

## **Terms of reference**

### **Call for tenders for the contracting of a consultant (technical support) as part of the Capacity Building Needs Assessment of the Water Sanitation Hygiene Sector in Haiti.**

Final Version.

## **Context**

In February 2019, UNICEF Country Office in Haiti with support of the Stockholm International Water Institute (SIWI) organized a workshop on the bottleneck analysis tool for water, sanitation and hygiene (WASH BAT), under the guidance of DINEPA and with a broad participation of the actors of the sector. The WASH BAT process is a multi-stakeholder sector assessment that addresses the bottlenecks that undermine universal access to water, sanitation and hygiene. In Haiti, the exercise focused on water, sanitation and hygiene (WASH) at the national and subnational (rural and urban) levels in terms of demand for services and supply (institutions).

One of the main bottlenecks identified in this exercise was the mismatch between the legal mandate of some institutions in the WASH sector and their performance in practice. This seems to be particularly relevant to the mandate of DINEPA as regulator and that of OREPAS as program implementer. Another major bottleneck was the identification of “low human resource capacities” and a mismatch between the services provided by technical capacity building institutions and the demand or needs of the sector.

Following the three-day WASHBAT workshop held in January 2019, the “Declaration of the Arcadins” was signed, summarizing the main findings and recommendations, including:

- Support for the Directorate of Drinking Water and Sanitation (DINEPA) in delegating the role of WASH implementing agency, in order to improve its regulatory role.
- Capacity building for an enabling environment, in order to operationalize sector strategies.

As a follow-up activity, UNICEF in consultation with DINEPA and the other sector actors, is supporting a capacity building needs assessment (CBNA) of the main government sector WASH agencies (DINEPA and two of the 4 Regional Offices for Drinking Water and Sanitation (OREPAS), a selection Rural Departmental Units (URD), local authorities, Technical Exploitation Centers (CTE) and Community Centers (TEPAC) to identify their gaps in capacity building and their growth potential. In addition, the study will identify a set of institutions providing capacity building services in WASH related fields in order to propose relevant strategies to bridge the gap between supply and demand for WASH capacity building services in Haiti.

## **The Assignment**

### **Scope of Work**

SIWI is looking for a consultant to carry out fieldwork for the study of capacity building needs for the water, sanitation and hygiene sector, on the joint guidance of SIWI and the National Office of Unicef Haiti.

This “CBNA” study focuses on identifying the capacity building needs of government agencies linked to the three components of the WASH sector, to fulfill their legal mandate. The study will pay particular attention to the capacities of DINEPA and the 2 OREPAs<sup>1</sup> while targeting a sample of URD, CT, CTE, TEPAC within the limit of travel constraints in the current phase of the health crisis. The specific research needs of other government organizations will be analyzed and added to the scope if deemed relevant after the institutional analysis.

## Objectives

The consultant will coordinate the fieldwork, in order to collect primary information from stakeholders, who are an essential part of the study "Assessment of capacity building needs of the Water Sanitation Hygiene sector in Haiti." "

The fieldwork consists of the identification of key actors at central, regional and local level as well as the collection of data in the form of surveys (online and in person), focus groups and interviews with key persons.

## Specific objectives

The specific objectives of the assignment are to:

1. Contribute to the development of the methodology and tools for the collection of primary information from the CBNA, especially in its implementation in the context of Haiti (contextualization and adaptation of tools also linked to the level of operationalization of decentralization).
2. Act as the focal point for the implementation of the field work of the study with the national office of UNICEF in Haiti and SIWI.
3. Carry out fieldwork to gather information from stakeholders, both through focus groups and individual interviews.
4. Develop an analysis of the information gathered.
5. Write reports (content defined during the start-up phase) on the coordination of SIWI.

## Methodology

The methodology for the implementation of the CBNA is described in the document “Terms of Reference Assessment of Capacity Building Needs in the Water, Sanitation, and Hygiene Sector in Haiti”, which can be seen in the Annex 1.

## Expected Results

The expected results are:

Outcome 1 The methodology is developed taking into account the local specificities of the sector in Haiti, in coordination with SIWI.

**Indicator:** a methodology report is developed with SIWI and approved by DINEPA, UNICEF Haiti.

Outcome 2 Primary information is collected and documented.

---

<sup>1</sup> Selection criteria will be defined during the start-up phase in partnership with UNICEF, DINEPA, SIWI and the local consultant.

**Indicator:** 10 interviews, 8 focus groups (face-to-face zoom / SfB / Teams), online surveys carried out during webinars and questionnaires (online).

**Outcome 3** Information is processed, synthesized and published

**Indicator:** a report is developed with the support of SIWI and approved by DINEPA, UNICEF Haiti.

## Timeline

The period of activity of the study is scheduled from April 1, 2021 to December 30, 2021.

## Products / deliverables

The following results will be provided by the consultant as part of the assignment:

	No main outputs	Delivery date
1	Work plan with adaptation of tools and data collection protocol	May 2021
2	Mid-term report	August 2021
3	Development of a presentation of the results for a sharing workshop with partners	November 2021
4	Final report	December 2021

All deliveries made by the Consultant within the framework of this assignment must receive the approval of SIWI in order to be considered as having been delivered to a satisfactory quality in accordance with these Terms of Reference.

## Place of Assignment and travel

The assignment will be carried out in Haiti. The place of assignment of the tasks will be determined after the conclusion of the contract during the start-up phase following the selection of the organizations to be met. We have taken as a working hypothesis that the movements of the local partner will be limited to the strict minimum.

## Collaboration modalities

The consultant is to report in accordance with the delivery schedule indicated in section 2.7 above. The Consultant will notify SIWI immediately in the event that there is reason to expect a delivery to be delayed or canceled.

The consultant will report directly to the head of SIWI, Virginia Mariezcurrena, virginia.mariezcurrerna@siwi.org.

All reports submitted by the Consultant as part of this assignment must receive the approval of SIWI to be deemed to have been delivered in accordance with these Terms of Reference.

## Qualifications

The support will be provided by a consultant, or possibly by a team of consultants but with particular attention in terms of consistency / complementarity / articulation with the SIWI team for the duration of the mission.

### Qualifications required:

The consultant must have the following qualification:

- University degree in political science, law, social sciences and / or water or environmental management and / or policy
- More than 10 years of experience in the field.
- Knowledge of aspects of the enabling environment and water governance is essential
- Excellent knowledge of the Water, Sanitation and Hygiene sector in Haiti is essential.
- A good relationship and knowledge (network) with local actors in the sector in Haiti is essential.
- A capacity (animation / facilitation) to lead discussion groups and face-to-face interviews if the health crisis permits.
- Fluency in English and French is essential, Spanish is also desirable.

#### *Budget*

The total expected level of effort is between 40 to 60 working days

The budget also integrates (included):

- the consultant's mission expenses for support
- travel for meetings / meetings planned during the mission (per diem and transport costs)
- a flat rate for any miscellaneous costs and communication costs (communication costs must be kept to a minimum. The use of Skype or other means of videoconferencing is strongly recommended)

#### *Terms of Payment*

SIWI will make payment against satisfactory delivery in accordance with the Products / Deliverables section, completed timesheets and invoices that meet all requirements of applicable law.

Payment will only be made for the activities and products defined in these Terms of Reference, executed during the activity period defined in the Products / Deliverables section.

#### *Payment schedule*

Payment will be made in accordance with the following schedule, subject to the conditions set out in section 5.2.

- 40% upon signature of this contract and delivery of the work plan
- 40% upon submission of the mid-term progress report (estimated date, August 2020)
- 20% upon submission of the final report, (estimated date, December 2021)

#### *Project staff*

The assignment must be carried out by the consultant and he / she cannot be replaced without the prior written approval of SIWI.

## **Technical and Financial Proposal**

The consultant will be recruited on the basis of the best-priced offer according to the following technical and financial files:

- a) **Technical offer :** it will include the following documents:

- A methodological note on the approach to be adopted to implement this mission not exceeding 5 pages;
- An updated CV signed by the consultant, adapted to the present assignment including

- experiences / references in the field relevant to said assignment;
- The mission execution schedule.
- b) **The financial offer** : it must be detailed according to the following table: Cost of man day Man / day and other costs (HT and TTC)

## Timeline for proposal submission

Candidates are invited to ask questions for clarifications before April 14<sup>th</sup>. Questions will be answered by April 16<sup>th</sup>. Final deadline for proposal submission is **April 25<sup>nd</sup>**. **Proposals received after the deadline date will not be considered.**

Questions and proposals should be sent in written to: Virginia Mariezcurrena:  
[virginia.mariezcurrena@siwi.org](mailto:virginia.mariezcurrena@siwi.org). No telephone or other mean of communication will be allowed during the procurement period.

## Other information: Progress of the study / logistical aspects

- The methodological approach under preparation will be the subject of a presentation / validation before the start of data collection. The approach will be based on an adaptation (for the context) of capacity building approaches already implemented by the World Bank, UNDP, USAID among others and adjusted by SIWI.
- The selection of the sample of decentralized organizations will be carried out between the local partner, SIWI, UNICEF and DINEPA according to criteria defined in the terms of reference of the local partner who will be responsible for collecting data from organizations in the sector (centralized and decentralized). ).
- We take as a working hypothesis that no perdiem will be provided in the budget defined in this document, to the participants of workshops, focus groups and interviews, nor compensation for transport costs.
- Institutions (DINEPA, OREPA and decentralized organizations) will be expected to fully collaborate and engage voluntarily. No compensation was provided for the participants (partners) of the study.
- The assumption of non-compensation was taken for all webinars, interviews, discussion groups (voluntary participation of stakeholders).
- The logistical aspects related to the organization of face-to-face workshops will be the responsibility of UNICEF and DINEPA.

Annex 1: Terms of reference of the capacity building needs assessment study for the Water, Sanitation and Hygiene sector

## **Terms of reference**

# **Capacity Development Need Assessment for the Water Sanitation Hygiene sector in Haiti.**

Final Version

---

v.5. 03.22.21

# Contents

<u>1.</u>	<u>BACKGROUND AND RATIONALE</u>	9
<u>2.</u>	<u>GOALS</u>	<b>Error! Bookmark not defined.</b>
<u>2.1.</u>	<u>Main objective</u>	9
<u>2.2.</u>	<u>Specific objectives</u>	9
<u>3.</u>	<u>Methodology</u>	10
<u>3.1.</u>	<u>Scope</u>	10
<u>3.2.</u>	<u>Optimal performance feasible</u>	10
<u>3.3.</u>	<u>Phases and activities</u>	11
<u>3.4.</u>	<u>A note on the context</u>	13
<u>3.5.</u>	<u>Mapping of processes and development of questionnaires</u>	13
<u>4.</u>	<u>Expected results and products</u>	15
<u>5.</u>	<u>Planning of capacity building needs assessment</u>	16

## List of abbreviations and acronyms

AEPA Drinking Water Supply and Sanitation  
ANARHY National Water Resources Agency  
ASC Civil Society Association  
ASCP Multipurpose Community Health Officer  
ASEC Assembly of the Communal Section  
CAEPA Drinking Water Supply and Sanitation Committee  
CASEC Board of Directors of the Communal Section  
CCPC Communal Civil Protection Committee  
CDC Communal Development Council  
CNC National Council of Cooperatives  
CPE Water Point Committee  
CT Territorial Communities  
CTE Technical Exploitation Center  
CTE RMPP Technical Center of Operation of the Metropolitan Region of Port-au-Prince  
DAO Bidding Documents  
DINEPA National Directorate of Drinking Water and Sanitation  
DPC Directorate of Civil Protection  
DRU Emergency Response Department  
EAHMS Water, Sanitation, Hygiene in Schools  
ED'H Electricity of Haiti  
EFH Equity Women - Men  
EPA Drinking Water and Sanitation  
EPAH Drinking Water, Sanitation and Hygiene  
EPAR Drinking Water and Rural Sanitation  
EPARD Drinking Water and Sustainable Rural Sanitation  
SWOT Strength, Weakness, Opportunity, Threat  
FOKAL Fondasyon Konesans ak Libète  
GHG Gender and Social Equity

GRD Risk and Disaster Management  
IHSI Haitian Institute of Statistics and Informatics  
JMP Joint Monitoring Program  
MARNDR Ministry of Agriculture, Natural Resources and Rural Development  
MAST Ministry of Social Affairs and Labor  
MCFDF Ministry for the Status of Women and Women's Rights  
MDE Ministry of the Environment  
MENFP Ministry of National Education and Vocational Training  
MICT Ministry of the Interior and Territorial Communities  
MJSP Ministry of Justice and Public Security  
MPCE Ministry of Planning and External Cooperation  
MSPP Ministry of Public Health and Population  
MTPTC Ministry of Public Works, Transport and Communication  
ONA National Office for Old Age Insurance  
ONEPA National Observatory for Drinking Water and Sanitation  
NGO Non-Governmental Organization  
OP Private Operator  
OPEC Organization of Petroleum Producing and Exporting Countries  
OREPA Regional Drinking Water and Sanitation Offices  
CSO Civil Society Organization  
PCD Communal Development Plan  
PEPA Drinking Water and Sanitation Platform  
UNDP United Nations Development Program  
PPP Public Private Partnership  
PSS Sector Strategic Plan for the Drinking Water and Sanitation Sector  
PTF Technical and Financial Partner  
REGLEAU Local Water and Sanitation Governance Strengthening Program  
RTN National Technical Reference  
SAEP Drinking Water Supply Systems  
SAEPA Drinking Water Supply and Sanitation Systems  
SNEP National Drinking Water Service  
TEPAC Drinking Water and Sanitation Technician for Municipalities  
UNASMOH University of Modern Sciences of Haiti  
URD Departmental Rural Unit  
WHO World Health Organization / Organization Mondiale de la Santé (OMS)

## • **BACKGROUND AND RATIONALE**

In February 2019, UNICEF Haiti Country Office with the support of Stockholm International Water Institute (SIWI) organized a workshop on the bottleneck analysis tool for water, sanitation and hygiene (WASH BAT), under the direction of DINEPA and with a broad participation of the actors of the sector. The WASH BAT process is a multi-stakeholder sector assessment that addresses the bottlenecks that determine universal access to water, sanitation and hygiene. In Haiti, the exercise focused on WASH at the national and subnational (rural and urban) levels in terms of demand for services and supply (institutions).

One of the main bottlenecks identified in this exercise was the mismatch between the legal mandate of some institutions in the WASH sector and their performance in practice. This seems to be particularly relevant to the mandate of DINEPA as regulator and that of OREPA as program implementer. Another major bottleneck was the identification of “low human resource capacities” and a mismatch between the services provided by technical capacity building institutions and the demand or needs of the sector.

Following the three-day WASHBAT workshop held in January 2019, the “Declaration of the Arcadins” was signed, summarizing the main findings and recommendations, including:

- Support for the Directorate of Drinking Water and Sanitation (DINEPA) in delegating the role of WASH implementing agency, in order to improve its regulatory role.
- Capacity building for an enabling environment, in order to operationalize sector strategies.

As a follow-up activity, UNICEF in consultation with DINEPA and other actors in the sector offers a capacity building needs assessment (CBNA) of the main government sector WASH agencies. The agencies will be targeted in relation to their functions according to the three organizational components of the sector: regulation, operation and exploitation. Thus, for the regulatory role, DINEPA will be studied (including certain operational functions pending the implementation of decentralization), for the operation component, we will study two of the 4 Regional Offices of Drinking Water and Sanitation (OREPA), while for the role of operator, we will work with a selection (sample) of Departmental Rural Units (URD), local authorities (CT), Technical Exploitation Centers (CTE) and Technicians in Drinking Water and Sanitation for Municipalities (TEPAC). This study intends to identify all the institutions providing services in areas related to WASH at the country level and to analyze the gaps in terms of capacities in order to propose relevant strategies aimed at bridging the gap between the supply and the demand for WASH services in Haiti.

## • **Objectives**

### **Main objective**

Identify the capacity building needs of concerned WASH government actors in Haiti to manage their programs effectively and efficiently, according to the three organizational components: regulation, operation and exploitation.

### **Specific objectives**

- Identify the current capacities of the organizations responsible for the regulation, operation and exploitation of the WASH sector (DINEPA, OREPA and a sample of URD, CT, CTE, TEPAC), in terms of structures (human resources and physical - equipment) and processes.
- Help government agencies identify their Optimal Feasible Performance (POF) and describe their capacity building needs to achieve POF over a 5 and 10 year period.
- Map capacity building institutions / agencies capable of providing services in aspects related to the WASH sector.

- List current WASH sector programs with capacity building components and exchange lessons learned with implementing partners;
- Suggest recommendations for a strategic capacity building plan based on an in-depth needs assessment.

### **3. Methodology**

#### **3.1. Scope**

This “CBNA” study focuses on identifying the capacity building needs of government agencies linked to the three components of the WASH sector, to fulfill their legal mandate. The study will pay particular attention to the capacities of DINEPA and the 2 OREPAs<sup>2</sup> while targeting a sample of URD, CT, CTE, TEPAC within the limit of travel constraints in the current phase of the health crisis. The specific research needs of other government organizations will be analyzed and added to the scope if deemed relevant after the institutional analysis.<sup>3</sup>

Although government agencies at the local level (departments / municipalities) are essential for the implementation of WASH programs, this study does not intend to assess their capacities in detail at this stage. However, on the basis of a sample which will be selected from the predefined criteria, the trends will be evaluated. Within the limits of available resources, a second phase could be considered later by targeting the needs of decentralized agencies. Likewise, although coordination between institutions in other sectors (such as ministries of education, health or finance) is essential for the implementation of the programs, the study will not answer, at this stage, the needs of intersectoral cooperation in capacity building.

On the supply side, the study will briefly analyze the capacity building institutions available in the country as well as the programs they offer.

It should be mentioned that these terms of reference could be brought to evolve according to the needs identified during the analysis. In this case, they will be reviewed, amended and validated by the partners concerned by this study, namely DINEPA, UNICEF and SIWI.

#### **3.2. Optimal Feasible Performance**

The capacity building needs of government agencies related to the WASH sector will be measured against their “Optimal Feasible Performance (OFP)”. The OFP is defined as:

*"The best return achievable by an organization -defined by its members taking into account the individual dimensions, organizational and systematic prerequisites in a given context and within a given timeframe."*

OFP is a concept that SIWI will use, facilitating dialogue with stakeholders, to help them identify what is achievable by a specific agency under current and foreseeable circumstances given the agreed timeframe. It is, in the end, (self) evaluation of what they consider feasible, at the given time horizon.

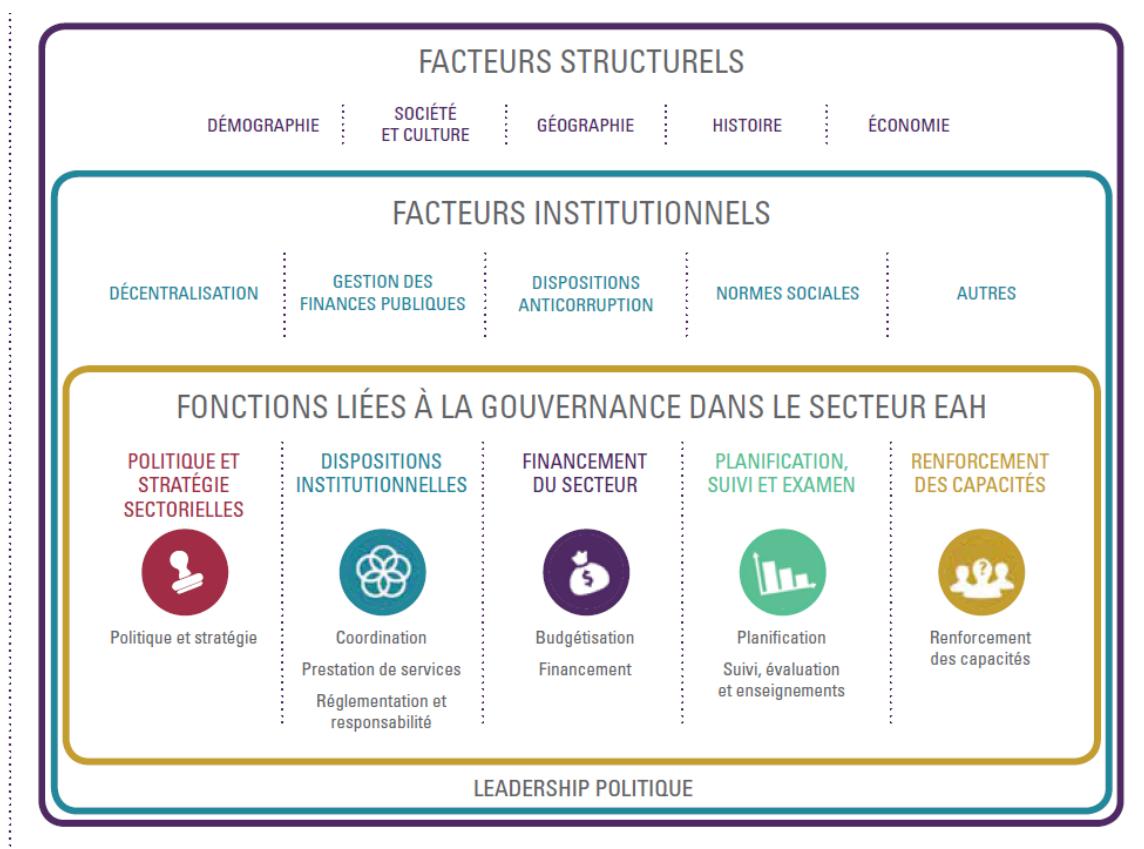
The study will be carried out considering two scenarios: medium (over 5 years) and long term (over 10 years). The POF will be defined by each agency during focus groups, where participants will be asked to self-assess how they are carrying out certain key stages of project implementation, based on

<sup>2</sup> Selection criteria will be defined during the start-up phase in partnership with UNICEF, DINEPA and the local partner.

<sup>3</sup>We can already note the discussions to be planned with Helvetas on their governance program in the South-East. That is to say that the information on the capacity needs of Orepa South-East will be taken into account not necessarily as an object of this study, but indirectly by using the information collated by Helvetas in the implementation of its support program in this region.

current and foreseeable circumstances. Based on current circumstances and industry trends in terms of funding, investment, impact of COVID-19, etc., they will set medium and long term (feasible - achievable) goals to increase their capacities individual and organizational.

As a framework for discussion, the study will use the determinants of the enabling environment, depicted in Figure 1. Capacity building is one of the core functions of WASH governance, along with policy and strategy; institutional arrangements for service delivery, sector financing and planning, monitoring and review. These six essential functions are understood as the basic functions of a WASH sector, and therefore, they are more under the control of WASH actors. There are other factors, such as those which fall under “institutional factors”, which have a particular influence on the way in which the provision of services is delivered for access by the populations, but they go beyond the direct control of the populations. EAH actors. In addition,



17 Adapté des travaux de Jiménez A, LeDeunff H., Avello P., et Scharp, C., 2015, « Enabling Environment and Water Governance: A Conceptual Framework. Accountability for Sustainability Partnership » Consultable à l'adresse suivante : <http://watergovernance.org/resources/enabling-environment-and-water-governance-a-conceptual-framework>

Figure 1: Environment conducive to the provision of WASH services.

### 3.3. Phases and activities

This study will take place over a sequence of 10 steps which can be grouped into three phases as shown in Figure 2.

The phases and stages are articulated as follows:

#### 1. Phase I. Institutional analysis and landscape of actors

- Goal:** understand the roles and responsibilities of the main government agencies in the sector in these three organizational components: regulator, operator, operator, other relevant actors. Coordination with other sectors.
- Information source :** Secondary data
- Steps :**
  1. Collect and analyze the available information.

2. Develop a study methodology differentiated by taking into account the three components, and data collection instruments for field work (including definition of key process management steps) and develop ToRs for field work.
3. Identify the key actors involved in each component (actor / process matrix) including a sample of decentralized actors. Criteria will be defined in the terms of reference of the local partner in order to have a good representativeness and taking into account the current constraints in terms of travel and collective meeting (more detailed information in point 3.5, "mapping of processes" of this document).
4. Development of a mapping of current programs concerning capacity building (and governance) and exchanges with program managers concerning lessons learned (Ex: Helvetas, ..)

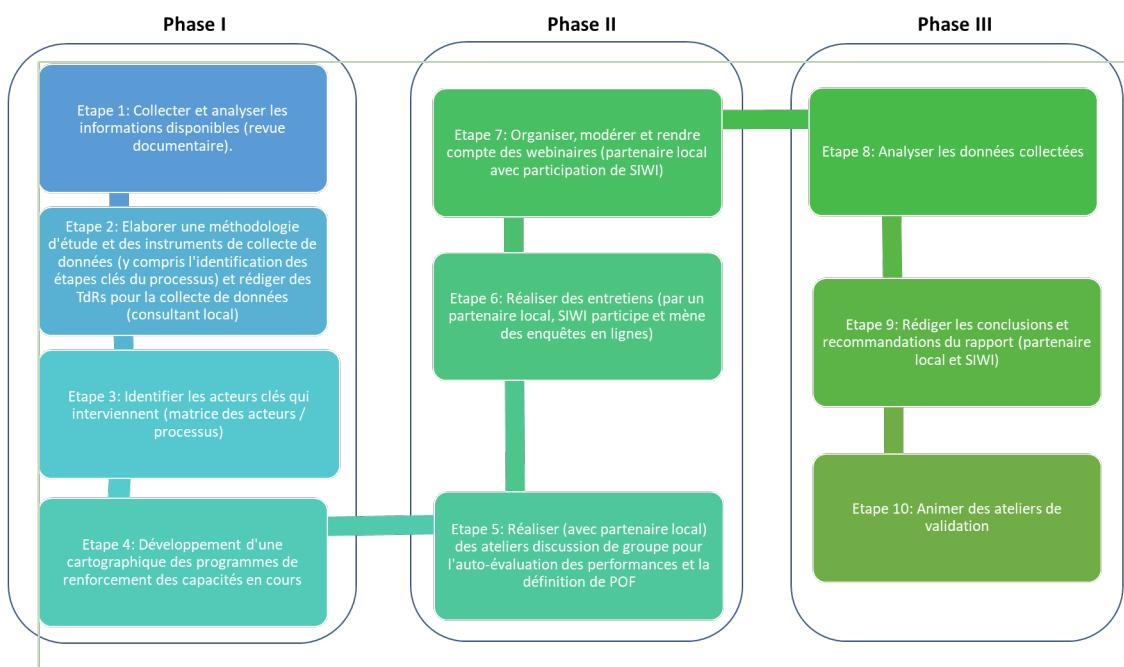


Figure 2: Phases and stages of CBNA

## 2. Phase II. Assessment of performance and capacity building needs

- a. Goal : identify capacity building needs by analyzing the current and potential roles of the agencies selected in the three main components of the sector (DINEPA, OREPA and for a representative sample of URDs, Territorial Communities, CTE, TEPAC)
- b. Information source : interviews, focus groups (face-to-face zoom / SfB / Teams), online surveys carried out during webinars and questionnaires (online).
- c. Steps :
  5. Carry out (with the local partner) group discussion workshops for self-assessment of performance and definition by POF
  6. Achieve interviews and conduct online surveys (by local partner, SIWI participates)
  7. Organize, facilitate and report webinars (by a local partner, SIWI participates)

## 2. Phase III. Data analysis and conclusions.

- a. Goal : analyze all the information collected in phases 1 and 2.
- b. Information source : primary and secondary data as in the previous phases.

c. Step:

8. Analyze the data collected
9. Write the main report with conclusions and recommendations (by the local partner, SIWI managers)
10. Lead validation workshops

An implementation schedule can be found in section 5 of this document.

### 3.4. A note on the context

During phase I, in step 3, the study will identify the key players who will be more actively involved. The technical group, whose capacities will be (self) assessed, will be invited to be part of discussion groups and possibly individual interviews. Focus groups will target different agencies with the aim of having a 'common story' per agency of how they operate as a group, in each of the selected key program implementation processes. They will be invited to self-assess their performance and identify their ROP during these focus groups.

### 3.5. Mapping of processes and development of questionnaires

Key processes will be identified for the effective and efficient implementation of each of the organizational components of WASH programs in Haiti.

Thus, for the regulation component, in principle the study will use the proper framework of Figure 3 to make the mapping to be developed specifically for Haiti.

Figure 3 shows the four specific dimensions of the regulation component in a WASH sector: 1. Definition of rules and regulations; 2. Information gathering; 3. Monitoring of the enforcement of its rules and regulations by other players in the sector; 4. Ensure compliance with the rules and, if they are not, enforce a sanction for the non-compliant.

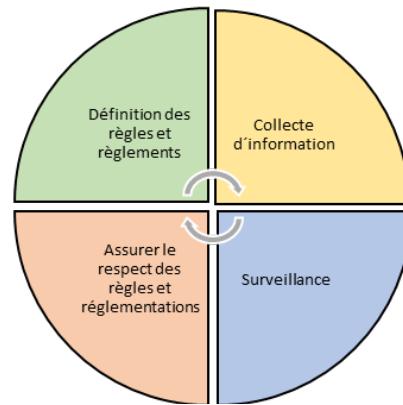
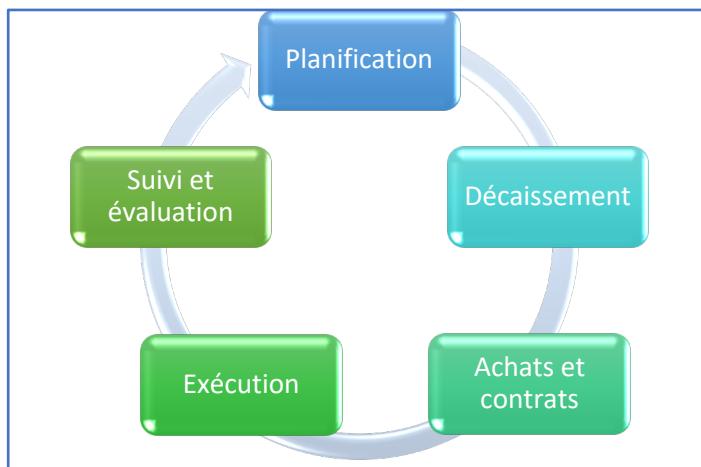


Figure 3: Dimensions of the regulation component.

Figure 4 shows an example of a standard process diagram for a WASH program. This process will be used as a framework to map the processes of the operational and operational components of the WASH sector. These key processes will be proposed to the focus groups, where the actors will make the final selection, changing those proposed if necessary.

Following the validation of the process, each agency in the focus group will map and assess how the steps will be followed in daily practice, from their perspective.



*Figure 4: Key processes of the WASH program to be analyzed for the preparation of CBNA.  
(Example, to be made to measure with Haiti)*

Following the group discussions, a process flow will be developed on how WASH programs are implemented in Haiti in practice. The next step is to identify what is the role of each agency in this process. Table 1 shows examples of potential results from this exercise.

*Board 1: List of responsibilities by level of government, for each step of the WASH program implementation process.*

Process	DINEPA	OREPA	Other decentralized organizations (URD, CTE, TEPAC, Town halls)
<b>REGULATION COMPONENT</b>			
1. Definition of rules and regulations;	Law and application		
2. Information gathering	System for collecting information from operators and operators		
3. Monitoring of the enforcement of its rules and regulations by other players in the sector;	Monitoring and control of operators and operators		
4. Ensure compliance with the rules	Sanctions and Accountability Mechanisms		
<b>OPERATION AND OPERATION COMPONENTS</b>			
1. Planning of activities	Long term plan / strategy?  Coordination with donors?	Decentralized planning?  Harmonized and transparent management of regions / departments?  Prioritization and ownership of the national plan	Planning  Coordination and harmonized management with higher and lower levels  Prioritization at local level
2. Financial	DINEPA / Ministry of	Payments, accountability	Budget, collection of tariffs,

management (registration of funds, disbursement, use of financial management tools)	Finance link		distribution of taxes, accountability
3. Procurement and contracting.	Skills / bottlenecks?	Skills? bottlenecks ?	Skills? bottlenecks ?
4.Implementation		<p>How are the funds disbursed?</p> <p>Finance Relations - EAH Agencies</p> <p>Who takes care of the purchases? Who is the contract manager?</p> <p>Implemented in rural / community areas?</p> <p>Implemented in urban areas?</p> <p>Implementation in public spaces? Implementation in post COVID times?</p>	<p>How are the funds disbursed?</p> <p>Finance Relations - EAH Agencies</p> <p>Who takes care of the purchases? Who is the contract manager?</p> <p>Implemented in rural / community areas?</p> <p>Implemented in urban areas?</p> <p>Implementation in public spaces? Implementation in post COVID times?</p>
5.Control and evaluation:	How is M&E done? Who does what ?	How is M&E done? Who does what ?	How is M&E done? Who does what ?

Based on the information gathered during the focus groups, strategic and technical questionnaires will be developed. The former will be used for management staff, in charge of strategic and political development, and the general orientation of the sector. The latter will be interviewed with a few open questions, on strategic subjects falling within their competence. Then the technical staff will have semi-structured interviews with closed questions as much as possible, and preferably using an online questionnaire.

## 4. Expected results and products

The expected overall product will be a report containing the following information:

1. A baseline report on the capacities of DINEPA, OREPA and other relevant agencies related to the WASH sector (URD sample, CTE, TEPAC and CT), in terms of human and material resources (equipment) currently available.
2. A matrix of ongoing programs in the sector with capacity building actions
3. A report of the self-assessment results of their optimal feasible performance (POF).
4. An analysis of their capacity building needs to achieve Optimal Achievable Performance (POF) within 5 and 10 years.
5. A summary review of capacity building agencies able to provide services in WASH related aspects.
6. A document proposing recommendations for a strategic plan to strengthen their capacities, based on the results of all of the above within the allotted timeframe.

## 5. Planning of capacity building needs assessment

The capacity building needs assessment process will be implemented according to the following schedule:

Activity in 2021		March	April	May	June	July	August	Sept	Oct	Nov	Dec
	Phase I. Institutional analysis										
Documentary review (institutional assessment)		■									
Development of the study methodology			■								
Development of data collection instruments (questionnaires by type of actor, discussion groups)			■	■	■	■					
Development of ToR for field work (local partner)		■	■								
Local partner contracting (SIWI)			■	■							
Develop a matrix based on the program implemented in the country by NGOs on capacity building for the WASH sector and interviews with some key program managers					■						
	Phase II. Performance evaluation										
Animation of 8 vision development workshops / collection of contributions					■	■					
Data collection from the local partner (focus group, interviews, online survey) and Remote support from the local partner (SIWI)					■	■					
Organization of interviews (10)					■	■					
Development of program matrix including capacity building of WASH actors							■	■			
	Phase III. Data analysis and conclusions										
Data analysis									■		
Writing of the main report									■		
Animation of workshops for validation (3)									■	■	
Coordination / CO meetings		■	■	■	■	■	■	■	■	■	■



## Annex 2: Some examples of interview questionnaires (for open-ended strategic questions and technical questions).

smartphone.

- A. *Text in italics should be read to the interviewee*
- B. Underlined text contains instructions for the interviewer
- C. The text of the table with **blue background** are questions that require action: observation, or recording of georeferenced data or taken from photographs.
- D. Before you start:
  - Calibrate the GPS. Take the contact details of the interview site. Take a photo of the interview site (with interviewee, after giving permission)
  - Ask permission to continue.

## **Interview for supervisory staff:**

### **Example 1: Meeting with the national director of DINEPA**

Dated:

Meeting place:

Last name:

Contact:

To interview:

Introduction to the program.

In your opinion, what are the developments in the rural / urban water sector that can be expected over the next 10 years?

What is the opinion of the DINEPA director on optimal performance in the next 10 years?

What steps must be taken to achieve optimum performance?

What strategy has DINEPA developed or does it intend to develop to mitigate the effects of changes due to COVID?

What are the main weaknesses that you have identified within DINEPA?

## **Example 2: Meeting with the head of the planning department**

**Dated:**

**Meeting place:**

**Last name:**

**Contact:**

**To interview:**

What is the DINEPA planning process?
How is the department structured to advise regions in planning, implementation, monitoring and evaluation in accordance with the national annual WASH plan?
About the planning cycle, how does it work?
What are the main strengths of the agency regarding planning in the provision and promotion of water supply services?
What do you see as the agency's weaknesses in planning in the provision and promotion of water supply services?
At DINEPA level, is there an (annual) training plan for staff and partners in the field of water supply and sanitation?
What are the main challenges related to staff training activities?
How is information managed for program monitoring?

### **Example 2: Meeting with the director of OREPA**

Dated:

Meeting place:

Name of OREPA director:

Contact:

To interview:

How is OREPA structured to implement its mandate?
How is the coordination between the departments (water, finance, purchasing and planning)
What steps must be taken to have optimal direction?
How is OREPA structured to support the departments?
What information system would be ideal for better planning?
How do you see coordination with other sectors?

## **Examples of maintenance for technical staff (smartphone based, can be online survey or similar)**

### **Example 3: INTERVIEW WITH THE TECHNICAL DIRECTOR OF OREPA**

#### ***Organizational component***

1. What is OREPA's mission and main objectives?
2. What are the main specific activities / services?
3. What is its structure (organization chart)?
4. In addition to the internal structure of the ministry, what other ministries and sectors have an ongoing working relationship?
5. Who are the main beneficiaries of the activities / services?

#### ***General issues relating to the supply and promotion of water and sanitation***

6. Does the department have a strategy / approach to implement water and sanitation programs?
7. If so, does this strategy also consider promoting the sustainability of water and sanitation infrastructure?
8. What are OREPA's strengths in the provision and promotion of water and sanitation services?
9. What are OREPA's weaknesses in the provision and promotion of water and sanitation services?
10. At OREPA level, is there an (annual) training plan for staff and partners in the water and sanitation sector?
11. When was the last training on water and sanitation conducted by the OREPA water service:

Target group	Training year	Training topic	Partners involved (organization)

12. What were the main results and successes recorded in the water and sanitation programs resulting from the training carried out?
13. What are the main challenges related to staff training activities?

14. What are the lessons from staff training programs?
15. How long the OREPA water service assists / supervises the departments in the implementation of water and sanitation programs.
16. Are there any reports on the supervision missions carried out?
17. Is there evidence of the level of compliance with recommendations left during supervision missions?
18. Are internal meetings organized at the level of the OREPA water department team for planning and regular monitoring of the progress of activities? (If yes, indicate the frequency: weekly, monthly, quarterly).
19. Are there minutes of these meetings? (If yes, ask for documentary proof)
20. How often are OREPA water service progress reports sent to DINEPA?
  - a) Does the OREPA water service respect the expected frequency?
  - b) What were DINEPA's feedback regarding their quality / usefulness?

#### *Technical capacity of staff*

21. How many technicians work for the water and sanitation component in the following areas?
  - a) In water supply systems? (H / M)
  - b) Wells / boreholes? (H / M)
  - c) Water resources ? (H / M)
  - d) In promoting sanitation and hygiene? (H / M)
  - e) In monitoring and evaluation / report (M / M)
22. How long have these technicians worked for these positions?
23. How many of these technicians are trained in their respective fields of work?
24. What type of training have technicians received in the past 2 years?
25. Does OREPA's water department have a resource center / library with material on water, sanitation and hygiene promotion programs where technical staff and partners can update or view?
26. Does the department subscribe / receive important publications (even by e-mail) on water and sanitation experiences?
27. Does OREPA's water service document your experiences?
28. If so, is there any evidence from the past two years?
29. If so, are these experiences shared with other institutions / organizations?

#### *INFORMATION management system.*

30. Does the OREPA water service have a database on water and sanitation?
31. Does this database have a database link at department level?
32. Does it have an interconnection with the national database?
33. What is the planned periodicity for updating the information?
34. In practice, what is the regularity of updating information?
35. How reliable is the information provided by the districts for the system?
36. What aspects should be improved for the full functioning of information systems?

### ***Procurement***

37. What is the responsibility of OREPAs in the purchasing processes linked to the water and sanitation sector in the region?
  - a) At regional level
  - b) At the department level
  - c) At the municipal level
38. How it assesses the outcome of these processes in terms of the final impact of the products / infrastructures / activities developed.

### ***Resources***

39. Do you consider that there are resources for:
  - a) Training technicians?
  - b) Material for sanitation and hygiene promotion (PHAST, CLTS, participatory clients, flip chart, posters, etc.)?
  - c)
40. Do the technical staff of the agency have individual work computers?
41. Do technical staff have access to the Internet?
42. How many vehicles have been purchased for OREPA's water service in the past 3 years:
43. How many of these vehicles are operational?
44. Which of these equipments is used exclusively by the OREPA water service?

### ***Partnerships and coordination with other organizations***

45. Is there a platform for organizations working in the water and sanitation sector?
46. If yes, which organizations does it belong to (list of organizations)?
47. How is collaboration between organizations done (e.g. planning meetings, joint development of activities, celebration of World Water Day ...)

48. What is OREPA's role in this platform?
49. What is the role of other organizations
50. How often are the meetings?
51. Does OREPA have memoranda of understanding with its partners (if so, provide documentary evidence).

#### Example 4: INTERVIEW WITH THE PURCHASING AND CONTRACTS MANAGEMENT UNIT

##### **STATUS - INSTITUTIONAL**

###### CAPACITY OF HUMAN RESOURCES AND EQUIPMENT

Human resources

1. How many technicians does the procurement and contracting unit have? Total: (Men) (Women).
2. How long have these technicians been in the region?

Technician No.	H	M	Academic level	Technical / specialist training	Years of experience in the field

3. How many of these technicians are specific to purchasing (women)

4. How long have these technicians been in the region?

Technician No.	H	M	Academic level	Technical / specialist training	Years of experience in the field

5. How many technicians are specific to the field of contract management (men) 01 (women)

6. How long have these technicians been in the region?

Technician No.	H	M	Academic level	Technical / specialist training	Years of experience in the field

7. How many technicians are specific to other fields \_\_\_\_\_ (men) \_\_\_\_\_ (women) \_\_\_\_\_

8. How long have these technicians been in the region?

Technician No.	H	M	Academic level	Technical / specialist training	Years of experience in the field


9. Are the technicians working in the purchasing and contracts unit exclusively assigned by the purchasing and contracting unit?

Yes

No

Some

10. If not, where are they affected?

11. Do all technicians in the office have an individual job description (TD)? Can you show us?

12. If not, what types of job descriptions do you have?

Means and equipment

13. How many of the following equipment does the agency have?

Equipment	No	Operating	State	Damaged	Observations
Car					
Motorbike					
Desktop computer					
Computer connected to the financial management system					
Fixed lines					
Mobile phones					
Printer					
Internet					
Photocopier					
Portable					

Equipment	No	Operating	State	Damaged	Observations
To scan					

14. Are there monthly business plans for the office?

- Yes
- No

15. Is there a discussion of the monthly business plan between the office manager and staff?

Yes No \_\_\_\_\_

16. What determines the execution of day-to-day activities?

- Weekly meetings
- Implementation of existing plans
- Orders of what to do daily
- Depends on existing work or demand

17. Are there individual activity plans?

- Yes
- No

18. If so, is there a format of monthly and annual plans at the individual level for performance monitoring? Documentary evidence

Yes \_\_\_\_\_  
No \_\_\_\_\_

19. What measures are taken based on staff performance? Give an example.

20. Is the purchasing and contracts unit aware of the budgetary limits of each purchasing need?

- Yes
- No

21. If so, how do you know?

- a. Written communication
- b. Verbal information
- c. Other. What

22. After receipt of procurement, works, goods or service requirements by the procurement management unit, what does the procurement management unit do next?

- a) Preparation of a purchasing plan (for this specific acquisition)
- b) Prepare the ad for publication
- c) Prepare tender documents
- d) Request for authorization to initiate proceedings

If the answer is a), you can ask to see the procurement plan used by the procurement management unit. To take a picture

23. Is there a preparation of the supply plan?

- Yes
- No

24. How are the respective departments involved or informed about the procurement plan? N / A

- a. Written communication / internal memo

- b. Oral communication / during a group meeting
  - c. Oral communication from boss to boss
  - d. Other forms
- 

25. In your opinion, is there anything that should be improved regarding the way the budget limits and procurement plans established for the procurement management unit communicate?

- a. Training in procurement
- b. Communication should be made to the procurement and contracting unit at the start of the fiscal year
- c. Clear communication of the contractual subject and the available limit
- d. The time necessary for the use of the contractual object in the sector in order to give time for the acquisition of
- e. Communicating / updating budget limits whenever availability
- f. Others: better articulation with the CFO in the information provided

26. Who is responsible for preparing the specifications for the subcontracting work?

27. How long did it take for a works procurement process requiring public tender (major works) from the date of publication? For example new boreholes?

- a. It's normal
- b. It's not a lot
- c. It's excessive
- d. It's too much

28. What would be the ideal time for you?

- a. 30 days
- b. 45 days
- c. 60 days
- d. 90 days
- e. + 90 days

29. How long did it take for a procurement process to initiate small jobs, from the date of communication, to the procurement management unit, of the procurement requirement? For example, up to five holes new holes or rehabilitation of holes or wells.

- a. 15 days
- b. 25-30 days
- c. 45 days
- d. 60 days
- e. +60 days

30. What are the stages of the competition where there are delays?

- a. Preparation and launch
- b. Presentation and opening of proposals and qualification document
- c. Assessment and remediation
- d. Ranking and recommendation of the jury
- e. Price
- f. Complaint and Appeal
- g. Document update
- h. Contract signature
- i. Approval of the contract by TA (visa)

- Explain how you can overcome these delays based on your experience?
- Regarding the start of activities. What is the industry practice after signing the contract?
  - The wait for the Administrative Court visa (if necessary) is supposed to start the activities / the supply of the object
  - The activities / supply of the object are started immediately after signing the contract.
  - It is expected by tacit approval and begins if the activity / supply of the object without however having the response of the Administrative Court (if necessary).
  - Before Visa / Note
- Regarding the payment of invoices, what is the industry practice?
  - Pay if after visa or TA endorsement
  - Pay if after conclusion of contract
  - After sending the process to the TA, examine if the process has ended and before the shipment can be paid for.
  - Before Visa / Note
- Among the processes submitted to the Administrative Tribunal for annotation or obtaining a visa, is there a very high frequency of returns for regularization (returned processes)?
  - Yes
  - No
- If so, what were the reasons for the frequent return to proceedings?
  - Linked to the tendering process (announcements, evaluation reports, proposed information, etc.)
  - Linked to documentation (communication to fund manager, fund declaration, entrepreneur's legal documentation, guarantee)
- Have they followed the state of play of the proceedings before the Administrative Tribunal?
  - Yes (only one)
  - No
  - If yes: how was it done? (see document / table).
- What were the results after the follow-up?
- Have there been cases where they had to **request emergency service** to start activities without going through the Administrative Tribunal?
  - Yes
  - No
- Can you give examples and for what reasons did you request the convenience **urgent service**?
- **Why emergency service** has it been granted?
  - Yes
  - No
- How many members have the jury committees set up?
  - 3 people
  - 5 people
  - 7 people
  - + 7 people
- What were the criteria for appointing the jury?
- \_\_\_\_\_
- \_\_\_\_\_

- How long did it take for a jury to assess (until the report was approved by the director).
    - Proposals for work? \_\_\_\_\_
    - From expression of interest to proposing a shortlist (in consulting firms) \_\_\_\_\_
    - For the evaluation of the technical proposals of the consultants?

---

  - For the evaluation of the financial proposals and the preparation of the final report (in the consultants)? \_\_\_\_\_
- Is satisfied with the performance of jury panels (in evaluations)
    - Yes
    - No
    - If not, what do you think should be supported to improve?

---

---
- What if you are not what you think you need to change to improve the acceleration and quality of Purchasing processes in order to meet the challenges imposed today?

---

---
- Is there any involvement of other employees outside of OREPA in the procurement (appraisal) process for the sector?
    - Yes
    - No
    - If so, how is the department assigned to department employees in the procurement process?

---

---
- How do you follow up on (procurement cases) sent to the administrative court?
    - Waiting for a response from TA
    - Awaits the passage of 45 days (tacit postponement)
    - Monitors the process with frequent visits to the TA
- In addition to the recruitment processes, up to the signing of the contract in which areas below have been the role or intervention of the procurement and contracting unit:
    - In the advance payment procedure;
    - In the procedures for paying invoices from contractors, consultants and suppliers of goods;
    - In the consignments of the Works;
    - In recruiting management
    - In provisional deliveries
    - In final deliveries
    - In monitoring auditors
    - Other. Such as \_\_\_\_\_
- As well as the articulation with the DAF and the OREPA water directorate (in particular in the management of das contracts).
    - Technical advice issued by das in the payment process (whether or not to agree to payment of the invoice);
    - Opinion of the purchasing and contracts unit in contractual terms
    - DAF notice on availability of funds

- The final delivery / payment report is part of the technicians of the water service of DAF and OREPA;
- In addition to tenders applying government procedures, do you have any cases of projects in which the procurement and procurement unit should apply the procedures of the exceptional regime?
  - Yes
  - No
  - If so, what were the challenges that this posed?

- \_\_\_\_\_
- Do you feel any technical weaknesses in your performance? Indicate who  
\_\_\_\_\_
- If so, what steps are taken to overcome or minimize the difficulties encountered?  
\_\_\_\_\_
- What would be the optimal performance of an OREPA?  
\_\_\_\_\_
- What do you think is left to get there?  
\_\_\_\_\_
- Taking into account the current human resources of OREPA; how many additional human resources do you consider necessary to achieve optimal OREPA performance and in which areas do you need?  
\_\_\_\_\_
- In terms of education and training, what areas in your day would help you achieve effectiveness and efficiency at work?  
\_\_\_\_\_
- In terms of education and training, what are the areas that would help your colleagues to achieve efficiency and effectiveness at work?  
\_\_\_\_\_

End