



FINAL DRAFT

WASH SECTOR MONITORING & EVALUATION FRAMEWORK

May, 2019

FOREWORD

The Monitoring and Evaluation Framework for the National WASH Sector Policy and Plan provides a clear framework for strengthening the monitoring, review, evaluation and reporting functions as well as the overall learning and knowledge management. It proposes that adequate finances for monitoring and evaluation are allocated within the WASH sector programmes and projects.

It will enable the Government, development partners, civil society, academia and private sector to access greater evidence to inform policy and programmatic decisions, and to hold all actors accountable for its application of resources.

The M&E framework applies to all WASH sector programmes and development projects financed by the Government and development partners.

The M.E framework is based on principles intended to institutionalize the use of M.E as a tool for better public sector management, transparency and accountability. It describes the processes, methods and tools that the sector will use to collecting, compiling, reporting, using data and providing feed-back. It translates these processes into operational activities, and assigns responsibilities for implementation.

It is envisaged that this comprehensive M&E framework to which all WASH sector partners subscribe shall be the basis for improving the quality of WASH M&E information and be used to institutionalize mechanisms and tools for measuring the equity, coverage and quality of WASH service delivery.

Finally, we wish to express our sincere appreciation to the consultant Mr. Khadar Mahmoud Ahmed – IRIS Consulting and others who worked tirelessly to develop the M.E framework.

We look forward to the acceleration of the execution of the M.E framework and encourage Government Institutions at Federal and Federal Member States and Development Partners to read, digest and implement this M&E for the good of our nation.

Sincerely,

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H.E. Dr. Fawzia Abikar Nur
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CHAPTER I

RATIONALE

The development of the WASH Sector Policy and WASH Sector Strategic Plan is an important step in building the government's capacity to improve access to water supply, hygiene and sanitation services for the Somali people. The Policy and Plan set realistic, measurable and understandable priorities appropriate to Somali context, rather than setting unreachable global targets. They recognize the role of the private sector and the preference for the private purchase of water and sanitation supplies and commodities. The plan provides a guide for external investments in the WASH sector by traditional and non-traditional donors, the Somali diaspora, charities and NGOs.

The M.E framework has been developed to operationalise the strategic orientation provided for comprehensive monitoring and evaluation in the WASH Sector Policy and Plan. It aims at informing policy makers about progress towards achieving targets as set in the Policy and Plan.

The M.E framework has been developed in a participatory manner and shall guide all WASH Sector M.E activities. It specifies the type of monitoring, monitoring reports, timing of evaluations, roles and responsibilities for the overall process and how they interact with the reporting each implementer is required to perform (clear roles and responsibilities with respect to data gathering and reporting). It also focuses on the main M.E activities and aligns them to the existing national and international structures and frameworks. It is intended to document what needs to be monitored, with whom, by whom, when, how, and how the M.E data will be used. It also outlines how and when the different types of studies and evaluations will be conducted by the WASH sector.

In addition to the above considerations, the M.E framework has been developed to address some of the M.E challenges identified during WASH Sector Policy and Plan development as outlined below:

- There have been no systems for performance monitoring & evaluation in place during the development of the WASH Sector Policy and Plan and there are enormous challenges. Most of the challenges are due to lack of a WASH sector M.E framework.
- The national M.E arrangements have been weak or nonexistent and comprised only a few semi-functioning systems at program/project level.
- However, even those functioning systems, they are characterized by fragmentation; duplication; weak co-ordination; lack of a clear results chain; poor definitions, tracking and reporting of outcomes and results; use of different formats and approaches with no common guidelines and standards; lack of national ownership; inadequate feedback and poor sharing of results across the sector and other stakeholders.

The M.E framework is based on principles intended to institutionalize the use of M.E as a tool for better public sector management, transparency and accountability, so as to support the overall direction of the WASH Sector Policy and Plan and achievement of the results. The underpinning principles include simplicity, flexibility, progressiveness, harmonization, alignment, and enhancing ownership. It also describes the processes, methods and tools that the sector will use to collect, compile, report and use data and provide feed-back. It translates these processes into operational activities, and assigns responsibilities for implementation.

The goal of the M.E framework is to establish a system that is robust, comprehensive, fully integrated, harmonized and well-coordinated to guide monitoring of the implementation of the Policy and Plan and evaluate impact. The key objectives focus on establishing M.E system to enable the sector to track Policy and Plan implementation and its impact; improve the completeness, accuracy and timely reporting of the M&E data and reports at all levels; strengthen early warning and surveillance systems; establishing research and survey plans; enhancing governance and the institutional capacity; improving data demand and information use as well as the use of information technology including GIS.

The key principles that guided the development of the national M.E Framework include: building strategic partnership for M.E; mobilizing and securing adequate financial resources for strengthening the M.E system; setting standardized core set of indicators; simplifying the data collection, analysis and the dissemination of information to the stakeholders; ensuring data quality using protocols to verify the completeness and accuracy of the data collected; using data for decision making; ensuring the timeliness and reliability of data and finally ensuring all programs and partners to be transparent and accountable to the M.E system.

It is envisioned that the M.E framework will result in timely reporting on progress of implementation of the WASH Sector Policy and Plan; timely meeting of reporting obligations to Government, DPs and International Partners; objective decision making for performance improvement; planning and resource allocation; better accountability to government, DPs and citizens; appropriate policy dialogue with stakeholders; evidence-based policy development and advocacy; as well as creating institutional memory on WASH Sector Policy and Plan implementation.

This comprehensive M.E framework to which all WASH Sector partners subscribe shall be the basis for improving the quality of M&E data and be used to institutionalize mechanisms and tools for measuring quality of the data. It should also strengthen dissemination and use of information at both national and sub national levels.

In order to achieve the above a lot will have to be done to improve recording and reporting, and use of data at all levels and all stakeholders, public, private and community to effectively monitor and later evaluate the WASH Sector Policy and Plan implementation, including the M.E framework itself.

Finally, there is need for sufficient funding and human resources with adequate technical capacity to manage the various components of the M.E system.

CHAPTER II

THE GOAL, OBJECTIVES, RESULTS, AND PRINCIPLES OF THE M&E FRAMEWORK

Goal

Establish an M&E system that is robust, comprehensive, fully integrated, harmonized and well-coordinated to guide monitoring of the implementation of the WASH Sector Policy and Plan implementation and evaluate its impact.

Objectives

- i. To inform the development and the design of policies programmes and projects set out in the WASH Sector Policy and Plan;
- ii. To Improve the performance of the WASH sector through the production and use of objective information to effectively and continuously monitor the performance of the Policy and Plan and evaluate its impact;
- iii. To enhance the basis for policy makers and planners to make evidence-based policy, planning and programmatic decisions;
- iv. To promote accountability and transparency and improve the confidence of the Somali people in the capability of Government to account for achieving results based on reliable information;
- v. To strengthen partnerships for the supply and demand of information and promote cross learning;
- vi. To create a new culture of learning from mistakes and increase data demand and information use through changing the mind-set of the leadership and the managers;

Principles

The M&E framework for the WASH Sector Policy and Plan is built on the guiding principles described below:

- i. Managing for results: Results imply improvements to peoples' lives or welfare, which is the expected outcome of the Policy and Plan. Monitoring and evaluation should focus on measuring the results of the Policy and Plan and related programmes and project and generate lessons for improving future performance;
- ii. Value for money: M&E framework for the WASH Sector should seek to determine whether or not the results (outputs and outcomes) are commensurate to the investment in terms of financial, physical and human resources, based on market prices for these inputs.

- iii. Accountability: Institutions will be held accountable based on agreed outputs and expectations and assessed through the control, monitoring and evaluation systems.
- iv. Demand-driven: M&E should start with a clear identification of users and their information needs at all levels (strategic, management and implementation) using a participatory approach;
- v. Responsive supply: The quality and timeliness of quantitative and qualitative information must respond to the demand. Data producers should ensure that the production cycle is synchronized with the planning cycle and, hence, inform the development of annual work plans and budgets;
- vi. Ownership: M&E should be guided by national priorities. M&E activities should be properly planned, coordinated and managed within national systems;
- vii. Partnership: Joint reviews and evaluations will be encouraged to favour transparency, ownership and implementation of evaluation recommendations, while not compromising the integrity of the evaluations. Joint government-donors assessments will also contribute to minimize duplication and facilitate economies of scale and synergies;
- viii. Learning: M&E should be guided by the information needs of the users, including policy makers, implementers and the public. The information generated from M&E products should be timely, accessible and usable to guide policy and programmatic decisions;
- ix. Ethics and integrity: To ensure the credibility and usefulness of M&E, impartiality, compliance with international standards in data collection, analysis and reporting and independence of evaluators should be respected. The behaviour of evaluators should conform to the minimum standards required when conducting evaluations with proper oversight enforced;

CHAPTER III

MONITORING, REVIEW AND EVALUATION ARRANGEMENTS:

The M&E framework has been developed in line with the WASH Sector Policy and Plan. In the same manner, the core indicators and targets of the M&E framework have been set in line with the WASH Sector Policy and Plan indicators and targets. The M&E framework will be inclusive and participatory, using joint reporting, monitoring and evaluation mechanisms.

WASH sector performance will be monitored using a set of agreed indicators whose selection takes cognizance and due consideration on the availability of data for these indicators. The indicators with baseline values and targets are shown in annex A.

Monitoring and Review Processes:

The framework for reviewing WASH progress and performance covers the M.E process from routine performance monitoring, quarterly reviews, annual review, mid-term and final evaluation of the Plan. Specific questions will have to be answered during the different review processes, especially the annual reviews, but also the performance monitoring.

WASH sector progress and performance assessment will bring together the different dimensions of quantitative and qualitative analyses and will include analyses on:

- (i) Progress towards the Plan goals;
- (ii) Equity
- (iii) Efficiency;
- (iv) Qualitative analyses of contextual changes; and
- (v) Benchmarking.

Table 1: Monitoring, Review and Evaluation Processes

Methodology	Frequency	Output	Focus	Level
Performance review meeting	Quarterly	Quarterly progress reports;	Done by joint (Government/ Partners). A review of progress against targets and planned activities.	Inputs, process, and output
Joint annual review and planning	Annually	Annual progress reports,	Done jointly with development partners, key stakeholders, and planning entities as from district level onwards. A review of progress against set target outcomes	Input, process, output, and outcome levels
Mid Term Review	Half-way	Midterm review report	Done by sector review progress against planned impact	Input, process, output, outcome and impact levels
End Term Evaluation	At end of Plan	Final evaluation report	Independent review of progress, against planned impact	Input, output, outcome and impact levels

Joint Annual Review

The JAR is a national mission for reviewing WASH sector performance annually. The annual reviews will focus on assessing performance during the previous fiscal year, and determining actions and spending plans for the year ahead (current year+1). These actions and spending should be addressed in amendments to the Plan. Annual Sector Reviews should be completed by the 30th September each year, to ensure that the findings feed into the planning and budget process of the coming year. The annual review shall be organized by the IMWSC in collaboration

with Department of Planning of line Ministries, Development Partners, Private Sector and Civil Society Organizations. The proceedings of the JAR will be documented and signed by the IMWSC.

Programs/Projects Reviews

Detailed program/project specific reviews shall be linked to the overall WASH sector review processes and contribute to it. Program/project specific reviews should be conducted prior to the overall WASH sector review, and help inform the content of the WASH sector review in relation to that specific program/project area. It is important that the specific program/project reviews involve staff and researchers not involved in the program/project itself to obtain an objective view of progress. Progress review reports shall be submitted to the IMWSC in order to inform quarterly and annual WASH sector reviews as well as evaluation exercises.

Performance Monitoring and Review of Implementing Partners

Implementing partners contribute significantly to WASH service delivery in the country. Most times their input and attribution to water, hygiene and sanitation outcomes is not documented. In order to measure their contribution to the overall sector performance they will be required to report to IMWSC and relevant line-ministries.

Performance Monitoring and Review for Civil Society Organizations and Private Sector

CSOs and the private sector contribute significantly to WASH service delivery in the country. Most times their input is not documented. In order to measure their contribution to the overall sector performance they will be required to report to the IMWSC and relevant line ministries.

EVALUATION

Programme/Project Evaluation

A number of programmes and projects will be undertaken during the proposed period of the WASH Sector Strategic Plan implementation i.e. 2019—2023. All programmes and projects will be subjected to rigorous evaluation. The type of evaluation to be planned for and conducted should reflect the nature and scope of the investment. For example, pilot projects that are being conducted amongst a random group of participants shall be selected for impact evaluation to determine whether or not the investment should be scaled up. As a minimum requirement, each project in this category will be required to conduct the following:

1. A baseline study during the preparatory design phase of the project or the program;
2. A mid-term review at the mid-point in the project to assess progress against objectives and provide recommendations for corrective measures;
3. A final evaluation or value-for-money (VFM) audit at the end of the project. A VFM audit will be carried out for all projects where value for money is identified as a primary criterion. All other projects will be subjected to standard rigorous final evaluation.

Mid - Term Review

A Mid-Term Review of the WASH Sector Strategic Plan will be done after two and half year. The purpose of the MTR is to review the progress of implementation; identify and propose adjustments to the Plan. The specific objectives of the MTR are to:

1. Assess progress in meeting Plan's targets and to make recommendations for their

- adjustment if found necessary;
2. Review the appropriateness of outputs in terms of inputs, processes and desired outcomes;
 3. Review the costing and financing mechanisms of the Plan; and
 4. Coordinate the MTR process with the NDP review.

The MTR shall entail extensive review of documents including routine reports and recent studies in the sector; special in-depth studies may also be commissioned as part of the MTR; and interviews with selected key stakeholders. The MTR is undertaken in a participatory manner involving government line ministries, national level institutions, DPs, civil society and private sector. The analysis will focus on progress of the entire sector against planned impact, but will also include an assessment of inputs, processes, outputs and outcomes, using the Plan core indicators. The main result will be a list of recommendations for the remaining half for Plan implementation.

Final Evaluation

The End Term Evaluation will be conducted during the last year of the Plan implementation in order to enable the WASH sector to make use of its findings and recommendations for the formulation of the second phase Plan. Like the mid-term review, the analysis will focus on progress of the entire sector against planned impact, but will also include an assessment of inputs, processes, outputs and outcomes, using the Plan core indicators. It will focus on expected and achieved accomplishments, examining the results chain, processes, contextual factors and causality, in order to understand achievements or the lack thereof. The evaluation will have to answer questions of attribution (what made the difference?) and counterfactual (what would have happened if we had not done A or B?) and take into account contextual changes (economic growth, social changes, environmental factors etc.), as well as policies and resource flows. Particularly, the final evaluation will examine the following parameters:

1. **Relevance:** Did the Plan address priority problems faced by the country and target communities? Was the Plan consistent with policies of both the Government and Development Partners?
2. **Economy:** Have the Plan inputs (financial, human, Assets etc) been applied optimally in the implementation process?
3. **Efficiency:** Were inputs (staff, time, money, equipment) used in the best possible way to maximize the ratio of input/outputs in the Plan implementation and achieve enhanced outputs; or could implementation have been improved/was there a better way of doing things?
4. **Effectiveness:** Have planned outputs and outcomes been achieved?
5. **Efficacy:** To what extent have been the achievements of the Plan goals and objectives?
6. **Impact:** What has been the contribution of the Plan to the higher level development goals, in respect of national development goals; did the Plan have any negative or unforeseen

consequences?

The evaluation will be conducted by a team of independent in-country institutions in close collaboration with international consultants. The purpose of conducting the evaluation prior to the conclusion of the Plan is to generate lessons and recommendations to inform the preparation of the second phase WASH Sector Strategic Plan.

CHAPTER IV DATA MANAGEMENT AND REPORTING

Combined routine data collection as well as household surveys or service availability surveys and mapping will provide valuable information to determine accessibility of the WASH services and will be used to provide up-to-date and representative data for key indicators of the WASH Sector Policy and Plan. In addition, operational researches and studies will be commissioned to provide in-depth comparative analysis of achievements.

Below are the major information sources for the WASH Sector:

Water Point Mapping (WPM):

WPM is a tool for monitoring the distribution and status of water supplies. It collects data about different aspects related to the water facility and overlays this point data with information about population and administrative boundaries. WPM helps to visualize the spatial distribution of water supply coverage and can thereby be used to highlight equity issues. The information collected provides insights into schemes' sustainability levels and management-related aspects of water points. WPM can be used to (i) to inform the planning of investments to improve water supply coverage; (ii) to allocate resources to deliver basic services where they are most needed; (iii) to promote increased investments in the sector; and (iv) to measure progress and performance.

Hydrological Monitoring Data:

Periodic and Long-term monitoring of hydrologic systems like precipitation, streamflow, groundwater levels, water lost through evaporation and so on and archiving the data collected is essential for understanding the hydrological characteristics of and risk management. Making hydrological data publicly available, for example in the form of a published book series or through online databases, relies on the active cooperation of many organizations and institutions involved in the acquisition, processing and validation of the measurements made in the field. Ensuring the continuity of measuring networks and maintaining the quality of such data is a major challenge in Somalia context but data gathering need to be pooled, quality controlled and archived. These archives then need to be maintained, updated and should ideally be made accessible to everyone, and preferably freely available for academic research or educational uses.

Flood Monitoring Data:

The development of flood forecasting and warning systems is an essential element in the WASH Sector Policy and Plan. Recent developments in numerical weather prediction, radar data and on-line meteorological and hydrological data collection have resulted in an increasing focus on data import and data processing. The challenges for developing a modern flood forecasting and warning system are found in the integration of large data sets, specialised modules to process the data, and open interfaces to allow easy integration of existing modelling capacities. A state of the art flood forecast and warning system will be established to issue daily and sometimes sub-daily (during the course of a flood event) flood forecast advisories and bulletins. The forecast service points should be created along the two rivers and make more points with stage/discharge rating relationships.

Field Visits:

Checklists will be used from time to time to obtain information that may be required to improve performance or even for obtaining insights for example the Pre-Joint Annual Review Visit, Quarterly Joint Field Monitoring Visits and more in-depth investigations. Standardized and harmonized supervision tools and visits will be introduced to all programs with view to improve efficiency, reduce redundancy and ensure synergy of all field monitoring activities at all levels.

Geographical Information System and Facility Mapping:

The GIS system will be established with advancement of technology. GIS enabled photographic and video recordings will be used to track changes of implementation of particular programmes and projects of the Plan.

Supply Chain Management System (SCMS):

A SCMS will be established to strengthen the information systems for water and sanitation supplies. This system should allow proper ordering as well as the national and sub-national authorities and agencies should find it easy to disseminate information about ordering, prices and available quantities.

The National WASH Accounts:

The National WASH Accounts will be established and institutionalized as a process of generating routine and standardized WASH expenditure data to inform WASH Sector Plan implementation and policy decisions. Resources flowing in the WASH sector from all sources managed by all agencies and used to provide services whose primary intention is WASH sector development will be tracked. Among the objectives to be achieved is, benchmarking performance against established targets; allocating scarce resources according to needs; improving accountability and efficiency; planning for future and raising additional funds (based on gaps and needs) and; ensuring sustainability. All actors in the sector (service delivery levels, central level institutions, regions, private providers, CSOs and Development partners) will be obliged to compile, analyze and utilize WASH expenditure data and report to appropriate levels. However, it is envisioned that the development of a comprehensive National WASH Accounts will take a substantial time; therefore, a phasing plan must be rationally implemented with initial focus at Federal and gradual expansion to member states.

POPULATION-BASED SURVEYS:

Population-based surveys will be carried out at community level, to obtain information from households. Sources of data will be determined using random-selection methods and the data collected is used to represent regions or the country. Population-based surveys will be conducted periodically. Following is priority list of household surveys to be commissioned during the WASH Sector Strategic Plan period:

1. Multiple Indicator Cluster Surveys (MICS)

The Multiple Indicator Cluster Surveys (MICS) focus on collecting information mainly linked to children and women, water, hygiene, sanitation, health, education, child protection and

HIV/AIDS data are the main focus. Such data facilitate the computing and monitoring of WASH sector indicators.

2. Demographic and Health Surveys (DHS) – currently ongoing

The demographic and health survey (DHS) include modules related environmental health, water, sanitation, cooking fuel, etc.

3. Client Satisfaction Survey

Client satisfaction surveys will be carried out at all levels of service delivery to determine the quality of services offered in the client perspective. Client satisfaction surveys will be carried out annually and findings utilized for quality improvement. Population-based national client satisfaction survey will be needed to provide the baseline, mid-term review and final evaluation of the WASH Sector Strategic Plan to capture the views of the public for the quality and responsiveness of the WASH services provided.

Data Analysis and Synthesis

Data analysis and synthesis will be done at various levels (Federal, State, Region and District) to enhance evidence based decision making. The results obtained will be summarized into a consistent assessment of the country situation and trends, using core indicators and targets to assess progress and performance. The focus of analysis will be on comparing planned results with actual ones, understand the reasons for divergences and compare the performance at different levels (Quarterly and annual progress reports, mid and end term evaluations, thematic studies and surveys).

Data Accuracy and Reliability

All reports produced will be reviewed for accuracy and clarification sought where necessary. Even where there is no need for clarification acknowledgement of receipt of reports will be provided before the due date for the subsequent report. Data quality assurance processes will include periodic Data Quality Audits (DQA) of recorded data; regular training of staff and provision of routine feedback to staff at all levels on completeness, reliability and validity of data; and data quality assessment and adjustment will be carried out periodically. The objective of data validation is to ensure that the data used to make decisions is sound and accurate. All reports should be checked and endorsed before they are officially published. Standardized DQA tools will be developed for application at all levels.

Data Dissemination and Reporting

Data need to be translated into information that is relevant for decision-making. Data will be packaged and disseminated in standard formats. The timing of information dissemination and reporting should fit in the planning and reporting cycles and needs of the users. The following reports will be produced and disseminated:

1. Quarterly Performance Review Reports

Quarterly WASH sector performance reports will be presented by the various sector technical working groups during the sector quarterly review meetings. Quarterly state level performance reports will be presented and discussed at the quarterly review meetings attended by the key implementers in the states.

2. Annual Performance Reports

The Annual WASH Sector Performance Report will be institutionalized during Plan to highlight areas of progress and challenges in the WASH sector. The annual performance reports will be developed through a jointly agreed process that will be validated through a Joint Review Mission to be held in November each year and launched in the WASH review forum each year. This cycle will form an integral part of the national coordination mechanism for the implementation of the WASH Sector Strategic Plan.

Data Communication

Various communication channels will be used in order to ensure public access to data and reports. Quantitative and qualitative data will be made publicly accessible through various communication channels e.g. media, video conferencing, tele-conferencing, newsletters, booklets, bulletins, websites, etc.

CHAPTER V

STRENGTHENING WASH SECTOR MONITORING AND EVALUATION SYSTEMS

The purpose of national monitoring and evaluation is to enable effective decision-making – at all levels within a country – through the use of continuous, reliable and relevant data and indicators which can be processed, analyzed and used to inform decisions. National M&E has the potential to inform intervention tracking, inform corrective actions, inform planning and resource allocation, increase accountability of service providers and authorities towards citizens, and inform regulation of services and service providers. Ultimately national M&E can and should result in improvements to, and the sustainability of, WASH service delivery.

This chapter focuses specifically on the M&E framework for a single national WASH M&E system, it is important to note that some of the required data may already be collected, either routinely or periodically, through other existing national and/or sub-national information systems and special surveys/studies. However, these available data sources should be consulted and formal links established to avoid any duplication of effort in data collection.

This chapter provides an overview of the components of a national WASH M&E system

COMPONENT 1: ORGANIZATIONAL STRUCTURES WITH WASH M&E FUNCTIONS

Objective

To establish and maintain a network of organizations responsible for WASH M&E at the national, sub-national, and service-delivery levels, with an overall harmonization, consolidation and leadership role for the Federal Government.

Rationale

For the national WASH M&E system to function effectively, a variety of organizations need to work together at different levels. Ideally, the system should be coordinated by one organization, such as MoEWR (referred to as the lead institution). WASH M&E activities are often sub-divided by sub-sectors or the respective responsibilities of the various national ministries. Efforts should be made to reduce duplication. The lead institution(s) should have a dedicated M&E unit with the mandate and authority to coordinate M&E activities and to request data from all relevant partners; it should also have sufficient independence to report openly on M&E data. Adequate M&E staff is required at the national level, including WASH monitoring focal points at the WASH-related ministries, as well as at sub-national governmental levels and in organizations or facilities providing WASH services. Some key roles for M&E staff are analysts, IT specialists and database managers. In addition to human resources, there is also a need for financial resources, as well as basic infrastructure, equipment and supplies.

Performance Results - The following elements are in place:

- i. Leadership: Effective leadership for M&E in key organizations at national, sub-national and service delivery levels.
- ii. Human Resources: Job descriptions for M&E staff; institutionalized roles and responsibilities for M&E, adequate number of skilled M&E staff; defined career path in M&E.

- iii. Organizational Culture: National commitment and sub-national commitment to ensure M&E system performance. Accepted guidelines for monitoring and reporting at sub-national and service delivery levels.
- iv. Organizational Roles and Functions: Well-defined organizational structure, including well defined leadership, a national WASH M&E unit; sub-national M&E units or focal points; M&E units or M&E focal points in other public, private and civil society organizations; written mandates for planning, coordinating and managing the M&E system; well-defined M&E roles and responsibilities for key individuals and organizations at all levels with technical support, including those for continuous data collection.
- v. Organizational Mechanisms: Routine mechanisms for M&E planning and management, for stakeholder coordination and consensus building and, for monitoring the performance of the M&E system; incentives for M&E system performance.
- vi. Organizational Performance: Key organizations achieve their annual work plan objectives for M&E.

COMPONENT 2: HUMAN CAPACITY FOR WASH M&E

Objective

To ensure adequately skilled human resources at all levels of the M&E system, are available, in order to effectively execute all tasks defined in the annual national WASH monitoring work plan.

Rationale

Not only is it necessary to have dedicated and adequate numbers of M&E staff, it is essential for this staff to have the right skills for the work and a good understanding of the added value of M&E activities. Human capacity building should focus on all levels; have measurable performance objectives; include a capacity building plan with clearly defined outputs; and include ways to track progress over time, including feedback loop mechanisms. M&E human capacity building requires a wide range of activities, including formal training, in-service training, and mentorship and coaching. M&E capacity building should focus not only on the technical aspects of M&E, but also address skills in leadership, financial management, facilitation, supervision, advocacy and communication.

Performance Results - The following elements are in place:

- i. Defined skill set for individuals and organizations at national, sub-national, and service-delivery levels.
- ii. Work force development and retention plans, including career paths for M&E.
- iii. Costed human capacity building plan.
- iv. Nationally endorsed curricula for organizational and technical capacity building.
- v. Local and/or regional training capacity, including links to training institutions, colleges, universities and technical schools
- vi. Supervision, in-service training and mentoring and a performance management system.
- vii. Internal communication and information dissemination (feedback loops) to increase an appreciation of data collection, monitoring and reporting for the workforce.

COMPONENT 3: COORDINATION OF THE NATIONAL WASH M&E SYSTEM

Objective

To establish and maintain partnerships among in-country and international stakeholders who are involved in planning and managing national WASH M&E system.

Rationale

It is important that all stakeholders in WASH monitoring work together to follow national monitoring. A WASH M&E Technical Working Group meets regularly and includes all relevant stakeholders, including all organizations responsible for M&E activities listed in the costed national WASH monitoring work plan. Other examples of M&E partnerships include conducting joint planning with key M&E stakeholders; and conducting joint M&E activities with representatives from different organizations. In addition, partnerships between the lead institution and sector stakeholders involved in M&E activities are needed, along with partnerships between the lead institution and other public sector ministries and national umbrella organizations. To avoid duplication of effort, it is also important to establish communication mechanisms with those organizations that provide regular technical support in M&E both nationally and sub-nationally.

Performance Results - The following elements are in place:

- i. Technical coordination of planned national WASH M&E activities in a joint working group
- ii. WASH mechanisms to coordinate all stakeholders, e.g. joint planning, sharing, execution, learning and review with respect to M&E.
- iii. Sub-national leadership and capacity for stakeholder coordination within the lead agency or responsible units.
- iv. Routine communication channel to facilitate exchange of information among stakeholders.

COMPONENT 4: ANNUAL COSTED NATIONAL WASH M&E WORK PLAN

Objective

To develop an annual costed WASH monitoring work plan, including the specific and costed (time and money) national WASH M&E activities of all relevant stakeholders and identified sources of funding.

Rationale

For the national WASH M&E framework to be operationalized, an annual costed WASH monitoring work plan needs to be developed that describes the priority WASH monitoring activities for the year with defined responsibilities for implementation, costs for each activity, identified funding, and a clear timeline for delivery of outputs. The costs of engaging WASH service providers to provide required data should be included into the work plan. The annual M&E work planning cycle should be closely linked to the overall budgeting cycle to ensure that funding can be secured for implementation of the plan and to ensure the sustainability of monitoring capacity.

Performance Results:

- i. Activities, responsible implementers, timeframe, activity costs are identified by the lead institution.
- ii. A WASH monitoring work plan contains activities, responsible implementers, roles, timeframe, activity costs and identified funding or the plan is explicitly integrated into the WASH Sector Annual Work-Plan.
- iii. The expenses related to capturing data from service providers are incorporated into the work plan.
- iv. The WASH M&E work plan explicitly links to other relevant work plans and the NDP.
- v. Resources (human, physical, financial) are committed to implement the WASH monitoring work plan.
- vi. All relevant stakeholders endorsed the WASH M&E work plan content.
- vii. Links have been drawn and dialogue opened with other sectors to avoid duplication.
- viii. The work plan is reviewed and updated annually based on performance monitoring.
- ix. The annual plan is based on an understanding of the full life-cycle costs of installation, updating and maintenance and support of the M&E systems.

COMPONENT 5: COMMUNICATION, ADVOCACY AND CULTURE FOR WASH M&E

Objective

To ensure knowledge of and commitment to national WASH monitoring system among policymakers, decision makers, national and sub-national WASH practitioners, service providers, data collectors and other stakeholders.

Rationale

It is important to demystify national WASH M&E and M&E in general, to create a supportive M&E culture, and reduce any negative connotations of M&E. It is important to shift emphasis from project and donor monitoring to alignment and harmonization to national monitoring and evaluation. A communication and advocacy strategy for M&E can help to achieve these objectives. The strategy needs to be multi-dimensional, with tailored messages for different audiences, including the general public. One important message that will help to rally citizen support is that the national WASH M&E system is not for government purposes alone; it is useful to all stakeholders in WASH. M&E fosters transparency, but also requires a transparent environment to function effectively. Providing a national focus can strengthen the coordination of activities and harmonize efforts between the diverse WASH stakeholders. Obtaining political support for transparency and accountability related to WASH is an important component of the communication and advocacy strategy. One way to gain political support is to identify an 'M&E leader', a high level official who can promote M&E among his/her peers, to help foster an understanding about the importance of investing in quality data for policy formulation and government program decision-making. The communication and advocacy strategy for national WASH M&E should be part of the country's national WASH communication strategy to ensure that M&E is being mainstreamed by line ministries.

Performance Results:

- i. The national WASH communication strategy includes a specific WASH communication and advocacy plan for monitoring and evaluation.
- ii. M&E is explicitly referenced in national WASH policies and the National Strategic Plan.

- iii. M&E leaders' among high-level officials are identified and are actively endorsing M&E actions.
- iv. M&E advocacy activities are implemented according to the national WASH advocacy plan.
- v. M&E materials are available that target different audiences and support data sharing and use.

COMPONENT 6: ROUTINE MONITORING

Objective

To produce timely and high quality, routine administrative WASH monitoring data

Rationale

The national and sub-national authorities need routine systems to track the coverage and quality of WASH services. To guide decision-making at all levels, the data needs of different stakeholders should be determined and routine data made available in a timely fashion. Standardized data include inputs (resources, such as staff, funds, materials, WASH facilities, supplies), activities (implementation of interventions and services, such as hygiene promotion, drilling, training, etc.) and outputs (facilities installed/rehabilitated, pits emptied, waste treated etc.). Standardized data from all providers, including private and community based service providers, should be collected on a routine basis.

Establishing routine data collection and reporting from community-based WASH services is challenging, but they provide essential information needed by the WASH institutions and sub-national government levels to coordinate WASH authorities and monitor WASH service delivery comprehensively. Data should be obtained from community-based service providers, such as those funded directly by the government as well as those funded through other sources (e.g., by development partners). In advance of data collection and the development of new data sets and tools, it is important to identify all existing data sources and to establish appropriate links and avoid duplication.

Performance Results - The following elements are in place:

- i. Data collection strategy is explicit about why data is collected (e.g. linked to indicators) and how it is expected to be used (e.g. linked to planning, budgeting).
- ii. Clearly defined data collection, transfer, and reporting mechanisms, including collaboration and coordination among the different stakeholders in the routine monitoring process at sub-national level.
- iii. Data collection and reporting take place at sufficient frequency linked to stakeholders' needs (e.g. performance evaluation, planning, budgeting).
- iv. Essential tools and equipment for data management (e.g., collection, transfer, storage, analysis).
- v. Routine procedures for data transfer from sub-national to national levels.
- vi. Well-functioning WASH infrastructure monitoring / asset management system.
- vii. Well-functioning WASH service level monitoring and performance monitoring of service providers and service authorities.

- viii. Well-structured and managed national WASH monitoring database to capture, verify, analyze, and present WASH monitoring data from all levels and sectors, including data required to analyze national indicators, for example, on WASH service levels, behavior change, fecal sludge management, support to service providers, regulation, and finances.

COMPONENT 7: SURVEYS

Objective

To produce timely and high quality data from surveys

Rationale

Surveys include household survey of WASH access and use, a survey capturing knowledge and attitudes of the general population; a school survey on WASH education and students' knowledge; a survey of the extent of WASH services at health facilities. The need for surveys, as well as, the specific focus and content of each survey should be considered within the context of Somalia. Protocols and data collection tools should be based on international standards for surveys and standard tools, such as the WASH KAP and the Multiple Cluster Indicator Survey. Adherence to standards is important to obtain high-quality data and to ensure that results from repeated surveys can be compared over time. Where appropriate, survey protocols should include data collection to support the construction of the standardized national indicators defined in the national WASH M&E framework. This can help prevent the need for additional data collection efforts and additional costs.

Performance results - The following elements are in place:

- i. Protocols for all surveys following national and international standards, e.g. the fundamental principles of official statistics and international guidelines.
- ii. Specified schedule for survey-based data collection linked to stakeholders' needs, including identification of resources for implementation.
- iii. A list of WASH-related surveys conducted.
- iv. Well-functioning behavioral surveillance system based on household and community level data

COMPONENT 8: NATIONAL AND SUB-NATIONAL WASH DATABASES

Objective

To develop and maintain national and sub-national WASH databases that enable stakeholders to access relevant data for policy formulation and program management and improvement.

Rationale

An information system consists of the infrastructure (hardware), a database and related software tools (graphical user interface to calculate, edit and manage information), and skilled individuals trained in the methods to use the databases to capture, verify, transfer, analyze, and share data. Clear roles and responsibilities need to be established at national, sub-national, and service delivery levels to ensure an appropriate and timely data flow between the different

levels. A national WASH database may include the following types of recent as well as historical data:

- Up-to-date contact list of organizations involved in WASH programs and M&E.
- Data on all national standardized WASH indicators specified in the national WASH M&E framework.
- Data from various WASH-related data sources, including:
 - Data from surveys.
 - Routine infrastructure-based program data.
 - Routine community- and/or household-based program data.
 - Data on available resources.
 - Information on WASH capacity building activities.

In addition to the national WASH database, different stakeholders may have their own databases. It is important to evaluate if common standards are implemented and whether they should be. In addition, it may be useful to use common repositories instead of separate databases. When possible, relevant data from these databases should be linked with the national WASH database and/or transferred; existing standard exchange formats should be used to facilitate data transfer between different databases.

Performance Results - The following elements are in place:

- i. Database(s) designed to respond to the decision-making and reporting needs of different stakeholders.
- ii. Common data standards are used by different agencies and sectors to facilitate data consistency and avoid duplication of effort. Databases are designed to use these common standards to support exporting and importing data and linking data platforms
- iii. Sectors and sub-sectors to identify and use common repositories when possible to avoid duplication and share costs for an improved database platform.
- iv. Well-structured and managed national and sub-national WASH databases (based on the principle of subsidiary) to capture, verify, analyze, and present program M&E data from all levels and sectors.
- v. Required services are contracted including: installation of the databases, operations and maintenance, technical support and regular upgrades based on changing technology and user needs. The full costs of the facilities, services, database and related software and hardware are included in the relevant budget lines.

COMPONENT 9: SUPPORTIVE SUPERVISION AND DATA AUDITING

Objective

To monitor data quality periodically and address any obstacles to producing high quality data (i.e., data that are valid, reliable, comprehensive, and timely)

Rationale

Supportive supervision refers to overseeing and directing the performance of others and transferring the knowledge, attitudes, and skills that are essential for successful M&E of WASH activities. It offers an opportunity to take stock of the work that has been done; critically reflect on it; provide feed-back to local staff; and where appropriate, provide specific guidance to

make improvements and build capacity. Guidelines for supportive supervision are useful in order to clarify expectations and standardize procedures. Supportive supervision should be conducted with a sample of WASH service delivery providers and can also be used as a mechanism to strengthen local M&E capacity.

Data auditing is the process of verifying the completeness and accuracy of reported aggregate WASH data. This typically requires field visits to users, communities, local government, NGOs or service providers that reported the data in order to check these data against existing records. For sound decision-making, it is important to be confident about data quality. Regular data quality checks and provision of feedback are important mechanisms to improve or sustain data quality. Data auditing requires that indicator protocols are in place, as well as protocols for data quality audits.

Performance Results - The following elements are in place:

- i. Guidelines for supervising routine data collection at community- and facility based WASH service delivery levels.
- ii. Routine supervision visits, including data assessments (audits) and feedback to local staff.
- iii. Periodic data quality audits. Supervision reports and audit reports.

COMPONENT 10: EVALUATION AND RESEARCH

Objective

To identify and prioritize key evaluation and research questions, coordinate evidence generation to meet the identified needs, and enhance the quality and use of evaluation and research findings and recommendations.

Rationale

Evaluation and research are essential but often neglected components of a comprehensive WASH M&E system. Appropriate use of evaluation/research data ensures that the planning of the WASH services is based on the best available evidence and guides ongoing national and sub-national program improvement. It also an integral part of sector accountability mechanisms. Establishing a country-led process for identifying evaluation/research gaps relevant to the WASH Sector Policy and Strategic Plan helps ensure that evaluation/research studies are relevant to the country's needs and avoid duplication.

Performance Results - The following elements are in place:

- i. An inventory of completed and ongoing WASH evaluation and research studies.
- ii. An inventory of program evaluations and project audits.
- iii. Inventory of local WASH evaluation and research capacity, including major research institutions and their focus of work.
- iv. Prioritized, national WASH evaluation and research agendas and plans in order to fill knowledge gaps and ensure accountability to all stakeholders.
- v. Guidance on evaluation and research standards and appropriate methods, templates and tools.
- vi. Ethical approval procedures and standards.
- vii. Quality assurance processes and tools for evaluations and research.

- viii. Joint sector review, national conference or forum for dissemination and discussion of WASH research and evaluation findings.
- ix. Evidence of use of evaluation and research findings (e.g., referenced in planning documents and action plans).
- x. Existence of a mechanism to ensure that evaluation and research findings and recommendations are used. For example, recorded management responses to findings and tracking of the implementation of the any resulting action plan.

ANNEX A
PERFORMANCE INDICATORS

Performance Framework for Water Resource Management	INDICATOR	BASELINE	TARGET					SOURCE
		2018	2019	2020	2021	2022	2023	
1	% of households with access to safe water supply.	40%	42%	45%	50%	58%	70%	JMP 2017
2	% of households using appropriate water treatment options.							WASH KAP Survey
3	Number of water treatment products granted market authorization.	N.A	1	2	3	4	5	Document review
4	% of water treatment schemes implementing water safety plans;	N.A	20%	40%	60%	70%	80%	Supervision report
5	% of water supply points/facilities regulated.	N.A	20%	40%	60%	70%	80%	Document review
6	Number of States with advanced water quality (WQ) testing facilities.	N.A	2	4	6	6	6	Supervision report
7	Existence of national water resource management institute.	0	1	1	1	1	1	Document review
8	Number of water engineers, managers, and technicians who graduated from certified training institutions.	N.A	0	0	20	40	80	Training report
9	Proportion of households with access to water treatment options.							WASH KAP Survey
10	Availability of adequate field test-kits in all states and districts for occasional spot-checks of household water treatment.	N.A	8	16	34	68	92	Supervision report

S.N	INDICATOR	BASELINE	TARGET					SOURCE
		2018	2019	2020	2021	2022	2023	
1	% of households with access to improved latrines.	16%	20%	30%	40%	50%	70%	JMP 2017
2	Number of regions with at least 1 sanitation market centre.	N.A	3	6	9	12	18	Supervision report
3	Number of open defecation free villages.	144?	288	576	1152	2304	4608	Declaration reports
4	% of households practicing proper handling and storage of solid and waste.	N.A	30%	40%	50%	60%	70%	WASH KAP Survey
5	% of households with their latrines emptied and properly disposed.	XX?	30%	40%	50%	60%	70%	WASH KAP Survey
6	% of households practicing hand washing with soap at critical times.	10%?	30%	40%	50%	60%	70%	WASH KAP Survey
7	% of population practicing oral hygiene during morning and evening.	N.A	30%	40%	50%	60%	70%	WASH KAP Survey
8	% of women practicing menstrual hygiene.	N.A	30%	40%	50%	60%	70%	WASH KAP Survey

Performance Framework for WASH in other Sectors

S.N	INDICATOR	BASELINE	TARGET					SOURCE
		2018	2019	2020	2021	2022	2023	
1	% of schools with adequate gender and disability sensitive latrines.	N.A	20%	30%	40%	50%	60%	School Census
2	% of schools with access to improved water supply system.	N.A	20%	30%	40%	50%	60%	School Census
3	% of adolescent girls in upper primary and secondary schools with access to dignity kit (menstrual hygiene kits) in schools.	N.A	30%	50%	70%	80%	90%	School Census
4	Proportion of prisons with access to improved water supply system.	N.A	20%	30%	40%	50%	60%	Prison Assessment
5	Proportion of prisons with access to adequate gender and disability sensitive latrines.	N.A	20%	30%	40%	50%	60%	Prison Assessment
6	% of health facilities with adequate gender and disability sensitive latrines for patients, providers and clients.	N.A	40%	60%	80%	90%	100%	HFA
7	% of health facilities with access to improved water supply system for patients, providers and clients.	N.A	40%	60%	80%	90%	100%	HFA
8	% of health facilities with access to appropriate medical waste disposal system (incineration system).	N.A	40%	60%	80%	90%	100%	HFA
9	Existence of supplementary curriculum about hygiene promotion in schools.	0	1					Curriculum review

10	Number of teachers trained on hygienic practices and promotion.	N.A	500	1500	2500	3500	5000	Training reports
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Performance Framework for Leadership and Governance

S.N	INDICATOR	BASELINE	TARGET					SOURCE
		2018	2019	2020	2021	2022	2023	
1	Number of districts with district WASH management teams.	N.A	40	50	60	70	80	Supervision report
2	% of development partners effected with valid partnership contracts by Federal and State administrations,	N.A	40%	60%	80%	90%	100%	DAD
3	Number of policy and legal documents approved and published.	N.A	1	2	3	4	5	Document review
4	Existence of annual work plans and budgets linked to WASH priorities.	N.A.	1	1	1	1	1	Document review
5	Number of WASH sector coordination meetings held, minutes documented and actions followed up.	N.A	4	4	4	4	4	Meeting minutes
6	% of water and sanitation facilities with community WASH committees.	N.A.	20%	30%	60%	80%	90%	Supervision report
7	Number of WASH sector regulatory bodies established and functioning.	N.A.	1	2	3	3	3	Document review
8	Number of senior and mid-level managers attended certified leadership & management courses.	N.A	20	40	60	80	100	Training reports

Performance Framework for WASH Financing

S.N	INDICATOR	BASELINE	TARGET					SOURCE
		2018	2019	2020	2021	2022	2023	
1	Share of Government budget to WASH sector.	N.A	3%	4%	5%	6%	7%	Document review
2	Existence of functioning national WASH sector accounts at federal and state level.	N.A	1	3	5	6	7	Document review
3	Proportion of aid flows that are aligned with WASH Sector Strategic Plan priorities.	N.A	30%	50%	70%	80%	90%	Expenditure tracking report
4	% of donors and aid flow that use public financial management system.	N.A	30%	50%	70%	80%	90%	Expenditure tracking report
5	% of disbursement released according to the WASH Sector Planning Cycles.	N.A	30%	50%	70%	80%	90%	Expenditure tracking report
6	Availability of pro-poor WASH sector financing policy and strategy.	N.A	1	1	1	1	1	Document review
7	Existence of billing and customer management system that ensures financial viability of services	N.A	1	1	1	1	1	Supervision report

	delivered.							
8	Number of national and sub-national WASH sector financial resources and expenditure tracking reports published.	N.A	1	2	3	4	5	Document review

Performance Framework for Information Management

S.N	INDICATOR	BASELINE	TARGET					SOURCE
		2018	2019	2020	2021	2022	2023	
1	Existence of a national core set of indicators with targets to inform WASH sector reviews and planning.	N.A	1	1	1	1	1	Document review
2	% of districts submitting timely, complete and accurate WASH sector reports.	N.A	20%	40%	60%	80%	90%	WASH Information System
3	Number of WASH sector annual reports published;	N.A	1	2	3	4	5	Document review
4	Number of research and survey results published.	N.A	1	2	3	4	5	Document review
5	% of policy and programme documents developed based on evidence.	N.A	20%	40%	60%	80%	100%	Document review
6	Share of WASH sector expenditure (Government & Donors) spent on WASH information.	N.A	2%	3%	4%	5%	6%	Document review
7	Number of staff trained in data collection, analysis and reporting.	N.A	20	40	80	100	120	Training report
8	Existence of comprehensive monitoring & evaluation framework to track progress and evaluate the impact of the WASH sector.	N.A	1	1	1	1	1	Document review
9	Number of policy makers, planners and implementers trained on data demand and information use.	N.A	10	20	30	40	50	Training report
10	Number of WASH information units functioning at federal, state, regional and district levels.	N.A	6	12	24	48	96	Supervision report

Performance Framework for WASH Infrastructure

S.N	INDICATOR	BASELINE	TARGET					SOURCE
		2018	2019	2020	2021	2022	2023	
1	% of urban cities with appropriate sewerage systems.	N.A	20%	30%	40%	50%	60%	Survey report
2	% of urban cities with functioning water supply systems.	N.A	50%	60%	70%	80%	90%	Survey report
	% of rural villages and nomadic settlements with appropriate water supply systems (berkets, shallow	N.A	30%	40%	50%	60%	70%	Survey report

	wells, dams)							
3	% of water supply units equipped with basic water supply facilities.	N.A	50%	70%	80%	90%	100%	Survey report
4	% of urban cities with appropriate liquid & solid waste management equipment.	N.A	30%	40%	50%	60%	70%	Survey report
5	% of urban cities with appropriate liquid & solid waste disposal facilities (dumping sites).	N.A	30%	50%	70%	80%	90%	Survey report
6	% of WASH budget (Government & Donors) spent on WASH infrastructure (capital investment)	N.A	40%	30%	30%	30%	30%	Document review

Performance Monitoring for WASH in Emergency

S.N	INDICATOR	BASELINE	TARGET					SOURCE
		2018	2019	2020	2021	2022	2023	
1	Existence of WASH EPR plan that contain hazard and vulnerability analysis & risk mapping.	N.A	1	1	1	1	1	Document review
2	% of resources mobilized that are based on the gaps and needs identified in the EPR plan	N.A	60%	70%	80%	90%	100%	Expenditure tracking report
3	Number of regions with WASH emergency supplies and buffer-stocks pre-positioned.	N.A	All	All	All	All	All	Supervision report
4	Number of staff trained in disaster risk reduction.	N.A	40	60	120	240	480	Training report
5	Number of flood forecast service points established.	N.A	4	8	12	16	20	Supervision report
6	Number of WASH emergency preparedness and response units established at federal and state levels.	N.A	All	All	All	All	All	Supervision report
7	Existence of functioning flood forecast centre able to produce up-to-date flood forecast advisories and bulletins.	N.A	1	1	1	1	1	Document review Supervision report