; 2.9 Support to the preparation of medium-term expenditure framework; 2.10 Support to the preparation of annual work plan at sector institutions level to include activities to be implemented normally by state.	2.8 Not yet done, but the development of a Water and Sanitation Master Plan is being considered 2.9 Not yet done 2.10 Not yet done Comment: work plans prepared are mainly focused on budget estimates, are not detailed enough in terms of activities and do not include activities of the Ministry beyond the program's activities	delay
<u>Result 2d</u> States adopt IWRM principles in water resources management	Sector institutions are accountable to stakeholders through regular reporting Sector institutions hold regular stakeholders consultations with stakeholders to promote participation and ownership. Procurement by sector institutions is done in a transparent manner	2.11 Capacity building for stakeholders on adoption of IWRM principles; 2.12 Support to the implementation of IWRM activities	2.11 Partially done (workshops took place) 2.12 Not yet done Comment: There is overlapping of responsibilities in IWRM between the different agencies. State stakeholders don't have a clear idea of what are IWRM activities and the program does not fund such activities (but could have a leverage effect). However	on track

	Sector activities take into consideration issues concerning women, youth and the vulnerable groups		in Anambra State IWRM is not a priority as compared to other sector challenges (such as weakness of urban water supply) and not very relevant at the moment.	
<u>Result 2e</u> Strategy for private sector participation in water supply and sanitation services delivery is developed and implemented	Regulatory body established by law The Private sector is involved in water supply and sanitation services delivery	2.13 Assess suitability of private sector involvement, review previous PSP studies; 2.14 Establish PSP strategy and guidelines; 2.15 Support to the preparation of regulatory framework, where it does not exist.	2.13 Not yet done 2.14 Not yet done 2.15 Not yet done Comment: PSP in urban settings is a challenge but also an opportunity due to institutional weakness of the Water Corporation; should be encouraged more in all settings (urban, small towns and rural).	delay
<u>Result 2f</u> Regular sector monitoring and review is institutionalised	Sector institutions set up regular monitoring system Regular sector forum established at state level to review sector status	2.16 Support to institutions to establish monitoring and reporting system 2.17 Support to the state to identify the institution to take up responsibility for sector review task	2.16 Partially done 2.17 Partially done and ongoing Comment: No coordination and integration between rural and urban component on M&E; no consistent and comprehensive framework being established and implemented	delay
Project Objective 3: To support urban and small towns water institutions in the six states to deliver sustainable water supply service.				
<u>Result 3a</u> Management and Financial viability of Urban Water Institutions is improved	Internal organisational structure of urban water institution is strengthened to be able to fulfil its mandate. Institutions have investment plans agreed by stakeholders Consumers of urban water supply service are identified for improved revenue Increase in continuity of service is recorded	3.1 Support to strengthen internal organisational structure of urban water agency for improved service delivery 3.2 Support to consumers enumeration 3.3 Support to preparation of investment plans 3.4 Implement capacity building to improve skills and performance	3.1 Not yet done 3.2 Not yet done 3.3 Not yet done 3.4 Not yet done Comment: as per Result 2b), no need to wait for the law to be passed before implementing institutional strengthening and capacity building of existing sector institutions and managers of water schemes at various levels	delay
<u>Result 3b</u> Urban Water Works are rehabilitated and improved;	Designs for new water supply facilities are executed Number of new water supply schemes constructed	3.5 Baseline surveys to collect data on status of access to water supply service prior to project implementation; 3.6 Assess needs in communities (urban and small towns); 3.7 Identify rehabilitation needs;	3.5 Done; 3.6 Done 3.7 Done; 3.8 Partially done and ongoing;	on track
<u>Result 3c</u> Existing but non-functional water supply	Number of technical studies for rehabilitation works carried out Number of existing water supply facilities rehabilitated	3.8 Identify new water supply works to be constructed; 3.9 Carry out Studies and designs for water supply works;	3.9 Yet to be done; 3.10 Partially done (for priority works); 3.11 To be done at Federal level; 3.12 Not yet done;	on track

schemes in small towns rehabilitated and new water supply schemes constructed		3.10 Prepare tenders for launching; 3.11 Support procurement of water supply works contracts; 3.12 Implement works contracts, including supervision; 3.13 Support commissioning of completed water supply works.	3.13 Not yet done . Comment: The relevance of investing on “hardware” in urban settings is questionable due to existence of many non-functional or under-exploited schemes which are badly managed by the water corporation (lack of will, motivation, and appropriate skills for O&M). Although needs are huge in urban areas, all focus should be put into O&M of existing facilities instead of construction because otherwise the investment will be lost.	
<u>Result 3 d</u> Strategy for community-management of water supply facilities in small towns is developed and implemented	Guidelines for community-management agreed by stakeholders Community-management strategy is implemented in some small towns.	3.14 Support to the preparation of community management guidelines and strategy; 3.15 Implement capacity building for Water Consumers Associations; 3.16 Support to the implementation of community-management strategy	3.14 Done 3.15 Partially done and on going 3.15 Partially done and on going Comment: The selection of communities was done before needs assessment and vulnerability/accessibility criteria might not have been prioritized. CM activities implemented so far don't put enough focus on planning, M&E and O&M. WCA are not very active on sanitation.	on track
Project objective 4: To support rural water and sanitation institutions in the six states to deliver sustainable water supply and sanitation services				
<u>Result 4a</u> LGAs' WASH Units are upgraded as Departments and strengthened to implement rural water supply and sanitation programmes.	Number of WASH Units upgraded to WASH Departments Operational manuals for WASH Departments prepared and agreed upon by stakeholders Budget is provided for WASH Departments	4.1 Support for advocacy with policy makers on benefits to upgrade LGA WASH Units to Departments; 4.2 Support to the preparation of upgrading plans; 4.3 Support to the preparation of organisational guidelines and job description 4.4 Support capacity assessment and preparation of capacity building plan; 4.5 Implement capacity building activities	4.1 Partially done and on going 4.2 Not yet done 4.3 Not yet done 4.4 Not yet done 4.5 Partially done (only on CLTS not on working procedures / TOR) Comment: as per Result 2b), no need to wait for the upgrading before implementing institutional strengthening and capacity building. Need to focus more on working procedures and efficiency/productivity and management of HR	delay
<u>Result 4b</u> Existing but non functional water schemes are rehabilitated and new ones	State's investment plan for rural communities is prepared, agreed by stakeholders and implemented by government At least 1 million people have access to safe water supply service at end of programme A minimum of 300,000 pupils in about 200	4.6 Support to baseline studies to collect data on status of access to water supply and sanitation services, and health situation prior to project implementation 4.7 Assess needs in communities and schools 4.8 Identify rehabilitation needs 4.9 Identify new water supply facilities to be	4.6 Done 4.7 Done 4.8 Done 4.9 Done 4.10 Partially done and on going 4.11 Partially done and on going Comment: Increase efforts in schools. Please note	on track

constructed in rural communities	schools have access to safe water source	constructed 4.10 Support to procurement of works contracts and supervision 4.11 Facilitate CLTS in communities and schools	that Activity 4.11 is not logically related to Result 4b.	
<u>Result 4c</u> Access to improved sanitation and hygiene promotion services in small towns and rural communities is increased.	At least 400,000 households (including households in small towns) are supported through CLTS to have access to improved sanitation facilities and hygiene services At least 500,000 school pupils have access to improved sanitation and hygiene services	4.12 Support to baseline studies to collect data on status of access to adequate sanitation, hygiene and health situation prior to project implementation 4.13 Assess needs in schools 4.14 Identify sanitation works in schools 4.15 Support procurement of sanitation works contracts in schools and supervision 4.16 Facilitate Community-Led Total Sanitation (CLTS) in small towns and rural communities (including schools-led sanitation) 4.17 Disseminate good practice and lessons learnt	4.12 Done 4.13 Done 4.14 Done 4.15 Partially done and on going 4.16 Partially done and on going 4.17 Partially done and on going Comment: Be careful not to promise water as a reward for CLTS efforts as this message may be misleading. Rethink the CLTS approach for urban context. Note that reference to small towns is overlapping with Urban component.	on track
<u>Result 4d</u> A state level monitoring and evaluation (M&E) system, linked to the national M&E system is established	A community/LGAs and state M&E system is set up in all the six states to capture urban, small towns and rural water and sanitation services delivery by end of 2014 and system integrated with the national M&E system. 80% of the LGA's have functional M&E system regularly collecting data from rural communities by 2014. Reports on the status of water and sanitation services delivery in the State are regularly issued and disseminated to stakeholders by the State Ministry of Water Resources as from 2013.	4.18 Assess the current situation 4.19 Identify needs required to have an effective monitoring and evaluation framework to cover urban, small towns and rural water supply and sanitation 4.20 Prepare action plan for activities and investment taking into consideration the requirement to link State M&E to the National M&E system 4.21 Implement action plan. 4.22 Workshops to review progress on water and sanitation sector status	4.18 M&E Assessment done by urban component 4.19 Same as above 4.20 Not yet done 4.21. Not yet done 4.22 Not yet done Comment: serious overlap with the urban component; not enough link of LGA-State-National M&E; current initiatives are very interesting but very complex (risk for replication and sustainability).	delay

c) Table analysing the situation in the State

Key findings	Program design	<ul style="list-style-type: none"> - Good results of embedment approach in terms of ownership and sustainability, however challenges in terms of timely implementation of program activities - Weakness of TAT support to LGA on small town component - Overlap in TAT and UNICEF role on M&E - Need to involve State representatives in procurement process at NPC level (with voting powers) - Interim TA was hurried-up and could not provide throughout preparation, not clear value-added of the ITA to the program - Scope of program very wide; IWRM as well as urban component not prioritized, risk of having very little impact on these 2 areas - Gap in TA support to LGA on small town/urban component: LGA staff is not skilled enough to deal with this complex component alone and the Ministry should not implement this component directly without passing through the LGA - Not clear to what extent CLTS is relevant in small-town/urban settings
	Coordination	<ul style="list-style-type: none"> - Monthly coordination meetings between the 2 components take place but the implication of terms of planning effectiveness and implementation not verified. It appears that separate and un-coordinated WPs are followed. - Good working method with 5 working groups of both components (policy, technical, IWRM, M&E and Community Management) - However not enough symbioses in planning, reporting and M&E - SWAp approach considered but no planned process has been initiated - The reporting and decision-making process involving Zonal UNICEF may cause lack of information to lower levels - UNICEF not fully integrated in the Steering Committee - Programme coordination mechanisms must be strengthened significantly to optimise resources use and avoid overlap. Apply an umbrella logframe.
	Planning and reporting	<ul style="list-style-type: none"> - Yearly planning too general - Gaps in monthly planning - MTR was not able to assess monthly reports - Planning very weak at all levels; especially LGA and also community (WASHCOM, WCA); stakeholders don't seem to understand the need for planning - No clear rules /procedures for reporting: seems to be quite approximate and mainly on an ad-hoc basis (not systematic) except for CLTS monthly sheet - Increase frequency of Project Steering Committee meetings for improved planning and accountability for the next 12 months
	Policy and IWRM	<ul style="list-style-type: none"> - State Water Policy was approved during Phase I - Draft Water Bill has been pending since 2011 at the House of Assembly; staff was taken to Lagos on a trip to visit the regulator; bottlenecks include the "lack of motivation" of Assembly staff and request of funds to organize a - STOWA and regulatory commission to be created once the bill passes; in the meantime; STOWA could be created as a Unit or Department within the Ministry - Sector annual review not yet in place - LGA has WASH Units under the Health Department, upgrading not prioritized - No much done in IWRM so far apart workshops, principles adopted but no clue on how to operationalize the concept – issue is not a priority in the State
	M&E	<ul style="list-style-type: none"> - good progress done on baselines, including validation of data at community level: UNICEF well ahead with WASH profiles + LIP, TA currently finalizing the supplementary baseline for small towns - lack of a comprehensive M&E framework (for the 2 components) - lack of embedment of program M&E into state and national M&E - low capacity of stakeholders in M&E, low understanding of what is M&E and why it is needed, capacity building is on-going but could be strengthened

	<ul style="list-style-type: none"> - no Web-based facility tracking nor WASHIMs in place
Community mobilization	<ul style="list-style-type: none"> - good involvement and motivation of LGA staff and of communities on rural component; the PDA approach applied suggests strengthened ownership - good success rates in CLTS and potential to scale-up - not enough planning and reporting from WASHCOMs/WCA to LGA (mainly on ad-hoc basis, no procedure in place) - WCAs seem less involved and less informed than WASHCOMs - selection process : mix between official criteria and geographical representation / community preferences; however good representation of women. - top-down information flow could be improved : not enough clarity on programs time-span, works planned and « soft » objectives - No clear value-added of CSO involvement - Operation & Maintenance: No mechanisms established so far but WASHCOMS and WCA aware of their O&M role; not much discussion of PPP possibilities/approaches for now (too early); positive examples from Phase I - Communities generally have mobilised initial obligatory funds for construction / O&M
Works	<ul style="list-style-type: none"> - Counterpart fund : State and LGA counterpart ready, Community ongoing - Procurement process : <ul style="list-style-type: none"> o Urban and small town component: assessment of existing schemes + feasibility studies undertaken, BOQ submitted to NAO, comments received and integrated, final version sent. o Rural component: tender documents being developed; draft advertising ready, joint procurement guidelines (UNICEF + RUWASSA) finalized
Overall performance of rural component	<ul style="list-style-type: none"> - Good achievements in CLTS and trainings; capacity building of LGA WASH unit staff by LGA consultants - Weakness on M&E and planning/reporting - Some communities not enough informed on program time-span and on works planned or not (leaving for high expectations and possible disappointments) - Hard component seems to be promised as a reward for the success of the soft component (CLTS): this is tricky and may create risks for the sustainability of CLTS
Overall performance of urban component	<ul style="list-style-type: none"> - High qualification and expertise + good mentoring approach of TAT head; not able to meet the 2 remaining staff (unavailable) - Weakness in planning and reporting - A lot of time lost during start-up phase: almost all year 2013 was spent only on reviewing work plans +OPE and not implementing activities
Cross-cutting	<ul style="list-style-type: none"> - Not clear the role of the CSO – what value-added + contractual agreement - Activities have been delayed due to freezing of funds by the newly elected Governor during approximately 3 months (March to June 2014) - No active Water Board exists in the State (Asset-Holding Corporation is inactive) and no STOWA exists => challenge for the urban and small town component
Main challenges identified	<ul style="list-style-type: none"> - weakness of M&E - weakness of small town/urban component - delays in receiving EU funds: for small town component, these were received in January 2014 (6 months ago) => delays in implementation of activities - Communities start to doubt about “works” component due to delays, not clear communication on steps/process and uncertainties. Some fear corruption - Not clear to which extent the vulnerability criteria was prioritized during self-selection of LGA and of communities - Performance of staff/TA reduced due to frequent electricity cuts - Steps to be taken to avoid organised theft of installation equipment - Rotation system of public servants impacts on capacity consistency of staff at State and LGA levels (may include re-training, OJT, etc.)

Annex 10.2: Cross River

a) Summary table on key facts and figures

Population - 2006 census	Total: 2,89 million	Population - 2011 projection	Total: approx. 3,25 million
Area	23,000 Sq Km	Population density	127 per Sq Km / 93 per Sq Km
GDP per capita	\$3,150 (2007)	Literacy rate	about 80%
N° of LGAs	18	LGAs in WSSRP II	Yakurr LGA and Boki LGA
Languages	Three dominant language groups: Efik, Bekwara and Ejagham.	Main religions	Christianity, Muslim, traditional
Major cities	Calabar (capital), potential growth centres: Ogoja, Ikorn, Obudu, Ugep, Obubra, Akamkpa and Odukpani.	Present Governor	Senator Liyel Imoke since May 2007
Climate and environment	The state is uniquely located within the three vegetational belts of mangrove swamps, tropical rainforest and savannah. The topography of Cross River is mostly characterized by low-lying undulating terrain with several areas of extensive flood plain along the course of Cross River (from which the state derived its name) and its major tributaries		
Availability of water resources	Average annual rainfall ranges from 1,760 mm in the northern part of the State to 3,100mm in the southern part. The duration of the dry season varies from 3 months in the south to 5 months in the north. Only 6% of rainfall occurs in the driest three months of the year. This has significant consequences for water resources management particularly in the northern part of the State where some rivers are non-perennial. Due to the impermeable geology of most of the State, runoff from sub-catchments is 40% - 60% of annual rainfall. Seasonal floods have created wide, deep river channels. The flood plains are routinely inundated making most human activity impossible during the wet season. Dry season flows are small and contained within low flow channels meandering along the bottoms of the large flood channels. Therefore in order to make use of river water in the dry season it is necessary to lift it several meters out of the low flow channels.		
Access rates to water and sanitation	Reliable, up-to date statistics on WSS coverage in Cross River State are not generally available. In 2008 however, first Cross River State Economic Empowerment and Development Strategy (CR-SEEDS-1) found the following with regard to water and sanitation: Water: There was a great difference in ease of access to potable water between the Calabar Metropolis and the rest of the State. In Calabar, 59% of the population had easy access to piped water and 76% had access to borehole water. Yet, in most rural LGAs, citizens had little or no access to either piped or borehole water. The Scorecard showed that in 2008, 70% of people in the State sourced their water from rivers and streams while only 4.7% and 13.2% of the population used piped and borehole water respectively. Of the communities with piped water supply, 66% had supply less than 3 times a week, 16% had a supply more than 3 times a week and only 18% had a continuous supply. Recent surveys conducted by RUWATSSA and RUDA indicate that on average access to acceptable water sources across the state is 41% with relatively good access in the Calabar Municipality, Calabar South and Bakassi. Sanitation, Toilets: Flush-toilet and pit-latrines were commonly used in Calabar Municipality. Yet around 70% of the focus groups in the rural areas reported that they use bush/field/rivers and not latrines. It is currently estimated that overall access to sanitation facilities across the state between 35% and 40%. Refuse Disposal: Some 54% of the groups surveyed in Calabar Municipality have access to a government refuse collection service. However, there was minimal or no refuse collection service in the rural areas of the State.		

<p>Institutions in charge of water and sanitation</p>	<p>There exist a Ministry of water resources which is relatively new, established only in April 2012. Hitherto, the role of the ministry had been placed in the Department of water supply in the ministry of works. The Cross River State Water Board Limited has been in existence for long and has responsibility for only urban water supply throughout the State. The Rural Water Supply and Sanitation Agency (RUWATSSA) is equally saddled with responsibility of providing water and sanitation services only in the rural areas of the State. The RUWATSSA also implements the rural component of the WSSSRP II and the recently signed Global Sanitation Funds. A WASH Department also exist at the LGA level working in collaboration with RUWATSSA mainly to implement UNICEF and other donor WASH programmes in the LGA. The Ministry of Environment and its agencies are responsible for urban sanitation and sewage disposal.</p>
<p>Private sector participation</p>	<p>The CRSWBL provides water in Calabar metropolis, while a number of public points managed by private individuals licensed by the CRSWBL complement its services in the urban. In the small towns and rural communities, most of the water facilities are owned by government (many some with donor support). However, a number of privately owned and managed facilities exist across the State. There are also a lot of water tankers that sell water to communities in areas where there is no access to boreholes. Initiatives by churches, communities and other social/corporate organizations also provide schemes in many communities with the understanding that they will be managed by communities. Only CRSWBL has some level of formal private sector operation and its limited to only Calabar metropolis. Its currently on plan to extend such PPP arrangement to about 5 other urban centres of the State.</p>

b) Progress towards achievements of results as per the log frame

Results as per the logframe	OVI	Activities	Progress towards achievement (description)	Grading (ahead, on track, delay)
Project objective 2: To improve water and policy and institutional framework in six focal states				
<u>Result 2a</u> State water law is enacted and implemented	State Water Bill is passed and signed into law. Action plan to implement the law is approved by the Government Action plan is implemented	2.1 Legal advice to the State Ministry of Justice to finalise drafting of the water bill 2.2 Technical support for advocacy meetings with members of the State House Assembly for passage of the water law. 2.3 Support to dissemination workshop for water law and policy 2.4 Support for the preparation of action plan to implement the water law 2.5 Implement capacity building for the implementation of the water law and policy	2.1 Done (clean copy of Law requested from MoJ for passing) 2.2 Partially done (follow-up in progress) 2.3 Partially done (follow-up in progress) 2.4 Not yet done (to be done as soon as Bill is passed into Law) 2.5 Not yet done Comment: While CRS is determined to carry through Water policy and bill activities it is also clearly stressed that without strong advocacy by the EU, UNICEF and NPC it will be difficult. A review of the policy is probably needed before being printed – it is 3 years ‘old’.	on track
<u>Result 2b</u> Sector institutions are structured in accordance with the state water law	Existing institutions/agencies structured in line with the law. Internal organisational structure and allocated functions are prepared and action plan for implementation agreed	2.6 Update existing situation of sector institutions 2.7 Support to incremental implementation of structuring plan	2.6 Partially done (proposal in process) 2.7 Partially done (follow-up to the proposal) Comment: The IPE/SMWR has produced a proposal for establishment of 5 new departments under the SMWR for the restructuring complying with the Water bill. Discussion on the proposal is on-going.	on track
<u>Result 2c</u> Budget for sector institutions to fulfil their mandate is secured.	Sector institutions have approved annual work plans Annual work plans are actually funded and fund used for water and sanitation activities. Sector medium-term expenditure framework are prepared and applied as basis for annual budgeting	2.8 Support to the preparation of strategic plan; 2.9 Support to the preparation of medium-term expenditure framework; 2.10 Support to the preparation of annual work plan at sector institutions level to include activities to be implemented normally by state.	2.8 Not done (ToR for the activity) 2.9 Not done (ToR for the activity) 2.10 Not done (ToR for the activity) Comment: The ToRs are at various stages of completion and shall be sent to Abuja TAT for procurement of a consultant to execute the plans on behalf of the state	Delayed
<u>Result 2d</u> States adopt IWRM principles in water resources	Sector institutions are accountable to stakeholders through regular reporting Sector institutions hold regular stakeholders consultations with stakeholders to promote participation and ownership.	2.11 Capacity building for stakeholders on adoption of IWRM principles; 2.12 Support to the implementation of IWRM activities	2.11 IWRM Committee proposed, but yet to be inaugurated 2.12 Not done (follow up on going) Comment: CRS has moved towards an IWRM approach and is considered a pilot IWRM State.	on track

management	Procurement by sector institutions is done in a transparent manner Sector activities take into consideration issues concerning women, youth and the vulnerable groups		There are potential integrated planning possibilities for an IWRM in connection with a SWAp adoption.	
<u>Result 2e</u> Strategy for private sector participation in water supply and sanitation services delivery is developed and implemented	Regulatory body established by law The Private sector is involved in water supply and sanitation services delivery	2.13 Assess suitability of private sector involvement, review previous PSP studies; 2.14 Establish PSP strategy and guidelines; 2.15 Support to the preparation of regulatory framework, where it does not exist.	2.13 Not yet done 2.14 Not yet done 2.15 Regulatory agency provided for in the water bill Comment: As in other states PSP in urban settings in CRS is a challenge. Should be encouraged in all settings (urban, small towns and rural). The Water Board is operating partly on commercial basis.	Delay
<u>Result 2f</u> Regular sector monitoring and review is institutionalised	Sector institutions set up regular monitoring system Regular sector forum established at state level to review sector status	2.16 Support to institutions to establish monitoring and reporting system 2.17 Support to the state to identify the institution to take up responsibility for sector review task	2.16 Not yet done (in early process though) 2.17 Partially done (mainly through the SWAp) Comment: In the course of the SWAp approach and the institutional restructuring process the establishment of the Dept. of PRS will become responsible for the M&E at state level. A new Dept. of Change Management will facilitate the process. While an M&E framework has been drafted, as of current no clear and systematic M&E structures are in place for the Programme.	On track
Project Objective 3: To support urban and small towns water institutions in the six states to deliver sustainable water supply service.				
<u>Result 3a</u> Management and Financial viability of Urban Water Institutions is improved	Internal organisational structure of urban water institution is strengthened to be able to fulfil its mandate. Institutions have investment plans agreed by stakeholders Consumers of urban water supply service are identified for improved revenue Increase in continuity of service is recorded	3.1 Support to strengthen internal organisational structure of urban water agency for improved service delivery 3.2 Support to consumers enumeration 3.3 Support to preparation of investment plans 3.4 Implement capacity building to improve skills and performance	3.1 Not done 3.2 Partially done (done in the 10 selected small towns) 3.3 Not yet done (the existing one needs to be reviewed) 3.4 Not yet done Comment: as per Result 2b), no need to wait for the law to be passed before implementing institutional strengthening and capacity building (but they need to be structured in line with the law as part of the reform agenda)	Delay
<u>Result 3b</u> Urban Water	Designs for new water supply facilities are executed	3.5 Baseline surveys to collect data on status of access to water supply service prior to project	3.5 Done	On track

Works are rehabilitated and improved;	Number of new water supply schemes constructed	implementation; 3.6 Assess needs in communities (urban and small towns); 3.7 Identify rehabilitation needs; 3.8 Identify new water supply works to be constructed; 3.9 Carry out Studies and designs for water supply works; 3.10 Prepare tenders for launching; 3.11 Support procurement of water supply works contracts; 3.12 Implement works contracts, including supervision; 3.13 Support commissioning of completed water supply works.	3.6 Done 3.7 Done 3.8 Partially done and ongoing; (Done, but awaiting no objection from EC for NPC to award contract) 3.9 Done, final report to be submitted to Abuja TAT before end of July, 2014; 3.10 Done for priority works and small towns works scheduled for completion in July, 2014; 3.11 To be done at Federal level with inputs from the state 3.12 Not yet done 3.13 Not yet done Comment: The relevance of intervening in urban settings with new works should be assessed against the existence of non-functional or under-utilised schemes (53 water facilities have been captured for rehabilitation). (have the % of non-functionality in the 2 LGAs?)	on track
<u>Result 3 c</u> Existing but non-functional water supply schemes in small towns rehabilitated and new water supply schemes constructed	Number of technical studies for rehabilitation works carried out Number of existing water supply facilities rehabilitated			
<u>Result 3 d</u> Strategy for community-management of water supply facilities in small towns is developed and implemented	Guidelines for community-management agreed by stakeholders Community-management strategy is implemented in some small towns.	3.14 Support to the preparation of community management guidelines and strategy; 3.15 Implement capacity building for Water Consumers Associations; 3.16 Support to the implementation of community-management strategy	3.14 Done 3.15 Partially done and on going 3.15 On going 3.16 Done Comment: (Some of) The WCAs that existed under the WSSSRPI had almost become non-functional and were not able to sustain the (water scheme instead of programme, other aspects like sanitation and hygiene were sustained) programme intervention (due mainly to long break in follow up and continuous engagement with communities by the LGA WASH Dept when phase I closed). The Community Management strategy must therefore prioritise information to the communities on plan progress and support in M&E and O&M practices – based on revised LIPs and communicated effectively to involved communities. Continual support to communities are needed (use of CSOs)	on track

Project objective 4: To support rural water and sanitation institutions in the six states to deliver sustainable water supply and sanitation services				
<p>Result 4a LGAs' WASH Units are upgraded as Departments and strengthened to implement rural water supply and sanitation programmes.</p>	<p>Number of WASH Units upgraded to WASH Departments Operational manuals for WASH Departments prepared and agreed upon by stakeholders Budget is provided for WASH Departments</p>	<p>4.1 Support for advocacy with policy makers on benefits to upgrade LGA WASH Units to Departments; 4.2 Support to the preparation of upgrading plans; 4.3 Support to the preparation of organisational guidelines and job description 4.4 Support capacity assessment and preparation of capacity building plan; 4.5 Implement capacity building activities</p>	<p>4.1 Done 4.2 Not yet done (CRS has WASH Depts. in all the LGAs) 4.3 Not yet done (UNICEF is working with Federal Agency to produce scheme of work for the WASH Dept.) 4.4 Not yet done 4.5 Partially done (only on CLTS not on working procedures / TOR) Comment: Strong need for support to the LGA in fulfilling its mandate as water service support and delivery institution for the rural communities and small town. Primary focus is on formalising simplified work procedures for main tasks with simple formats for data collection, entry and reporting (specifically M&E)</p>	<p>Delay</p>
<p>Result 4b Existing but non-functional water schemes are rehabilitated and new ones constructed in rural communities</p>	<p>State's investment plan for rural communities is prepared, agreed by stakeholders and implemented by government At least 1 million people have access to safe water supply service at end of programme A minimum of 300,000 pupils in about 200 schools have access to safe water source</p>	<p>4.6 Support to baseline studies to collect data on status of access to water supply and sanitation services, and health situation prior to project implementation 4.7 Assess needs in communities and schools 4.8 Identify rehabilitation needs 4.9 Identify new water supply facilities to be constructed 4.10 Support to procurement of works contracts and supervision 4.11 Facilitate CLTS in communities and schools</p>	<p>4.6 Done 4.7 Done 4.8 Done (53 water facilities identified) 4.9 Done (listed in the LIPs for the two LGAs) 4.10 Partially done and on going 4.11 Partially done and on going Comment: The identified schemes for rehabilitation not only in the rural areas but comprising of facilities in 4 LGAs of the state and covers urban, small towns and rural areas)</p>	<p>on track</p>
<p>Result 4c Access to improved sanitation and hygiene promotion services in small towns and rural communities is</p>	<p>At least 400,000 households (including households in small towns) are supported through CLTS to have access to improved sanitation facilities and hygiene services At least 500,000 school pupils have access to improved sanitation and hygiene services</p>	<p>4.12 Support to baseline studies to collect data on status of access to adequate sanitation, hygiene and health situation prior to project implementation 4.13 Assess needs in schools 4.14 Identify sanitation works in schools 4.15 Support procurement of sanitation works contracts in schools and supervision 4.16 Facilitate Community-Led Total Sanitation (CLTS) in small towns and rural communities (including schools-led sanitation) 4.17 Disseminate good practice and lessons learnt</p>	<p>4.12 Done 4.13 Done 4.14 Done 4.15 Partially done and on going 4.16 Partially done and on going 4.17 Not done yet. Comment: Information to communities on the nature and content of the Programme support are blurred and create confusion among communities. Strong coordination with small town and make use of RUWASSA's</p>	<p>on track</p>

increased.			comparative advantages in CLTS approach.	
<u>Result 4d</u> A state level monitoring and evaluation (M&E) system, linked to the national M&E system is established	<p>A community/LGAs and state M&E system is set up in all the six states to capture urban, small towns and rural water and sanitation services delivery by end of 2014 and system integrated with the national M&E system.</p> <p>80% of the LGA's have functional M&E system regularly collecting data from rural communities by 2014.</p> <p>Reports on the status of water and sanitation services delivery in the State are regularly issued and disseminated to stakeholders by the State Ministry of Water Resources as from 2013.</p>	<p>4.18 Assess the current situation</p> <p>4.19 Identify needs required to have an effective monitoring and evaluation framework to cover urban, small towns and rural water supply and sanitation</p> <p>4.20 Prepare action plan for activities and investment taking into consideration the requirement to link State M&E to the National M&E system</p> <p>4.21 Implement action plan.</p> <p>4.22 Workshops to review progress on water and sanitation sector status</p>	<p>4.18 Partially done (current M&E situation in the State has been carried out. Report available with WSSSRP II M&E expert in TAT Abuja)</p> <p>4.19 Done (during the situation analysis visit)</p> <p>4.20 Partially done (contained in the existing M&E Framework, but needs to be revised)</p> <p>4.21 Not yet done</p> <p>4.22 Partially done and on-going (but a sector review and appraisal workshop in line with SWAp planned for July 2014)</p> <p>Comment: Need to address the M&E linkages through the SWAp. This will guarantee improved coordination and reduce overlap in M&E working procedures and tools. Clear link between LGA-State-National M&E to be addressed.</p>	On track

c) Table analysing the situation in the State

<p>Program design</p>	<ul style="list-style-type: none"> - Embedment approach well developed and appreciated by all stakeholders. Attitude and commitment is key to its success - SWAp approach relatively advanced and preliminary steps made for its implementation - Lack of TAT support to LGA on small town component - Strong emphasis by the State to be part of procurement process at NPC level (with voting powers) - The Interim TA work was considered as a ‘quick’ fix with no clear value-added to the iTAT to the program - CRS is considered an IWRM piloting case state - Gap in TA support to LGA on small town/urban component: LGA staff is not skilled enough to deal with this complex component alone and the Ministry should not implement this component directly without passing through the LGA. - Work plan not clearly set. Need more detail with clearer activity, temporal and milestone dimensions.
<p>Coordination</p>	<ul style="list-style-type: none"> - Monthly coordination meetings between the 2 components take place but the implication of terms of planning effectiveness and implementation not verified. It appears that separate and partly un-coordinated WPs are followed. - Coordination on M&E between the two programmes are not clear - Early overlap of activities between the two components (e.g. policy issues) has been rectified and apparently no overlap currently exists - Meeting structures not entirely clear - SWAp approach theoretically well advanced. Important – if the State seriously put emphasis on this approach – that it is strongly supported and any shortcomings in the approach be mitigated upfront. Adopt the SWAp and design umbrella logframe. - However, currently no clear coherence between planning, reporting and M&E. - Training and capacity activities have included both the small town and the rural components
<p>Planning and reporting</p>	<ul style="list-style-type: none"> - Yearly planning following state priorities, with EU/UNICEF attendance (March 2014), state plan approved, implementation through LGAs - Planning weak at all levels; especially at LGA and community levels (WASHCOM, WCA); stakeholders don’t seem to understand the need for coherent planning across admin levels - Lack of clear and systematic rules /procedures for reporting - Increase frequency of Project Steering Committee meetings for improved planning and accountability for the next 12 months - Plan not clear and progress reporting suffers from the same weakness. Adding a monetary value to the lower level titles of the logframe does not explain much about the specific activities to be carried out.
<p>Policy and IWRM</p>	<p>The State Water Policy is in place since WSSSRP I. The Draft Water Bill has been dispatched to the State House of Assembly where deliberation are ongoing, but with no specific date for finalisation or enactment. An interesting feature of the bill is the creation of a regulatory agency. The Water Board is the only one among focal states that placed emphasis on commercialisation of the service. Sanitation programmes do not consider waste water management. It is limited to storm water management with no clear management structures. An experts team produced a situation analysis taking stock of agencies involved in IWRM in the State. The State is taking the initiative to establish an Inter-ministerial IWRM Committe which is already foreseen in the Water Bill. Above Committe will undergo capacity building exercises under WSSSRP II and will undertake the task od developing and implementing an IWRM Plan fpr the State. A team of IWRM Consultants from TAT/FMWR has visited the State on a situation assessment of IWRM in the State The State has proposed the establishment of an Inter-Ministerial Committee on IWRM for the State in the proposed water bill This committee when inaugurated will have its capacity built by the TAT IWRM Team and will support the State to develop and implement an IWRM Strategic Plan</p>
<p>M&E</p>	<ul style="list-style-type: none"> - UNICEF well ahead with WASH profiles + LIP - TA finalized supplementary baseline for small towns

	<ul style="list-style-type: none"> - lack of a comprehensive M&E framework (for the 2 components) - lack of embedment of program M&E into state and national M&E - low capacity of stakeholders in M&E, low understanding of what M&E is and why it is needed and how it is effectively executed (State/LGA see primarily M&E as ‘physical’ inspections) - Web-based facility tracking and WASHIMs in place; but effectiveness not assessable
Community mobilization	<ul style="list-style-type: none"> - good success rates in CLTS approach and ODF free communities, procedures well established and followed, and potential to scale-up. Community ‘enforcement’ executed on ODF violations (through social punishment and incentives) - Reporting from WASHCOMs/WCA to LGA is insufficient and non-procedural – no systematic or effective follow-up from LGA/State - Poor information management, especially between the WCA communities and the LGAs (but also some WASHCOMs). Lack of written documentation on agreements and programme action plans at community level create uncertainty and confusion - No clear value-added of CSO involvement; generally the CSO involvements stand out as blurred and un-organised - O&M mechanisms established for WASHCOMS and WCA. However, not executed and no systematic follow-up done by the LGA. Results: not sufficient revenue collected for O&M requirements - Communities generally have mobilised initial yet limited obligatory funds for construction / O&M
Works	<ul style="list-style-type: none"> - I think the below also counts for CRS (Mohammed/John –please confirm/make changes) - Counterpart fund : State and LGA counterpart ready, Community ongoing - Procurement process : <ul style="list-style-type: none"> o Urban and small town component: assessment of existing schemes + feasibility studies undertaken, BoQ submitted to NAO, comments received and integrated, final version sent. o Rural component: tender documents being developed; draft advertising ready, joint procurement guidelines (UNICEF + RUWASSA) finalized
Overall performance of rural component	<ul style="list-style-type: none"> - Good achievements in CLTS and trainings; capacity building of LGA WASH unit staff by well-qualified LGA consultants - Weakness on M&E and planning/reporting - Some communities not enough informed on program time-span and on works planned or not (leaving for high expectations and possible disappointments) - Institutional sustainability not strong; technical sustainability rely on effective institutional and financial arrangements (which are currently weak)
Overall performance of urban component	<ul style="list-style-type: none"> - General high qualification and expertise of TA staff - Weakness in planning and reporting - A lot of time lost during start-up phase: almost all year 2013 was spent only on reviewing work plans + OPE and not implementing activities - Institutional anchorage of the future ST component not clear
Cross-cutting	<ul style="list-style-type: none"> - Not clear the role of the CSO (incl. Contractual arrangements). However, strong support in M&E follow-up to communities should be executed by CSOs and LGA in a common work process - No STOWA exists in CRS and institutional arrangements support the small town institutional support being under RUWASSA in order to maintain streamlined approach towards WASHCOMS and WCAs
Main weaknesses identified	<ul style="list-style-type: none"> - weakness of M&E - assessment of small town/urban components institutional arrangements - delays in receiving EU funds => delays in implementation of activities - Communities start to doubt about “works” component due to delays, not clear communication on steps/process and uncertainties. - Not clear to which extent the vulnerability criteria was prioritized during self-selection of LGA and of communities - Steps to be taken to avoid organised theft of installation equipment - Rotation system of public servants impacts on capacity consistency of staff at State and LGA levels (may include re-training, OJT, etc.)

Annex 10.3: Jigawa State

a) Summary table on key facts and figures

Population - 2006 census	Total: of 4.348 million people with an annual growth rate of 2.9%. Predominantly rural 60% and some urban and semi-urban 40 (%)	Population - 2015 programme	Total: 5.466 million in 2014 Slightly increasing urban and semi urban.30% Urban (10%)?, Rural 60%)
Area	22,410 sq km	Population density	244 / sq km
GDP per capita	\$843 (PPP)	Literacy rate	Medium to low.
GDP	\$2.01 billion		
N° of LGAs	27	LGAs in WSSRP II	Taura and Mallam Madobi
Languages	Hausa spoken by all	Main religions	Islam. Sharia law is valid
Major cities	Dutse (capital), Hadejia	Present Governor	Dr. Sule Lamido
Climate and environment	The Geology of Jigawa State is composed of 2 main formations. The basement complex characterized by pre-cambrian rocks underlies the southern part of the State and covers about 30% of the land mass, while the sedimentary Chad formation underlies the remaining 70% of the land mass spread in the north easterly direction. Figure for yield generally adopted and considered as safe is in the range 5m ³ /hr to 15m ³ /hr for the Chad formation; and 3.6m ³ /hr to 7.2m ³ /hr for Basement. However, in the alluvial sands in the plains of the major rivers traversing the State, yields of up to 30m ³ /hr could be obtained		
Availability of water resources	Annual rainfall generally falls between 375mm to the North and 1,000mm to the South. From available literature, total annual abstraction of 216Mcm for surface water and 227 Mcm for ground water, available free water for future development is obtained as 428 Mcm for surface water and 4,481 MCM for ground water resources		
Access rates to water and sanitation	According to the National Bureau of statistics, in 2006, Jigawa had 65% access to potable water while access to sanitation was 55% (NBS-CWIQ, 2006). In 2013, results from CWIQ survey conducted by the Jigawa state directorate for Budget and Economic Planning and supported by SPARC (DFID), the access to improved water supply was 79.6% while 65.7% of the state's population had access to improved sanitation.		
Institutions in charge of water and sanitation	<p>There has been little progress on supporting urban water institutions in the period due to commitments on other activities.</p> <p>Future plans include:</p> <ul style="list-style-type: none"> <input type="checkbox"/> M&E training for a new unit in the Jigawa State Water Board (JSWB) <input type="checkbox"/> Establishment of a Water Consumer Consultative Forum (WCCF) in urban towns of Taura and Malam Madori in Jigawa State (planned for May/June 2014). <input type="checkbox"/> Training for improved billing and revenue collection, including customer enumeration, at JSWB <p>Jigawa state is the only state in Nigeria with a clear institutional structure to support small towns Water, sanitation and hygiene programme. It has a functional Small Towns Water and Sanitation Agency (STOWA). In the year 2000, STOWA was established as a government agency responsible for, among others, provision and delivery of water services in small towns with population of 5,000 to 20,000 in the state (STOWA law, 2000). This responsibility meant that STOWA staff was directly operating the water schemes in all the small towns. The number of staff has decreased from 655 in 2006 to 525 in 2013.</p>		
Private sector participation	Private sector participation is limited to private companies production and selling of sachet water for drinking. There are also informal water hawkers (vendors) in most towns that compliment the efforts of JSWB and STOWA.		

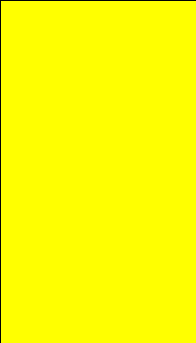
b) Progress towards achievements of results as per the log frame

Results as per the logframe	OVI	Activities	Progress towards achievement (description)	Grading (ahead, on track, delay)
Programme objective 2: To improve water and policy and institutional framework in six focal states				
<u>Result 2a</u> State water law is enacted and implemented	State Water Bill is passed and signed into law. Action plan to implement the law is approved by the Government Action plan is implemented	2.1 Legal advice to the State Ministry of Justice to finalise drafting of the water bill 2.2 Technical support for advocacy meetings with members of the State House Assembly for passage of the water law. 2.3 Support to dissemination workshop for water law and policy 2.4 Support for the preparation of action plan to implement the water law 2.5 Implement capacity building for the implementation of the water law and policy	2.1 Draft water law is in 2 nd reading awaiting House of Assembly approval 2.2 Done in workshop / Retreat for Legislature in Feb 2014 2.3 Partially done and follow up in progress 2.4 Not yet done 2.5 Not yet done Comment The Jigawa State WASH Policy implementation framework was validated by 30 state stakeholders with inputs from TAT Jigawa and Kano at a workshop held in Kano on 13 th - 14 th January 2014. The draft water law is in its second reading with the Committee on Water Resources of the Jigawa State House of Assembly. The state government supported the members of the Committee to attend study tours to Bauchi and Kano States to discuss their experiences on the development of water bills	On track
<u>Result 2b</u> Sector institutions are structured in accordance with the state water law	Existing institutions/agencies structured in line with the law. Internal organisational structure and allocated functions are prepared and action plan for implementation agreed.	2.6 Update existing situation of sector institutions 2.7 Support to incremental implementation of structuring plan.	2.6 Partially done with follow-up in progress 2.7 partially done Comment Policy on water supply and sanitation approved by JSG in April 2010 and Wash departments in LGAs were created by JSG in May 2010. Also the Establishment of sanitation centers in the 11 small towns	On track
<u>Result 2c</u> Budget for sector institutions to fulfil their mandate is secured.	Sector institutions have approved annual work plans Annual work plans are actually funded and fund used for water and sanitation activities. Sector medium-term expenditure framework are prepared and applied as basis for annual budgeting	2.8 Support to the preparation of strategic plan; 2.9 Support to the preparation of medium-term expenditure framework; 2.10 Support to the preparation of annual work plan at sector institutions level to include activities to be implemented normally by state.	2.8 Partially done 2.9 Partially done 2.10 Done Comment The first year work plan for capacity building has been developed and it is expected that EC will provide about N20million to MWR for its implementation, out of which N10,430,000 has been provided by EC.	On track
<u>Result 2d</u> States adopt	Sector institutions are accountable to stakeholders through regular	2.11 Capacity building for stakeholders on adoption of IWRM	2.11 Partially done 2.12 Partially done	On track

IWRM principles in water resources management	reporting Sector institutions hold regular stakeholders consultations with stakeholders to promote participation and ownership. Procurement by sector institutions is done in a transparent manner Sector activities take into consideration issues concerning women, youth and the vulnerable groups	principles; 2.12 Support to the implementation of IWRM activities 2.13 (See footnote below, pl.) 2.14 Reactivation and capacity building workshops for the state IWRM committee and other stakeholders.	Comment Rudimentary knowledge exists among line officers. High turnover of officers has not helped matters. Decision makers ill informed about IWRM	
<u>Result 2e</u> Strategy for private sector participation in water supply and sanitation services delivery is developed and implemented	Regulatory body established by law The Private sector is involved in water supply and sanitation services delivery	2.13 Assess suitability of private sector involvement, review previous PSP studies; 2.14 Establish PSP strategy and guidelines; 2.15 Support to the preparation of regulatory framework, where it does not exist.	2.13 Partially done – require follow up 2.14 Not done 2.15 Not done Comment It is limited to private companies production and selling of sachet water for drinking. There are also informal water hawkers (vendors) in most towns that compliment the efforts of JSWB and STOWA	Delay
<u>Result 2f</u> Regular sector monitoring and review is institutionalised	Sector institutions set up regular monitoring system Regular sector forum established at state level to review sector status	2.16 Support to institutions to establish monitoring and reporting system 2.17 Support to the state to identify the institution to take up responsibility for sector review task	2.16. Not one, 2.17. Not done	
Programme Objective 3: To support urban and small towns water institutions in the six states to deliver sustainable water supply service.				
<u>Result 3a</u> Management and Financial viability of Urban Water Institutions is improved	Internal organisational structure of urban water institution is strengthened to be able to fulfil its mandate. Institutions have investment plans agreed by stakeholders Consumers of urban water supply service are identified for improved revenue Increase in continuity of service is recorded	3.1 Support to strengthen internal organisational structure of urban water agency for improved service delivery 3.2 Support to consumers enumeration 3.3 Support to preparation of investment plans 3.4 Implement capacity building to improve skills and performance	3.1 Partially done 3.2 Partially done and ongoing 3.3 Being done 3.4 Being done Comment Investment plans, designs and estimates for prioritised works in urban, small towns and Rural are being prepared. Total estimate for urban and small town works is about N700million. Tender dossier will be developed after water options study is completed in small towns.	On track

<p>Result 3b Urban Water Works are rehabilitated and improved;</p>	<p>Designs for new water supply facilities are executed Number of new water supply schemes constructed</p>	<p>3.5 Baseline surveys to collect data on status of access to water supply service prior to programme implementation; 3.6 Assess needs in communities (urban and small towns); 3.7 Identify rehabilitation needs; 3.8 Identify new water supply works to be constructed; 3.9 Carry out Studies and designs for water supply works; 3.10 Prepare tenders for launching; 3.11 Support procurement of water supply works contracts; 3.12 Implement works contracts, including supervision; 3.13 Support commissioning of completed water supply works.</p>	<p>3.5. Done 3.6 Done 3.7 Done 3.8 Partially done and ongoing 3.8 Ongoing process 3.9 Ongoing 3.10 Partially done (for priority works) 3.11 To be done at Federal leve; 3.12 Not yet done 3.13 Not yet done Comment The Jigawa state Ministry of Water Resources successfully implemented the Design, tendering and award of contracts through EFD process amounting to about N1.5billion in Phase I which the state government fully paid its over N340million (Urban, small and rural) counterpart contribution from 2007 to 2011. All the water and sanitation schemes were successfully completed by 2010 and are fully functioning to date.</p>	<p>On track</p>
<p>Result 3 c Existing but non-functional water supply schemes in small towns rehabilitated and new water supply schemes constructed</p>	<p>Number of technical studies for rehabilitation works carried out Number of existing water supply facilities rehabilitated</p>	<p>3.7 Identify rehabilitation needs; 3.8 Identify new water supply works to be constructed; 3.9 Carry out Studies and designs for water supply works; 3.10 Prepare tenders for launching; 3.11 Support procurement of water supply works contracts; 3.12 Implement works contracts, including supervision; 3.13 Support commissioning of completed water supply works.</p>	<p>3.10 Partially done (for priority works) 3.11 To be done at Federal leve; 3.12 Not yet done 3.13 Not yet done Comment The Jigawa state Ministry of Water Resources successfully implemented the Design, tendering and award of contracts through EFD process amounting to about N1.5billion in Phase I which the state government fully paid its over N340million (Urban, small and rural) counterpart contribution from 2007 to 2011. All the water and sanitation schemes were successfully completed by 2010 and are fully functioning to date.</p>	<p>On track</p>
<p>Result 3 d Strategy for community-management of water supply facilities in small towns is developed and implemented</p>	<p>Guidelines for community-management agreed by stakeholders Community-management strategy is implemented in some small towns.</p>	<p>3.14 Support to the preparation of community management guidelines and strategy; 3.15 Implement capacity building for Water Consumers Associations; 3.16 Support to the implementation of community-management strategy.</p>	<p>3.14 Done 3.15 Partially done and ongoing process 3.16 Partially done Comment A total of 25 WCAs were successfully established - 15 in Malam Madori LGA and 10 in Taura LGA. A total of 13 WCAs have been registered by the LGAs and 17 have started collecting counterpart contributions while only five have opened bank accounts.</p>	<p>On track</p>
<p>Programme objective 4: To support rural water and sanitation institutions in the six states to deliver sustainable water supply and sanitation services</p>				
<p>Result 4a LGAs' WASH Units are upgraded as Departments and strengthened to implement rural water supply and sanitation</p>	<p>Number of WASH Units upgraded to WASH Departments Operational manuals for WASH Departments prepared and agreed upon by stakeholders Budget is provided for WASH Departments</p>	<p>4.1 Support for advocacy with policy makers on benefits to upgrade LGA WASH Units to Departments; 4.2 Support to the preparation of upgrading plans; 4.3 Support to the preparation of organisational guidelines and job description 4.4 Support capacity assessment and preparation of capacity building plan; 4.5 Implement capacity building</p>	<p>4.1 Done 4.2 Not done 4.3 Partially done 4.4 Ongoing process 4.5 Ongoing Comment Develop capacity of government partners and CSOs on sanitation and hygiene approaches including cross learning, exchange visits and participation in conference -5 STGS officers trained as master certifies of ODF communities</p>	<p>On track</p>

programmes.		activities		
<u>Result 4b</u> Existing but non functional water schemes are rehabilitated and new ones constructed in rural communities	State's investment plan for rural communities is prepared, agreed by stakeholders and implemented by government At least 1 million people have access to safe water supply service at end of programme A minimum of 300,000 pupils in about 200 schools have access to safe water source	4.6 Support to baseline studies to collect data on status of access to water supply and sanitation services, and health situation prior to programme implementation 4.7 Assess needs in communities and schools 4.8 Identify rehabilitation needs 4.9 Identify new water supply facilities to be constructed 4.10 Support to procurement of works contracts and supervision 4.11 Facilitate Community-Led Total Sanitation (CLTS) in communities (including schools sanitation)	4.6 Done 4.7 Done 4.8 Done 4.9 Done 4.10 Partially done and on going 4.11 Partially done and on going Comment Support Jigawa State to develop and finalize State specific WASH Sector-wide Investment plans : LDP and LIP concluded in the 2 supported LGAs	On track
<u>Result 4c</u> Access to improved sanitation and hygiene promotion services in small towns and rural communities is increased.	At least 400,000 households (including households in small towns) are supported through CLTS to have access to improved sanitation facilities and hygiene services At least 500,000 school pupils have access to improved sanitation and hygiene services	4.12 Support to baseline studies to collect data on status of access to adequate sanitation, hygiene and health situation prior to programme implementation 4.13 Assess needs in schools 4.14 Identify sanitation works in schools 4.15 Support procurement of sanitation works contracts in schools and supervision 4.16 Facilitate Community-Led Total Sanitation (CLTS) in small towns and rural communities (including schools-led sanitation) 4.17 Disseminate good practice and lessons learnt	4.12 Done 4.13 Done 4.14 Done 4.15 Partially done and on going 4.16 Partially done and on going 4.17 Not done yet. Comment WCAs (Water consumer associations) in 25 small towns were formed, most have registered with LGAs and have started raising funds for counterpart contribution. WCA capacity building strategy has been developed and training is on-going	On track
<u>Result 4d</u> A state level monitoring and evaluation (M&E) system, linked to the	A community/LGAs and state M&E system is set up in all the six states to capture urban, small towns and rural water and sanitation services delivery by end of 2014 and system integrated with the national M&E	4.18 Assess the current situation 4.19 Identify needs required to have an effective monitoring and evaluation framework to cover urban, small towns and rural water supply and sanitation	4.18 LDP and LIP concluded in the 2 supported LGAs . 4.19 Partiallydone 4.20 Not yet done 4.21 Not yet done Comment Strengthen WASH Sector Coordination/SWAp, M&E system and scale up real-time monitoring and WASHIMS update in	On track

<p>national M&E system is established</p>	<p>system. 80% of the LGA's have functional M&E system regularly collecting data from rural communities by 2014. Reports on the status of water and sanitation services delivery in the State are regularly issued and disseminated to stakeholders by the State Ministry of Water Resources as from 2013.</p>	<p>4.20 Prepare action plan for activities and investment taking into consideration the requirement to link State M&E to the National M&E system 4.21 Implement action plan. 4.22 Workshops to review progress on water and sanitation sector status</p>	<p>Jigawa State: Version 10.1 ArcView GIS software for data collection and management installed on State and the 2 EU supported LGAs computers.</p>	
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a) Table analysing the situation in the State with respect to the 4 indicators

NB. Security situation is worst in this State, Jigawa State to a lesser extent, but care should be taken.

Relevance	Weaknesses of the sector	<ul style="list-style-type: none"> - The sector, in spite of larger numbers of inhabitants in localities like Dutse and Hadejia , is lacking from low coverage, low rates of access, unreliable sources of supply and weak capacities of sector agencies with high needs for facilities and high levels of vulnerability - Weakness of overall M&E framework and lack of integration of various M&E initiatives. - Rotation system of public servants impacts on capacity consistency of staff at State and LGA levels (may include re-training, OJT, etc.) - Challenges due to lack of O&M culture and lack of payment culture - Challenges due to low very IT literacy (versus too ambitious IT systems put in place)
	Complementarity with other donors	<p>Apart from the EU (and UNICEF), the World bank, the AfDB and JICA have recent interventions in the water supply and sanitation sector. These, beside the ongoing EU WSSSRP II, nveswted in infrastructure in water supply and sanitation in the State. The magnitude and timing of intervention are not visible in most of the documents before hand. .</p>
	Program design and scope	<ul style="list-style-type: none"> - Embedment of the programme personnel (consultants) within the structure of the MWR in Jigawa is a good initiative, yet maximizing the benefits from this set-up remains a challenge in terms of limited financial and human resources within the State Government and with respect to effective participation and cooperation of both parties. Much and intensive collaboration techniques and joint work culture needs to be developed over time - delays in receiving EU funds for small town component: these were received in January 2014 (6 months ago) => delays in implementation of activities - Communities start to doubt about “works” component due to delays, not clear communication on next steps/process and uncertainties. - Participation in the procurement of works and supply at the Federal level is highly required in the State. - Much effort has to be made to change the attitude and more reliance in service provision and has to come from the youth in the State. - CSO have not been observed in the State.
Effectiveness	Primary and secondary effects	<ul style="list-style-type: none"> - Greater attention and awareness has been created by the WASH programme and this tends to be increasing. - At community level, creating and empowering WASHCOMs and to some extent WCA is encouraging community cohesion and individual responsibility towards these issues.
	Change in hygiene awareness and practices	<ul style="list-style-type: none"> - Response to water programmes in urban areas is increasing in importance in the eyes of the community and semi-urban areas as dominant formation in the State. - According to interviews with stakeholders and beneficiaries the program has brought increased hygiene awareness and many communities are very satisfied with the increased knowledge the program brought in. - Stakeholders and beneficiaries affirm that practices have changed and are changing.
	Effect on the access and use of improved sanitary facilities	<ul style="list-style-type: none"> - The triggering effect on access to and use of improved sanitary facilities and general community and personal hygiene behavioural patterns is momentarily felt in the society and particularly those in the rural community. - More people are inclined to and appreciative of the use of sanitary facilities. More people demand assistance by provision of public sanitary hygiene.
	Effect on the health of the target population	<ul style="list-style-type: none"> - Beneficiary communities declare that their health situation has been improved since the beginning of the programme (there is a positive perception of the effects of better sanitation). However it was not possible to confirm this with official data as such data is not available and it is too early to assess such indicators. - To ensure sustainability of the positive action observed on the side of the recipient communities a flexible programme and continuous follow-up must be maintained along with provision of facility as an instrument of demonstration. Physical assistance to the community should not be underestimated.
Effi	Coordination and decision making	<ul style="list-style-type: none"> - Coordination between between the TAT and the RUWASA in Jigawa is very good and is ideal example of effective working relationship

	<ul style="list-style-type: none"> - UNICEF baseline surveys provided the basis for small town's selection as the data provided by communities were not realistic. - Duplication of effort was avoided in Taura LGA as two small towns of Yan Fari and Tsadawa were also included in the rural component. This problem was sorted out by RUWASA (UNICEF) who removed the two towns from their list and replaced them with other communities.
Planning and reporting	<ul style="list-style-type: none"> - Yearly planning too general ; Gaps in monthly planning - MTR was not able to assess monthly reports only half yearly reports - Planning very weak at all levels; especially LGA and community (WASHCOM, WCA); stakeholders don't seem to understand the need for planning - Reporting sheets when they exist are based on result indicators and not on process indicators (which makes it difficult to monitor activities implemented) - Low frequency of Programme Steering Committee meetings
Capacity building / trainings	<p>UNICEF has not been doing trainings at State level, LGA level and community level. Would be preferable to do trainings on fewer topics but make more in-depth trainings and repeat them more often; also associate them with daily practices and follow-ups. TAT has been doing training of State Community Mobilizers. Training of is ongoing in 7communities and 9 small towns.</p>
Community mobilization	<ul style="list-style-type: none"> - Acceptable levels of involvement and motivation of LGA staff and of communities on rural component; - PDA approach not fully applied thereby moderate ownership of process. - Selection process of WASHCOM and WACS: mix between official criteria and geographical representation / community preferences; good representation of women. - Civil-society and faith based organizations are not involved at community level to spread message - Communities generally have partially mobilised initial counterpart funds for construction / O&M although there exist record on that – they don't know how much will be needed.
Policy / IWRM	<ul style="list-style-type: none"> - Jigawa State developed its own water supply and sanitation policy document. However, one can find some state policy statements and intentions from the laws establishing the various WSS agencies in the state. The Ministry of Water Resources explained that the provision of potable drinking water for both human and animal consumption is on the topmost priority list of the Government in Jigawa State and it is for this reason that adequate attention is paid to the provision of same across the State. The State follows the National Policy on Water Supply and Sanitation as much as possible. Draft Water Bill has been pending since 2011,; law has been approved by the Governor and is on its way to the Assembly; - STOWA was established as a government agency responsible for, among others, provision and delivery of water services in small towns with population of 5,000 to 20,000 in the state (STOWA law, 2000). This responsibility meant that STOWA staff was directly operating the water schemes in all the small towns - No much done in IWRM so far apart workshops, process is still in a slow process.
CLTS and hygiene promotion	<ul style="list-style-type: none"> - Huge success in CLTS activities with 545 WASHCOMs formed and trained on Community Management of WASH programmes, with 15 members each (10 males, 5 females) and - 1090 female VHPs, 2 per community, trained on Sanitation and Hygiene promotion reaching over330,000 people in the 2 EU supported LGAs-Potential to scale-up of CLTS – State is wishing to expand the approach in other LGAs outside the program (very positive) - Plans had been concluded to certify the 103 communities soonest - Under the EU Programme of the 170 new water points 20 are in schools to serve 5000 and latrine in the same number of schools with 3 compartment 2 each to serve 4800 pupils to further increase school enrollment and retention. - The State Government has awarded the Construction of 33 H/Pumps and 30 blocks of 3 compartments VIP latrines in schools; this will increase access to safe water sources and safe means of excreta disposal to additional 8,250 and 3,600 school children respectively.
Monitoring and evaluation	<ul style="list-style-type: none"> - UNICEF is planning to Build capacity of State and Local Government Officials, Teachers, School Based Management Committee members and School Environmental Health Club members on scaling up, implementation and management of School

		<p>WASH facilities</p> <ul style="list-style-type: none"> - 40 SBMCs, PTAs and school teachers Trained on EHC formation and management of wash facilities in 40 schools of M/Madori and Taura LGAs; school children now promoting Sanitation and Hygiene in their communities - 1090 VHP's Trained on sanitation and hygiene using the CLTS concept. <ul style="list-style-type: none"> - 25 staff were trained on IT for basic data management to strengthen M&E in MWR and agencies - About 40 LGA staff were trained on house survey and customer enumeration. 8 staff from MWR, JSWB and STOWA were trained on GIS mapping. These staff further carried out baseline surveys in the 2 LGAs.
	Works contracts and procurement	<ul style="list-style-type: none"> - Counterpart fund : State and LGA counterpart approved but not yet paid, Community ongoing - Procurement process : Urban and small town component (quick – wins): assessment of existing schemes and feasibility studies undertaken, BOQ submitted to NAO, comments received and integrated, final version sent. Main works: nothing yet. Rural component: procurement plan produced, draft advertisement and tender dossier developed, procurement committee in place, list of communities available for 2 LGA / Tender to be launched in the coming weeks/months
	Risk management	<ul style="list-style-type: none"> - The real commitment of public authorities at higher level to engage on sector reform and establishment of the new institutions may pose a risk to the timely passing of the bill – there should be a clear Advocacy Strategy to support the passing of the bill - WCA/WASHCOMs don't have much to do and are just “waiting” for the water (emptiness of work plans observed), this could discourage them and hinder commitment - Communities are becoming impatient and losing hope of having water, they request quick action: information flow should be improved and commitments made clear on paper to avoid misunderstandings,
Sustainability	Institutional	<ul style="list-style-type: none"> -- The embedment approach encourages ownership and leadership by the Ministry and this is very positive in terms of replication and scaling-up of initiatives and approaches. - there exists some form of integration and planning, reporting and M&E into the official procedures for institutional capacity building .
	Social	Community management is a good approach to promote ownership and responsibility at community level which is a step towards more sustainability
	Technical	Mechanisms for correct technical operation and maintenance of schemes are planned to be established at rural and small town level; availability of spare-parts and technical skills may be the challenges. At urban level, there is a need to strengthen the Water Corporation on O&M, skills and set-up better O&M rules and procedures
	Financial	All its expenses for work and management including proper provision for depreciation or renewal of assets; and such minor works of a capital nature as the Corporation may deem necessary from time to time. They are also required to pay taxes, rates and other levies under any law. The water Corporation edict stipulates that the charges for water sold and for services rendered by the Corporation shall be fixed at such rates that the annual revenue should cover the total working expenses, depreciations loan services, working expenses. The Corporation determines the water rates but it requires the Governor's approval to apply it. In reality the corporation runs a set of boreholes with some reticulation scattered in the capital city and other small towns. The revenue collection is so low and they are dependent on the State Government.
	Environmental	environmental sustainability is part and parcel of the programme priorities and programmes. This should be more so in Yobe State as water resources and thus other natural resource tend to be limited in supply or threatened by scarcity.

Annex 10.4: Kano State

a) Summary table on key facts and figures

Population - 2006 census	Total: 9,383,682 (Urban: 25%: 2,345,920 ; Semi urban 35%: 3,284,288 and Rural : 40% : 3,753,427	Population - 2015 programmeion	Total: 10,013,222 (Urban: 25%:2,503,305 Semi urban:35%: 3,504,627 and Rural : 40%: 4,005,288
Area	4,416 Sq Km	Population density	463/sq km per Sq Km
GDP per capita	Approximately N1 trillion	Literacy rate	72.5%,
N° of LGAs	44	LGAs in WSSRP II	Takai and Madobi
Languages	The official language of Kano State is [English language English] but the [Hausa language], Fulani and Igbo are commonly spoken	Main religions	Muslims are in majority
Major cities	Kano (capital), Rano and Wudil (commercial centers)	Present Governor	Alhaji (Dr.) Rabiu Musa Kwankwaso
Climate and environment	Kano has a marked dry and wet season with average wet season of about six rainy months. The temperature both on diurnal and annual ranges are not prohibitively high to threaten human, plant and animal life. The annual temperature is slightly above 30 degrees centigrade. However, it is to be noted that climate has a rather striking impact on the demographic arrangement of Kano in the past and through current times. In particular, the movement of people between urban and rural centres is governed by seasonality. People move to urban centres in enmasse during the dry season for menial jobs and other activities in Kano. Such people move back to rural areas for cultivation. This is how the climate impacts on the population redistribution in Kano of the past and present.		
Availability of water resources	Abundant water resources. Rainfall: 152-203 cm (1800 mm/year); abundant underground water resources of good quality except for iron occurrence in some areas. Major rivers: Anambra and Niger rivers + several minor rivers and streams.		
Access rates to water and sanitation	Kano State is endowed with abundant water resources with approximately 58 man-made water reservoirs and natural lakes and rivers having a total surface area of 56,583 ha as well as many burrow pits with perennial water across the State. The State's 15 man-made earth dams, rivers and streams are the major source of raw water for the water treatment plants and pumping stations located at various places in the state. 90% of target households already have sanitation facilities of target of 23,225 Public facilities constructed in eight towns to reduce open defecation CLTS campaign in 16 small towns in eleven LGAs. EHCs in 30 schools.		
Institutions in charge of water and sanitation	The water supply system in the State is managed by a number of different organizations and agencies at the Federal, State and Local Authority levels. The Federal and State Ministries of Water Resources are responsible for policy formulation, coordination and planning. The Kano State Water Board [KSWB] is responsible for water supply service delivery in urban and semi-urban areas while the Rural Water Supply and Sanitation Agency [RUWASSA] defines policies and supervises the rural water and sanitation sector. Other agencies are the Hadejia Jama'are River Basin Development Authority [HJRBDA], the Kano Agricultural and Rural Development Authority [KNARDA] and the external donor community including the World Bank, EU, UNICEF, DFID and JICA		

Private sector participation	All three water supply schemes have a combined installed capacity of 594.76 MLD. However, as most of the water plants are currently operating at less than 50% capacity-due to ageing infrastructure and facilities, water supply falls below capacity and is considerably less than water demand-estimated at approximately 900 MLD. It is estimated that state-wide supply-demand shortfall may be in the region of 150-250 million litres of water per day. For example, water demand for domestic, industrial and institutional use is estimated at 500 MLD in Greater Kano but only approximately 160-200 million liters per day is supplied-which is less than 50% of current demand. Unorganized private water vendors and private water supply accounts for the deficit demand. The combined demand for semi-urban and rural communities of 320 MLD exceeds the estimated supply of 224.76 MLD-giving a deficit of 95.24 MLD.
Government Commitment to water sector	The State Government currently spends 2.4% of its budget on water supply which is only able to provide less than 40% of the total water needs of the citizens. To achieve the Water Sector needs by 2015 Government will require increased spending in the Water Sector to about N6 billion per year. In addition, private sector spending on water supply needs to be in similar range to augment the total water sector spending. Government will also need to implement significant public-private partnerships (PPPs) in the Water Sector to ensure sufficient private spending for water supply. The State will access funding through concessions and BOOT-PPP contract arrangements across service areas

(Main source of data: Kano State Water Supply and Sanitation Policy)

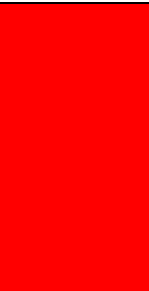
b) Progress towards achievements of results as per the log frame

Results as per the logframe	OVI	Activities	Progress towards achievement (description)	Grading (ahead, on track, delay)
Programme objective 2: To improve water and policy and institutional framework in six focal states				
<u>Result 2a</u> State water law is enacted and implemented	State Water Bill is passed and signed into law. Action plan to implement the law is approved by the Government Action plan is implemented	2.1 Legal advice to the State Ministry of Justice to finalise drafting of the water bill 2.2 Technical support for advocacy meetings with members of the State House Assembly for passage of the water law. 2.3 Support to dissemination workshop for water law and policy 2.4 Support for the preparation of action plan to implement the water law 2.5 Implement capacity building for the implementation of the water law and policy	2.1 Awaiting the sign into law 2.2 Ongoing 2.3 Ongoing 2.4 Ongoing 2.5 Preparation in process Comment: there is no clear <i>advocacy strategy</i> to ensure the State passes the law. There are strong bottlenecks due to lack of political will. Planned activities may not be relevant or enough.	Delay
<u>Result 2b</u> Sector institutions are structured in accordance with the state water law	Existing institutions/agencies structured in line with the law. Internal organisational structure and allocated functions are prepared and action plan for implementation agreed	2.6 Update existing situation of sector institutions 2.7 Support to incremental implementation of structuring plan	2.6 Not yet done 2.7 Not yet done Comment: waiting for the law to be passed before restructuring the sector might not be the right approach as institutional strengthening and capacity building can already take place	Delay
<u>Result 2c</u> Budget for sector institutions to fulfil their mandate is secured.	Sector institutions have approved annual work plans Annual work plans are actually funded and fund used for water and sanitation activities. Sector medium-term expenditure framework are prepared and applied as basis for annual budgeting	2.8 Support to the preparation of strategic plan; 2.9 Support to the preparation of medium-term expenditure framework; 2.10 Support to the preparation of annual work plan at sector institutions level to include activities to be implemented normally by state.	2.8 Not yet done 2.9 Not yet done 2.10 Not yet done Comment: work plans prepared are mainly budget estimates, are not detailed and do not include activities beyond the program	Delay
<u>Result 2d</u>	Sector institutions are accountable to	2.11 Capacity building for stakeholders on adoption	2.11 Partially done (2 meetings planned and 1	on track

States adopt IWRM principles in water resources management	stakeholders through regular reporting Sector institutions hold regular stakeholders consultations with stakeholders to promote participation and ownership. Procurement by sector institutions is done in a transparent manner Sector activities take into consideration issues concerning women, youth and the vulnerable groups	of IWRM principles; 2.12 Support to the implementation of IWRM activities	held) 2.12 Partially done Comment: IWRM was dormant for some years, but with coming of WSSSTP II it was revived. Meeting was held with RUWASSA and other major stakeholders to reactivate the activities on 12 th April 2014.	
<u>Result 2e</u> Strategy for private sector participation in water supply and sanitation services delivery is developed and implemented	Regulatory body established by law The Private sector is involved in water supply and sanitation services delivery	2.13 Assess suitability of private sector involvement, review previous PSP studies; 2.14 Establish PSP strategy and guidelines; 2.15 Support to the preparation of regulatory framework, where it does not exist.	2.13 Not yet done 2.14 Not yet done 2.15 Not yet done Comment The private sector is planned to be involved in all aspects of the provision of water supply in the state. They will contract with WCAs to provide the required goods and service.	On track
<u>Result 2f</u> Regular sector monitoring and review is institutionalised	Sector institutions set up regular monitoring system Regular sector forum established at state level to review sector status	2.16 Support to institutions to establish monitoring and reporting system 2.17 Support to the state to identify the institution to take up responsibility for sector review task	2.16 Partially done 2.17 Not yet done Comment Water rates and tariffs for each system will be established by the WCAs to ensure long-term sustainability of the systems and also to ensure access by the poor. Water rates and tariffs will be approved by the regulatory body.	On track
Programme Objective 3: To support urban and small towns water institutions in the six states to deliver sustainable water supply service.				
<u>Result 3a</u> Management and Financial viability of Urban Water Institutions is improved	Internal organisational structure of urban water institution is strengthened to be able to fulfil its mandate. Institutions have investment plans agreed by stakeholders Consumers of urban water supply service are identified for improved revenue	3.1 Support to strengthen internal organisational structure of urban water agency for improved service delivery 3.2 Support to consumers enumeration 3.3 Support to preparation of investment plans 3.4 Implement capacity building to improve skills and performance	3.1 Not done 3.2 Tariffs will be established for each water supply system separately to ensure long term sustainability of each system 3.3 Not yet done 3.4 Not yet done	Delay

	Increase in continuity of service is recorded		Comment Government shall make human resource development and capacity building in the sector a high priority	
Result 3b Urban Water Works are rehabilitated and improved;	Designs for new water supply facilities are executed Number of new water supply schemes constructed	3.5 Baseline surveys to collect data on status of access to water supply service prior to programme implementation;	3.5 Done	On track
Result 3 c Existing but non-functional water supply schemes in small towns rehabilitated and new water supply schemes constructed	Number of technical studies for rehabilitation works carried out Number of existing water supply facilities rehabilitated	3.6 Assess needs in communities (urban and small towns); 3.7 Identify rehabilitation needs; 3.8 Identify new water supply works to be constructed; 3.9 Carry out Studies and designs for water supply works; 3.10 Prepare tenders for launching; 3.11 Support procurement of water supply works contracts; 3.12 Implement works contracts, including supervision; 3.13 Support commissioning of completed water supply works.	.3.6 Done 3.7 Done; 3.8 Partially done and ongoing; 3.9 Yet to be done; 3.10 Partially done (for priority works); 3.11 To be done at Federal level; 3.12 Not yet done; 3.13 Not yet done Comment The output targets are in three main categories as recommended by the Water Resources Transition Sub-Committee extracted from the Kano State Water Supply Master Plan, 2011: Improve water production from Challawa complex, New Tamburawa and New Watari Treatment Plants.	On track
Result 3 d Strategy for community-management of water supply facilities in small towns is developed and implemented	Guidelines for community-management agreed by stakeholders Community-management strategy is implemented in some small towns.	3.14 Support to the preparation of community management guidelines and strategy; 3.15 Implement capacity building for Water Consumers Associations; 3.16 Support to the implementation of community-management strategy	3.14 Done 3.15 Partially done and on going 3.15 Not yet done Comment CM activities don't put enough focus on planning, M&E and O&M. WCA are not very active on sanitation	On track
Programme objective 4: To support rural water and sanitation institutions in the six states to deliver sustainable water supply and sanitation services				
Result 4a LGAs' WASH	Number of WASH Units upgraded to WASH Departments	4.1 Support for advocacy with policy makers on benefits to upgrade LGA WASH Units to	4.1 Partially done and on going	Delay

Units are upgraded as Departments and strengthened to implement rural water supply and sanitation programmes.	Operational manuals for WASH Departments prepared and agreed upon by stakeholders Budget is provided for WASH Departments	Departments; 4.2 Support to the preparation of upgrading plans; 4.3 Support to the preparation of organisational guidelines and job description 4.4 Support capacity assessment and preparation of capacity building plan; 4.5 Implement capacity building activities	4.2 Not yet done 4.3 Not yet done 4.4 Not yet done 4.5 Partially done Comment: Need to focus more on working procedures and efficiency/productivity and management of HR	
<u>Result 4b</u> Existing but non functional water schemes are rehabilitated and new ones constructed in rural communities	State's investment plan for rural communities is prepared, agreed by stakeholders and implemented by government At least 1 million people have access to safe water supply service at end of programme A minimum of 300,000 pupils in about 200 schools have access to safe water source	4.6 Support to baseline studies to collect data on status of access to water supply and sanitation services, and health situation prior to programme implementation 4.7 Assess needs in communities and schools 4.8 Identify rehabilitation needs 4.9 Identify new water supply facilities to be constructed 4.10 Support to procurement of works contracts and supervision 4.11 Facilitate Community-Led Total Sanitation (CLTS) in communities (including schools sanitation)	4.6 Done 4.7 Done 4.8 Done 4.9 Done 4.10 Partially done and on going 4.11 Partially done and on going Comment: Increase efforts in schools	on track
<u>Result 4c</u> Access to improved sanitation and hygiene promotion services in small towns and rural communities is increased.	At least 400,000 households (including households in small towns) are supported through CLTS to have access to improved sanitation facilities and hygiene services At least 500,000 school pupils have access to improved sanitation and hygiene services	4.12 Support to baseline studies to collect data on status of access to adequate sanitation, hygiene and health situation prior to programme implementation 4.13 Assess needs in schools 4.14 Identify sanitation works in schools 4.15 Support procurement of sanitation works contracts in schools and supervision 4.16 Facilitate Community-Led Total Sanitation (CLTS) in small towns and rural communities (including schools-led sanitation) 4.17 Disseminate good practice and lessons learnt	4.12 Done 4.13 Done 4.14 Done 4.15 Partially done and on going 4.16 Partially done and on going 4.17 Partially done and on going Comment Support was given to the Environmental Health Clubs (EHC) in schools including facilitation of radio/TV programs, quiz and drama competition	On track
<u>Result 4d</u> A state level monitoring and evaluation (M&E) system,	A community/LGAs and state M&E system is set up in all the six states to capture urban, small towns and rural water and sanitation services delivery by end of 2014 and system integrated with the national	4.18 Assess the current situation 4.19 Identify needs required to have an effective monitoring and evaluation framework to cover urban, small towns and rural water supply and sanitation 4.20 Prepare action plan for activities and investment	4.18 Support for the establishment of M&E framework at State level with linkage to FG level 4.19 Same as above 4.20 Not yet done	Delay

<p>linked to the national M&E system is established</p>	<p>M&E system. 80% of the LGA's have functional M&E system regularly collecting data from rural communities by 2014. Reports on the status of water and sanitation services delivery in the State are regularly issued and disseminated to stakeholders by the State Ministry of Water Resources as from 2013.</p>	<p>taking into consideration the requirement to link State M&E to the National M&E system 4.21 Implement action plan. 4.22 Workshops to review progress on water and sanitation sector status</p>	<p>4.21. Not yet done 4.22 Not yet done Comment: serious overlap with the urban component; not enough link of LGA-State-National M&E;</p>	
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c) Situation in the State with respect to the 4 indicators

Relevance	Weaknesses of the sector	Access to public services - water supply, education and health - is constrained. Less than 50% of the population has access to safe water. Only approximately 12.8% of households have access to improved sources of water piped in to their house. On the other hand, up to 40.7% of households rely on unprotected well as main source of drinking water, and up to 5.1% on unprotected spring. There are weak capacities of sector agencies and institutions, low functionality of schemes (especially urban).
	Complementarity with other donors	The Kano State Water Board [KSWB] is responsible for water supply service delivery in urban and semi-urban areas while the Rural Water Supply and Sanitation Agency [RUWASSA] defines policies and supervises the rural water and sanitation sector. Other agencies are the Hadejia Jama'are River Basin Development Authority [HJRBDA], the Kano Agricultural and Rural Development Authority [KNARDA] and the external donor community including the World Bank, EU, UNICEF, DFID and JICA. Existing partnership programmes include suite of DFID-funded ones like GEMS, SPARC, ESSPIN, PATHS2, NIAF and SAVI; the UN programmes; USAID-MARKETS, World Bank Fadama III,
	Program design and scope	Good results of embedment approach in terms of ownership and sustainability, however challenges in terms of timely implementation of program activities <ul style="list-style-type: none"> - Overlap in TAT and UNICEF role on M&E without much integration and consistency - Need to involve State representatives in procurement process at NPC level (with voting powers) - Scope of program very wide; IWRM as well as urban component not priority, risk of having little impact on these 2 areas
Effectiveness	Primary and secondary effects	<ul style="list-style-type: none"> - The program has the merit of making all involved stakeholders pay greater attention to WASH and especially sanitation that is gaining increasing importance - The SMWR is appreciating the approach and replicating it in other LGA / areas - At community level, creating and empowering WASHCOMs and WCA is encouraging community cohesion and responsabilization
	Change in hygiene awareness and practices	<ul style="list-style-type: none"> - According to interviews with stakeholders and beneficiaries the program has brought increased hygiene awareness and many communities are very satisfied with the increased knowledge the program brought - Stakeholders and beneficiaries affirm that practices have changed and are changing
	Effect on the access and use of improved sanitary facilities	<ul style="list-style-type: none"> - Access to sanitation facilities has increased in triggered communities as households are constructing latrines. The process of construction is on-going. Most of the latrines visited by the MTR are improved. - Beneficiary communities declare making use of the latrines and declare their preference of having a latrine as compared to previous situation of open-air defecation.
	Effect on the health of the target population	Beneficiary communities declare that their health situation has been improved since the beginning of the programme (there is a positive perception of the effects of better sanitation). However it was not possible to confirm this with official data as such data is not available and it is too early to assess such indicators.
Efficiency	Coordination and decision making	<ul style="list-style-type: none"> - Coordination meetings between the 2 components take place only when necessary, no joint working groups, but good leadership by 1 person piloting both components (the Director of Water Resources). - Not enough coordination in planning, reporting and especially M&E. - Low frequency of Programme Steering Committee meetings. - Programme coordination mechanisms must be strengthened significantly to optimise resources use and avoid overlap. - Lack of clear distinction between rural, small town and urban at State level makes it difficult to clearly distinguish the 2 (3) components.
	Planning and reporting	<ul style="list-style-type: none"> - Yearly planning too general without clear activity and milestones, it is only the financial values are include. - MTR was not able to assess monthly reports - Planning very weak at all levels; especially LGA and community (WASHCOM, WCA); stakeholders don't seem to understand the need for planning - No clear rules /procedures for reporting at State and LGA levels: seems to be quite approximate

	<p>and mainly on an ad-hoc basis (not systematic) except for CLTS monthly sheet; not enough reporting also from WASHCOMs/WCA to LGA (mainly on ad-hoc basis, no procedure in place)</p> <ul style="list-style-type: none"> - Reporting sheets when they exist are based on result indicators and not on process indicators (which makes it difficult to monitor activities implemented)
Capacity building / trainings	<p>UNICEF has been doing trainings at State level, LGA level and community level Would be preferable to do trainings on fewer topics but make more in-depth trainings and repeat them more often; also associate them with daily practices and follow-ups. TAT has been doing training of State Community Mobilizers on the use of Community Management Strategy and Training of WCAs on roles and responsibilities is ongoing in some small towns.</p>
Community mobilization	<ul style="list-style-type: none"> - There is reasonable involvement and motivation of LGA staff and of communities on rural component; t - The PDA approach not fully applied but good ownership of process - WCAs seems as much involved and informed as WASHCOMs - Selection process : mix between official criteria and geographical representation / community preferences; however good representation of women. - Civil-society and faith based organizations are involved at community level to spread messages, but not sure what is the value-added of (paid) CSO involvement - Operation & Maintenance: Community Management Strategy Manual developed by the urban/small town component - There are some records that some Communities visited have partially mobilised initial counterpart funds for construction / O&M .
Policy / IWRM	<ul style="list-style-type: none"> - IWRM has been dormant for some years , but was revived with the introduction of the WSSSRP programme. A meeting was held on 12th April 2014 with stakeholders in MDA's which included Environment, Agriculture, KNADA, Hadeja Basin , Kanet (NGO's), Hadama Usrs , Ruwasa, Cabinet office and water basins and the following are the highlights: <ul style="list-style-type: none"> • Forming of EXCO was not complete as only 14 out of the 20 persons expected were present. • Appraisal of IWRM in Kano was made • Environmental Impact Assessment of Kano Electricity Programme was to be updated - Action plan for June – December 2014 to be made before the end of the year; - There is no STOWA but small towns are under the Water Corporation and regulation is scattered among the various stakeholders
CLTS and hygiene promotion	<ul style="list-style-type: none"> - There is success in CLTS activities, Kano state is implementing EU/UNICEF WSSSRPII in 2 LGAs- Madobi & Takai. There have Conducted community led total sanitation (CLTS) triggering in 233 communities across the LGA to ensure that the communities have stopped defecation in the open <ul style="list-style-type: none"> • Comprehensive baseline surveys conducted in the 2 LGAs revealing the following facility gaps. • Madobi LGA (pop 189,118)- community water points = 561 - Institutional water facilities = 68. -Institutional sanitation facilities = 133 blocks <ul style="list-style-type: none"> • Taken LGA gaps. • Population (pop 280,644)- community water points = 883 - Institutional water facilities = 78. - -Institutional sanitation facilities = 112 blocks. - LGA-Wide ODF plans developed and signed in the two programme LGAs by the LGA Authorities, 60 ODF claims, 1,535 H/H latrines providing safe access to 15,350 people - 388 Gender focused WASHCOMs established to own and manage community level program implementation with initial orientation provided while plan for training in community management is in place. - 776 Volunteer Hygiene Promoters identified and selected in the 388 communities to promote hygiene in the communities - not much done in schools so far (just identification of beneficiary schools)

	Monitoring and evaluation	<ul style="list-style-type: none"> - The M&E Framework is the synthesis of the results of a stakeholder workshop held in February 2011, attended by representatives of Federal and State Governments, WSSSRP and UNICEF. In March and April a WSSSRP Inter-Agency Task Group (supported by a national consultant) was established under the Ministry of Water Resources, which with WSSSRP consultants worked on the preparation of the final draft M&E Framework document . - The M&E Framework falls within the scope of the KnSG Water Supply and Sanitation policy, 2009, and is part of the Federal Ministry of Water Resources, (FMWR) initiative to support the preparation of State level M&E Frameworks for the Water Sector, with support from UNICEF - It is seen as an integral and essential part of a wider programme of support to the Kano State water and sanitation sector being provided by the EU under the Water Supply and Sanitation Sector Reform Programme (WSSSRP) and initiatives by UNICEF under its WASH programme.
	Works contracts and procurement	<ul style="list-style-type: none"> - Counterpart fund : State and LGA counterpart approved but not yet paid, Community ongoing - Procurement process : <ul style="list-style-type: none"> o Urban and small town component (quick – wins): assessment of existing schemes + feasibility studies undertaken, BOQ submitted to NAO, comments received and integrated, final version sent. Main works: nothing yet. - Contract for the drilling of 150 community-owned BHs awarded and movement to sites commenced while plan for the procurement of 350 additional one is in place. - For the School Wash component 20 number boreholes being procured for primary schools while 20 school gardens are planned for construction to making the school environment friendly to the pupils
	Risk management	<ul style="list-style-type: none"> - During the start-up phase, activities have been significantly delayed due to contested ownership of the program, institutional drawbacks after end of Phase I (example: the abolishing of the Water Ministry) and regressions on the water bill - Getting the STGS weaned from tying their implementation activities to RUWASA funds. Provide capacity building training to the STGS members on in advocacy and fund raising. - Providing capacity building training to the STGS members on in advocacy and fund raising. - Fast track the procurement of the 2nd batch of WASH facilities. - The real commitment of public authorities at higher level to engage on sector reform and establishment of the new institutions may pose a risk to the timely passing of the bill – there should be a clear Advocacy Strategy to support the passing of the bill - WCA/WASHCOMs don't have much to do and are just “waiting” for the water (emptiness of work plans observed), this could discourage them and hinder commitment - Communities are becoming impatient and losing hope of having water, they request quick action: information flow should be improved and commitments made clear on paper to avoid misunderstandings, prevent withdraws and keep up EU reputation
Sustainability	Institutional	<ul style="list-style-type: none"> - The embedment approach encourages ownership and leadership from the Ministry and this is very positive in terms of replication and scaling-up of initiatives and approaches. - there is a lack of integration of planning, reporting and M&E into the official procedures and lack of institutional capacity building on these issues
	Social	<p>Community management is a good approach to promote ownership and responsibility at community level which is a step towards more sustainability</p> <p>Water schemes being perceived as a reward for the success of latrine construction may create risks for the sustainability of “soft” achievements</p>
	Technical	<p>Mechanisms for correct technical operation and maintenance of schemes are planned to be established at rural and small town level; availability of spare-parts and technical skills may be the challenges. At urban level, there is a need to strengthen the Water Corporation on O&M skills and set-up better O&M rules and procedures</p> <p>-300 artisans and mechanics trained on current knowledge and skills of village operation and maintenance of hand pump (VLOM) concept</p>
	Financial	<p>Mechanisms for financial sustainability of schemes are planned to be established at rural and small town level (tariff systems) although willingness to charge for water is still very low (water still perceived as a free social good). At urban level, performance of the utility and quality of service needs to improve before addressing cost-recovery issues.</p>
	Environmental	<p>All programme activities and components seem to be environmentally sustainable. IWRM is addressing more specifically the issue of sustainable use of water resources although the concept is not yet operational.</p>

Annex 10.5: Osun State

a) Summary table on key facts and figures

Population - 2006 census	Total: 3,416,959 (Urban: about 50%)	Population - 2015 programmeion	Total: 3 613 080 (Urban: about 50%)
Area	9,251 – 14 000 Sq Km	Population density	334 per Sq Km
GDP per capita	\$ \$2,076 (2007) (PPP)	Literacy rate	About 60%
N° of LGAs	30	LGAs in WSSRP II	Ayedaade and Odo-Otin
Languages	Yoruba and English	Main religions	Christianity, Muslim, traditional
Major cities	Osogbo (capital), Oke-Ila Orangun, Ila Orangun, Iwo, Ejigbo, Modakeke, Ibokun	Present Governor	Rauf Aregbesola since 2010
Climate and environment	The State is situated in the tropical rain forest zone. The southern part of Nigeria experiences heavy and abundant rainfall. These storms are usually convectional in nature due to the regions proximity, to the equatorial belt. The annual rainfall received in this region is very high, usually above the 2,000 mm.		
Availability of water resources	The State is blessed with the presence of many rivers and streams and have a high level of rainfall. Many rivers, including the Osun River from which the state derives its name, have their source in the northern part of the state. The Osun River is perennial and its volume fluctuates with seasons. Two dams, at Ede and Ire, provide water for the inhabitants of the state. The State also has abundant groundwater resources.		
Access rates to water and sanitation	Water total: 71,6%; Sanitation total: 51% (source: Core Welfare Indicators Questionnaire Survey, CWIQ 2006). Water: rural: 38%, urban: 40%; Sanitation rural: 25%, urban: 35% (source: Osun State SEED Document, 2005) Functionality of urban water schemes is very low: 46 schemes (14 urban + 32 small towns or mini-schemes): out of 14, 6 are working and out of 32, 11 are working.		
Institutions in charge of water and sanitation	The Ministry of Water Resources, Rural Development and Community Affairs, created in 2013, is in charge of the water resources and services. A Water Corporation exists with approximately 760 staff and 10 offices. There is no STOWA, although there is a Bureau of Special Duties in the Office of the Governor which is in charge of constructing water schemes in small towns (it has constructed approximately 30 schemes). No regulatory commission is currently in place. Urban sanitation is officially under the environmental protection agency (OSEPA). RUWESA is in charge of the rural water supply and sanitation. The LGA have WES Departments.		
Private sector participation	The private sector plays an important role in water supply service provision but only for small schemes (mainly boreholes); there has been no implication of the water sector for the management of small-towns and urban schemes under the Water Corporation. Many boreholes are owned by private individuals that sell bottled or sachet water. Initiatives by churches, mosques and communities are also frequent.		

(Main source of data: Osun State Water Supply and Sanitation Policy)

b) Table analyzing progress towards achievements of results as per the log frame

Results as per the logframe	OVI	Activities	Progress towards achievement (description)	Grading (ahead, on track, delay)
Programme objective 2: To improve water and policy and institutional framework in six focal states				
<u>Result 2a</u> State water law is enacted and implemented	State Water Bill is passed and signed into law. Action plan to implement the law is approved by the Government Action plan is implemented	2.1 Legal advice to the State Ministry of Justice to finalise drafting of the water bill 2.2 Technical support for advocacy meetings with members of the State House Assembly for passage of the water law. 2.3 Support to dissemination workshop for water law and policy 2.4 Support for the preparation of action plan to implement the water law 2.5 Implement capacity building for the implementation of the water law and policy	2.1 Done (water bill approved by the Council, on its way to the Assembly) 2.2 Not yet done 2.3 Not yet done 2.4 Not yet done 2.5 Not yet done Comment: there is no clear <i>advocacy strategy</i> to ensure the State passes the law. There are strong bottlenecks due to lack of political will. Planned activities may not be relevant or clear enough.	on track, but risks delays (less progress than Anambra)
<u>Result 2b</u> Sector institutions are structured in accordance with the state water law	Existing institutions/agencies structured in line with the law. Internal organisational structure and allocated functions are prepared and action plan for implementation agreed	2.6 Update existing situation of sector institutions 2.7 Support to incremental implementation of structuring plan	2.6 Not yet done 2.7 Not yet done Comment: waiting for the law to be passed before restructuring the sector might not be the right approach as institutional strengthening and capacity building can already take place	delay (same as Anambra)
<u>Result 2c</u> Budget for sector institutions to fulfil their mandate is secured.	Sector institutions have approved annual work plans Annual work plans are actually funded and fund used for water and sanitation activities. Sector medium-term expenditure framework are prepared and applied as basis for annual budgeting	2.8 Support to the preparation of strategic plan; 2.9 Support to the preparation of medium-term expenditure framework; 2.10 Support to the preparation of annual work plan at sector institutions level to include activities to be implemented normally by state.	2.8 Not yet done 2.9 Not yet done 2.10 Not yet done Comment: work plans prepared are mainly budget estimates, are not detailed and do not include activities of the Ministry beyond the program's activities	delay (less progress than Anambra)
<u>Result 2d</u> States adopt IWRM principles in water resources	Sector institutions are accountable to stakeholders through regular reporting Sector institutions hold regular stakeholders consultations with stakeholders to promote participation and ownership.	2.11 Capacity building for stakeholders on adoption of IWRM principles; 2.12 Support to the implementation of IWRM activities	2.11 Partially done (interviews took place) 2.12 Not yet done Comment: State level has no clear idea of what IWRM activities to implement and the program does not fund such activities (but could have a	on track (less progress than Anambra) not a priority

management	Procurement by sector institutions is done in a transparent manner Sector activities take into consideration issues concerning women, youth and the vulnerable groups		leverage effect). The process being led from Abuja hinders ownership. In Osun IWRM is not a priority and not very relevant at the moment.	
<u>Result 2e</u> Strategy for private sector participation in water supply and sanitation services delivery is developed and implemented	Regulatory body established by law The Private sector is involved in water supply and sanitation services delivery	2.13 Assess suitability of private sector involvement, review previous PSP studies; 2.14 Establish PSP strategy and guidelines; 2.15 Support to the preparation of regulatory framework, where it does not exist.	2.13 Not yet done 2.14 Not yet done 2.15 Not yet done Comment: PSP in urban settings is a challenge but also an opportunity due to institutional weakness of the Water Corporation; should be encouraged more in all settings (urban, small towns and rural). No need to “wait” for the law to engage these activities	delay
<u>Result 2f</u> Regular sector monitoring and review is institutionalised	Sector institutions set up regular monitoring system Regular sector forum established at state level to review sector status	2.16 Support to institutions to establish monitoring and reporting system 2.17 Support to the state to identify the institution to take up responsibility for sector review task	2.16 Partially done 2.17 Not yet done Comment: No coordination and integration between rural and urban component on M&E; no consistent and comprehensive framework being established and implemented	delay (more progress than Anambra)
Programme Objective 3: To support urban and small towns water institutions in the six states to deliver sustainable water supply service.				
<u>Result 3a</u> Management and Financial viability of Urban Water Institutions is improved	Internal organisational structure of urban water institution is strengthened to be able to fulfil its mandate. Institutions have investment plans agreed by stakeholders Consumers of urban water supply service are identified for improved revenue Increase in continuity of service is recorded	3.1 Support to strengthen internal organisational structure of urban water agency for improved service delivery 3.2 Support to consumers enumeration 3.3 Support to preparation of investment plans 3.4 Implement capacity building to improve skills and performance	3.1 Not yet done 3.2 Not yet done 3.3 Not yet done 3.4 Not yet done Comment: as per Result 2b), no need to wait for the law to be passed before implementing institutional strengthening and capacity building of the Water Corporation	delay
<u>Result 3b</u> Urban Water Works are rehabilitated and improved;	Designs for new water supply facilities are executed Number of new water supply schemes constructed	3.5 Baseline surveys to collect data on status of access to water supply service prior to programme implementation; 3.6 Assess needs in communities (urban and small towns);	3.5 Done; 3.6 Done 3.7 Done (priority works);	on track

<p><u>Result 3 c</u> Existing but non-functional water supply schemes in small towns rehabilitated and new water supply schemes constructed</p>	<p>Number of technical studies for rehabilitation works carried out Number of existing water supply facilities rehabilitated</p>	<p>3.7 Identify rehabilitation needs; 3.8 Identify new water supply works to be constructed; 3.9 Carry out Studies and designs for water supply works; 3.10 Prepare tenders for launching; 3.11 Support procurement of water supply works contracts; 3.12 Implement works contracts, including supervision; 3.13 Support commissioning of completed water supply works.</p>	<p>3.8 Partially done and ongoing (major works); 3.9 Yet to be done; 3.10 Partially done (done for priority works); 3.11 To be done at Federal level; 3.12 Not yet done; 3.13 Not yet done. Comment: The relevance of intervening in urban settings is questionable due to existence of many non-functional or under-exploited schemes which are badly managed by the water corporation (lack of will and skills for O&M). Relevance of direct supervision is also questionable.</p>	<p>on track</p>
<p><u>Result 3 d</u> Strategy for community-management of water supply facilities in small towns is developed and implemented</p>	<p>Guidelines for community-management agreed by stakeholders Community-management strategy is implemented in some small towns.</p>	<p>3.14 Support to the preparation of community management guidelines and strategy; 3.15 Implement capacity building for Water Consumers Associations; 3.16 Support to the implementation of community-management strategy</p>	<p>3.14 Done 3.15 Partially done and on going 3.16 Partially done and on going Comment: The selection of communities was done before needs assessment and vulnerability/accessibility criteria might not have been prioritized. CM activities don't put enough focus on planning; M&E and O&M.</p>	<p>on track</p>
<p>Programme objective 4: To support rural water and sanitation institutions in the six states to deliver sustainable water supply and sanitation services</p>				
<p><u>Result 4a</u> LGAs' WASH Units are upgraded as Departments and strengthened to implement rural water supply and sanitation programmes.</p>	<p>Number of WASH Units upgraded to WASH Departments Operational manuals for WASH Departments prepared and agreed upon by stakeholders Budget is provided for WASH Departments</p>	<p>4.1 Support for advocacy with policy makers on benefits to upgrade LGA WASH Units to Departments; 4.2 Support to the preparation of upgrading plans; 4.3 Support to the preparation of organisational guidelines and job description 4.4 Support capacity assessment and preparation of capacity building plan; 4.5 Implement capacity building activities</p>	<p>4.1 Not applicable in Osun State 4.2 Not applicable in Osun State 4.3 Not yet done 4.4 Done (part of the WASH profile) 4.5 Partially done (only on CLTS and M&E, not on working procedures / TOR) Comment: institutional strengthening and capacity building of WES Department staff is crucial for the success of the programme. Need to focus on working procedures, planning, reporting, and efficiency/productivity of staff and HR management.</p>	<p>on track (but need to strengthen capacity building on working procedures)</p>
<p><u>Result 4b</u></p>	<p>State's investment plan for rural</p>	<p>4.6 Support to baseline studies to collect data on</p>	<p>4.6 Done</p>	<p>on track</p>

Existing but non functional water schemes are rehabilitated and new ones constructed in rural communities	communities is prepared, agreed by stakeholders and implemented by government At least 1 million people have access to safe water supply service at end of programme A minimum of 300,000 pupils in about 200 schools have access to safe water source	status of access to water supply and sanitation services, and health situation prior to programme implementation 4.7 Assess needs in communities and schools 4.8 Identify rehabilitation needs 4.9 Identify new water supply facilities to be constructed 4.10 Support to procurement of works contracts and supervision 4.11 Facilitate CLTS in communities and schools	4.7 Done 4.8 Done 4.9 Done 4.10 Partially done and on going 4.11 Partially done and on going Comment: Increase efforts in schools. Please note that Activity 4.11 is not logically related to Result 4b.	
Result 4c Access to improved sanitation and hygiene promotion services in small towns and rural communities is increased.	At least 400,000 households (including households in small towns) are supported through CLTS to have access to improved sanitation facilities and hygiene services At least 500,000 school pupils have access to improved sanitation and hygiene services	4.12 Support to baseline studies to collect data on status of access to adequate sanitation, hygiene and health situation prior to programme implementation 4.13 Assess needs in schools 4.14 Identify sanitation works in schools 4.15 Support procurement of sanitation works contracts in schools and supervision 4.16 Facilitate Community-Led Total Sanitation (CLTS) in small towns and rural communities (including schools-led sanitation) 4.17 Disseminate good practice and lessons learnt	4.12 Done 4.13 Done 4.14 Partially done and on going 4.15 Partially done and on going 4.16 Partially done and on going 4.17 Done and on going Comment: Be careful not to promise water as a reward for CLTS efforts as this message may be misleading. Rethink the CLTS approach for urban context. Note that reference to small towns is overlapping with Urban component.	on track
Result 4d A state level monitoring and evaluation (M&E) system, linked to the national M&E system is established	A community/LGAs and state M&E system is set up in all the six states to capture urban, small towns and rural water and sanitation services delivery by end of 2014 and system integrated with the national M&E system. 80% of the LGA's have functional M&E system regularly collecting data from rural communities by 2014. Reports on the status of water and sanitation services delivery in the State are regularly issued and disseminated to stakeholders by the State Ministry of Water Resources as from 2013.	4.18 Assess the current situation 4.19 Identify needs required to have an effective monitoring and evaluation framework to cover urban, small towns and rural water supply and sanitation 4.20 Prepare action plan for activities and investment taking into consideration the requirement to link State M&E to the National M&E system 4.21 Implement action plan. 4.22 Workshops to review progress on water and sanitation sector status	4.18 M&E Assessment done by urban component 4.19 Same as above 4.20 Partially done / Not yet done 4.21. Partially done / Not yet done 4.22 Not yet done but planned Comment: serious overlap with the urban component; not enough link of LGA-State-National M&E; current initiatives are very interesting but very complex (risk for replication and sustainability).	on track (but with weaknesses and uncertain results)

a) Table analysing the situation in the State with respect to the 4 indicators

Relevance	Weaknesses of the sector	The water supply and sanitation sector in Osun is facing challenges especially related to relatively low rates of access to water and sanitation services, weak capacities of sector agencies and institutions, low functionality of schemes (especially urban). However it is not clear to what extent needs and vulnerability were considered for the selection of LGA.
	Complementarity with other donors	A few other donors are intervening in Osun WASH sector, such as: the AfDB is intervening in 30 LGA on a Rural Water & Sanitation Programme; the International Year of Sanitation programme; the European Assisted Water Supply and Sanitation Sector Reform Program; Unilever, through its Lifebuoy soap initiative, works in Osun on an integrated school health education and behavioral change activities. The other programs do not seem to work on policy and institutional reform which leaves space for complementarity with WSSSRP II.
	Program design and scope	<ul style="list-style-type: none"> - Good results of embedment approach in terms of ownership and sustainability, however challenges in terms of timely implementation of program activities - Overlap in TAT and UNICEF role on M&E without much integration and consistency - Need to involve State representatives in procurement process at NPC level (with voting powers) - Scope of program very wide; IWRM as well as urban component not priority, risk of having little impact on these 2 areas - Gap in TA support to LGA on small town/urban component: Ministry and Water corporation should not implement directly without passing through the LGA; lack of Small Town agency or department at State level - Not clear to what extent CLTS is relevant in small-town/urban settings - Steering committee meets too rarely, no real impact on programme implementation - The distinction between rural, small town and urban is somewhat “artificial” and flexible: risk of overlapping between the intervention areas of the different agencies - Not clear the role of the CSO – what value-added + contractual agreement
Effectiveness	Primary and secondary effects	<ul style="list-style-type: none"> - The program has the merit of making all involved stakeholders pay greater attention to WASH and especially sanitation that is gaining increasing importance - The SMWR is appreciating the approach and replicating it in other LGA / areas - At community level, creating and empowering WASHCOMs and WCA is encouraging community cohesion and responsabilization
	Change in hygiene awareness and practices	<ul style="list-style-type: none"> - According to interviews with stakeholders and beneficiaries the program has brought increased hygiene awareness and many communities are very satisfied with the increased knowledge the program brought - Stakeholders and beneficiaries affirm that practices have changed and are changing
	Effect on the access and use of improved sanitary facilities	<ul style="list-style-type: none"> - Access to sanitation facilities has increased in triggered communities as households are constructing latrines. The process of construction is on-going. Most of the latrines visited by the MTR are improved. - Beneficiary communities declare making use of the latrines and declare their preference of having a latrine as compared to previous situation of open-air defecation.
	Effect on the health of the target population	Beneficiary communities declare that their health situation has been improved since the beginning of the programme (there is a positive perception of the effects of better sanitation). However it was not possible to confirm this with official data as such data is not available and it is too early to assess such indicators.
Efficiency	Coordination and decision making	<ul style="list-style-type: none"> - Coordination meetings between the 2 components take place only when necessary, no joint working groups, but good leadership by 1 person piloting both components (the Director of Water Resources). - Not enough coordination in planning, reporting and especially M&E. - Low frequency of Programme Steering Committee meetings - SWAp approach considered but no planned process has been initiated; however extensive sector-wide coordination already takes place effectively. - Programme coordination mechanisms must be strengthened significantly to

	<p>optimise resources use and avoid overlap.</p> <ul style="list-style-type: none"> - Lack of clear distinction between rural, small town and urban at State level makes it difficult to clearly distinguish the 2 (3) components. The distinction is “flexible”: <ul style="list-style-type: none"> o Rural component subdivided Ekusa small towns into 5 rural communities o Small town/urban component subdivided Inisha city into 4 small towns <p>This sub-divisions can be an efficient solution but create some confusion in the task sharing between the stakeholders and on who is in charge of what.</p>
Planning and reporting	<ul style="list-style-type: none"> - Yearly planning too general ; Gaps in monthly planning - MTR was not able to assess monthly reports - Planning very weak at all levels; especially LGA and community (WASHCOM, WCA); stakeholders don’t seem to understand the need for planning - No clear rules /procedures for reporting at State and LGA levels: seems to be quite approximate and mainly on an ad-hoc basis (not systematic) except for CLTS monthly sheet; not enough reporting also from WASHCOMs/WCA to LGA (mainly on ad-hoc basis, no procedure in place) - Reporting sheets when they exist are based on result indicators and not on process indicators (which makes it difficult to monitor activities implemented)
Capacity building / trainings	<p>UNICEF has been doing trainings at State level, LGA level and community level (WASHCOMs and facility Care Takers) on a lot of topics such as: Procurement process , Web-based Facility Tracking System, WASHSIMS, Documentation, Reporting, HIS, HACT, Reporting and Proposal writing, Development of Work Plans, CLTS, Community Management, Monitoring and Supervision of Triggered Communities. However, single trainings are not always enough and weaknesses have been observed especially on administrating the Web-based Facility Tracking System, usage of WASHSIMS for monthly reporting, as well as overall planning and reporting. Would be preferable to do trainings on fewer topics but make more in-depth trainings and repeat them more often; also associate them with daily practices and follow-ups.</p> <p>TAT has been doing training of State Community Mobilizers on the use of Community Management Strategy and Training of WCAs on roles and responsibilities is ongoing in 10 small towns. Not much focus has been put into training of State staff, water corporation staff and LGA staff so far for the urban and small town component.</p>
Community mobilization	<ul style="list-style-type: none"> - good involvement and motivation of LGA staff and of communities on rural component; the PDA approach not fully applied but good ownership of process - WCAs seems as much involved and informed as WASHCOMs - selection process : mix between official criteria and geographical representation / community preferences; however good representation of women. - top-down information flow could be improved : not enough clarity on programs time-span, works planned and « soft » objectives ; “hard” component seen as a reward for the “soft” component which is seen as a “requirement” (biased CLTS approach) - Civil-society and faith based organizations are involved at community level to spread messages, but not sure what is the value-added of (paid) CSO involvement - Operation & Maintenance: Community Management Strategy Manual developed by the urban/small town component - No mechanisms for O&M established so far but WASHCOMS and WCA aware of their O&M role; no discussion of PPP approaches so far (too early) - Communities generally have partially mobilised initial counterpart funds for construction / O&M although there is no record on that – they don’t know how much will be needed. Generosity of wealthy people in communities and living abroad facilitates raising money with donations through Development Associations - Not clear if this counterpart money will be used for construction and/or for O&M (contradictory information was provided on this issue).
Policy / IWRM	<ul style="list-style-type: none"> - State Water Policy was approved during Phase I - Draft Water Bill has been pending since 2011, key-chapter on Small Towns was contested (removed than re-introduced); now law has been approved by the Governor and is on its way to the Assembly;

		<ul style="list-style-type: none"> - STOWA and regulatory commission to be created once the bill passes; in the meantime; small towns are under the Water Corporation and regulation is scattered among the various stakeholders - LGA has WES Departments with 16-20 technical staff + various support staff (seems more than enough; staff not very competent nor efficient but lack of acknowledgment of weaknesses) - No much done in IWRM so far apart workshops, process is being led by Abuja, not clear how to operationalize the concept – issue is not a priority in the State
	CLTS and hygiene promotion	<ul style="list-style-type: none"> - Good success in CLTS activities (Triggering of 268 rural communities, Supervision of triggered communities ongoing, 78 WASHCOM-Claimed ODF Communities, 1 Ward-Claimed ODF) - Potential to scale-up of CLTS – State is wishing to expand the approach in other LGAs outside the program (very positive) - not much done in schools so far (just identification of beneficiary schools) - Overall, association of soft (CLTS) and hard (water supply) in the same community can be tricky if not well-thought and well-managed: some beneficiaries tend to consider the programme not to have started yet! (they are all waiting for the “hard” component)
	Monitoring and evaluation	<ul style="list-style-type: none"> - UNICEF well ahead with WASH profiles + LIP finalized and approved, State wishing to replicate this approach in other LGAs outside the program (very positive) - UNICEF currently implementing web-based facility Tracking System + WASHIM software with some results but still many challenges; facility Tracking system still to be improved; WASHIM system seems too complex to be sustainable. - TA did a M&E assessment (very relevant) + supplementary baseline for small towns - lack of a comprehensive M&E framework (for the 2 components) - lack of embedment of program M&E (too complex) into state and national M&E - low capacity of stakeholders in M&E, low understanding of what is M&E and why it is needed, capacity building is on-going but could be strengthened <p>Some monitoring is done on Phase I and non-program facilities but not systematic, monitoring was perceived as an “inspection” role but perception is changing</p>
	Works contracts and procurement	<ul style="list-style-type: none"> - Counterpart fund : State and LGA counterpart approved but not yet paid, Community ongoing - Procurement process : <ul style="list-style-type: none"> o Urban and small town component (quick – wins): assessment of existing schemes + feasibility studies undertaken, BOQ submitted to NAO, comments received and integrated, final version sent. Main works: nothing yet. o Rural component: procurement plan produced, draft advertisement + tender dossier developed, procurement committee in place, list of communities available for 2 LGA / Tender to be launched in the next 2 weeks (we are waiting for the technical designs) – 140 communities + 10 schools will benefit boreholes this year; no public latrines this year.
	Risk management	<ul style="list-style-type: none"> - During the start-up phase, activities have been significantly delayed due to contested ownership of the program, institutional drawbacks after end of Phase I (example: the abolishing of the Water Ministry) and regressions on the water bill - The real commitment of public authorities at higher level to engage on sector reform and establishment of the new institutions may pose a risk to the timely passing of the bill – there should be a clear Advocacy Strategy to support the passing of the bill - WCA/WASHCOMs don’t have much to do and are just “waiting” for the water (emptiness of work plans observed), this could discourage them and hinder commitment - Communities are becoming impatient and loosing hope of having water, they request quick action: information flow should be improved and commitments made clear on paper to avoid misunderstandings, prevent withdraws and keep up EU reputation
∞	Institutional	<ul style="list-style-type: none"> - The embedment approach encourages ownership and leadership from the Ministry

	and this is very positive in terms of replication and scaling-up of initiatives and approaches - there is a lack of integration of planning, reporting and M&E into the official procedures and lack of institutional capacity building on these issues
Social	Community management is a good approach to promote ownership and responsibility at community level which is a step towards more sustainability Water schemes being perceived as a reward for the success of latrine construction may create risks for the sustainability of “soft” achievements
Technical	Mechanisms for correct technical operation and maintenance of schemes are planned to be established at rural and small town level; availability of spare-parts and technical skills may be the challenges. At urban level, there is a need to strengthen the Water Corporation on O&M skills and set-up better O&M rules and procedures
Financial	Mechanisms for financial sustainability of schemes are planned to be established at rural and small town level (tariff systems) although willingness to charge for water is still very low (water still perceived as a free social good). At urban level, performance of the utility and quality of service needs to improve before addressing cost-recovery issues.
Environmental	All programme activities and components seem to be environmentally sustainable. IWRM is addressing more specifically the issue of sustainable use of water resources although the concept is not yet operational. Wastewater collection and safe treatment/disposal is not being addressed by the programme but is not a priority for now.

Annex 10.6: Yobe State

a) Summary table on key facts and figures

Population - 2006 census	Total: of 2.3 million ³² people with an annual growth rate of 3.5%. 3.2 by 2015. Predominantly rural and some urban and semi-urban	Population - 2015 programmeion	Total: 1,411,481 (1991 census), est. 2011: 2,757,000 Slightly increasing urban and semi urban. Urban (%)?, Rural (%)?.
Area	45,502 km ² , located between Latitudes 10.5 ⁰ N and 13 ⁰ N and Longitudes 9.5 ⁰ E and 13 ⁰ E	Population density	31/km ²
GDP per capita GDP	\$843 (PPP) \$2.01 billion	Literacy rate	Medium to low.
N° of LGAs	17	LGAs in WSSRP II	Nguru and
Languages	Hausa spoken by all (%), Kanuri dominant group (%), others are Bade, Bole Duwai, Karekare, Maka, Ngamo and Ngizim.	Main religions	Islam. Sharia law is valid and Boko Haram is active.
Major cities	Damaturu (capital), Nguru, Potiskum.	Present Governor	Ibrahim Geidam,
Climate and environment	Dry savanna belt, conditions are hot and dry for most the year, except in the southern part of the state which has a milder climate. River Yobe flows through Jakusko, Bade, Bursari, Yunusari, Geidam and Nguru Local government areas before emptying into Lake Chad. Anumma, Hadejia, Ngeji and Kumadugu Gana are some of the rivers in the state. River Yobe which flows through Jakusko, Bade, Bursari, Yunusari, Geidam and Nguru Local government areas before emptying into Lake Chad. Anumma, Hadejia, Ngeji and Kumadugu Gana are some of the rivers in the state. The rainy season is short and the hottest periods of the year are between March and June with temperatures as high as 40 ⁰ C. Rainfall lasts between 120 to 140 days with annual figure ranging between 250mm and 750mm depending on the location.		
Availability of water resources	<p>Annual water consumption ?</p> <p>Water production by water boards, private, community initiative, support efforts is</p> <p>Total water use including human, agricultural, industry and commerce useis ????</p> <p>State threatened by water scarcity, unless measures are taken.</p> <p>In the Hadeja sub-basin in Yobe, about 2,619 million cubic meters (MCM) of surface water is available annually upstream of Wudil, 658 MCM is available between Wudil and Hadejia, while 905 MCM is available between Hadejia and Gashua. Direct ground water recharge shows that 86mm, 94mm and 8mm of water is recharged to groundwater annually in the three hydrological sections in. No water stress was observed in the sub catchment prior to 2005 (guessed), but otential water balance of the area shows that about 75% of the available water between Wudil and Hadejia would be used up by 2010 going by the current development rate. Programmeions show that the water use rate will reach 100% by 2018. At this time, water scarcity will be experienced in this sub catchment if urgent steps are not</p>		

³² National Population Commission 2006

	taken to address the situation. Integrated water resources management (IWRM) strategies were advanced for the sub catchment in order to avert the crisis. ³³
Access rates to water and sanitation	<p>42.4%³⁴ of the population, and only 42.1% of the households in the State have access to safe sanitary disposal. 7%³⁵ of the households in the State get their drinking water from private vendors, the rate is much higher for the urban sector.</p> <p>Yobe State Water Corporation manages 220 boreholes in the state (Damaturu and Potiskum 30% have of these). State capital and local government headquarters have only boreholes with limited reticulation and overhead tanks. The O&M is provided by the State. Scattered small private operators run some boreholes in the state capital.</p> <p>Rural Water Supply Agency (RUWASA) avails of over 2000 boreholes (hand and motorized (solar/fossil fuel) pumps and hand dug wells to supply water to the rural areas. These are mostly provided by the State government and to a lesser extent by the LGAs. The Federal is providing a limited no of these facilities through Lake Chad Basin Development Authority (CBDA).</p>
Institutions in charge of water and sanitation	<p>Institutions are either supervisory, service delivery or support agencies. Supervising and policy is State Ministry of Water Resources (Water supply), Ministry of Health (sanitation and hygiene), Ministry of Environment (MoE) and EPA (Environmental Protection Agency) (environmental protection policy and policy implementation and enforcement of compliance). Service delivery is undertaken by Water Corporation, RUWASA, private individuals, companies and by the community. Support is provided by WSSSRPs, Because Yobe is a “rural State”, there are no small towns, but rural communities catered for by the RUWASAs. The MWR is a policy maker and planner (water master plans), a regulator and an investor (bearing responsibility for assets as well as supporting with O&M. A State Council on Water Resources is responsible for support in water and sanitation issues.</p> <p>Other institutions involve Federal institutions like the Chad Basin River Authority, and the Hadejia-Jamaare River Basin Development Authority. The Hadejia Water Fund is funded by the Federal and riparian States to support IWRM efforts to combat water scarcity problems.</p> <p>The Federal Government (FGN) through the FMWR is responsible for water resources management, rehabilitation of facilities (e.g. power supply for water supply facilities), provide access to donor funding and development and planning of national programmes/programmes and develop and maintain service standards and data (M&E) acquisition and related functions in conjunction with the states and LGAs..</p> <p>WCAs are organizations set up by communities to run, protect and maintain water supply and sanitation. These are not available now in Yobe State: no small towns. They shall be introduced in due course, empowered and be involved in programme implementation as well as setting and collection of tariff, own the scheme and assets (where applicable), prepare annual budgets , and make inputs for policy review as stakeholders.</p>
Private sector participation	Private sector participation does not exist presently in the State in a significant scale.

³³ Source, sobowale, water Resources Potentials of hadejia River Subcatchment Komadugu-Yobe River Basin in Nigeria, Dept. of Agricultural Engineering, University of Agriculture, Abeokuta, : rosvik2@yahoo.com.

³⁴ Core Welfare Indicator Questionnaire Survey 2006.

³⁵ Assessing the institutional framework for water supply and sanitation provision 2007.

b) Progress towards achievements of results as per the log frame

Results as per the logframe	OVI	Activities	Progress towards achievement (description)	Grading (ahead, on track, delay)
Programme objective 2: To improve water and policy and institutional framework in six focal states				
<u>Result 2a</u> State water law is enacted and implemented	State Water Bill is passed and signed into law. Action plan to implement the law is approved by the Government Action plan is implemented	2.1 Legal advice to the State Ministry of Justice to finalise drafting of the water bill 2.2 Technical support for advocacy meetings with members of the State House Assembly for passage of the water law. 2.3 Support to dissemination workshop for water law and policy 2.4 Support for the preparation of action plan to implement the water law 2.5 Implement capacity building for the implementation of the water law and policy	2.1. Done. Follow-up to draft Water in the Min. of Justice and the Governor's Office were made 2.2. Started 2.3. Not done 2.4. Not done 2.5. Not done Comment: The draft water law has been sent to the Governor's office for onward transmission to the State House of Assembly since 2011. No progress since then, Letter to House of Assembly not traceable.	delay
<u>Result 2b</u> Sector institutions are structured in accordance with the state water law	Existing institutions/agencies structured in line with the law. Internal organisational structure and allocated functions are prepared and action plan for implementation agreed.	2.6 Update existing situation of sector institutions 2.7 Support to incremental implementation of structuring plan.	2.6. Not done 2.7. Not done Comments: No mention of any progress in any of these items.	delay
<u>Result 2c</u> Budget for sector institutions to fulfil their mandate is secured.	Sector institutions have approved annual work plans Annual work plans are actually funded and fund used for water and sanitation activities. Sector medium-term expenditure framework are prepared and applied as basis for annual budgeting	2.8 Support to the preparation of strategic plan; 2.9 Support to the preparation of medium-term expenditure framework; 2.10 Support to the preparation of annual work plan at sector institutions level to include activities to be implemented normally by state.	2.8. Not done 2.9. Not done 2.10. Not done Comment: No mention of any progress in any of these items	delay
<u>Result 2d</u> States adopt IWRM principles in water resources management	Sector institutions are accountable to stakeholders through regular reporting Sector institutions hold regular stakeholders consultations with stakeholders to promote participation and ownership. Procurement by sector institutions is done in a transparent manner Sector activities take into consideration issues concerning women, youth and the vulnerable groups	2.11 Capacity building for stakeholders on adoption of IWRM principles; 2.12 Support to the implementation of IWRM activities 2.13 (See footnote below, pl.) 2.14 Reactivation and capacity building workshops for the state IWRM committee and other stakeholders.	2.11. Started 2.12. Initiated 2.13. ?? 2.14. Done partly. Comments: Reactivation and capacity building workshops for the state IWRM committee and other stakeholders have been conducted	On ntrack

<u>Result 2e</u> Strategy for private sector participation in water supply and sanitation services delivery is developed and implemented	Regulatory body established by law The Private sector is involved in water supply and sanitation services delivery	2.13 Assess suitability of private sector involvement, review previous PSP studies; 2.14 Establish PSP strategy and guidelines; 2.15 Support to the preparation of regulatory framework, where it does not exist.	2.13. Not done ³⁶ . 2.14. Not done. 2.15. Not done. Comment: See f.n. below, pl.	Not clear
<u>Result 2f</u> Regular sector monitoring and review is institutionalised	Sector institutions set up regular monitoring system Regular sector forum established at state level to review sector status	2.16 Support to institutions to establish monitoring and reporting system 2.17 Support to the state to identify the institution to take up responsibility for sector review task	2.16. Done, 2.17. Not done Comment: Community Management strategy and guidelines have already been developed for the small towns. This document has been shared with the relevant stake holders Not done here and	delay
Programme Objective 3: To support urban and small towns water institutions in the six states to deliver sustainable water supply service.				
<u>Result 3a</u> Management and Financial viability of Urban Water Institutions is improved	Internal organisational structure of urban water institution is strengthened to be able to fulfil its mandate. Institutions have investment plans agreed by stakeholders Consumers of urban water supply service are identified for improved revenue Increase in continuity of service is recorded	3.1 Support to strengthen internal organisational structure of urban water agency for improved service delivery 3.2 Support to consumers enumeration 3.3 Support to preparation of investment plans 3.4 Implement capacity building to improve skills and performance	3.1. Not done, 3.2. Done in the baseline Survey stage. 3.3. Not done. 3.4. Not done. Comment: See f.n. below.	delay
<u>Result 3b</u> Urban Water Works are rehabilitated and improved;	Designs for new water supply facilities are executed Number of new water supply schemes constructed	3.5 Baseline surveys to collect data on status of access to water supply service prior to programme implementation; 3.6 Assess needs in communities (urban and small towns); 3.7 Identify rehabilitation needs; 3.8 Identify new water supply works to be constructed; 3.9 Carry out Studies and designs for water supply works;	3.5. Done 3.6. Done 3.7. Done 3.8. Done 3.9. Ongoing 3.10. Started	delay

³⁶ Not done, refers to the fact that nothing has been mentioned in the plan or progress reports or known to us in terms of oral communication.

		<p>3.10 Prepare tenders for launching; 3.11 Support procurement of water supply works contracts; 3.12 Implement works contracts, including supervision; 3.13 Support commissioning of completed water supply works. 3.14. ??? 3.15. ??? 3.16.5. Selection for Technology options in WSS for the selected small towns and urban towns carried out.</p>	<p>3.11. Not done 3.12. Not done 3.13. Not done 3.14. . 3.15. . 3.16.5..</p> <p>Comment: Activities mostly not done. Awaiting approvals and funding. Activities are not clearly organised, a major weakness of the plan as a whole.</p>	
<p><u>Result 3 c</u> Existing but non-functional water supply schemes in small towns rehabilitated and new water supply schemes constructed</p>	<p>Number of technical studies for rehabilitation works carried out Number of existing water supply facilities rehabilitated</p>		<p>3.c. Done partly.</p> <p>Comments: Tender Documents for priority works under the ‘quick wins’ is completed. Contract to be awarded in September 2014. Estimated value of works about €260,000.00. Also engineering design and preparation of tender documents in advanced stage for main works in the selected small and urban towns in the two focal LGAs. Estimated value of works to prepared is about €4,500,000.-. Baseline surveys (household, customer enumeration, facility inventory, etc).carried out in 6 Small Towns in Nguru LGA & 7 Small Towns in Bade LGA.</p>	On track
<p><u>Result 3 d</u> Strategy for community-management of water supply facilities in small towns is developed and implemented</p>	<p>Guidelines for community-management agreed by stakeholders Community-management strategy is implemented in some small towns.</p>	<p>3.14 Support to the preparation of community management guidelines and strategy; 3.15 Implement capacity building for Water Consumers Associations; 3.16 Support to the implementation of community-management strategy</p>	<p>3.14. Not done 3.15. Started 3.16. Not done</p> <p>Comment:</p> <ol style="list-style-type: none"> Only at 3.1. have meetings with CSOs carried out and key CSOs were identified to work with the Programme. Challenges for TAT Programme Yobe State: <ul style="list-style-type: none"> Untimely release of the SPE Security Issues: Delay due to Security Road blocks/curfew, Uncertainty about security positions Counterpart Contributions Payment of counterpart fund to be on 	delay

			installment bases(annually) • Involvement of state in procurement processes of works seems to be minimal	
Programme objective 4: To support rural water and sanitation institutions in the six states to deliver sustainable water supply and sanitation services				
<u>Result 4a</u> LGAs' WASH Units are upgraded as Departments and strengthened to implement rural water supply and sanitation programmes.	Number of WASH Units upgraded to WASH Departments Operational manuals for WASH Departments prepared and agreed upon by stakeholders Budget is provided for WASH Departments	4.1 Support for advocacy with policy makers on benefits to upgrade LGA WASH Units to Departments; 4.2 Support to the preparation of upgrading plans; 4.3 Support to the preparation of organisational guidelines and job description 4.4 Support capacity assessment and preparation of capacity building plan; 4.5 Implement capacity building activities	4.1. Done; 4.2. Done ongoing; 4.3. Started to be completed, 4.4. Ongoing; 4.5. Started Comments:	delay
<u>Result 4b</u> Existing but non functional water schemes are rehabilitated and new ones constructed in rural communities	State's investment plan for rural communities is prepared, agreed by stakeholders and implemented by government At least 1 million people have access to safe water supply service at end of programme A minimum of 300,000 pupils in about 200 schools have access to safe water source	4.6 Support to baseline studies to collect data on status of access to water supply and sanitation services, and health situation prior to programme implementation 4.7 Assess needs in communities and schools 4.8 Identify rehabilitation needs 4.9 Identify new water supply facilities to be constructed 4.10 Support to procurement of works contracts and supervision 4.11 Facilitate Community-Led Total Sanitation (CLTS) in communities (including schools sanitation)	4.6. Done partly 4.7. Done 4.8. Done 4.9. Done 4.10. Started ongoing 4.11. Started Comments:	On track
<u>Result 4c</u> Access to improved sanitation and hygiene promotion services in small towns and rural communities is increased.	At least 400,000 households (including households in small towns) are supported through CLTS to have access to improved sanitation facilities and hygiene services At least 500,000 school pupils have access to improved sanitation and hygiene services	4.12 Support to baseline studies to collect data on status of access to adequate sanitation, hygiene and health situation prior to programme implementation 4.13 Assess needs in schools 4.14 Identify sanitation works in schools 4.15 Support procurement of sanitation works contracts in schools and supervision 4.16 Facilitate Community-Led Total Sanitation (CLTS) in small towns and rural communities (including schools-led sanitation) 4.17 Disseminate good practice and lessons learnt	4.12. Done 4.13. Done partly 4.14. Done partly 4.15. To be done 4.16. Started 4.17. To be done	On track

			Comments:	
<p><u>Result 4d</u> A state level monitoring and evaluation (M&E) system, linked to the national M&E system is established</p>	<p>A community/LGAs and state M&E system is set up in all the six states to capture urban, small towns and rural water and sanitation services delivery by end of 2014 and system integrated with the national M&E system. 80% of the LGA's have functional M&E system regularly collecting data from rural communities by 2014. Reports on the status of water and sanitation services delivery in the State are regularly issued and disseminated to stakeholders by the State Ministry of Water Resources as from 2013.</p>	<p>4.18 Assess the current situation 4.19 Identify needs required to have an effective monitoring and evaluation framework to cover urban, small towns and rural water supply and sanitation 4.20 Prepare action plan for activities and investment taking into consideration the requirement to link State M&E to the National M&E system 4.21 Implement action plan. 4.22 Workshops to review progress on water and sanitation sector status</p>	<p>4.18. Done 4.19. Done 4.20. Done 4.21. to be done. 4.22. Initiated. Comments: There is no monitoring or reporting activity as of now, not even on paper. It is not clear how the States are going to be prepared without having a go at it initially with the available means until an electronic system is interoduced.</p>	<p>On track</p>

c) Table analysing the situation in the State with respect to the 4 indicators (Security situation is worst in this State, Jigawa State to a lesser extent, but care should be taken).

Relevance	Weaknesses of the sector	The water supply and sanitation sector in Yobe extremely undeveloped. In the absence of real urban cities (a state or LGA capital) the dominant feature is semi-urban settlements. Simple hand/motorised pumps are the single means to provide the service. The sector, in spite of larger numbers of inhabitants in localities like Damaturu and Potiskum, is lacking from low coverage, low rates of access, unreliable sources of supply and weak capacities of sector agencies with high needs for facilities and high levels of vulnerability.
	Complementarity with other donors	Apart from the EU (and UNICEF), the World bank, the AfDB and JICA have recent interventions in the water supply and sanitation sector. These, beside the ongoing EU WSSSRP II, nveswted in infrastructure in water supply and sanitation in the State. The magnitude and timing of intervention are not visible in most of the documents before hand. .
	Program design and scope	<ul style="list-style-type: none"> - Embedment of the programme personnel (consultants) within the structure of the MWR in Yobe is a good initiative, yet maximizing the benefits from this set-up remains a challenge in terms of limited financial and human resources within the State Government and with respect to effective participation and cooperation of both parties. Much and intensive collaboration techniques and joint work culture needs to be developed over time. - The design should ntake ito consideration the limited economic activity within the state as well as the economic potential. - The programme has to concentrate on promotion of service delivery and more responsibility has to be born by the community. An attitude of readiness -to-receive dominates in the State. Much effort has to be made to change this attitude and more reliance in service provision has to come from the youth in the State. - CSO have not been observed in the State. - TAT UNICEF level of cooperation seems to be very poor with a tendency to keep-to-one's-organisation, particularly on the part of UNICEF which tends to work in a stand-alone manner.. - Participation in the procurement of works and supply at the Federal level is highly required in the State. - IWRM is not a priority in the State as the Hadejia River Fund serves this purpose in a more efficient, comprehensive and effective manner.
Effectiveness	Primary and secondary effects	<ul style="list-style-type: none"> - Greater attention and awareness has been created by the WASH programme and this tends to be increasing. - - At community level, creating and empowering WASHCOMs and to some extent WCA is encouraging community cohesion and individual responsibility towards these issues.
	Change in hygiene awareness and practices	<ul style="list-style-type: none"> - Response to water programmes in urban areas is increasing in importance in the eyes of the community and semi-urban areas as dominant formation in the State. - According to interviews with stakeholders and beneficiaries the program has brought increased hygiene awareness and many communities are very satisfied with the increased knowledge the program brought in. - Stakeholders and beneficiaries affirm that practices have changed and are changing.
	Effect on the access and use of improved sanitary facilities	<ul style="list-style-type: none"> - The triggering effect on access to and use of improved sanitary facilities and general community and personal hygiene behavioural patterns is momentarily felt in the society and particularly those in the rural community. - More people are inclined to and appreciative of the use of sanitay facilities. More people demand assistance by provision of public sanitary hygiene.
	Effect on the health of the target population	<ul style="list-style-type: none"> - Beneficiary communities declare that their health situation has been improved since the beginning of the programme (there is a positive perception of the effects of better sanitation). However it was not possible to confirm this with official data as such data is not available and it is too early to assess such indicators. - To ensure sustainability of the positive action observed on the side of the recipient communities a flexible programme and continuous follow-up must be maintained along with provision of facility as an instrument of demonstration. Physical assistance to the community should not be underestimated.
Efficiency	Coordination and decision making	<ul style="list-style-type: none"> - Coordination seems to be weak between the TAT and the RUWASA in Yobe. They occupy different locations and the RUWASSA is much older in the State (since 2003) and tends to work independently. - MOU signed in June 2013. - Not enough coordination in planning, reporting and especially M&E.

	<ul style="list-style-type: none"> - Low frequency of Programme Steering Committee meetings. - Programme coordination mechanisms must be strengthened significantly to optimise resources use and avoid overlap. - Lack of clear distinction between rural, small town and urban at State level makes it difficult to clearly distinguish the 2 (3) components. The distinction is “flexible” due to predominantly rural nature of the State known as the “rural State”..
Planning and reporting	<ul style="list-style-type: none"> - Yearly planning too general with no clear activity distinction, milestones with only financial values attached to titles and no time-line-event knots. The TAT is much worse than the RUWASA who tend to “conceal” clear plans and release general and summarised material.. - MTR was not able to assess monthly reports - Planning very weak at all levels; especially LGA and community (WASHCOM, WCA); stakeholders don’t seem to understand the need for planning, but do it as an obligatory action required by the functionaries. - Reporting sheets when they exist are based on <u>result</u> indicators and not on <u>process</u> indicators (which makes it difficult to monitor activities implemented).
Capacity building / trainings	<p>UNICEF has not been doing trainings at State level, LGA level and community level. Would be preferable to do trainings on fewer topics but make more in-depth trainings and repeat them more often; also associate them with daily practices and follow-ups.</p> <p>TAT has been doing training of State Community Mobilizers. Training of is ongoing in 7 communities and 9 small towns.</p>
Community mobilization	<ul style="list-style-type: none"> - Acceptable levels of involvement and motivation of LGA staff and of communities on rural component; - PDA approach not fully applied thereby moderate ownership of process. - Selection process of WASHCOM and WACS: mix between official criteria and geographical representation / community preferences; good representation of women. - top-down information flow could be improved, not enough clarity on programs time-span No mechanisms for O&M established so far but WASHCOMS and WCA aware of their O&M role; no discussion of PPP approaches so far (too early). - Communities generally have partially mobilised initial counterpart funds for construction / O&M although there is no record on that – they don’t know how much will be needed. Generosity of wealthy and some influential people lead to some availability of water points, instilled and deepened attitude towards free water. - Not clear if this counterpart money will be used for construction and/or for O&M (contradictory information was provided on this issue). Limited awareness of community role.
Policy / IWRM	<ul style="list-style-type: none"> - Yobe State developed its own water supply and sanitation policy document. However, one can find some state policy statements and intentions from the laws establishing the various WSS agencies in the state. The Ministry of Water Resources explained that the provision of potable drinking water for both human and animal consumption is on the topmost priority list of the Government in Yobe State and it is for this reason that adequate attention is paid to the provision of same across the State. The State follows the National Policy on Water Supply and Sanitation as much as possible. Draft Water Bill has been pending since 2011; law has been approved by the Governor and is on its way to the Assembly; - STOWA and regulatory commission to be created once the bill passes; in the meantime; small towns are under the Water Corporation and regulation is scattered among the various stakeholders - LGA has WES Departments with 16-20 technical staff + various support staff (seems more than enough; staff not very competent nor efficient but lack of acknowledgment of weaknesses) - No much done in IWRM so far apart workshops, process is being led by Abuja, not clear how to operationalize the concept – issue is not a priority in the State
CLTS and hygiene promotion	<ul style="list-style-type: none"> - Good success in CLTS activities (Triggering of 268 rural communities, Supervision of triggered communities ongoing, 78 WASHCOM-Claimed ODF Communities, 1 Ward-Claimed ODF) - Potential to scale-up of CLTS – State is wishing to expand the approach in other LGAs outside the program (very positive) - not much done in schools so far (just identification of beneficiary schools) - Overall, association of soft (CLTS) and hard (water supply) in the same community can be tricky if not well-thought and well-managed: some beneficiaries tend to consider the programme not to have started yet! (they are all waiting for the “hard” component)
Monitoring and evaluation	<ul style="list-style-type: none"> - UNICEF well ahead with WASH profiles + LIP finalized and approved, State wishing to replicate this approach in other LGAs outside the program (very positive) - . - TA did a M&E assessment (very relevant) and supplementary baseline for small towns

		<ul style="list-style-type: none"> - M&E framework (for the 2 components) is yet to be operationalised. - Embedment of program M&E into state and national M&E is yet to be implemented - Very low capacity of stakeholders in M&E, low understanding of what is M&E and why it is needed, capacity building is on-going.
	Works contracts and procurement	<ul style="list-style-type: none"> - Counterpart fund : State and LGA counterpart approved but not yet paid, Community ongoing - Procurement process :Urban and small town component (quick – wins): assessment of existing schemes and feasibility studies undertaken, BOQ submitted to NAO, comments received and integrated, final version sent. Main works: nothing yet. Rural component: procurement plan produced, draft advertisement and tender dossier developed, procurement committee in place, list of communities available for 2 LGA / Tender to be launched in the coming weeks/months
	Risk management	<ul style="list-style-type: none"> - During the start-up phase, activities have been significantly delayed due to contested ownership of the program, institutional drawbacks after end of Phase I (example: the abolishing of the Water Ministry) and regressions on the water bill - The real commitment of public authorities at higher level to engage on sector reform and establishment of the new institutions may pose a risk to the timely passing of the bill – there should be a clear Advocacy Strategy to support the passing of the bill - WCA/WASHCOMs don't have much to do and are just "waiting" for the water (emptiness of work plans observed), this could discourage them and hinder commitment - Communities are becoming impatient and loosing hope of having water, they request quick action: information flow should be improved and commitments made clear on paper to avoid misunderstandings, prevent withdraws and keep up EU reputation
Sustainability	Institutional	<ul style="list-style-type: none"> - Programme staff deployed from the; MWR, YSWC and RUWASA. - The embedment approach encourages ownership and leadership by the Ministry and this is very positive in terms of replication and scaling-up of initiatives and approaches. - there is a lack of integration of planning, reporting and M&E into the official procedures and lack of institutional capacity building on these issues.
	Social	Community management is a good approach to promote ownership and responsibility at community level which is a step towards more sustainability
	Technical	Mechanisms for correct technical operation and maintenance of schemes are planned to be established at rural and small town level; availability of spare-parts and technical skills may be the challenges. At urban level, there is a need to strengthen the Water Corporation on O&M, skills and set-up better O&M rules and procedures
	Financial	<p>For historical reasons, the Yobe rural and partly semi-urban population tends to be dominated by the concept of free water for the community. Much effort need to be made in Yobe to change this perception.</p> <p>The Yobe Water Corporation (formerly Board) is required by the Corporation Edict to pay (from its revenue) the salaries, remuneration, fees, allowances, pension, gratuities and other retirement benefits of its staff and its technical or other advisers/consultants to the Corporation. All its expenses for work and management including proper provision for depreciation or renewal of assets; and such minor works of a capital nature as the Corporation may deem necessary from time to time. They are also required to pay taxes, rates and other levies under any law. The water Corporation edict stipulates that the charges for water sold and for services rendered by the Corporation shall be fixed at such rates that the annual revenue should cover the total working expenses, depreciations loan services, working expenses. The Corporation determines the water rates but it requires the Governor's approval to apply it. In reality the corporation runs a set of boreholes with some reticulation scattered in the capital city and other small towns. The revenue collection is so low and they are dependent on the State Government.</p>
	Environmental	Environmental sustainability is part and parcel of the programme priorities and programmes. This is should be more so in Yobe State as water resources and thus other natural resource tend to be limited in supply or threatened by scarcity.