Appendixes

To

SURWASH
Program Operations Manual

Version -1

January 11, 2021

Appendix 1: ELIGIBILITY AND READINESS CRITERIA

The Eligibility Criteria include a set of actions that signal a state's commitment to reform the WASH sector and its willingness to actively participate in the program, including through the endorsement of foundational policies and protocols, the acceptance of the Program framework, and, importantly, a commitment to allocate necessary funding to the sector.

The Readiness Criteria require states to take initial, meaningful steps in the reform process with additional financial support from FPIU1– to develop the enabling environment prerequisite to participate in the SURWASH Program. These criteria include, amongst others, the establishment of the SPIU with the staff capacity (given in Chapter 5 of POM) - approved investment plans, sector baseline data, sustainable sector funding strategies, and annual sectoral budget allocations by the state and their proven disbursement.

Eligibility criteria for state participation. To participate in the Program, states must demonstrate their willingness to commit to a set of institutional and policy reforms and to allocate state budget to WASH. Criteria are either required, for a state must achieve it to be eligible, or scored. States are considered to have achieved the eligibility criteria if they have met all required criteria and have attained a minimum score of 50 percent on the scored criteria. The Program Eligibility Criteria are as follows, with their status and/or weighting in parenthesis.

i. Submission of a letter of interest to participate in the Program and commitment towards meeting the readiness criteria *(required)*;

ii. Endorsement of PEWASH Protocol by state government *(12.5 percent)*;

iii. Launched state-level campaign to end open defecation in accordance with Clean Nigeria: Use the Toilet campaign *(12.5 percent)*;

iv. State ODF action plan/strategy has been drafted and approved *(10.0 percent)*;

v. Expressed commitment to carry out institutional reform in the WASH sector, to include *(25 percent)*:

   a) Improve operational, managerial and financial efficiency of all SWAs;

   b) Commercialization or corporatization of State Urban Water Supply Agencies;

   c) Autonomy of State Urban Water Supply Agencies evidenced by revenue retention/management autonomy; and

   d) Passage of relevant policies and laws and the establishment of a RUWASSA STWSSA and WASH Units in all LGAs.

vi. Masterplan prioritizing urban water projects *(20 percent)*;

vii. Expressed commitment to rural WASH funding *(required)*;

viii. Declaration of a State of Emergency in the WASH Sector in line with agreed due process (e.g., reviewed Nigeria WASH Poverty Diagnostic report to understand the status of WASH in the state) *(20 percent)*;

1 IPF funds may be used to support the states for the purpose

ix. Acceptance of criteria for LGA prioritization in the State *(required)*; and

x. Security Risk Index at an acceptable level within one or more LGA(s) which allow for an acceptable cost-benefit analysis *(required)*.

2. **Readiness criteria for state participation.** Only when a state complies with the eligibility criteria, it will be eligible to apply for technical Assistance (TA) to assist it in attaining the readiness criteria, which in turn qualifies the state to receive investment funding from the Program. Criteria are either required, meaning that a state must achieve it to be considered ready, or scored. States are considered to have achieved the readiness criteria if they have met all required criteria and have attained a minimum score of 65 percent on the scored readiness criteria. The Program Readiness Criteria are as follows, with their status and/or weighting in parenthesis:

i. Completed WASH baseline data *(required)*;
ii. Establish State-PEWASH Coordinating Team (S-PCT/SPIU) with critical staff *(required)*;
iii. Approved state-level action plan for the revitalization of the WASH sector *(required)*;
iv. Develop and approve five-year WASH investment plan with allocated corresponding annual budget *(10 percent)*;
v. Adequate E&S risk management policies and capacities, including *(required)*:
    a) Recruitment of E&S specialists in the SPIU
    b) Protocols developed for community consultations in Program design and implementation
    c) Development of procedure for land acquisition
    d) Policies to manage contractors, including OHS, labor recruitment, safety of workers, payment of wages, GBV policies
    e) Grievance management systems developed and implemented; and
    f) Completed any other actions and establishment of any other policies and procedures, as specified in the PAP.
vi. Completed SEP under implementation to consult and engage beneficiary communities *(required)*
vii. Established LGA WASH Departments within state LGAs *(10 percent)*
viii. Completed designs for rural communities and small towns within prioritized LGAs *(12.5 percent)*;
ix. Approved LGA-wide WASH investment plans *(7.5 percent)*;
x. Prioritization of LGAs for investment according to prioritization criteria *(5 percent)*;
xi. Signed PEWASH Partnership Agreement and budgetary commitment and releases to RUWASSA for PEWASH counterpart projects matching *(10 percent)*;
xii. State budgetary commitment and releases for the Clean Nigeria: Use the Toilet campaign *(7.5 percent)*;
xiii. State Clean Nigeria secretariat established with desk officers *(7.5 percent)*;
xiv. Adequate urban WASH investment level *(15 percent)*;
xv. Adequate small town/rural WASH investment level *(15 percent)*; and
xvi. Existence of State Roadmap for the Elimination of Open Defecation *(required)*.

3. **Prioritization criteria for LGAs within participating states (draft).** Participating states should commit to an LGA-wide integrated approach to WASH which invests progressively in LGAs according to a set of prioritization criteria. States will achieve LGA prioritization through a rigorous and transparent process that considers the following aspects:

i. Functional LGA WASH Department;
ii. Willingness to par participate in the Program;
iii. Low access to WASH coverage;

iv. High prevalence of WASH related diseases;
v. LGA WASH Plan for five years;
vi. Open defecation status of the LGA;
vii. Co-location/convergence with other human capital focused operations in the state
viii. Signing of MoU with communities; and
ix. Security Risk Index at an acceptable level for operations.

Appendix 2. RESULTS FRAMEWORK AND INTERMEDIATE RESULTS INDICATOR MATRIX

COUNTRY: Nigeria

Nigeria Sustainable Urban and Rural Water Supply, Sanitation and Hygiene Program

Program Development Objective(s)

The Project Development Objectives (PDO) are to increase access to water, sanitation, and hygiene services and to strengthen sector institutions in participating states of Nigeria.

Program Development Objective Indicators by Objectives/Outcomes

Indicator Name	DLI	Baseline	Intermediate Targets					End Target
			1	2	3	4	5	
Increase access to water, sanitation, and hygiene services and strengthen sector institutions								
States achieving PIR plan targets (Number)	DLI 2	0	7	7	7	7	7	7
People provided with basic drinking water service under the Program (Number)	DLI 3	0	305,000	610,000	1,891,000	3,721,000	5,327,333	6,100,000
People provided with basic drinking water service under the Program - female (Number)		0	150,36500	300,730	932,263	1,834,453	2,626,375	3,007,300
People provided with basic drinking water service under the Program - rural (Number)		0	223,667	447,333	1,565,667	2,907,667	4,026,000	4,473,333
People provided with basic drinking water service under the Program - urban and small towns (Number)		0	81,333	162,667	325,333	813,333	1,301,333	1,626,667
Performance improvement of state Water Supply implementing agencies (Yes/No)	DLI 3.1	No	Yes	Yes	Yes	Yes	Yes	Yes
People provided with access to improved sanitation services (CRI, Number)		0	57,500	185,000	395,000	675,000	1,037,500	1,400,000
People provided with access to improved sanitation services - Female (RMS requirement) (CRI, Number)		0	28,348	91,205	195,735	332,775	511,488	690,200
People provided with access to improved sanitation services - rural (CRI, Number)		0	57,500	172,500	345,000	575,000	862,500	1,150,000
People provided with access to improved sanitation services - urban (CRI, Number)		0	0	12,500	50,000	100,000	175,000	250,000
Schools and healthcare facilities with improved water supply, sanitation and handwashing facilities constructed or	DLI 7	0	100	200	700	1,300	1,800	2,000

Indicator Name	DLI	Baseline	Intermediate Targets					End Target
			1	2	3	4	5	
rehabilitated (Number)								
Schools and healthcare facilities with improved water supply, sanitation and handwashing facilities constructed or rehabilitated - rural (Number)		0	75	150	525	975	1,350	1,500
Schools and healthcare facilities with improved water supply, sanitation and handwashing facilities constructed or rehabilitated - urban and small towns (Number)		0	25	50	175	325	450	500
Communities having achieved and/or maintained community-wide sanitation status (declared and verified as ODF+) (Number)	DLI 6	0	19	63	139	239	369	500
Communities having achieved and/or maintained community-wide sanitation status (declared and verified as ODF+) - rural (Number)		0	19.	56	113.	188	281	375
Communities having achieved and/or maintained community-wide sanitation status (declared and verified as ODF+) - urban and small towns (Number)		0	0	6	26	51	87	125

Intermediate Results Indicator by Results Areas

Indicator Name	DLI	Baseline	Intermediate Targets					End Target
			1	2	3	4	5	
Results Area 1: Strengthened sector policies and institutions for improved services								
Share of workers managing public sanitation facilities built under the Program who are persons with disabilities/other group identified as excluded (Percentage)		0	1.00	3.00	5.00	7.00	10.00	10.00
Proportion of WASHCOMs supported under the Program with at least one woman holding a leadership position (Percentage)		0	5.00	10.00	15.00	20.00	25.00	30.00
Share of newly created engineering or technical positions filled by women through internal promotion or external recruitment among service providers participating in the Program (Percentage)		0	40	40.00	40.00	40.00	40.00	40.00
Grievances registered and addressed in a timely manner under the Program (Percentage)		0	80.00	80.00	80.00	80.00	80.00	80.00
National WASH Fund established and operational (Yes/No)	DLI 1	No	Yes	Yes	Yes	Yes	Yes	Yes
Results Area 2: Improved access to water supply, sanitation and hygiene services								
Population using basic water supply services (Percentage)		75.20						88.30
Population using improved sanitation (Percentage)		69.30						72.30
Households with improved sanitation facilities constructed or rehabilitated under	DLI 5	0	11,500.00	37,000.00	79,000.00	135,000.00	207,500.00	280,000.00

Indicator Name	DLI	Baseline	Intermediate Targets					End Target
			1	2	3	4	5	
the Program (Number)								
Households with improved sanitation facilities constructed or rehabilitated under the Program - rural (Number)		0	11,500.00	34,500.00	69,000.00	115,000.00	172,500.00	230,000.00
Households with improved sanitation facilities constructed or rehabilitated under the Program - urban and small towns (Number)		0	0.00	2,500.00	10,000.00	20,000.00	35,000.00	50,000.00
Performance improvement of state sanitation implementing agencies (Yes/No)	DLI 5.1	No	Yes	Yes	Yes	Yes	Yes	Yes
People with access to sustainably functioning water service (Number)	DLI 4	0	0.00	240,000.00	530,000.00	1,050,000.00	2,300,000.00	3,575,000.00
Public places provided with WASH facilities (Number)		0	20.00	60.00	120.00	200.00	300.00	400.00
Utilities achieving at least 10 percent average increase in energy efficiency/reduction in water loss (Number)		0	0.00	1.00	2.00	3.00	4.00	5.00
Share of rural and small town water supply beneficiaries using systems relying on renewable energy (Percentage)		0	60.00	60.00	60.00	60.00	60.00	60.00
Water supply systems with regular water quality and quantity monitoring to improve resilience of populations in climate-vulnerable areas within Program LGAs (Percentage)		0	20.00	30.00	40.00	50.00	60.00	70.00

Appendix 3. ANNUAL PROGRAM WORK PLAN (CONSOLIDATED) TEMPLATE

Summary

Name of Organization/Agency		
State:		
Prepared by:		**Date:**
Reviewed by:		**Date:**
Approved by:		**Date:**

					Yealy Projections (US$) 2021-27						**Targets 2021--27**						**Notes/ Comments**
Results Area	**DLIs**	**Description**	**Budgeted Amount (NGN)**	**Budgeted Amount (US$)**	**Yr 1**	**Yr 2**	**Yr 3**	**Yr 4**	**Yr 5**	**Yr 6**	**Yr 1**	**Yr 2**	**Yr 3**	**Yr 4**	**Yr 5**	**Yr 6**	
Results Area 1: Strengthened sector policies and institutions for improved services	**DLI 1:** Design of National WASH Fund to enable its establishment																
	DLI 2: Design, adoption and implementation of State PIR Plans and achievement of annual targets																
Results Area 2: Improved access to water supply, sanitation and hygiene services	**DLI 3**: People provided with basic drinking water service under the Program																
	DLI 3.1: Performance improvement of state Water Supply implementing agencies																

Results Area	DLIs	Description	Budgeted Amount (NGN)	Budgeted Amount (US$)	Yealy Projections (US$) 2021-27						Targets 2021--27						Notes/ Comments
					Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Yr 6	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Yr 6	
	DLI 4: People with access to sustainably functioning water service																
	DLI 5: Households with improved sanitation facilities constructed or rehabilitated under the Program																
	DLI 5.1: Performance improvement of state sanitation implementing agencies																
	DLI 6: Communities having achieved community-wide sanitation status (ODF+) or number of ODF+ communities having maintained their status																

Results Area	DLIs	Description	Budgeted Amount (NGN)	Budgeted Amount (US$)	Yealy Projections (US$) 2021-27						Targets 2021--27						Notes/ Comments
					Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Yr 6	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Yr 6	
	DLI 7: Schools and healthcare facilities with functional, improved water supply, sanitation and handwashing facilities constructed or rehabilitated under the program																
Grand Total			-	-	-	-	-	-	-	-							

Appendix-3A

Work Plan Template for PforR Components

Name of Organization/Agency		
State:		
Prepared by:		**Date:**
Reviewed by:		**Date:**
Approved by:		**Date:**

							Estimated Budget (US$)						
Activity number	**Planned Activities**	**Responsible Entity (Accountability)**	**DLI**	**Category**	**Estimated Budget (NGN)**	**Estimated Budget (US$)**	**Q1**	**Q2**	**Q3**	**Q4**	**Expected Targets**	**Associated Disbursements**	**Notes/ Comments**
Results Area 1: Strengthened sector policies and institutions for improved services													
			(Indicate: DLI 1, DLI 2, DLI 3, DLI 3.1, DLI 4, DLI 5, DLI 5.1, DLI 6, or DLI 7))	(Indicate: Works, Consultancy, Goods, Training, Operating Costs)		-							
						-							
						-							
						-							
						-							
						-							
						-							
						-							
						-							
						-							

Activity number	Planned Activities	Responsible Entity (Accountability)	DLI	Category	Estimated Budget (NGN)	Estimated Budget (US$)	Estimated Budget (US$)				Expected Targets	Associated Disbursements	Notes/ Comments
							Q1	Q2	Q3	Q4			
				Subtotal	-	-	-	-	-	-			
Results Area 2: Improved access to water supply, sanitation and hygiene services													
						-							
						-							
						-							
						-							
						-							
						-							
						-							
						-							
						-							
				Subtotal	-	-	-	-	-	-			
				TOTAL	-	-	-	-	-	-			

Appendix-3B

Work Plan Template for IPF Component

Name of Organization/Agency		
State:		
Prepared by:		**Date:**
Reviewed by:		**Date:**
Approved by:		**Date:**

						Estimated Budget (US$)				
Activity number	**Planned Activities**	**Responsible Entity (Accountability)**	**Category**	**Estimated Budget (NGN)**	**Estimated Budget (US$)**	**Q1**	**Q2**	**Q3**	**Q4**	**Notes/ Comments**
			(Indicate: Works, Consultancy, Goods, Training, Operating Costs)		-					
					-					
					-					
					-					
					-					
TOTAL				-	-	-	-	-	-	

Appendix 4. PROGRAM EXPENDITURE FRAMEWORK TEMPLATE

Summary of all States

Federal/State	Result Area	Budget Codes	Total Amount (US$)	Yearly projections of program expenditures (US$)						
				2021	2022	2023	2024	2025	2026	2027
Capital Expenditures (CapEx)										
FMWR	2									
Delta	2									
Ekiti	1, 2									
Gombe	2									
Imo	2									
Kaduna	1, 2									
Katsina	2									
Plateau	2									
		Total CapEx	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**
Operational Expenditures (OpEx)										
FMWR	1									
Delta	1, 2									
Ekiti	1, 2									
Gombe	1									
Imo	1, 2									
Kaduna	1									
Katsina	1									
Plateau	1									
		Total OpEx	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**
		Contingency (6%)	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**
		Total program financing	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**

Appendix – 4A

Program Expenditure Framework

Template for each State

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
FMWR	**Capital Expenditures (CapEx)**										
	Counterpart Fund for urban water supply improvement in line with the National Water Supply Policy		2								
	Counterpart Fund for small towns water supply improvement in line with the National Water Supply Policy		2								
	WASH interventions in federal establishments (prisons, police, army, immigration, customs & NSCDC barracks)		2								
	WASH interventions in federal institutions (universities, polytechnic and other institutions)		2								
	WASH interventions in motor parks, markets, primary healthcare centers		2								
	Special Interventions for disaster management and IDPs		2								
	Partnership for Expanded Water, Sanitation and Hygiene (Sanitation and Hygiene Component)		2								
	Partnership for Expanded Water, Sanitation and Hygiene (PEWASH)		2								
	Total CapEx			**-**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**
	Operational Expenditures (OpEx)										

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	NIHSA (Nigeria Hydrological Services Agency)/Groundwater Investigation and drilling Techniques		1								
	FMWR/NWRI/(National Water Resources Institute) research, assessment and development of new water supply of new water supply technologies/Groundwater Modelling		1								
	Consultancy services for water supply project (study, design and supervision)		1								
	Partnership for Expanded Water, Sanitation and Hygiene (PEWASH)		1								
	Total OpEx			-	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**
	Contingency (6%)			-	-	-	-	-	-	-	-
	Total			-	-	-	-	-	-	-	-
Delta	**Capital Expenditures (CapEx)**										
	Agbor Network expansion and replaceable parts, WTP, Rehabilitation, 33KV and metering		2								
	Asaba Metropolis, Asaba Zone, 1) Construction of new WTP and network in Okpanam,2) Renovation of offices, premises, improve network at Asaba,and Ibusa source works (Including metering)		2								
	Issele-Uku: Zone Rehabilitation of WTPs, network, office, and 33KV grid including metering		2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Sapele: Rehabilitation of new WTP and network in Sapele including renovation of offices, premises, improve network including metering		2								
	Ozoro rehabilitation of WTP and network in Ozoro, Renovation of offices, premises, improve network including metering		2								
	Ughelli: Construction of new WTP and network in Ughelli, Renovation of offices, premises, improve network		2								
	Construction of 320 number complete solar motorized water schemes		2								
	Rehabilitation of 150 number broken-down solar motorized water schemes		2								
	Construction of 50 number. Complete solar motorized water schemes with water treatment		2								
	Conversion of 60 number broken-down diesel motorized water schemes to Solar Powered		2								
	Construction of 250 number of Handpumps water facilities		2								
	Construction of 150 number simple solar motorized water schemes		2								
	Construction of 300 number complete solar motorized water schemes		2								
	Rehabilitation of 150 number broken-down solar motorized water schemes		2								
	Construction of 50 number. Complete solar motorized water schemes with water		2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	treatment for fe++, salinity and others										
	Conversion of 30 number broken-down diesel motorized water schemes to Solar Powered		2								
	Construction of 220 number WASH Facilities in public primary and secondary schools		2								
	Construction of 180 number WASH Facilities in primary health centers		2								
	Construction of 160 number WASH Facilities in public places		2								
	Construction of public toilets in urban markets		2								
	Construction of FSTP		2								
	Construction of selected Ecological sanitation (ECOSAN) toilets in the state in small towns markets, school and other public places		2								
	Construction of 250 nos public CTLS Plus Sanitation toilets in schools, health centre and markets		2								
	Total CapEx			-	-	-	-	-	-	-	-
	Operational Expenditures (OpEx)										
	Automation of the entire customer service system (WAN, SCADA, DMAs, Integrated Payment System, POS,)		1								
	Operational Vehicles, Repleaceable Parts, Electro-Mechanical Tools, NRW Management Equipment etc		1								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Capacity Building in Meter management; repairs, calibration, software management etc)		1								
	Operating Expenses for Performance (Chemicals, Energy including Renewable Options, O&M)		1								
	State wide Baseline survey of 150 Nos water schemes in small towns, including geophysical survey.		2								
	Institutional Strengthening of STOWASSA		1								
	Capacity building and training for STOWASSA staff, LGA staff and WCAs, Local Artisans		1								
	purchase of operational spare parts,		1								
	purchase of a six tyre enclosed carrier truck with in built generator		1								
	Deepening reform process consolidation/Implementation of investment Plan and M&E systems		1								
	Village Level Operation and Maintenance Implementation		1								
	Institutional Strengthening of RUWASSA		1								
	Capacity building and training for RUWASSA staff, LGA WASH Units and WASHCOMs		1								
	Deepening Reform process consolidation/Implementation of investment Plan and M&E systems		1								
	Institutional Strengthening of the Regulatory Commission		1								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Capacity building and training for the Commission staff	a) Training on tariff setting and regulation for Commission Staff and relevant stakeholders, Water quality assurance and service level monitoring and evaluation, etc.	1								
		b) Development of sector guideline on technical and financial management	1								
		c) Sensitization/public education on the regulatory law	1								
	Institutionalization of M&E systems		1								
	Capacity building and training for the Ministry of Water Resources staff		1								
	Deepening Reforms		1								
	Implementation of State Wide ODF Action Plan for Delta State - Attainment, Declaration & Celebrations of ODF Status		2								
	Sanitation ADVOCACY; Behavioral Change Campaign (Multi-Media), SOPs and Guidelines publications and circulation, Advocacy to government trough visits, workshop to implement the recommended sanitation institutional framework		2								
	STOWASSA SMART WASH sensitization and ODF advocacy, establishment of school WASH clubs and WCAs		2								
	Total OpEx			-	-	-	-	-	-	-	-

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Contingency (6%)			-	-	-	-	-	-	-	-
	Total			-	-	-	-	-	-	-	-
Ekiti	**Capital Expenditures (CapEx)**										
	Support increase in household connections to about 50,000 connections in 5 years.	Procurement of 10,000 meters annually.	2								
		Procurement of Installation materials and connections of 10,000 meters to water pipeline annually.	2								
	Replacement of 5Nos high lift pumps at Ayetoro Booster Station.	supply and installation of 2 Nos High Lift Pumps (Usi/Ado line), supply and installation of 3Nos High Lift Pumps (Ipoti/Aramoko line).	2								
	Replacement of High-Tension Circuit Breaker at Ayetoro Booster Station.	Provision for High Tension Circuit Breaker 1.6MVA.	2								
	Support in expansion of 22km distribution network for last mile connections.	Construction of 22km HDPE/UPVC distribution pipeline networks of 100mm diameters.	2								
	3. Support in expansion of 22km distribution network in Moba, Ido/Osi and Ijero LGAs to reach 1,500 customers	Construction of 22km HDPE/UPVC distribution pipeline networks of 100mm diameters (2km each in Otun, Igogo, Ayetoro, Usi, Ido, Ifaki, Ilogbo, Osi, Ipoti, Ijero, and Aramoko). **See the UWa Ero Distribution BEME for estimated cost and more description**	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Support in expansion of 110km distribution network in Ado Ekiti to reach 8,197 customers	Expansion of 110km UPVC distribution pipeline networks of 100mm diameters (10km in each of Olujoda, Falana, Odo-Ado, Ajebamidele, Okeila, Omisanjana, Sije, Moferere, Ita Iku, Oke-Ureje) of Ado Ekiti. **See the Uwa Ado Distribution BEME for estimated cost and more description**	2								
	1. Rehabilitation of Isinbode Booster Station.	Supply and Installation of 2 Nos High Lift Pumps, Replacement of 500KVA transformer and Replacement of 500KW generator. **See the UWa Isinbode BS BEME for estimated cost and more description**	2								
	2. Replacement of 7km section of Existing 300 UPVC transmission mains.	Replacement of 4km section of Egbe/Isinbode Existing 300 UPVC transmission mains pipelines with Ductile Iron. Replacement of 3km section of Isinbode/Omuo Existing 250 UPVC transmission mains pipelines with Ductile Iron. **See the UWa Egbe Transmission BEME for estimated cost and more descriptions**.	2								
	3. Support in expansion of 24km distribution network in Ekiti East to reach 1,500 customers.	Expansion of 24km UPVC distribution pipeline networks of 100mm diameters in Ekiti East (2km each in Obadore, Kota, Iworo, Irafin, Inisa, Ijero, Iludofin, Ahan, Oya, Araromi, Omuo-oke, Otunja). **See the Uwa Egbe Distribution BEME for estimated cost and more description**	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	1. Rehabilitation of Itapaji Water Scheme	Rehabilitation of Low and High Lifts Stations, Production Plants, Headworks' building, Purchase of workshop Toolbox Equipment and SCADA. **See the Uwa (Itapaji BEME) sheet for estimated cost and more descriptions**.	2								=
	2. Rehabilitation of Odo-Oro Booster Station	Electro-mechanical and Civil works at Odo Oro Booster Station. **See the UWa (Odo Oro BEME) for estimated cost and more descriptions.**	2								
	3. Replacement of 300mm transmission mains (45.2Km) .	**Section I:** Replacement of 16.1km length of existing DN 300 AC pipeline (from Itapaji Headworks to Odo Oro Booster Station) with DN 300 Ductile pipe.	2								
		Section II: Replacement of 9.1km length of existing DN 300 AC pipeline (from Odo Oro Booster Station to Ikole Ground Tank) with DN 300 Ductile pipe	2								
		Section III: Replacement of 4.0km length of existing DN 300 AC pipeline (from Ikole Ground Tank to Odo-Aiyedun) with DN 300 Ductile pipe	2								
		Section IV: Replacement of 7.0km length of existing DN 300 AC pipeline (from Ikole Ground Tank to Ijesha-Isu) with DN 300 Ductile pipe	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
		Section V: Replacement of 9.0km length of existing DN 300 AC pipeline (from Ikole Ground Tank to Ijesha-Isu) with DN 300 Ductile pipe	2								
	4. Support in expansion of 93km distribution network to reach 8,000 customers	Section I: Ikole Distribution Network (56km)	2								
		Section II: Ijesha Distribution Network (10km)	2								
		Section III: Aiyedun Distribution Network (18km)	2								
		Section IV: Itapaji Distribution Network (5km)	2								
		Section V: Odo Oro Distribution Network (4km)	2								
	Pilot of fecal sludge management in 3 urban centers		2								
	Support the rehabilitation of existing and construction of toilet facilities in public places / government institutions and development of management models		2								
	Support the completion of construction of water scheme in Iyin Ekiti for an increased access to improved water supply in this small town.		2								
	Support the completion of construction of Oye/Ire water scheme for increased access to improved water supply to Oye and Ire Ekiti communities		2								
	Support for the improvement of 10 piped schemes through rehabilitation of existing underground water scheme at Ipao, Ilasa, Ikun Oba/Araromi,Ipole-Iloro,Erijiyan,Orin,Emure,Af		2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	ao/Kajola and new underground scheme at Ise.										
	Support through loans for households with low income / financial capacity to construct household plumbing works and connection to piped water supply network.		2								
	Construction of office accommodation for Ekiti State STOWSU		2								
	Support the rehabilitation of existing and construction of toilet facilities in public places / government institutions and development of management models in small towns		2								
	Support for the development of 100 piped schemes in rural communities.		2								
	Support the rehabilitation / construction of suitable water schemes for access to improved water supply rural communities		2								
	Support for increase access to water supply in rural areas		2								
	Construction of office accommodation for Ekiti State RUWASSA		1								
	Support in the construction / rehabilitation of institutional and public latrine facilities / Sani Centre	Construction/Rehabilitation to be carried out in public places, health facilities, markets and motor parks.	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Support for the implementation of the Roadmap on Making Ekiti State Open Defecation Free by 2020	Achievement of ODF in Gboyin, Ekiti West and Ilejemeje (3) LGAS as Phase One.Verification and certification of ODF communities. Validation of ODF LGA. 13 LGAS in Phase Two	2								
		support for construction of latrines through soft loans and sanitation marketing facilitated by MFBs and CSOs.	2								
	Support for the upgrading of Water Supply Regulatory Unit to Water Supply and Sanitation Regulatory Agency		1								
	Support in the provision of water quality testing equipment		1								
	Support in the establishment of a Standard Testing Laboratory		1								
	Support for ICT equipment to handle customer's complaints		1								
		Total CapEx		-	-	-	-	-	-	-	-
	Operational Expenditures (OpEx)										
	Support for sector coordination		1								
	Support for the encouragement of public private partnership to facilitate access to services of public utilities		1								
	Support the strengthening of the institutional framework to improve sectoral interaction and inclusive participation		1								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Support for institutional strengthening		1								
	Support regulating activities of public utilities for effective and efficient utilities performance		1								
	Support in the capacity building and development of regulatory tools at the Ministry Level		1								
	Review of the Roadmap on eradication of open defecation by 2022		1								
	Replication of gains of WSSSRP III in other 14 LGAs (CLTS, M & E, scaling up of WASHIMS etc)		1								
	Capacity building for personnel of the successor of EKSWC in 2 years.		1								
	Support through loans for households with low income / financial capacity to construct acceptable household latrines in the urban areas		2								
	Support and encourage private partnership in the management of booster stations for sustainability and maintenance of the facilities		1								
	Capacity building of staff in the new agency.		1								
	Support the review of existing legislature and sanctions governing environmental sanitation, public health infractions etc		1								
	Support through loans for households with low income / financial capacity to construct acceptable		2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	household latrines in the small towns.										
	Capacity building of water supply Staff		1								
	Support the recruitment of technical personnel to fast track CLTS approach in about 350 communities yet to be ODF in the 16LGAs		1								
	Support for the provision of Reagents, test strips and kits		1								
	Support for public relation activities		1								
	Capacity building for staff to be proficient in the act of regulatory		1								
	Support for funding of strategic plan 2020 -2022 and others		1								
	Total OpEx			-	-	-	-	-	-	-	-
	Total (OpEx & CapEx)			-	-	-	-	-	-	-	-
	Contingency (6%)			-	-	-	-	-	-	-	-
	Total			-	-	-	-	-	-	-	-
Gombe	**Capital Expenditures (CapEx)**										
	Rehabilitation of existing nonfunctional hand pump boreholes across the state in Schools, Health centers, Motor Parks, Markets		2								
	Rehabilitation of existing nonfunctional motorized boreholes across the state in Schools, Health centers, Motor Parks, Markets		2								
	Rehabilitation of existing nonfunctional solar powered boreholes across the state in Schools, Health centers, Motor Parks, Markets		2								

	Program Interventions and sub-interventions (if applicable)	Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
				2021	2022	2023	2024	2025	2026	2027
	Construction of new hand pump boreholes across the 11 LGAs of the state 60% in Communities, 20% in Schools, 10% in Health centers, 4% in Motor Parks, 4% in Markets and 2% in Other Public places	2								
	Construction of new mini solar boreholes across the 11 LGAs of the state60% in Communities, 20% in Schools, 10% in Health centers, 4% in Motor Parks, 4% in Markets and 2% in Other Public places	2								
	Construction of new conventional solar powered boreholes across the 11 LGAs of the state 60% in Communities, 20% in Schools, 10% in Health centers, 4% in Motor Parks, 4% in Markets and 2% in Other Public places	2								
	To Develop spring water for communal use	2								
	Upgrade of RUWASSA Water Quality Laboratory	2								
	provision of 354 set of VLOM tools for trained LAMs	2								
	supply and installation of data management system at state and LGAs WASH Units (inventory management system) that will track the functionality status of all existing facilities across the state.	2								
	Provision of project Vehicles Hilux and bus	2								
	442/33KV Sub-Station complete with 5Km 33Kv power line extension bay as specified in the attached drawings. (Designs and BEME attached)	2								
	Two (2) Flowserve Brand High Lift Pumps model 20EKL=8 Stage 720 cu.m/hour (See Quotation from Flowserve, USA attached).	2								
	Rehabilitation of motorized boreholes in Gombe Township.	2								
	Rehabilitation of existing pipelines network and expansion of new pipelines to unserved areas (See BEME and network drawings attached).	2								
	Reticulation of all villages along the pipe line route from Dadin Kowa to Tabra pump station (See BEME attached).66,544 m	2								
	Drilling of 150 Solar powered boreholes with minor reticulation points (See BEME attached).	2								

	Program Interventions and sub-interventions (if applicable)	Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
				2021	2022	2023	2024	2025	2026	2027
	Construction of sanitary convenience (VIP and Water closet Toilets) in Small towns 75% in Schools, 14% in Health centers, 6% in Motor Parks and 5% in Markets across the 11 Local Governments.	2								
	Construction of sanitary convenience (**Pour Flush** and Water closet Toilets) in Small towns 75% in Schools, 14% in Health centers, 6% in Motor Parks and 5% in Markets across the 11 Local Governments.	2								
	Construction of Solar Boreholes in (**Small Town**) 75% in Schools, 14% in Health centers, 6% in Motor Parks and 5% in Markets across the 11 Local Governments.	2								
	Procurement of Gully emptier for sewage management	2								
	Contraction of Sanitary convenience (**VIP**, WATER CLOSET PUR FLOSH, COMPOST, URINE DIVER TOILETS) 75% in Schools, 14% in Health centers, 6% in Motor Parks and 5% in Markets across the 11 Local Governments.	2								
	construction of Sanitary convenience (**POUR FLUSH**, WATER CLOSET PUR FLOSH, COMPOST, URINE DIVER TOILETS) 75% in Schools, 14% in Health centers, 6% in Motor Parks and 5% in Markets across the 11 Local Governments.	2								
	Construction of Solar Boreholes in (**URBAN**) 75% in Schools, 14% in Health centers, 6% in Motor Parks and 5% in Markets across the 11 Local Governments.	2								
	Total CapEx		-	-	-	-	-	-	-	-
	Operational Expenditures (OpEx)									
	Training of RUWASSA and LGA WASH Unit Staff on Solar Powered Pumping System Design, Installation and optimization	1								
	Training of RUWASSA and LGA WASH Unit Staff on GIS and Remote sensing application on ground water prospecting and installation of application software (by National Center for Remote Sensing Consultancy Department Jos)	1								
	Training of RUWASSA and LGA WASH Unit Staff on Geology and Water bearing potential of Gombe State (by Gombe State University)	1								
	Training of RUWASSA Water Quality Laboratory Staff	1								

	Program Interventions and sub-interventions (if applicable)	Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
				2021	2022	2023	2024	2025	2026	2027
	Training of RUWASSA and LGA WASH Unit Staff on Supervision of Rehabilitation and Construction of water facility	1								
	Procurement of 2 set of solar IV tester	1								
	Upgrade of LGA WASH unit to LGA WASH department	1								
	Training of Artisan (WASH Facilities Caretakers)	1								
	Provision of Computers, printers, GPS and other monitoring tools	1								
	Conditional / Needs assessment of WASH facilities across the state	1								
	Monitoring and evaluation for accountability and Improved project performance for Effective resource Allocation.	1								
	Establishment and training of WASHCOMs Members in 2890 communities across the 11 LGAs of the state.	1								
	Strengthening of existing WASHCOMs to ensure ownership and sustainability of WASH facilities provided.	1								
	Provision Tendering (publication and adverts) and supply of IEC materials	1								
	Community Sensitization and Advocacy Visits to Traditional, Religious and Civil Society Leaders	1								
	Provision of logistics and local travels	1								
	Provision / Construction of office accommodation	1								
	Quarterly meetings of the Steering committee	1								
	Quarterly coordination and review reports briefings.	1								
	Local study tours to learn lessons from the visited state	1								
	Quarterly quality verification / performance evaluation for activities carried out	1								
	Organizing Annual review workshops for staff both at state and LGA level	1								
	Quarterly and Yearly Report Production	1								
	Project Management, Coordination and Institutional Services	1								
	provision of Project website	1								
	Provision of Financial Software	1								

Program Interventions and sub-interventions (if applicable)	Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
			2021	2022	2023	2024	2025	2026	2027
To ensure designs are made according to standards and specifications	1								
Participate in Appraisal and end of year meetings at National levels	1								
Monthly meetings	1								
Engagement of Supportive/Secretariat staff	1								
1 week training for key project officers on financial management, Procurement and project administration and management to be conducted by the Administrative and Staff College (ASCON) in Lagos. In Batches	1								
Mandatory professional Continues training by professional bodies, NSE/COREN/EHOAN, ETC, Procurement, Project management institutes and specialized Water Agencies training schools	1								
Rehabilitate all existing boreholes in all the eleven LG Headquarters (See BEME attached)	1								
Rehabilitate existing Water schemes in towns out the Local Government Headquarters (See BEME attached).	1								
customers enumeration, training on Billing, Tariff Review Studies etc	1								
General Consultancy services for essential specialized services	1								
Stakeholder Delineating and engagement and formation of water customer association	1								
Procurement of chemicals in batches of 20 tones to check expiration	1								
General logistics - project vehicles, tools/equipment's, mobile welding machines, generators etc and renovation of office accommodation (% of need based on priority)	1								
Training of GOSEPA Staff on GIS and Remote sensing for inspection of premises of sanitation facilities	1								
Identification and Training of community-based facilities Caretakers for the sustainability of the newly facilities	1								
Total OpEx		-	-	-	-	-	-	-	-
Contingency (6%)		-	-	-	-	-	-	-	-

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Total			-	-	-	-	-	-	-	-
Imo	**Capex for Urban Water**										
	Rehabilitation of Otamiri Water Treatment Plant	Rehabilitation and Retrofitting of the Intake Station	2								
		Rehabilitation of the treatment section	2								
		Rehabilitation and Retrofitting of the High lift Station	2								
		Asphalt of 2.5km internal road	2								
		Rehabilitation and equipping of physiochemical and bacteriological laboratories	1								
	Rehabilitation/Expansion of Transmission and Distribution Network in Owerri Metropolis	Rehabilitation of400/600mm 900mm diameter Ductile Iron transmission line from the water works to the booster station's in Egbeda, Orji, Egbu and Avu. Total of 4.5km	2								
		Replacement of 205km Asbestos Cement pipe network with uPVC/HDPE Pipes/fittings of (100mm, 160mm,200mm & 250mm diameter) within Owerri	2								
		Provision of Water Kiosks to Service Urban Slums within the Capita (Not Covered within the network) and underserved neighborhoods and procurement two water tankers	2								
		Procurement of 55000 nos prepaid meters @ N310,000	2								
		Procurement of service line connection fitting, saddle, ferrule etc	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Rehabilitation of Egbeada booster Stations	Complete Rehabilitation of Booster station including Replacement of 55KW Horizontal Booster Pumps/Accessories	2								
		Rehabilitation of 3 No Borehole including Replacement of 3 No 40 horsepower submersible pumps/Accessories	2								
		Replacement of 10km asbestos cement pipes with UPVC/HDPE pipes	2								
		Replacement/Upgrade of Power Supply Systems including 350KVA Generator Set and Transformer Substation	2								
	Rehabilitation of Orji booster Stations	Complete Rehabilitation of Booster station including Replacement of 75KW 3 no Horizontal Booster Pumps/Accessories, Generator Transformer Substation	2								
		Provision of Modular Treatment Plant to Balance pH of the Borehole Water	2								
	Rehabilitation of Egbu Booster Station	Complete Rehabilitation of Egbu Booster Station, building, horizontal booster pumps, replacement of 150 KVA Generator, 100KVA Transformer Substation, pipes, V=D Starter, Cables and Switched and Replacement of pipes	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Avu Booster Station	Upgrade/Rehabilitate Avu Booster Station complete 3 nos 50Kw horizontal booster pumps complete with accessories and pipe network to EWT to boost Water to Ohaji, Avu and Umuokanne Communities	2								
		Construction of Booster Station Building and generator house	2								
		Procure and install 150KVA Generator set complete with accessories	2								
		Construction of 750 cubic meter Ground Level Concreate tank complete with fittings and valves	2								
		Rehabilitation of 500 cubic meter Concrete EWT Complete with accessories	2								
		procure and install 200KVA transformer substation complete with all accessories and payment of all statutory fees	2								
		Construction of 4 room staff quarters and security post including perimeters fence	1								
	Rehabilitation of Umuoba Water Scheme	Rehabilitation and Equipment of 2nos existing borehole complete with all accessories including the 190000 litres capacity, EWT, Replacement of 150KVA Generator set, 200KVA Transformer Substation/accessories.	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
		For all Civil works including rehabilitation of quarters, modular treatment plant, pump house and all M & E service system.	2								
	Rehabilitation of Owerri Ebiri Water Scheme Orlu	Drill and case 2nos 325mm diameter boreholes @ N18,500,000	2								
		Redevelop and pump test existing 3nos boreholes @ N2,500,000	2								
		Provide and install 5nos 60HP submersible pumps/accessories & cables	2								
		Provide and install 5nos 75HP VFD starter panels @N12,500,000	2								
		Provide and install Armored cables LS	2								
		Replace 150mm dia steel risers for 5 pumps	2								
		Construction of modular treatment plant	2								
		Provide and Install 300KVA gen set.	2								
		Upgrade existing power station to 500KVA Transformer	2								
		Rehabilitation of pump house, workshop building and fence	2								
		Construction of staff quarters 6 rooms	1								
		Supply and install solar powered cameras and street lights.	2								
		Relay 25km pipe network	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
		250Psi, 750cfm Air Compressor 4 cylinders for borehole development and redevelopment	2								
	Rehabilitation of Eluama Water Scheme Orlu	Rehabilitation of 2nos boreholes @ N5,000,000	2								
		Replacement of 2nos submersible pumps, pump cables, starter panels and steel risers @ N10,000,000	2								
		Complete overhaul of 160kva gen set.	2								
		Rehabilitation of 150KVA gen set and reconnecting to public supply.	2								
		Provision of modular treatment plant.	2								
		Rehabilitation of 100,000EWT and 100,000GWT.	2								
		Rehabilitation of pump house, office block and staff quarters.	2								
		Provision of solar cameras and street lights.	1								
		Relay 10km pipe network @ N28,000,000	2								
	Rehabilitation of Oleme Orlu Water Scheme Orlu	Redevelopment and pump testing of 2nos boreholes @ N2,500,000	2								
		Replacement of 2nos submersible pumps including starter panels, cables, steel risers etc @ N1,500,000	2								
		Complete overhaul of 1no 160kva gen set.	2								
		Rehabilitation of 700,000 gallons concrete EWT.	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
		Procure and install 300kva transformer and connect to public supply.	2								
		Rehabilitation of pump house and fence.	2								
		Provision of modular treatment plant.	2								
		Provision of solar cameras and street lights.	1								
		Construction of staff quarters 4 rooms	1								
		Rehabilitation of Orlu zonal office.	1								
	Rehabilitation of Iyiechu Surface Water Treatment Plant Okigwe	Rehabilitation of Intake Station Complete with installation of power system (Transformer Substation and Standby Generator) and all accessories.	2								
		Rehabilitation of the treatment section complete with all accessories	2								
		Replacement of low lift and high lift pumps and accessories	2								
		Complete rehabilitation of the clear water tank and fittings	2								
		Replacement of 10km pipe network with HDPE and uPVC Pipes complete with fittings and valves	2								
		Rehabilitation and equipment of the physiochemical & bacteriological laboratory.	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Rehabilitation of Ekenguru Water Scheme	Construction of 100,000 gallons ground level tank, Upgrade of modular water treatment plant, construction of staff quarters, provision of solar powered cameras and street lights and extension of 5km pipe network etc.	2								
	Rehabilitation of Mgbidi water Scheme, Oru West L.G.A	Rehabilitation of existing boreholes.	2								
		Drilling, Development and equipment of 200mm diameter borehole complete with installation of 40Hp Submersible pump/Accessories	2								
		Rehabilitation of Generator House and Replacement of Generator and transformer substation/accessories	2								
		Construction of mini treatment plant	2								
		Construction of 3 room quarters	1								
		Rehabilitation of two nos elevated water tanks (20000 gallons and 5000gallons)	2								
		Replace 7km pipe network with uPVC/HDPE pipes	2								
	Rehabilitation of Inyishi Water Scheme Ikeduru LGA	Provide solar powered security cameras and lights	1								
		Complete rehabilitation/Upgrade of the existing building.	1								
		Rehabilitation of 3nos 40,000 gallons capacity each EWT complete with fittings and pipes	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
		Replace/Expand 7km pipe network complete with fittings	2								
	Construction of Sanitation Facilities	Construction of Sanitation Facilities including Solar Powered Borehole with overhead tank in 3 Urban Motor Parks.	2								
		Construction of Sanitation Facilities including Solar Powered Borehole with overhead tank in 6 Urban Markets.	2								
		Construction of Sanitation Facilities including Solar Powered Borehole with overhead tank in 6 Urban Hospitals.	2								
		Construction of Sanitation Facilities including Solar Powered Borehole with overhead tank in 5 Urban Worship Centers	2								
		Construction of Sanitation Facilities including Solar Powered Borehole with overhead tank in 24 Urban Schools.	2								
	Total Capex for Urban			-	-	-	-	-	-	-	-
	OPEX for Urban										
	Rehabilitation of Otamiri Water Treatment Plant	Allow for Operational Expenditure, bulk procurement of treatment Chemical, Reagents, Diesel, Lubricants and additives	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
		Carry out Environmental & Social Management Plan (ESMP) for the entire project pipe network replacement in Owerri Urban Owerri Urban, Orlu and Okigwe.	1								
	Rehabilitation/Expansion of Transmission and Distribution Network in Owerri Metropolis	Procurement of 6nos Project Vehicles, 3nos bus, 3nos backhoe Excavator, 2 nos self-loading trucks and renovation of procurement building/Store	1								
	Consultancy	Comprehensive raw water analysis for all functional boreholes in the city for HSE and surface water bodies (Otamiri & Nworie River)	2								
		Conduct Hydrological Study of the rate of Siltation of the Otamiri River/Iyiechu within the intake works to determine the Reservoir capacity and ESIA	2								
		Design and Supervision for Construction/Rehabilitation of works including Conduct Geo-Spatial Mapping and Hydraulic Modelling of the Urban pipe Network across the State	2								
		Strategic Communication and advocacy campaigns	2								
		Public Private Partnership Development									
		Transaction Design & Tendering	1								
		Private Operation Fees	1								
		PPP to manage Otamiri Treatment Plant	1								
		Expert technical Assistance	1								

Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
				2021	2022	2023	2024	2025	2026	2027
Policy Reform and Institution Development	Low Income Strategy & Implementation	2								
	Regulatory Framework	1								
	Review of State WASH Policy	1								
	Review of State Water Law	1								
	Regulator Training	1								
	Governing Board Training	1								
	Strategic Communication and advocacy campaigns	1								
Capacity Building and Project Management	PSP Preparatory Studies and Assistance	1								
	Office Equipment	1								
	PIU Running Cost	1								
	Training and Workshops	1								
Capacity Enhancement of the Sewerage Department and Operators	Train the Sanitation Units and fecal sludge evacuators of Imo State Water and Sewerage corporation on behavior change, safe contentment and proper conveyance of waste & Sewerage management	1								
	Advocacy Campaign/ Workshop Urban Sanitation, Sewerage Management and Ground Water Pollution	**1**								
Total Opex for Urban			-	-	-	-	-	-	-	-
Small Towns Capex										
Rehabilitation of Oguta Water Scheme, Oguta LGA	Rehabilitation of existing boreholes	2								
	Replacement of 100 KVA Generator, transformer substation and Rehabilitation of generator house	2								
	Construction of one borehole.	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
		Construction of mini treatment plant	2								
		Rehabilitation of 150,000gallons concrete EWT	2								
		Replacement of 5km pipe network	2								
	Rehabilitation of Dim Nanume Water Scheme, Nwangele LGA	Rehabilitation of existing boreholes	2								
		Procurement and installation of 100KVA Generator, rehabilitation of generator house and replacement of transformer substation/accessories	2								
		Construction of one borehole.	2								
		Construction of mini treatment plant	2								
		Rehabilitation of 100,000 gallons Braithwaite EWT	2								
		Replacement of 5km pipe network	2								
	Rehabilitation of Awo Idemili water Scheme, Orsu LGA	**R**ehabilitation of 2 nos existing boreholes	2								
		Replacement of Generator set, rehabilitation of generator house and replacement of transformer substation/accessories	2								
		Construction of one borehole.	2								
		Construction of mini treatment plant	2								
		Complete rehabilitation of 100,000 gallons Braithwaite EWT	2								
		Replacement of 3km pipe network complete with all fittings and accessories	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Rehabilitation of Dikenafor water Scheme, Ideato South LGA	Rehabilitation of 2 nos existing boreholes	2								
		Procurement and installation of 100KVA Generator set, rehabilitation of generator house and replacement of transformer substation/accessories	2								
		Construction of one borehole.	2								
		Construction of mini treatment plant	2								
		Rehabilitation of 100,000 gallons Braithwaite EWT	2								
		Replacement of 3km pipe network.	2								
	Rehabilitation of Akokwa water Scheme, Ideato North LGA	Rehabilitation of 2 nos existing boreholes	2								
		Procurement and installation of 100KVA Generator, Rehabilitation of generator house and replacement of transformer substation/accessories	2								
		Construction of one borehole.	2								
		Construction of mini treatment plant	2								
		Rehabilitation of 50,000 gallons steel tank	2								
		Replacement of 3km pipe network complete with all fittings.	2								
		Rehabilitation of 2 nos existing boreholes.	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Rehabilitation of Nkwere water Scheme, Nkwerre LGA	Procurement and installation of 100KVA Generator set, rehabilitation of generator house and replacement of transformer substation/accessories	2								
		Construction of one borehole complete with accessories.	2								
		Construction of mini treatment plant	2								
		Rehabilitation of 150,000 gallons concrete EWT	2								
		Replacement of 5km pipe network complete with all fittings.	2								
	Rehabilitation of Umuelemai water Scheme, Isiala Mbano LGA	Rehabilitation of 2 nos existing boreholes.	2								
		Procurement and installation of 100KVA Generator, Rehabilitation of generator house and replacement of transformer substation/accessories	2								
		Construction of one borehole.	2								
		Construction of mini treatment plant	2								
		Complete rehabilitation of 150,000 gallons concrete EWT	2								
		Replacement of 5km pipe network.	2								
	Rehabilitation of Omuma water Scheme, Oru East LGA	Rehabilitation of 2 nos existing boreholes	2								
		Procurement and installation of 100KVA Generator, Rehabilitation of generator house and replacement of transformer substation/accessories	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
		Construction of one no borehole completes with accessories.	2								
		Construction of mini treatment plant	2								
		Construction of 100,000 gallons EWT with accessories	2								
		Replacement of 5km pipe network complete with all fittings.	2								
	Rehabilitation of Egbema water Scheme Ohaji Egbema LGA	Complete Rehabilitation of 2 nos existing boreholes.	2								
		Procurement and installation of 100KVA Generator, Rehabilitation of generator house and replacement of transformer substation/accessories	2								
		Construction of one nos borehole.	2								
		Construction of mini treatment plant	2								
		>> Construction of 100,000 gallons Braithewaite EWT	2								
		Replacement of 3km pipe network.	2								
	Rehabilitation of Ubachima Rural Water Scheme	Rehabilitate 160,000-gallon pressed steel tank.	2								
		Redevelop 2no borehole.	2								
		Drill 1no 200mm diameter borehole.	2								
		Complete overhaul of 40KVA generator and operator house	2								
		Replacement of 1km pipe network	2								
	Rehabilitation of Isieke Rural Water Scheme	Rehabilitation of 20,000 pressed steel tank	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
		Replacement of 1100KVA generator set	2								
		Replacement of faulty 20HP submersible pump/accessories.	2								
		Replacement of 2km pipe network	2								
	Rehabilitation of Umuezeali Rural Water Scheme	Rehabilitation of 20,000-gallon pressed steel tank.	2								
		Redevelopment of existing 2no borehole.	2								
		Procurement and installation of standard solar pump & modules.	2								
		Procurement and Installation of 1no 7.5HP submersible with accessories.	2								
		Replace faulty 27/KVA generator set and rehabilitate generator house.	2								
		Replacement of 1km pipe network.	2								
	Rehabilitation of Nempi Rural Water Scheme	Redrill and develop 1no 200mm diameter borehole.	**2**								
		Rehabilitation of 100,000-gallon concrete tant	**2**								
		Repair/install generator 40KVA and Rehabilitate generator house.	**2**								
		Replace faulty 10HP submersible pump/accessories.	**2**								
	Rehabilitation of Nsu Rural Water Scheme	Reactivate 100,000 gallon concrete tank.	**2**								
		Generator set/accessories.	**2**								
		Redevelopment of 200mm diameter borehole.	**2**								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
		Replacement of 15HP submersible pump and accessories.	2								
		Drill and equip new pump 200mm diameter borehole complete with 15KVA submersible pump and accessories	2								
		Rehabilitate generator house.	2								
		Replace Perkins Generator including accessories.	2								
		Allow for 1.0km pipe network with fittings.	2								
	Rehabilitation of Osuama Rural Water Scheme	Rehabilitation of 100,000 gallons concrete tank.	2								
		Redevelopment of 2no existing boreholes complete.	2								
		Replacement of 2nos 15HP submersible pump/accessories.	2								
		Procure and install 40KVA generator/accessories.	2								
		Complete rehabilitation of Generator house.	2								
		Allow for 2km pipe network.	2								
	Rehabilitation of Amaraku Rural Water Scheme	Redevelopment of existing boreholes (2nos) complete with all ancillary works.	2								
		Complete rehabilitation of 50,000-gallon pressed steel tank.	2								
		Rehabilitation of 60KVA generator set and generator house.	2								
		Replace 2nos 20HP submersible pump/accessories.	2								
		allow for 2km pipe network.	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Rehabilitation of Aguneze Rural Water Scheme	Rehabilitation of 100,000 gallon Braithwaite tank complete.	**2**								
		Redevelopment of existing boreholes	**2**								
		Replacement of faulty submersible pump and accessories with 30HP pumps/accessories.	**2**								
		Procure and install 100KVA Generator set and accessories	**2**								
		Rehabilitation of generator house.	**2**								
		1.5km pipe network.	**2**								
	Rehabilitation of Okpala Rural Water Scheme	Rehabilitation of 100,000-gallon Braithewaite tank complete.	**2**								
		Redevelop existing borehole including pulling of faulty pump and all ancillary works.	**2**								
		Procure and install 30HP submersible pump/accessories.	**2**								
		Rehabilitation of generator house complete.	**2**								
		Procure and install 60KVA generator complete with accessories.	**2**								
		Allow for 2km pipe network.	**2**								
	Nkwola Okpala Market Ngor-Okpala L.G.A	Building Six (6) set of toilets facilities equipped with flush systems and hand wash components.	2								
	Ahia Omuma Market – Oru East L.G.A.	Construction of water supply facilities	2								
	Ahia Ututu Market Orsu L.G.A	Drilling, Borehole of appropriate depth and diameter equipped with casing, submersible pump etc.	2								

Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
				2021	2022	2023	2024	2025	2026	2027
Nempi Market Oru West L.G.A	Installation of tank stand, storage reservoir etc.	2								
Umuagwo Market Ohaji Egbema L.G.A	Pipe network connections	2								
Oguta Market Oguta L.G.A	Provision of Power Supply	2								
Ekwereazu Market	Procure and Install 100KVA generator set complete with accessories including provision of Generator house connections and testing.	2								
1) Quality High School Mgberechi Ohaji Egbema L.G.A	Building Six (6) Set of Toilet facilities equipped with flush systems and sanitation components (Hand wash)	2								
2. Community Primary School Umuezegwu Ihitte Uboma L.G.A	CONSTRUCTION OF WATER SUPPLY FACILITIES	2								
4. Comm. School Obizi L.G.A	Drilling Borehole of appropriate diameter equipped with casings, submersible pump etc.	2								
5. Nsu Secondary School, Ehime Mbano L.G.A	Installation of tank stand, storage reservoir etc.	2								
6. Community School – Atta Njaba, Njaba L.G.A	Pipe network connections	2								
8. Osina Secondary School, Ideato North	Procure and install 60KVA, Solar System Complete with accessories including provision power room to house inverter connections and testing.	2								
Total Capex in Small Towns			-	-	-	-	-	-	-	-
OPEX for Small Towns										
Consultancy Services	Allow for consultancy, design and supervision	2								
Training and Advocacy	Allow for capacity building (Training) and advocacy.	1								
Project Management	Capacity Building/Project Management	2								

Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
				2021	2022	2023	2024	2025	2026	2027
Transportation	Procurement of 8 nos Hilux Vehicle	2								
Total Opex Small Towns			**-**	**0**	**0**	**0**	**0**	**0**	**0**	**0**
Capex for Rural Water Supply & Sanitation Agency										
Construction of Boreholes in Various Rural location in Imo State	Construction of 50 solar powered borehole; 1) Conduct geophysical surveys 2) Conduct bidding and award contracts 3) Construction of 50 Solar Borehole	2								
	Construction of 75 Conventional solar water scheme 1) Conduct geophysical surveys 2) Conduct bidding and award contracts 3) Construction of 75 Solar Borehole	2								
	Construction of 250 Hand pump borehole 1) Conduct geophysical surveys 2) Conduct bidding and award contracts 3) Construction of250 Solar Borehole	2								-
Construction of Toilets	Construction of improved and safely managed toilet facilities such a s 5 compartment Ventilated improved pit toilet, pour flush , water closets separate for boys and girls in 250 primary schools, 200 secondary schools,100 health centers and 100 market places and motor parks, abattoirs, other government offices in the rural communities	2								-

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Total Capex for Rural			-	-	-	-	-	-	-	-
	Opex for Rural										
	Strengthening Sectoral Coordination Activities/Trainings	Seminars, Workshops on WASH Sector Steering/Regulatory Activities. Trainings on Leadership and Management Skills Development, Monitoring Advocacy, Evaluation, Learning Skills and Governing Board Functions	1								
	Total Opex for Rural			-	-	-	-	-	-	-	-
	Ministry of Water Resources (OPEX)										
	Institutional Strengthening Activities	Institution Support for State Regulatory Commissioning State WASH Sector Steering Committee and all Institutions in the WASH Sector/Key stakeholders	1								
	Consultancy services	. Project Management, .Communication/Change .Project Preparation/Implementation .Monitoring and Evaluation .Designs, scoping, Preparation of Bid Documents TOR and SOWs	1								
	Total Intervention in Urban			-	-	-	-	-	-	-	-
				-	-	-	-	-	-	-	-
	Total Intervention in Small Towns			-	-	-	-	-	-	-	-
				-	-	-	-	-	-	-	-
	Total Intervention In Rural			-	-	-	-	-	-	-	-

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
				-	-	-	-	-	-	-	-
	Total Intervention in the Ministry			-	-	-	-	-	-	-	-
	Total			-	-	-	-	-	-	-	-
				-	-	-	-	-	-	-	-
	6% Contingency			-	-	-	-	-	-	-	-
	Total			-	-	-	-	-	-	-	-
Kaduna	**Capital Expenditures (CapEx)**										
	Water supply activities										
		Replacement of Asbestos Cement pipes of 41,802m in Kaduna Metropolis.	2								
		Alternative Power Supply at Kaduna 150mld & 90mld Water Treatment Plants.	2								
		Alternative Power Supply at Zaria 150mld Water Treatment Plant.	2								
		Extension of water supply to Northern Sector of Zaria (Makarfi)	2								
		Complete Automation of Commercial & Accounts Departments	2								
		Replacement of electrical components (control panels, switch gears and circuit breakers etc.)	2								
		Introduction of Smart Metering and Installation of Smart Meters	2								
		Purchase of water quality laboratory equipment/mobile testing kits	2								

Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
				2021	2022	2023	2024	2025	2026	2027
	Extension of Kafanchan Distribution of Water Supply	2								
	Replacement Both Low/High lift Pumps	2								
	Sanitation Activities									
	Consultancy for Multi-Towns sanitation Master Plan and Implementation plan.	1								
	6 pilot Fecal sludge Treatment Plants (stand- alone) in Urban 6 Nos (Kaduna 3 Nos. Zaria 2 Nos. & Kafanchan 1).	2								
	3 Pilot Fecal sludge Treatment Plants (stand- alone) in small towns (one in each of the 3 Senatorial Zones)	2								
	Incinerators and accessories	2								
	Weigh Bridge (Scale) and accessories	2								
	RUWASSA									
	WASH in schools, healthcare facilities and public places activities									
	Construction of Sanitation Facilities	2						-	-	-
	Construction of Water Facilities	2						-	-	-
Total CapEx			-	-	-	-	-	-	-	-
Operational Expenditures (OpEx)										
	Reform Activities									
	Institutional Reforms Urban water supply scheme	1					-	-	-	-
	Internal Reforms Multi-Town water supply scheme	1					-	-	-	-
	Internal Reforms Multi-Town sanitation scheme	1					-	-	-	-
	KADSWAC									
	Training and Institutional Capacity Building Activities									

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
		Capacity Building Urban water supply scheme	1								-
		Study Tour to 3 countries Urban water supply scheme	1								-
		Overseas Training Urban water supply scheme	1								-
		Capacity Building Multi-Town water supply scheme	1								-
		Capacity Building Multi-Town sanitation scheme	1								-
		Local Study Tour Multi-Town sanitation scheme	1								-
		RUWASSA									
		Institutional Strengthening and Capacity Building	1								
		REGULATORY SERVICE COMMISSION									
		Capacity Building (in and outside Nigeria)	1								
		Study Tour to 2 countries	1								
	Total OpEx			-	-	-	-	-	-	-	-
	Contingency (6%)			-	-	-	-	-	-	-	-
	Total			-	-	-	-	-	-	-	-
Katsina	**Capital Expenditures (CapEx)**										
	Provision of 600 Hand pump boreholes in communities of 26 LGAs SHAWN LGAs of Batsari, Batagarawa, Bakori, Baure, Charanchi, Dandume, Danmusa, Dutsinma, Faskari, Ingawa, Kaita, Kankara, Kafur, Kankia, Kurfi, Kusada, Mani, Malumfashi, Musawa, Matazu, Mai'adua, Safana, Sabuwa, Sandamu, Rimi, Zango and Non-SHAWN LGAs Mashi, Dutsi, Bindawa, Danja,		2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Funtua, Jibia, Katsina and Daura in order to increase access for the attainment of the SDG goals.										
	Provision of 30 Motorized solar powered Boreholes 24m3 Upvc tank on 6 meter stanchion with limited reticulation in the 26 LGAs SHAWN LGAs of Batsari, Batagarawa, Bakori, Baure, Charanchi, Dandume, Danmusa, Dutsinma, Faskari, Ingawa, Kaita, Kankara, Kafur, Kankia, Kurfi, Kusada, Mani, Malumfashi, Musawa, Matazu, Mai'adua, Safana, Sabuwa, Sandamu, Rimi, Zango and Non SHAWN LGAs Mashi, Dutsi, Bindawa, Danja, Funtua, Jibia, Katsina and Daura in order to increase access for the attainment of the SDG goals.		2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Construction of 86 Mini solar powered borehole at Health center with 3000litre capacity tank on 2meter tower (Mashi, Dutsi, Bindawa, Danja, Funtua, Jibia, Katsina, Batsari, Batagarawa, Bakori, Baure, Charanchi, Dandume, Danmusa, Dutsinma, Faskari, Ingawa, Kaita, Kankara, Kafur, Kankia, Kurfi, Kusada, Mani, Malumfashi, Musawa, Matazu, Mai'adua, Safana, Sabuwa, Sandamu, Rimi, Zango LGA)		2								
	construction of 86 number 2-blocks of 2-compartment male and female pour flush including hand washing facility in health center across the 34 LGAs of the State.		2								
	Construction of 200 Force-lift hand Pump boreholes in schools across the communities of the 34 LGAs of Katsina `State		2								
	Rehabilitation of Hand pump boreholes in 200 primary, Islamiyah and junior secondary schools across the 34 local Government Areas of katsina State of Batsari, Batagarawa, Bakori, Baure, Charanchi, Dandume, Danmusa, Dutsinma, Faskari, Ingawa, Kaita, Kankara, Kafur, Kankia, Kurfi, Kusada, Mani, Malumfashi, Musawa, Matazu, Mai'adua, Safana, Sabuwa, Sandamu, Rimi, Zango LGA and Non-SHAWN LGAs of Mashi,		2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Dutsi, Bindawa, Danja, Funtua, Jibia, Katsina and Daura LGA										
	Construction/Improvement of Sanitation facilities in the households of Rural communities using sanitation ladder		2								
	Community having achieved Community Sanitation status (ODF+)		2								
	Rehabilitation of Hand Pump boreholes in Communities across the 34 LGAs of Katsina State		2								
	Construction of 200 number 3-blocks of 2-compartment male and female pour flush including hand washing facility in primary, Islamiyah and junior secondary schools.		2								
	Rehabilitation and Upgrading of Existing VIPs (Latrines)		2								
	Construction of VIP Latrines		2								
	Purchase of 3Nos. Mobile Toilets		2								
	Rehabilitation of Existing Fecal Sludge Handling Equipment		2								
	Purchase of Sewage Vacuum Truck		2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Purchase of Fecal Sludge Tricycle		2								
	Purchase of Fecal Sludge Treatment Facility		2								
	Purchase of Monitoring Vehicles		2								
		Procurement and Installation of Electro-Mechanic Equipment (High lift Pumps and Fittings) and completion of Civil Works for Booster Station located at Kafin-Soli Town	2								
		Construction of Dedicated Injection Power Station to regulate Current Electricity in Zobe Water Works	2								
		Construction of Dedicated Injection Power Station to regulate Current Electricity in Dutsinma Water Works	2								
		Procurement and laying of 400mm and 300mm diameter 16bar uPVC Transmission Mains and associated Fittings (Sluice, Air Relief Valve, Fire Hydrant etc, from Dutsinma Town to Karofi, Radda, Kafin Soli to Kankiya Town, from Kafin Soli Booster Station to Charanci Town, from Safana Junction to Safana Town and from Tashar Bala to Rimi Town.	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
		Provision 100-150mm dia uPVC Distribution Network and associated Fittings (Sluice, Air Relief Valves, Fire Hydrant etc in Karofi, Radda, Kafin-soli, Kankiya, Charanci, Safana, Tsanni, Batagarawa, Rimi and Kurfi Towns	2								
		Rehabilitation/Replacement of existing Distribution Network and Expansion of 100-150mm dia uPVC Distribution Network and associated Fittings (Sluice, Air Relief Valves, Fire Hydrant etc in Dutsinma Town and Environ	2								
		Completion of Civil Works (Inlet and Outlet connections and Fittings) at 3No. 500m3 Concrete Ground Reservoirs constructed at Dutsinma, Karofi and Kankiya Towns and Elevated Concrete Reservoir at Kafin Soli Town	2								
		Construction of Elevated Steel Tanks at Safana, Charanci and Kankiya	2								
		Construction and instrumentation of 6NO. Hydrological Flow Gauging Station on 4NO. Major DAMs and 5NO Ground water observation Borehole in Katsina state.	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Upgrading of Malumfashi-Kankara Regional Water Supply Project	Upgrading the production capacity of existing 4,500m3/day Water Treatment Plant to 10,000m3/day (Construction of additional Clarifiers, Filter Beds, Sedimentation Tank at Malumfashi	2								
		Construction of Dedicated Injection Power Station to regulate Current Electricity in Malumfashi the Water Works	2								
		Rehabilitation/Replacement of existing Distribution Network and Expansion of 100-150mm 10bar uPVC Water Distribution Network Including Associated Fittings-Valves, Fire Hydrant etc at Malumfashi To wn and Environ	2								
		Provision of Water Treatment Plant, Water Transmission Main, Water Distribution Network and Storage at Kankara Town and provision of additional Raw Water reserve to augment the existing 10,000,000m3 Malumfashi Dam.	2								
		Construction of additional 2,200m3 Elevated Tank Concrete Tank at Malumfashi and 500m3 Elevated Steel Tank at Ketare Town	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Completion and upgrading of Danja-Kafur water Supply Project	Construction of 6,000m3 production Capacity Water Treatment Plant (Provision of Clarifiers, Filter Beds, High and Low lift Pumps etc) to Cover Danja, Gozaki, Dabai and Kafur Towns	2								
		Provision of 25Km 300-400mm dia uPVC Water Transmission Main from proposed Treatment Plant to Dabai and Danja Town and from proposed Water Treatment Plant to Kafur via Gozaki Town	2								
		Provision of 15Km long 150-200mm dia PVC Water Distribution Network at Danja, Gozaki and Kafur Towns	2								
		Provision of 2No.1,000m3 Elevated Tanks at Danja and Kafur and 500m3 at Gozaki Towns	2								
	Improvement Ajiwa Treatment Plant, Transmission Main and Katsina Distribution Network	Rehabilitation/Maintenance of Ajiwa Water Treatment Plant-Katsina Transmission Main	2								
		Construction of Dedicated Injection Power Station to regulate Current Electricity in Ajiwa Water Works	2								
		Rehabilitation/Replacement of existing Distribution Network and Expansion of 100-200mm dia uPVC Water Distribution Network at Katsina Metropolis and Environ	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Upgrading of Jibiya Water Treatment Plant, Storage and Distribution System	Rehabilitation of vandalized Power line and Construction of Dedicated Injection Power Station to regulate Current Electricity in Jibiya the Water Works	2								
		Construction of Transmission Main, Booster Station and Elevated Steel Tank in Batsari	2								
		Replacement of 25Km Transmission Main, Rehabilitation/Replacement of existing Distribution Network and Extension of 25Km 100-150mm dia uPVC Water Distribution Network at Jibiya Town	2								
		Replacement of 25Km Transmission Main (300mm-350mm dia) and Extension of 25Km 100-150mm dia uPVC Water Distribution Network at Batsari Town	2								
		Rehabilitation of existing 6,000m3/Day Water Treatment Plant serving Jibiya Town (Chemical Dosing Room, Fittings and Storm Water Drainage) to allow for extension of supply to Batsari Town.	2								
	Improvement of Power Supply to Sabke Water Treatment Plant, Rehabilitation of Daura	Construction of Dedicated Injection Power Station to regulate Current Electricity at Sabke Water Works	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Borehole Scheme, Upgrading of Sabke Water Treatment Plant and Expansion of Daura Pumping Main and Distribution Network	Procurement and Installation of 2No. 350KVA Generating Sets and Rehabilitation and Procurement of Submersible, Booster Pumps for Daura and Sandamu Borehole Schemes including rehabilitation of electric power connections	2								
		Upgrading the production capacity of existing 7,000m3/day Water Treatment Plant to 50,000m3/day (Construction of additional Clarifiers, Filter Beds, Sedimentation Tank and Concrete Elevated Reservoir) at sabke town	2								
		Expansion of 100-150mm dia uPVC Water Pumping Main, Rehabilitation/Replacement of existing Distribution Network and Expansion Distribution Network in Daura and Sandamu Towns and Construction of 2,200m^3 Surface Tank at Dunu Booster Station	2								
	Rehabilitation of Mairua and Gwaigwaye Dam and Expansion of Water Distribution Network in Funtua Town and Improvement of Power Supply to Funtua Old and New Water Treatment Plant	Rehabilitation of Mairua and Gwaigwaye Dam (Embankment and Instrumentation)	2								
		Construction of Dedicated Injection Power Station to regulate Current Electricity in the Water Works at mairua and gwaigwaye.	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
		Rehabilitation of Old and New Water Treatment Plants Works include general renovation of Pumps Stations, Clarifiers, Filter Beds and provision of Aeration chamber to improve Raw Water Quality	2								
		Rehabilitation/Replacement of existing Distribution Network and Expansion of Funtua, Bakori and Dandume Water Distribution Network using 150-200mm dia uPVC Pipes and Fittings	2								
	Refurbishment of Laboratories and Procurement of Laboratory Equipment and Reagents including Chemical Dosing Pumps at Ajiwa, Sabke, Dutsinma, Malumfashi, Jibiya and Funtua Water Treatment Plants		2								
	Construction of 8New Schemes		2								
	Expansion of 14No. Schemes		2								
	Rehabilitation of 6No Schemes		2								
	Total Capex			**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**
	Operational Expenditures (OpEx)										
	Conduct of Baseline Survey to Carry out Inventory of Existing water facilities in the rural communities across the 34 local Government Areas of the State to determine the functionality of facilities		1								
	Establishment/Strengthening of WASHCOM across the 34 LGAs of katsina State		1								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Build Capacity of Management and Staff of RUWASSA and LGA WASH Department staff across the 34 LGAs of Katsina state.		1								
	Procurement of computers printers' operational vehicles and office furniture		1								
	Capacity Building of Monitoring and Evaluation Personnel and Sanitation and Hygiene officer at the State RUWASSA and LGAs		1								
	Support RUFIN and Adashe activity for Sanitation Marketing to support TBOs through Microfinance loan so as to provide material at cheaper rate needed in construction/improvement of Toilet or VIP Latrines for rural dwellers		2								
	Purchase of PPES		2								
	Project Management and Logistics		1								
	Institutional Strengthening and Capacity Building of Katsina WASH Sector	To outline development strategies for Water Resources based planning to a target horizon by development of WASH Investment Master Plan (Inclusive of Updating of WASH Action Plan, Baseline Survey of WASH Facilities across Katsina State).	1								
	Training for Technical Personnel of Water Board and Management	Institutional strengthening, restructuring and update of water supply Policy and organization for efficient service delivery	1								

Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
				2021	2022	2023	2024	2025	2026	2027
Promotion of Clean-Nigeria Use the Toilet Campaign Project	Procurement of Operational Vehicles for advocacy and Monitoring of WASH activities and Procurement of Sewage evacuation Vehicles in 30 communities of tertiary institutions in katsina State.	1								
	Seminar and Workshops for major stake holders in tertiary Institutions and Training to improve hygiene habit for communities in tertiary institutions	1								
	To organize regular sensitization campaign on the need for sustainability of the declaration of open defecation free commumity by engaging NGOs and CSOs participation	1								
	Construction/improvement VIP latrines and Provision of Mobile toilets and provision of Group hand washing facilities in 30NO. Tertiary institutions	2								
	Train the Trainers workshops and seminars for the engaged 3,400 Youths under the National Youth Engagement for WASH and open defecation Programme.	1								
Project feasibility studies and design (Reforms)		1								
Purchase of Vehicles and Office Equipment		1								
Capacity Building		1								
Total Opex			**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**
Contingency (6%)			**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**
Total			**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
Plateau	Capital Expenditures (CapEx)										
	Rehabilitation of production facilities at Yakubu Gowon treatment plant	supply and install 4 no. low lift pumps with control panels (995m3/h)	2								
		replacement of 2 No. (950m3/h) high lift pumps)	2								
		supply and install chemical dosing (a) Alum - 4 No. (b) Clorine - 2 No.	2								
		replacement of complete chemical dosing network	2								
		replacement of 2 No. Lamela package treatment	2								
		replacement of 2 No. Flocculation mixers	2								
		replacement of butterfly valves	2								
		replacement of 1 No. 1.25MVA transformer at Yakubu Gowon Treatment Plant	2								
		Installation of protection devices for 1 No. Transformer	2								
		extension of pipeline distribution network to new settlements under Yakubu Gowon Treatment Plant	2								
		Type = DI									
		Diameter = 300mm									
		Length = 5km									
		Diameter = 200mm									
		Length = 5km									
		Type = HDPE (!16bar)									
		Diameter = 150mm									
		Length = 15km									
		replacement of 3 No. 341m3/h clear water pump	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
		replacement of 3 No. (600m3/h) high lift pumps)	2								
		replacement of dosing pumps (a) 2 No. Alum (b) 4 No. Lime (c) 2 No. Chlorine with complete network	2								
		replacement of electric panel 600m3/h to motorized valve	2								
		replacement of 2-inch 6 No. Inlet valve at dosing station	2								
		replacement of foot valve at tanker lifting point	2								
		purchase of water quality laboratory equipment (Central Laboratory)	2								
	Rehabilitation of production facilities at Laminga treatment plant	Installation of protection devices for 1 No. Transformer	2								
		extension of pipeline distribution network to new settlements under Laminga Treatment Plant	2								
		Type = DI									
		Diameter = 300mm									
		Length = 2.5km									
		Diameter = 200mm									
		Length = 2.5km									
		Type = HDPE (!16bar)									
		Diameter = 150mm									
		Length = 7.5km									
	Rehabilitation of production facilities at Yelwa treatment plant	supply, install Low lift pump with control panel Q = 120m3/hr, H = 80m, rpm = 2900 1/min, 50Hz, Suction = 150mm, Discharge = 150mm	2								
		provision for standard replacement of the control panel at the High Lift Pump	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
		supply and install 6 nos chemical dosing pump set for each of soda ash and chlorine with pumping rate 350liters/hr and 5bar working pressure, complete with accessories	2								
		2 nos backwash pump installation	2								
		purchase of 500KVA Generator for Yelwa Treatment Plant	2								
		Installation of protection devices for 1 No. Transformer	2								
		extension of pipeline distribution network to new settlements under Yelwa Treatment Plant	2								
		Type = DI									
		Diameter = 300mm									
		Length = 2.5km									
		Diameter = 200mm									
		Length = 2.5km									
		Type = HDPE (!16bar)									
		Diameter = 150mm									
		Length = 7.5km									
	Rehabilitation of production facilities at Nabor Gwom treatment plant	Installation of protection devices for 1 No. Transformer	2								
	New metered household connections	procurement and installation of 50,000 No. household meters	2								
	Rehabilitation of Langtang treatment plant	low lift pump and panel	2								
		high lift pump and panel	2								
		dosing pumps	2								
		filter media	2								
		Network Distribution	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
		rehabilitation of service reservoir	2								
	Rehabilitation of Bokkos treatment plant	distilling of hydraulic weir	2								
		low lift pump and panel	2								
		high lift pump and panel	2								
		dosing pumps	2								
		filter media	2								
		procurement of 200KV transformer	2								
		Pipe reticulation for 25km	2								
		procurement of 300KV generator	2								
	Wase Ground water works	drilling and installation of 10 No. New Boreholes	2								
		construction of 500m3 overhead tank	2								
		procurement and installation of 500m3/day package treatment plant	2								
		procurement of 200KV transformer	2								
		Pipe reticulation for 25km	2								
		procurement of 300KV generator	2								
	Dengi Ground water works	drilling and installation of 10 No. New Boreholes	2								
		construction of 500m3 overhead tank	2								
		procurement and installation of 500m3/day package treatment plant	2								
		Pipe reticulation for 25km	2								
		procurement of 200KV transformer	2								
		procurement of 300KV generator	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Ba'ap Ground water works	drilling and installation of 10 No. New Boreholes	2								
		construction of 500m3 overhead tank	2								
		procurement and installation of 500m3/day package treatment plant	2								
		construction of transmission and distribution line	2								
		Pipe reticulation for 25km	2								
		procurement of 200KV transformer	2								
		procurement of 300KV generator	2								
	Barkin-Ladi Ground water works	drilling and installation of 10 No. New Boreholes	2								
		construction of 500m3 overhead tank	2								
		procurement and installation of 500m3/day package treatment plant	2								
		Pipe reticulation for 25km	2								
		procurement of 100KV transformer	2								
		procurement of 250KV generator	2								
	Kabwir Ground water works	drilling and installation of 5 No. New Boreholes	2								
		construction of 300m3 overhead tank	2								
		procurement and installation of 300m3/day package treatment plant	2								
		Pipe reticulation for 25km	2								
		procurement of 100KV transformer	2								
		procurement of 250KV generator	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Tunkus Ground water works (Mikang LGA)	drilling and installation of 5 No. New Boreholes	2								
		construction of 300m3 overhead tank	2								
		procurement and installation of 300m3/day package treatment plant	2								
		Pipe reticulation for 25km	2								
		procurement of 100KV transformer	2								
		procurement of 250KV generator	2								
	Panyam Ground water works	drilling and installation of 5 No. New Boreholes	2								
		construction of 300m3 overhead tank	2								
		procurement and installation of 300m3/day package treatment plant	2								
		Pipe reticulation for 25km	2								
		procurement of 100KV transformer	2								
		procurement of 250KV generator	2								
	Construction of Water Supply Transmission and distribution Line from Head works at Gindiri to Mangu Town (18 Km)	Type = DI (DN300)	2								
		Diameter = 300mm	2								
		Length = 18km	2								
	Construction of 1 No. 5,000 M3 Ground Service Reservoir at Mangu	1No. 5,000m3 Concrete ground tank	2								
	Provision of 850 Water sources (425 new water and 425 rehabilitate) to allow 425,000 people have access to safe drinking water in the 17 LGAs of the State	Construction of 340 Hand Pump Boreholes 1 each in 20 Communities of 15 LGAs	2								
		Construction of 85 New Simple Solar Panel Boreholes 1 each in 5 Communities of the 17 LGAs of the State	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
		Rehabilitation of 340 Hand Pump Boreholes (20 HPBH in each of the 17 LGAs of the State)	2								
		Upgrading of 85 Hand Pump Boreholes to Simple Solar Pump Boreholes (5 SPBH in each of the 17 LGAs of the State)	2								
	Implement and Conduct procedures for establishing and maintaining Standards of Rural Water Quality in the 17 LGAs of the State	Implement WSP in 1700 Communities (100 per LGA) in the 17 LGAs of the State	2								
		conduct RWQ Surveillance in 850 Communities (50 per LGA) in the 17 LGAs of the State	2								
	Household latrine (poor flush with septic tank and soak away) 2,000 No. in Urban Areas	Construction of 2,000 No. Latrines Pour Flush with septic tank	2								
	Household latrine (poor flush with septic tank and soakaway) 1,000 No. in Small Towns	Construction of 1,000 No. Latrines Pour Flush with septic tank in Small Towns	2								
	Train WASH Department Officers, Trigger and Follow Up Visits in all Communities of the State to attain Open Defecation Free Status (ODF)	Trigger and Follow Up Visits to rural communities in LGAs of the State (atleast 1 LGA per Senatorial Zone) to attain Open Defecation Free Status (ODF)	2								
	Form and Train 340 Environmental Hygiene Clubs in the State	Formation and Training of 170 School Sanitation and Hygiene Clubs/Follow up visit	2								
	Train 6,000 Women, Adolescent and Men on Management of Menstrual Hygiene Cycles in the State	Train 6,000 Women on Management of Menstrual Hygiene in Communities of the State	2								
	construction of 4 compartment VIP Latrines in 170 Nos Motor parks and construction of Solar	10 in each LGA	2								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
	Powered Borehole with overhead tank										
	Support the Provision of Water and Sanitation Facilities in Public Primary and Secondary School in the State	Support the provision of 340 Sanitation Facilities in Schools in 170 Primary Schools (i.e. 10 Primary School per LGA) in 170 LGAS of the State	2								
		Support the provision of 102 Sanitation Facilities in 51 Primary Healthcare Centres (i.e. 3 PHC per LGA) in 17 LGAS of the State	2								
	construction of 4 compartment VIP Latrines in 85 markets and construction of Solar Powered Borehole with overhead tank	5 in each LGA	2								
	construction of 4 compartment VIP Latrines in 170 Worship centers and construction of Solar Powered Borehole with overhead tank	10 in each LGA	2								
	Total CapEx			-	**0**	-	-	-	-	-	-
	Operational Expenditures (OpEx)										
	Project Implementation Unit (PIU)	Review of Water Supply Policy	1								
		Development of State Sanitation Policy	1								
		Development of WASH Sector Information and Communication Strategy	1								
		Review of ODF Roadmap	1								
		Review of State WASH Monitoring and Evaluation Framework and Maintain M&E Systems and Capacity Building	1								

	Program Interventions and sub-interventions (if applicable)		Result Area	Total Amount (US$)	Yearly projections of program expenditures (US$)						
					2021	2022	2023	2024	2025	2026	2027
		Engagement of Consultants to provide support and capacity to address gaps from assessment e.g. Environment	1								
		Operating cost for SPIU	1								
		Capacity Building to improve performance and efficiency	1								
	Total OpEx			-	-	-	-	-	-	-	-
	Contingency (6%)			-	-	-	-	-	-	-	-
	Total			-	-	-	-	-	-	-	-
	TOTAL PROGRAM FINANCING										

Appendix 5. FINANCIAL REPORTING TEMPLATES

Schedule 1: Disbursement Provisions under the Program

<table>
<tr><th colspan="6">Basic Information</th></tr>
<tr><td rowspan="3">Credit Number</td><td rowspan="3">6882-NG</td><td>Country</td><td>Federal Republic of Nigeria</td><td>Closing Date</td><td>Section IV (4) of Schedule 2 to the Financing Agreement.</td></tr>
<tr><td>Recipient</td><td>Federal Ministry of Finance</td><td rowspan="2"></td><td rowspan="2"></td></tr>
<tr><td>Name of the Program</td><td>Nigeria Sustainable Urban and Rural Water Supply, Sanitation and Hygiene Program</td></tr>
<tr><td colspan="4"></td><td>Disbursement Deadline Date</td><td>Six months after the closing date.</td></tr>
<tr><th colspan="6">Disbursement Methods and Supporting Documentation</th></tr>
<tr><td colspan="2">Disbursement Methods</td><td>Methods</td><td colspan="3">Supporting Documentation</td></tr>
<tr><td colspan="2">Reimbursement (financing of achieved results) - Payment</td><td>Yes</td><td colspan="3">Confirmation issued by the World Bank</td></tr>
<tr><td colspan="2">Advance</td><td>Yes</td><td colspan="3">Confirmation issued by the World Bank as per attachment 3</td></tr>
<tr><th colspan="6">Advances</th></tr>
<tr><td colspan="2">Financial Institution - Name</td><td colspan="2">Not Applicable</td><td>Ceiling</td><td>Not Applicable</td></tr>
<tr><td colspan="4"></td><td>Currency</td><td>Not Applicable</td></tr>
<tr><td colspan="4"></td><td>Amount</td><td>Not Applicable</td></tr>
<tr><td colspan="6">Authorized Signatures The form for Authorized Signatories Letter is provided in Attachment 1 of this letter
Withdrawal and Documentation Applications</td></tr>
<tr><td colspan="6">i) Authorized Signatures and (ii) Applications
The address for the new ASL letter; and the Withdrawal Applications and its supporting documentation will be electronically sent via the Bank's system Client Connection.
The World Bank, Loan Department,
Delta Center, 13th Floor,
Upper Hill, Menengai Road,
P.O. Box 30577 - 00100
Nairobi, Kenya.
Tel: 254 20 2936 000</td></tr>
<tr><th colspan="6">Additional [Information][Instructions]</th></tr>
<tr><td colspan="6">The IDA Credit proceeds of the Program results component will be disbursed to the Special Fund Account, at the CBN, opened by PIU, which serves as a sub-account of the Federal Government's TSA</td></tr>
<tr><th colspan="6">Other</th></tr>
<tr><td colspan="6">As there are lapsed loans in the Nigeria portfolio, the advance method will not be allowed until these loans are closed in our records. These remedies are applied as per paragraph 202 and 203 of the Disbursement Handbook</td></tr>
</table>

Schedule 2: Disbursement Provisions under the Project

<table>
<tr><th colspan="6">Basic Information</th></tr>
<tr><td colspan="6"></td></tr>
<tr><td rowspan="3">Credit Number</td><td rowspan="3">6882-NG</td><td>Country</td><td>Federal Republic of Nigeria</td><td rowspan="2">Closing Date</td><td rowspan="2">Section IV (4) of Schedule 2 to the Financing Agreement.</td></tr>
<tr><td>Recipient</td><td>Federal Ministry of Finance</td></tr>
<tr><td>Name of the Project</td><td>Nigeria Sustainable Urban and Rural Water Supply, Sanitation and Hygiene Program</td><td>Disbursement Deadline Date
Subsection 3.7 **</td><td>Six months after the closing date.</td></tr>
<tr><th colspan="6">Disbursement Methods and Supporting Documentation</th></tr>
<tr><td colspan="2">Disbursement Methods
Section 2 (**)</td><td>Methods</td><td colspan="3">Supporting Documentation
Subsections 4.3 and 4.4 (**)</td></tr>
<tr><td colspan="2">Direct Payment</td><td>Yes</td><td colspan="3">Copy of records</td></tr>
<tr><td colspan="2">Reimbursement</td><td>Yes</td><td colspan="3">Interim Financial Report (IFR) in the format provided in Attachment 2 of the DFIL</td></tr>
<tr><td colspan="2">Designated Account</td><td>Yes</td><td colspan="3">Interim Financial Report (IFR) in the format provided in Attachment 2 of the DFIL</td></tr>
<tr><td colspan="2">Special Commitments</td><td>Yes</td><td colspan="3">Copy of Letter of Credit</td></tr>
<tr><th colspan="6">Designated Account (Sections 5 and 6 **)</th></tr>
<tr><td colspan="2">Type</td><td colspan="2">Segregated</td><td>Ceiling</td><td>Variable</td></tr>
<tr><td colspan="2">Financial Institution - Name</td><td colspan="2">DA-A to be established at Central Bank of Nigeria for FPIU
DA-B through DA-H To be established at a financial institution acceptable to the Association</td><td>Currency</td><td>USD</td></tr>
<tr><td colspan="2">Frequency of Reporting Subsection 6.3 (**)</td><td colspan="2">Monthly</td><td>Amount</td><td>Based on the 6-month forecast included in the Interim Financial Report</td></tr>
<tr><th colspan="6">Minimum Value of Applications (subsection 3.5)</th></tr>
<tr><td colspan="6">The minimum value of applications for Reimbursement, Direct Payment and Special Commitment is USD 100,000.00 [equivalent].</td></tr>
<tr><th colspan="6">Authorized Signatures (Subsection 3.1 and 3.2 **) The form for Authorized Signatories Letter is provided in Attachment 1 of this letter
Withdrawal and Documentation Applications (Subsection 3.3 and 3.4 **)</th></tr>
<tr><td colspan="6">i) Authorized Signatures and (ii) Applications
The address for the new ASL letter AND the Withdrawal Applications and its supporting documentation will be electronically sent via the Bank's system Client Connection.
The World Bank, Loan Department,
Delta Center, 13th Floor,
Upper Hill, Menengai Road,
P.O. Box 30577 - 00100
Nairobi, Kenya.
Tel: 254 20 2936 000</td></tr>
<tr><th colspan="6">Additional Information Instructions</th></tr>
<tr><td colspan="6">DA-A is to be handled by FPIU- Federal Program Implementation Unit (FPFMD)

DA-B through DA-H are to be handled by each of the SPIU – State Program Implementation Unit (PFMUs), 7 selected states.</td></tr>
</table>

Should any State be selected in future, after meeting all the criteria, the disbursement arrangements will apply and a Designated Account be assigned for each of these states.
Other
The Designated Accounts shall have project accounts in Local Currency open in the same Financial Institution of the DA, and transfers to the project accounts should be done on a need basis to avoid any exchange rates losses. As there are lapsed loans in the Nigeria portfolio, the advance method will not be allowed until these loans are closed in our records. These remedies are applied as per paragraph 202 and 203 of the Disbursement Handbook

*** Sections and subsections relate to the "Disbursement Guidelines for Investment Project Financing", dated February 2017.*

Attachment 1

Form of Authorized Signatory Letter

[Letterhead]
Ministry of Finance
[Street address]

[DATE]
The Association
1818 H Street, N.W.
Washington, D.C. 20433
United States of America

Attention: [Country Director]

Re: IDA Credit 6882-NG
Nigeria Sustainable Urban and Rural Water Supply, Sanitation and Hygiene Program

I refer to the Financing Agreement ("Agreement") between the International Development Association (the "Association")[, acting as implementing of the][1] and [*name of recipient*] (the "Recipient"), dated _____, **providing the above [Grant] [Credit]. For the purposes of Section 2.03 of the General Conditions as defined in the Agreement, any [2][one] of the persons whose authenticated specimen signatures appear below is authorized on behalf of the Recipient to sign applications for withdrawal [and applications for a special commitment] under this [Grant] [Credit].**

For the purpose of delivering Applications to the Association, including by electronic means, [3][each] of the persons whose authenticated specimen signatures appears below is authorized on behalf of the Recipient, acting [4][individually] [5][jointly], to deliver Applications, and evidence in support thereof on the terms and conditions specified by the Association.

This confirms that the Recipient is authorizing such persons to accept Secure Identification Credentials (SIDC) and to deliver the Applications and supporting documents to the Association by electronic means. In full recognition that the Association shall rely upon such representations and warranties, including without limitation, the representations and warranties contained in the *Terms and Conditions of Use of Secure Identification Credentials in connection with Use of Electronic Means to Process Applications and Supporting Documentation* ("Terms and Conditions of Use of SIDC"), the

---

[1] Instruction to the Recipient: add text in line with the Grant Agreement if applicable; if not applicable delete it. *Please delete this footnote in final letter that is sent to the Associations*

[2] Instruction to the Recipient: stipulate if more than one person needs to sign Applications, and how many or which positions, and if any thresholds apply. *Please delete this footnote in final letter that is sent to the Association.*

[3] Instruction to the Recipient: stipulate if more than one person needs to *jointly* sign Applications, if so, please indicate the actual number. *Please delete this footnote in final letter that is sent to the Association.*

[4] Instruction to the Recipient: use this bracket if any one of the authorized persons may sign; if this is not applicable, please delete. *Please delete this footnote in final letter that is sent to the Association.*

[5] Instruction to the Recipient: use this bracket only if several individuals must jointly sign each Application; if this is not applicable, please delete. *Please delete this footnote in final letter that is sent to the Association.*

Recipient represents and warrants to the Association that it will cause such persons to abide by those terms and conditions.

This Authorization replaces and supersedes any Authorization currently in the Association records with respect to this Agreement.

[Name], [position] **Specimen Signature: _____**

[Name], [position] **Specimen Signature: _____**

[Name], [position] **Specimen Signature: _____**

Yours truly,

/ signed /

_____
[Position]

Attachment 2 (IFR)

SURWASH
DESIGNATED ACCOUNT ACTIVITY STATEMENT FOR THE PERIOD ENDED XXXX

	USD	USD
PART 1		
1 Cumulative Advances to the end of Current Period	x	
2. Cumulative Expenditures to the end of last reporting period	x	
3. Outstanding Advances to be accounted for (line 1 minus line 2)		**x**
PART II		
4. Opening Designated Account at the beginning of reporting period	x	
5. **Add/Subtract:** Cummulative Adjustments (if any)	x	
6. **Add:** Advances from World Bank during the reporting period	x	
7. Outstanding Advances to be accounted for (4+5+6)		**x**
PART III		
8. Closing Designated Account Balance at end of reporting period	x	
9. **Add/Subtract**: Cummulative Adjustments (if any)	x	
10. **Add**: Expenditures for current reporting period	x	
11. Outstanding Advances to be accounted for (4+5+6)		**x**
12. Difference if any (line 7 minus line 13)		

Note: All USD DA bank account statements for the current semester period to be provided

SURWASH - IFR TEMPLATE (CONSOLIDATED - IPF)

SOURCES AND USES OF FUNDS FOR THE SEMESTER ENDED XXX		CURRENT SEMESTER USD	YEAR TO DATE USD	CUMULATIVE TO DATE USD	NGR	NGR	NGR
RECEIPTS							
Advances							
Replenishments							
Reimbursements							
Direct Payments							
Other sources							
TOTAL SOURCES	**A**						
EXPENDITURES							
Category 10 - Goods, consulting services, non-consulting services, Training and Workshops, and Operating Costs under the Project							
TOTAL EXPENDITURES	**B**						
RECEIPTS LESS EXPENDITURES	C=A-B						
ADD: EXCH. DIFF	D						
NET CHANGE IN CASH	E=C+D						
OPENING CASH BALANCES							
DESIGNATED ACCOUNT							
DRAWDOWN ACCT							
TOTAL OPENING CASH BALANCES	**F**						
NET CASH AVAILABLE	G=E+F						
CLOSING CASH BALANCES							
DESIGNATED ACCOUNT							
DRAWDOWN ACCT							
TOTAL CLOSING CASH BALANCES	**H**						

Please put as footnote the exchange rates used.

a. Opening Exchange Rate

b. Closing Exchange Rate

SURWASH

USES OF FUND BY COMPONENTS FOR THE SEMESTER ENDED XXX

		CURRENT SEMESTER		YEAR TO DATE			CUMMULATIVE TO DATE		
PROJECT COMPONENTS (IPF)	**PLANNED**	**ACTUAL**	**VARIANCE**	**PLANNED**	**ACTUAL**	**VARIANCE**	**PLANNED**	**ACTUAL**	**VARIANCE**
	USD								
COMPONENT 1									
Sector Policy and Strategy Support to the FMWR									
COMPONENT 2:									
Strengthening national WASH structures critical to Program delivery									
COMPONENT 3									
Development of National WASH Management Information System (MIS)									
COMPONENT 4									
Technical, Environmental, Social, and Fiduciary Systems Capacity Building within Sector Institutions									
TOTAL EXPENDITURES									

Note: Variances over 15% to be explained

Sample Form for Advances

[Ministry/Implementing Agency Letterhead]

[Date]

Loan Department – [name of Regional Center]
The World Bank
[address of regional center]
Attention: [name of regional center team lead]

Subject: Re: IDA Credit 6882-NG Nigeria Sustainable Urban and Rural Water Supply, Sanitation and Hygiene Program - Request for Advance

Dear Sir/Madam,

We refer to the Financing Agreement between the International Bank for Reconstruction and Development (the "World Bank") and [insert the name of the Borrower] (the "Borrower") dated [insert date] providing for the above Credit.

In accordance with the provisions of the Disbursement Letter and Schedule ___, Section _____ of the Financing Agreement, to support the implementation of the above Program and to facilitate the achievement of the planned results, we request an Advance in the amount of [insert amount] [1].

[We request that the Advance be disbursed in [currency requested for disbursement] equivalent to the Total Advance Requested above.][2] We acknowledge that the amount disbursed will be charged to the Credit Account in the currency of the Financing at the rate of exchange in effect at the time of commitment.

Sincerely,

[insert Name, and Position][3]

[1] The Proposed Advance should be in the currency of the DLI/DLR as set out in the disbursement table in the Financing Agreement, and in accordance with provisions in the Disbursement and Financial Information Letter. Normally, this is the currency of commitment of the credit.

[2] Use this text to designate the currency of the Advance if it should be different from the currency set out in the disbursement table in the Financing Agreement.

[3] To be signed by a representative of the implementing/coordinating agency of the Borrower, OR by the person(s) authorized on behalf of the Borrower to sign applications for withdrawal under the credit as set out in the applicable Authorized Signatory Letter.

Templates for

Disbursement and Financial Information Letter (DFIL)

i). Formats for Interim unaudited Financial Reports (IFR)

ii). Formats for submission of withdrawal applications for funds against achievement of DLIs

iii). Authorized Signatory letter format

iv). Request for Advance Format

Appendix 6. FUND RELEASE POLICY TEMPLATE

NG SURWASH - Funds Release Policy

XXXX (*Insert name of the State*) State Ministry of Finance

Issuing Authority	XXXX State Government (XXSG)
Supersedes	Any other earlier dated policy
Version	001
Ratified by	
Date Ratified	
Author(s)	Ministry of Finance, Ministry of Budget/Economic Planning
Responsible Officer (s)	Commissioner of Finance, Commissioner of Budget/Economic Planning
Date Issued	
Review Date	
Users	All Staff Members in the Ministry of Finance, Ministry of Budget/Economic Planning, Office of the Accountant General of the state
To be read in conjunction with:	All Extant Laws, Instructions and Rules
Published by:	Ministry of Finance
Effective Date	

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Guidelines for Funds Availability

MINISTRIES, DEPARTMENTS AND AGENCIES (MDAs) IMPLEMENTING NG SURWASH

Policy Purpose and Scope

This document establishes the Funds Release Policy for the Ministries, Departments and Agencies (MDAs) implementing the NG SURWASH program in XXXX state.

Objectives

The objectives of the XXSG NG SURWASH Funds Release Policy include:

- to facilitate timely availability of funds to MDAs implementing NG SURWASH program
- i mproved predictability and availability of funds to MDAs implementing NG SURWASH program for better planning and program execution
- expedited processing of funding requests to MDAs implementing NG SURWASH program

Definition of Terms

- **Consolidated Revenue Fund (CRF):** This is the fund where all government revenue accrues whether from taxes, Federal Government allocation or other sources. All government expenditures are made from this fund except for exceptional items that are made from contingency or special accounts that are meant for the purposes stated. All expenditures from this fund are made as appropriated by the State House of Assembly.
- **State:** Means XXXX State of Nigeria created by virtue of section 3 of the 1999 Constitution of the Federal Republic of Nigeria (as amended).
- **XXXX State Government (XXSG):** Means the executive arm of XXXX State Government.

- **XXXX State House of Assembly (XXHA):** Means the legislative arm of government created by virtue of section 90 of the 1999 Constitution of the Federal Republic of Nigeria (as amended).
- **MDAs implementing NG SURWASH program in the state:** Indicate the relevant MDAs here
- It is the policy of XXSG to release funds to MDAs implementing NG SURWASH program from the subaccount of CRF wherein NG SURWASH program funds are held.
- Funds will be made available to the MDAs implementing NG SURWASH program based on the year's approved budget.
- Expenditures of the MDAs implementing NG SURWASH program must be in line with their approved budget.
- Funding requests by the MDAs implementing NG SURWASH program will be processed following expedited approach and shall be disbursed within two weeks of request but not more than four weeks of making the request.
- Chairman of the NG SURWASH State Steering Committee will be expected to play a pivotal role in the prompt release of funds to MDAs implementing NG SURWASH program.
- Funds are available for utilisation only through the approved operational accounts.
- Monthly returns of all fund's utilisation must be made to the Office of the Accountant General of the State with supporting documentation. Copy of the monthly funds' utilisation report shall be submitted to the Chairman of the NG SURWASH State Steering Committee.
- Monthly returns of expenditures will be made by the MDAs implementing NG SURWASH program to the Final Accounts Unit of the Office of the Accountant General of the State within the first two weeks of the new month, and a copy should be provided to the Project Accountant in the SPIU.

Approved

HE Governor

Appendix 7. PROTOCOL ON ANTI CORRUPTION GUIDELINES COMPLIANCE IN PforR OPERATIONS

Pursuant to Section I.C.1(a)(iv) of the Financing Agreement dated September 17, 2021 (the "Financing Agreement") between the Federal Republic of Nigeria (the Recipient) and the International Development Association (the Association), this Protocol sets out arrangements for implementing the Anti-Corruption Guidelines (ACGs) and otherwise addressing issues of Fraud and Corruption (as such term is defined in the Financing Agreement) in connection with the Nigeria Sustainable Urban and Rural Water Supply, Sanitation and Hygiene Program (the "Program").

- **Reporting**. For purposes of Section 6 of the ACGs, the SURWASH National Program Coordinator, Engr. Abdulhamid Gwaram, will collect, consolidate and provide the Bank, on a semi-annual basis, with a report on (1) any credible and material allegations and other indications of fraud and corruption under the Program which come to the attention of Recipient during such period, (2) any investigations launched by the EFCC into such allegations, and (3) any remedial or corrective actions taken or planned in response to such allegations or the findings of such investigations.

  Reports will be included in the Progress Reports provided to the Bank by FMWR-FPIU pursuant to Section III of Schedule 2 to the Financing Agreement. If there are no allegations received or investigations or remedial actions undertaken during the reporting period, the Progress Report will so note.[7] A template for reporting is appended to this Protocol.

- Where such allegations might constitute a serious risk to the implementation of the Program, the reputation of the Recipient or the Bank, or to the proper use of the proceeds of the Credit, the FMWR-FPIU will immediately inform the Bank, with copy to the Federal Ministry of Finance, Budget and National Planning.

- For purposes of Section 7(a) of the ACGs, the Bank will inform Federal Ministry of Finance, Budget, and National Planning of any material and credible allegations of fraud and corruption in connection with the Program that may come to its attention, consistent with its policies and procedures.

- With prejudice to the foregoing, for purposes of compliance with applicable law, the FPIU will apply the applicable federal government procedures to report any such incidents for investigation and possible prosecution by government authorities. While the SPIUs will apply the state applicable procedures to report and cause such incidence to be investigated and possible prosecution. The SPIUs will report and forward such anti-corruption incidence reports and or documents to the FPIU. The FPIU will make available such reports and documents to the IVA and the World Bank. The World Bank will have unhindered access to such reports and or documents.

[7] A practical solution but in some contexts borrowers may prefer to report separately on F&C matters, due to their sensitive nature.

Conduct of Investigations and Inquiries. For purpose of Section 6(d) of the ACGs, EFCC will be responsible for carrying out investigations of all material and credible allegations and other indications of fraud and corruption under the Program. The EFCC will convey its progress and findings to FMWR-FPIU for incorporation in the reports referred to above.

- For purposes of Sections 6(f) and 7(b) of the ACGs, in the event that the Bank decides to conduct its own inquiry into allegations or other indications of fraud and corruption in connection with the Program, the Borrower and the PIUs will cooperate fully with the Bank's representatives and take all appropriate measures to ensure the full cooperation of relevant persons and entities, including the all Implementing Agencies (as such term is defined in the Financing Agreement) including FMWR, and state public institutions assigned by their respective State Government to implement all or part of the State activities under the Program, as well as all contractors, suppliers or consultants for the Program, and their officers and employees and agents, in each case, allowing the Bank to access sites and facilities, meet with relevant persons/entities, and to inspect all of their relevant accounts, records, and other documents and have them audited by, or on behalf of, the Bank.

  To this end, all bidding documents will contain the Bank's Anti-Corruption Guidelines and protocols to be signed by the bidders. This will include all ad hoc contractual arrangements.

- It is agreed and understood that any inquiries undertaken by the Bank are administrative in nature. The Borrower has the exclusive right to conduct criminal investigations and commence criminal proceedings.

- **Suspension and Debarment**. The Borrower and the PIUs will ensure that any person or entity suspended or debarred by the Bank is not awarded a contract under, or otherwise allowed to participate in or benefit from, the Program during the period of such debarment or suspension by the Bank. And, to this end:

  The FPIU will furnish the SPIUs the lists of suspended or debarred person or entity. The SPIUs will forward this list to all program implementing agencies in their state. Before any contract is awarded by either the FPIU/SPIU/ implementing agencies, the FPIU or SPIU as the case may be, will provide a written confirmation that such a person or entity is not in the Bank's suspended or debarred list. Such written confirmation will be made available to the independent verification agency for inspection. For avoidance of doubt the World Bank link to list of suspended or debarred persons or entity is:

https://www.worldbank.org/en/projects-operations/procurement/debarred-firms

- Compliance with the Bank's suspension and debarment lists will be verified by the independent auditor as part of its annual audit of the Program's Financial Statements. In the event that a person or entity suspended or debarred by the Bank has been awarded a contract under, or has otherwise benefited or participated in the Program, any proceeds of the Credit expended in

relation to such person or entity will be considered ineligible and promptly refunded to the Bank or, at the Bank's discretion, reallocated to other eligible expenditures. The Recipient shall take timely and appropriate action to exclude such person or entity from the Program.

This protocol shall be annexed to the Program Operations Manual.

Template for Reporting on Handling of Allegations of Fraud and Corruption

Location	Date Allegation Received	Complainant	Alleged Perpetrator/Subjects of the allegation(s)	Description of Allegation(s)	Stage of Handling of Allegation [*Initial Review, Investigation, Referral, Prosecution, etc.]*	Description of Progress in Investigation	Outcome of Investigation	Remedial Actions taken

Appendix 8. VERIFICATION AGENCY SERVICES

TERMS OF REFERENCE

Nigeria Federal Ministry of Water Resources (FMWR)

Sustainable Urban and Rural Water Supply, Sanitation and Hygiene Program-for-Results (SURWASH - Project No. P170734)

1. BACKGROUND

1. **1.1 Program Objectives** The objectives of Nigeria Sustainable Urban and Rural Water Supply, Sanitation and Hygiene Program (Program) are to increase access to water, sanitation, and hygiene services and to strengthen sector institutions in participating states of Nigeria. The Program aims to: increase access to basic water supply services through the construction and rehabilitation of water supply infrastructure. Household-level improved sanitation and hygiene services will be provided through support of the Clean Nigeria: Use the Toilet Campaign. Improved WASH services will be constructed and rehabilitated within institutions (schools and HCFs) and public spaces (markets, motor parks, etc.). In addition, relevant State and LGA-level sector institutions will be strengthened within participating states. These include the following institutions, or equivalent: (1) the Rural Water Supply and Sanitation Agency (RUWASSA) for rural WASH, (2) the Small-Town Water Supply and Sanitation Agency (STWSSA) for small town WASH, (3) the State Water Authority (SWA) for urban water supply, (4) the state urban sanitation authority, (5) the state WASH regulatory function, and (6) LGA WASH Departments. Additionally, the FMWR will be strengthened at the federal level. The Program seeks to ensure that the roles and responsibilities for service provision, TA, monitoring and evaluation, and regulation are clearly established, and that these institutions improve their capacity to better execute their responsibilities.

The estimated beneficiaries of this Program are: 6,100,000 people provided with basic drinking water services, 1,400,000 people provided with access to improved sanitation services, 500 ODF+ verified communities and 2,000 schools and HCFs with improved WASH services. The Program is financed by the World Bank through a Program for Results (PforR) totaling USD 640 M and is expected to be completed by June 2027. The PforR was selected as the most appropriate financing instrument for a Program of this nature which aims to support Nigeria to achieve its ambition of sustainable access to safely managed WASH services for all Nigerians as enshrined in the National Action Plan for the Revitalization of Nigeria's Water, Sanitation, and Hygiene Sector (NAP, launched in 2018). This Program includes 7 DLIs and 2 sub-DLIs specified in the Project Appraisal Document (PAD). The Program will be implemented based on the Legal Agreement and Program

Agreement signed by the World Bank and the Government of Nigeria (GoN) on September 17, 2021.

1.2 Program Description. The GoN has launched the National Action Plan for the Revitalization of Nigeria's Water, Sanitation, and Hygiene Sector, or NAP, in 2018. The NAP serves as the Government's overall strategy and vehicle for investment and sector reform to attain the SDGs for WASH. As the responsibility for WASH service provision rests with state governments, participating states are required to develop their own 5-year state action plans for the sector that better detail the state-level actions to be implemented, which are then translated into state-level annual investment plans. Thus far, 26 states across all 6 geopolitical zones have declared a state of emergency in the sector and are now engaged in the planning phase. The NAP provides a strategy to ensure that all Nigerians have access to sustainable and safely managed WASH services by 2030, in compliance with the SDGs for Water (Goal 6.1) and Sanitation (Goal 6.2). Jointly developed by the FMWR and the States, the NAP establishes concrete actions for both levels of government to follow. It seeks to both strengthen and expand Nigeria's WASH services while simultaneously improving their effective management and sustainability. It comprises five components that must be addressed in parallel: (1) governance, (2) sustainability, (3) sanitation, (4) funding and financing, and (5) monitoring and evaluation.

2. The program seeks to achieve a number of results which fall under two results areas detailed in the Project Appraisal Document (PAD): **1- Results Area 1: Strengthened sector policies and institutions for improved services.** Support to the FMWR under this RA incentivizes the FGN to design a National WASH Fund, which the NAP identifies as the key intergovernmental mechanism "to promote a renewed Federal-State partnership towards the credible pursuit of the SDGs" and enable its establishment with clear governance and transparency rules. Support to state- and local-level sector policies and institutions will be accomplished through a set of incentives designed to strengthen the policy, institutional and regulatory (PIR) enabling environment. Each state will be supported in developing and adopting a state-specific PIR plan outlining a series of annual targets towards the establishment and effective operationalization of state- and local-level sector policies and institutions, as well as an appropriate E&S screening and assessment mechanism to guide environmental and social management of proposed interventions. **2- Results Area 2: Improved Access to Water Supply, Sanitation and Hygiene Services** This RA will support an integrated package of investments to expand access to and increase the use of WASH services in urban and rural areas and small towns. The Program embraces an LGA-wide approach to address critical gaps simultaneously in water supply, sanitation, and hygiene, and within communities, schools, health care facilities, and public places. In addition, this results area supports relevant state implementing agencies in preparing Performance Improvement Action Plans (PIAPs) to incentivize and track their own improvements against key performance metrics. While the PIR plans under RA 1 outline actions that must be taken by the state government itself to establish and operationalize new sector policies and institutions, the PIAPs under RA 2 address the performance of these institutions, putting them on a path towards improved operational efficiency, cost recovery, and creditworthiness.

1.3 The Program for Results Instrument: Implementation Arrangements, Disbursement Linked Indicators, and Verification Protocols

Implementation Arrangements: The SURWASH PforR will be implemented in seven Program states. The Program's implementation and institutional arrangements will follow existing structures as established in the National Water Supply and Sanitation Policy 2000 and later elaborated in the NAP 2018 and, for rural communities, in the PEWASH Program Strategy 2016-2030. The FPIU has been set up within the FMWR as the implementing agency at the Federal level. SPIUs will be established within all Program states and will be responsible for Program implementation oversight and M&E for all activities within their state.

At the Federal level, the FMWR is responsible for overall WASH policy reform, the allocation of national-level financial resources, and coordination between states, development partners, and other key stakeholders. While the PEWASH Coordination Office maintains responsibility for overall rural WASH subsector coordination, investment management, and oversight, a Federal Steering Committee (FSC) will be responsible for overall Program coordination and policy guidance. The Honorable Minister of Water Resources will approve the Program annual work plan and budget, prepared by the FPIU, while the FSC will monitor and evaluate the performance of the FPIU and overall Program results. The FSC is chaired by the FMWR Permanent Secretary and includes all Program permanent secretaries, as well as development partners and other stakeholders.

At the State level, the State Ministry of Water Resources (SMWR), or equivalent state-level agency responsible for WASH, will lead state-level policy reform, service delivery improvement, and sector coordination. To support the implementation of the Program in each state, a state steering committee (SSC) will be established for overall state-level coordination and policy guidance in each of the participating states. The membership of the committee shall include representation from the key sector institutions responsible for achieving the DLIs. The state water commissioner or equivalent will chair the state steering committee. The SSC will approve the Program annual work plan and budget, prepared by the SPIU, and monitor and evaluate the performance of the SPIU and overall state-level Program results. Although each state's SSC and SPIU will be led by the SMWR, both entities will be composed of representatives of the state-level institutions responsible for each subsector. Although particular sector institutions vary from state to state, they will generally include the following, or equivalent: (1) the Rural Water Supply and Sanitation Agency (RUWASSA) for rural WASH, (2) the Small-Town Water Supply and Sanitation Agency (STWSSA) for small town WASH, (3) the State Water Authority (SWA) for urban water supply, (4) the state urban sanitation authority, and (5) the state WASH regulatory function. State Ministries of Environment, Health, Education, and Social Development and Women Affairs, as well as any other institutions with responsibility for relevant subsectors, will also be included.

Disbursement Linked Indicators: Disbursements under the Program will be made on the basis of verified achievement of Program outputs and outcomes, as measured by Disbursement Linked Indicators (DLIs) and Disbursement Linked Results (DLRs). For each DLI/DLR, yearly targets, allocated amounts per output, eligibility conditions of results, timeline for achievement, and

determination of the amount to be disbursed have been defined. Each DLI is explained in detail in Annex 2 of the SURWASH Appraisal Document (PAD).

DLI 1 National WASH Fund established and operational

A National WASH Fund established by the FMWR providing financial support to state level investments in WASH services. In Year 1: the National WASH Fund legal framework and governance structure has been endorsed by FMWR and FMOF and legislation to establish the NWF has been drafted; in Year 2: An operational manual has been prepared for the NWF with contents in accordance with the POM.

DLI 2 Design and implementation of a State PIR Plan and achievement of required reforms

DLI 2 will be triggered when in Year 1: A baseline has been conducted to inform the state PIR plan and reform agenda, which includes an assessment of the current status for each of the required reforms, E&S management system instruments and ESSA inclusive; in Year 2: The state has endorsed the PIR plan and reform agenda, which is acceptable to the World Bank and FMWR; in Year 3 - 6: State has achieved the PIR plan annual targets towards the required reforms.

To account for the heterogeneity in institutional arrangements at the state level, each state will conduct a baseline assessment to inform the development of a state specific PIR plan and annual targets to achieving the required reforms. The following agencies/functions will be the focus of the PIR Plan: (1) State WASH regulatory function State WASH Regulatory Agency; (2) state urban water and sanitation authority; (3) rural water supply and sanitation agency (RUWASSA), or equivalent; (4) small town water supply and sanitation agency (STWSSA), or equivalent; and (5) LGA WASH Departments.

The state PIR plan must contain the following required reforms, with annual targets to achieve the intermediate milestones as described in Table 3 of the PAD:

1) Established LGA WASH Departments with adequate budget allocation and release

2) Consolidation and policy reform of urban sanitation sector

3) Autonomous and accountable urban water service providers

4) Performance contract with financing and service agreements between state government and SWA Board of Directors established and operational

5) Operationalize a WASH Environmental and social screening and assessment mechanism to guide environmental and social management of proposed interventions.

6) Participation of women and youth in the sector such as consultation/engagement, benefit sharing, decision making, knowledge sharing etc.

DLI 3 People provided with basic drinking water service under the Program

Disbursements are made in proportion to achievements. A basic drinking water service that has been constructed, rehabilitated, or upgraded under the Program is eligible for disbursement. Only

drinking water services classified as nonfunctional at baseline are eligible for rehabilitation under the Program. Any basic drinking water service that is verified as new, extended, or rehabilitated in one Program period which subsequently falls into disrepair will not be eligible for resubmission in a subsequent Program period for additional disbursement under DLI 3. A basic drinking water service is defined as: (i) Access to an improved source (as defined by JMP), with collection time not more than 30 minutes roundtrip including queuing; (ii) water is available at time of verification; and (iii) a public utility or registered WASHCOM, WCA, or private supplier is managing the water service.

The number of people with access shall be based on the number of reported beneficiaries but will adhere to conventions on per capita provision as described in the POM. Household connections from networked water systems serve an average of 5 people per household

All infrastructure must adhere to technical standards and criteria on service level standards and minimum conditions detailed in the POM, including (i) adherence to quality assurance procedures; (ii) state has a E&S screening and assessment mechanism that guides the management of interventions under implementation and has been verified (iii) a resilient design process have been followed

- **DLI 3.1** *Performance improvement of state water supply implementing agencies*
  Disbursements are made in proportion to achievements at the state and sub-sector level.

  DLI 3.1 will be triggered when in Year 1: PIAP has been prepared for the SWA/RUWASSA/STWASSA, or equivalent, including a baseline assessment and annual targets; Year 2: First annual PIAP has been completed and assessment completed for the SWA/RUWASSA/STWASSA, or equivalent; Year 3 - 5: SWA/RUWASSA/STWASSA, or equivalent has achieved the PIAP targets

  The PIAP will assess SWA/RUWASSA/STWASSA, or equivalent, on key metrics deemed critical for service quality and sustainability during the Program, as described in Annex 10 of the PAD.

DLI 4 People with access to a sustainably functioning water service.

Payments will be made in proportion to achievements. A sustainably functioning water service is eligible for disbursement in the Program year following verification of a new, rehabilitated or upgraded basic drinking water service and for each subsequent Program period that it meets the eligibility criteria of DLI 3, up to a maximum allocation per program year.

The number of people with access shall be based on the number of reported beneficiaries but will adhere to conventions on per capita provision as described in the POM. Household connections from networked water systems serve an average of 5 people per household

All infrastructure must adhere to technical standards and criteria on service level standards and minimum conditions detailed in the POM, including (i) adherence to quality assurance procedures; (ii) state has a E&S screening and assessment mechanism that guides the management of

interventions under implementation and has been verified; (iii) a resilient design process have been followed

DLI 5 Households with improved sanitation facilities constructed or rehabilitated under the Program

Payments will be made in proportion to achievements. Household improved sanitation facilities are those that hygienically separate excreta from human contact and are either newly constructed or upgraded from an unimproved facility. Rehabilitated sanitation facilities are those that have met the criteria for improved but have been upgraded to a higher service level as defined in the POM. Facilities must include a superstructure and a handwashing station with soap and water available at the time of verification.

All infrastructure must adhere to technical standards and criteria on service level standards and minimum conditions detailed in the POM, including (i) adherence to quality assurance procedures; (ii) state has a E&S screening and assessment mechanism that guides the management of interventions under implementation and has been verified; (iii) a resilient design process have been followed

- **DLI 5.1** *Performance improvement of state sanitation implementing agencies*
  Disbursements are made in proportion to achievements at the state and sub-sector level

  DLI 5.1 will be triggered when in Year 1: PIAP has been prepared for the sanitation implementing agencies including a baseline assessment and annual targets; in Year 2: First annual PIAP has been completed and assessment completed for the sanitation implementing agencies; in Year 3 - 5: The sanitation implementing agencies have achieved the PIAP targets

  The PIAP will assess sanitation implementing agencies on key metrics deemed critical for service quality and sustainability during the Program, as described in Annex 10 of the PAD

DLI 6 Communities having achieved community-wide sanitation status (ODF+) or number of ODF+ communities having maintained their status

Payments will be made in proportion to achievements. Open defecation free (ODF+) status is defined as a community where at least 25% of households are using an improved sanitation facility in Year 1 with a 5% increase in share of households using an improved sanitation facility each program year, up to 50% in Year 6. Households without improved sanitation are either using an unimproved facility for defecation or sharing a facility. No households are practicing open defecation. Shared sanitation facilities are improved sanitation facilities used by two or more households that are properly maintained (usable and clean at the time of verification). Maintained ODF+ status is defined as any community verified as ODF+ at the beginning of the program, or any community achieving ODF+ under the program, that still meets the definition of ODF+ in the year of achievement, one year after initial verification of ODF+ by the IVA. Approximately 10

percent of ODF+ communities to be verified each year are eligible for payment for maintaining status. Communities are approximately 500 households.

DLI 7 Schools and healthcare facilities with functional, improved water supply, sanitation and handwashing facilities constructed or rehabilitated under the Program

Payments will be made in proportion to achievements. Newly constructed or rehabilitated water supply and sanitation facilities that meet the definition of improved and adhere to the technical specifications of state and/or federal government, as defined in the POM, including water supply using an improved source (as defined by JMP), improved sanitation (as defined by JMP), water and soap available for handwashing, separate compartments for males and females and accessibility for people living with disabilities.

All infrastructure must adhere to technical standards and criteria on service level standards and minimum conditions detailed in the POM, including (i) adherence to quality assurance procedures; (ii) a resilient design process have been followed.

Verification: The role of the Independent Verification Agent (IVA) is to verify, through credible and independent means, the results reported by the SPIUs and the FPIU, on at least an annual basis. The IVA will verify Program results using agreed-upon protocols between the Bank and the Government of Nigeria. The IVA will be hired by the Federal Ministry of Water Resources and will undertake the verification assignments in accordance with the agreed methodology. The verification protocol for each DLI is presented in Annex 2 of the SURWASH PAD.

2. OBJECTIVES OF ASSIGNMENT

The objectives of the consultancy are to verify on at least an annual basis that the results as laid out in the DLI matrix have been physically delivered, in an approved manner, and properly documented. Results will be verified though paper and physical inspection that tests the accuracy of results claimed. In accordance with good audit practice, verification will take place against a sampling framework and frequency, described in detail in the Verification Protocol included in Annex 2 of the SURWASH PAD. Verification Protocols are being further refined and will be embedded in the Program Operation Manual (POM) currently under development, which will provide the final guidance to the IVA on verification protocols.

3. IVA SCOPE OF WORK

The consultancy services will be performed in line with Program Results Verification Framework and Protocols as outlined in the Program Appraisal Document (PAD) and Program Operation Manual (POM). The scope of work under this assignment includes, on at least an annual basis, random selection of sampling units from lists provided by the SPIUs, identification of all sampled households, administration of a verification checklist in each sampled household using mobile data collection, and delivery of quality data from the physical verification exercise in tab delimited format. In addition, on at least an annual basis the IVA will conduct desk-based data and documentation review to determine compliance with the DLIs.

The IVA will prepare a Results Verification Report (RVR) on at least an annual basis that will be simultaneously submitted to the FMWR through the FPIU and the World Bank respectively in order to guide the disbursement amount of the loan to GoN. The detailed scope of work includes:

(1) Verification of DLIs 1, 2, 3.1 and 5.1 The IVA will be required to carry out a desk-based verification of documentation to verify achievement of DLRs under DLIs 1, 2, 3.1 and 5.1, according to the procedures and timeline in the verification protocol (see Annex 14P). Documentation may include, inter alia, operations manuals, legal documents, water and sanitation system design and construction documents, bidding documents, policy documents, strategy documents, official reports, Environmental and social screening and assessment mechanism etc. In addition, the IVA may be required to conduct interviews or phone calls to verify information. The verification protocols for these DLIs are being further refined and will be embedded in the Program Operations Manual (POM). DLI 1 is at the Federal level and the main source of documentation will be through the FMWR/FPIU. DLIs 2, 3.1. and 5.1 are to be achieved at state level. Therefore, the IVA will be required to obtain documentation for verification from the State PIUs, and the state water supply and sanitation implementing agencies.

(2) Verification of DLI 3 A physical verification exercise covering beneficiaries of **water services** that have been constructed, rehabilitated or upgraded under the program will begin following Program Year 1. Verification will use a statistical sampling approach with stratification at the level of the state and water implementing agency such that resultant findings are representative at the level at which the DLI is stratified. Stratification by water implementing agency is meant to ensure a representative sample for urban/small town and rural areas separately. The sample size calculations shall assume a probability of compliance of 80% with margin of error of 5%. The sample size will be around 250 households for each state / implementing agency to be physically verified annually. (total estimated sample size = 22,000 households). For the purposes of verification of DLI 3 the household is the unit of observation. The household verification is expected to take an average of 10 — 15 minutes per household. Primary respondents for the household verification will be the head of the household or the most knowledgeable member of the household. In addition, a technical audit will be conducted for 100% of reported water beneficiaries to verify compliance with service level standards and minimum conditions detailed in the POM, including (i) adherence to quality assurance procedures; (ii) State has a E&S screening and assessment mechanism that guides the management of interventions under implementation and has been verified; and (iii) a resilient design process have been followed.

(3) Verification of DLI 4 A physical verification exercise covering beneficiaries of **sustainably functioning water services** that have been constructed, rehabilitated or upgraded under the program will begin following Program Year 2. Verification will use a statistical sampling approach with stratification at the level of state and water implementing agency such that resultant findings are representative at the level at which the DLI is stratified. The sample size calculations shall assume a probability of compliance of 80% with margin of error of 5%. The sample size will be around 250 households for each state / implementing agency to be physically verified annually. (total sample size = 18,600 households). The household verification is expected to take an average of 10 — 15 minutes per household. Primary respondents for the household verification will be the head of the household or the most knowledgeable member of the household. A technical audit will also be conducted for 100% of reported beneficiaries of sustainably functioning water service to

verify compliance with service level standards and minimum conditions detailed in the POM, including (i) adherence to quality assurance procedures; (ii) State has a E&S screening and assessment mechanism that guides the management of interventions under implementation and has been verified; and (iii) a resilient design process have been followed.

(4) Verification of DLI 5 A physical verification exercise covering **households with improved sanitation facilities** that have been constructed or rehabilitated under the program will begin following Program Year 1. Verification will use a statistical sampling approach with stratification at the level of state and sanitation implementing agency such that resultant findings are representative at the level at which the DLI is stratified. Stratification by sanitation implementing agency is meant to ensure a representative sample for urban/small town and rural areas separately. Beginning in Year 4 improved sanitation facilities with fecal-sludge management will be sampled separately. The sample size calculations shall assume a probability of compliance of 80% with margin of error of 5%. The sample size will be around 200 households for each state / implementing agency to be physically verified annually. (total sample size = 18,000 households). The household verification is expected to take an average of 10 — 15 minutes per household. Primary respondents for the household verification will be the head of the household or the most knowledgeable member of the household. A technical audit will also be conducted for 100% of reported household sanitation facilities to verify compliance with service level standards and minimum conditions detailed in the POM, including (i) adherence to quality assurance procedures; (ii) State has a E&S screening and assessment mechanism that guides the management of interventions under implementation and has been verified; and (iii) a resilient design process have been followed.

(5) Verification of DLI 6 A physical verification exercise covering **communities having achieved or maintained ODF+ status** will begin following Program Year 1. Verification will be done for 100% of reported ODF+ communities to verify compliance with ODF+ criteria: use of improved sanitation facilities, maintenance of shared sanitation facilities, and presence of a handwashing station. Within each community a representative sample of households will be sampled. Sampling methodology should apply Lot Quality Assurance Sampling (LQAS) combined with two-stage cluster sampling with 95% confidence intervals. Clusters should be villages (below the level of community) and should be selected randomly from a full list of villages in the community. In each selected village/cluster 19 households will be randomly selected and surveyed. In case a community has fewer than 7 villages, sample 19 households from all villages in community. Total sample size will be 19 * n villages. In case a village has fewer than 19 households, the bordering village should be selected until the required sample of 19 households is completed. This would mean that the 19 households could be split across one, two or more villages. The sample size will be around 95 households for each community to be physically verified. (total sample size = 47,500 households). Each household visit is expected to take an average of 10 — 15 minutes per household. Primary respondents will be the head of the household or the most knowledgeable member of the household. A technical audit will also be conducted for 100% of reported ODF+ communities to verify achievement against The National Open Defecation Free (ODF) Certification Protocol (2017).

(6) Verification of DLI 7 A physical verification exercise covering **schools and health care facilities with functional, improved water supply, sanitation and handwashing facilities**

constructed or rehabilitated under the program will begin following Program Year 1. Verification will be done for 100% of reported schools and health care facilities to verify compliance with eligibility criteria (total sample size = 2000). Each school/health care facility visit is expected to take an average of 25 – 30 minutes. Primary respondents will be school administrator. A technical audit will also be conducted for 100% of reported schools and healthcare facilities with functional, improved water supply, sanitation and hygiene to verify compliance with service level standards and minimum conditions detailed in the POM, including (i) adherence to quality assurance procedures; (ii) state has a E&S screening and assessment mechanism that guides the management of interventions under implementation and has been verified; and (iii) a resilient design process have been followed.

Actual sample size in each verification cycle for DLIs 3, 4, 5, 6 and 7 may change depending on the actual results reported. Therefore, the IVA should quote a unit price per sample (e.g. household) in its proposal which will be applied in case the sample size changes.

(7) Meetings A minimum of at least two annual meetings with the FPIU (and any other related stakeholder) are to be organized. These meetings are to be held prior to the commencement of and the verification exercise immediately after the submission of due reports and should be used to provide an update of the schedule of deliverables, status of implementation and other issues. Additional meetings can be scheduled when and as necessary.

The scope of work for verification of DLIs will be carried out in accordance with the following tasks:

Task 1: Random selection of sampling units for each verification cycle (DLIs 3, 4, 5 and 6)

- [DLIs 3, 4, and 5] Using results reports provided by the SPIUs through the FPIU for DLIs 3, 4, and 5, select a random sample of beneficiary households to be representative at the level indicated in the verification protocol.

- [DLI 6] For all communities reported as having achieved DLI 6 the IVA should obtain an updated list of all villages in the community as prescribed in POM and select a random sample of 19 households per village.

The selection of households for DLIs 3, 4, 5 and 6 should include: i. Incorporation of a replacement group (oversampling) of 5% of sampled households in the event the original household is unable to be interviewed for whatever reason. ii. Unique coding strategy to ensure each household has a unique code for data entry and identification. Where appropriate this coding strategy should be linked to the unique coding system used in the comprehensive results report (CRR) iii. Fully documented and replicable method of random selection

Deliverables: (all require submission on an annual basis)

1. Electronic listing of selected households, villages for DLIs 3, 4, 5 and 6 with replacement and unique IDs.
2. Electronic listing of health centers and schools for verification of DLI 7, with unique IDs.
3. Stata do files documenting random selection and sampling procedures.

Task 2: Configure a data
capture application for conducting verification questionnaires on mobile handheld devices, including the following:

- Checking and configuring any automated skip logic, validation logic, and 'other' textual responses.
- Ensuring that variable names generated by the program correspond clearly and logically to the question labels used in the questionnaire and that a coding strategy is used that maintains consistent, unique identifiers for households which are linked where appropriate to the unique identifiers used in the Results Report. The IVA should ensure that the data capture application is integrated into data collection procedures and field protocols. In addition, the IVA should train enumerators on the mobile data capture system during the main enumerator training.

Deliverables: Completed configuration of mobile data capture application. If the firm does not have mobile hand-held devices they will be responsible for procuring or renting one device per enumerator (mobile data capture application to be submitted on an annual basis).

Task 3: Training of enumerator teams

The IVA will develop training materials, presentations, and manuals in English language (and other language, as needed). The IVA will be expected to administer a comprehensive training course to enumerators and supervisors covering questionnaires, key concepts and field protocols.

Deliverables: (all require submission in accordance with the training schedule)

1. Written training agenda
2. Enumerator test scores and final list of selected enumerators and supervisors (the enumerators/researchers for the household component should have the requisite language capabilities to conduct the study in first language of the respondents).

Task 4: Conduct a successful verification pilot test prior to the data collection exercise for the first verification cycle, and as necessary prior to subsequent verification cycles

Immediately after classroom training (Task 3 above), the IVA will carry out a data collection field pilot in two enumeration areas over a period of 2 days, the locations of which will be selected by the FPIU. Each enumerator is expected to complete at least 2 household visits during the pilot data collection exercise. The objective of the field pilot is as follows:

- Field teams correctly identify and interview households, schools, and health facilities in the selected pilot areas using mobile hand-held devices for data enumeration
- Data captured on hand-held devices is automatically uploaded to a server
- Field team members understand their roles and correctly follow interviewing protocols in all sampled units
- Data from all sampled units are successfully transferred to tab-delimited format

Deliverables: (all require submission in accordance with the pilot schedule)

1. Pilot plan and detailed schedule for field data collection
2. Pilot test data successfully transferred to FPIU
3. A brief pilot survey report including identification of issues encountered (if any) and lessons learnt from the pilot verification
4. A final plan and detailed schedule for field data collection indicating dates in each enumeration area and expected schedule of data transmission.

Task 5: Successful implementation of the data collection exercise in all of the planned/substitute sample locations

Successful implementation and completion of data collection in all planned/substitute sample locations, including:

- Dataset containing all data coded from the selected sample areas, clearly linked to the State results reports
- Conduct data cleaning as needed
- Compile and submit a complete database of all data in tab-delimited format

Deliverables: (all require submission on an annual basis)

1. Data and reporting for all enumeration areas will be submitted electronically to the server in batches at regular time intervals (preferably daily) starting from initiation of field activities.
2. Final delivery of completed and clean database in STATA, including household, community and institution verification data in all sample locations and survey completion reports (the template of survey completion report will be provided and agreed between the firm/consortium and FPIU/WB before the actual physical verification). The survey completion report should be provided no later than 2 weeks after the field survey of the group completed.
3. Short presentation to FPIU, SPIUs and World Bank team.

Task 6: Annual verification report

Completion of an Annual Verification Report in accordance with the Verification Protocol (Annex 14P) that will be reviewed and approved by FPIU in consultation with WB.

The Annual Verification Report should include the following main components:

(a) Executive summary of key findings, including the figures for the annual achievement for each DLI, DLR and comparison with reported and target figures.

(b) Methodology used for verification and analysis of data collected;

Summary descriptive statistics for each state and implementing agency in the form of tables, figures and accompanying text;

Demonstration and assessment of the accuracy of the information reported by the States using appropriate statistical tests, in accordance with the Verification Protocol

Targets achieved for each DLI in the corresponding Program Period

A draft template of the Annual Verification Report is shown in Annex 7.

Deliverables: (all require submission on an annual basis)

1. Preliminary tables of frequencies and summary statistics in Excel for review by FPIU and the World Bank team
2. Draft Verification Report for comment by FPIU and the World Bank team
3. Final Verification Report, one version with track-changes and written response to comment and a final, clean version.

4. DELIVERABLES

In addition to the task related deliverables listed above, the following program deliverables are expected:

• Inception report within 1 month submitted to FPIU: The inception report should outline the IVA's plan to verify all data.

• Detailed program implementation plan within 3 months submitted to the FPIU - Outline the flow of information, time lines, and accountabilities of parties, verification protocols, and reporting systems. In addition, this report should include the following:

- Detailed templates for verification reports for all DLIs
- Documented random selection and sampling procedures

• The Annual Official Results Verification Report submitted to both FPIU and WB - Progress of the 7 DLIs per the planned schedule and in accordance with the verification protocols in Annex 3 and in the POM, including:

- Executive summary of key findings, including the figures for the annual targets achieved for each DLI.
- Methodology used for verification and analysis of data collected
- Summary descriptive statistics for each state and implementing agency in the form of tables, figures and related writings.
- Demonstration and assessment of the accuracy of the information reported by the states using appropriate statistical tests, in accordance with the Verification Protocol.
- Annex materials including final data collection tools, completed and clean data in tab-delimited format

• FINAL Report at the end of the Program to be submitted to the FPIU - Overall description of all activities and results achieved under the Program

5. INDICATIVE LEVEL OF EFFORT The estimated level of effort for all staff (professional, survey and support staff) is approximately XX person days over the entire contract period. The IVA may propose greater or fewer person days with clear justification.

6. ASSIGNMENT DURATION The activities will be performed over a 6-year period from February 2022 to February 2028, with varying levels of effort during this period.

7. TEAM COMPOSITION AND REQUIRED QUALIFICATIONS To perform the required verification tasks, the IVA must have a strong international reputation with a strong local presence. The IVA will need to demonstrate ability to review DLIs under the two Results Areas, from infrastructure, financial management, environmental and social risk management, to construction operations, and utility and implementing agency performance. More specifically, the IVA shall possess:

- Legal status recognized by the Government of Nigeria. enabling the organization to perform the above-mentioned tasks
- Extensive experience designing and examining similar construction works; experience in conducting household surveys and interviews in Nigeria in recent years.
- Auditing and/or technical auditing expertise
- Knowledge of local formalities and customs in the implementation of household surveys, including ability to obtain all necessary permissions and permits related to the logistics of survey implementation
- Strong background in the preparation of household listings for random selection
- Good network of experienced interviewers and supervisors, preferably full-time staff
- Background and expertise in both quantitative and qualitative research methodology
- Demonstrated experience in the design, implementation, and analysis of surveys in water supply and sanitation
- Demonstrated experience in sample design, inferential statistics and econometrics
- Ability to clearly communicate, both oral and written, in English

It is expected that the proposed methodology of implementation will include the key staff required to complete the assignments. As a minimum the IVA team must have the following:

- **Team Leader:** A senior level professional with appropriate background and with more than 25 years' experience in the related activities, 5 years of which have been at a senior level, and related project management and financial aspects.

The Team Leader will:

- Provide overall direction and leadership to team
- Supervise the consulting team and ensure that inputs and activities are of high quality;
- Be responsible for overall coordination of activities and interactions with FPIU, FMWR, SPIUs, State implementing agencies and WB
- Coordinate and manage all tasks as specified in the scope of work.
- Preparation of the scheduling and planning of project implementation;
- Provide advice, guidance and final review of deliverables;
- Supervise and ensure that the trainings are properly prepared and implemented;

- **Survey Manager(s)** minimum 2: At least MSc in Social Science related field with 15 years' experience in Monitoring and Evaluation in related activities (GIS knowledge is an added advantage). The expert must have a strong working experience and proven track record of 5 years'

experience in overseeing field data collection, managing large household surveys, developing and coordinating enumerator training, and regional knowledge of Nigeria.

- Provide overall direction and leadership of fieldwork
- Supervise fieldwork and take responsibility for high quality inputs and activities;
- Lead development of data collection and data processing protocols
- Oversee development of results verification reports

• **Water and Sanitation Engineer**- A senior level professional with appropriate technical background and with more than 15 years' experience in sanitation engineering, 5 years of which have been at a senior level. The Sanitation Engineer will:

- Provide overall technical expertise and engineering support to the team.
- Supervise the consulting team and ensure that inputs and activities are of high engineering quality.
- Coordinate and manage all engineering tasks as specified in the scope of work.
- Preparation of the scheduling and planning of project engineering implementation.

• **Field Coordinator(s)** - minimum 2: Support staff with at least 3-5 years of working experience and experience overseeing survey data collection in the field, experience pretesting and piloting questionnaires, and coordinating enumerator training

- Oversee fieldwork implementation for a specified area
- Be responsible for quality control of fieldwork
- Monitor and report on fieldwork status and coordinate with Survey Manager to resolve issues
- Participate in training of enumerator teams

• **Data Analyst(s)-** minimum 2: Staff with at least 5-years working experience and a proven track record of handling quantitative surveys and analysis.

- Preparation of datasets
- Produce analytical outputs for progress and results reports

• **Other specialists** as required: It is expected that additional technical staff with appropriate specialties in sanitary engineering, finance, management, environmental and social risk management, citizen engagement, etc. would be required to collect and verify data from the various governorates. Responsibilities include:

- Provide technical and expert advice
- Support data and document gathering for the verification activity
- Conduct data and document analysis in accordance with verification protocol
- Support preparation of progress and results reports
- Conduct quarterly monitoring of progress on E&S risk management, particularly regarding the compliance of Program activities with the PAP & E&S due diligence per POM.

All proposed professional staff must work directly on the activity. Non-professional staff assigned to the activity may include a reasonable number of additional support staff, as well as enumerators/supervisors. In all cases enumerators and supervisors will be:

- Fluent in English and local language;
- Have good numeracy and literacy skills sufficient for data collection requirements;
- Be fit enough to walk around the community and access households with ease;
- Have excellent social skills (in particular able to demonstrate a professional and respectful attitude to people of all socio—economic backgrounds and an ability to put people of all ages at ease); and
- Have sensitivity to cultural norms and appropriate behaviors (as appropriate to the activity).
- Knowledge of water supply and sanitation will be a distinct advantage

8. WORKING ARRANGEMENTS, SERVICES AND FACILITIES TO BE PROVIDED BY THE CLIENT

No services or facilities will be provided for use of IVA by the Client. However, the Client will provide IVA with lists of the selected villages and documentation of designs. Moreover, FPIU will facilitate access by IVA to reports, documents, other pertinent information, and relevant government personnel. Liaison staff will also be identified to work with IVA on the assignment. IVA is expected to provide its own facilities as follows: - Office space - Office furnishing and computing/photocopying equipment - Payment of utility bills. IVA will be responsible for meetings/workshops facilitators, logistics and their staff participation during the Meetings/Trainings/Workshops.

9. REPORTING PROCEDURES

IVA will report to FMWR through the FPIU. The FPIU will designate Coordinators/ Focal Points from FPIU for day-to-day follow-up and communication to the IVA.

Appendix 9. TECHNICAL DESIGN AND STANDARD FOR WATER SUPPLY

DLI 3: People provided with basic drinking water service under the Program.

Description

The objective of this DLI is to expand access to and increase the use of water services in urban and rural areas and small towns through the construction, rehabilitation and/or upgrading of works infrastructure, protecting poor and vulnerable people, and supporting livelihoods and job creation.

DLI 3 disburses against the number of people provided with basic drinking water services under the Program via the construction, rehabilitation, or upgrading of water supply infrastructure within communities and at the household level. Consequently, DLI 3 will increase access to sustainable water services that improve resilience to water scarcity and reduce public health risks.

Rehabilitated water supply infrastructure are existing facilities that had met the criteria for basic drinking water services when initially constructed but were no longer fully functional and were therefore rehabilitated under the program. Upgraded water supply infrastructure are existing facilities that had met the criteria for an improved water service but have been upgraded under the program to achieve a higher service level (at least a basic drinking water service).

Technical standards

Technical standard includes definition of terms; classification of components; delineation of procedures; specification of dimensions, materials, performance, designs, or operations; measurement of quality and quantity in describing materials, processes, products, systems, services, or practices; test methods and sampling procedures; or descriptions of fit and measurements of size or strength

The construction, rehabilitation, and upgrading of works infrastructure towards the achievement of DLI 3 shall adhere to the following national standards *where participating States do not have such locally approved technical standards*. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

- Water quantity: water supply policy, 2000 (Provided in *SURWASH Documents - Google Drive*)
- Water quality: NIS 554: 2015 Nigerian Industrial Standard for Drinking Water Quality
- Well construction: Water Well Construction Code of Practice, 2010
- Materials, equipment, components, and systems: Provided in *SURWASH Documents - Google Drive*
- Engineering standards not stated herein shall be provided in the engineering designs that will meet the regulations of the Council for the Regulation of Engineering in Nigeria (COREN).

Service Level Standards

Under the Program, a basic drinking water service is defined as: (i) Access to an improved source (as defined by JMP), with collection time not more than 30 minutes roundtrip including queuing; (ii) water is available at time of verification; and (iii) a public utility or registered WASHCOM, WCA, or private supplier is managing the water service.
Rural and small town basic drinking water services will adhere to conventions on per capita provision as described in table 9.1 below.

Table 9.1: Indicative technological options and estimated populations to be served (Rural/Small town)

Indicative Technological Options	Min. flow rate	Population	
		Rural Min. 20*lpcd*	Small Town Min. 50*lpcd*
Rainwater Harvesting		Up to 250	
Protected Spring		Up to 250	
Hand Pump	0.3 l/s per borehole	Up to 250	
Simple Solar (solar borehole with 3-5m^3 tank; alternative source of power/treatment as needed)	0.5 l/s per borehole	250 – 500	
Simple Motorized System (solar borehole with 10-22.5m^3 tank and up to 1km distribution; alternative power source/treatment as needed)	0.7 l/s	500 – 1,000	
Simple Motorized System (solar borehole with 45m^3 tank and up to 2km distribution; alternative power source/treatment as needed)	1.0 l/s	1,000 – 2,000	
Complex Motorized System (larger tank and wider distribution than simple)	Multiple BHs to supply required daily per capita water within 8hrs	2,000 – 5,000	
			5,000 – 20,000
Surface Water Package System (modular treatment system with large tank and distribution system greater than 1km)	Determined by capacity of treatment plant		5,000 – 20,000

Urban and small towns basic drinking water systems constructed or rehabilitated under the Program must adhere to the standards described in Table 9.2.

The actual beneficiaries for constructed or rehabilitated water supply infrastructure will be determined during the design stage or at baseline studies. The applicable water supply services in urban areas (and small towns) will be provided through a combination of:

- *Household/yard connections*[8]: In-house connections, yard tap for a single household (HH), yard tap for several households (shared by up to 5 households).
- *Communal/public taps*: Community Standpost, Water Kiosk
- Rainwater harvesting

Table 9.2: Minimum service levels for water supply schemes in urban/small towns

Service Level Options	Service Availability	Consumption rate l/p/d	Population Served*	Payment Method	Definition
In house Connections	8 hours/day	60	5 persons/HH	Meter/ consumption bills	Water is piped directly into the home
yard tap per HH	8 hours/day	60	5 persons/HH	Meter/ consumption bills	A tap in the yard serving the individual household
yard tap for several HHs	8 hours/day	60	2 to 5 HH, with 5 persons/HH	Meter/consumption bills shared between households	A tap that serves up to 5 households, but is not open to the wider community
Community Standpost	8 hours/day	50	65 persons/ tap	Fees paid regularly by household	A public tap that is open to the general public
Water Kiosk	8 hours/day	50	100persons/ day	Direct to attendant or through automated system	Stationary vending locations that require payment per use to an attendant or through an automated system

[8] Household connections from networked water systems serve an average of 5 people per household, unless a state-specific estimate of average household size acceptable to the FPIU and the World Bank has been notified.

Minimum Conditions

Adherence to quality assurance

i). Will be in accordance with ISO 9000 definition of quality assurance which is "part of quality management focused on providing confidence that quality requirements will be fulfilled".

ii). To ensure quality assurance is achieved in SURWASH, each activity such as construction, test for water quality, supply of goods etc. should follow procedures illustrated in the schematic diagram below.



Fig 1: Quality Control Flow Process

E&S screening and assessment mechanism

All projects must pass through the E&S Screening and assessment mechanism and reviewed by the SPIU to conform with the requirements as specified in Chapter 8 of the POM.

Resilient Design Process

To ensure that supported infrastructure is resilient to the risks posed by climate-induced drought and flood, all infrastructure must follow a resilient design process to be eligible for disbursement. The resilient design process shall be based upon the World Bank's Resilient Water Infrastructure Design Brief.[9]

[9] https://openknowledge.worldbank.org/handle/10986/34448

This process is summarized in the figure below.

FIGURE 2. The Process of Resilient Design for Water Infrastructure Components



All firms engaged in the design and/or construction of associated infrastructure must attest to having followed a resilient design process as part of the E&S checklist (see ESSM Manual).

Implementation Procedure

For infrastructure to be eligible for disbursement under DLI 3, the following minimum procedures shall be followed and adequately documented to allow for verification:

1. LGA and community selection through a rigorous and transparent process following guidelines in Appendix 1
2. A public utility or registered WASHCOM, WCA, or private supplier must be assigned to manage the water service.
3. For rural and small-town water systems, a WASHCOM/WCA in benefitting community/small town should be identified, or established if non-existent, following relevant Federal/state/Program guidelines. For WCAs the guideline will be developed under the Program by the FPIU and will be shared. WASHCOMs will follow the "Expanded Guideline For WASHCOM Formation And Training On Community Wash Management Processes In Nigeria, An implementation Guideline

(SURWASH Documents - Google Drive). The LGAs shall be supported in their roles for formation, registration, training and monitoring of all WASHCOM/WCA.

4. For rural and small-town water systems and for community urban water supply infrastructure, a participative process in site selection and infrastructure design shall be followed, leveraging the WASHCOM/WCA as relevant to interface with community.
5. Construction of infrastructure
    a. Materials and construction quality assurance: Designs must be checked and endorsed by a registered engineer to be in conformity with approved standards mentioned above. Supervision must be carried out by certified personnel. Detailed report of contract supervision to be shared with SPIU by implementing Agency.

    b. Water quantity and quality confirmation through documented tests. For urban schemes at commissioning, checks should be at the point of intake /source, after treatment and storage, and at the point of use. For borehole-based schemes, checks should be conducted during pump testing. Report on quality checks should be included in the submission to the SPIU and FPIU.

6. Reporting Format

Report of all activities from community engagements, design and site selection process, construction/contract management, WASHCOM/WCA/PPP selection, quality checks, and project completion and hand over reports shall be shared with the SPIU by the implementing agency to be done within 30days. Refer to M&E Reporting templates (Annex 13)

Sub-DLI 3.1: Performance improvement of state water supply sector institutions and service providers

Introduction

Sub-DLI 3.1 disburses against the performance of relevant implementing agencies across key elements critical for service quality and sustainability through the design and implementation of PIAPs. It compliments DLI 3. Sector agencies will be supported to improve the operations and maintenance of infrastructure constructed, rehabilitated and/or upgraded under DLI 3.

The PIAPs will be prepared for relevant subsectors (urban, rural, and small towns) by relevant regulators, sector operators and service providers that will incentivise establishment and implementation of annual targets for, at a minimum, the essential elements. It includes ambitious, yet feasible, actions and performance targets that the agency must achieve in each Program year for the six-year duration of the Program. During the first Program year, each implementing agency will prepare its own PIAP in consultation with the FPIU and with their final approval. This ensures that the PIAP reflects the local context and institutional arrangements of the particular state, as well as the current level of development of the implementing agency. Each PIAP must include all essential elements described in Annex 10 of the PAD.

Objective of Sub DLI 3.1

Sub-DLI 3.1 incentivize relevant implementing agencies to improve their performance across key elements critical for service quality and sustainability through the design and implementation of PIAPs. This 2nd part of DLI 3.1 supports the continued functionality of supported water points and schemes by promoting effective infrastructure operations, management, and maintenance by service providers and ongoing technical and financial support by relevant sector institutions.

During the first Program year, states will be eligible for disbursement upon preparing the PIAP for the agencies in consultation with the FPIU and with their final approval. In the second Program year, states will be eligible for disbursement by conducting their first annual PIAP assessment. However, disbursements in subsequent years will depend upon the achievement of PIAP annual targets. Each PIAP will be designed by the relevant subsector implementing SWA following the review and approval by the FPIU. Each PIAP will include annual targets necessary to achieve sector outcomes under the minimum essential elements below.

Minimum Essential Elements

Rural and Small-Town Water Supply Essential PIAP Elements

Accountability

i). Rural and small-town WASH policy/strategy in place, including established roles and responsibilities for O&M of WASH facilities. The SPIU will conduct annual reviews of the PIR policies and frameworks towards achievement of the water supply sector outcomes

ii). Submission of regular and complete WASH M&E data by LGAs to relevant state agency and through national MIS system. See annex13 for template(s) and critical data inputs.

iii). Submission of LGA annual reports to State agency following approved template in annex 13(including registry of public and private WSS service providers, female representation within staff and in leadership positions, and status of critical support activities. These include supervision of water providers, water quality monitoring, WS facility maintenance and bookkeeping records, etc.).

Sustainability

i). Adoption of guidance to support sustainable tariff establishment and collection. Such guidance will include, but not limited to, policy guidance by the FPIU and SSC, technical guidance with FPIU approval, and training. Each SWA will develop milestones and implement actions towards design resilience, private sector inclusiveness in water supply service delivery, facility management MoUs and/or contracts, and NRW reduction.
ii). Implementation of capacity building plans for RUWASSA (and STWSSAs where applicable), LGA WASH Departments, WASHCOMs/WCAs, and other relevant actors.
iii). Adoption and domestication of O&M strategy, to include periodic surveillance activities.
iv). Development of Risk, Resilience and Emergency Response Plan.

Urban Water Supply Essential PIAP Elements

Accountability

i). Effective performance contract between BoD and MD, cascaded to the management team, in place.
ii). Set up and implement budget preparation, review, and approval process.
iii). Annual audited financial statements publicly disclosed.
iv). Annual report of utility performance following approved template to be defined in the POM (including technical performance, operational cost recovery improvement, customer satisfaction, citizen report cards, and female representation in engineering and technical positions) published and disclosed.
v). Set up customer communications and complaints redress mechanisms.

Sustainability

i). Technical performance plan (NRW, production capacity)
ii). Operational cost recovery improvement (commercial, customer outreach, disconnection, metering)
iii). Development of Risk, Resilience and Emergency Response Plan.

Appendix 10. TECHNICAL DESIGN AND STANDARD FOR SANITATION

DLI 5: Households with Improved Sanitation Facilities Constructed or Rehabilitated under the Program

Description

The Program aims to incentivize the construction or rehabilitation of sanitation and hygiene infrastructure at the household level in urban areas, small towns and rural areas in line with the PDO.

The indicator measures the number of households with improved sanitation facilities constructed or rehabilitated under the Program. As per the WHO/UNICEF Joint Monitoring Program (JMP), household improved sanitation facilities are those that hygienically separate excreta from human contact. Constructed improved sanitation facilities under the program are either newly constructed facilities or those upgraded from an unimproved facility to an improved facility. Rehabilitated sanitation facilities are existing facilities that had met the criteria for improved sanitation, but have been upgraded under the program, to a higher service level. Only infrastructure that adheres to criteria on service level standards, technical standards, and minimum conditions as described in this document shall be eligible for disbursement.

Criteria on Service level Standards

The service levels classifications are those under the JMP ladder for sanitation (Figure 1).

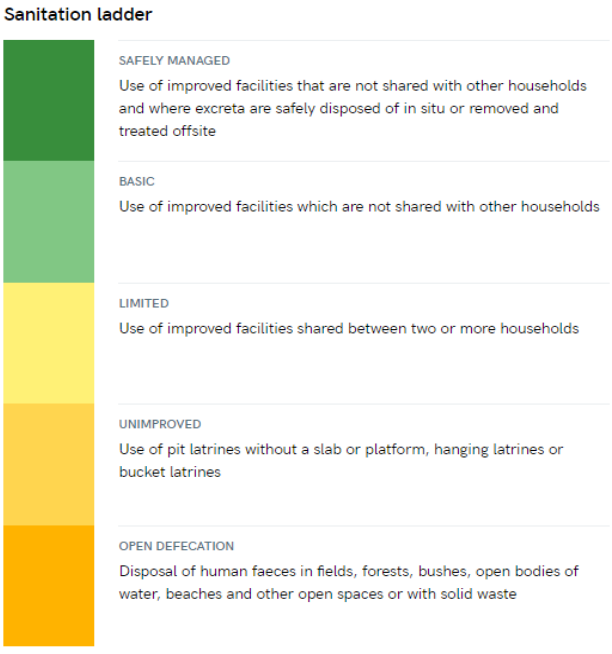


Figure 1: JMP ladder for sanitation (Source: WHO/UNICEF JMP)

Technical Standards

The 'National Council on Housing and Urban Development' developed the 'National Building Code' (2006) which aims to set minimum standards on Building Pre-design, designs, construction and post-construction stages to ensure quality, safety and proficiency in the building Industry. The Code was meant to close the gap of dearth of referenced design standards for professionals amongst others. Regarding sanitation facilities, the National Building Code has however generally focused on the superstructure for water closets and VIP latrines. The substructure design requirements for sanitation facilities have not been covered by the Code.

Technical standards for superstructures and substructures of sanitation facilities in accordance with the National Building Code and as defined in the guidelines to be developed by the Federal Government will be followed.

Some facilities under the program will be linked to an FSM system. In the case the program finances the construction of fecal sludge treatment plants to support the safe management of excreta in urban areas10, adequate E&S screening mechanisms will be put in place to assess such interventions on a case-by-case basis and the existing national protocols and standards will be followed.

Minimum Conditions

For the purpose of verification, household improved sanitation facilities shall:

- Include one of the recommended technologies which meet the requirements of improved sanitation as per the JMP, including, flush toilet connected to a piped sewer system or a septic system, flush or pour-flush to a pit latrine, dry pit latrine with slab, ventilated improved pit (VIP) latrine or dry single or double vault composting toilet;
- Hygienically separate excreta from any contact (human, pets, pest) with an unbroken pan and all holes sealed to prevent any transmission of pathogens;
- Have the containment structure safely leaching into the ground and/or secure to prevent any leaking or overflowing toilets/containment structures, or no feces or fecal sludge in the open environment;
- Have a superstructure that is safe and secure for users;
- Have a handwashing station nearby with soap or an alternative to ensure handwashing following use of the facility.

Construction of the sanitation facilities shall adhere to the following minimum conditions where applicable:

- Adherence to quality assurance procedures;
- States shall have an E&S screening and assessment mechanism that is under implementation and has been verified;
- A resilient design process having been followed.

10 When appropriate and based on the recommendations of E&S risk and capacity assessments

DLI 5.1: Performance improvement of state sanitation implementing agencies

Description

The Program aims to incentivize state sanitation implementing agencies to improve their performance across key elements critical for service quality and sustainability through the design and implementation of PIAPs.

The indicator measures PIAPs are envisioned as roadmaps that guide each agency through the various actions required to improve sector outcomes, specific to each state's specific context and level of development. Individual PIAPs will be prepared for relevant subsectors: (1) rural and small-town sanitation; and (2) urban sanitation.

During the first Program year, states will be eligible for disbursement upon preparing the PIAP in consultation with the FPIU and with their final approval. Disbursement under the second Program year requires that states conduct an annual assessment of achievements against their PIAP targets. Disbursements in subsequent years will depend upon the actual achievement of PIAP annual targets.

3.2.5.2 Minimum Conditions

Implementing agencies will prepare PIAPs that establish annual targets for, at a minimum, the essential elements described in Appendix -17.

DLI 6: Communities having Achieved Community-Wide Sanitation Status (ODF+) or Number of ODF+ Communities having maintained their Status

Description

The Program aims to incentive program states to support communities in attaining and/or maintaining community-wide ODF+ status.

ODF+ status is defined for a community where (a) at least 25% of households are using an improved sanitation facility in Year 1 with a 5% increase in share of households using an improved sanitation facility each Program Year, up to 50% in Year 6; (b) households without improved sanitation are either using an unimproved facility for defecation or sharing a facility; (c) no households are practicing open defecation; and (d) shared sanitation facilities (i.e. facilities used by two or more households) are improved and properly maintained.

Maintained ODF+ status is defined as any community verified as ODF+ at the beginning of the program, or any community achieving ODF+ under the program, that still meets the definition of ODF+ in the year of achievement, one year after initial verification of ODF+ by the IVA. Approximately 10 percent of ODF+ communities to be verified each year are eligible for payment for maintaining status.

Minimum Conditions

A community shall comprise of approximately 500 households for consistency and ease of implementation and verification across the diverse SURWASH program states. The following minimum conditions shall apply for the purpose of verification:

- ✓ Community is certified to be ODF by the State Task Group on Sanitation (STGS) based on the 2017 revised ODF protocol;
- ✓ No households are practicing open defecation;
- ✓ Households without improved sanitation are either using an unimproved facility for defecation or sharing a facility; shared sanitation facilities (i.e. facilities used by two or more households) are improved and properly maintained;
- ✓ At least 25% of households are using an improved sanitation facility in Year 1 with a 5% increase in share of households using an improved sanitation facility each Program Year, up to 50% in Year 6.

Appendix 11. STEP UPLOAD PROCUREMENT PLAN TEMPLATE



Draft Excel Template for Upload of Activities in STEP

v.02242016

Description (Value cannot exceed 250 Characters)	**Reference No.** (Value cannot exceed 40 Characters)	**Procurement Category**	**Procurement Method**	**Estimated Amount** (Must be greater than zero, and a positive number)	**Bank Financed %** (Cannot be greater than 100%)	**Planned Start Date** (Must be in YYYY/MM/DD format)

Appendix 12. APPROVED PROCUREMENT THRESHOLD AND METHODS FOR PARTICIPATING STATES

Delta State

Activity Estimate	Procurement Method	Review Threshold
Less than ₦250 million	National Competitive Bidding, Selective Tendering, Request for Quotation and Direct Procurement Method	Permanent Secretary (Ministerial Tenders Board)
₦250 million and above	International Competitive Bidding and National Competitive Bidding Method	State Tenders Board
Gives approval of ₦250 million and above	State Executive Council does not carry out procurement	State Executive Council

Kaduna State

Activity Estimate	Procurement Method	Review Threshold
Up to 10 million Naira		Hon. Commissioner / Chief Executive
Above 10 million – 20 million Naira		Residence Due Process Committee
Above 20 million – 100 million Naira		KADPPA DG
Above 100 million – 500 million Naira		KADPPA Board / Procurement Monitoring Council / State Tenders Board
Above 500 million Naira		State Executive Council

Plateau State

Activity Estimate	Category	Procurement Method	Review Threshold
Less than 2million Naira	Goods/Consultant Services/Non-Consultant services		Account officer (Director General/CEO)
Less than 3.5million Naira	Works		Account officer (Director General/CEO)
Less than 3million Naira	Goods/Consultant Services/Non-Consultant services		Accounting officer (Ministries)
Less than 5million Naira	Works		Accounting officer (Ministries)
2million and above but less than 10million	Goods/Consultant Services/Non-Consultant services		Parastatal Tenders Board
3.5 million and above but less than 20million	Works		Parastatal Tenders Board
3 million Naira and above but less than 15 million Naira 3 million Naira	Goods/Consultant Services/Non-Consultant services		Ministerial Tenders Board
5million Naira and above but less than 25 million Naira	Works		Ministerial Tenders Board
15 Million Naira and above but less than 30million Naira	Goods/Consultant Services/Non-Consultant services		State Tenders Board
15 Million Naira and above but less than 30million Naira	Works		State Tenders Board
30 million Naira and above but less than 50million Naira	Goods/Consultant Services/Non-Consultant services		BPP issues Certificate of No objection to Award/ Executive Governor approves
50 million Naira and above but	Works		BPP issues Certificate of No

Activity Estimate	Category	Procurement Method	Review Threshold
less than 100million Naira			objection to Award/ Executive Governor approves
50m and above	Goods/Consultant Services/Non-Consultant services		BPP issues Certificate of No objection to Award/ State EXCO approves
100m and above	Works		BPP issues Certificate of No objection to Award/ State EXCO approves

Gombe State

Activity Estimate	Procurement Method	Review Threshold
Below N150Million	Goods/Works/Consultant	Governors certification of approval of funds/funds approval
Above N150Million	Goods/Works/Consultant	Governors in exco"s (state executive council)certification of approval of funds/funds approval
Below N300Million	Goods/Works/Consultant	Governors certification of approval of funds/funds approval on emergency/special direct procurement
N100,000Million	Goods /Works	MDAs Accounting officer
Below N500,000Million	Goods /Works	Ministerial Tenders board/LGA Tenders Board

Katsina State

Activity Estimate	Procurement Method	Review Threshold
Below N20,000,000:00		Permanent Secretary
Below N100.000,000:00		State Tenders Board
Above 100,000,000:00		State Executive Council

Ekiti State

Activity Estimate	Procurement Method	Review Threshold
Below 50 million Naira	All Methods	Ministerial Tenders Board (MTB)Chairman by the Accounting Officer
50 Million and above	All Methods	State Tenders Board (STB)
Not applicable	Not applicable	State Executive Council

Appendix 13. MONITORING AND EVALUATION TEMPLATE

RURAL										
					NUMBER OF PEOPLE WITH ACCESS TO BASIC WATER					
SN	LGA	WARD	COMMUNITY NAME	COMMUNITY CODE	BASELINE (2021)	TARGET (2022)	ACTUAL ACCESS (MONTH)	ACTUAL ACCESS (MONTH)	ACTUAL (MONTH)	PIAP DEVELOPED (Y/N)
								FEMALE	DISABLED	

SMALL TOWNS										
					NUMBER OF PEOPLE WITH ACCESS TO BASIC WATER					
SN	LGA	WARD	COMMUNITY NAME	COMMUNITY CODE	BASELINE (2021)	TARGET (2022)	ACTUAL ACCESS (MONTH)	ACTUAL ACCESS (MONTH)	ACTUAL (MONTH)	PIAP DEVELOPED (Y/N)
								FEMALE	DISABLED	

URBAN										
					NUMBER OF PEOPLE WITH ACCESS TO BASIC WATER					
SN	LGA	WARD	COMMUNITY NAME	COMMUNITY CODE	BASELINE (2021)	TARGET (2022)	ACTUAL ACCESS (MONTH)	ACTUAL ACCESS (MONTH)	ACTUAL (MONTH)	PIAP DEVELOPED (Y/N)
								FEMALE	DISABLED	

Institution Type: Health Facility or School

Institution Class: Basic, Secondary, Tertiary

Appendix 14. ENVIRONMENTAL AND SOCIAL MANAGEMENT GUIDANCE AND FORMS

Appendix 14A: Outline for SURWASH Sub-Project Environmental and Social Screening Report

Chapter One: Introduction
1.1 Project Objectives
1.2 Rational for the Environmental and Social Screening
1.3 Scope of Sub-Project Environmental and Social screening
1.4 Screening Procedure
1.5 Guiding Regulatory Framework

Chapter Two: Description of the Project Environment

Chapter Three: Screening and Analysis of Subprojects Impacts

3.1 Impact rating
3.2 Screening Results and Decisions

Chapter Four: Stakeholder Consultations
4.1. Identification and Consultation with Stakeholders
4.2 Stakeholder Engagement Plan
4.3 Stakeholders Consultation Report

Chapter Five: Environmental and Social Action Plan

Annexes

Appendix 14B: Environmental and Social Screening Checklist (ESSC)

Environmental and Social Screening Checklist for the Screening of Potential Environmental and Social Impacts of NG-SURWASH Activities

1. Introduction

This Environmental and Social Screening Checklist (ESSC) has been designed to assist in the evaluation of planned construction, rehabilitation and expansion activities under NG-SURWASH. The form will assist in the identification of any environmental and social impacts and their mitigation measures. It will also assist in the determination of requirements for further environmental and social work as needed.
The form helps to determine the characteristics of the prevailing local bio-physical and social environment with the aim of assessing the potential impacts of the construction and rehabilitation activities on the environment by the activity.
The ESSC will also assist in identifying potential socio-economic impacts that will require mitigation measures and/or resettlement and compensation.

2. Guidelines for Screening

The evaluator should undertake the assignment after:
Gaining adequate knowledge of baseline information of the area.
Gaining knowledge of proposed project activities for the area.
Having been briefed / trained in environmental and social screening.
The form is to be completed by the PIU Environmental and Social Specialists.

PART A: GENERAL INFORMATION

Sub project Name	
Estimated Cost (MK)	
Sub project Site	
Sub project Objectives	
Proposed Main Activities:	
Name of Evaluator/s	
Date of Field Appraisal	

PART B: BRIEF DESCRIPTION OF THE PROPOSED ACTIVITIES

- Provide information on the type and scale of the construction/rehabilitation activity (e.g. area, land required and approximate size of structures)
- Provide information on the construction activities including support/ancillary structures and activities required to build them, e.g. need to quarry or excavate borrow materials, water source, access roads, etc.
- Describe how the construction/rehabilitation activities will be carried out. Include description of support/activities and resources required for the construction/rehabilitation.

PART C: ENVIRONMENTAL AND SOCIAL BASELINE INFORMATION OF THE SUB PROJECT SITE BRIEF DESCRIPTION

Category of Baseline Information	Brief Description
GEOGRAPHICAL LOCATION Name of the Area (State, LGA, Community) Proposed location of the sub project (Include a site map of at least 1:10,000 scale/or coordinates from GPS)	
LAND RESOURCES • Topography and Geology of the area • Soils of the area • Main land uses and economic activities	
WATER RESOURCES • Surface water resources (e.g. rivers, lakes, etc.) quantity and quality • Ground water resources quantity and quality	
BIOLOGICAL RESOURCES • Flora (include threatened/endangered/endemic species) • Fauna (include threatened/endangered/endemic species) • Sensitive habitats including protected areas e.g. nature reserves and forest reserves	
CLIMATE • Temperature • Rainfall	
SOCIAL • Number of people potentially impacted • Type and magnitude of impacts (i.e.. impact on land, structures, crops, standard of living) • Socio-economic overview of persons impacted	

PART D: SCREENING CRITERIA FOR IMPACTS DURING SUBPROJECT IMPLEMENTATION, AREAS OF IMPACTS AND IMPACTSEVALUATION AND POTENTIAL MITIGATION MEASURES

Screening Criteria for Social and Environmental Impacts

Item	Areas of Impacts	Impacts Evaluation								Potential Mitigation Measures
	Is this subproject site/activity within and/or will it affect the following environmentally sensitive areas?			Extent or coverage (on site, within 3-5km or beyond 5km)			Significance (Low, Medium, High)			
		No	Yes	On Site	Within 3-5 km	Beyond 5 km	Low	Medium	High	
1.0	Screening Criteria for Social and Environmental Impacts									
1.1	National parks or game reserve									
1.2	Wetlands									
1.3	Productive traditional agricultural /grazing lands									
1.4	Areas with rare, endangered or other interest flora or fauna									
1.5	Areas with outstanding scenery/tourist site									
1.6	Within steep slopes									
1.7	Forested or near forest or will impact forest									
1.8	Along lakes, beach or river									
1.9	Near industrial activities									
1.10	Near human settlements									
1.11	Near cultural heritage sites									
1.12	Within prime surface run off									
1.13	Will the subproject discharge to or otherwise impact water bodies?									
2.0	Screening Criteria for Impacts during Implementation and Operation									
	Will the implementation and operation of the subproject within the selected site generate the									

Item	Areas of Impacts	Impacts Evaluation								Potential Mitigation Measures
	following externalities/ costs/impacts?									
2.1	Deforestation									
2.2	Soil erosion and siltation									
2.3	Siltation of watercourses, dams									
2.4	Environmental degradation arising from mining of construction materials									
2.5	Damage to wildlife species and habitat									
2.6	Increased exposure of communities/workers to agro-chemical pollutants									
2.7	Hazardous wastes, (pipes, etc.), PCB's, pollution from unspent PV batteries									
2.8	Nuisance - smell or noise									
2.9	Reduced water quality									
2.10	Increase in costs of water treatment									
2.11	Soil contamination									
2.12	Loss of soil fertility									
2.13	Salinization or alkalinization of soils									
2.14	Reduced flow and availability of water									
2.15	Long term depletion of water resources									
2.16	Incidence of flooding									
	Will the implementation and operation of the subproject activities within the selected site generate the following socio-economic									

Item	Areas of Impacts			Impacts Evaluation						Potential Mitigation Measures
	costs/impacts?									
3.0 Screening Criteria for Social and Economic Impacts										
3.1	Loss of land/land acquisition for human settlement, farming, grazing									
3.2	Loss of assets, property, houses, agricultural produce, etc.									
3.3	Loss of livelihood									
3.4	Require a RAP or ARAP									
3.5	Loss of cultural sites, graveyards, monuments[11]									
3.6	Disruption of social fabric									
3.7	Interference in marriages for local people by workers									
3.8	Spread of STIs and HIV and AIDS, due to migrant workers									
3.9	Increased incidence of communicable diseases									
3.10	Health hazards to workers and communities									
3.11	Changes in human settlement patterns									
3.12	Conflicts over use of natural resources e.g. water, land, etc.									
3.13	Conflicts on land ownership									
3.14	Disruption of important pathways, roads									
3.15	Increased population influx									
3.16	Loss of cultural identity									
3.17	Loss of income									

11 Subprojects affecting cultural property negatively either should be redesigned to avoid any damages, or, they will not be undertaken by the project.

Item	Areas of Impacts			Impacts Evaluation						Potential Mitigation Measures
	generating capacity									
4.0	Consultation (comments from beneficiaries and other project affected peoples)									

PART E: OVERALL EVALUATION OF THE SCREENING PROCESS ON THE SITE AND PROJECT ACTIVITY

The result of the screening process would be either:

- The subproject would be **Category A** if it were likely to result in one or more major adverse environmental impacts. Category A subprojects would require a full ESIA, subject to review by FMEnv EA unit.
- However, no Category A subprojects are expected under the NG-SURWASH.
- The subproject would be **Category B1** if no further environmental assessment work is required, but the subproject must fully apply the relevant, generic mitigation measures specified in the ESSM, including the Environmental Rules for Contractors and Chance Finds Procedures.
- The subproject would be **Category B2** if further environmental assessment work is required, specifically the preparation of a separate Environmental and Social Management Plan (ESMP) with tailored, site-specific environmental mitigation measures (not just the generic ones). For any NG-SURWASH Category B2 subprojects--where in-depth, site-specific factfinding would be needed to ascertain the likely environmental (including social) impacts-a subproject-specific ESIA would also be required. The scope of such an ESIA would be limited to the environmental and related social issues of specific concern, as identified in the screening process. For any Category B2 subprojects with their own ESIA, the ESMP will comprise a portion of the ESIA.

The NG-SURWASH subproject or other activity would be Category C if it does not involve civil works and no significant environmental issue has been identified, such that no specific mitigation measures are required. In such cases, subproject implementation can proceed without reference to additional environmental requirements.

Completion by PIU	
Is This Project Likely To Need An ESIA	YES/ NO
List A/B Paragraph Numbers	
Date Exempted	
Date Forwarded To EAD	
Name & Signature of Environmental and/or Social Specialist/s	

Completion by EA	
Date Received from District Assembly:	
Dated Reviewed:	
Date of Submission of Project Brief	
Date of Submission of ESIA Reports	
Date of Approval/Rejection	

NOTES:

- Once the Environmental and Social Screening Checklist is completed, it is analysed by the Environmental and Social Specialist/s from the PIU who will classify it into the appropriate category based on a predetermined criteria and the information provided in the form.

- All projects' proponents exempted from further impact assessment must be informed to proceed with other necessary procedures.

- Any projects recommended for a specific ESIA will have to follow the procedures outlined in section 24 and 25 of the Environmental Management Act, and the Nigeria Government's Guidelines for Environmental Impact Assessment Appendix C, page 32.

Appendix 14C: Sanitation Subprojects Environmental and Social Checklist

Environmental & Social Checklist for Sanitation Sub-Projects

S/N	Potential Negative Environmental and Social Impacts	Tick if relevant	Possible Mitigation Measures	Tick if relevant	Responsible Person
1.0	Septic tanks				
1.1	Soil and water pollution due to seepage from tanks		Ensure regular emptying; conduct hygiene education campaign to raise awareness of the health risks of exposed sewage; establish and support affordable pump out services		
2.0	Sewers				
2.1	Soil and water pollution		Ensure regular maintenance		
2.2	Construction impacts		Follow EHS General Guidelines and Environmental and Social Clauses for Contractors		
3.0	Sewerage maturation ponds				
3.1	Construction impacts		Follow EHS General Guidelines and Environmental and Social Clauses for Contractors		
3.2	Possible land acquisition		Refer to RPF or RAP		
3.3	Sludge disposed of indiscriminately and causing health risks		Ensure that sludge is properly dried and disposed of in a manner that poses no risk to human health		
3.4	Animals accessing sewage ponds and transmitting diseases to people		Install and maintain proper fencing to prevent animals from entering the area		
3.5	Incompletely treated waste water contaminating surface water streams		Operate ponds in a manner that only allows waste water meeting prescribed quality standards leaving the treatment site; ensure that ponds are sized and operated to retain waste water for an adequate period to complete the treatment process		
3.6	Exposed trenches and pits during construction		Backfill trenches after installation of pipes Geofence the trenches with barrier red tape		

S/N	Potential Negative Environmental and Social Impacts	Tick if relevant	Possible Mitigation Measures	Tick if relevant	Responsible Person
3.7	Uncovered manholes during operation		Appropriately cover all manholes to avoid bad smell and dumping of wastes		
4.0	Public toilets				
4.1	Contamination of water supply sources		Ensure latrines are located at least 30 m from hand dug wells and springs, and 60 m from boreholes		
4.2	Latrines overflowing and creating health risks through people and animals coming in contact with human wastes		Conduct hygiene education campaign to raise awareness of the health risks of exposed human waste and promote the support and use of municipal or private sector cleaning services		
4.3	Flies and rodents carrying diseases from the latrines		Block pathways for flies, i.e. by putting a screen over the vent and installing lid on the hole; ensure latrines are constructed with a suitable superstructure to prevent entry of rodents into vault		
4.4	Open defecation		Conduct hygiene education campaign to raise awareness of the health risks of open defecation, and promote the use of latrines		

Appendix 14D: Project Monitoring Indicators and Responsibilities

It is important to note that although contractors and others may be responsible for particular activities, the PIU is ultimately responsible to ensuring the implementation of any mitigation or other activities contained in this manual. During project construction, the Supervising Engineer is responsible for ensuring environmental compliance. The above table presents the proposed monitoring indicators and responsibilities. The proposed monitoring indicators and responsibilities for the SURWASH program is presented in Table 11 below. The table presents the source of impact, proposed mitigation measure(s), implementation tool for the mitigation, monitoring indicator (inputs and outcomes), verification, as well as responsibility.

Source of Impact	Proposed mitigation action or measure	Implementation tool/criteria	Monitoring indicators (inputs)	Monitoring indicators (outcomes)	Verification	Project stage	Responsibility
Solid waste disposal	Provide adequate waste receptacles facilities at construction camps Wastes should be disposed at approved waste collection sites Asbestos containing waste must be disposed of in a way to prevent scavenging for reuse.	Waste management plan/construction site management plan	Number of wastes bins at site Availability of waste disposal plan Final disposal records	Number of workers following waste disposal plan and use of receptacles Number of workers familiar with the waste disposal plan at sites	Weekly checks by project ESS	Construction Operation	Contractor ESS and ultimately PIU
Waste oil/fuel disposal	Provide drums/containers for temporary storage on site for the oils collected from vehicles and equipment Dispose of waste oil through an approved agent	Waste management plan/construction management plan	Waste oil drums/containers on site Availability of waste disposal plan/construction site management plan	Number of workers familiar with the waste disposal plan at sites Number of workers following waste disposal plan and use of receptacles	Monthly checks by Health and safety engineer	Construction Operation	Contractor ESS
Air quality degradation/ pollution	procure good equipment/machinery for the project Operate well maintained vehicles and equipment Use good quality fuel and lubricants Suppress dust at project sites Switch off engines when not in use	Contractual agreement Routine maintenance plan for machinery Purchase fuel in Recognized stations Apply water to surfaces to limit dust	Number of good equipment procured Availability of equipment and machinery maintenance plan Frequency of watering of surfaces to minimize dust related impacts	Number of workers following good practices for equipment and machinery maintenance	Independent check by project engineers Verification of maintenance by project engineers Self-check by contractor	construction	Contractor/ project engineer
Noise pollution	Adhere to working hours in accordance to the Employment Act Provision of PPEs for workers for noise pollution	Contractual agreement	Recorded grievances Number of PPEs procured for noise	Number of workers correctly and frequently using PPs	Self-check by contractor	construction	Contractor/ project engineer

	Workers training on the use of PPEs for noise mitigation and warn those not complying		mitigation				
Visual Impacts	Landscaping around facilities after construction and restoration of disturbed area e.g. borrow pits	Construction site and restoration plan	Plan implementation	Quality of stored landscapes Number of disturbed sites successfully restored	Self-check by contractor	Construction	Contractor/ project engineer
Hazards to Community such as exposed trenches and pits (Uncovered manholes)	Immediately backfill all open trenches after works Geoference the exposed trenches with barrier red tape Install signs to warn pedestrians and others especially on roads	Construction site and restoration plan, ESMP, Contractual Agreement	Number of exposed trenches and pits created Presence of appropriate signage	Number of exposed trenches and pits remaining after work is completed	Inspection self-check by contractor and Supervising Engineer	Construction and Operation	Contractor, PIU (for all), Relevant state MDAs (for potable water system improvements), NESREA (for sewers)
Traffic Impacts	Use roads only worthy for vehicles and heavy machinery Use experienced drivers Contractor must provide drivers training Establish speed limits Enforce safe driving and take disciplinary action against repeat offenders	Procure good vehicles and machinery for the project Driver qualifications should be documented Develop Traffic safety plan	Traffic incidence recorded Grievance recorded	Number of drivers aware and familiar with the traffic safety plan Number of drivers following traffic rules for the past three months	Verification by Project Engineer	Construction	Contractor/ project engineer
Water Pollution	Garbage /refuse oily wastes should not be discharged into water bodies or drains Maintenance and lubricating of vehicles should take place offsite	Waste management plan Spill prevention management	Visibility of oil in water bodies Procure water quality monitoring equipment	Change in water quality as per measurements done	Daily self-checks by contractors Periodic reports on performance by contractor to Project Engineer	Construction Operation	Contractors/ project engineer Project engineer

	Workers should be provided with adequate and appropriate sanitation facilities Construction activities including camps should have measures to control runoff water Effluent discharge (during Operation)	Water quality monitoring plan	Onsite soil erosion observation Quality of water from regularly scheduled testing Number of pollution incidences recorded Routine lab testing of daily samples during Operation	Water samples collected showing compliance with standards	Spot checks /audits by project engineer Routine daily monitoring by PIU or its contractor		staff and contractors
Drinking Water Quality Supplied (During Operation)	Routine testing of daily water quality according to Nigeria or WB EHS standards whichever is more stringent	Water quality monitoring plan	Routine lab test results of daily samples during Operation	Water samples collected showing complince or not with standards	Routine daily monitoring	Operation	Supervision by Quality Assurance Manager
Influx of Labor Related Impacts	Development of a *Labour Influx Management Plan* and "*Workers Camp Management Plan*" that outline the contractors' responsibilities in contracts. Drafting of enforceable Workers' "*Codes of Conduct*" Regular Sensitization of workers and surrounding communities of the risks of HIV/AIDS and other STDs	Development of Labor Management Plans Development of Workers Management Plans Drafting and enforcement of workers' "Code of Conducts" Sensitization of workers and surrounding communities	Labor Management Plans developed Workers management Plans Developed Workers Code of Conducts developed Number of sensitization meeting held	Labor Management Plans implemented Workers management plans implemented Workers' Code of Conduct implemented Number of workers and community member who attended meetings	Monthly checks by ESS and Social Development Specialist	Construction	Contractor Health and safety officer, Social Development Specialist and ultimately PIU

GBV/SEA/SH	Awareness on the danger of GBV/SEA/SH in the workplace and its attendant long-term effect on victims Workers should be sensitised on the need to Sign Code of Conduct before being engaged to work in any community Sex education should be carried out onsite before commencement of civil works.	Gender Vulnerability Assessment and Gender Vulnerable Group profiling GBV mitigation Plan	GBV mitigation plan developed GVG profiled in sub-project communities	Near Zero GBV/SEA/SH cases Workers compliance to CoC signing	Bi-weekly	Construction and Operation	Contractor, SURWASH E & S team
Potential obstruction to means of livelihood	Where issues relating to obstruction to means of livelihood or loss of livelihood exits a compensation plan should be carried out in other not to leave PAPs worse-off	Compensation Plan shall be developed	Compensation paid for loss of livelihood	PAPs are not left worse off than they were before the program,	As required	Construction	Contractors, SURWASH E & S team
Increase in Occupational Health and Safety issues	Contractors to develop OHS management Plan Training on OHS before and during implementation exercise	OHS management Plan	Low incidences recorded	Injury free workers	Monthly	Construction	Contractors, SURWASH E & S team
Community Health Safety	Training on CHS to keep community members aware of risk associated with construction activities in the community	CHS Plan	Low incidences registered	Zero cases resulting from construction activities	Bi-weekly	Pre-construction and construction	Contractors, SURWASH E & S team

Appendix 14E: Environmental Rules for Civil Works Contractors

1 General Applicability of the Environmental Rules and ESMP

These general environmental guidelines apply to any work to be undertaken under the NG-SURWASH. All work must be conducted in accordance with the World Bank Group *General* and *Water Supply and Sanitation Environmental, Health and Safety Guidelines (EHS)*. The Construction and Demolition guidance in the *General Guidelines* is particularly pertinent. For certain work sites entailing specific environmental and/or social issues, a specific Environmental and Social Impact Assessment, including an Environmental and Social Management Plan (ESSMP), has been prepared to address j the above-mentioned specific issues in addition to these general environmental guidelines. In addition to these general Environmental Guidelines, the Contractor shall therefore comply with any specific ESSMP for the works s/he is responsible for. The Contractor shall be informed by NG-SURWASH about such an ESMP for certain work sites, and prepare his/her work strategy and plan to fully take into account relevant provisions of that ESSMP. If the Contractor fails to implement the approved ESMP after written instruction by the works supervisor to fulfill his/her obligation within the requested time, the Client reserves the right to arrange for execution of the missing action by a third party on account of the Contractor.

Notwithstanding the Contractor's obligation under the above clause, the Contractor shall implement all measures necessary to avoid undesirable adverse environmental and social impacts wherever possible, restore work sites to acceptable standards, and abide by any environmental performance requirements specified in an ESSMP where such an ESSMP applies.

These Environmental Rules, as well as any specific ESSMP, apply to the Contractor. They also apply to any sub-contractors present on Program work sites at the request of the Contractor with permission from the Client.

2 General Environmental Protection Measures

In general, environmental protection measures to be taken at any work site shall include but not be limited to:

a) Minimize the effect of dust on the environment resulting from earth mixing sites, vibrating equipment, construction related traffic on temporary or existing access roads, etc. to ensure safety, health and the protection of workers and communities living in the vicinity of work sites and access roads.

b) Ensure that noise levels emanating from machinery, vehicles and noisy construction activities (e.g., excavation, blasting) comply with World Bank and Nigerian standards and are generally kept at a minimum for the safety, health and protection of workers within the vicinity of high noise levels and nearby communities.

c) Ensure that existing water flow regimes in rivers, streams and other natural or irrigation channels are maintained and/or re-established where they are disrupted due to works being carried out.

d) Prevent any construction-generated substance, including bitumen, oils, lubricants and waste water used or produced during the execution of works, from entering into rivers, streams, irrigation channels and other natural water bodies/reservoirs.

e) Avoid or minimize the occurrence of standing water in holes, trenches, borrow areas, etc.. (f) Prevent and minimize the impacts of quarrying, earth borrowing, piling and building of temporary

construction camps and access roads on the biophysical environment including protected areas and arable land; local communities and their settlements.

f) Restore/rehabilitate all sites to acceptable standards.

g) Upon discovery of graves, cemeteries, cultural sites of any kind, including ancient heritage, relics or anything that might or believed to be of archeological or historical importance during the execution of works, immediately report such findings to the Client so that the Ministry in charge of Culture may be expeditiously contacted for fulfillment of the measures aimed at protecting such historical or archaeological resources. See Chance Finds Procedures in Annex 4.

h) Prohibit construction workers from engaging in the exploitation of natural resources such as hunting, fishing, and collection of forest products or any other activity that might have a negative impact on the social and economic welfare of the local communities. Prohibit explicitly any purchase of bush meat, as well as the transport of bush meat in Contractor's vehicles.

i) Prohibit the transport of firearms in Program-related vehicles.

j) Prohibit the transport of third parties in Program-related vehicles.

k) Implement soil erosion control measures in order to avoid surface run off and prevent siltation, etc.

l) Ensure that garbage, sanitation and drinking water facilities are provided in construction workers camps.

m) Ensure that, in as much as possible, local materials are from legally authorized and (insofar as can be feasibly determined) environmentally sustainable sources.

n) Ensure public safety and meet Nigerian traffic safety requirements for the operation of work to avoid accidents.

o) Ensure that any trench, pit, excavation, hole or other hazardous feature is appropriately demarcated and signposted to prevent third-party intrusion and any safety hazard to third parties.

p) Comply with Nigerian speed limits, and for any traffic related with construction at Project sites.

q) Ensure that, where unskilled daily-hired workforce is necessary, such workers are hired from neighboring communities as much as possible.

Generally, comply with any requirements of Nigerian law and regulations. Besides the regular inspection of the sites by the supervisor appointed by the Client for adherence to the Contract conditions and specifications, the Client may appoint an environmental inspector to oversee the compliance with these environmental conditions and any proposed mitigation measures. State Environmental Authorities may carry out similar inspection duties. In all cases, as directed by the Client's supervisor, the Contractor shall comply with directives from such inspectors. Unless duly requested by the Contractor and authorized by the supervisor, no servicing of vehicles is permitted at the drilling site.

3 Pipelines

(i) No trench shall be left open for more than 7 days, unless duly authorized by the supervisor upon Contractor's request. Trenches and other excavation works shall be demarcated and/or signposted to avoid third party intrusion and risks of injury or death.
(ii) General conditions related with topsoil stripping, storage and restoration apply.
(iii) The Contractor will take measures to dispose of water used for pressure tests in a manner that does not affect neighboring settlements.
(iv) The Contractor will provide workers with appropriate Personal Protective gear and Equipment (PPE) especially if working with the replacement of asbestos pipelines. Recommended PPE for asbestos work including: respirators and disposable clothing.

4 Waste Management

(i) All drums, containers, bags, etc. containing oil/fuel/surfacing materials and other hazardous chemicals shall be stored at construction sites on a sealed and/or bonded area in order to contain potential spillage.

(ii) All waste containers, litter and any other waste generated during the construction shall be collected and disposed of at designated disposal sites in line with the applicable World Bank Group Environmental, Health, and Safety Guidelines as well as Nigeria government waste management regulations.

(iii) In the event of a limited hydrocarbon spill, the Contractor will recover spilled hydrocarbons and contaminated soils in sealed drums and dispose of them in an authorized waste management facility.

(iv) All drainage and effluent from storage areas, workshops, housing quarters and generally from construction sites shall be captured and treated before being discharged into the drainage system in line with applicable government water pollution control regulations.

(v) Used oil from maintenance shall be collected, properly stored in sealed containers, and either disposed of appropriately at designated sites or be re-cycled.

(vi) Entry of runoff into construction sites and staging areas shall be restricted by constructing diversion channels or holding structures such as berms, drains, dams, etc. to reduce the potential of soil erosion and water pollution.

(vii) Construction waste shall not be left in stockpiles along the road, but removed and reused or disposed of on a daily basis.

(viii) Where temporary dump sites for clean excavated material are necessary, they shall be located in areas, approved by the Client's supervisor, where they will not result in supplemental erosion. Any compensation related with the use of such sites shall be settled prior to their use.

(ix) Areas for temporary storage of hazardous materials such as contaminated liquid and solid materials shall be approved by the supervisor and appropriate local and/or relevant national or local authorities before the commencement of work. Disposal of such waste shall be in existing, approved sites.

(x) Waste containing asbestos (old pipelines, etc.) is to be disposed of at authorized locations in a manner to discourage reuse or scavenging.

5 Quarries and Borrow Areas

The Contractor shall obtain appropriate licenses/permits from relevant authorities to operate quarries or borrow areas. The location of quarries and borrow areas shall be subject to review and approval by relevant local and national authorities.

New extraction sites:

a) Shall not be located less than 1km from settlement areas, archaeological areas, cultural sites - including churches and cemeteries, wetlands or any other valued ecosystem component, or on high or steep ground.
b) Shall not be located in water bodies, or adjacent to them, as well as to springs, wells, well fields.
c) Shall not be located in or near forest reserves, natural habitats or national parks.
d) Shall be designed and operated in the perspective of an easy and effective rehabilitation. Areas with minimal vegetation cover such as flat and bare ground, or areas covered with grass only or covered with shrubs less than 1.5m in height, are preferred.
e) Shall have clearly demarcated and marked boundaries to minimize vegetation clearing and safety hazards for third parties.

f) Vegetation clearing shall be restricted to the area required for safe operation of construction work. Vegetation clearing shall not be done more than two months in advance of operations.
g) Stockpile areas shall be in areas where trees or other natural obstacles can act as buffers to prevent dust pollution, and generally at a distance from human settlements. Wind shall be taken into consideration when siting stockpile areas. Perimeter drains shall be built around stockpile areas.
h) The Contractor shall deposit any excess material in accordance with the principles of these guidelines, and any applicable ESSMP, in areas approved by local authorities and/or the supervisor.

6 Rehabilitation of Work and Camp Sites

Topsoil shall be stripped, removed and stored for subsequent rehabilitation. Soils shall not be stripped when they are wet. Topsoil shall not be stored in large or high heaps. Low mounds of no more than 1 to 2m high are recommended.

Generally, rehabilitation of work and camp sites shall follow the following principles:

- To the extent practicable, reinstate natural drainage patterns where they have been altered or impaired.
- Remove toxic materials and dispose of them in designated sites. Backfill excavated areas with soils or overburden that is free of foreign material that could pollute groundwater and soil.
- Ensure reshaped land is formed so as to be stable, adequately drained and suitable for the desired long-term land use, and allow natural regeneration of vegetation.
- Minimize erosion by wind and water both during and after the process of reinstatement.
- Compacted surfaces shall be deep ripped to relieve compaction unless subsurface conditions dictate otherwise.

7 Management of Water needed for Construction Purposes

The Contractor shall at all costs avoid conflicting with water needs of local communities. To this effect, any temporary water abstraction for construction needs from either ground or surface water shall be submitted to the following community consultation process:

- Identification of water uses that may be affected by the planned water abstraction,
- Consultation with all identified groups of users about the planned water abstraction,
- In the event that a potential conflict is identified, report to the supervising authority.

(i) This consultation process shall be documented by the Contractor (via minutes of meeting) for review and eventual authorization of the water withdrawal by the Supervising Engineer
(ii) . Abstraction of both surface and underground water shall only be done with the consultation of the local community as mentioned and after obtaining a permit from the relevant authority.
(iii) Abstraction of water from dambos, marshes, and similar wetlands is prohibited.
(iv) Temporary damming of streams and rivers is submitted for the Supervising Engineer's approval by the. It shall be done in such a way as to avoid disrupting water supplies to communities downstream, and to maintain the ecological balance of the river system.
(v) No construction water containing spoils or site effluent, especially cement and oil, shall be allowed to flow into natural water drainage courses. Similarly, wash water from washing out of equipment shall not be discharged into water courses or road drains. Washing bays shall be sited accordingly. Unless site conditions are not favorable, it will generally be infiltrated through soak pits or similar means.
(vi) Site spoils and temporary stockpiles shall be located away from the drainage system, and surface

run off shall be directed away from stockpiles to prevent erosion.

8 Traffic Management and Community Safety

Location of temporary access roads shall be done in consultation with the local community and based on the screening results, especially in important or sensitive environments. Temporary access roads shall not traverse wetland areas or other ecologically sensitive areas. The construction of any access roads shall be submitted to a prior consultation process with potentially affected communities that will be documented (minutes of meetings) for the Supervising Engineer's review and approval. Upon the completion of civil works, all temporary access roads shall be ripped and rehabilitated. Measures shall be taken to suppress dust emissions generated by Program traffic. Maximum speed limits for any traffic related with construction at NG-SURWASH sites shall be the following,

- Inhabited areas: 50 km/h
- Open road: 80 km/h.

9 Salvaging and Disposal of Obsolete Components found by Rehabilitation Works

Obsolete materials and construction elements such as electro-mechanical equipment, pipes, accessories and demolished structures shall be salvaged and disposed of in a manner approved by the supervisor. The Contractor has to agree with the supervisor which elements are to be surrendered to the Client's premises, which will be recycled or reused, and which will be disposed of at approved landfill sites.

Any asbestos cement material that might be uncovered when performing rehabilitation works will be considered as hazardous material and disposed of in a designated facility. Scavenging and reuse of such materials must be prohibited.

10 Compensation of Damage to Property

Compensation of land acquired permanently for Program purposes will be handled under Client responsibility based on the provisions of the RPF. However, in the event that the Contractor, deliberately or accidentally, damages property, he shall repair the property to the owner's satisfaction and at his own cost. For each repair, the Contractor shall obtain from the owner/user a certificate that the damage has been made good satisfactorily in order to indemnify the Client from subsequent claims. In any case where compensation for inconveniences, damage of crops etc. are claimed by the owner, the Client has to be informed by the Contractor through the Supervising Engineer.

11 Contractor's Health, Safety and Environment Management Plan (HSE-MP)

Within 6 weeks of signing the Contract, the Contractor shall prepare an HSE-MP to ensure the adequate management of the health, safety, environmental and social aspects of the works, including implementation of the requirements of these general conditions and any specific requirements of an ESSMP for the works. The Contractor's EHS-MP will serve two main purposes:

(i) The Contractor's HSE- MP shall provide at least:

- A description of procedures and methods for complying with these general environmental management conditions, and any specific conditions specified in an ESMP;
- A description of specific mitigation measures that will be implemented in order to minimize adverse impacts;
- A description of all planned monitoring activities and the reporting thereof; and
- The internal organizational, management and reporting mechanisms put in place for such**.**

(ii) The Contractor's HSE-MP will be reviewed and approved by the Client before start of the works. This review should demonstrate if the Contractor's HSE-MP covers all of the identified impacts, and has defined appropriate measures to counteract any potential impacts.

12 HSE Reporting

The Contractor shall prepare bi-monthly progress reports to the Client (PIU) on compliance with these general conditions, the sub-program ESMP if any, and his own HSE- MP. The Contractor's reports will include information on:

- HSE management actions/measures taken, including approvals sought from local or national authorities;
- Problems encountered in relation to HSE aspects (incidents, including delays, cost consequences, etc. as a result thereof);
- Non-compliance with contract requirements on the part of the Contractor;
- Changes of assumptions, conditions, measures, designs and actual works in relation to HSE aspects; and
- Observations, concerns raised and/or decisions taken with regard to HSE management during site meetings.

The reporting of any significant HSE incidents shall be done as soon as practicable. Such incident reporting shall therefore be done individually. The Contractor should keep his own records on health, safety and welfare of persons, and damage to property. It is advisable to include such records, as well as copies of incident reports, as appendixes to the bi-monthly reports. Details of HSE performance will be reported to the Client.

13 Training of Contractor's Personnel

The Contractor shall provide sufficient training to his own personnel to ensure that they are all aware of the relevant aspects of these general conditions, any program ESSMP, and his own HSEMP, and are able to fulfill their expected roles and functions. Specific training will be provided to those employees that have particular responsibilities associated with the implementation of the HSE-MP. Training activities will be documented for potential review by the Client.

Amongst other issues, training will include an awareness session for all employees on HIVAIDS addressing the following topics:

- What is HIV/AIDS?
- How is HIV/AIDS contracted?
- HIV/AIDS prevention.

14 Penalties for Non-Compliance

In the HSE-MP, the Contractor shall specify strict penalties (warnings, dismissal, etc.) and transparent

enforcement procedures for non-compliance by any employees or contracted personnel. The Supervising Engineer shall oversee the Contractor's timely and appropriate application of these procedures during project construction.

Any material (non-trivial) environmental or social damages by the Contractor due to noncompliance with these Rules must be rectified before the Contractor will be eligible to receive his final payment.

Appendix 14F: Chance Finds Procedures

1. Chance Finds Procedures

Chance Find Procedures outline, step by step, what needs to be done when projects come across archaeological sites, historical sites, remains and objects, including graveyards or individual graves during excavations or construction. This procedure responds to World Bank core Principle 2 Natural Habitat and Cultural Resources. This Principle addresses physical cultural resources which are defined as movable or immovable objects, sites, structures that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. Physical cultural resources may be located in urban or rural settings and may be above or below the ground.

2. Chance Finds Procedures for Water Distribution Network Rehabilitation

If the contractor of the water distribution network rehabilitation component discovers archaeological sites, historical sites, remains and objects, including graveyards and/or individual graves during excavations or construction, the implementers will carry out the following steps:

a) Stop the construction or excavation activities in the area of the chance find;

b) Delineate the discovered site or area;

c) Secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, a night guard shall be arranged until the responsible local authorities or the Department of Antiquities take over;

d) Notify the Social Specialist of NG-SURWASH Water Project Implementation Unit or the Project Manager who in turn will notify the responsible officer in the Departments of Antiquities immediately (within 24 hours or less);

e) Responsible officer from the Department of Antiquities would be in charge of protecting and preserving the site before deciding on subsequent appropriate procedures. This would require a preliminary evaluation of the findings to be performed by the archeologists. The significance and importance of the findings should be assessed according to the various criteria relevant to cultural heritage; those include the aesthetic, historic, scientific or research, social and economic values;

f) Decisions on how to handle the finding shall be taken by the responsible authorities at the Department of Antiquities. This could include changes in the layout (such as when finding an irremovable remain of cultural or archeological importance) conservation, preservation, restoration and salvage;

g) Implementation for the authority decision concerning the management of the finding shall be communicated in writing by the Department of Antiquities to Water Board; and

h) Construction work could resume only after permission is given from the responsible local authorities or department responsible for culture or antiquities concerning safeguard of the heritage.

Appendix 14G: Guidance for the Preparation and Implementation of the Environment and Social Management Plan (ESMP)

I. Introduction

II. Content of the ESMP

Consultant's Task include the following to a minimum:

I. Describe the existing status of the project sites;
II. Identify the environmental and social issues/risks associated with the existing condition of the facility;
III. Select appropriate baseline indicators
IV. Develop a plan for mitigating environmental and social risks associated with rehabilitation and operation of the sub-projects in consultation with the relevant stakeholders; Identify feasible and cost-effective measures that may reduce potentially significant adverse environmental and social impacts to acceptable levels;
V. Develop a time-bound plan for mitigating environmental and social risks associated with the scope of works in consultation with the relevant public and government agencies;
VI. Identify monitoring objectives and specifies the type of monitoring, with linkages to the impacts assessed and the mitigation measures described above;
VII. Provide a specific description of institutional arrangements: the agencies responsible for carrying out the mitigation and monitoring measures (e.g for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training) and the contractual arrangements for assuring the performance of each implementation agency;
VIII. The following socio-economic issues shall be addressed in the ESMP:

- A summary of the impacted project beneficiaries/project affected persons for the project: location, restriction of access, population (number, demographic and social characteristics); economy (employment rate, income distribution); services (types, capacity, and adequacy) and housing.
- A summary of the views of the project beneficiaries/project affected persons including vulnerable groups, determined through documented consultations

i. Undertake consultations with primary and secondary stakeholders in order to obtain their views about the project. These consultations shall occur during the preparation of the ESMP to identify key E&S issues, impacts and mitigation measures
ii. Prepare ESMP report

Deliverables and Timing

The Consultancy will submit the following deliverables as per the timing to be determined by the client.

Inception Report: This report shall include a detailed work plan. This will be discussed by the consultant, client and other experts to ensure quality of the final outcome at the scoping stage. The inception report shall integrate results from the review by the Client and from the consultation of all stakeholders. Six (6) copies shall be submitted to the client. In addition, there shall be an electronic version. This will be delivered within one week after contract signing; 6 hard copies and 1 soft (electronic) copy of).

Draft Reports: A Standalone draft ESMP Report for the specific site shall be submitted for comments in 3 weeks from the date of signing the contract. It will identify all the areas, the mitigation measures, and the environmental and social issues associated with the site intervention sub-projects, as well as the adequacy of the monitoring and institutional arrangements in the intervention site. Six (6) copies of the draft ESMP as well as 1 electronic copy shall be submitted to the client.

Final Reports: A standalone Final ESMP Reports for the specific site will take into account all comments from the client and World Bank and will be submitted to the SPIU at the end of 1 week after the review and clearance of the ESMP report. In addition, it shall include a concise Executive Summary and shall have all annexes, maps and diagrams and bibliography and the disclosure plan. Six (6) copies of the draft final ESMP well as 1 electronic copy shall be submitted to the client.

Appendix 14H: Screening Form for Potential Environmental and Social Issues

This form is to be used by the State Project Implementation Unit (SPIU) and relevant local institutions to screen potential environmental and social risk levels of a proposed subproject under the Program. The screening will determine the project related E&S risks and impacts for the different risk categories (High, Substantial, Moderate, Low) for the proposed Program activities.

Subproject Name	
Subproject Location	
Subproject Proponent	
Estimated Investment	
Start/Completion Date	

Questions	Not Applicable	**Answer**		**Remarks**	**Due diligence / Actions if "yes"**
		yes	no		
1. Does the subproject involve civil works that include new/upgrading or rehabilitation of infrastructure					ESIA or ESMP
2.Is there sound regulatory framework, institutional capacity in place the sub-project?					
3.Was the sub project analyzed in terms of impacts and risks and using the mitigation hierarchy					
4.Does the subproject area present considerable Gender-Based Violence (GBV), Sexual Exploitation and Abuse (SEA), and Sexual Harassment (SH) risks?					
5.Does the subproject involve recruitment of workforce including direct, contracted, primary supply, and/or community workers?					

Questions	Not Applicable	Answer		Remarks	Due diligence / Actions if "yes"
		yes	no		
6.Does the subproject include an independent unit/or group for accountability and grievance and conflict resolution					
7.Is the subproject associated with any external waste management facilities such as a sanitary landfill, incinerator, or wastewater treatment plant for					
8.Does the subproject release airborne and/or water borne pollutants with concentration above the WHO / World Bank guidelines or National Guidelines					
9.Does the subproject result in GHG emissions or black carbons					
10.Does the subproject involve transboundary transportation of specimen, samples, infectious and hazardous materials?					
11.Does the subproject use pesticides, and herbicides					
12.Does the subproject have at least the necessary procedures for health and safety of its workers and its project affected people					
13.Does the sub-project is likely to apply the WHO code of Sexual abuse and exploitation regarding Gender-Based Violence (GBV), Sexual Exploitation and Abuse (SEA), and Sexual Harassment (SH) risks					
14.Does the subproject require acquisition of land or result in physical or economical displacement of (a) less than 200 people; (b) more than 200 people					
15.Was a social assessment conducted or will be conducted to identify and address the potential economic and social impacts of the subproject cause by involuntary land acquisition or resettlement					

Questions	Not Applicable	Answer		Remarks	Due diligence / Actions if "yes"
		yes	no		
16.Does the subproject have a mitigation hierarchy for minimizing, mitigating and managing the adverse impacts and risks related to the potential threats to biodiversity					
17.Is the subproject located within or in the vicinity of any ecologically sensitive areas?					
18.Will a river or stream ecology be adversely affected due to the installation of structures such as bridges, fixed barriers, and by-passes .Attention should be paid to water quality and quantity; the nature, productivity and use of aquatic habitats, and variations of these over time					
19.Are there any indigenous people, Sub-Saharan African Historically Underserved Traditional Local Communities and vulnerable groups present in the subproject area and are likely to be affected by the proposed subproject negatively or positively?					
20.Does (or will) the subproject undertake free, prior, and informed consultations with affected Indigenous Peoples/and Sub Saharan African historically underserved communities					
21.Is the subproject located within or in the vicinity of any known cultural heritage sites?					
22.Will the subproject ensure that the that physical cultural resources (PCR) are appropriately preserved and their destruction or damage is appropriately avoided					
23.Did the proponent of the subproject carry out regular consultation with a wide range of project stakeholders,					
24.Can the stakeholders play a significant role in shaping or affecting the subproject, either positively or negatively					

Questions	Not Applicable	Answer		Remarks	Due diligence / Actions if "yes"
		yes	no		
25.Is there any territorial dispute between two or more countries in the subproject and its ancillary aspects and related activities?					

A1. All answers to the checklist questions are "No". There is no need for further action.
Conclusions:

1. **Proposed Environmental and Social Risk Ratings (High, /Substantial, Moderate or Low).**

2. **Proposed environment and social Instruments.**

Appendix 14I: Illustrative Examples of Subprojects with Potential Associated E&S Risks

Types of investments	No risk	Low risk	Moderate Risk	Substantial risk	High Risk
Water Supply					
Water point rehabilitation Tertiary distribution piping Hand dug wells			✓		Exclusion Criteria List
Sanitation and Waste Management					
Washing facilities Public toilets/pit latrines Sewerage facilities and collection Sewage treatment lagoons Soak pits and septic tanks Composting sites Waste disposal facility					

.

Appendix 14J: Subproject Template Environment and Social Management Plan/ Mitigation Measures

Subproject Activity	Potential Environmental and Social Impacts	Proposed Mitigation Measure(s) (Incl. legislation & regulations)	Institutional Responsibilities (Incl. enforcement & coordination)	Cost Estimates	Comments (e.g. secondary impacts)
Pre-Construction Phase					
Construction Phase					
Operation and Maintenance Phase					

Annex ###
Environnent and Social Management Plan
Institutional Strengthening and Training for Implementation

Proposed Mitigation Measure	Parameters To be Monitored	Location	Measurements (Incl. methods & equipment)	Frequency of Measurement	Responsibilities (Incl. review and reporting)	Cost (equipment & individuals)
Pre-Construction Phase						
Construction Phase						
Operation and Maintenance Phase						
Total Cost for all Phases						

Appendix 14K: Template for the Periodic Report requirements on the Environment and Social Aspects of the Program

This form is designed for site inspection use and may not be exhaustive. Modifications and additions may be necessary to suit current/emerging situations on-site to address specific environmental issues and associated mitigation measures.

Project: .....
Site Location: .....
Construction Stage: Pre-Construction ☐ Construction ☐ Operation ☐
Activities: .....
Inspection Date: ..... Inspection Time: .....
Inspected by: .....

I. Institutional Strengthening Activity	Position(s) (Institutions, PIUs, contractors, construction supervision consultants)	Scheduling	Responsibilit(ies)	Cost Estimates	
Mitigation Measures					
Monitoring Requirements (incl. compliance)					
II. Training Activity	**Participants**	**Types of Training**	**Content (modules, etc.)**	**Scheduling**	**Cost Estimates**
EMP Implementation, Re-design, Conflict Resolution, etc.					
Environmental Processes, Methods & Equipment					
Environmental Policies & Programs					

Inspection Parameter	Implemented?			Rating (if yes)				Remarks: (specify location, good practices, problem observed, possible cause of non-conformity and/or proposed corrective /preventative actions)
	Yes	No	N/A	1	2	3	4	
1. Air Pollution Control								
1.1. Are the construction sites watered to minimize dust generated?								
1.2. Are all vehicles carrying dusty loads to and from site covered?								
1.3. Are vehicles, plant and equipment well maintained? (any black smoke observed, please indicate the plant/equipment and location)								
1.4. Are drivers/ workers trained on proper operation of vehicles and equipment especially on fuel efficiency and anti-idling techniques?								

Inspection Parameter	Implemented?			Rating (if yes)				Remarks: (specify location, good practices, problem observed, possible cause of non-conformity and/or proposed corrective /preventative actions)
	Yes	No	N/A	1	2	3	4	
1.5. Are speed control measures applied to reduce dust generation on unpaved surfaces? (e.g. speed limit sign)								
1.6. Others (please specify)								
2. Water and Soil Pollution Control								
2.1. Is any water quality parameter (Mn, Fe, Cu, Zn, Cd, Pb, **PO_4^3**, **NO_3^-**, **SO_4^{2-}**, **TDS, TSS, BOD, DO**) above baseline level?								
2.2. Is any soil quality parameter (pH, Ca, Mg, K, Na, Mn, Fe, Cu, Zn, P) above baseline level?								
2.3. Is off-site storm and flood water controlled before it reaches areas being excavated to prevent run-off of sediment?								
2.4. Are measures provided to prevent run-off of sediments to surface water? (e.g. silt fences)								
2.5. Are sedimentation traps free of silt and sediment?								
2.6. Are there measures to ensure fuel storage tanks are leak proof and installed with a bund?								
2.7. Others (please specify)								
3. Noise Control								
3.1. Does construction noise exceed 90dB(A)								
3.2. Does any haulage and noise generating activity take place outside working hours?								
3.3. Are idle vehicles/equipment turned off or throttled down?								
3.4. Are hearing protection devices used (ear plugs/muffs)?								
3.5. Any noise mitigation measures adopted (e.g. mufflers on engine exhausts, use of noise barrier etc)?								
3.6. Are silenced equipment utilized?								
3.7. Others (please specify)								
4. Waste Management								
4.1. Is there a site specific waste management plan being implemented?								

Inspection Parameter	Implemented?			Rating (if yes)				Remarks: (specify location, good practices, problem observed, possible cause of non-conformity and/or proposed corrective /preventative actions)
	Yes	No	N/A	1	2	3	4	
4.2. Are excavated materials reused as fill materials?								
4.3. Is the site kept clean and tidy? (e.g. litter free, good housekeeping)								
4.4. Are stockpile & disposal area stable and protected against erosion?								
4.5. Are separated labelled containers / areas provided for facilitating recycling and waste segregation?								
4.6. Are construction wastes / recyclable wastes and general refuse removed off site regularly?								
4.7. Are construction wastes collected and disposed of properly by licensed collectors?								
4.8. Are chemical wastes, if any, collected and disposed of properly by licensed collectors?								
4.9. Are oil drums and plants/equipments provided with drip trays/ bunds?								
4.10. Are drip trays/ bunds free of oil and water?								
4.11. Is there any oil spillage? Clean-up the contaminated soil immediately?								
4.12. Others (please specify)								
5. **Storage of Oils, Chemicals and Hazardous Materials**								
5.1. Are oils/chemicals/ hazardous materials securely stored and labelled properly?								
5.2. Is there any spillage or contamination observed on site?								
5.3. Are there proper measures to control oil/ chemical spillage? (e.g. provide bunds)								
5.4. Are spill kits / sand / saw dust used for absorbing chemical spillage readily accessible?								
5.5. Others (please specify)								
6. **Protection of Flora, Fauna and Historical Heritage**								
6.1. Are disturbance to terrestrial flora minimized/ limited to area of need?								
6.2. Are disturbance to terrestrial fauna minimized/ limited to area of need?								

Inspection Parameter	Implemented?			Rating (if yes)				Remarks: (specify location, good practices, problem observed, possible cause of non-conformity and/or proposed corrective /preventative actions)
	Yes	No	N/A	1	2	3	4	
6.3. Any historical heritage exists on site? If yes, is appropriate measures taken to preserve it?								
6.4. Others (please specify)								
7. **Protection of Public Utility/ Community Infrastructure**								
7.1. Is there any damage to underground public utility cables/pipes?								
7.2. Is there any disruption to public utility services?								
7.3. In case of disruption, was service swiftly restored?								
7.4. Are all basic amenities provided in workers' camp to prevent dependencies on community infrastructure?								
7.5. Are grievances/ complaints received and documented?								
7.6. Are aggrieved parties adequately carried along in the Grievance Redress process?								
7.7. Others (please specify)								
8. **Protection of Community Culture, Safety and Security**								
8.1. Does workers' Code of Conduct meet the requirements of ESMP and best practice?								
8.2. Does the Code of Conduct prohibit violence against women, exploitation, prostitution, use of illegal drugs etc?								
8.3. Does the Code of Conduct highlights penalties and punishments for offences								
8.4. Rate the level of awareness of workers to local cultures, traditions and lifestyles								
8.5. Is there any underage worker on site?								
8.6. Are there local workers on site? What is the percentage of local workforce to the total workforce?								
8.7. Are there competent security personnel on site?								
8.8. Others (please specify)								
9. **Protection of Community Health**								
9.1. Is there any HIV prevention program implemented (peer education, condom distribution etc)?								
9.2. Is there any health awareness and education initiatives on STDs amongst workers and in nearby communities?								

Inspection Parameter	Implemented?			Rating (if yes)				Remarks: (specify location, good practices, problem observed, possible cause of non-conformity and/or proposed corrective /preventative actions)
	Yes	No	N/A	1	2	3	4	
9.3. Are the drivers trained on defensive driving techniques, haulage & pedestrian safety?								
9.4. Are there speed control devises on vehicles?								
9.5. Are there traffic signs on the roads?								
10. **Protection of Workers' Health**								
10.1. Is there a site specific Occupational Health and Safety (OHS) plan being implemented?								
10.2. Does the OHS Plan meet the requirements of ESMP and best practice?								
10.3. Is there a trained First Aider and First Aid box on site?								
10.4. Are the right Personal Protective Equipment (PPE) being used by workers?								
10.5. Are workers observing basic safe working practices?								
10.6. Are there illicit drugs or alcohol on site?								
10.7. Others (please specify)								
11. **Emergency Preparedness and Response**								
11.1. Are there emergency contingency plan in place for accident, fire, spillage?								
11.2. Are accidents and incidents reported and reviewed, and corrective & preventive actions identified and recorded?								
11.3. Others (please specify)								

Key	Rating	Definition
N/A	-	Not Applicable
1	Unsatisfactory	Performance consistently fails to meet the minimum requirements or expectation.
2	Moderately Satisfactory	Performance meets some but not all of the requirements or expectation.
3	Satisfactory	Performance is consistent with requirements or expectation.
4	Highly Satisfactory	Performance is consistent and frequently exceeds requirements or expectation.

Template for the Half yearly/Annua Report requirements on the Environment and Social Aspects of the Program

1. Summary Description of the supported activities

2. Summary of the E&S aspect of the program (a summary of the periodic report)
3. Update of PAP status
4. Any other E&S aspect

Appendix 14L: Water Supply and Sanitation

Potential Impacts	Generic Mitigation Measures	Monitoring Indicators	Responsibility
Cross contamination sewage and water lines due to pressure differentials and leaks	Employ suitable prevention and mitigation measures (e.g. good drainage around water supply points)	• Complaint from community • Occurrence of disease or illness	Government
Negative social and economic effects on existing community water management practices and relationships	Consider water conservation measures instead of or in addition to a new water supply project, for example: • Upgrade or renovate existing systems (e.g. deepen and clean existing wells, reduce leakage, evaporation and seepage loss) • Introduce water recycling and reuse	• Level of community participation (number of individuals involved and allocated responsibilities) in management of water supply structures • Level and quantity of water recycling and reuse carried out per community	Community/NGO
Potential land use conflicts	Avoid locating project works that require: • Resettlement • Displacement of other important land uses • Encroachment on historical, cultural, traditional use areas, or protected areas	• Number of people displaced and compensated • Encroachment onto historical, cultural or protected areas	Local government/ Community
Conflicting demands on surface or groundwater supplies	• Ensure sufficient community participation and organization for effective planning and management of water supply system, and for equitable water distribution • Develop water supply sources: o Where water quantities are adequate and the project will not conflict with existing human, livestock, wildlife or aquatic water uses, especially during dry seasons o So that withdrawals do not exceed “safe yield” from groundwater resources	• Level of community participation (number of individuals involved and allocated responsibilities) in management of water supply structures	Local government/ Community
Illness or disease related to poor source water quality or from contaminants entering water supply system	• Ensure that water is fit for drinking (make regular testing a part of the project if possible) • Ensure planning, design, and maintenance of supply, sanitation, and wastewater works is appropriate to local needs, and to soil and water table conditions	• Occurrence of illness or disease • Regular testing (if possible) • Involve community in local planning process	Local government/ Community
Contaminated soils from	Ensure planning, design, and	Involve community in local	Local

disposal of inadequately decomposed wastewaters	maintenance of supply, sanitation, and wastewater works is appropriate to local needs, and to soil and water table conditions	planning process	government/ Community
Potential Impacts	**Generic Mitigation Measures**	**Monitoring Indicators**	**Responsibility**
Contamination of water source supply	• Protect groundwater sources from surface runoff (e.g. rainwater, spillage around wells, wastewater from latrines or homes) that may enter as drainage from above or as seepage from below • Locate source well away from latrines, septic systems, traditional defecating areas, and animal pens • Protect surface water sources from contamination from: o Runoff from nearby agricultural areas (e.g. silt, agro-chemicals, animal waste) o Other uses such as bathing, laundering, and animal watering o Garbage and vegetative debris	• Occurrence of illness or disease • Decrease in production due to water contamination (e.g. stunted growth, no growth) • Complaints/problems documented form local community	Local government/ Community
Groundwater contamination	• Ensure adequate design, installation, and maintenance of latrines, holding tanks, septic systems and wastewater soak-aways • Ensure adequate spacing between latrines and soak-aways	• Occurrence of illness or disease • Decrease in production due to water contamination (e.g. stunted growth, no growth)	Local government/ Community
Surface water contamination	• Ensure proper maintenance of latrines, holding tanks, septic systems and wastewater soak-aways • Locate latrines, septic systems and soak-aways at least 30 meters from any waterbody (e.g. stream, lake, river)	• Occurrence of illness or disease • Decrease in production due to water contamination (e.g. stunted growth, no growth)	Local government/ Community

Appendix 14M: Waste Management

Potential Impacts	Generic Mitigation Measures	Monitoring Indicators	Responsibility
Displaced land uses	Involve community in locating project sites and access routes as well as developing practices and responsibilities for managing project activities and sites	Survey of local population regarding land uses	TBD
Disruption or destruction of sites of cultural, religious or historical importance	Involve community in locating appropriate project sites and access routes that avoid such resources	Survey of local population regarding problems with culturally sensitive areas	TBD
Human settlements and land uses near landfill and composting sites	Involve community in locating project sites and access routes	Survey of local population regarding siting of facility	TBD
Wind-blown garbage, dust and smoke	Spread and compact incoming refuse, and cover with soil, daily	Complaints from community	TBD
Increased traffic to/from the sites	Pave access roads, or use water spraying to reduce dust	Complaints from community	TBD
Odors	• Provide for safe ventilation of decomposition gases • Spread and compact refuse, and cover with soil daily	Complaints from community	TBD
Containment of water sources	• Ensure site layout and management practices, including working training, are adequate • Install adequate surface drainage control measures • Maintain erosion and surface drainage control measures during operations	• Incidences of illness or disease • Decrease in agricultural production	TBD
Creation of stagnant water sources	• Ensure site layout is adequate for drainage • Install adequate surface drainage control measures • Maintain erosion and surface drainage control measures during operations	Periodic check for pooling water due to inadequate drainage	TBD
Creation of stagnant water in project sites that breed disease carriers	Assess ecology of disease carriers in project area and employ suitable mitigation measures (e.g. proper drainage)	• Increase in disease carriers • Occurrence of illness or disease	TBD
Loss of natural area, important habitats, biodiversity	Avoid infringing on: • Protected natural areas and wilderness areas • Critical habitats or areas with significant biodiversity (e.g. wetlands)	Survey land area and community for environmentally sensitive areas/habitats	TBD
Soil erosion	• Minimize time of exposure of areas cleared, graded or excavated • Stabilize and revegetate disturbed areas • Install adequate surface drainage control measures • Maintain erosion and surface drainage control measures during operations	• Degree of erosion	TBD

	•		
Potential Impacts	**Generic Mitigation Measures**	**Monitoring Indicators**	**Responsibility**
Contamination of surface and groundwaters with landfill runoff and leachate	• Protect water resources by locating landfills: o Where the underlying soils are relatively impermeable, and have a high capability for containing chemical contaminants (e.g. clays) o So that the bottom of the landfill is above the water table o Away and down gradient from surface waters, and groundwater recharge areas sources, whose use could be affected by contamination unless the distance to the receiving water is adequate to dilute and disperse potential contamination • Use a landfill liner (e.g. clay, synthetic) • Collect surface runoff and discharge to safe area • Install test wells at landfill perimeter, and monitor water quality during operations, for early identification and mitigation of emerging adverse effects	• Complaints from community • Lower agricultural productivity • Increased instances of illness or disease	TBD

Appendix 14N: Environmental Management of Construction Activities

Proper environmental management of construction projects can be achieved only with adequate site selection and project design. As such, the subprojects involving any new construction, or any rehabilitation or reconstruction for existing projects, should provide information as to screening criteria for site selection and design including the following:

1.1 SITE SELECTION

Sites should be chosen based on community needs for additional projects, with specific lots chosen based on geographic and topographic characteristics. The site selection process involves site visits and studies to analyze: (i) the site's urban, suburban, or rural characteristics; (ii) national, state, or municipal regulations affecting the proposed lot; (iii) accessibility and distance from inhabited areas; (iv) land ownership, including verification of absence of squatters and/or other potential legal problems with land acquisition; (v) determination of site vulnerability to natural hazards, (i.e. intensity and frequency of floods, earthquakes, landslides, hurricanes, volcanic eruptions); (vi) suitability of soils and subsoils for construction; (vii) site contamination by lead or other pollutants; (viii) flora and fauna characteristics; (ix) presence or absence of natural habitats and/or ecologically important habitats on site or in vicinity (e.g. forests, wetlands, coral reefs, rare or endangered species); and (ix) historic and community characteristics.

1.2 PROJECT DESIGN

Project design criteria include, but are not limited to, the consideration of aspects such as heating, ventilation, natural and artificial light energy efficiency, floor space (ft^2) per bed/ward, requirements for x-ray rooms, adequacy of corridors for wheel chair/bed access, adequate water supply and sanitation systems , historical and cultural considerations, security and handicapped access.

1.3 CONSTRUCTION ACTIVITIES AND ENVIRONMENTAL RULES FOR CONTRACTORS

The following information is intended solely as broad guidance to be used in conjunction with local and national regulations. Based on this information, environmental rules for contractors should be developed for each project, taking into account the project size, site characteristics, and location (rural vs. urban).

After choosing an appropriate site and design, construction activities can proceed. As these construction activities could cause significant impacts on and nuisances to surrounding areas, careful planning of construction activities is critical. Therefore, the following rules (including specific prohibitions and construction management measures) should be incorporated into all relevant bidding documents, contracts, and work orders.

1.3.1 Prohibitions

The following activities are prohibited on or near the project site:

- Cutting of trees for any reason outside the approved construction area; o Hunting, fishing, wildlife capture, or plant collection; use of unapproved toxic materials, including lead-based paints, asbestos, etc. o Disturbance to anything with architectural or historical value; o Building of fires;

- Use of firearms (except authorized security guards); o Use of alcohol by workers.

1.3.2 Construction Management Measures

Waste Management and Erosion:

Solid, sanitation, and, hazardous wastes must be properly controlled, through the implementation of the following measures:

Waste Management:

- Minimize the production of waste that must be treated or eliminated. o Identify and classify the type of waste generated. If hazardous wastes (including health care wastes) are generated, proper procedures must be taken regarding their storage, collection, transportation and disposal.
- Identify and demarcate disposal areas clearly indicating the specific materials that can be deposited in each.
- Control placement of all construction waste (including earth cuts) to approved disposal sites (>300 m from rivers, streams, lakes, or wetlands). Dispose in authorized areas all of garbage, metals, used oils, and excess material generated during construction, incorporating recycling systems and the separation of materials.

Maintenance:

- Identify and demarcate equipment maintenance areas (>15m from rivers, streams, lakes or wetlands).
- Ensure that all equipment maintenance activities, including oil changes, are conducted within demarcated maintenance areas; never dispose spent oils on the ground, in water courses, drainage canals or in sewer systems.
- Identify, demarcate and enforce the use of within-site access routes to limit impact to site vegetation.
- Install and maintain an adequate drainage system to prevent erosion on the site during and after construction.

Erosion Control

- Erect erosion control barriers around perimeter of cuts, disposal pits, and roadways.
- Spray water on dirt roads, cuts, fill material and stockpiled soil to reduce windinduced erosion, as needed.
- Maintain vehicle speeds at or below 10mph within work area at all times.

Stockpiles and Borrow Pits

- Identify and demarcate locations for stockpiles and borrow pits, ensuring that they are 15 meters away from critical areas such as steep slopes, erosion-prone soils, and areas that drain directly into sensitive waterbodies.
- Limit extraction of material to approved and demarcated borrow pits.

Site Cleanup

- Establish and enforce daily site clean-up procedures, including maintenance of adequate disposal facilities for construction debris.

1.3.3 Safety During Construction

The Contractor's responsibilities include the protection of every person and nearby property from construction accidents. The Contractor shall be responsible for complying with all national and local safety requirements and any other measures necessary to avoid accidents, including the following:

- Carefully and clearly mark pedestrian-safe access routes. o If school children are in the vicinity, include traffic safety personnel to direct traffic during school hours.
- Maintain supply of supplies for traffic signs (including paint, easel, sign material, etc.), road marking, and guard rails to maintain pedestrian safety during construction.
- Conduct safety training for construction workers prior to beginning work.
- Provide personal protective equipment and clothing (goggles, gloves, respirators, dust masks, hard hats, steel-toed and –shanked boots, etc.,) for construction workers and enforce their use.
- Post Material Safety Data Sheets for each chemical present on the worksite.
- Require that all workers read, or are read, all Material Safety Data Sheets. Clearly explain the risks to them and their partners, especially when pregnant or planning to start a family. Encourage workers to share the information with their physicians, when relevant.
- Ensure that the removal of asbestos-containing materials or other toxic substances be performed and disposed of by specially trained workers.
- During heavy rains or emergencies of any kind, suspend all work. o Brace electrical and mechanical equipment to withstand seismic events during the construction.

1.3.4 Nuisance and dust control

To control nuisance and dust the Contractor should:

- Maintain all construction-related traffic at or below 15 mph on streets within 200 m of the site.
- Maintain all on-site vehicle speeds at or below 10 mph. o To the extent possible, maintain noise levels associated with all machinery and equipment at or below 90 db. o In sensitive areas (including residential neighborhoods, hospitals, rest homes, etc.) more strict measures may need to be implemented to prevent undesirable noise levels.
- Minimize production of dust and particulate materials at all times, to avoid impacts on surrounding families and businesses, and especially to vulnerable people (children, elders).
- Phase removal of vegetation to prevent large areas from becoming exposed to wind. o Place dust screens around construction areas, paying particular attention to areas close to housing, commercial areas, and recreational areas.
- Spray water as needed on dirt roads, cut areas and soil stockpiles or fill material.
- Apply proper measures to minimize disruptions from vibration or noise coming from construction activities.

1.3.5 Community Relations

To enhance adequate community relations the Contractor should:

- Following the country and EA requirements, inform the population about construction and work schedules, interruption of services, traffic detour routes and provisional bus routes, as appropriate.

- Limit construction activities at night. When necessary ensure that night work is carefully scheduled and the community is properly informed so they can take necessary measures.
- At least five days in advance of any service interruption (including water, electricity, telephone, bus routes) the community must be advised through postings at the project site, at bus stops, and in affected homes/businesses.

1.3.6 Chance Find Procedures for Culturally Significant Artifacts

The Contractor is responsible for familiarizing themselves with the following "Chance Finds Procedures", in case culturally valuable materials are uncovered during excavation, including:

- Stop work immediately following the discovery of any materials with possible archeological, historical, paleontological, or other cultural value, announce findings to project manager and notify relevant authorities;
- Protect artifacts as well as possible using plastic covers, and implement measures to stabilize the area, if necessary, to properly protect artifacts
- Prevent and penalize any unauthorized access to the artifacts o Restart construction works only upon the authorization of the relevant authorities.

1.4 ENVIRONMENTAL SUPERVISION DURING CONSTRUCTION

The bidding documents should indicate how compliance with environmental rules and design specifications would be supervised, along with the penalties for noncompliance by contractors or workers. Construction supervision requires oversight of compliance with the manual and environmental specifications by the contractor or his designated environmental supervisor. Contractors are also required to comply with national and municipal regulations governing the environment, public health and safety.

Appendix 14O: SURWASH FPIU/SPIU GRM Effectiveness Monitoring Framework

S/ N	*OUTPUT*	*INDICATOR*	*SOURCES OF INFORMATION*	*FREQUENCY OF DATA COLLECTION*	*RESPONSIBLE ENTITY*
1.	Conduct Preliminary stakeholder engagements/awareness building	Number of stakeholders' engagement meetings conducted	Meeting minutes or reports	1st quarter	Social Safeguards Officers, M & E Specialist
		Awareness building and communication materials (fliers, billboards, Bills, other awareness and instructive materials) distributed	Monthly reports of GRM administrator/GRC	Monthly	
2.	Set-up GRM in the participating SPIUs	Community GRC established	Reports with photographs submitted to the FPIU monthly and to the World Bank quarterly	Monthly/ quarterly	Social Safeguards Officers, M & E Specialist
		Complaints uptake channels set up: Complaint drop boxes, Log-Books, Telephone hotlines, Email, WhatsApp etc. in place			
	Initiate and operate Grievance Redress mechanism	Town hall Community Briefing conducted as at when due	Participation/coverage Photographic evidences Report submitted to the FPIU monthly and to the World Bank quarterly	Quarterly	
		Grievance receipt and registration (logging); screening; sorting; and feedback to complainants on grievances are being carried out on schedule			
		Communication and systems; Radio , TV, Posters,			

		Fliers etc. maintained and effective.			
3.	GRM processes are working effectively and identifying needs for refinement and changes	Beneficiaries aware and encouraged to participate in GRM Beneficiaries actively participating and using GRM	Reports from in-house evaluation	Quarterly	Social Safeguards Officer, M & E Specialist
4.	Refinements and changes	Beneficiaries actively participating and using GRM	Reports from Inhouse evaluation Results from GRM user satisfaction survey by external consultant Results from Independent survey and audit of GRM performance and effectiveness by external consultant	Program Midterm review	Social Safeguards Officer, M & E Specialist IVA Consultant

Appendix 14P: SURWASH GRM Evaluation Tool

This is a checklist of questions that can be used to help evaluate an existing grievance redress mechanism. The questions should be used to guide a discussion with the goal of identifying areas that are working well and areas that need improvement.

SURWASH SPIU GRM Effectiveness Evaluation Tool

Program Implementation Stage			
Organizational Commitment	Do the project's management and staff recognize and value the GRM process as a means of improving public administration and enhancing accountability and transparency?	YES	NO
	Is grievance redress integrated into the project's core activities?		
	Is grievance redress integrated into staff job descriptions and responsibilities?		
	Is it appropriately resourced and monitored?		
GRM Principles Evaluation			
Legitimacy	Does the GRM operate independently of interested parties?		
	Is the GRM widely-perceived as independent?		
Accessibility	Is the GRM accessible to all stakeholders, irrespective of their remoteness, language, education or income level?		
	Are procedures to file grievances and seek action easily understood by project beneficiaries?		
	Can grievances be filed anonymously?		
	Are there a range of contact options?		
	Is the GRM appropriately advertised and communicated to projectaffected people?		
Predictability	Is the GRM responsive to the needs of all complainants?		
	Does the GRM offer a clear procedure with time frames for each stage and clarity on the types of results it can (and cannot) deliver?		
Fairness	Are grievances treated confidentially, assessed impartially, and handled transparently?		
Right Compatibility	Are the GRM's outcomes consistent with applicable national and international standards?		
	Does it restrict access to other redress mechanisms?		
Principle	Are the GRM's procedures and outcomes transparent enough to meet the public interest concerns at stake?		
Capability	Are there dedicated and trained staff available to handle the GRM?		
	Are they given learning opportunities and do they receive any systematic reviews of their performance?		
Staff	Are there dedicated and trained staffs available to handle the GRM?		
	Are they given learning opportunities and do they receive any systematic reviews of their performance?		
GRM Process Evaluation			

Uptake	Do multiple uptake channels exist?		
Sorting and processing	Do multiple uptake channels exist?		
Acknowledgement and Follow-up	Are complaints acknowledged in writing?		
	Does the acknowledgement outline the GRM process, provide contact details and indicate how long it is likely to take to resolve the grievance?		
	Are there clear timetables that are publicly available?		
Verification, Investigation and Action	Is the merit of each grievance judged objectively against clearly defined standards?		
	Are investigators neutral or do they have a stake in the outcome?		
	Is action taken on every grievance?		
Monitoring and Evaluation	Is there a process to track grievances and assess progress being made to resolve grievances?		
	Are there indicators to measure grievance monitoring and resolution?		
	If there is data being collected, is this data used to make policy and/or process changes to minimize similar grievances in the future?		
Feedback	Does a user survey exist to get feedback on the credibility of the process?		
	Is such feedback publicly available?		
	Is there right to appeal?		
	If yes, are GRM users informed about this right?		
Analysis	Is there a process to analyze the effectiveness of the GRM?		
	Is there a timeframe?		

Appendix 14Q: SURWASH GBV Assessment Tools Part 1:

SAFETY AUDIT Note:

This tool is based upon observation. In areas of insecurity, you should not fill in the questionnaire while walking around the site/community; rather, take mental note of questions and observations and fill in the form later, after leaving the site/community.

Overall Layout	**Problem (Yes/No)**	**Comments**
Night lighting		
Overcrowding		
Observations related to movements of women and girls outside the camp for water, firewood, etc		
Water and Sanitation	**Problem (Yes/No)**	**Comments**
Night Lighting		
Walkways/movement		
Water points		
Latrines		
Showers		
Household	**Problem (Yes/No)**	**Comments**
Safety/privacy		
Cooking spaces		
Community	**Problem (Yes/No)**	**Comments**
Schools		
Markets		
Presence of Actors	**Presence (Yes/No)**	**Comments**
State military		
Other armed actors		
Barriers/checkpoints		

Part 2: SERVICE PROVIDERS MAPPING

This tool should be used during interview with GBV service providers

1. Did you provide services before any GBV incidence? Yes No
2. What type of services do you provide to survivors of GBV?
   - Health
   - Psychosocial / case management
   - Legal
   - Protection/ security
   - Sensitization / prevention

Health:

3. What type of medical personnel work for your organization here?
   - Nurses: How many? _____
   - Doctors: How many? _____
   - Midwives: How many? _____
   - Gynecologists: How many? _____

- Surgeons: How many? _____

4. Do you have GBV focal points? Yes No
5. Have the medical personnel received any specialized training on clinical care for survivors of GBV? Yes No
6. Have the medical personnel received any specialized training on the provision of care for child survivors of GBV? Yes No
7. Do you have complete post-rape kits available? Yes No
   - PPE
   - Emergency contraception
   - STI medicines
   - Hepatitis B vaccination
   - Tetanus vaccination

8. Do you have trained social workers on staff? Yes No
9. Do they have a safe, confidential space to receive survivors? Yes No

Psychosocial:

10. What specific services do you provide?
    - Basic emotional support
    - Case management / psychosocial
    - support Group activities
    - Other?

11. Do you have a safe, confidential space to receive survivors? Yes No
12. Do you have a maison d'ecoute to receive survivors? Yes No
13. What specific age groups do your activities serve?
    - Children
    - Young adolescents (10-14)
    - Older adolescents (15-18)
    - Adult women (18+) 15.

14. Are your psychosocial services provided by:

- Trained volunteers
- Partners (NGO, CBO, etc.)
- Staff of your organization

15. If you work with local NGOs/CBOs, what organizations are they and how many practitioners do they have on staff?
16. What kind of training have your volunteers and social workers received?

Safety and protection

17. What specific services do you provide?
    - Safety and security planning for survivors
    - Safe houses
    - Patrols
    - Others?
18. What specific age groups do your activities serve?

- Children
- Young adolescents (10-14)

- Older adolescents (15-18)
- Adult women (18+)

19. What are the significant challenges your organization faces in service provision?

20. Do you turn away women and girls because of a lack of available resources? Yes No

21. Other Comments

……
…..

Contact Person for the Organization
Name: _____
Telephone: _____ Email: _____

Part 3: KEY INFORMANT INTERVIEW

This tool is for use during key informant interviews. The team should identify key informants before beginning the assessment. Individual interviews take time; you should take into account the available resources and time during the prioritization of key informants to be targeted. Some of these questions are sensitive; you should review ethical considerations prior to the interview, particularly considering the security of both parties. It is possible to take out some questions if necessary due to security or other concerns. Fill out the relevant sections in regards to your key informant.
Interview date: _____ Place of interview: _____
Translation necessary for the interview: Yes No
If yes, the translation was from _____(language) to ____ (language)
Key informant's role in the community:
_____
Sex of key informant: Male Female
Age of key informant:
Important note: It is extremely unlikely that you will need to or be prepared to involve children in information collection as part of this rapid assessment. Be sure to revisit the WHO guidelines and to think through other means of gathering relevant information regarding the situation for girls under 18.

- 10-14 years
- 15-19 years
- 20-24 years
- 25-40 years
- Over 40 years

General Information

1. Is the concerned population benefiting from the SURWASH program? Yes No

2. What kind of community does the concerned population live in?

    - Organized camp
    - In a host community
    - Unorganized settlement
    - Public building (school, abandoned building, etc.)
    - Returnees living in village/home of origin
    - Returnees in a secondary displacement

3. If the population lives in an organized community, which of the following manages them:

    - Government Armed forces
    - UN agency
    - NGO
    - Private individual/organization
    - Other – If "other," please specify: ……
4. Are there reports of unaccompanied children in this community? Yes No

Access to Basic Services

5. What services are safely available to adult women in the community? If relevant, please note the organization offering these services.
    - Food aid / food distributions _____
    - Shelter _____
    - Non-food items _____
    - Health care (including reproductive health) _____
    - Hygiene/dignity kits _____
    - Education _____
    - Women-friendly spaces _____
    - Clean water _____
    - Latrines _____
    - Other – If "other," please specify:
      ……

6. What services are safely available to child and adolescent girls in the community? If relevant, please note the organization offering these services.
    - Food aid / food distributions _____
    - Shelter _____
    - Non-food items _____
    - Health care (including reproductive health) _____
    - Hygiene/dignity kits _____
    - Education _____
    - Women-friendly spaces _____
    - Clean water _____
    - Latrines _____
    - Other – If "other," please specify……

7. What are some reasons that girl children, adolescent girls, or adult women are unable to access some of these services?
    - Priority is given to men
    - No female staff providing services
    - Lack of sufficient medicines at health facilities
    - Unsafe for girls/women to travel to service locations
    - Girls/women not permitted to access their services by their families

- Not safe for girls/women to travel to the service sites
- Locations of services are not convenient for girls/women
- Hours are not convenient for girls/women
- Other – If "other," please specify: …….

8. Do girls and women go outside the community to earn income to meet basic needs? Yes No
   - How are women and girls doing to generate income to meet basic needs? (Select all that apply.)
   - Begging
   - Collecting firewood
   - Collecting straw
   - Having sex in exchange for money
   - Domestic work
   - Other – If "other," please specify:
     ……

9. Do women and girls usually travel outside the community in groups or alone?
   - Alone/individually
   - In groups

Security and Safety of Women and Girls

10. What are the most significant safety and security concerns facing adult women in this community? (Check all that apply.)
    - No safe place in the community
    - Sexual violence/abuse Violence in the home
    - Risk of attack when traveling outside the community
    - Being asked to marry by their families
    - Trafficking
    - Unable to access services and resources
    - Don't Know
    - Other – If "other," please specify:
      …….

11. What are the most significant safety and security concerns facing child and adolescent girls in this community? (Check all that apply.)
    - No safe place in the community
    - Sexual violence/abuse Violence in the home
    - Risk of attack when traveling outside the community
    - Being asked to marry by their families
    - Trafficking
    - Unable to access services and resources
    - Don't Know
    - Other – If "other," please specify:…….

12. Has there been an increase in security concerns affecting girls and women in the community? Yes No
13. Has there been a noticeable increase in rape/sexual violence being reported in the community? Yes No
14. What types of violence have women reported?

15. What types of violence have adolescent girls reported, if different from above?

16. What types of violence have girl children reported, if different from above?

17. In what context in the community does rape/sexual violence occur? (Select all that apply.)

- At home When girls/women are traveling to the market
- At latrines/bathing facilities
- When girls/women are collecting firewood
- At school When collecting water
- When going to access services (food aid, etc.)
- Don't Know
- Other – If "other," please specify: ……

18. Whom do women most often go for help, when they've been victims of some form of violence? Family member

    a. Community leader
    b. Police
    c. NGO
    d. UN Agency
    e. Friend
    f. Don't Know
    g. Other – If "other," please Specify …….

19. To whom do child and adolescent girls most often go for help, when they've been victims of some form of violence?
    - Family member
    - Community leader
    - Police
    - NGO working with women
    - Any female aid worker
    - UN Agency
    - Friend
    - Teacher
    - Don't Know
    - Other – If "other," please specify

20. Are there reports of sexual abuse or exploitation of girls and women? Yes No

21. Do any of the following groups have access to the camp or community?

- Military
- Informal militia groups
- Police
- Peacekeepers
- None of the above

22. If yes, are there reports of sexual abuse or exploitation involving members from any of these groups? Yes No

23. What safety measures have been put in place by police and/or peacekeeping forces to minimize any potential for risk to girls and women?

    - Police/peacekeeping patrols around the community
    - Community safely groups
    - Firewood collection patrols
    - Educating girls/women on how to report incidents
    - Increased number of female staff
    - Don't know
    - Other – If "other," please specify……..

24. Are there safe shelters or places that adult women can go to if they feel unsafe? Yes No

25. Are there safe shelters or places that adolescent girls can go to if they feel unsafe? Yes No

26. Are there safe shelters or places that girl children can go to if they feel unsafe? Yes No

Health Response to GBV

27. Are health services available for girls and women in the community? Yes No

28. If yes, do girls and women have access to the health services at anytime? Yes No

29. Are there female doctors, nurses and/or midwives at the health facilities? Yes No

30. What are some reasons that girl or women survivors of GBV may not be able to access health services?
    - Fear of being identified as survivors
    - Distance to health facility
    - No female staff
    - No availability of confidential treatment
    - Lack of trained staff
    - Don't know
    - Other – If "other," please specify:
      ……

Psychosocial Response to GBV

31. Are there psychological and/or social support systems for adult women survivors? Yes No

32. If yes, what kinds of support systems are available to adult women survivors? (Select all that apply.)
    - Drop-in Centers
    - Peer Support groups
    - Case management with individual counseling
    - Skills building
    - Education Income-generating activities/vocational training
    - Mental health referrals
    - Other – If "other," please specify ……..
33. Are there psychological and/or social support systems for girl-child and adolescent girl survivors? Yes No

34. If yes, what kinds of support systems are available to girl-child and adolescent girl survivors? (Select all that apply.)
    - Drop-in Centers
    - Peer Support groups
    - Case management with individual counseling
    - Skills building
    - Education Income-generating activities/vocational training
    - Mental health referrals
    - Other – If "other," please specify: ……..

35. Is there a functional referral system between health providers and organizations providing psychological or social support? Yes No

36. Are there informal community-based networks of women? Yes No

37. What are some reasons that girl or women survivors of GBV may not be able to access psychosocial support services?

- Fear of being identified as survivors
- Distance to facility
- No female staff
- No availability of confidential support
- Lack of trained staff
- Don't know
- Other – If "other," please Specify…….

Appendix 14R: Screening Checklist for Labor Influx in SURWASH Program

S/N	Key screening questions	Aspects to Consider
1.	Will the project potentially involve an influx of workers to the project location, and will the influx be considered significant for the local community?	• How many workers will be needed for the project, with what skill set, and for what period? • Can the project hire workers from the local workforce? • What is the size and skill level of the existing local workforce? • If the skill level of the local workforce does not match the needs of the project, can they be trained within a reasonable timeframe to meet project requirements? • How will the workers be accommodated? Will they commute or reside on site? If so, what size of camp will be required?
2.	Is the project located in a rural or remote area?	• What is the size of local population in the project area? • Is the project located / being carried out in an area that is not usually frequented by outsiders? • What is the frequency and extent of contact between the local community and outsiders? • Are there sensitive environmental conditions that need to be considered?
3.	Based on the socioeconomic, cultural, religious and demographic qualities of the local community and the incoming workers, is there a possibility that their presence or interaction with the local community could create adverse impacts?	• Is it likely that the incoming workers and the local community come from a shared socio-economic, cultural, religious or demographic background? • What is the level of existing resources, and will the incoming workers use or create competition for these resources? • What is the expected duration of the incoming workers' presence in the community? • Given the characteristics of the local community, are there any specific adverse impacts that may be anticipated?
Detailed Screening for Labor Influx in SURWASH program		
	Factors Relating to	***Aspects or Information to consider***
4.	Project and Civil works	• Size of the project, the duration of construction (and possible stages) • Type of project footprint (single site, linear, clustered) • Project size in relation to local community, taking into account project type and distance • Community experience with similar projects in the area, including possible legacy issues from other projects • Likely number of contractors and sub-contractors • Presence of other projects in the area with work force requirements
5.	Incoming Labor Force and Migrants	• Ability to provide local workers to reduce labor influx • Likely numbers of expected incoming workers and where they would come from (non-local, national,

		foreign, rural, urban) • Proposed accommodation options for workers • Proposed mode of transport from point of origin, and between labor camp(s) and site(s) • Likelihood that family members accompany workers (visiting, resident) • Service providers, including businesses and individuals aiming to provide goods and services to the project, contractors, sub-contractors, and workers
6.	Labor Issues and Conditions	• National legislation on employment of workers relevant to SURWASH program (migrant workers, minimum age, etc.) • Country- and sector-specific considerations, including coverage and enforcement of legislation • Capacity to manage labor influx issues with support from supervision engineer • Capacity and track record of contractors and sub-contractors to manage labor influx issues
7.	Local Community	• Size of working-age population and capacity (education, skills, experience) • Capacity of local public infrastructure, services and utilities (including health, education, transportation, water and sanitation, electricity, etc.) and budget supporting their provision • Local government capacity and track record in the project area, including law enforcement • Socio-economic and cultural characteristics of local population • Availability of worker accommodation in the community and related cultural rules • Level of local food supply and possible shortages and cost issues • Existing health or environmental issues and potential for deterioration • Existing security or conflict risks, and potential for exacerbation • Presence of specific marginalized,
8.	Borrower/Government	• Capacity of the responsible line ministry or agency for the preparation and implementation of the project • Capacity and track-record of entities responsible for managing labor issues, including project-specific labor influx • Capacity to assess and manage social and environmental risks

Appendix 14S: Draft Terms of Reference for the Engagement of an Environmental and Social Officers

A. Environmental Officer

Responsible for ensuring that the program is implemented in accordance and compliance with environmental and social aspects of the Program.

Duties:

- Review the PAD, ESSA. Program Expenditure Framework (PEF) for proposed investments and contribute to the E&S sections of the Program Operations Manual (POM).
- Ensure the implementation of the E&S aspects of the Program Action Plan (PAP) as captured in the ESSA
- Ensure that the environmental and screening mechanism and assessment tool are utilized for environmental and social management of proposed interventions.
- Establish, support and supervise the implementation of environmental management processes during the the preparation, implementation, monitoring and reporting of environmental and social aspects. Ensure thorough stakeholder consultations are undertaken during implementation of the program.
- Develop and/or contribute to Terms of Reference (ToRs) for environmental and social management of proposed interventions.
- Develop a timetable for field visits and undertake supervision visits to sub-project sites and ascertain if sub-projects are implemented in an environmentally and social sustainable manner.
- Review documents/instruments prepared by hired consultants to ensure compliance with relevant environmental aspects under the Program.
- Review documentation pertaining to environmental compliance (including sub-project engineering design, specifications, estimated costs of mitigation, bidding documents, contract agreement clauses, reviews on-site, reports from contractors, supervising consultants etc.) during the implementation of the Program;
- Ensure that environmental management clauses are inserted into bidding/binding contract documents to ensure compliance.
- Monitor the progress of environmental improvement activities and the compliance of the Program activities with the PAP and the E&S due diligence.
- Ensure water and sanitation facilities audits are undertaken as required and monitor compliance with water and waste effluent quality standards.
- Ascertain the adequacy of implementation of environmental measures and the capacity of the institutions and agencies responsible for environmental activities under the Program Advice on environmental issues, regulatory requirements and other relevant issues to technical staff, regulatory authorities, public interest groups and various stakeholders.
- Ensure that consultations are carried out for each sub project with key stakeholders and arrange for disclosure activities for E&S instruments.
- Liaise with the supervision/site engineer to ensure that the contractor's OHS plan is properly implemented.
- Ensure that the appropriate Grievance Redress Mechanism (GRM) protocol/systems are put in place and support the operationalization of the GRM under the Program.
- Facilitate the monitoring and evaluation of the implementation of interventions developed to mitigate adverse environmental risks and impacts identified.

- Prepare training materials and conduct necessary technical training workshops for project staff, government agencies, contractors and other stakeholders for environmental aspects of the Program; Prepare and submit timely and regular reports indicating full compliance with relevant E&S requirements.
- Work closely with the social officer to ensure that both deliver an integrated management approach of E&S issues.
- Provide support and expert advice to the program coordinator related to E&S requirements under the Program.
- Perform any other duty assigned by the program coordinator.

Competences:

- Must be computer literate
- Timely response and adherence to given task
- Ability to identify and proffer solutions to mitigate environmental issues
- Ability to work at a senior level and contribute proactively and positively in a team environment

Minimum Qualifications:

- BSc. or its equivalent in Environmental Sciences, Environmental Management, Civil Engineering, Environmental Engineering, Natural Resources Management.
- At least 5 years professional experience as Environmental Specialist in similar WASH programs.
- Familiar with environmental institutions and their roles in environmental governance at the National, State, LG and Community levels in Nigeria.
- Proven experience in engaging with government counterparts and facilitating among various stakeholders
- Proven experience of implementing donor-funded Programs/Programmes.
- Excellent analytical, communication and writing skills
- Computer literacy with proficient knowledge in the use and application of Microsoft Office (Word, Excel and PowerPoint) and internet.
- Self-motivated professional with demonstrated interpersonal skills such as leadership, team building and effective communication qualities, as well as excellent writing and presentation skills.

B. Social and Gender Officer

Responsible for following up and ensuring the implementation of the social and gender activities of the program in accordance and compliance with environmental and social laws of the state and federal Government.

Duties:

- Review of all necessary social safeguard toolkits and guidance instrument, including but not limited to the; PAD, ESSA and other project related documents, Program Expenditure Framework (PEF) for proposed investments and contribute to the E&S sections of the Program Operations Manual (POM).

- Ensure the implementation of the E&S aspects of the Program Action Plan (PAP) as captured in the ESSA
- Ensure that the social screening mechanism and assessment tool are utilized throughout the proposed project interventions.

- Facilitate the integration of the social and gender concerns in the design and the constructions of the facilities.
- Ensure the integration of social and gender mainstreaming in PIR plans for implementation under the program.
- Facilitate consumer outreach by coordinating the preparation of a comprehensive gender responsive social marketing plan for the program, support communications officer to prepare for public awareness campaigns to inform stakeholders about the program.
- Ensure social and gender issues are integrated by developing and implementing a detailed plan of action for: hygiene and sanitation behavioral change includes integration of social and gender in relevant studies developing of the ICT materials, public and hygiene education.
- Outline and propose work plan of all social and gender concerns of the program, including the activities already identified and any activities that emerge during implementation. Ensure that the budgets allocated to these social and gender mainstream activities are absorbed during implementation.
- Assist the Monitoring and Evaluation officer to develop a gender-responsive MIS system which can provide and report on gender disaggregated data. This includes reflecting gender issues in the regular reports, quarterly and annual reports, and integrating gender issues in the M&E training.
- Visitation and assessments of sites covered by the program.
- Ascertain the adequacy of implementation of safeguard measures and the capacity of the institutions and agencies responsible for social safeguards.
- Advice on social, gender and other relevant issues to technical staff, regulatory.
- Ensure that the appropriate Grievance Redress Mechanism (GRM) protocol/systems are put in place and support the operationalization of the GRM under the Program.
- Work closely with the environmental officer to ensure that both deliver an integrated management approach of E&S issues.
- Perform any other duty assigned by the program coordinator

Competences:

- Must be computer literate.

- Timely response and adherence to given task**.**
- Ability to understand project-specific social and gender contexts and realities in responding to requisite compliance measures**.**
- Ability to identify and proffer solutions to mitigate social and gender related issues**.**
- Ability to work at a senior level and contribute proactively and positively in a team environment**.**
- Good knowledge of the WASH sector in either public or private sector operations

- Minimum Qualifications:
- BSc. or its equivalent in Social Science and Sociology or any related fields; additional training in gender is an advantage.
- At least 5 years professional experience in social development work including social mobilization, training activities, low-income context, social survey techniques and the interpretation of social data, gender mainstreaming.
- Experience of WB policies and requirements on the subject is an advantage.
- Demonstrated experience in handling gender issues.
- Experience in carrying out stakeholder consultations and organizing social safeguard trainings and facilitation

Appendix 15. GRIEVANCE REDRESSAL MANAGEMENT

Appendix 15A: Grievance Redressal Forms

Complainant Information (Person Reporting)

1. Name (Surname first):
2. Address:
3. Acceptable Means of Identification presented: Yes ( ) No ( )
4. Gender:
5. Phone Number:
6. Email:
7. Category of complainant:

• Project Affected Person/s (PAP)
• Intermediary (on behalf of the P AP)

8. Assigned Complaint Registration Code:
9. Complaint Details (Describe in summary):

……
……..
……..
……
……
……
……..
……
……
……
……
……
……
……
……
……
10. Complaint Presentation channel:

• Letter ◯ Phone call ◯ SMS ◯ Email ◯ Verbal complaint (walk-in) ◯ Suggestion box ◯

• Others (specify): …….

11. Location of the issue specified in the complaint:

LGA: Project Site: Community:

12. Short description of the factors causing the problem:

……
……
……
……..
……
……

……..……
…
13. Stakeholder/Person/agency accused of being responsible for grievance:

14. Past action/s taken by the complainant (if any):
……
……
……
……
15. Details of the grievance uptake point (where this report is made):
Name of the person who received the complaint:
Position:
Date:
16. Action(s) taken by the grievance receiving officer:
……
……..……
……
……..……

17. Next Actions taken:

Action 1 Name of Officer In charger: Designation: Date:	**Action 2** Name of Officer In charger: Designation: Date:	**Action 3** Name of Officer In charger: Designation: Date:	**Action 4** Name of Officer In charger: Designation: Date:
Short Description	Short Description	Short Description	Short Description

18. Final Resolution

19. Proposed date of feedback to complainant:
20. Mode/Channel of feedback:
21. Officer completing the form:
22. Signature:
23. Date:

Appendix 15B: Sample Grievance Complaint Form

Date:
Community:
Name of Complainant:
Address:
Summary of Grievance
……
……
……
……
……
……
……
……
Sub-Project:
……
……

Category of Grievance:
……
……

Supporting Documents (**Tick the appropriate place**)
YES……..……**No**……..…

Complainant Signature (Thumbprint)/Date:
……..……

Receiving Officer's Signature/Date: ……..…

Appendix 16. STANDARD SAFETY SIGNS AT CONSTRUCTION SITE



Appendix 17. GUIDANCE FOR PREPARATION OF PIR AND PIAPS

Participating states to prepare and submit PIR plans and PIAPs

Three SURWASH DLIs are designed to incentivize key sector reforms as well as improvements in service delivery. They are as follows:

1. DLI 2: State reform of policy, institutional arrangements, and regulations
2. State agencies' plans for improving service performance in the following areas:
   a) Sub-DLI 3.1: Urban water supply
   b) Sub-DLI 5.1: Urban sanitation
   c) Sub-DLI 3.1 and DLI 5.1: Rural and small-town water supply and sanitation

Every participating state will need to prepare, submit and implement a Policy, Institutional and Regulatory (PIR) plan to demonstrate progress toward DLI 2. Every relevant state-level implementing agency[12] within those states will also need to prepare their own Performance Improvement Action Plan (PIAP) to demonstrate how they plan to progress toward DLIs 3.1 and DLI 5.1.[13]

These PIR plans and PIAPs must set out in detail how the state government or implementing agency intends to make progress on the DLIs and define clear and verifiable annual targets. These targets, if achieved each year, will unlock funding for the state under the Disbursement Linked Results defined in the PAD.

The DLIs define necessary reforms for each state in general terms and identify areas of performance improvement by states and agencies (Annexes A and B, below). However, the Program recognizes that each participating state has different policy and institutional arrangements and that its agencies have differing levels of service maturity. PIR plans and PIAPs therefore need to be developed based on a diagnostic of the state and its agencies' current positions. This understanding will form the basis of a realistic yet ambitious set of targets and activities that contribute to meaningful sector change over the course of the Program.

States should also recognise that PIR reform and service delivery performance improvement (2a-c, above) will support the achievement of DLIs 3, 4, 5 and 6 (improved access, physical works and sustainability of water supply), thereby helping to achieve substantial additional SURWASH disbursements.

Plans to be prepared using standardized templates, supported by Guidance Notes provided by SURWASH to ensure consistency

Three guidance notes have been developed to support state governments and agencies to prepare implementable PIR plans and PIAPs. By following the Guidance Notes, states and their implementing agencies will be able to prepare and write their plans in a standardized format and address all the key issues necessary.

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[12] Rural Water Supply and Sanitation Agency (RUWASSA), Small Town Water Supply and Sanitation Agency (STWASSA), SWA(s), State Sanitation Agency (SSA).

[13] If one state level institution is responsible for more than one service area, for example if a State Water Agency or Board is responsible for both urban water supply and urban sanitation, it shall submit only one PIAP for both service areas. However, such a PIAP will need to comprehensively address the distinctive and particular issues relating to the different service areas (urban water supply, urban sanitation, and rural and/or small-town water supply and sanitation).

The Guidance Notes also provide states and implementing agencies with technical advice and illustrative case studies to help them develop realistic and achievable plans and targets. The three Guidance Notes are:

- Guidance Note 1: Overarching guidance on PIR planning and PIAPs
- Guidance Note 2: Designing PIR Plans
- Guidance Note 3: Designing PIAPs

States and agencies shall write their respective Plans using the templates included in Guidance Notes 2 and 3.

States to establish an Accountability Framework for PIR reform and PIAPs

Each participating state shall complete an Accountability Framework relating to the DLIs and Plans using the template in Annex C. It is recommended that this is completed and submitted to the respective state SPIU as soon as is practicable so that SPIU can track plan development and signoff. The accountability framework shall also be included in each state's final PIR plan to document state and agency level accountability and responsibilities for the FMWR, FPIU, IVA and the World Bank.

The framework shall include a **lead accountable agency** for each DLI. For DLI 3.1, this shall be broken down into a) urban water supply and b) rural- and c) small-town water supply. Figure 17-1 presents the institutional structure in each state at the time of Program preparation and indicates the level at which lead accountable agencies for PIR plans and PIAPs should be nominated.

		Responsible Institutions						
		Delta	Ekiti	Gombe	Imo	Kaduna	Katsina	Plateau
Functions	Sector Policy Direction and Sector Coordination	Ministry of Water Resources Development Delta State Water and Sanitation Sector Coordination Committee Local Government Technical Committee on Water and Sanitation	Ekiti State Ministry of Infrastructure & Public Utilities	Ministry of Water Resources And Environment	Ministry of Public Utilities State Steering Committee	Ministry of Public Work and Infrastructure Rural WASH: Ministry of Local Government Affairs Kaduna State Infrastructure Development Council State WASH Steering Committee	Ministry of Water Resources	Ministry of Water Resources and Energy
	Regulation	State Water Regulatory Commission	Ekiti State Water Sector Regulatory Unit (Agency)		Regulator Performance Based Monitoring and Review Committee (PCMRC)	Kaduna State Water Service Regulatory Commission Ministry of Environment (Sanitation)		Water Sector Regulatory Commission
	Service Delivery	DESUWACO STOWWASSA RUWASSA Private Sector	Ekiti State Water Corporation Ekiti State Rural Water Supply and Sanitation Agency Ekiti State Small Town Water Supply and Sanitation Unit Private Sector	Gombe State Water Board RUWASSA	ISWSC STOWASSA RUWASSA Private Sector	Kaduna State Water Corporation (KADSWAC) Kaduna State Rural Water Supply and Sanitation Agency Private Sector	Katsina State Water Board RUWASSA Private Sector	Jos Water Services Corporation Plateau Municipal Water Supply and Sanitation Agency Plateau Rural Water Supply and Sanitation Agency Private Sector
	Support O&M and Sustainability	WASHCOMs WCAs	WASHCOMs WCAs	WASHCOMs WCAs	WASHCOMs WCAs	WASHCOMs WCAs	WASHCOMs WCAs	WASHCOMs WCAs
	Sector Support (e.g. Sanitation)	Other MDAs Delta State Task Group on Sanitation (DSTGS) CSOs and CBOs	Other MDAs (EKWMA, SEPA) CSOs and NGOs	Other MDAs	Other MDAs WCF CSOs	Other MDAs (Ministry of Health, SUBEB, KEPA)	Other MDAs (State Ministry of Justice, State House of Assembly House Committee on Water Resources, Ministry of Education and its Parastatals, Ministry of Health and its Parastatals, Ministry of Finance and Budget, Ministry of Environment and its Parastatals, All Local Governments and their LGA WASH Departments in the state) The media NGOs/CBO	Other MDAs CSOs

PIR leadership, accountability & coordination

PIAPs

Figure 17-1 Relevant agencies in participating States (from SURWASH PAD)

Given the scale and complexity of each area of reform and performance improvement, each state should also nominate, and provide a description of role and responsibilities of the following:

- A **Sponsor** with an appropriate level of authority and powers (including the power to allocate budgets) to ensure that the Plans can be implemented effectively.
- An **Accountable Officer** within the lead accountable agency capable of providing leadership for Plan implementation and taking overall accountability for the delivery of the PIR Plan or PIAP.

- A **Coordination Body** such as the state steering committee for SURWASH made up of representatives of the institutions that will contribute to the realization of the PIR Plan. It will likely also be necessary to establish a coordination body to guide the respective implementing agencies overseeing rural water supply and sanitation and small-town water supply and sanitation, potentially including representatives from LGA WASH Units/Departments, and communities, WASHCOMs and WCAs.

States to define baseline conditions and annual targets for PIR Plans and PIAPs

Guidance Note 2 provides Progress Scales for each Reform Component required for PIR Plans for DLI 2. Guidance Note 3 provides Progress Scales for each Essential Element of the PIAP for sub-DLIs 3.1 and 5.1. The Progress Scales for PIAPs are broken down for urban water supply, urban sanitation, and rural and small-town water supply and sanitation.
While the details for each level in a scale are different for each component/element, they all follow the same structure: six levels from 0 ('No progress') to 5 ('Fully institutionalized reform'), as outlined in Table 17-1 below. The scale covers the full 'reform journey', ensuring that reforms are not confined to good intentions and documents, but make the (often difficult) leap from paper to practice. These scales can serve as roadmaps for states and implementing agencies, taking them through the necessary stages of reform and organizational change, from intention to reform to sustained, embedded reform.

Table 17-1 Illustrative progress scale (actual scales provided in guidance notes)

Level	Brief Description	What does this look like?
0	No progress	Either no action taken to date, or no clarity or commitment on how to undertake the change
1	Early progress	Concept developed and administrative/managerial commitment to the change
2	Intermediate progress	Political/leadership commitment including financial commitment
3	Advanced progress	Partial implementation of change on a pilot basis or with external support
4	Full implementation	Full implementation of change
5	Fully institutionalized reform	Change is embedded within the state/organisation, and will therefore likely be sustained beyond the Program

States and implementing agencies shall establish their baseline position for every component/element against the relevant Progress Scale, and then set an endline goal for the level that they anticipate they will reach over the life of the Program also using the Progress Scales.

Defining baseline position in Program Year 1
The baseline position for each Reform Component (PIR) and Essential Element (PIAP) should be mapped as a level on the respective progress scale, with associated narrative commentary. Baseline conditions should be assessed in a formal and structured way which is supported in the narrative with appropriate information and evidence. The required evidence shall be set and assessed by the FPIU and the IVA.

Setting endline goals for Program Year 6
The end line goal for each Reform Component (PIR) and Essential Element (PIAP) over the six years of the Program shall be mapped on its respective Progress Scale.

Although each state and agency should aim to reach level 4 on all of the Progress Scales by Year 6, this is not a requirement. Careful consideration should be given to setting realistic goals that take into account

the state/agency starting position, institutional capacity, leadership commitment and political will and external factors such as elections or the benefits of support from other development partners.

Both the baseline position and the projected endline goal will need to be carefully argued and evidenced in order for the Plans to be accepted and approved by the FPIU and to receive a No Objection from the World Bank.

Plans shall specify annual targets corresponding to each DLR

PforR disbursements will be triggered by achievement and verification of Disbursement Linked Results (DLRs) for each DLI. DLRs are specified in the PAD. As an example, the DLRs for DLI 2[14] are as follows:

Year	DLR description	Trigger
Year 1	DLR 2.1 A baseline has been conducted to inform state PIR plan and reform agenda	A baseline has been conducted to inform the state PIR plan and reform agenda, which includes an assessment of the current status for each of the required reforms
Year 2	DLR 2.2 State approval of the PIR plan and reform agenda, acceptable to the World Bank and FMWR	The state has endorsed the PIR plan and reform agenda, which is acceptable to the World Bank and FMWR
Year 3	DLR 2.3 State achievement of PIR plan annual targets	State has achieved the PIR plan annual targets towards the required reforms
Year 4	DLR 2.4 State achievement of PIR plan annual targets	State has achieved the PIR plan annual targets towards the required reforms
Year 5	DLR 2.5 State achievement of PIR plan annual targets	State has achieved the PIR plan annual targets towards the required reforms
Year 6	DLR 2.6 State achievement of PIR plan annual targets	State has achieved the PIR plan annual targets towards the required reforms

Following the first one or two DLRs in each DLI, subsequent DLRs will be triggered by states and implementing agencies meeting the targets they have set for each reform component/element.

States and implementing agencies should break down the journey from the baseline to the endline into annual targets[15]. The table below gives an example of annual targets for DLI 2 Reform Area 1a (see Annex A). These kinds of interim targets could be set by a state that is at Progress Level 1 and is aiming to reach Level 2 over say two years.

Desired progress level 2	Example year 1 target
Level 2: Act/decree setting up LGA WASH departments passed by state legislature and signed into law; relevant budget line included in state and Ministry budget and initial disbursement made to Ministry	Ministry of Water Resources drafts a Bill amendment to be debated in the legislature LGA WASH budget is incorporated in the budget instructions and the request for budget preparation issued to the Ministry of Local Government

[14] DLRs for DLI 3.1 and DLI 5.1 are similarly specified, but envisage baseline and plan completion in Program Year 1 followed by an annual assessment of PIAP targets undertaken by agencies from Year 2 onwards

[15] As explained more fully in the Guidance Notes, targets can include completion of activities (e.g. regulatory body is fully established), generation of outputs (e.g. tariff review structure is determined) or outcomes (e.g. financial performance of the agency has improved).

Guidance Notes 2 and 3 provide further advice for states and agencies on setting targets.

FPIU to approve, and World Bank to provide No Objection, for plans

Each state shall submit its PIR baseline and plan and PIAPs for approval by FPIU/FMWR and for No Objection by the World Bank. Criteria for PIR Plan and PIAP assessment are included in the Guidance Notes. Before final approval and World Bank No-Objection, FMWR/FPIU and World Bank may require plans to be modified or adjusted.

States to monitor and report progress against targets and DLRs annually

As part of their reporting to the FPIU on the progress against DLIs and indicators, SPIUs will monitor progress being made by states and agencies towards their annual Plan targets. These must be supplemented by Annual Progress Reports delivered by states and agencies that provide a commentary for each component/element on the progress achieved or not achieved, lessons learned and proposed remedial actions.[16] These annual Plan progress reports will make up part of the annual reports provided by the FPIU to the IVA for verification and disbursement.

Timeline to be followed for state PIR plan and PIAP activities

The process of PIR plan and PIAP preparation, submission, approval, DLR progress reporting and validation is presented in Table 9-1 below. It also illustrates the timeline for progress against the various DLIs, the annual verification process and the program mid-term review (MTR). The MTR is a key opportunity to evaluate reform and performance improvement progress and achievements.

Table 17-2 Process table

Process step	Activity	Responsibility	Frequency and Timing
Baseline assessment	PIR baseline	Lead accountable agency (lead Ministry)	Submitted once via SPIU July 31st 2022
	Performance baseline (for PIAP)	Lead accountable agency: - SWA - RUWASSA/ STWASSA - SSA	Submitted once via SPIU (Included with PIAP)
Plan preparation and submission	PIR plan	Lead accountable agency (lead Ministry)	Submitted once via SPIU (targets may be updated after MTR) July 31st 2023
	PIAP	Lead accountable agency: - SWA - RUWASSA/ STWASSA - SSA	Submitted once July 31st 2022 (includes baseline assessment)
Plan validation	Review by FPIU, WB, negotiation of plan targets and components	SPIU and FPIU	PIR: November 30th 2023 PIAP: November 30th 2022
State approval of PIR reform	State approval of PIR plan and reform agenda	State Governor	November 15, 2023
Progress monitoring and	Annual monitoring and reporting of progress	Lead accountable agency and SPIU	August 31st 2022 and annually to August 2027

[16] States may adjust the plans based on learning from plan implementation, however annual targets may not be adjusted without the prior concurrence of the FMWR and Bank. It is anticipated that only necessary changes to annual targets would be addressed at the Mid Term Review and these will be subject to a rigorous evaluation process.

Process step	Activity	Responsibility	Frequency and Timing
reporting	against DLRs and DLIs		
Plan validation	Desk review and audit of reported progress followed by verification	Independent verification agent (IVA)	October 31st 2022 and annually to October 2026

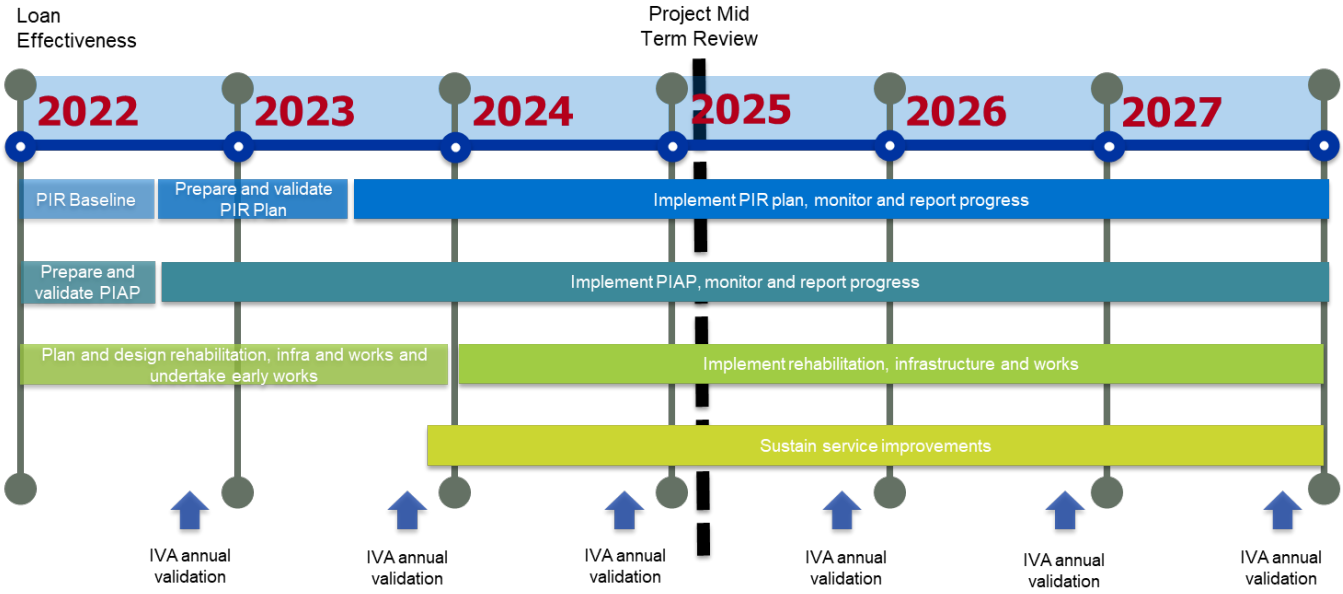


Figure 17-2 Timeline of activities

DLI 2 PIR REFORM Components

Reform Area	Reform Component
1) Established LGA WASH Departments with adequate budget allocation and release Long-term vision beyond program: Rural and small town WASH service providers are supported through continued monitoring and TA by LGA WASH Departments, therefore improving service sustainability.	1a) Establish LGA WASH Departments with adequate budget allocation and release
2) Consolidation and policy reform of urban sanitation sector Long-term vision beyond program: State urban sanitation authorities provide proper regulation and oversight of the subsector which takes into consideration the entire sanitation service chain.	2a) Establish functioning urban sanitation authority
	2b) Prepare urban sanitation policy in accordance with city/LGA-wide inclusive sanitation
	2c) Develop State-level standards and regulations for urban sanitation
3) Autonomous and accountable urban water service providers Long-term vision beyond program: Urban water services are sustainably funded through a poor-inclusive tariff policy	3a) Develop legal, policy and operational framework for urban water supply
	3b) Prepare and implement poor-inclusive tariff policy with sustainable cost recovery
	3c) Establish regulatory function with clear regulatory framework (with regulator setting tariff and performance framework and accountability review) predictable subsidy, when required
4) Performance contract with financing and service	4a) Establish and operationalize performance contract

Reform Area	Reform Component
agreements between state government and SWA Board of Directors established and operational Long-term vision beyond program: Urban water utilities are held accountable to high performance standards, leading to increasing levels of operational efficiency.	with financing and service agreements between state governments and SWA Board of Directors
5) Operationalize a WASH E&S screening and assessment mechanism Long-term vision beyond program: E&S risks of Program interventions have been properly managed, while building capacity for future investments.	5a) Establishment and implementation of E&S screening and assessment mechanism (guided by comprehensive manual)
6) Participation of women and youth in the sector Long-term vision beyond program: Increase the representation, voice and agency of women and youth in the sector.	6a) Gender mainstreaming in human resources policies to address gaps in technical and managerial positions
	6b) Development and implementation of a young professional program

DLI 3.1 and DLI 5.1: MINIMUM PIAP REQUIREMENTS

Rural and Small Town WSS Essential PIAP Elements (Components)

Accountability

- Rural and small-town WASH policy/strategy in place, including established roles and responsibilities for O&M of WASH facilities.
- Submission of regular and complete WASH M&E data by LGAs to relevant state agency through national MIS.
- Submission of LGA annual reports to state agency following approved template to be defined in POM (including registry of public and private WSS service providers, female representation within staff and in leadership positions, and status of critical support activities. These include supervision of water providers, water quality monitoring, IEC/BCC, sanitation marketing, and a pro-poor incentive program for sanitation access).

Sustainability

- Adoption of guidance to support sustainable tariff establishment and collection.
- Implementation of capacity building plans for RUWASSA, LGA WASH Departments, WASHCOMs, and other relevant actors.
- Adoption and domestication of O&M strategy, to include periodic surveillance activities.
- Development of Risk, Resilience and Emergency Response Plan.

Urban Water Supply Essential PIAP Elements (Components)

Accountability

- Effective performance contract between BoD and MD, cascaded to the management team, in place.
- Set up and implement budget preparation, review, and approval process.
- Annual audited financial statements publicly disclosed.
- Annual report of utility performance following approved template to be defined in the POM (including technical performance, operational cost recovery improvement, customer satisfaction, citizen report cards, and female representation in engineering and technical positions) published and disclosed.
- Set up customer communications and complaints redress mechanisms.

Sustainability

- Technical performance plan (NRW, production capacity)
- Operational cost recovery improvement (commercial, customer outreach, disconnection, metering)
- Development of Risk, Resilience and Emergency Response Plan.

Urban Sanitation Essential PIAP Elements (Components)

Accountability

- Implementation systems and capacity strengthened and aligned to CWIS principles (institutional, technical, funding/financing, E&S).
- Development and implementation of MoUs or performance contracts established between public authority and private operators.
- Preparation of annual reports following approved template to be defined in POM (including registry of public and private service providers and other responsible bodies, female representation within staff and in leadership positions, share of workers managing public sanitation facilities built under the Program who are persons with disabilities/other group identified as excluded and status of critical support activities, including IEC/BCC, sanitation marketing, a pro-poor incentive program, customer communication and GRM).

Sustainability

- Planning systems and capacity strengthened and aligned to CWIS principles (institutional, technical, funding/financing, E&S)
- Development of Risk, Resilience and Emergency Response Plan.

ACCOUNTABILITY FRAMEWORK FOR [STATE]

	DLI 2 State PIR reform	DLI 3.1 Water Supply	DLI 5.1 Sanitation
Lead Accountable Agency/Department		Urban: [eg SWA] Rural: [eg RUWASSA] Small Town: [eg STWASSA]	[eg SSA]
Sponsor		Urban: [eg MD SWA] Rural: Small Town:	[eg CEO SSA]
Accountable Officer		Urban: [eg Commercial Director SWA] Rural: Small Town:	
Coordination Body	[eg State WASH Steering Committee]	Urban: Rural: Small Town:	