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**Improving Water and Sanitation
Services in the MENA Region (IWSMR)**

WORK PLAN – YEAR 1

WORK PLAN AND PERFORMANCE MONITORING PLAN

November 2013

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The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

LIST OF ABBREVIATIONS

ABC	Association of Boards of Certification
ACWUA	Arab Countries' Water Utilities Association
CAQA	Jordanian Center of Accreditation and Quality Assurance
CIS	Certification Information System
COR	Contracting Officer's Representative
CSUS	California State University, Sacramento
DWA	German Association for Water, Wastewater, and Waste
EWRA	Egyptian Water Regulatory Authority
FAR	Federal Acquisition Regulations
GIZ	<i>Deutsche Gesellschaft für Internationale Zusammenarbeit</i>
GRE	Graduate Record Examination
GWOPA	Global Water Operators' Partnerships Alliance
HBRC	Housing and Building National Research Center
HCWW	Holding Company for Water and Wastewater
IR	Intermediate Result
IWSMR	Improving Water and Sanitation Services in the MENA Region
M&E	Monitoring and Evaluation
MENA	Middle East and North Africa
O&M	Operations and Maintenance
OMEF	USAID Office of Middle East Programs
OMT	Operation and Maintenance Training Project
OWP	Office of Water Programs
PMP	Performance Monitoring Plan
PR	Program Result
RFQ	Request for Quotations
SAM	System for Award Management
SAT	Scholastic Aptitude Test
SIDA	Swedish International Development Cooperation Agency
SIWI	Stockholm International Water Institute
TIA	Training Impact Assessment
TOEFL	Test of English as a Foreign Language
TOT	Training of Trainers
UAE	United Arab Emirates
USAID	United States Agency for International Development
WPRR	Water Policy and Regulatory Reform Program
WWSS	Water and Wastewater Sector Support Program

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INTRODUCTION

On September 30, 2013, the USAID Office of Middle East Programs (OMEP) awarded the Improving Water and Sanitation Services in the MENA Region (IWSMR) project to a team led by Chemonics International with ECO Consult and the cooperation of the Association of Boards of Certification (ABC) and the Office of Water Programs (OWP) at California State University, Sacramento. The IWSMR work plan describes the steps, milestones, and resources to be used to achieve program objectives. The work plan is organized around the two main phases and three components of the program, which are aligned with the project results framework. The work plan is updated annually and in the IWSMR quarterly progress reports to reflect actual accomplishments and conditions.

PROJECT OBJECTIVES

1. Build the capacity of the Arab Countries Water Utilities Associations (ACWUA) to enable them to achieve their mandate to promote certification and accreditation, capacity development, and information exchange among water and wastewater utilities and professionals during and beyond project completion.
2. Evaluate the feasibility of and develop and implement a mechanism to most effectively scale existing water and wastewater operator certification programs in Jordan and/or Egypt to regional application.
3. Leverage regional USAID funded improvements in water and sanitation utility management and operation by exploring training opportunities (such as utility twinning) to encourage information exchange and disseminate best practices in the water and sanitation industry.

These objectives will be achieved through two distinct phases:

Phase 1 – Assessment will a) review and update ACWUA’s strategic business plan, b) evaluate the feasibility of and identify approaches to scaling up regional certification programs, and c) explore opportunities to improve the service delivery of utilities (e.g. utility twinning program).

Phase 2 – Implementation will work with ACWUA and member countries and utilities to carry out recommended actions.

OVERVIEW AND TECHNICAL APPROACH

To improve water and sanitation services in the MENA Region, IWSMR builds on successful USAID supported efforts to develop water and wastewater operator training and certification programs in Jordan and Egypt. The IWSMR team, embedded within the Arab Countries Water Utilities Association (ACWUA), will work with water utilities and government agencies throughout the region to improve the capacity of the sector to deliver water and wastewater services in the region. Key counterpart agencies include, but are not limited to, ACWUA utility members, regulatory agencies, Jordanian and Egyptian accreditation bodies, Egyptian Water Regulatory Authority (EWRA), Center of Accreditation and Quality Assurance (CAQA) and the Housing and Building National Research Center (HBRC) in Egypt.

Work under IWSMR is designed to be regional and catalytic. Previous experiences will be built upon and new approaches employed to reduce costs, and scale impact. The geographic focus of this project is the Middle East and North Africa with a target of wide regional partnership. Consistent with US foreign policy and the MENA regional focus, participating countries may include Morocco, Tunisia, Algeria, Libya, Egypt, Jordan, West Bank/Gaza, Lebanon, Yemen and Iraq. Supported countries are subject to USAID approval, and program funding will not target or directly benefit wealthier countries of the region, including Saudi Arabia, Bahrain, Oman, and the UAE, although individuals from these countries can participate in the program at their own expense.

Assessment, design and implementation of various operator training, twinning, youth and gender pilots will drive IWSMR during Year 1. The outcome of these pilots will be model training programs that ACWUA will roll out in member countries and utilities during Year 2 with the overall goal of involving all ten (10) participating MENA countries as listed above and other self-funding ACWUA member countries.

Strengths, Weaknesses, Challenges and Opportunities

Critical O&M and Management Constraints to Sector Sustainability

IWSMR focuses on the main deficiencies in the areas of O&M and utility management and the reasons for deficient capacity. These revolve mainly around staffing, skill levels, and qualifications among operators, managers, and technicians.

Skills gaps and weak human resources practices - As the treatment facilities and networks of local utilities expand to meet demand, management must adapt to new requirements and technologies, and utilities need standardized procedures, clear functional and position descriptions, and training programs and job aids to equip staff with new skills.

Lack of incentives to attract and retain qualified operators and managers - Except for the wealthy gulf countries, MENA utilities have difficulty attracting and retaining qualified managers and technical personnel. Certification can help to raise the profile of the sector and offer attractive opportunities for youth, new graduates, women, and career changers.

Timing the market to create demand and ensure supply - Experience from the OMT, WWSS, and WPRR programs demonstrates that creating demand for operator training and certification through regulatory and organizational measures lays the groundwork for a

testing, training delivery and certification market. To succeed regionally, competency frameworks, curricula, training programs, and testing need to be harmonized and standardized, and to become customer-oriented and cost effective to respond to the needs of regional entities.

Legal and operational frameworks - USAID’s OMT and WPRR programs have supported two accredited operator certification frameworks that can serve as regional models, but harmonizing and standardizing curricula and examinations is challenging within the 24 month duration of the project and requires advocacy by ACWUA members and other sector actors to adapt materials, train local trainers, and support rollout. Supported by IWSMR and ACWUA, Jordan’s CAQA and Egypt’s HRBC, which provide good examples of testing and certifying frameworks and bodies, will be replicated or integrated into a flexible regional certification system. The challenge for IWSMR, ACWUA, and regional organizations is to further harness this expertise into a sustainable region-wide platform that offers operator training, testing and certification services at prices commensurate with the ability to pay by the ACWUA’s member utilities recognizing that by starting IWSMR in October 2013, most interested organizations will not have adequate funds specifically allocated for operator certification until the 2015 fiscal year.

IWSMR Results Framework

The IWSMR results framework, below, presents the intended results of IWSMR and shows how the results of the three components work together to achieve program objectives. During work planning, this framework was reviewed with ACWUA staff to be shared with board members. It was also shared with USAID. The results framework will be used as a communication tool to summarize the program’s approach; a planning tool to link program activities to specific results; and a management tool to frame the performance monitoring plan (PMP) and continually track progress toward anticipated results.

All aspects of IWSMR are designed to improve the capacity of ACWUA to be sustainable beyond project completion and are built around the results framework below.



Guiding Principles for Implementation

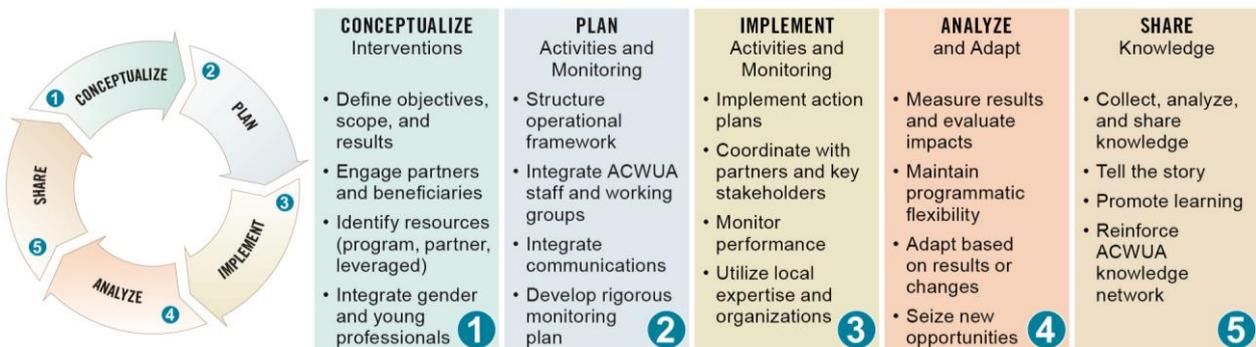
To achieve its objectives, the IWSMR program is: (a) customer- driven; (b) strategic, flexible and responsive to targets of opportunity; (c) results-oriented; and, (d) sustainable.

Customer-driven - IWSMR ensures a customer-driven methodology by responding first to the needs of ACWUA; second, by addressing the needs of its members and non-member service

providers; and third, by working in tandem with other relevant organizations to achieve results. ACWUA is always out front. IWSMR works with and through ACWUA integrating its directors, staff, and members at each step. Through ACWUA, IWSMR engages in mutually beneficial working relationships with other actors, as appropriate.

Strategic, flexible, and responsive - To ensure nimble implementation, IWSMR employs an adaptive management approach — a cyclical, participative technique centered on conceptualizing interventions, planning and implementing activities, monitoring performance, analyzing results, adapting methods, and sharing knowledge.

Adaptive Management Approach



IWSMR supports its activity partners and USAID to evaluate progress toward achievement of goals and to identify adjustments in activities that are needed in light of progress achieved, lessons learned, or changes in the environment. Via ACWUA, IWSMR coordinates closely with other donor projects and strives to minimize duplication of efforts. IWSMR is designed to recommend adjustments in its Annual Work Plan to capitalize on targets of opportunity based on analysis of the sector and the progress made by ACWUA and ACWUA members, requests from ACWUA and ACWUA members, and/or a detailed understanding of the status of other donor and ACWUA programs. Recommended Work Plan changes are discussed with counterparts and approved by the Contracting Officer’s Representative (COR).

Results-oriented – IWSMR is committed to smart resource utilization by maintaining a rigorous focus and implementing only activities that contribute directly to performance improvements.

Results-oriented management is an essential element of project performance. IWSMR makes use of a range of technical assistance methods (e.g. provision of expatriate or local technical expertise, institutional capacity building, various types of training, technical twinning, etc.) and, subject to USAID’s technical direction, selects the combination of approaches most appropriate to achieving the desired results. IWSMR is designed to have discernible and positive impacts on the sector and counterpart institutions by the end of the program. This impact is measured as described in Annex B – IWSMR Performance Monitoring Plan.

Sustainability - IWSMR focuses on building ACWUA’s capacity and knowledge base while developing revenue-generating activities to ensure its financial viability and training and services that are market driven, gender-inclusive, revenue-positive, and cost-effective. IWSMR works closely with and through ACWUA staff. Capacity building and transfer of knowledge begins at project initiation and continues throughout the project. In addition to building financial sustainability into all project activities, IWSMR includes knowledge transfer and institutionalization.

PROJECT PHASES

This initial version of the IWSMR work plan provides a brief description of the specific results to be achieved under each project phase and component including tasks (activities) and deliverables.

Phase 1 – Assessment

The initial assessment phase activities will be conducted and completed during the first 4 months of the project as shown in Annex A - IWSMR Work Plan Schedule. The following summarizes the main activities and outputs of this phase.

- Develop a bridging update to the ACWUA strategic business plan/2014 that emphasizes the new regional MENA Operator Certification and Training Program. (Development of the next ACWUA strategic business plan/2015-19 will be undertaken during 2014.)
- Analyze the operator certification market, including needs, supply and demand, willingness and ability to pay, cost-benefit impact, existing curricula and delivery models, and impact on labor- balanced, labor-exporting, and labor-importing countries.
- Develop implementation, training, and twinning plans that identify training needs, twinning options and opportunities, and gender inclusion methods.

IWSMR will solicit the input of other ACWUA donor partners such as GIZ and SIDA during the assessment and planning process.

During intensive work planning sessions conducted by IWSMR in Amman during November 2013 with ACWUA leadership and the USAID COR, it was agreed that the Phase 1 – Assessments will be conducted incrementally whereby priority will be given during the initial Stage 1 Assessment (Oct 2013 – Jan 2014) to activities directly supporting the planned implementation of the first set of training and twinning pilots. This also applies to the assessment underpinning the ACWUA Strategic Business Plan/2014 where the role that ACWUA can play in coordinating and providing operator certification training and testing will be emphasized. The Stage 2 Assessment associated with the broader MENA regional scale-up of operator certification, training, testing and twinning exchanges will be conducted after the completion of Stage 1 Assessments that focus on pilots. The Implementation Plan for Stage 1 will provide the details of ACWUA capacity building, training pilots and twinning exchanges to take place in IWSMR Year 1. Assessment Stage 2 in Year 2 will drive the development of the Implementation Plan for Stage 2 which will be characterized by broader ACWUA member participation associated with ACWUA capacity building and the rollout of operator certification training and twinning based on the Stage 1 pilots.

Based on this staged assessment approach, IWSMR and ACWUA will plan the implementation of ACWUA capacity building and expanded operator certification training and testing as deemed appropriate based on demand, schedule and available resources. It was further agreed that the Stage 1 Assessments will be conducted with IWSMR taking the lead with active ACWUA support. Stage 2 will place ACWUA counterparts in the lead role to transfer assessment capability and build ACWUA's overall operator certification program capacity.

This streamlined and expeditious approach will optimize ACWUA and IWSMR application of limited time and resources to ‘get training started’ so that performance improvement impacts can be measured, analyzed and reported. Findings will be used to make adjustments as required to finalize these pilot training and testing programs, materials and tests. This agreed piloting process will provide ACWUA with sound training and testing programs and administrative experience that ACWUA can use in providing services to other interested members thus contributing to ACWUA’s financial sustainability.

To further expedite the process, ACWUA will establish a committee comprised of several board members and the secretary general to serve as an interface between the IWSMR project, the full board and ACWUA’s country and utility members. This committee will work directly with the project on assessments and plans. It is also envisioned that the countries represented on the committee will host the planned training pilots and twinning exchange. In this respect the committee is the group through which IWSMR will implement major planned activities.

Deliverables: The Phase 1 Assessment Reports and the Implementation Plan associated with Stage 1 will be submitted for review by the ACWUA board and USAID in January 2014. The dates for all subsequent IWSMR activities will be determined based on the final approved versions of the Implementation Plan.

Planning and consensus bridging - The assessment will be followed by a one-month planning and consensus-building period to present the findings and recommendations, update the business plan, and propose training and twinning options. IWSMR will align activities with ongoing programs, meetings, and conferences, such as ACWUA’s Best Practices Conference on standardization and certification (December 2013, Algiers). IWSMR will help ACWUA prepare conference materials to present experience from Jordan and Egypt and share thinking about the standardization and harmonization of competency frameworks, training curricula, and testing. This gathering will provide an excellent backdrop for consensus-building and decision-making on these subjects and present an opportunity for IWSMR staff to meet with members, share the results of our assessments, and solicit views regarding implementation. Taking into account the feedback received, IWSMR will work with ACWUA to develop interventions for joint implementation. The resulting implementation plan will guide implementation of the IWSMR work plan.

Phase 2 - Implementation

The IWSMR approach in applying the Implementation Plan can be summarized as “ACWUA Forward” to accomplish the following:

- Build ACWUA’s capacity and enhancing its visibility
- Evaluate realigning board member roles so that they become more active in expanding membership, marketing ACWUA’s service offerings, and leveraging its widely attended annual conferences to bring together regulators, accreditation agencies, and practitioners from the region
- Establish a task force to standardize curricula and harmonize operator examinations across the region based on the ABC approach

- Develop and utilize the training and certification information system (CIS)
- Plan and implement training and twinning pilots in selected (not all) member countries and utilities
- Expand the training curriculum, drawing as needed from existing resources in the region
- Help ACWUA obtain a responsibility determination from USAID Jordan
- Based on the results of the Stage 2 Assessment, initiate and roll out twinning arrangements as indicated

During work planning, it was agreed that implementation will be aligned with the Stage 1 Assessments and driven by the planned training and twinning pilots. During Year 1, IWSMR and ACWUA will strive to implement three (3) operator training pilots at member utilities in three (3) member countries, as well as plan one (1) multilateral twinning exchange at one (1) model member utility that would demonstrate a selected function for least three (3) interested member utilities contingent on the availability of external funding.

Subject matter experts and certification specialists will assist in developing, refining and implementing a regional testing, training, and certification platform and program. IWSMR will work primarily through ACWUA's existing networks and membership to develop twinning arrangements, and will subcontract with qualified regional firms or organizations to deliver the CIS, and to utilize distance-learning and e-testing techniques as appropriate.

COMPONENT 1 – BUILD ACWUA CAPACITY

Supported by USAID, ACWUA has assumed regional leadership as a training coordinator, provider and promoter of a harmonized and standardized accreditation system. Building on its 18-country network, ACWUA is fostering experience exchanges and leveraging the resources of its members to further develop and roll out a regional platform for operator certification.

During work planning, ACWUA requested IWSMR support in enhancing the role of the board in outreach and marketing, updating the association's current business plan, developing the second five-year plan (2015-19) and an M&E plan formalizing the annual review and action planning process. These and other areas of intervention that directly assist ACWUA in fulfilling its mandate will be assessed utilizing ABC as a mentor. Key interventions are described below.

Expected Results:

- Improved management and information systems within ACWUA
- Improved management systems of ACWUA, enabling them to accept and manage funding from USAID and other donors
- Improved reliability of year to year revenue streams of ACWUA and its member utilities

Year 1 Priorities – Stage 1:

- Assessment report (ACWUA capacity building and CIS needs) completed
- Bridging memo for 2014 emphasizing the new ACWUA Operator Certification and Training Program; ACWUA business plan 2015-19
- Training and twinning plan finalized
- Implementation plan finalized
- USAID pre-award survey completed

Tasks and Deliverables

Task 1.1 Update ACWUA strategic business plan

In order to identify possible capacity building and strategic planning needs, ACWUA's business plan will be updated. ACWUA's first business plan was developed as a five year strategic document (2010-2014), produced with the financial support of USAID, and is set to expire in 2014.

During work planning, ACWUA and USAID agreed to use the staged approach to the ACWUA business planning and capacity building. During Stage 1, IWSMR will revise the 2014 part of the current Strategic Business Plan to emphasize the new ACWUA Operator Certification and Training Program (Bridging Memo) and serve as a link to the next five-year plan (2015 – 2019). Later in Year 1/Stage 2, IWSMR will develop the ACWUA Strategic Business Plan for 2015-19 working closely with the ACWUA board.

This review and update includes a strategic assessment of the value that ACWUA does and can add to the region in response to sector needs and demand. Potential revenue streams such as training and testing will be examined to underpin the sustainability of ACWUA and to

provide for strategic investment, such as twinning and development of new training programs. ACWUA's strategic business will highlight opportunities to strengthen ACWUA's institutional capacity. Based on this analysis, activities that will strengthen ACWUA's ability to better serve water and wastewater utilities will be prioritized and incorporated into the IWSMR Implementation Plan, ensuring that these activities do not overlap with capacity building activities carried out by GIZ, SIDA or other partner organizations.

As part of the two-stage business planning process, the existing ACWUA management and governance structures will be reviewed in order to ensure all stakeholders, including water and wastewater service recipients, are appropriately represented. Institutionalization of knowledge and long term succession planning will be evaluated and best practices will be incorporated into the updated business plan to ensure the long term stability and sustainability of the organization.

Action Steps:

1.1.1 Create an IWSMR committee within the ACWUA board to provide an active, dependable and efficient interface

1.1.2 Analyze the following to support business planning for ACWUA as required:

- Current and potential contributions to the sector
- Strengths, weakness, opportunities, and threats
- Current and potential product and service offerings to enhance revenue
- Governance and management structures
- Financial management tools and practices
- Knowledge sharing and analysis platforms
- Actions to ensure long-term sustainability

1.1.3 Develop a 2014 bridging memo linking the current ACWUA Strategic Business Plan to the IWSMR activities and the new ACWUA Strategic Business Plan 2015-19

1.1.4 Develop the next five-year ACWUA business plan (2015-19)

1.1.5 Share and discuss the draft with the board

1.1.6 Finalize the ACWUA Strategic Business Plan in October 2014

Task 1.2 Develop a Training and Certification Information System (CIS)

In order to effectively track all of the training offered throughout the region, IWSMR will develop a web-based training information system integrated into ACWUA's current website. The system will track relevant training and allow operators to store training records and certifications centrally. The system will be designed so that reports can be generated that inform training needs.

ACWUA will use the data to develop an operator peer knowledge sharing network and inform recruitment and placement for utilities within the region.

Information will be provided to help utilities throughout the region understand the differences between established training and certification programs.

The team will consider options for improving knowledge management by developing a database of regional experts and training programs offered by members and helping build a resource library — both areas identified as needs by ACWUA.

ABC and OWP will share their effective information system models and participate in designing ACWUA's CIS.

Illustrative attributes of the CIS include:

- Web-based, linked with existing website and with controlled levels of access
- Shares training and certification information
- Contains a searchable repository for training records and certifications
- Serves as a knowledge portal, allowing peer-to-peer interaction
- Includes a database of certified operators and trainers

Action Steps:

1.2.1 Develop the parameters and outputs of the CIS (short term experts – Month 4/5)

1.2.2 Issue a tender in Month 7 to engage a qualified IT firm

1.2.3 Develop the software and provide maintenance support during an initial period

1.2.4 CIS operational, and data migration and input underway by Month 10

Task 1.3 Request a USAID pre-award survey to obtain a responsibility determination of ACWUA management systems

In order to objectively evaluate ACWUA's financial and management systems, IWSMR will assist ACWUA in requesting a USAID pre-award survey of ACWUA in hopes of receiving a responsibility determination from the USAID/Jordan Contracting Office. A USAID pre-award survey assesses the financial accountability and risk of an organization, and is required before USAID can directly partner with a local organization. Based on the result of the pre-award survey, action plans will be developed to address any shortcomings. IWSMR will work with ACWUA to carry out these action plans and address management shortcomings.

In addition to providing valuable feedback to the management team, through the course of this project IWSMR will assist ACWUA to demonstrate to USAID, other donors and potential lending institutions that adequate management systems are in place to receive and manage funds according to international standards.

ACWUA's books are audited annually, and are already compliant with standards required by donors such as GIZ and SIDA who mandate review of ACWUA's financial statements, as well as its procurement processes and internal controls. ACWUA considers its books "clean,"

and all corrective actions required by external auditors have been duly and promptly addressed.

Action Steps:

During work planning, the USAID COR provided the following guidance. The request should be considered complete based on actions taken by the COR. The audit will be conducted by a private firm contracted by USAID. The COR is determining how this will be paid and advised IWSMR and ACWUA to expect confirmation from him and contact from USAID in the near future.

1.3.1 Request to USAID Jordan issued for a pre-award survey by Month 2

1.3.2 Advise ACWUA on how to best utilize this “seal of approval” for future cooperation with USAID and prospective new partners

COMPONENT 2 – REGIONAL WATER AND WASTEWATER OPERATOR CERTIFICATION PROGRAM

Equipped with the products generated by the successful Jordan OMT program, ACWUA would like to capitalize on operator certification advances to spearhead a regional certification program among ACWUA's 106 member utilities. Over the past five years, ACWUA has joined ABC as a regulatory member and has built a working relationship with its governing body and with OWP/CSUS, publishers of the definitive reference material in this domain. ACWUA's board is very supportive of a regional certification program and believes the market is in need of region-wide standards for operators. Association members are ready to invest in human resources to help preserve utility infrastructure and improve service delivery. IWSMR will fully exploit achievements in this domain and, working through ACWUA's board, will seek to assist ACWUA in launching a region-wide marketing campaign to introduce operator certification, explain its benefits, and solicit applicants for the various offerings under the program among the association's members or through buy-ins from donor activities in the water and wastewater sector.

Expected Results:

- Establishment of a regionally recognized certification scheme
- Consistent and transparent framework for assessing and developing the ability of water and wastewater providers to deliver services
- Improved management and service delivery of water and wastewater utilities
- Improved training services and opportunities for certification

Year 1 Priorities:

- Market assessment completed
- Training plan finalized

Tasks and Deliverables

Task 2.1 Certification assessment and market analysis

ACWUA has agreed to establish a joint ACWUA-IWSMR team to carry out Stage 1 of the certification and market assessment. The team will review the Egypt and Jordan experiences, assess the viability and attributes of a regional platform, and mobilize resources to leverage existing programs to the fullest extent possible. In implementing this activity, our team will carry out the following, as required.

Action Steps:

2.1.1. Identify utility demand for operator certification

- Reach out to contacts from member countries through the IWSMR/ACWUA committee, the board of directors and other affiliated avenues (labor-balanced, labor-exporting and labor-importing) to identify interested utilities, as required
- Identify at least three member countries (beyond Jordan and Egypt) that have one member utility interested in participating in an operator certification pilot

Note: The following preliminary targets are subject to ACWUA and USAID review and approval:

- Water Treatment Operator - Country/Utility
- Wastewater Treatment Operator - Country/Utility
- Water Distribution Operator - West Bank/Utility
- Wastewater Collection Operator - West Bank/Utility

2.1.2 Estimate the market potential for certified operators and willingness and ability to pay for training and certification

- Draft a questionnaire for distribution to the IWSMR/ACWUA committee, and board (Stage 1 Assessment). This will serve as the basis for Year 2's broader (Stage 2) assessment, which will survey members and other regional utilities
- Contact or meet responders in person to further explain the program and to gain more understanding of willingness and ability to pay (Stage 1)

2.1.3 Analyze the economic costs and benefits to utilities in labor-balanced, labor-exporting, and labor-importing countries (Stage 2)

- Perform impact analysis, disaggregated by labor-balanced, labor-exporting, and labor-importing countries, as required

Note: ACWUA will encourage labor-importing countries to establish operator recruitment and hiring standards that give priority to candidates holding recognized certification credentials. This standard will strengthen the market for operator certification in labor-exporting countries. Linkages between labor-importing and exporting countries will be pursued by ACWUA to further build the market for certified operators.

2.1.4 Develop a business model that ensures the financial sustainability of the training and certification program beyond IWSMR's conclusion (Also see 2.2.1)

- Develop a commercial business model for coordination, administration and providing regional operator training, testing and certification, to be incorporated into the assessment report. The model will consider demand and supply.
- Factor in identified training needs, willingness and ability to pay, preferences for delivery methods, and other considerations for utilities. (demand side)
- Consider leveraging existing offerings, fee structures, marketing methods, methodologies and technologies employed, and region-wide providers. (supply side)

Task 2.2 Formulate a market based, sustainable, regional training and certification approach

For a regional training and certification program to be sustained, it must operate on a commercial basis. IWSMR will address the critical elements of commercial sustainability, as described below.

During work planning, it was agreed that the Operator Certification Program implemented in Jordan and CAQA testing and certification will be suggested to the IWSMR/ACWUA committee and board as an efficient interim platform that can provide services to members until such time that individual countries establish their own legally recognized certification approach.

CAQA in Jordan has agreed to certify non-Jordanian operators and issue certification and licensing documents at the same rates charged for Jordanian operators. However, the logistics and expenses of CAQA staff conducting tests on-site at ACWUA member utilities throughout the MENA region is clearly impractical and not cost-effective. CAQA, ACWUA and IWSMR will pursue a solution whereby tests can be administered under CAQA control and standards by a testing service such as that provided by AMIDEAST - a nonprofit nongovernmental organization that is present in the countries supported by USAID and is a certified administrator of international exams including: TOEFL, SAT, GRE, Green Buildings and Project Management certification. AMIDEAST already conducts water and wastewater operator certification exams for ABC in Jordan.

CAQA was also generally able to appraise IWSMR of the status and progress of the establishment of legislation and certification bodies in most of ACWUA's member countries that are also already supported by USAID.

Action Steps:

2.2.1 Identify training and testing partners

Note: The high cost of training is a major constraint to ability-to-pay and endangers the financial sustainability of the ACWUA program. During work planning a solution for this constraint was carefully explored. In Jordan, OMT conducted TOT programs certified by CAQA at each utility so the utility could avoid high training costs by using their own in-house certified trainers. This approach has been a success and is being effectively used by the Amman (Miyahuna) and Aqaba water utilities to sustain the program. They pay the CAQA fees for testing and certification but have only minimal expenses on the training delivery side. ACWUA wishes to experiment with this approach for the three planned training pilots. In doing so, the utilities become the training providers utilizing their own certified trainers who have passed the ACWUA TOT course after passing the technical training for operator certification. Therefore, each pilot conducted by IWSMR will include certified TOT which will essentially eliminate the need for external training providers. ACWUA will require a test administration provider in each member country as discussed above.

In cases where a member country or utility requests that ACWUA provide a special program other than the approach described above, ACWUA may be required to utilize external certified trainers with the associated fees. This may take place when ACWUA receives a request for training in a technical topic beyond the expertise of the trainers at a utility. This may also be required when training is conducted at a foreign location where a qualified local trainer would be hired.

- Review current training providers including ACWUA, HCWW, and other qualified members; private providers; and institutions of higher learning, as required

2.2.2. Confirm that national certification bodies are willing to certify third-country nationals, and that regional countries understand and value national certification

Note: CAQA/Jordan has agreed to certify non-Jordanians based on CAQA regulations and tests. CAQA is authorized to arrange for their tests to be administered outside of Jordan by an institution that meets CAQA standards. IWSMR will facilitate an agreement among ACWUA, CAQA and the testing institution. During work planning, AMIDEAST, a well-known regional testing service, was contacted by IWSMR to determine their interest in serving as the regional testing institution. Further discussion will take place during Stage 1.

- Apprise of the benefits of certifying third-country nationals where national certification bodies exist
- Confirm that relevant national bodies will recognize certifications conferred by regional entities where none are available

2.2.3 Modify existing training and testing materials and approaches as required

- Assess existing certification platforms, competency frameworks, curricula, testing materials, training-of-trainers, and delivery methods through WPRR, WWSS and OMT. Compare and contrast Jordan and Egyptian models and materials.
- Develop, harmonize, and standardize materials for regional application
- *Note:* For purposes of the operator training pilots, it was agreed with ACWUA and USAID during work planning that the materials implemented in Jordan will be used as CAQA will only certify operators who have studied these materials for which the CAQA tests have been prepared. In addition, IWSMR and ACWUA will review other existing materials from across the region to assess potential for regional use. For example, the USAID-supported certification training courses for Lab Analysts in Egypt will be reviewed for potential regional piloting and roll-out. Evaluate alternative technology-based methods to partially substitute for or complement the existing models

Note: Current approaches rely primarily on classroom instruction. For the planned pilots, ACWUA agrees that this is the speediest approach to launching a regional program. IWSMR and ACWUA will look for opportunities to introduce distance-learning (possibly for pilot Utility Manager training) and e-testing where appropriate.

- Coordinate with ABC and OWP on their self-paced study methodology and distance learning and testing approaches, as required

2.2.4 Encourage greater participation by women and young professionals by working with ACWUA to promote linkages with women and entry-level professionals in the region's water and wastewater sector

Note: A combined pilot youth and gender initiative is under discussion for implementation in Jordan which could involve establishing an operator training elective within the curriculum at Jordan's Vocational Training Corporation. The pilots will aim to increase the number of trained/certified females, and to raise awareness of job opportunities among women and young professionals and technicians. If the

concept of conducting these youth/gender pilots proves viable, Year 1 plans will be finalized and included in the Implementation Plan.

Task 2.3 Implementation of training and proof of concept

Once the training curricula, testing materials, and techniques are approved by USAID, IWSMR will work with ACWUA to introduce them regionally, per the business model

Action Steps:

2.3.1 Support ACWUA in carrying out the training and testing with certified trainers and test administrators on a paying participant basis (IWSMR does not envision using funds to pay for participant fees.)

Note: One key exception will be to cover costs of those participants in the initial operator course (Level 1) and training-to-trainers pilot programs. A small pool of funds has been budgeted for demonstrations that may lead to buy-in. During work planning, it was agreed that for efficiency, it will be recommended to the ACWUA board that the first operator certification training pilot take place in the West Bank. IWSMR/ACWUA will try to conduct pilots that ensure coverage of the 4 operator certification programs that currently comprise the Jordan program plus the TOT certification course, with the Utility Manager course being considered for open enrollment distance-learning for all qualified ACWUA members:

- Water Treatment Operator (Country/Utility: TBD)
- Wastewater Treatment Operator (Country/Utility: TBD)
- Water Distribution Operator (Country: West Bank)
- Wastewater Collection Operator (Country: West Bank)
- Training of Trainers (TOT) – All operator pilots
- Utility Manager (Open-enrollment; Distance-learning)
- Certify 200 operators through the regional platform by the conclusion of IWSMR. Track operators who experience career advancements as a result of certification, and those who secure employment as operators outside their home countries.
- Advertise position openings and career opportunities in the water and sanitation sector using the ACWUA website and other means

2.3.2 Use quantitative and qualitative indicators linked to the PMP to assess the impact of training on service delivery improvements and financial viability of participating utilities

- Undertake rigorous training impact assessments (TIAs) for all supported training activities to assess and establish training proof of concept

Task 2.4 Improved training materials and programs

Action Steps:

2.4.1 Analyze available materials, expertise, and facilities to identify areas requiring new materials development or harmonization and standardization of existing materials, as required (Stage 1 and 2)

2.4.2 Design curricula for new courses based on the best training materials available in coordination with ACWUA, HCWW, ABC, OWP, and private providers, as addressed in the Implementation Plan.

Note: The Lab Technician training developed by the Egypt program appears to be the first candidate for revision to match regional requirements.

2.4.3 Create instructor guides, participant handouts, and supporting visual aids as required

2.4.4 Support online and self-paced study materials that respond to the needs of women, young and senior professionals, as required

COMPONENT 3 – UTILITY TWINNING AND LEVERAGING BEST PRACTICES

While there are numerous examples of sound business and O&M practices throughout the region, knowledge is rarely transferred among utilities within a particular country, much less the region. Twinning helps introduce local best practices at the national and regional scale, taking into account lessons learned from previous experience. Using the annual ACWUA conferences and periodic meetings, the ACWUA newsletter and website, and communication between ACWUA's general secretariat and regional members, IWSMR will facilitate links with international communities of practice and support targeted twinning programs among ACWUA members.

Expected Results:

- Improved information and peer support between water and wastewater utilities through a sustainable regional utility twinning program
- Improved financial viability and service delivery of water and wastewater utilities

Year 1 Priorities:

- Twinning assessment report completed (Stage 1)
- Twinning plan finalized (Stage 1)
- Baseline assessments of twinning entities carried out
- Twinning MOUs signed

Tasks and Deliverables

Task 3.1 Linkages to existing twinning programs

Action Steps:

Note: It is anticipated that the ACWUA conference in Algiers during December 2013 will provide significant opportunities for IWSMR to establish and enhance linkages that pertain to operator certification and twinning exchanges.

3.1.1 Tap into existing relationships with international water associations in active twinning programs, including the Global Water Operators' Partnerships Alliance (GWOPA) and WaterLinks in Asia to gain insight into their operational frameworks and lessons learned (Stage 1, 2)

3.1.2 Facilitate ACWUA entering into dialogue and partnerships with peer groups and further the benefits of its existing relationships with ABC, the International Water Association, the German Association for Water, Wastewater, and Waste (DWA), and the Stockholm International Water Institute (SIWI) (Stage 1, 2)

3.1.3 Develop a shortlist of associations, evaluate their experiences, and provide recommendations for ACWUA to adapt proven practices (Stage 1, 2)

Task 3.2 Baseline assessments

Action Steps:

3.2.1 Develop criteria for selecting target utilities for twinning arrangements and share them with the ACWUA board (Months 4 and 5)

Note: Illustrative Twinning Selection Criteria include:

- Proven success addressing critical issues in ways that are scalable, replicable, financially beneficial, and contribute to improved service delivery
- Motivated leadership
- Willingness to contribute resources

3.2.2 Attain consensus and conduct baseline assessments on an initial sampling of utilities, beginning in Month 8

Note: Based on agreements during work planning, IWSMR and ACWUA will focus on planning and assessing one (1) multilateral twinning exchange in Year 1. To expedite establishing the first twinning model, a site in Jordan will be identified for ACWUA board approval.

3.2.3 Pursue other utilities in the region if opportunities arise

3.2.4 Solicit expressions of interest and invite utilities with complementary strengths to participate in pilot twinning arrangements in Month 10

Task 3.3 Twinning arrangements

Action Steps:

3.3.1 Select initial multilateral twinning pilot

3.3.2 Conclude Memoranda of Understanding (MOUs) between twinning parties and ACWUA stating mutual roles and responsibilities, resource inputs, the type and level of initial IWSMR support, implementation timelines, expected results, and a framework and metrics for evaluating success

3.3.3 In Year 1, identify funding source for the twinning pilot and initiate a preparation phase

3.3.4 In Year 2, initiate twinning pilot implementation.

3.3.5 Evaluate twinning pilot utilizing TIA approach

3.3.6 Provide recommendations for future twinning based on the evaluation

3.3.7 Develop a shortlist of potentially viable twinning arrangements

Task 3.4 Identification of additional funding streams

Action Steps:

3.4.1 Provide concrete suggestions for obtaining funding for each possible future twinning arrangements identified (Stage 1)

Note: During work planning, SIDA was identified as a donor that is interested in funding twinning arrangements and that resources may be available for this purpose.

3.4.2 During Year2, investigate options such as the World Bank’s Output-Based Aid program which provides performance-based financial support to utilities.

Task 3.5 Identify and pilot knowledge-sharing activities and promote regional good practices in utility finance, management, and service delivery.

Action Steps:

3.5.1 Identify other capacity building opportunities for possible implementation in Year 2 (Stage 2)

DONOR COORDINATION

USAID/OMEP has a good relationship with other multilateral and other bilateral donors active in the water and wastewater sector especially GIZ and SIDA. IWSMR will ensure that effective and on-going donor coordination is an important part of the IWSMR program. IWSMR, under USAID guidance, will properly coordinate with other donor programs in the area of water and wastewater operator certification and utility management. IWSMR will keep donors informed of project activities, disseminate reports and findings, and collaborate with donors on the full range of IWSMR tasks.

IWSMR will actively seek information about donor activities to avoid duplication and to exploit opportunities to coordinate or collaborate in specific activities. Upon request and discussion with USAID, IWSMR will follow the lead of, and provide additional support to, other donor-initiated programs. The project will report on pertinent donor contacts and relationships as part of its quarterly report. As opportunities arise and circumstances allow, the project will collaborate with other donors in sponsoring symposia, workshops or other public events considering the availability of resources.

Annexes

- A – IWSMR Work Plan Schedule
- B – IWSMR Performance Monitoring Plan
- C – Annual Procurement Plan
- D – IWSMR Pipeline Budget – Year 1

Annex A

IWSMR Work Plan Schedule

Annex A - Improving Water and Sanitation Services in the MENA Region (IWSMR) - Work Plan Years 1

		Year 1												Year 2														
		2013			2014						2015																	
Activities	Deliverables	IWSMR	ACWUA	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	
Work Plan Year 1	Work Plan Year 1	AN, HS, Team	Board	X														X										
Phase 1 – Assessment (Stage 1/Year 1 - A1; Stage 2/Year 2 - A2)																												
Develop a 2014 bridging memo linking the current plan to new 2015-19 plan	Bridging Memo 2014 (A1)	HS, LS, Team					X																					
Analyze the operator certification market in 3 Countries; 3 Utilities (Level 1)	Assessment Report (A1)	HS, ZA, Team				X												X										
Develop Implementation, Training, and Twinning plans - Year 1	Implementation Plan (A1)	HS, ZA, Team				X												X										
Planning and consensus bridging	ACWUA/USAID Approval (A1)						X												X									
Phase 2 - Implementation																												
Component 1 - Build ACWUA Capacity																												
Task 1.1 Update ACWUA strategic business plan																												
1.1.1 Create IWSMT Committee within ACWUA board (3 - 5 countries/utilities)			KK			X																						
1.1.2 Analyze to support ACWUA business planning:	ACWUA Member Questionnaire (A1, 2)	HS, LS, Team, ABC	KK, Committee																									
Current and potential contributions to the sector			Mostafa																									
Strengths, weakness, opportunities, and challenges																												
Current and potential product and service offerings to enhance revenue																												
Governance and management structures																												
Financial management tools and practices																												
Knowledge sharing and analysis platforms																												
Actions to ensure long-term sustainability																												
1.1.3 Develop a 2014 bridging memo linking the current plan to new 2015-19 plan	Bridging Memo 2014 (A1)	HS, LS, Team	KK, Committee			X																						
1.1.4 Develop next 5 year ACWUA Business Plan	ACWUA Strategic Business Plan/Draft 2015-19 (A2)													X														
1.1.4 Share and discuss the draft with committee and board	ACWUA Strategic Business Plan/Draft (A2)	AN, HS, LS, Team	KK, Committee												X													
1.1.5 Finalize the ACWUA Strategic Business Plan in October 2014	ACWUA Strategic Business Plan/Final (A2)	HS, LS, Team	KK, Committee												X													
Task 1.2 Develop a Training and Certification Information System (CIS)																												
1.2.1 Develop CIS parameters and outputs (Web-based)	CIS Needs Assessment (A1)	HS, ZA, ABC, OWP	Ahmed				X	X																				
1.2.2 Issue a tender to engage a qualified IT firm		Team							X																			
1.2.3 Develop the software and provide maintenance support		IT experts, ZA							X	X																		
1.2.4 CIS operational, and data migration and input underway	CIS operational	Team										X																
Task 1.3 Request USAID pre-award survey for ACWUA responsibility determination																												
1.3.1 Request to USAID Jordan issued for a pre-award survey	Pre-award determination request	AN	KK			X																						
1.3.2 Advise ACWUA on how to best utilize the determination		AN, HS, Team																										
Component 2 - Regional Water and Wastewater Operator Certification Program																												
Utilize ACWUA/IWSMR Committee within Board																												
		AN, HS, ZA	Committee			X																						
Task 2.1 Certification Assessment and Market Analysis (Stage 1, 2)																												
2.1.1. Determine utility demand for operator certification (pilots)	Certification Demand Analysis (A1, 2)	HS, ZA, Team	Ahmed			X																						
Identify interested utilities/countries for pilots																												
Identify at least three participating countries and utilities fir pilots																												
2.1.2 Estimate the market potential: certified operators; willingness and ability to pay	Willingness/Ability to Pay Analysis (A1, 2)	HS, ZA, Team				X																						
Draft and distribute a questionnaire to ACWUA members and utilities	Market analysis questionnaire (A1, 2)	HS, ZA, Team			X																							
Contact/meet responders																												
2.1.3 Analyze economic costs to utilities	Economic Analysis (A1, 2)	HS, ZA, Team				X																						
Perform economic impact analysis																												
Attract participation from different markets																												
2.1.4 Develop business model ensuring financial sustainability of regional program	Business Model for Sustainability (A1)	HS, ZA, Team				X																						
Develop a commercial business model for regional operator training and certification		Consultant																										

Annex A - Improving Water and Sanitation Services in the MENA Region (IWSMR) - Work Plan Years 1

				Year 1												Year 2											
				1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
				2013			2014									2015											
Activities	Deliverables	IWSMR	ACWUA	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S
Work Plan Year 1	Work Plan Year 1	AN, HS, Team	Board	X														X									
Task 2.2 Formulate market based, sustainable, regional training and certification																											
2.2.1 Identify training and testing partners		AN, ZA, Team																									
Review current training and testing providers	Current Training Partners/Providers (A1)						X																				
2.2.2 Confirm willingness of national certification bodies (CAQA Jordan interim certifier)	Certification Platform(s) - Regional, National	AN, Team																									
Apprise benefits where national certification bodies exist																											
Confirm national bodies will recognize certifications conferred by regional entities	Pilot MOUs																										
Assess the viability and attributes of a regional platform	Jordan CAQA - Interim regional certifier					X	X																				
2.2.3 Modify existing training and testing materials and approaches		AN, Team																									
Assess existing competency frameworks, curricula, tests, TOT, delivery methods	Training Assessment and Plan (A1)	AN, HS, ZA					X																				
Review the Egypt and Jordan Certification Platforms and materials	Training Assessment and Plan (A1, 2)	AN, HS, ZA					X																				
Develop, harmonize, and standardize materials/tests for regional application	Training Approaches, Materials, Tests (Jordan)	AN, Team																									
Evaluate alternative technology-based methods	Pilot Distance Learning - Utility Manager	AN, HS, ZA																									
Coordinate with ABC and OWP on distance learning and testing		AN, HS, ZA																									
2.2.4 Encourage greater participation by women and young professionals		AN, Team																									
Raise awareness of job opportunities among women and young professionals	Youth and Gender Pilot - Jordan																										
Increase numbers among those trained as utility operators and managers																											
Task 2.3 Implementation of training and proof of concept																											
2.3.1 Conduct training with certified trainers on a paying participant basis	ACWUA/CAQA testing/certification fee	AN, Team					X	X																			
Operator Training Pilot 1 (Country A)	West Bank										X																
Operator Training Pilot 2 (Country B)	TBD															X											
Operator Training Pilot 3 (Country C)	TBD																					X					
Replicate pilots/Roll out training in additional countries/utilities	Training Plan - Year 2																										
Certify 200 operators through the regional platform	200 Operator certified																										
Track operator career advancements	Operators career advancement																										
Advertise position openings and career opportunities (ACWUA website, etc.)																											
Track certified operators employed outside their home countries	Certified operators working abroad																										
2.3.2 Assess improved service and financial impact on participating utilities	TIA/Proof of Concept Reports	HS, ZA, Team																									
Conduct TIAs to assess establish training proof of concept	TIA Data	ZA, Team																									
Task 2.4 Improved Training Programs, Materials and Tests																											
2.4.1 Analyze available materials, expertise, and facilities to identify new requirements	Analysis of available materials/tests (A2)	HS, ZA, Team																									
2.4.2 Design curricula for new courses	Curricula designs	HS, ZA, ABC, OWP																									
2.4.3 Create instructor guides, participant handouts, and supporting visual aids as required.	New training materials/tests	Team																									
2.4.4 Support online and self-paced study materials (women)	Online and self-paced study materials	Team																									

Annex A - Improving Water and Sanitation Services in the MENA Region (IWSMR) - Work Plan Years 1

				Year 1												Year 2												
				2013			2014									2015												
Activities	Deliverables	IWSMR	ACWUA	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	
Work Plan Year 1	Work Plan Year 1	AN, HS, Team	Board		X																							
Component 3 - Utility Twinning and Leveraging Best Practices																												
Task 3.1 Linkages to existing twinning programs																												
3.1.1 Tap into GWOPA, AWA and WaterLinks in Asia	ACWUA Algiers Conference	HS, ZA, Team	Ahmed																									
3.1.2 Facilitate ACWUA entering into dialogue (ABC, IWA, DWA, SIWI)	ACWUA Algiers Conference	HS, ZA, Team																										
3.1.3 Develop shortlist of associations, evaluate, recommend actions for ACWUA	Twinning Assessment Plan & Schedule (A1, 2)	HS, ZA, Team				X																						
Task 3.2 Baseline assessments																												
3.2.1 Develop criteria for selecting target utilities for twinning; share with ACWUA board	Multilateral Twinning Pilot/Model (A1)	HS, ZA, Team					X																					
3.2.2 Attain consensus and conduct baseline assessments on sampling of utilities	Criteria Consensus (A1); Baseline Assessments	HS, ZA, Team					X			X	X	X																
3.2.3 Pursue other utilities in the region if opportunities arise		ZA, Team																										
3.2.4 Solicit expressions of interest and invite utilities to participate in pilot twinning		HS, ZA, Team											X															
Task 3.3 Twinning arrangements (Implement Twinning Plan)																												
3.3.1 Select initial multilateral twinning pilot	Twinning Pilot Arrangement	HS, ZA, Team	Working groups			X	X																					
3.3.2 Conclude Memoranda of Understanding (MOUs) - Twinning parties and ACWUA	Twinning MOUs	ZA, Team												X	X													
3.3.3 Identify funding source and initiate preparation		ZA, Team												X	X	X												
3.3.4 Initiate six-month implementation period (2 groups - 6 countries total)		ZA, Team														X	X	X	X	X	X	X	X					
3.3.5 Evaluate the pilot twinning arrangement	Twinning Evaluation	ZA, Team																										
3.3.6 Provide recommendations for future twinning	Twinning Recommendations	HS, ZA, Team																										
3.3.7 Develop a shortlist of potentially viable twinning arrangements	Additional Twinning Arrangements	HS, ZA, Team																										
Task 3.4 Identification of additional funding streams																												
3.4.1 Provide suggestions for funding for each possible future twinning	Suggestions: Funding Future Twinning	HS, ZA, Team																										
3.4.2 Investigate funding options (World Bank's Output-Based Aid program)		HS, ZA, Team																										
Task 3.5 Identify and pilot knowledge-sharing activities																												
3.5.1 Identify other capacity building opportunities for possible implementation	Capacity Building Opportunities (A2)	HS, ZA, Team																										
Reporting																												
	Work Plan Year 2	AN, HS, Team	Board																									
	Quarterly Progress Reports	AN/FO, PMU	N/A			X		X				X								X		X				X		
	Quarterly Financial Reports	AN/FO, PMU	N/A			X		X				X								X		X				X		
	Annual Progress Report - Year 1	AN/FO, PMU	N/A																	X								
	Annual Financial Report - Year 1	AN/FO, PMU	N/A																	X								
	Annual Financial Report - Year 2	AN/FO, PMU	N/A																									X
	Completion Report	AN/FO, PMU	N/A																							X		
	Short-term Consultant Reports	AN, ZA	N/A																									
	Special Reports	TBD	TBD																									

Annex B

IWSMR Performance Monitoring Plan (PMP)

Overview - IWSMR Monitoring and Evaluation (M&E) System and Performance Monitoring Plan (PMP)

The IWSMR Monitoring and Evaluation (M&E) system captures short- and medium-term results over the life of the program and equips ACWUA to continue collecting related long-term results after program closure.

The IWSMR M&E is built on the following principles:

- *Participatory* - M&E activities involve ACWUA, ensuring that information is relevant and that ACWUA gains M&E experience.
- *Results-oriented* - The results framework links the work plan to the PMP, and activities to measurable indicators.
- *Useful* - Managers capture, communicate, and use M&E information in program planning and implementation. Data collected builds the foundation for long-term impact evaluation of capacity building activities.

The system captures improvements in the performance of operators and utilities that can be linked to program activities. It is integrated with program planning, implementation and reporting so that results are fed directly into the planning processes.

M&E system development and implementation is being undertaken jointly so that the tools, methods, and data are integrated with ACWUA's systems. IWSMR performance monitoring plan (PMP) development has been integrated with work planning. The PMP clarifies the anticipated results of the program in the form of a final results framework and identifies indicators for assessing progress toward each result. Over time, the indicators provided below will be further refined in consultation with USAID and partners. The PMP specifies indicator definitions, data sources, collection methods, and baseline and target values where appropriate. At the conclusion of the assessment phase, the PMP will be adjusted as needed to align it with ACWUA's business plan and the IWSMR work plan.

Indicators - Quantitative indicators include both output measures, such as “number of twinning arrangements activated,” and outcome measures, such as indicators of improved utility performance. Monitoring outputs and outcomes track implementation and test whether they are leading to the desired results. Component 1 indicators are aligned with the ACWUA business plan. Component 2 indicators, drawn largely from the ACWUA Training Impact Assessment (TIA) tool developed under Jordan OMT, will be expanded under IWSMR to track participants' career paths after certification. A descriptive summary of the TIA tool is included at the end of this annex. To the maximum extent possible, indicators are disaggregated by gender, country, and utility to track results among and between the various target groups.

In addition to quantitative indicators, other techniques assess changes in operator knowledge and utility performance based on ACWUA's TIA tool, which includes qualitative measures of training impact, collected using standardized pre- and post-training surveys and interviews.

These opinion-based measures, solicited from both trainees and supervisors, cover multiple areas and complement quantitative indicators to provide a more complete picture of training impact.

Data sources and collection methods - Program performance data is obtained from a variety of sources, including internal program and ACWUA records, beneficiary trainees and utilities, and other partners. Data is collected from participants and supervisors and on facility performance before and after certification and every six months.

Reporting and communication - The PMP is linked to the work plan through the results framework, where each activity is associated with a specific result and a measureable indicator. Quarterly progress reports will review activity progress and resulting indicator values, using quantitative measures to the maximum possible extent. Annual reports will include a full analysis of indicator values against baselines and targets. M&E data will also serve as a critical input to project communication tools such as impact stories and presentations.

IWSMR Results Framework

The IWSMR results framework, below, presents the intended results of IWSMR and shows how the results of the three components work together to achieve program objectives. During work planning, this framework was reviewed with ACWUA staff to be shared with board members. It was also shared with USAID. The results framework will be used as a communication tool to summarize the program’s approach; a planning tool to link program activities to specific results; and a management tool to frame the performance monitoring plan (PMP) and continually track progress toward anticipated results.

All aspects of IWSMR are designed to improve the capacity of ACWUA to be sustainable beyond project completion and are built around the results framework below.



IWSMR Performance Monitoring Indicators

Program Objective: Improved water and sanitation services in the MENA region
Quality of W/WW treated: Noncompliance citations per year at participating utilities
PR 1: Increased ACWUA capacity to carry out its mandate
Milestone: ACWUA business plan updated; annual business plan targets met
IR 1.1: Improved management and information systems within ACWUA
Milestone: Training and certification information system (CIS) launched
IR 1.2: Improved reliability of ACWUA's year-to-year revenue streams
Revenues generated from ACWUA Operator Certification and Training Program
PR 2: Scaled up operator certification programs to a regional level
Milestone: Interim regional certification platform established
Number of countries participating in the regional certification program
Number of operators obtaining regionally recognized certification
Percentage of operators passing standardized certification tests
Number of certified trainers (Training of Trainers - TOT graduates)
Number of certified operators obtaining new positions, promotions, or added incentives
Number of certified operators working in markets outside of their country of origin and country of certification
Change in technical and management skills due to obtaining operator certification
Change in job performance due to obtaining operator certification
Change in attitude, confidence and self-esteem due to obtaining operator certification
IR 2.1: Enhanced training materials and certification framework
Number of courses (materials) and tests approved by ACWUA and finalized for regional certification
PR 3: Improved performance of regional water and wastewater utilities by leveraging USAID-funded improvements
Utility performance measures selected for each twinning pair based on scope of partnership, e.g., collection rates, non-revenue water (NRW) rates
IR 3.1: Increased exchange between water and wastewater utilities
Number of twinning arrangements piloted
Change in technical and management skills attributed to twinning exchange
Change in job performance attributed to twinning exchange

IWSMR Performance Indicator Reference Sheets

IWSMR Performance Indicator Description			
Program Objective: Improved Water and Sanitation Services in the MENA region			
Program Result: N/A			
Intermediate Result: N/A			
Indicator: Quality of W/WW treated: Noncompliance citations per year at participating utilities			
DESCRIPTION			
Definition: Treated water and effluent quality are tested by external agencies according to established country standards. This indicator tracks the results of these tests.			
Unit of Measure: Occurrence of reported non-compliance			
Disaggregated by: Type of facility (Water or Wastewater Treatment); Country; Training/Certification Received			
PLAN FOR DATA ACQUISITION & REPORTING			
Data Collection Method: TIA reporting			
Data Source(s): Utility			
Frequency/Timing of Data Acquisition: Every 6 months			
Reporting of Data: TIA reports; IWSMR quarterly and annual progress reports			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
1	0		Utilities may provide results annually
THIS SHEET LAST UPDATED: November 2013			

IWSMR Performance Indicator Description			
Program Objective: Improved Water and Sanitation Services in the MENA region			
Program Result: 1. Increased ACWUA capacity to carry out its mandate			
Intermediate Result: N/A			
Indicator: ACWUA strategic business plan updated			
DESCRIPTION			
Definition: The current ACWUA business plan runs through 2014 – it will be updated. Following the 2014 update, the 2015-19 plan will be completed.			
Unit of Measure: Milestone			
Disaggregated by: N/A			
PLAN FOR DATA ACQUISITION & REPORTING			
Data Collection Method: The ACWUA Secretary General is the immediate counterpart. A committee has been established within the ACWUA board to work directly with IWSMR on the draft plan which will then be presented to the full board for approval.			
Data Source(s): ACWUA			
Frequency/Timing of Data Acquisition: Data will be collected from ACWUA headquarters and from members using a survey questionnaire and follow-up. This planning activity will be completed by April 2014.			
Reporting of Data: ACWUA Strategic Business Plan – 2014 Update; 2015-19; Draft and Final. IWSMR quarterly and annual progress reports			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
1	Complete		ACWUA Business Plan – 2014 Update; 2015-19; Draft and Final
THIS SHEET LAST UPDATED: November 2013			

IWSMR Performance Indicator Description			
Program Objective: Improved Water and Sanitation Services in the MENA region			
Program Result: 1. Increased ACWUA capacity to carry out its mandate			
Intermediate Result: 1.1 Improved management and information systems within ACWUA			
Indicator: Training and certification information system (CIS) launched			
DESCRIPTION			
Definition: The web-based CIS will be the central repository for all data pertinent to the ACWUA operator certification, testing and training and twinning activities.			
Unit of Measure: Milestone			
Disaggregated by: N/A			
PLAN FOR DATA ACQUISITION & REPORTING			
Data Collection Method: CIS needs will be collected from ACWUA and compared with standard training management software. Parameters and specifications will be reviewed and approved by ACWUA.			
Data Source(s): ACWUA needs; Standard training management software products; Similar systems in MENA.			
Frequency/Timing of Data Acquisition: Data will be collected from ACWUA headquarters and from members. Actual certification, testing, training and twinning data will be entered into the fully operational CIS in Year 1.			
Reporting of Data: The CIS will generate all standard reports including but not limited to certification, testing and training data disaggregated by country, utility, program, trainee, trainer, gender and cost. IWSMR quarterly and annual progress reports			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
1, 2	CIS launched		CIS operational and in use
THIS SHEET LAST UPDATED: November 2013			

IWSMR Performance Indicator Description			
Program Objective: Improved Water and Sanitation Services in the MENA region			
Program Result: 1. Increased ACWUA capacity to carry out its mandate			
Intermediate Result: 1.2 Improved reliability of ACWUA's year-to-year revenue streams			
Indicator: Revenues generated from ACWUA Operator Certification and Training Program			
DESCRIPTION			
Definition: ACWUA will collect fees from the new revenue streams associated with provision of operator certification, testing and training services. These revenues will be based upon the number of trainees enrolled in various ACWUA programs, courses, twinning activities and tests.			
Unit of Measure: Jordanian Dinars/US Dollars			
Disaggregated by: Payment source			
PLAN FOR DATA ACQUISITION & REPORTING			
Data Collection Method: Reports from the ACWUA financial department			
Data Source(s): ACWUA financial department			
Frequency/Timing of Data Acquisition: On-going as fees are received for certification, testing and training service.			
Reporting of Data: Monthly ACWUA financial reports. IWSMR quarterly and annual progress reports.			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
1, 2	TBD		Based on actual enrollment and testing
THIS SHEET LAST UPDATED: November 2013			

IWSMR Performance Indicator Description			
Program Objective: Improved Water and Sanitation Services in the MENA region			
Program Result: 2. Scaled up operator certification programs to a regional level			
Intermediate Result: N/A			
Indicator: Interim regional certification platform established			
DESCRIPTION			
Definition: Until each ACWUA member country has established its own legally recognized certification scheme; ACWUA will rely on an interim approach whereby operators from member countries/utilities will be certified by the Center for Accreditation and Quality Assurance (CAQA) in Jordan in accordance with their regulations. The ACWUA board must approve this interim approach.			
Unit of Measure: Milestone			
Disaggregated by: N/A			
PLAN FOR DATA ACQUISITION & REPORTING			
Data Collection Method: Report from ACWUA Board of approval			
Data Source(s): ACWUA Board			
Frequency/Timing of Data Acquisition: No later than February 2014 (IWSMR month 5)			
Reporting of Data: IWSMR quarterly and annual progress reports			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
1	Approved		Interim platform approved by ACWUA Board
THIS SHEET LAST UPDATED: November 2013			

IWSMR Performance Indicator Description			
Program Objective: Improved Water and Sanitation Services in the MENA region			
Program Result: 2. Scaled up operator certification programs to a regional level			
Intermediate Result: N/A			
Indicator: Number of countries participating in the regional certification program (Not including Jordan and Egypt)			
DESCRIPTION			
Definition: Participating countries must accept the ACWUA interim regional certification platform including CAQA certificates and tests as well as agree that these will be honored at such time that the country has its own certification platform. The country must agree to pay for all fees related to the training, testing and certification.			
Unit of Measure: Number of countries; MOU between ACWUA and each country			
Disaggregated by: Country			
PLAN FOR DATA ACQUISITION & REPORTING			
Data Collection Method: Report from ACWUA Secretary General (or delegate) of country agreement			
Data Source(s): ACWUA Secretary General (or delegate)			
Frequency/Timing of Data Acquisition: Upon MOU signing			
Reporting of Data: IWSMR quarterly and annual progress reports			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
1	1 Country		Training conducted for a member utility in each country. These initial training programs are pilots to build ACWUA and regional capacity necessary for ACWUA to replicate on a sustainable basis.
2	2 Countries		
THIS SHEET LAST UPDATED: November 2013			

IWSMR Performance Indicator Description			
Program Objective: Improved Water and Sanitation Services in the MENA region			
Program Result: 2. Scaled up operator certification programs to a regional level			
Intermediate Result: N/A			
Indicator: Number of operators obtaining regionally recognized certification			
DESCRIPTION			
Definition: Operators who meet the prerequisites, attend the designated ACWUA courses and pass the associated CAQA tests will obtain the regionally recognized interim CAQA certification as per CAQA regulations.			
Unit of Measure: Number of operators passing CAQA tests			
Disaggregated by: Country, certification program, level, gender, and institution/utility.			
PLAN FOR DATA ACQUISITION & REPORTING			
Data Collection Method: CAQA Certification and Testing Report via ACWUA Secretary General (or delegate)			
Data Source(s): CAQA via ACWUA Secretary General (or delegate)			
Frequency/Timing of Data Acquisition: Within 10 days after each CAQA test			
Reporting of Data: IWSMR quarterly and annual progress reports			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
1	50		Based on enrollment; 10% women
2	200 total		
THIS SHEET LAST UPDATED: November 2013			

IWSMR Performance Indicator Description			
Program Objective: Improved Water and Sanitation Services in the MENA region			
Program Result: 2. Scaled up operator certification programs to a regional level			
Intermediate Result: N/A			
Indicator: Percentage of operators passing standardized certification tests			
DESCRIPTION			
Definition: The passing grade on CAQA tests is 70%. This indicator measures the percentage of operators who achieve the passing standard.			
Unit of Measure: Percentage of operators passing CAQA tests			
Disaggregated by: Country, certification program, level, gender, and institution/utility.			
PLAN FOR DATA ACQUISITION & REPORTING			
Data Collection Method: CAQA Certification and Testing Report via ACWUA Secretary General (or delegate)			
Data Source(s): CAQA via ACWUA Secretary General (or delegate)			
Frequency/Timing of Data Acquisition: Within 10 days after each CAQA test			
Reporting of Data: IWSMR quarterly and annual progress reports			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
1, 2	75%		70% passing grade
THIS SHEET LAST UPDATED: November 2013			

IWSMR Performance Indicator Description			
Program Objective: Improved Water and Sanitation Services in the MENA region			
Program Result: 2. Scaled up operator certification programs to a regional level			
Intermediate Result: N/A			
Indicator: Number of certified trainers			
DESCRIPTION			
Definition: The ACWUA strategy is to provide each participating country/utility with the capacity of conducting training on their own with operators who have also received CAQA certification as qualified trainers. This approach will help to ensure the sustainability of training by making utilities self-sufficient. TOT candidates will be selected from the top performing operators based on their test results.			
Unit of Measure: Percentage of operators attending Training of Trainers (TOT) course and passing CAQA TOT test			
Disaggregated by: Country, certification program, level, gender, and institution/utility.			
PLAN FOR DATA ACQUISITION & REPORTING			
Data Collection Method: CAQA Certification and Testing Report via ACWUA Secretary General (or delegate)			
Data Source(s): CAQA via ACWUA Secretary General (or delegate)			
Frequency/Timing of Data Acquisition: Within 10 days after each CAQA test			
Reporting of Data: IWSMR quarterly and annual progress reports			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
1, 2	9		3 TOT graduates per utility; 70% passing grade
THIS SHEET LAST UPDATED: November 2013			

IWSMR Performance Indicator Description			
Program Objective: Improved Water and Sanitation Services in the MENA region			
Program Result: 2. Scaled up operator certification programs to a regional level			
Intermediate Result: N/A			
Indicator: Number of certified operators obtaining new positions, promotions, or added incentives			
DESCRIPTION			
Definition: As per USAID request, IWSMR and ACWUA will track this indicator only. No target will be assigned.			
Unit of Measure: Number of certified operators who experience a change in employment status/salary			
Disaggregated by: Country, certification program, level, gender, and institution/utility.			
PLAN FOR DATA ACQUISITION & REPORTING			
Data Collection Method: Data posted by utilities to ACWUA CIS			
Data Source(s): Participating utilities (Operators may have access to post based on ACWUA Board approval of this procedure)			
Frequency/Timing of Data Acquisition: Quarterly			
Reporting of Data: CIS reports. IWSMR quarterly and annual progress reports			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
1, 2	None		Tracking via ACWUA CIS only
THIS SHEET LAST UPDATED: November 2013			

IWSMR Performance Indicator Description			
Program Objective: Improved Water and Sanitation Services in the MENA region			
Program Result: 2. Scaled up operator certification programs to a regional level			
Intermediate Result: N/A			
Indicator: Number of certified operators working in markets outside of their country of origin and country of certification			
DESCRIPTION			
Definition: As per USAID request, IWSMR and ACWUA will track this indicator only. No target will be assigned.			
Unit of Measure: Number of certified operators who obtain employment abroad			
Disaggregated by: Country, certification program, level, gender, and institution/utility.			
PLAN FOR DATA ACQUISITION & REPORTING			
Data Collection Method: Data posted by utilities to ACWUA CIS			
Data Source(s): Participating utilities (Operators may have access to post based on ACWUA Board approval of this procedure)			
Frequency/Timing of Data Acquisition: Quarterly			
Reporting of Data: CIS reports. IWSMR quarterly and annual progress reports			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
1, 2	None		Tracking via ACWUA CIS only
THIS SHEET LAST UPDATED: November 2013			

IWSMR Performance Indicator Description			
Program Objective: Improved Water and Sanitation Services in the MENA region			
Program Result: 2. Scaled up operator certification programs to a regional level			
Intermediate Result: N/A			
Indicator: Change in technical and management skills due to obtaining operator certification and/or participation in twinning			
DESCRIPTION			
Definition: Qualitative measure as reported by the trainee and his/her supervisor in response to TIA questionnaire and interview			
Unit of Measure: Percentage reporting degree of improvement in technical and management skills			
Disaggregated by: Country, certification program, level, twinning, gender, and institution/utility, trainee, supervisor			
PLAN FOR DATA ACQUISITION & REPORTING			
Data Collection Method: TIA questionnaires and interviews (CIS may allow posting)			
Data Source(s): Trained operators and their immediate supervisors at participating utilities			
Frequency/Timing of Data Acquisition: Upon completion of training and at 6-month interval thereafter.			
Reporting of Data: CIS reports. IWSMR quarterly and annual progress reports			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
1, 2	80%		Trainees and supervisors reporting positive improvement
THIS SHEET LAST UPDATED: November 2013			

IWSMR Performance Indicator Description			
Program Objective: Improved Water and Sanitation Services in the MENA region			
Program Result: 2. Scaled up operator certification programs to a regional level			
Intermediate Result: N/A			
Indicator: Change in job performance due to obtaining operator certification and/or participation in twinning			
DESCRIPTION			
Definition: Qualitative measure as reported by the trainee and his/her supervisor in response to TIA questionnaire and interview			
Unit of Measure: Percentage reporting degree of improvement in job performance			
Disaggregated by: Country, certification program, level, twinning, gender, and institution/utility, trainee, supervisor			
PLAN FOR DATA ACQUISITION & REPORTING			
Data Collection Method: TIA questionnaires and interviews (CIS may allow posting)			
Data Source(s): Trained operators and their immediate supervisors at participating utilities			
Frequency/Timing of Data Acquisition: Upon completion of training and at 6-month interval thereafter.			
Reporting of Data: CIS reports. IWSMR quarterly and annual progress reports			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
1, 2	80%		Trainees and supervisors reporting positive improvement
THIS SHEET LAST UPDATED: November 2013			

IWSMR Performance Indicator Description			
Program Objective: Improved Water and Sanitation Services in the MENA region			
Program Result: 2. Scaled up operator certification programs to a regional level			
Intermediate Result: N/A			
Indicator: Change in attitude, confidence and self-esteem due to obtaining operator certification			
DESCRIPTION			
Definition: Qualitative measure as reported by the trainee and his/her supervisor in response to TIA questionnaire and interview			
Unit of Measure: Percentage reporting degree of improvement in attitude, confidence and self-esteem resulting from obtaining certification			
Disaggregated by: Country, certification program, level, gender, and institution/utility, trainee, supervisor			
PLAN FOR DATA ACQUISITION & REPORTING			
Data Collection Method: TIA questionnaires and interviews (CIS may allow posting)			
Data Source(s): Trained operators and their immediate supervisors at participating utilities			
Frequency/Timing of Data Acquisition: Upon completion of training and at 6-month interval thereafter.			
Reporting of Data: CIS reports. IWSMR quarterly and annual progress reports			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
1, 2	80%		Trainees and supervisors reporting positive improvement
THIS SHEET LAST UPDATED: November 2013			

IWSMR Performance Indicator Description

Program Objective: Improved Water and Sanitation Services in the MENA region

Program Result: 2. Scaled up operator certification programs to a regional level

Intermediate Result: 2.1 Enhanced training materials and certification framework

Indicator: Number of courses (materials) and tests finalized for regional certification

DESCRIPTION

Definition: Operator certification and training courses/tests approved by the ACWUA Board and finalized for regional use. Each ACWUA course includes: Trainee Guide; Trainer Guide; Visual Aids; and, Tests (Controlled by CAQA)

Unit of Measure: Operator certification programs, courses, and associated tests:

- Water Treatment Operator – 4 Courses (1 per operator level)
- Water Distribution Operator – 2 Courses plus Nonrevenue Water
- Wastewater Treatment Operator – 4 Courses
- Wastewater Collection Operator – 2 Courses
- Utility Manager – 1 Course
- TOT – 1 Course

Disaggregated by: Course delivery type: traditional classroom training and/or distance learning.

PLAN FOR DATA ACQUISITION & REPORTING

Data Collection Method: Report of ACWUA Board approval of programs, courses, tests

Data Source(s): ACWUA Secretary General (or delegate)

Frequency/Timing of Data Acquisition: ACWUA approval

Reporting of Data: CIS status reports: programs, courses, tests. IWSMR quarterly and annual progress reports

PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
1, 2	14		Additional high priority programs/courses may be identified in the Assessment (Stage 1 and 2). Development will be based on available time and resources. (lab technician; youth employment; gender balance programs are under consideration)

THIS SHEET LAST UPDATED: November 2013

IWSMR Performance Indicator Description

Program Objective: Improved Water and Sanitation Services in the MENA region
Program Result: 3. Improved performance of regional water and wastewater utilities by leveraging USAID-funded improvements
Intermediate Result: N/A
Indicator: Utility performance measures selected for each twinning activity based on scope of partnership

DESCRIPTION

Definition: Each twinning activity (bilateral; multilateral) targets improvement in a specific utility function e.g., treatment efficiency, collection rates, non-revenue water (NRW) rates. Depending upon the function identified for the twinning exchange, specific quantitative indicators will be determined and included in the twinning agreement MOU signed by ACWUA and the partner utilities.

Unit of Measure: As per indicators specified in the MOU

Disaggregated by: Twinning partner utilities as required

PLAN FOR DATA ACQUISITION & REPORTING

Data Collection Method: Twinning MOU; Methods as appropriate for the agreed indicators

Data Source(s): TBD as appropriate for the agreed indicators

Frequency/Timing of Data Acquisition: Upon completion of the twinning activity and at 6-month interval thereafter

Reporting of Data: CIS Twinning Reports. IWSMR quarterly and annual progress reports

PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
1, 2	TBD		Based on utility function and related indicators

THIS SHEET LAST UPDATED: November 2013

IWSMR Performance Indicator Description

Program Objective: Improved Water and Sanitation Services in the MENA region
Program Result: 3. Improved performance of regional water and wastewater utilities by leveraging USAID-funded improvements
Intermediate Result: 3.1 Increased exchange between water and wastewater utilities
Indicator: Number of twinning arrangements piloted

DESCRIPTION

Definition: A twinning arrangement links a mentor utility that excels in a particular function with one or more partner utilities that recognize their need to improve in the specified function. Twinning arrangements can be bilateral involving a pair of utilities; or, multilateral, where one mentor utility shares its practices with more than one partner utility. Whether bilateral or multilateral, each exchange is counted as a single twinning arrangement.

Unit of Measure: Number of twinning arrangements (bilateral; multilateral)

Disaggregated by: Utility function, country, gender, and institution/utility.

PLAN FOR DATA ACQUISITION & REPORTING

Data Collection Method: MOUs; Twinning Completion Reports

Data Source(s): ACWUA Secretary General (or delegate); CIS Twinning Reports

Frequency/Timing of Data Acquisition: Upon signed of twinning MOUs and completion of twinning activity

Reporting of Data: CIS Twinning Reports. IWSMR quarterly and annual progress reports

PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
1	3		Implementation of twinning activities is contingent upon securing donor funding.
2	3		

THIS SHEET LAST UPDATED: November 2013

Training Impact Assessment – Description

Background – As the project name indicates, the goal of IWSMR is improving overall water and wastewater utility performance, operation and maintenance (O&M) and service delivery throughout the MENA region. To contribute to this outcome, IWSMR is assisting ACWUA to establish a regional operator certification and training program including highly defined career paths stipulating detailed need-to-know competencies. This competency hierarchy is supported by a standardized training and testing program customized for particular regional needs from successful US models.

IWSMR will take advantage of the Training Impact Assessment (TIA) approach developed by the USAID/Jordan OMT Project for use by ACWUA to assess the impact of the training on utility and O&M performance.

Purpose – Although the reporting of results achieved by operator trainees on standardized certification tests provides an indication of the degree of learning that has been accomplished, it does not show the impact of the training on the job and any associated O&M performance improvement by the work unit or the facility as a whole. Therefore, IWSMR will assist ACWUA in implementing and institutionalizing the TIA approach to measure and report the O&M performance impacts of certification and training at utilities and facilities participating in the ACWUA operator certification and training program. Initially the TIA will be applied a pilots to be conducted by the IWSMR project.

This TIA will collect both quantitative and qualitative data describing the pre-training O&M performance baseline and compare that with the post-training O&M performance impact at selected facilities. The findings of this assessment will be used to further improve the training program and to assist managers in supporting training and certification to achieve the greatest results.

Theory - There is wide recognition that capacity building and training are prerequisites to development. However, most evaluations of capacity building stop well short of attributing benefits specifically to training. Most only go so far as to claim that the capacity building made a significant contribution to achieving objectives. In spite of limited empirical evidence, the IWSMR project and ACWUA are committed to the assessment of the training impact at treatment facilities. The approach to be used here is based on the following basic assumptions:

- Improving human capacity through relevant training (formal or informal) is inherently valuable and absolutely necessary for the achievement of performance improvement,
- Given a supportive organizational environment, individual employees will apply newly acquired knowledge and skills on the job,
- The effects of these changes in practice and/or behavior can be observed, described, often measured based on the controls and accomplishments reported, and,
- These effects can have a positive impact on productivity, efficiency, and cost of services or outputs delivered.

The ultimate beneficiaries of the training and certification, apart from the trainees in terms of greater self esteem and financial reward, are the water utilities and their customers. It is

accepted here that improved individual performance will lead collectively to facility O&M that ensures greater compliance with potable water, effluent quality, and environmental standards as well as protecting the investment in treatment and network infrastructure and contributing to its sustainability.

The Enabling Environment – The greatest variable when considering attribution is the enabling environment, which plays a key role in determining the degree to which employees are encouraged and supported in the application of new knowledge, skills, behaviors, and practices. As a rule of thumb, performance improvement interventions that, along with relevant high-quality training, include a nurturing management commitment, securing financial resources, and providing access to the necessary tools and spare parts will be more successful in achieving and demonstrating measurable results.

The IWSMR project and ACWUA program advocate strongly for an operator training and certification program that adopts a pro-active change strategy that recognizes the importance of the enabling environment in achieving performance impacts. The ACWUA member utilities that will be participating in operator certification pilots and training will be coached to ensure that a comprehensive and inclusive approach will be sustained. IWSMR and ACWUA will conduct orientations to kick-off training at each site to secure management commitment, encourage application by trained employees, and make tools and spare parts available.

Assessment Design – Most training takes place in an organizational setting, typically in support of skill and knowledge requirements originating in the workplace. This certainly applies to the ACWUA operator training and certification program. The job performance competencies, knowledge, and skills supported by the ACWUA program are based on the need-to-know criteria developed by the Association of Boards of Certification (ABC) by conducting on-going job task assessments of US and Canadian treatment plant and network operators. The ABC criteria have been reviewed by local subject matter experts and tailored to the specific needs and requirements of MENA operators.

The important relationship between training and the workplace has been adhered to in the design of the ACWUA training and certification program. Using this relationship as a framework, the following four basic points can be identified at which the IWSMR project will take measurements, conduct assessments, and reach judgments: Before Training; During Training; After Training or Before Returning to the Job; and, On-the-Job at the Facility.

Collecting data at these four points provides an understanding of the effectiveness of the training and the impact on performance at the plant. Collecting data before training establishes the performance baseline and provides a picture of the performance improvement expectations of operator trainees, their supervisors, and company managers. Any changes in performance resulting from the operator training and certification program will be measured against this initial baseline.

Testing during and after training measures the degree of new learning taking place as well as the reaction of the trainees to the instruction itself – in other words, how well the trainees liked the training. Monitoring the trainees when they are back on the job measures changes in behavior or the degree to which newly learned practices are being applied. The measureable quantitative and qualitative results of the trainee application of new practices can provide an assessment of the training impact on individual, work unit, and overall plant performance.

Quantitative Measures – Indicators of measureable facility performance have been determined with the cooperation of regional utility managers. Baseline and performance data is being collected in the following activities: Operations and Maintenance, Finance, Customer Service, and Human Resources/Staff Training and Certification which are linked directly to the IWSMR results framework PR3 – Improved performance of regional water and wastewater utilities through leveraging USAID-funded improvements. Indicators being applied for the initial ACWUA pilots include:

Quality of W/WW treated – Non-compliance Citations/Year

Major Unplanned Shut-downs/Year

Emergency Actions (unit; facility)/Year

Accident Reports (unit; facility)/Year

Operating Costs (unit; facility)/Year

Maintenance Costs (unit; facility)/Year

Qualitative Measures - In addition to collecting facility performance data, the training impact assessment also collects qualitative, opinion-based input from trainees and their supervisors/managers using standardized surveys and interviews for pre- and post-training comparison. On-the-job observations of trainee practical performance at their facilities are also conducted periodically to assess application of new knowledge and skills. These surveys and interviews require the respondent to provide their opinion on the following issues: Relevance of Training; Language of Instruction; Improved Knowledge/Understanding; Improved Attitude/Confidence and Self Esteem; Improved Technical Skills; Improved Management Skills; and Impact of Training on the Job.

Frequency - The initial indicators and survey/interview data gathering are associated with the pilot implementation operator training programs. The current ACWUA TIA procedures call for impact data collection as follows: Trainee – Pre/Post (6 months; annual); Supervisor and Manager Pre/Post (6 months; annual); On-Site Observation of Performance (associated with Interview).

TIA Capacity Building – Initial application of the TIA approach will be led by IWSMR. In the course of the project, as ACWUA staff become familiar with the TIA, it will be transferred to ACWUA responsibility so that ACWUA can continue to track and report training impact on a long-term sustainable basis.

ANNEX C

Life of Project Procurement Plan

Introduction

As required per Section C.7 of the contract, the purpose of this document is to provide a summary of the approach to the procurement of commodities and services to be used in activities implemented by the Improving Water and Sanitation Services in the MENA Region (IWSMR) project.

Commodities to be Procured

Based on technical activities as described in Phase I (Assessment) and Phase II (Implementation) of the Scope of Work, procurements under the IWSMR program are limited to the following:

1. *U.S. Manufactured Vehicle:* Per the approved proposal budget, the project will purchase a new U.S. manufactured vehicle to transport project staff and complete project errands. The vehicle will be purchased in December 2013.
2. *Office and IT equipment:* Office furniture and IT equipment will be purchased during project start-up to provide desks and computers for project staff members.
3. *Eco Consult-Time and Materials Subcontract:* Beginning in October 2014, Eco Consult will furnish the IWSMR program with long-term and short-term labor. Personnel will support training activities, Arab Countries Water Utilities Association (ACWUA) business planning, develop operator certifications, and provide other technical services to the IWSMR project. CO Consent to subcontract with Eco Consult was provided under section H. 20 "Subcontractor Approval," of the IWSMR contract.
4. *TBD Fixed Price Subcontracts:* Beginning in spring or summer of 2014, IWSMR will execute a computer information systems subcontract, as well as possible additional subcontracts for services related to training and twinning pilots. In accordance with our work plan, the project intends to support approximately three pilot training events in countries other than Jordan and Egypt, and one possible twinning event. Funds will be used to prepare and execute the events, including materials development.

Procurement Advertising, Offer Evaluation, and Contract Award

The IWSMR Project will ensure that the following core principles are adhered to when purchasing necessary commodities and supplies:

- *Competition:* The project will release an RFQ and obtain three quotations for any commodity transaction above the \$500 threshold. An evaluation committee of three project staff members will review quotations and award purchase orders to the company that provides the best value to USAID. All procurements will be documented. Goods received notes, invoices, and purchase orders will be saved in project files.
- *Geographic Code:* The procurements will adhere to the authorized Geographic Code 937 source and nationality requirements as specified in section H.8 of the IWSMR contract.

- *Restricted Goods:* Any restricted goods will be procured in accordance with applicable ADS 312 requirements; Contracting Officer (CO) approval will be obtained prior to the purchase of any restricted goods.
- *CO Consent:* For any transaction exceeding the acquisition threshold of \$150,000, the IWSMR Project will obtain CO consent to subcontract with the selected vendor, as required by FAR section 52.244-2. The project does not anticipate any procurement to exceed the \$150,000 threshold due to the low value of commodities needed to implement the program.
- *SAM:* Prior to award, all suppliers will be vetted through the IWSMR Project standard procedures of verifying eligibility, such as checking the System for Award Management (SAM).

Inventory, Marking, and Disposition

The IWSMR Project will maintain an inventory tracker of commodities purchased above the \$50 threshold. The IWSMR Project will ensure that equipment is marked with the USAID identity logo and complies with USAID Marking/Branding Procedures per AIDAR 752.7009. During project closeout, the program will submit a detailed inventory distribution plan to USAID for approval by the Contracting Officer. The inventory disposition plan will specify the Arab Countries Water Utilities Association (ACWUA) as the recipient of the project's vehicle and office and IT equipment.

Anticipated Procurements

Commodity/Service	Total/ Items	Amount	Estimated Timing (Month/Year)
Project Vehicle	1	██████	December 2013
Office Equipment and Office Make Ready	<ul style="list-style-type: none"> • Furniture • Phones • Office Supplies 	██████	October – December, 2013
IT Hardware, Software, and Support Services	<ul style="list-style-type: none"> • Computers • Server • Software • IT Support 	██████	November, 2013-September, 2015
Eco Consult Time and Materials Subcontract	<ul style="list-style-type: none"> • 1 Long-Term and 1 Short-Term Personnel 	██████	October, 2013-September, 2015
Fixed Price Subcontracts	<ul style="list-style-type: none"> • Computer Information System (CIS) • Training and Twinning Pilots • Materials Development 	██████ ██████ ██████	May, 2014 – September, 2015

