

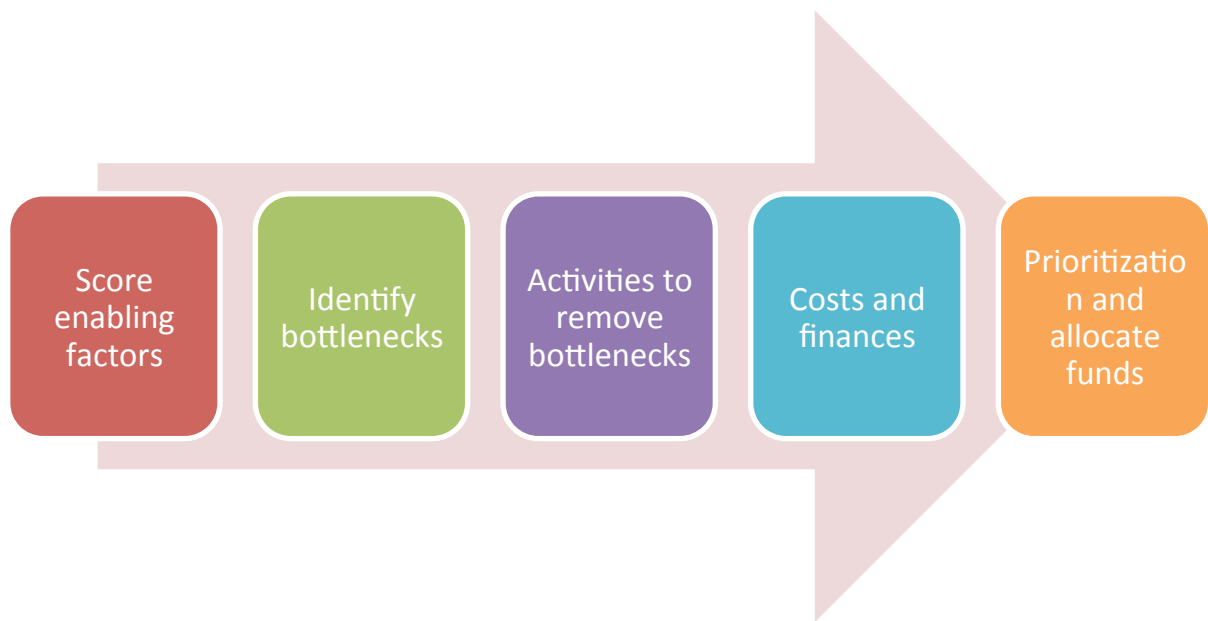
Ministry of Water Resources and Electricity



Drinking Water and Sanitation Unit



Government of Sudan/UNICEF
WASH Joint Programme
WASH Sector
Bottleneck Analysis Workshop
SUMMARY REPORT



Khartoum, Sudan 3-7 November 2013

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Summary Report

1- BACKGROUND:

Khartoum WASH Sector Bottleneck Analysis workshop was conducted in Khartoum in the period from 3 to 7 November 2013. It was conducted as a part of Government of Sudan and UNICEF WASH Joint Sector Strategic Support Programme. The workshop was attended by 37 International and national WASH experts (Annex 7.1: participants list) to analyze WASH sector enabling factors and bottlenecks at National, subnational, service provider and community levels using WASH Bottleneck Analysis Tool (BAT). WASH BAT has been developed with the aim to increase both WASH sector resources and service efficiency in order to achieve more sustainable and equitable outcomes. Once applied, WASH BAT results will inform WASH sector partners what the best investment strategy would be over the next few years to overcome existing barriers that prevent the most marginalized from gaining access to improved water supply, sanitation and hygiene services (Annex 7.2: Agenda).

2- WORKSHOP OPENING SESSION:

In his opening remarks, **Dr. Abbas Korena, Secretary General of the National Council for Strategic Planning (NCSP)** stressed on the importance of workshop to identify and analyze WASH sector challenges. He mentioned that the outcome of the workshop should be synchronized with NCSP WASH indicators. He concluded by stating that the workshop outcomes will help NCSP in the development of its current and future planning exercises.

Dr. Andrew Trevett, UNICEF WASH Senior Advisor, expressed his pleasure to be in Sudan and to work together with WASH sector experts. He mentioned that with the discontinuity of Sudan Country Status Overview (CSO), WASH BAT can be a good replacement with additional features as well.

Mrs. Shaya Asindua, UNICEF SCO Deputy Representative mentioned that Sudan has a good history with WASH. She appreciated the current government and sector partners' efforts in terms of increased budget, WASH 2012-2016 Strategic Plans and finalization of WASH Policy. She stressed on the real need to conduct WASH Bottleneck Analysis in order to have better understanding for the bottlenecks that contributed to the low national access and the uneven distribution of access to water and sanitation within the different states of Sudan, and to identify the required actions for their removal.

Eng. Hisham El Amir, WES National Coordinator-Drinking water and Sanitation Unit expressed his pleasure to have this workshop and he considered the workshop as unique opportunity to identify and analysis the sector performance

and to identify actions to improve on the current situation. He by then declared that the workshop is officially commissioned.

3- WORKING SESSIONS:

3.1. WASH Sector Performance and Introduction to WASH BAT:

Mr. Othniel Habilal, UNICEF Sudan Chief WASH, presented Sudan WASH Sector Context and major challenges in which he identified Overall WASH Sector Background, Key WASH Sector Challenges and WASH BAT and WASH Sector MIS.

Mr. Andrew Trevett, WASH UNICEF Global Senior Advisor presented and introduction to WASH Bottleneck in which he describe WASH BAT concepts and terminologies, Why a bottleneck analysis?, Introducing the WASH BAT, Steps of using the tool and Workshop structure, aims & outcomes.

WASH BAT Video that introduces the concepts and the outlines of the tool was then played to give the workshop participants the sense of the tool and its utilization.

3.2. Participants' Initial perspectives:

An initial group discussion was conducted to get the participants' perspectives of WASH sector barriers and bottlenecks in Sudan. As a conclusion, the following was the six groups outputs:

- Inadequate sector funding level.
- Improper use of the fund due to inefficiency and misuse.
- Lack of clarity of who is leading sanitation.
- WES is not institutionalized in the government structure at national and state levels.
- Inadequate coordination among WASH sector partners.
- No clear vertical link between state and national level.
- Sector policy is not endorsed.
- Lack of investment plans.

3.3. Selecting WASH BAT analysis scope and Group Formulation:

Water and Sanitation Rural subsectors were selected to be analysed at National, subnational (state) and Service provider (Locality) and community levels. Urban subsectors were not selected to be analysed at the workshop because of time limitations. Six groups were formulated as follows:

1-National Rural Sanitation

2- Subnational Rural Sanitation

3-Service provider and Community Rural Sanitation

4-National Rural Water

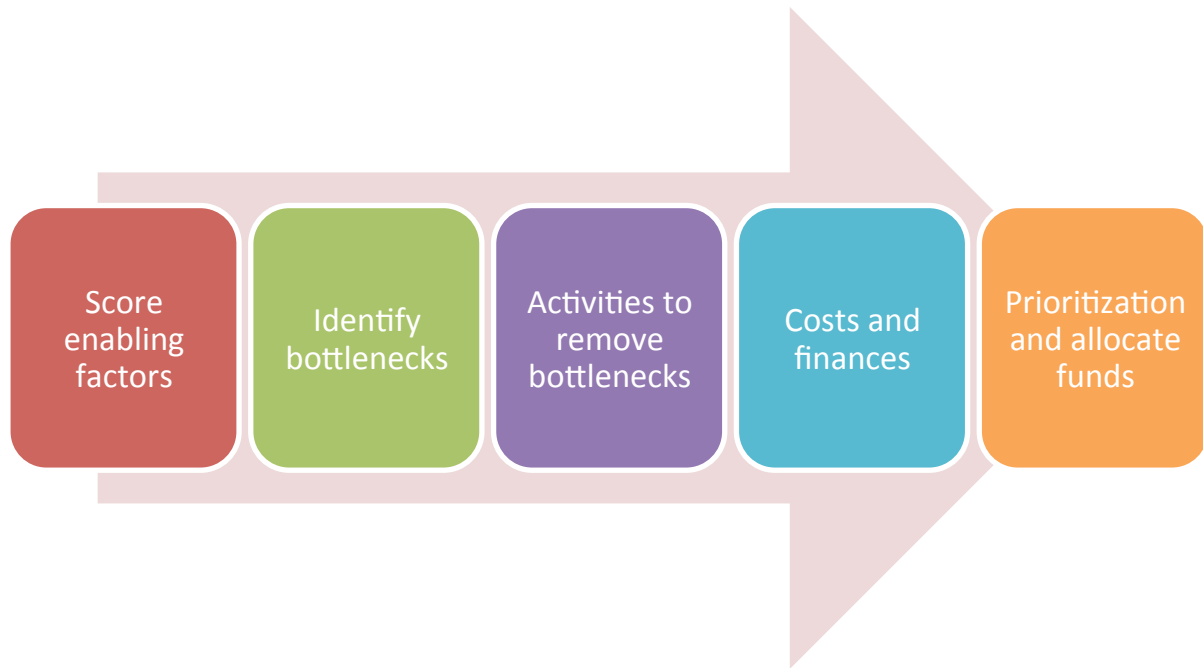
5- Subnational Rural Water

6-Service provider and Community Rural Water

3.4. WASH BAT Implementation Steps:

The workshop facilitators guided the workshop working groups through the different modules of WASH BAT. For each module, extensive group discussion followed by presentation and plenary discussion were completed as follows:

- Scoring Enabling Factors
- Identification of bottlenecks and their causes
- Formulation of Activities to remove bottlenecks
- Costing the formulated activities
- Prioritization and allocation of funds



WASH Bat Implementation Steps

4- WORKSHOP OUTCOMES:

4.1. Situation of Sector Enabling factors:

Sudan WASH Sector enabling factors are far from the required level of efficiency and effectiveness. The outcome of the workshop revealed that the majority of the sector enabling factors for rural WASH subsector are facing major bottlenecks at National, subnational, service provider and community levels. The main identified enabling factors which are facing major bottlenecks are sector policy, institutional leadership, funding, equity, positive social norms, human resources and institutional

capacity, motivation, coordination, service monitoring, management practices and private sector development (Annex 7.3: Enabling factors scoring).

4.2. Main Sector Bottlenecks and Bottlenecks Removal Activities:

Based on the scoring of the different enabling factors, key bottlenecks that considerably affect the sector enabling factors were identified and their causes were analyzed. Activities for the bottleneck removals were identified, prioritized and estimated costs were assigned to them. The following are among the most important WASH sector bottlenecks and bottleneck removal activities (Annex 7.4: WASH Sector bottlenecks and removal activities)

A. Lack of WASH Policy:

Lack of WASH Policy which is currently in final draft form is highlighted as one of the main bottlenecks that affect the sector development. The participants have identified the policy as the most important sector document to identify and frame out the sector scope, roles and responsibilities, lead agencies, major commitments and equitable service delivery.

Bottleneck Removal Activity: Close follow-up up with the authorities, to facilitate the finalization and the endorsement of the policy. **Responsible body:** DWSU (M of W and E) and MoH.

B. Absence of Sanitation Clear Leadership:

Absence of lead agency for sanitation at national and subnational levels is one of the major issues that affecting the sector as there is no agency responsible for planning, implementation, monitoring and following up with the federal government with regard to sanitation promotion. Currently there is a direction to give ministry of health the lead role in sanitation promotion.

Bottleneck Removal Activity: Conduct advocacy campaigns focusing on sanitation leadership. Enhance FMOH /Sector partners' capacity to develop sanitation/hygiene legal framework. **Responsible body:** FMOH & DWSU/ UNICEF

C. Inadequate Sector Funding:

Allocation and utilization of rural WASH budget especially sanitation is far beyond the required amount based on the sector planning figures. Out of this allocated budget, the utilized portion is not adequate as considerable parts of the allocated budget is not used as required at national, subnational and Service provider levels.

Bottleneck Removal Activity: Operationalize sanitation leadership. The lead agency to ensure flow and utilization of adequate resources for sanitation & hygiene. Review water tariff and advocate with the Gov. to increase water services budget **Responsible body:** FMOH/ DWSU, SWC.

D. Inadequate Private Sector Development:

Formal and informal private sector development in the sector especially for sanitation is quite weak at national, subnational and service provider levels. Despite the fact that private sector is there to lead WASH sector development, there is quite little done by the government regarding the motivation, facilitation, monitoring and quality assurance of the private sector involvement in the sector.

Bottleneck Removal Activity: Training of private sectors actors. Facilitate their movement and provide incentive and motivation and assure more flexibility in contracting private sector. **Responsible Body:** DWSU, FMOH, SWC.

E. Inadequate Stakeholders Coordination:

Sector wide coordination mechanism is lacking. The current coordination mechanism is only for the humanitarian aspects. Also there is no clear picture for a programmatic sector-wide approach.

Bottleneck Removal activities: Establish sector wide coordination mechanism. Conduct joint visits to view and gain experience from other countries. **Responsible Body:** DWSU, MoH – UNICEF.

5- WAY FORWARD:

- Review and fine tune WASH Rural Subsector analysis
- Undertaking the Urban Subsector analysis
- Developing presentation packages for various audiences on the outcome of the WASH bottle neck analysis
- Advocate at national, state, Mahalia and community level for real improvement in the enabling factors using the Bottleneck removal activities.
- Use the outcomes of the workshop as one of the main guidelines for the preparation of WASH 2014-2015 Work Plan.

6- CLOSING SESSION:

In his closing remarks, **Mr. Othniel Habila, Chief WASH Section Sudan**, expressed his pleasure to have the work shop being conducted and high level of participation and motivation of the workshop participant. He also commended the level of commitment of WES National Coordinator and he thanked and appreciated UNICEF HQs for leading the workshop. He stressed on UNICEF commitment to support the sector to be moved forward.

Dr. Andrea Trevit, WASH UNICEF global Senior Advisor, appreciated the workshop organizers efforts to prepare for the workshop and to bringing the key sector partners to participate. He expressed his wishes have progress in Sector based on the outcome of the Bottleneck analysis. He mentioned that there is an interest among the major international sector partners such as DFID and Global Sanitation WASH BAT. He concluded by mentioning that every step forward even if it was a small step will make a difference.

Mr. Hisham El Amir, WES National Coordinator, mentioned that although we have a lot of challenges in the sector, but if we look into the last three years we manage to have real mile stones such as Khartoum Sanitation Declaration which was signed by 6 ministers, Country Status Overview, and currently WASH BAT. One the main challenges is how to bring all sector partners together including Ministry of Finance. He concluded by stressing on that the outcome of the workshop will be one of the main guidelines for the preparation of WASH 2014-2015 Work Plan

Dr. Abbas Korena, Secretary General of the National Council for Strategic Planning (NCSP), expressed his honor to be WASH sector friend and he mentioned that he was deeply involved in the preparation of WASH 2012-2016 Strategic Plans. He mentioned that water is a top priority for the Council as a part of the Council commitments towards the Social Justices. He concluded his speech by promising that the Council is committed to support WASH cost effective and innovative solutions that come with accelerated and recognizable impacts on the people.

7-ANNEXES:

7.1. Participants List:

Name	Position	e-mail
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Tayalla Elmadani	IWRM officer-UNEP	

7.2. Workshop Agenda:

Ministry of Water Resources and Electricity



Drinking Water and Sanitation Unit



WASH Sector Bottleneck Analysis Grand Holiday Villa Hotel Khartoum, Sudan 3-7 November 2013 Workshop Agenda

Time	Session	Responsible	Objective
Sunday 3 November 2013			
9.00 – 9.10	Words of welcome; workshop objectives		
9.10 – 9.40	Official opening of workshop:		
9.40 – 10.10	Sudan WASH sector context and key challenges	Othniel Habila, UNICEF	Overview of the sector
10.10 – 10.40	Introducing the WASH Bottleneck Analysis Tool	Andrew Trevett, UNICEF	Background to the tool; scope and content; workshop aims and expected outcomes
10.40 – 10.45	Showing of WASH BAT video	UNICEF	Participants get a quick overview of tool
10.45 – 11.00	Coffee break		
11.00 – 11.10	Introduction of the participants	Participants	
11.10 – 12.00	Participants' perspectives of WASH sector barriers and bottlenecks in Sudan	Participants	Participants brainstorm bottlenecks (group work; feedback in plenary)
12.00 – 12.30	Presentation of tool set up page, coverage page and proposed scope of analysis	Andrew Trevett, Othniel Habila UNICEF	Preparation for group work
12:30 – 12.45	Instruction for scoring enabling factors; saving data and files.	Andrew Trevett, Othniel Habila UNICEF	
12.45 – 13.00	Question and answer	Participants	Clarification of task and tool use
13.00 – 14.00	Lunch		
14.00 – 16.00	Score enabling factors (group work)	Participants	Carry out analysis

Time	Session	Responsible	Objective
16.00 – 16.15	Coffee break		
16.15 – 17.30	Score enabling factors... continued	Participants	Carry out analysis
17:30 – 17.45	Initial feedback and reaction to first step of analysis	Participants	Opportunity for clarification and orientation
Monday 4 November 2013			
9.00 – 9.10	Reflection and/or questions for clarification	Participants & UNICEF	Orientation for second day
9.10 – 10.45	Score enabling factors...continued	Participants	Carry out analysis
10.45 – 11.00	Coffee break		
11.00 – 12.00	Score enabling factors...continued	Participants	Carry out analysis
12.00 – 13.00	Presentation by groups of the report on enabling factor scores	Participants	Feedback and discussion on the analysis
13.00 – 14.00	Lunch		
14.00 – 14.10	Instruction for identifying bottlenecks	Andrew Trevett, Othniel Habila UNICEF	
14.10 – 16.00	Identify bottlenecks, their causes, activities for their removal and responsible for implementing (group work)	Participants	Carry out analysis
16.00 – 16.15	Coffee break		
16.15 – 17.30	Identify bottlenecks-continued.	Participants	Carry out analysis
Tuesday 5 November 2013			
9.00 – 9.10	Reflection and/or questions for clarification	Participants & UNICEF	Orientation for third day
9.10 – 10.45	Identify bottlenecks...continued	Participants	Carry out analysis
10.45 – 11.00	Coffee break		
11.00 – 12.00	Identify bottlenecks...continued	Participants	Carry out analysis
12.00 – 13.00	Presentation by groups of the report on bottlenecks	Participants	Feedback and discussion on the analysis
13.00 – 14.00	Lunch		
14.00 – 14.10	Instruction for costing activities	Andrew Trevett, Othniel Habila UNICEF	
14.10 – 16.15	Estimate activity costs, duration and funding sources (group work)	Participants	Carry out analysis
16.15 – 16.30	Coffee break		

Time	Session	Responsible	Objective
16.30 – 17.30	Presentation by groups of activity costs	Participants	Feedback and discussion on the analysis
Wednesday 6 November 2013			
9.00 – 9.10	Reflection and/or questions for clarification	Participants & UNICEF	Orientation for fourth day
9.10 – 9.20	Instruction for prioritising activities	Andrew Trevett, Othniel Habila UNICEF	
9.20 – 10.45	Activity prioritization (group work)	Participants	Carry out analysis
10.45 – 11.00	Coffee break		
11.00 – 12.00	Activity prioritization...continued	Participants	
11.10 – 13.00	Presentation by groups of priority activities	Participants	Feedback and discussion on the analysis
13.00 – 14.00	Lunch		
14.00 – 14.10	Instruction for allocation of funds	Andrew Trevett, Othniel Habila UNICEF	
14.10 – 16.15	Prepare funding scenarios	Participants	Carry out analysis
16.15 – 16.30	Coffee break		
16.30 – 17.30	Presentation by groups of funding scenarios	Participants	Feedback and discussion on the analysis
Thursday 7 November 2013			
9.00 – 9.10	Reflection and/or questions for clarification	Participants & UNICEF	Orientation for fifth day
9.10 – 9.20	Instruction for unbounded analysis	Andrew Trevett, Othniel Habila UNICEF	
9.20 – 10.00	Unbounded analysis (group work)	Participants	Carry out analysis
10.00 – 10.45	Presentation by groups of unbounded analysis	Participants	Feedback and discussion on the analysis
10.45 – 11.00	Coffee break		
11.00 – 11.10	Instruction for unbounded analysis	Andrew Trevett, Othniel Habila UNICEF	
11.10 – 12.00	Bounded analysis (group work)	Participants	Carry out analysis
12.00 – 13.00	Presentation by groups of unbounded analysis	Participants	Feedback and discussion on the analysis
13.00 – 14.00	Lunch		
14.00 – 15.00	Prepare and review activities summary report in groups/sub-sector (group work)	Participants	Prepare presentation
15.00 – 16.00	Presentation by groups/sub-sectors of activities summary report	Participants	Feedback and discussion on the analysis
16.00 –	Coffee break		

Time	Session	Responsible	Objective
16.15			
16.15 – 17.15	Conclusion and next steps	Participants & UNICEF	Plenary discussion
17.15 – 17.30	Closing remarks	Government & UNICEF Representatives	

7.3. Enabling factors scoring:

The majority of the sector enabling factors for rural WASH subsector are facing major bottlenecks, refer to the red cells below with rates from 0.0-3.0 out of six. Only small numbers of the sector enabling factors are progressing, refer to the yellow cells below with rates from 3.1-5.3 out of six. It is important to note that only two enabling factors measured during this analysis are performing well with rates from 5.4-6.0 out of six.

1- National Level:

Enabling Factors	Water	Sanitation
Legal framework	3.5	0.8
Policy	2.2	2.6
Targets	3.6	2.3
Social norms	3.2	1.8
Institutional leadership	3.3	1.7
Stakeholder coordination	2.4	0.9
Investment plan	3	0
Programming	2.6	2.4
Annual review	2.1	1.6
Sector and service monitoring	3.4	0.9
Analysis of equity	2.5	1.1
Budget and expenditure adequacy	1.8	1.2
National budgeting and accounting structure and coverage	2.8	0.6
Budget utilization	3.9	1.5
Decentralization	3.9	2.1
Promotion and scaling up of services	2.4	1.4
Private sector development	2.6	0.9
Supply-chain and services	2.2	1.7

2- Subnational level:

Enabling Factors	Water	Sanitation
Policy	2.3	3.6
Targets	3.1	2.3
Social norms	1.8	1.1
Institutional leadership	2.6	3.2
Stakeholder coordination	2	1.3
Investment plan	0.3	0
Programming	3.5	2.1
Annual review	1.6	1.9
Sector and service monitoring	2.7	1.2
Analysis of equity	2.1	0.2
Budget and expenditure adequacy	0.9	0.9
National budgeting and accounting structure and coverage	2.2	1
Budget utilization	3	1.9
Decentralization	2.9	2.8
Promotion and scaling up of services	3.4	1.9
Private sector development	1.9	1.2
Supply-chain and services	2.5	0.7

3- Service Provider level:

Enabling Factors	Water	Sanitation
Expansion and maintenance plan	4.8	1.9
Management practices	3.1	2.1
Capacity development	2.65	2.9
Financial management procedures	3.9	5
Tools for improving service delivery	1.95	2.3
Service monitoring and evaluation	1.2	1.6
Financially sustainable services	3.4	2.7
Environmental sustainability	1.9	2.2
Service affordability and availability	3.1	6
Supply-chain and services	2.2	5.7

4- Community Level:

Enabling Factors	Water	Sanitation
Social norms	3.4	2.5
Local participation	3.1	2.6
Service management (for community run services)	2.8	1.4
Affordable financing	3.6	5

7.4. High Priority Bottlenecks and activities for Removal:

Enabling Factors	Bottlenecks	Activity for removal	Responsible
High Priority National Bottlenecks/removal Activities-Rural Water			
Policy	A Draft Policy has not yet approved	Following up with authorities, to facilitate the finalization and the endorsement of the policy	DWSU (M of W and E) and Mof H
Investment plan	No finalized applicable version of investment plan available	Advocate for getting the strategic plan validated by ministry of finance and endorsed by national government	Line ministries
Institutional leadership	No clearly defined rules and responsibilities for WASH sector partners	Establish a taskforce from key partners to develop a role and responsibilities map.	Sector Partners
Stakeholder coordination	No clear picture for a programmatic sector-wide approach to rural drinking water supply.	Conduct joint visits to view and gain experience from other countries	DWSU - UNICEF
High Priority State Bottlenecks/removal Activities-Rural Water			
Policy	Policy at the national level not endorsed and guideline at subnational level not developed.	Follow up, motivate and mobilize DWSU to accelerate the finalization of policy process-develop guidelines at Sub national level	State DG – PMs
Stakeholder coordination	Lack of sector coordination.	Activate /establish sector coordination body	State DG - PMs
Annual review	Annual review not conducted in the most of the states	Conduct annual review meeting in participation of stockholders. Meeting should include assessment of last year performance/challenges/way forward.	DG - coordination body
Service monitoring	Strong monitoring system doesn't exist	Strengthen the monitoring system	DG
Budget and expenditure adequacy	Budget allocated dose not sufficient to meeting rural water supply needs	Review water tariff. Improve efficiency of water facilities. Advocate the Gov. to increase the budget	DG

Enabling Factors	Bottlenecks	Activity for removal	Responsible
Decentralization	Budget, role and responsibilities by locality dose not well define, inadequate qualified HR	Advocate for and apply 2012 – 2016 strategic plan. Identify well defined role and responsibly. Increase capacity of rural water supply staff	DG
High Priority Locality Bottlenecks/removal Activities-Rural Water			
Management practices	lack of motivation	development of action oriented reward system	SWC
Management practices	Civil societies are not considered as WASH stakeholders	Advocacy workshops for development of national guidelines to involve civil societies as stakeholder	SWC/locality
Service monitoring and evaluation	monitoring activities not included in the business plan	Develop active M&E system	SWC/locality
Capacity development	No capacity development plan	Training on planning and monitoring	SWC
Financially sustainable services	Pricing does not based on clear vision on what to cover or to consider	Conduct experts workshops for development of pricing policy	SWC/SAC
Supply-chain and services	No supply quality control mechanism	Adopt quality control measures on water equipment and supply.	DWSU/FMoF
High Priority community Bottlenecks/removal Activities-Rural Water			
Social norms	HWTS is not priority for community leaders	Raising community awareness on HWTS	SWC/SMoH/Community leaders
Local participation	No clear modalities/ option for community participation	Raise community awareness on community water financing strategy	MoWRE/SMOUP/DWSU
Affordable financing	Financing community water supply not priority	Demand for and advocate for community improved water supply	Community leaders/Locality/SWC
High Priority National Bottlenecks/removal Activities-Rural Sanitation			
Legal framework	legal framework for sanitation & hygiene has not been developed	Conduct advocacy campaigns focusing on sanitation leadership. Enhance FMOH /Sector partners capacity to	FMOH & DWSU/ UNICEF

Enabling Factors	Bottlenecks	Activity for removal	Responsible
		develop sanitation/hygiene legal framework	
Institutional leadership	Institutional roles for Rural sanitation & hygiene not clearly defined	Follow up the endorsement of the sanitation Policy ,	WRE/ DWSU/FMOH
Programming	Sector Annual work plans has not been developed for sanitation & hygiene	Build the capacity of the key sector partners to develop sector annual work plan on line with GOS budget	FMOH/ Sector partners/ UNICEF
Sector and service monitoring	Sector partners have no monitoring system	Develop National plan for monitoring Rural sanitation and hygiene	FMOH/ Sector partners
Budget and expenditure adequacy	Insufficient fund allocated at National level to meet the National target	Operationalize sanitation leadership lead agency to to ensure flow of adequate resources for sanitation & hygiene	FMOH/ DWSU
High Priority state Bottlenecks/removal Activities-Rural Sanitation			
Policy	Inadequate Dissemination of policy.	state level to demand policy finalization & approval	DWSU
Social norms	Lack of political commitment in advocating sanitation issues.	Orientation workshops. Regular Media Coverage on Sanitation	SMoH
Programming	lack of lead entity for Sanitation	Follow-up with DWSU/MoH to speed up the process	SWC DGs & PMs
Budget and expenditure adequacy	sanitation issues underestimated	Conduct orientation workshops/advocacy for decision makers.	SMoH
Stakeholder coordination	lack of Sector Wide coordination forum	Establish sector wide coordination forum	SMoH
Annual review	Unavailability of sanitation annual reviews	Establish Regular Wide Sector annual review	SMoH
High Priority Locality Bottlenecks/removal Activities-Rural Sanitation			
Management practices	Inadequate budget management and	Support and train service provider to draw sanitation frame work and budget with	SMOF, Localities commissioners

Enabling Factors	Bottlenecks	Activity for removal	Responsible
	poor involvement of civil society	involvement of civil society	
Accounting procedures (Financial Management)	Key business financial indicators are not clear	Advocacy & mobilization to create financial system	Localities Commissioners/SMOF
Service monitoring and evaluation	poor monitoring and evaluation system	Support and train service provider to develop M&E framework	SMOH, Locality commissioners
High Priority community Bottlenecks/removal Activities-Rural Sanitation			
Local participation	There is no clear community framework for community participation in services management.	Mobilize localities, advocate among decision makers, conduct workshops to develop guidelines	SMOH. Localities commissioners and public health officers
Service management (for community run services)	services provision and maintenance system is not in place	Advocate among decision makers to support development service provision and maintenance.	Localities public health officers