

USAID Transform WASH

Institutional Strengthening Index Guideline



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1. Introduction to the ISI

USAID Transform WASH (T/WASH) is a nation-wide activity aimed at building sustainable and thriving markets for WASH products and services in Ethiopia. It does so by increasing access to and sustained use of a range of affordable WASH products/services through four interlinked activities: i) strengthening the enabling environment for WASH market development, ii) demand creation through commercial and community-based interventions, iii) increasing supply of WASH products through designing and testing of new business models and supply chains, and iv) knowledge management to capture and disseminate learnings and scale innovations. USAID T/WASH operates in all regions and one city administration of Ethiopia, thereby covering 63 woredas.

The initial version of the Institutional Strengthening Index (ISI) was used to track seven main building blocks using 21 indicators that are defined and adapted from UNICEF's strengthening enabling environment for WASH guidance document released in 2016. The ISI scoring has been applied and reported at the district level in 41 T/WASH intervention woredas over the past three years.

It is assumed that a positive response to all 21 indicators depicts the 'ideal state' of the enabling environment that is needed to successfully improve sanitation services in a woreda. The ISI seeks to measure the extent to which systems are in place for woreda-level actors to carry out key functions related to sanitation. The ISI allows analysing the extent to which the enabling environment is conducive to sanitation service delivery, but it does not seek to measure the eventual outcomes in terms of improved access to sanitation.

Research was conducted by IRC WASH to document the implementation of the ISI and assess its applicability in the future with a focus on the relevance and effectiveness of the ISI in measuring the strength of the enabling environment for sanitation at woreda level, also in comparison to other similar monitoring frameworks in use in the sector in Ethiopia and globally. One of the main recommendations of this study was to re-design and strengthen the Institutional Strengthening Index before considering scaling and institutionalization.

This document is a guidance on how the re-designed ISI can be scored, and what the ideal state would look like for each indicator as defined in government documents in WASH and market-based sanitation (MBS). This is to give directions for woreda-level actors about national/regional guidance and policy documents and help to take corrective action where needed.

2. ISI Building Blocks and Indicators

The re-designed ISI is structured in five building blocks. For each building block there are three to four indicators. Each indicator then has three to five sources of justification. The full ISI table with the building blocks, their indicators, and sources of justification is presented in Annex 3. A scoring template and a scoring example are provided in Annex 1 and Annex 2, respectively.

The building blocks are:

- 1) Institutions
- 2) Strategic planning
- 3) Budget and financing
- 4) Sanitation service delivery approaches
- 5) Monitoring and evaluation

The ISI is intended to be applied at the woreda level. The woreda WASH team (WWT), which usually consists of the woredas' water office, health office, education office, women, children and youth affairs office, job creation office, finance and economic development office, and woreda administration, is expected to jointly undertake the scoring exercise as a self-assessment (or a supported self-assessment).

Each source of justification, which ranges between three and five for each indicator is given a "Yes" or "No". The score for each indicator will be between zero and five, with five being the maximum score. Based on the number of Yes and No, a calculation is done to get a score for the indicator. The formula is:

*Indicator score = (number of sources of justification that has "Yes") * (maximum possible score for indicator) / (number of sources of justification)*

For example, if an indicator has three sources of justification and has two "Yes" and one "No", the indicator score will be $(2*5)/3$, which is rounded to a score of 3 for that indicator. Once we get the score for all indicators, the average score becomes the score for that building block. If needed, we can also get an index score for the woreda by taking the average score of the building blocks, however it is generally not recommended to generate a fully aggregated index score.

Building Block 1 - Institutions

This building block looks at the structural arrangements that define the roles and responsibilities of different actors. It also looks at institutional and human capacity and competency to provide services. In addition, it considers the need for coordination within government offices, among government, private sector, and development partners, and between the government and community. There are three indicators for this building block:

- 1.1 The woreda follows the institutional roles and responsibilities for sanitation and hygiene service delivery, as defined in the national framework.
- 1.2 The woreda has the capacity (number of staff and profile) to fulfil sector roles and responsibilities including the availability of necessary structures, tools, training, and incentives.
- 1.3 The woreda coordinates a well-functioning multi-stakeholder body (with relevant government offices and other stakeholders) for coordinating sanitation among relevant actors in the woreda.

The first indicator, which is about institutional roles and responsibilities, has three sources of justification. The ideal state for this indicator would be for the woreda to have a Sanitation Marketing Technical Working Group (SMTWG) that is active, has an MoU that is in line with the regional MoU and national MBS guideline, and clearly describes roles and responsibilities of each sector office, partners and private sector. The main documents to refer are the technical working group's MoU, regional MoU, and the national MBS guideline.

The second indicator is about availability and capacity of staff and has four sources of justification. The ideal state for this indicator would be for the woreda to have 100% of the needed staff, that are properly trained and certified, and there is a structure in place to track number of staff needed, their capacity, and recognition and incentive mechanism.

The third indicator is on sector coordination and coordination mechanism and has four sources of justification. The ideal state for this indicator would be for the woreda to have a platform that is active, involves all relevant stakeholders (WWT, SMTWG, private sector, partners), has regular meetings with minutes and action points, and a designated office that coordinates and facilitates the platform and its activities. In addition, sanitation and MBS need to be part of the annual sector review process. The main documents to refer are meeting minutes and action points.

Building Block 2 - Strategic Planning

Strategic planning is defined through availability of a strategic plan, that is costed, and involves relevant stakeholders whenever possible. The three indicators for this building block are:

- 2.1 The woreda has a recent strategy, strategic plan or similar, for WASH with specific plans for sanitation service delivery. This includes both coverage and service level targets to be achieved, as well as the methods and approaches for reaching those.
- 2.2 The woreda develops annual costed action plans that are derived from the strategic plan.
- 2.3 The woreda involves relevant stakeholders in strategic and operational planning.

The first indicator is about whether the strategic plan is available, has specific section for sanitation service delivery, includes MBS as an approach, and includes targets and approaches for the targets. This indicator has five sources of justification. The ideal state for this indicator would be for the woreda to have a strategic plan document, that is in line with national policy and WASH strategy, that is multi-annual, has specific targets around sanitation, and reflects on MBS approaches. Main documents to refer is the strategic plan.

The second indicator is about availability of annual action plan in line with the strategic plan, and it has five sources of justification. The ideal state for this indicator would be for the woreda to have specific section on sanitation and MBS approach (including private sector involvement) on their overall annual plan and sector specific plans (health, education), that is in line with the strategic plan, and has a budget for the plan. The main documents to refer are the annual work plan, annual plan for sector offices, and the strategic plan.

The third indicator is about involvement of relevant stakeholders in the overall planning process for both strategic and annual planning and has three sources of justification. The ideal state for this indicator would be for the woreda to have consultation meetings with private sector, NGOs working in the woreda, and WASHCOs, and discusses the annual and strategic plan. The main document to refer is the meeting minutes and action points.

Building Block 3 - Budget and Financing

This building block deals with identifying the costs of service delivery, the sources of funding, the roles of different actors in providing finance, effective mechanisms for long-term financial procurement and channels for getting the money where it is needed. The budget and financing building block is about whether the woreda has a costed strategic plan with identified sources of finance, and sanitation financing mechanisms in place for consumers and enterprises. The indicators are:

- 3.1 The woreda has added to the strategic plan (mentioned under the "Strategic Planning" building block) a costing framework, and identified the sources of finance (public finance, user contributions, tariffs, etc.)
- 3.2 The woreda is undertaking actions to mobilize the various sources of finance identified in the costing framework.
- 3.3 The woreda has different sanitation financing mechanisms in place.

The first indicator is about availability of costing framework, and identified the sources of finance, and it has four sources of justification. An ideal state for this indicator would be for the woreda to have a specific document for costing and financing for the strategic plan, which includes all life cycle costs for sanitation, identifies finance gaps and sources of finance for the costs, and has a strategy to reduce the finance gap in the woreda. The main documents to refer are the strategic plan, and the financing plan.

The second indicator is about resource mobilization to achieve the vision in the strategic plan. This indicator has four sources of justification. The ideal state for this indicator would be for the woreda to coordinate and advocate for budget increase at woreda cabinet, zone, or region level and with NGOs based on evidence from the strategic plan. There is also a mechanism to track utilization of the budget available.

The third indicator is about sanitation financing and has three sources of justification. The ideal state for this indicator would be that the woreda facilitates loan for sanitation business and for consumers through microfinance and other mechanisms. In addition, smart and targeted sanitation subsidies are implemented in line with the national sanitation subsidy protocol. The main document to check is the national sanitation subsidy protocol.

Building Block 4 - Sanitation Service Delivery Approaches

Sanitation service delivery approaches respond to community needs and capabilities. This building block is about implementation of MBS in the woreda, demand creation and promotion activities, supply of sanitation product and services and business development support. The indicators for this building block are:

- 4.1 Sanitation Marketing Technical Working Group is properly engaged in the implementation of the MBS guideline.
- 4.2 Kebele WASH teams and private actors carry out demand creation and promotion activities.
- 4.3 The suppliers of sanitation products and services (private sector) have a range of products and services available which respond to consumer preferences.
- 4.4 The woreda provides business development support to sanitation product and service providers through strategic and operational business development support and quality assurance mechanisms during production and installation.

The first indicator is about whether the SMTWG is implementing the national MBS guideline. The indicator has five sources of justification. The ideal state for this indicator would be for the technical working group to be aware of, familiar with, and properly follows the national MBS guideline, and has dedicated focal person for follow-up on MBS activities in the woreda. In addition, the technical working group conducts regular meetings with relevant stakeholder and conducts regular visit to kebeles for technical support on MBS. The main documents to refer are the national MBS guideline, meeting reports and action points, and visit reports.

The second indicator is about demand creation and promotion activities at woreda level and has three sources of justification. The ideal state for this indicator would be for the woreda to have specific plans on MBS and conducts continuous promotion on MBS at community events. In addition, the woreda regularly tracks use of MBS products to improve sanitation services at household level. The main document to refer is the woreda level MBS plan.

The third indicator is about sanitation products and services and has three sources of justification. The ideal state for this indicator would be for the woreda to work on establishment and strengthening of sanitation product and service enterprises. There are also different types of businesses engaged in providing sanitation products and services (retailers, distributors, manufacturers, installers, and sales agents) and a variety of products and services available based on the need of the community.

The fourth indicator is about business development support and has three sources of justification. The ideal state for this indicator would be for the woreda to provide strategic and

operational business development support that includes supply chain linkage, providing land for product and service providers, providing technical and business operation trainings and coaching. In addition, the woreda has a mechanism in place for quality assurance during production and installation of sanitation products.

Building Block 5 - Monitoring and Evaluation

Monitoring and evaluation is about collecting evidence that is valid, reliable, and timely for different stakeholders for decision making, and adaptation. Up-to-date information is a prerequisite for improving both daily management of service delivery and long-term activities. The two indicators for this building block are:

- 5.1 The woreda health office monitors, reports and verifies sanitation-related indicators for the health information management system in line with national guidelines.
- 5.2 The woreda health office monitors and reports on demand and supply-side performance indicators as per the national market-based sanitation implementation guidelines.

The first indicator is about monitoring, reporting and verification of sanitation related activities in line with the national health information management system. The indicator has three sources of justification. The ideal state for this indicator would be availability of up to date and verified data on hygiene and environmental health indicators at the woreda. The documents to refer are the national health information management system, and woreda data and verification process.

The second indicator is about monitoring and reporting based on the national market-based sanitation implementation guidelines. The indicator has five sources of justification. The ideal state for this indicator would be for the quarterly report to include the number of functional sanitation enterprises delivering different types of basic sanitation and hygiene products, the average sales volumes of the sanitation products, the number of households with access to basic sanitation products and services, and the number of poor and vulnerable households with access to basic sanitation products and services. In addition, the woreda undertakes regular progress reviews based on the data from the monitoring system, against targets and priorities. The main document to refer is the woreda quarterly report.



Annex 1: ISI Scoring Template

	Indicator	Source of justification	Yes	No
Institutions	1.1 The woreda follows the institutional roles and responsibilities for sanitation and hygiene service delivery, as defined in the national framework.	1.1.a A Sanitation Marketing Technical Working Group (SMTWG) is established and actively engaging in overseeing and supporting MBS activities in the woreda.		
		1.1.b The MoU of the SMTWG clearly describes roles and responsibilities, capacity building activities, implementation coordination, and monitor/evaluate performance of market-based sanitation interventions in line with the regional MoU.		
		1.1.c The MoU is directly in reference to the national MBS guideline.		
		Indicator score 0 Yes = 0; 1 Yes = 2; 2 Yes = 3; 3 Yes = 5		
	1.2 The woreda has the capacity (number of staff and profile) to fulfil sector roles and responsibilities including the availability of necessary structures, tools, training, and incentives.	1.2.a The woreda has all the necessary staff (100% of the needed staff) in place.		
		1.2.b The staffs are properly trained and certified professionals.		
		1.2.c There is a system in place to track and plan for necessary staff and to track capacity building and training activities.		
		1.2.d There is a recognition and incentive mechanism in place.		
		Indicator score 0 Yes = 0, 1 Yes = 1; 2 Yes = 3; 3 Yes = 4; 4 Yes = 5		
	1.3 The woreda coordinates a well-functioning multi-stakeholder body (with relevant government offices and other stakeholders) for coordinating sanitation among relevant actors in the woreda.	1.3.a The platform involves the woreda WASH team, SMTWG, and other relevant stakeholders.		
		1.3.b The platform discusses issues of sanitation and MBS on regular basis. There are minutes with action points.		
		1.3.c Sanitation and MBS is part of the annual sector review process.		
		1.3.d There is an assigned focal body to facilitate coordination of this platform and action points.		
		Indicator score 0 Yes = 0, 1 Yes = 1; 2 Yes = 3; 3 Yes = 4; 4 Yes = 5		
		Total score:		
	Average score:			

Action points:

	Indicator	Source of justification	Yes	No
Strategic planning	2.1 The woreda has a recent strategy, strategic plan or similar, for WASH with specific plans for sanitation service delivery. This includes both coverage and service level targets to be achieved, as well as the methods and approaches for reaching those.	2.1.a Document in place called strategy, strategic plan or similar.		
		2.1.b The document is derived from and in line with national policy and WASH strategy.		
		2.1.c The document is multi-annual.		
		2.1.d The document contains specific targets around sanitation (number of people, % of population, different levels of service, urban/rural).		
		2.1.e The document specifically reflects MBS approaches.		
		Indicator score 0 Yes = 0, 1 Yes = 1; 2 Yes = 2; 3 Yes = 3; 4 Yes = 4; 5 Yes = 5		
	2.2 The woreda develops annual costed action plans that are derived from the strategic plan.	2.2.a The annual plan of the woreda has a dedicated chapter on WASH with specific section on sanitation and MBS approach.		
		2.2.b The annual plan of the woreda in its chapters on health and education contain elements of sanitation.		
		2.2.c These chapters contain annual targets that are in line with the ones in the strategic plan.		
		2.2.d The annual plan contains a budget, with its justification.		
		2.2.e The annual plan indicates private sector involvement in sanitation product and service delivery.		
		Indicator score 0 Yes = 0, 1 Yes = 1; 2 Yes = 2; 3 Yes = 3; 4 Yes = 4; 5 Yes = 5		
	2.3 The woreda involves relevant stakeholders in strategic and operational planning.	2.3.a At least one annual consultation meeting held between the woreda and relevant stakeholders.		
		2.3.b The meeting was attended by representatives: private sector, NGOs working in the woreda, WASHCO's.		
		2.3.c The meeting identifies and discusses issues around planning.		
		Indicator score 0 Yes = 0; 1 Yes = 1; 2 Yes = 2; 3 Yes = 3; 4 Yes = 4; 5 Yes = 5		
		Total score:		
		Average score:		

Action points:

	Indicator	Source of justification	Yes	No
Budget and financing	3.1 The woreda has added to the strategic plan (mentioned under the "Strategic Planning" building block) a costing framework, and identified the sources of finance (public finance, user contributions, tariffs, etc.)	3.1.a There is separate document or a chapter of the strategic plan on costs/finance.		
		3.1.b It identifies and quantifies all the life-cycle costs of sanitation.		
		3.1.c It identifies who is responsible for covering these costs.		
		3.1.d It identifies possible finance gaps, and discusses strategies to reduce the gap.		
		Indicator score 0 Yes = 0, 1 Yes = 1; 2 Yes = 3; 3 Yes = 4; 4 Yes = 5		
	3.2 The woreda is undertaking actions to mobilize the various sources of finance identified in the costing framework.	3.2.a The woreda WASH team advocates for budget increase to the woreda cabinet based on the strategic plan.		
		3.2.b The woreda cabinet advocates for budget increase from zone or region level.		
		3.2.c The woreda WASH team coordinates fundraising efforts with NGOs.		
		3.2.d The budget available is utilized and there is a mechanism to track utilization of the budget available.		
		Indicator score 0 Yes = 0, 1 Yes = 1; 2 Yes = 3; 3 Yes = 4; 4 Yes = 5		
	3.3 The woreda has different sanitation financing mechanisms in place.	3.3.a The woreda facilitates loan for sanitation business through microfinance and other mechanisms.		
		3.3.b The woreda facilitates loans for consumers through microfinance and other mechanisms.		
		3.3.c The woreda provides sanitation subsidy in line with the national sanitation subsidy protocol.		
		Indicator score 0 Yes = 0; 1 Yes = 2; 2 Yes = 3; 3 Yes = 5		
		Total score:		
Average score:				

Action points:

	Indicator	Source of justification	Yes	No
Sanitation service delivery approaches	4.1 Sanitation Marketing Technical Working Group is properly engaged in the implementation of the MBS guideline.	4.1.a The technical working group is aware of and familiar with the national MBS guideline.		
		4.1.b The technical working group is properly following the national MBS guidelines for implementation.		
		4.1.c The technical working group conducts regular meetings with active participation of relevant stakeholders and takes action points.		
		4.1.d The technical working group conducts regular visit to kebeles for technical support on MBS.		
		4.1.e There is a dedicated focal person from the technical working group that regularly follow-up on MBS activities in the woreda.		
		Indicator score 0 Yes = 0; 1 Yes = 1; 2 Yes = 2; 3 Yes = 3; 4 Yes = 4; 5 Yes = 5		
	4.2 Kebele WASH teams and private actors carry out demand creation and promotion activities.	4.2.a The woreda WASH team has specific plans on MBS.		
		4.2.b The woreda WASH team reports on household use of MBS products to improve sanitation.		
		4.2.c There is continuous promotion on MBS at community events.		
		Indicator score 0 Yes = 0; 1 Yes = 2; 2 Yes = 3; 3 Yes = 5		
	4.3 The suppliers of sanitation products and services (private sectors) have a range of products and services available which respond to consumer preferences.	4.3.a The woreda creates jobs through establishment of new enterprises and strengthening of existing ones.		
		4.3.b There are different types of businesses engaged in providing sanitation products and services (retailers, distributors, manufacturers, installers, and sales agents).		
		4.3.c There are a variety of products and services available based on the need of the community.		
		Indicator score 0 Yes = 0; 1 Yes = 2; 2 Yes = 3; 3 Yes = 5		
	4.4 The woreda provides business development support to sanitation product and service providers through strategic and operational business development support and quality assurance mechanisms during production and installation.	4.4.a Strategic Business Development Support: The woreda supports in creating market access, supply chain linkage and providing land for product and service providers.		
		4.4.b Operational Business Development Support: The woreda supports by providing technical and business operation trainings and coaching.		
		4.4.c The woreda has a mechanism and implements quality assurance during production and installation.		
		Indicator score 0 Yes = 0; 1 Yes = 2; 2 Yes = 3; 3 Yes = 5		
		Total score:		
		Average score:		

Action points:

	Indicator	Source of justification	Yes	No
Monitoring and evaluation	5.1 The woreda health office monitors, reports, and verifies sanitation-related indicators for the health information management system in line with national guidelines.	5.1.a Data for all HEH indicators are available.		
		5.1.b Data is up to date (within past 12 months).		
		5.1.c Data reported by health centers/health extension workers has been verified and found accurate by the woreda health office.		
		Indicator score 0 Yes = 0; 1 Yes = 2; 2 Yes = 3; 3 Yes = 5		
	5.2 The woreda health office monitors and reports on demand and supply-side performance indicators as per the national market-based sanitation implementation guidelines.	5.2.a The last quarterly admin report includes the number of functional sanitation SMEs delivering different types of basic sanitation and hygiene products (disaggregated by gender).		
		5.2.b The last quarterly admin report includes the average sales volumes of the sanitation products.		
		5.2.c The last quarterly admin report includes the number of households with access to basic sanitation products and services through MBS.		
		5.2.d The last quarterly admin report includes the number of poor and vulnerable households with access to basic sanitation products and services.		
		5.2.e The woreda undertakes regular progress reviews based on the data from the monitoring system, against targets and priorities.		
		Indicator score 0 Yes = 0, 1 Yes = 1; 2 Yes = 2; 3 Yes = 3; 4 Yes = 4; 5 Yes = 5		
	Total score:			
	Average score:			

Action points:

Annex 2: Example of ISI Scoring

	Indicator	Source of justification	Yes	No
Institutions	1.1 The woreda follows the institutional roles and responsibilities for sanitation and hygiene service delivery, as defined in the national framework.	1.1.a A Sanitation Marketing Technical Working Group (SMTWG) is established and actively engaging in overseeing and supporting MBS activities in the woreda.	X	
		1.1.b The MoU of the SMTWG clearly describes roles and responsibilities, capacity building activities, implementation coordination, and monitor/evaluate performance of market-based sanitation interventions in line with the regional MoU.	X	
		1.1.c The MoU is directly in reference to the national MBS guideline.		X
		Indicator score 0 Yes = 0; 1 Yes = 2; 2 Yes = 3; 3 Yes = 5		3
	1.2 The woreda has the capacity (number of staff and profile) to fulfil sector roles and responsibilities including the availability of necessary structures, tools, training, and incentives.	1.2.a The woreda has all the necessary staff (100% of the needed staff) in place.	X	
		1.2.b The staffs are properly trained and certified professionals.	X	
		1.2.c There is a system in place proper structure to track and plan for necessary staff and track capacity building and training activities.	X	
		1.2.d There is a recognition and incentive mechanism in place.	X	
		Indicator score 0 Yes = 0, 1 Yes = 1; 2 Yes = 3; 3 Yes = 4; 4 Yes = 5		5
	1.3 The woreda coordinates a well-functioning multi-stakeholder body (with relevant government offices and other stakeholders) for coordinating sanitation among relevant actors in the woreda.	1.3.a The platform involves the woreda WASH team, SMTWG, and other relevant stakeholders.		X
		1.3.b The platform discusses issues of sanitation and MBS on regular basis. There are minutes with action points.		X
		1.3.c Sanitation and MBS is part of the annual sector review process.		X
		1.3.d There is assigned focal body to facilitate coordination of this platform and action points.		X
		Indicator score 0 Yes = 0, 1 Yes = 1; 2 Yes = 3; 3 Yes = 4; 4 Yes = 5		0
	Total score:			8
Average score:			2.7	

Action points:

- *Align the SMTWG MoU with the national market-based sanitation guidelines.
Next step: review the MBS guidelines and agree on how roles and responsibilities have to be adjusted.*
- *Establish a multi-stakeholder body to coordinate sanitation activities in the woreda.
Next step: identify focal body to facilitate coordination and to organize a consultative meeting with all stakeholders that may be interested to be involved in the coordination platform.*

Annex 3: Institutional Strengthening Index (ISI) Framework

	Indicators	Source of justification
1. Institutions	1.1 The woreda follows the institutional roles and responsibilities for sanitation and hygiene service delivery, as defined in the national framework.	1.1.a A Sanitation Marketing Technical Working Group (SMTWG) is established and actively engaging in overseeing and supporting MBS activities in the woreda.
		1.1.b The MoU of the SMTWG clearly describes roles and responsibilities, capacity building activities, implementation coordination, and monitor/evaluate performance of market-based sanitation interventions in line with the regional MoU.
		1.1.c The MoU is directly in reference to the national MBS guideline.
	1.2 The woreda has the capacity (number of staff and profile) to fulfill sector roles and responsibilities including the availability of necessary structures, tools, training, and incentives.	1.2.a The woreda has all the necessary staff (100% of the needed staff) in place.
		1.2.b The staffs are properly trained and certified professionals.
		1.2.c There is a system in place proper structure to track and plan for necessary staff and track capacity building and training activities.
		1.2.d There is a recognition and incentive mechanism in place.
	1.3 The woreda coordinates a well-functioning multi-stakeholder body (with relevant government offices and other stakeholders) for coordinating sanitation among relevant actors in the woreda.	1.3.a The platform involves the woreda WASH team, SMTWG, and other relevant stakeholders.
		1.3.b The platform discusses issues of sanitation and MBS on regular basis. There are minutes with action points.
1.3.c Sanitation and MBS is part of the annual sector review process.		
1.3.d There is an assigned focal body to facilitate coordination of this platform and action points.		
2. Strategic planning	2.1 The woreda has a recent strategy, strategic plan or similar, for WASH with specific plans for sanitation service delivery. This includes both coverage and service level targets to be achieved, as well as the methods and approaches for reaching those.	2.1.a Document in place called strategy, strategic plan or similar.
		2.1.b The document is derived from and in line with national policy and WASH strategy.
		2.1.c The document is multi-annual.
		2.1.d The document contains specific targets around sanitation (number of people, % of population, different levels of service, urban/rural).
		2.1.e The document specifically reflects MBS approaches.
	2.2 The woreda develops annual costed action plans that are derived from the strategic plan.	2.2.a The annual plan of the woreda has a dedicated chapter on WASH with specific section on sanitation and MBS approach.
		2.2.b The annual plan of the woreda in its chapters on health and education contain elements of sanitation.
		2.2.c These chapters contain annual targets that are in line with the ones in the strategic plan.
		2.2.d The annual plan contains a budget, with its justification.
2.3 The woreda involves relevant stakeholders in strategic and operational planning.	2.2.e The annual plan indicates private sector involvement in sanitation product and service delivery.	
	2.3.a At least one annual consultation meeting held between the woreda and relevant stakeholders.	
	2.3.b The meeting was attended by representatives: private sector, NGOs working in the woreda, WASHCO's.	
3. Budget and financing	3.1 The woreda has added to the strategic plan (mentioned under the "Strategic Planning" building block) a costing framework, and identified the sources of finance (public finance, user contributions, tariffs, etc.)	2.3.c The meeting identifies and discusses issues around planning.
		3.1.a There is separate document or a chapter of the strategic plan on costs/finance.
		3.1.b It identifies and quantifies all the life-cycle costs of sanitation.
		3.1.c It identifies who is responsible for covering these costs.
	3.2 The woreda is undertaking actions to mobilize the various sources of finance identified in the costing framework.	3.1.d It identifies possible finance gaps, and discusses strategies to reduce the gap.
		3.2.a The woreda WASH team advocates for budget increase to the woreda cabinet based on the strategic plan.
		3.2.b The woreda cabinet advocates for budget increase from zone or region level.
		3.2.c The woreda WASH team coordinates fundraising efforts with NGOs.
	3.3 The woreda has different sanitation financing mechanisms in place.	3.2.d The budget available is utilized and there is a mechanism to track utilization of the budget available.
3.3.a The woreda facilitates loan for sanitation business through microfinance and other mechanisms.		
3.3.b The woreda facilitates loans for consumers through microfinance and other mechanisms.		
		3.3.c The woreda provides sanitation subsidy in line with the national sanitation subsidy protocol.

4. Sanitation service delivery approaches	4.1 Sanitation Marketing Technical Working Group is properly engaged in the implementation of the MBS guideline.	4.1.a The technical working group is aware of and familiar with the national MBS guideline. 4.1.b The technical working group is properly following the national MBS guidelines for implementation. 4.1.c The Technical working group conducts regular meetings with active participation of relevant stakeholders and takes action points. 4.1.d The technical working group conducts regular visit to kebeles for technical support on MBS. 4.1.e There is a dedicated focal person from the technical working group that regularly follow-up on MBS activities in the woreda.
	4.2 Kebele WASH teams and private actors carry out demand creation and promotion activities.	4.2.a The woreda WASH team has specific plans on MBS. 4.2.b The woreda WASH team reports on household use of MBS products to improve sanitation. 4.2.c There is continuous promotion on MBS at community events.
	4.3 The suppliers of sanitation products and services (private sectors) have a range of products and services available which respond to consumer preferences.	4.3.a The woreda creates jobs through establishment of new enterprises and strengthening of existing ones. 4.3.b There are different types of businesses engaged in providing sanitation products and services (retailers, distributors, manufacturers, installers, and sales agents). 4.3.c There are a variety of products and services available based on the need of the community.
	4.4 The woreda provides business development support to sanitation product and service providers through strategic and operational business development support and quality assurance mechanisms during production and installation.	4.4.a Strategic Business Development Support: The woreda supports in creating market access, supply chain linkage and providing land for product and service providers. 4.4.b Operational Business Development Support: The woreda supports by providing technical and business operation trainings and coaching. 4.4.c The woreda has a mechanism and implements quality assurance during production and installation.
5. Monitoring and evaluation	5.1 The woreda health office monitors, reports, and verifies sanitation-related indicators for the health information management system in line with national guidelines.	5.1.a Data for all HEH indicators are available. 5.1.b Data is up to date (within past 12 months). 5.1.c Data reported by health centers/health extension workers has been verified and found accurate by the woreda health office.
	5.2 The woreda health office monitors and reports on demand and supply-side performance indicators as per the national market-based sanitation implementation guidelines.	5.2.a The last quarterly admin report includes the number of functional sanitation SMEs delivering different types of basic sanitation and hygiene products (disaggregated by gender). 5.2.b The last quarterly admin report includes the average sales volumes of the sanitation products. 5.2.c The last quarterly admin report includes the number of households with access to basic sanitation products and services through MBS. 5.2.d The last quarterly admin report includes the number of poor and vulnerable households with access to basic sanitation products and services. 5.2.e The woreda undertakes regular progress reviews based on the data from the monitoring system, against targets and priorities.