



KHYBER PAKHTUNKHWA WASH SECTOR STRATEGIC PLAN (2019-2030)



- Institutional Arrangements
- Budget and Finance
- Planning, Monitoring and Review
- Capacity Development
- Sector Policy and Strategy
- Broader Enabling Environment
- Service Providers

VERSION –September 23, 2019

VOLUME-I – SECTOR PLAN



**KHYBER PAKHTUNKHWA WASH STRATEGIC PLAN
(2019-2030)**

**DRINKING WATER, SANITATION AND HYGIENE
GOVERNMENT OF THE KHYBER PAKHTUNKHWA (GOKP)**

**PREPARED IN CONSULTATION WITH
PLANNING AND DEVELOPMENT DEPARTMENT (GOKP)
PUBLIC HEALTH ENGINEERING DEPARTMENT (GOKP)
LOCAL GOVERNMENT, ELECTIONS AND RURAL DEVELOPMENT
DEPARTMENT (GOKP)
FINANCE DEPARTMENT (GOKP)
HEALTH DEPARTMENT (GOKP)
ELEMENTARY & SECONDARY EDUCATION DEPARTMENT (GOKP)**

VERSION – SEPTEMBER 23, 2019

MESSAGE FROM THE CHIEF MINISTER (DRAFT)

Change can only happen when planning and delivering development is approached as **business unusual**. Drinking water, sanitation and hygiene are areas of basic human rights and the provincial government stands committed to delivering these safely and sustainably to its people. This Khyber Pakhtunkhwa WASH Sector Plan (2019-2030) is a driver for change in this respect for people of this province. The primary services providers PHED and LG&RDD are being strengthened with capacity to deliver safely managed drinking water, sanitation and hygiene for all.

The provincial government stands committed alongside the national government in achieving SDGs-6 targets. It supports all planning and reporting mechanisms being or will be placed, as the need arises, so that measurable change towards achieving SDGs is gathered and recorded. This commitment is not to serve primarily the commitments made internationally but an obligation of the provincial government towards its people. The present Provincial GOKP had placed priority to WASH sector in its political manifesto and keeps it as a central focus in all its development initiatives.

The efforts of the Planning and Development Department along with primary services providers PHED and LG&RDD who are appropriately leading this process will help achieve the overarching objective of WASH for all. The effort of Health and Education Departments who recognize the growing need to integrate WASH in their programmes and plans will go a long way in contributing to wider sustainable development of the province. The support of sector partners, international and national organisations, civil society organisations, the academia and the private sector are all well gelled together towards this collective endeavour. We are committed to regularly reviewing our direction set by this plan so that we achieve what we planned.

All those who participated in developing this plan are well appreciated and the support of the provincial government stands firmly behind this joint effort.

SIGNATURES...

FOREWORDS (DRAFT)

The Provincial Government of Khyber Pakhtunkhwa (GOKP) made an effort for the first time by undertaking long-term strategic planning for the WASH sector in the province. This long-term planning is targeted at achieving the provincial targets of SDG-6 together with other provinces and contributing to the overall nationally agreed targets. Two aspects of governance & management as well as expansion in sustainable WASH services to all are addressed in this plan

The latest MICS survey conducted in the province indicates that safely managed drinking water, sanitation and hygiene are yet to be planned and delivered. Currently, we are quite on course with provision of basic services of drinking water and sanitation. This plan therefore presents solutions that set clear direction towards safely managing WASH. These directions are both in improving governance by overcoming sector bottlenecks and by provision services expansion by following a holistic and integrated approach.

The governance and management of WASH sector is being resolved by taking all relevant measures. This includes strengthening currently inadequate areas of sector policy & strategy, institutional arrangements, budget & finance, planning, monitoring & review, broader enabling environment, capacity development and services providers. The plan helps in identifying bottlenecks, underlying their challenges, causes and effects. This helps in identifying issues indicated above. The plan then presents long-term, medium short-term results that will help unlock these sector blockages. This in turn will effectively pave way for smooth WASH sector governance and management. Clear results at short, medium and long-term level have been planned with clear indicators for measuring progress.

At the same time and through this plan, an effort has been made to expand WASH services in order to provincially contribute to nationally set SDG-6 targets by 2030. For this purpose, a clear result-based plan separately for drinking water, sanitation and hygiene has been developed. This plan with indicators is also allowing to set focused direction towards provincial targets. This plan also includes assessing current capacity of primary services providers, finding gaps against desired results and placing appropriate human and institutional capacity. Apart from that a monitoring and evaluation plan that will help us measure accessibility, quality and sustainability of WASH interventions is also part of this plan.

Currently, hygiene promotion complimenting the provision of infrastructure in the province has not witnessed a well-balanced approach. The provincial government will be focused on hygiene promotion by preparing a strategy and implementing that strategy. The provincial government is placing the mandate of hygiene within a relevant department. This will help strategies, create the knowledge and skill base within the primary and secondary services providers on hygiene. The provincial government envisages, and province-wide behaviour change on hygiene. This campaign compliments the efforts of the ongoing clean and green Pakistan campaign of the Federal Government.

The provincial government does not see WASH alone but integrated with other relevant sectors for achieving a wider impact of sustainable development in the province. The other sectors are health, nutrition and education. The Provincial Departments of Health and Education have really helped in creating the appropriate linkages between WASH and the other relevant sectors. WASH sector will now be moving forward in a collaborative manner with all relevant sectors for creating a wider impact. WASH sector offers a huge platform in the province for collaboration at large and taking a joint leap forward towards achieving the SDG-6. The Provincial Government stands committed and is eagerly working to achieve the plan objectives.

Dr. Shahzad Bangash
Additional Chief Secretary

ACKNOWLEDGEMENTS

Dr. Shahzad Bangash, Additional Chief Secretary, P&D Department provided the overall leadership to this cutting-edge new initiative for the province. The Foreign Aid Section provided admirable support of coordination and facilitation of series of consultations, reviews and approval of this plan.

This WASH Sector Plan could not be possible without the valuable contributions and great sense of ownership demonstrated by public and private WASH sector partners, WASH experts, civil society organisations and the academia. The provincial government was ably represented by senior management of LGE&RDD, PHED, Education, Health, Finance and P&D Departments.

The international organisations including Islamic Relief and Water-Aid Pakistan were very important part of these consultations. The local civil society organisation was represented by the Sarhad Rural Support Programme (SRSP). The academia was well represented by Professor Dr Rashid Rehan of the University of Engineering & Technology (UET), Peshawar and by Professor Dr Sher Jamal of the National University of Science & Technology (NUST), Islamabad.

The Provincial Government is grateful to the admirable and consistent support provided by UNICEF in initiating and completing this WASH Sector Plan. Mr. Sajjad Akbar, WASH Specialist and Mr Mohammad Shoaib, WASH Officer of the provincial office of UNICEF, WASH Unit have been of great support to the development of this plan. Mr. Kamran Naeem of UNICEF Islamabad has also made valuable contributions in the plan.

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LIST OF ABBREVIATION

ADP	Annual Development Plan
BAT	Bottleneck Analysis Tool
C&W	Construction and Works
EPA	Environmental Protection Agency
GOKP	Government of Khyber Pakhtunkhwa
GOP	Government of Pakistan
HHs	Households
JMP	Joint Monitoring Programme
JSR	Joint Sector Review
KPDWP	Khyber Pakhtunkhwa Drinking Water Policy
KPSP	Khyber Pakhtunkhwa Sanitation Policy
KPWSP	Khyber Pakhtunkhwa WASH Sector Plan
LG Act	Local Government Act
LGE&RDD	Local Government Elections & Rural Development Department
MDGs	Millennium Development Goals
MHM	Menstrual Hygiene Management
MICS	Multiple Indicators Cluster Survey
MoCC	Ministry of Climate Change
NEP	National Education Policy
NHP	National Health Policy
PATS	Pakistan Approach to Total Sanitation
PCRWR	Pakistan Council for research in Water Resources
PCSIR	Pakistan Council for Scientific and Industrial Research
PDHS	Pakistan Demographic Health Survey
PDMA	Provincial Disaster Management Authority
PFC	Provincial Finance Commission
PHED	Public Health Engineering Department
PMD	Pakistan Metrological Department
PSLM	Pakistan Social Living Standards Measurement
RoB	Rules of Business
SACOSAN	South Asian Conference on Sanitation
SC	Steering Committee
SDGs	Sustainable Development Goals
SLTS	School Led Total Sanitation
SoP	Standard Operating Procedures
TMA	Tehsil Municipal Administration
TORs	Terms of References
UNICEF	United Nations Children's' Fund
UNDP	United Nations Development Program
WASA	Water and Sanitation Agency
WASH	Water Sanitation and Hygiene
WATSAN	Water and Sanitation
WHO	World Health Organisation
WSSCs	Water and Sanitation Services Companies

OPERATIONAL DEFINITIONS

Service Level	Definitions
<i>Safely Managed Drinking Water</i>	Drinking water from an improved water source that is located on premises, available when needed and free from faecal and priority chemical contamination ¹
<i>Basic Drinking Water</i>	Drinking water from an improved source, provided collection time is not more than 30 minutes for a round trip including queuing ²
<i>Limited Drinking Water</i>	Drinking water from an improved source for which collection time exceeds 30 minutes for a round trip, including queuing ³
<i>Unimproved Drinking Water</i>	Drinking water from an unprotected dug well or unprotected spring ⁴
<i>Surface Water</i>	Drinking water directly from a river, dam, lake, pond, stream, canal or irrigation canal ⁵
<i>Safely Managed Sanitation (Solid and Liquid)</i>	Use of improved facilities that are not shared with other households and where excreta are safely disposed of in situ or transported and treated off-site ⁶
<i>Basic Sanitation (Solid and Liquid)</i>	Use of improved facilities that are not shared with other households ⁷
<i>Limited Sanitation (Solid and Liquid)</i>	Use of improved facilities shared between two or more households ⁸
<i>Unimproved Sanitation (Solid and Liquid)</i>	Use of pit latrines without a slab or platform, hanging latrines or bucked latrines ⁹
<i>Open Defecation</i>	Disposal of human faeces in fields, forests, beaches or other open spaces, or with solid waste ¹⁰
<i>Basic Hygiene</i>	Availability of a handwashing facility on premises with soap and water ¹¹
<i>Limited Hygiene</i>	Availability of a handwashing facility on premises without soap and water ¹²
<i>No Facility of Hygiene</i>	No handwashing facility on premises ¹³

¹ <https://washdata.org/monitoring/drinking-water>

² Ibid

³ Ibid

⁴ Ibid

⁵ Ibid

⁶ <https://washdata.org/monitoring/sanitation>

⁷ Ibid

⁸ Ibid

⁹ Ibid

¹⁰ Ibid

¹¹ <https://washdata.org/monitoring/hygiene>

¹² Ibid

¹³ Ibid

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EXECUTIVE SUMMARY

Introduction

The Government of Khyber Pakhtunkhwa (GOKP) has developed the Khyber Pakhtunkhwa Water Sanitation and Hygiene (WASH) Sector Plan (hereinafter it is referred to as Sector Plan, Plan and KPWSP) for the period of 2019-2030. The Sector Plan envisages access to safe water, sanitation and hygiene for every citizen of the province. This it seeks to achieve by improving sector governance and offering innovative and sustainable solutions of services. This initiative is directed to help in achieving relevant Sustainable Development Goal (SDG-6)¹⁴, hence the timeline corresponds to the SDGs delivery i.e. 2030. The Plan addresses the bottlenecks (structured into seven thematic areas) identified through an extensive 'Joint Sector Review' (JSR) exercise (2017)¹⁵. The JSR grouped bottlenecks under **Seven (07) Thematic Areas** including Sector Policy and Strategy, Institutional Arrangements, Planning, Monitoring, Evaluation and Research (PMER), Capacity Development, Broader Enabling Environment and Services Providers. The Provincial WASH Steering Committee (PWSC), a multi-stakeholders holders forum with Provincial Planning & Development Department (P&D) in the lead, oversaw and steered the Plan formulation. The Forum shall oversee the implementation of the Plan also.

The contents of the Plan have been structured into two Volumes. The Volume I comprise Seven chapters whereas Volume II includes all the appendices. Chapter-wise summary is presented below.

Chapter-1 introduces the Sector Plan by presenting its need, significance, methodology applied and scope. In order to arrive at this Plan, series of consultations were held with stakeholders and they came up with the suggestion that 'business as usual' will not help provincial government to achieve relevant SDGs targets. Therefore, a strategic planning exercise for developing the Plan was evolved and undertaken. This Plan lays out a roadmap by outlining the results logic (outcomes, outputs, activities, inputs and implementation strategies) and costed plan. It shall contribute to evidence-based decision making and for putting in place planning, monitoring, evaluation & research mechanisms to track progress; inform course correction; and design innovating services and delivery approaches. It shall enable unlocking the systemic bottlenecks of the sector for improved governance and sets clear directions for expansion of sustainable water, sanitation and hygiene services.

Mixed methods were used to the develop the Plan. These included comprehensive **Desk Review** of more than **300 documents**. **Key Informant Interviews (KIIs)** and **Focus Group Discussions (FGDs)** were held with a wide range of stakeholders. Moreover, **6 Consultative Workshops** were organised with relevant stakeholders to seek inputs, jointly review and validate different parts of the Plan. A '*broad-based*', '*participatory*', and '*iterative*' process was used whereby key stakeholders from public sector, development partners, civil society, academia, sector experts extensively contributed to the development of this Plan. The planning process has followed the *Results-Based Management (RBM)* principles and cycle entailing identification of Vision, Mission, Values and Results Chain (outcomes, outputs, activities and inputs). A '*Costed Plan*' (or *Budget*), '*PMER Plan as well as Capacity Assessment and Development Plan*' are integral parts of this Plan.

Scope of the Plan: The Plan prioritises and hence lays out a roadmap for effective sector governance in the province. With that the Plan proposes models and approaches for services expansion (non-binding but can be taken as guidance). These models and approaches guided the costed planning (financial projections) for services expansion. The primary users of this Plan are the Provincial Public

¹⁴ SDG-6: Ensure availability and sustainable management of water and sanitation for all.

¹⁵ Joint Sector Review is a process initiated in 2015 by the Ministry of Climate Change, GOP (custodian of WASH sector at national level). Under this initiative the Ministry issued guidance to provinces for starting these reviews and first such reviews were held to discuss and draw out a WASH Sector Plan. Punjab (2014), followed by Balochistan (2015), Sindh (2016) and finally Khyber Pakhtunkhwa (2017) initiated JSRs and prepared plans.

Health Engineering Department (PHED) and Local Government Elections & Rural Development Department (LG&RDD) in areas of their jurisdiction. The Plan excludes coverage of newly merged districts of Khyber Pakhtunkhwa (formerly FATA areas). The other services providers can equally benefit from the guidance available in the Plan.

Chapter-2 presents the sector context whereby it zooms in from global to local environment i.e. Khyber Pakhtunkhwa. The end of 2015 marked the transition from Millennium Development Goals (MDGs) - 2000-2015 - to embarking on a 'bolder and more transformative' agenda comprising seventeen (17) goals of 'Sustainable Development Goals' (SDG – 2015-30). Goal-6 of SDGs has exclusively set targets and indicators for measurement of progress in WASH Sector¹⁶. Pakistan is one of the first few countries to ratify the SDGs and placing them on national development agenda. The Planning Commission of Pakistan (PC) has set up separate 'SDG Units', both at the federal level and in the provinces. The purpose clearly is to steer adoption and implementation of SDGs, including SDG-6, in a dedicated and focused manner.¹⁷ The Ministry of Climate Change (MOCC) is the nodal federal entity for sector coordination and reporting, whereas service delivery is delegated to the respective public entities in the provinces.

Chapter-3 explains the Vision, Mission and Values of the Plan that shall guide the services delivery in future. The Plan envisions: *'Everyone in Khyber Pakhtunkhwa have access to affordable, sustainable and safe water, sanitation and hygiene services by 2030'*.

The stakeholders have identified a mission that drives the vision. It is: *'Public sector agencies in Khyber Pakhtunkhwa are providing responsive, integrated (in partnership with private sector, communities, academia and civil society) and innovative Water, Sanitation and Hygiene Services that are safe, affordable, equitable, resilient and sustainable'*.

In order to move towards the vision using the power of the mission, the GOKP has set out certain values. These values collectively are referred to as collaborative behaviours and drive the transformative agenda that the provincial government has embarked upon. These are; *i) provincial government leadership in steering the sector; ii) using and strengthening provincial government systems; iii) establishing and use one information and accountability platform; and iv) building financial strategies to sustain WASH.*

Chapters-4 is at the core of the Plan. The Chapter 4 comprises seven (07) sub-sections where each deal with one thematic area that came up during JSR. Each sub-section explains the thematic bottlenecks translated into challenge/s and presents solutions in terms of (results logic) outcomes and outputs.

¹⁶Detailed information about SDG-6 targets and its indicators can be found at:<https://www.undp.org/content/undp/en/home/sustainable-development-goals/goal-6-clean-water-and-sanitation.html>

¹⁷The JMP (2017) show that in Pakistan 36% people have access to safely managed drinking water. The numbers for safely managed sanitation are not available. About 58% population has access to basic sanitation services. In terms of hygiene 60% of people in Pakistan have access to basic hygiene services.

Challenges and Solutions (Outcomes, Outputs and Strategic Actions)

Thematic Area: Sector Policy & Strategy

Challenge: There key policy and strategy challenges include:

- Available policies lack vision of WASH as an integrated service comprising inter-dependent constituents i.e. water, sanitation, and hygiene;
- Policies lack coherence to SDG targets for water, sanitation and hygiene;
- Policy guidance around behavioural change is non-existent;
- The service providers are non-compliant to the policy directives or standards;
- Policies lack significance of and provide limited guidance on inter-sectoral linkages (of poor WASH services) such as health, nutrition, education and others;
- Policies lack guidance on Climate Change and Disaster Risk Reduction (DRR).

Solution (Outcomes, Outputs and Strategic Actions): The results logic in terms of outcomes outputs and strategic actions are outlined below;

Outcome: Policy & planning frameworks strengthened to make WASH sector governance and services delivery cohesive, aligned (to SDGs, other sectors and CCA & DRR) and effective.

Outputs:

- Water, sanitation, and hygiene policies are reviewed and consolidated into an 'Integrated & Harmonised (with SDGs) WASH Policy' and approved to guide (cohesive and integrated) services delivery.
- The Sector (KPWSP) Strategic & Operational Plans (long, medium and short term) developed, approved and implemented.
- The Integrated WASH Policy and (Strategic and Operational) Plan/s underline linkages with health, nutrition, education, climate change adaptation (CCA), and DRR and offer guidance for public sector implementers to develop and deliver integrated and sustainable services.

Strategic Actions:

- **Harmonising** an integrated WASH policy by including SDG-6, retaining balance between hardware/ software, embedding principles of climate change & disaster and creating ownership at all levels.
- **Preparing and implementing long-term plans** in line with updated WASH policy and primary services providers will develop 3 WASH sector medium-term plans (MDTP) and 11 Annual Development Plans (ADP)
- **WASH integrated with Health, Nutrition and Education** for achieving wider impact on sustainable development, staff oriented, and policies regularly reviewed for compliance

Thematic Area 2: Institutional Arrangements

Challenges: The challenges with respect to institutional arrangements are:

- Overlapping and blurred institutional roles or mandates (particularly for rural water and sanitation) contributing to turf related tensions and competition for resources;
- Primary water and sanitation service providers are not providing hygiene promotion/education services;
- The sector coordination mechanisms are weak (lack system capacities) and largely non-functional to drive shared sector agenda and rally support from partners;
- The regulatory environment (laws, standards and authorities) is weak resulting in poor standardization (of services), monitoring, and accountabilities of service providers.

Solution (Outcomes, Outputs and Strategic Actions): The results logic in terms of outcomes outputs and strategic actions are outlined below;

Outcome: Sector (WASH as complete package) governance strengthened with well-defined (and accepted) mandates (across service providers), improved coordination and regulatory environment for provision of standardized services by the primary/ secondary services providers.

Outputs:

- Provincial Rules of Business (RoB: 2015) amended and offer clarity around mandates, roles and coordination arrangements for the primary and secondary service providers.
- WASH Coordination Forums (at provincial and district levels) established/re-activated/revamped to steer sector-wide planning, reviews, information management, harmonization, and advocacy.
- The public sector lead for hygiene education is identified (with consensus) and capacitated to plan and implement public education/behavioural change campaigns (BCC).
- The service delivery standards (for water, sanitation and hygiene) are reviewed and revised (in view of SDG targets) and under implementation by the primary service providers.
- Primary service providers continue to evolve, implement, review and scale new service delivery models and approaches for provision of safe and sustainable services.
- Primary and secondary service providers have developed and implement users' mass education and awareness programmes to inform them of entitlements, obligations and complaint system.
- Regulatory environment (in terms of promulgation of laws, services standards, introduction of sector regulator/s) is strengthened including regulator's capacities to effectively regulate and enable compliance to service delivery standards.

Strategic Actions:

- **Roles and mandates** of multiple primary services providers (PHED and LGE&RDD) clearly defined, approved and all key staff oriented for created ownership and compliance
- **Clearly defined roles and mandates of hygiene** to one most relevant department, consultation leading development and implementation of hygiene strategy & plan, knowledge & skills on hygiene imparted and long-term behaviour change campaign undertaken.
- **Effective single coordination platforms** at provincial and district levels to retain oversight and strengthened to undertake agenda-based discussion and resolve challenges
- **Services delivery standards** safe drinking water, sanitation and hygiene updated, and models documented, staff oriented and piloting & scaling approved models
- **Users mass education programme designed and implemented** on user obligations & entitlements, updated service delivery standards and complaint system and disseminated widely
- **Establishing single or multiple WASH regulator/ EPA**, resourced, undertakes reviews for holding accountabilities to enforce standards of safely managed WASH

Thematic Area 3: Budget & Finance

Challenges: The challenges under this thematic area are;

- Imbalanced distribution of resources skewed heavily in-favour of drinking water than other elements i.e. sanitation and hygiene) and allocations are mostly politically driven rather needs based;
- The funds are allocated through multiple streams and current public financial management system most often is unable to consolidate the total sector allocations and expenditures. Moreover, the current system does not facilitate to track separate allocations and expenditure tracking for water, sanitation and hygiene;
- Current mechanisms of PFC for resource allocation to local governments by using criteria of population, poverty and infrastructure lag does not help in equitable distribution of resources-based districts needs for WASH.

Solution (Outcomes, Outputs and Strategic Actions): The results logic in terms of outcomes outputs and strategic actions are outlined below;

Outcome: Public sector financial systems strengthened enabling availability of adequate resources with balanced (WASH) and equitable distribution.

Outputs:

- Public sector budgeting/financing for WASH services is aligned to MTDP (three years budgeting cycles).
- The budgeting and expenditures tracking systems improved for desegregated tracking for water, sanitation and hygiene including geographic/administrative units.
- Allocations for WASH services to respective local governments through Provincial Finance Commission (PFC) Awards made equitable according to district need.

Strategic Actions:

- **Aligned public sector budgets to long, medium and annual plans** and synchronised in sector plan, (WASH identified as independent Sector in ADP) financing strategies developed, long-term resource commitment secured for WASH sector
- **Tracking of WASH budgets and funds** by creating bifurcated codes (sector, sub-sector, districts, public/ private sector and by civil society organisations) and strengthen WASH MIS helping in tracking expenditures
- **Review of equitable-to-district-needs PFC allocations for local governments** recommended, approved and distributed

Thematic Area 4: Planning, Monitoring, Evaluation & Research (PMER)

Challenges: The PMER related challenges are:

- Limited system capacities (amongst primary service providers) for monitoring, evaluation and research to generate relevant, reliable and usable information;
- Culture of non-evidence-based decision making for services planning and resource allocations.
- Limited technology use for monitoring, evaluation and research.

Solution (Outcomes, Outputs and Strategic Actions): The results logic in terms of outcomes outputs and strategic actions are outlined below;

Outcome: Planning, monitoring, evaluation and research capacities of primary/ secondary services providers strengthened.

Outputs:

- PME&R Units established/revamped, and are functioning in the primary/secondary service providers including P&DD.
- MER Units/Focal Points receiving adequate funds for MER activities.
- Researches and periodic reviews produced for services planning, programmed innovation and policy advocacy.
- The IT tools and applications are widely in use for PME&R functions.

Strategic Actions:

- **Dedicated Focus on M&E in service delivery** as a strengthened function of government in WASH sector, resourced, and managed as sector knowledge
- **Use of research and reviews used for effective programmes and advocacy** by identifying ideas (social, economic, technological) in Joint Sector Reviews (JSR) and implementing findings

- **Use of IT-Based Tools in M&E functions** developed, M&E staff oriented, data gathered, analysis undertaken according to M&E protocol and used in planning as well informed decision making

Thematic Area 5: Capacity Development

Challenges: The key capacity development related challenges are:

- Primary and secondary service providers lack will, capacities and resources to undertake periodic capacity assessments to formulate capacity development plans;
- Serious technical and staffing gaps in the primary service providers resulting in delivery of poor/unsustainable services;
- Staff motivation levels are low combined with weak performance management culture to incentivise better performers.

Solution (Outcomes, Outputs and Strategic Actions): The results logic in terms of outcomes outputs and strategic actions are outlined below;

Outcome: Management, technical and operational capacities of services providers are strengthened for efficient, effective and sustainable WASH services delivery.

Outputs:

- Comprehensive capacity assessment/s against service delivery standards/models of primary/secondary service providers conducted and Capacity Development Plan (CDP) approved.
- Capacity development for primary and secondary service providers as a regular internalised system for service providers resourced and implemented.

Strategic Actions:

- **Capacity of primary service providers enhanced to deliver sustainable WASH** by assessing gaps against updated service delivery standards and models of delivery, recommendations reviewed, approved by Provincial WASH Steering Committee (PWSC) and any new staff and structures recommended is placed and the plan regularly reviewed for compliance
- **Pre and In-service systematic training effectively internalized** through a well designed and implemented (managerial, operational & technical) training programme for primary services providers and held in a training institution identified, resourced and evaluated for compliance accountability

Thematic Area 6: Broader Enabling Environment

Challenges: The key challenges around enabling environment are:

- Differential focus (more on drinking water provision) and interest, including limited capacities and commitment at leadership level to help prioritise resources allocation for WASH as integrated services package.
- Weak/non-existent accountability of service providers by the service users.

Solution (Outcomes, Outputs and Strategic Actions): The results logic in terms of outcomes outputs and strategic actions are outlined below;

Outcome: Enabling environment for sustainable WASH services delivery and utilization by users is strengthened with the view to have WASH reckoned as public sector development priority in Khyber Pakhtunkhwa.

Outputs:

- Service providers have mechanisms in place to regularly update/advocate with political leadership on WASH policies, plans and services.

- Service charges and recovery mechanisms strengthened according to full cost recovery and poor user affordability considerations.

Strategic Actions:

- **Political Leadership legislate WASH as Rights of People and as development priority** after their sustained engagement for sensitization on the importance of WASH
- **Self-sustaining service charges and mechanisms in services providers strengthened** for full cost recovery tariff structure, (addressing affordability), training on tariff structure and recovery mechanism imparted to key staff for compliance and cost recovery function regulated

Thematic Area 7: Services Providers

Challenges: The key challenges for the service providers are:

- Services in particular drinking water services become unsustainable as a result of weak planning and management of operations and maintenance arrangements.
- Private sector participation is limited and poorly regulated by the primary service providers.

Solution (Outcomes, Outputs and Strategic Actions): The results logic in terms of outcomes outputs and strategic actions are outlined below;

Outcome: The capacities of primary services providers strengthened to plan and deliver WASH services that are affordable, efficient and sustainable.

Outputs:

- Primary service providers have evolved models and approaches to continue to provide/expand safe and sustainable drinking water services.
- Primary service providers have evolved models and approaches to continue to provide/expand safely managed sanitation services.
- Primary service providers have evolved models and approaches to continue to provide/expand hygiene promotion/BCC services.
- Models of Public Private Partnership for drinking water, sanitation and hygiene services are piloted, reviewed and scaled for province-wide implementation.

Strategic Actions:

- **Sustainable drinking water, sanitation and hygiene (through campaign) for all** by making district-based assessment of served and unserved areas (drinking water & sanitation – liquid & solid waste), develop clear plans with O&M strategy/ SoPs, staff oriented, and the process regulated
- **WASH models of PPP implemented by service providers** by establishing a strengthening PPP node within services providers to support in complimenting the public sector by the private sector in reaching out with services to communities, PPP Nodes piloting and scaling interventions and PPP models regulated

Chapter-5 outlines a number of implementing strategies that GOKP needs to adopt and/or adapt to achieve the desired results. The foremost is sustained political commitment at all levels for provision of equitable and sustainable WASH services for all. Another is change in the perspective whereby WASH services may need to be planned and delivered as complementary and integrated (rather treating them separately as water, sanitation and hygiene). Another is balanced focus on hardware and software components, which at present is heavily skewed in favour of hardware. Next comes the creating synergies and strengthening capacities of primary and secondary service providers. Moreover, the planning (targets, approaches, implementation) may need to be re-assessed and re-aligned to the new targets set under SDGs. The culture and practice of evidence-based decision-making (by strengthening monitoring, research and evaluations, and setting mandatory conditions for use for decision-making) may need to be encouraged and applied at all levels. This may also require making innovative use of ICT for information collection, analysis and dissemination, to enable informed

and evidence driven decision making. The regulatory mechanisms may need to be strengthened within the primary service providers including establishment of newer regulatory structures to put in place checks and balances. The engagement of private sector holds key for services expansion and sustained services delivery. The primary service providers may need to pilot and scale models of 'Public-Private Partnership' for WASH services. Sector financing is critical to services expansion, hence both policy makers and implementers may need to lobby/advocate for added resources for sustainable services.

Chapter-6 offers an overview of the Planning Monitoring Evaluation and Research (PMER) Plan, for the delivery of KPWSP. The Provincial GOKP is committed to putting in place a cogent and responsive performance measurement and accountability mechanism. The plan proposes a series of structural, procedural and capability development related interventions. The improvements are likely to trigger a culture of evidence-based decision-making, greater accountability, processes and services innovation, performance management, and others. The improvements would eventually ease reporting to national and international stakeholder's vis a vis achievement on relevant SDG targets.

For services delivery, a repository of 102 indicators, including SDG indicators, were reviewed for inclusion in the monitoring plan of KPWSP. The current national surveys need to include a set of 16 more indicators out which that will help in reporting against SDG indicators as well as other aspects of sustainable WASH. The two primary services providers are reporting progress against 13 monitoring indicators around basic aspects of accessibility and quality of drinking water only. In order to comprehensively monitor sustainable WASH, many dimensions of accessibility, quality and sustainability need to be captured. Therefore, a set of 82 prospective monitoring indicators have been provided to capture all aspects of three quality WASH programme elements of accessibility, quality and sustainability and against safely managed drinking water, sanitation and hygiene.

Chapter-7 is an annotated version of the exhaustive 'Capacity Development Plan' (attached as appendix-15) for two primary service providers i.e. Public Health Engineering Department (PHED) and Local Government Elections and Rural Development Department (LGE&RDD). The chapter gives an overview of the framework used for 'capacity assessment' and formulation of 'Capacity Development Plan' (both listed as priority outputs under section 4.6 of KPWSP). It outlines the findings of capacity assessment, capacity development priorities and actions needed to enable these service providers to realise vision and objectives of the KPWSP. The chapter includes a matrix which present capacity development interventions vis a vis '7 Thematic Priorities' of KPWSP.

Chapter-8 presents the KPWSP budget. The budgeting is segregated across two domains i.e. costs for interventions proposed under KPWSP (could also be referred as interventions to improve WASH governance) and other for services expansion. The principle of activity-based budgeting has been used to draw costs, where required the activities were broken further into sub-activities. The detailed budget is based on latest, most relevant and realistic assumptions of annual increase in human resource expenses and annual increase in salaries and related costs. The estimates have tentatively been drawn based on 7% inflation rate per annum. The budget for services expansion is an estimated projection of 100% coverage of safely managed drinking water, 100% of sanitation (solid and liquid waste) and 100% for hygiene.

The financing needs of the KPWSP (2019-30) come to PKR 921 billion, which includes PKR 15.5 billion for KPWSP implementation for improved WASH governance, and another PKR 905.5 billion for WASH services expansion (see Table 1 for details).

Table 1: Summary Budget for Khyber Pakhtunkhwa WASH Sector Plan (2019-2030)

Budget	Short-Term Funds Projection (2019-22) (Millions)	Medium- Term Funds Projection (2023-26) (Millions)	Long-Term Funds Projection (2027-30) (Millions)	Total Rs. (Millions)
Sector Plan for Improved Governance*	3,519	5,585	6,487	15,591
WASH Services Expansion	93,604	289,366	522,598	905,568
Grand Total	97,123	294,951	529,085	921,159

**Hygiene budget of Rs. 1.1 billion, is part of KP WASH sector Plan budget. Therefore, it is not reflected in Service expansion plan budget to avoid duplication.*

CHAPTER-1. INTRODUCTION, SIGNIFICANCE AND SCOPE OF THE PLAN

1.1 Background

This is Government of Khyber Pakhtunkhwa's (GOKP) Sector Plan for 'Water, Sanitation and Hygiene 2019-2030 (herein after referred to as the Plan/KPWSP/Sector Plan)¹⁸. This Plan is formulated to help address the bottlenecks (structured into seven thematic areas) identified by an extensive sector review exercise held with key stakeholders. This Plan outlines the sector vision, mission, values, priority strategies and actions, budget and monitoring plan for all seven thematic areas (see Figure-1 for seven thematic areas). The Plan has been formulated by evolving and implementing a broad-based, participatory, and iterative process, whereby key stakeholders from public sector, development partners, civil society, academia, sector experts and communities, were extensively consulted to inform the Plan. The presentation took a considered view to keep it focused, short and most importantly 'enabling' for the relevant actors, who may seek guidance and implement this in future.

1.2 Significance of WASH Strategic Plan (KPWSP)

The experiences of last few decades in Pakistan have demonstrated the benefits of strategic planning in terms of laying the roadmap of priorities, interventions and investments. The successes with health and education sector plans are a case in point. The WASH has never been viewed as an integrated sector, nor has there been a long history of formulating WASH Sector Plans. It was in 2012 that Government of Punjab took the initiative and developed a WASH Sector Plan (2014-24). The other provinces then followed the Punjab province. Long, medium and short-term objectives or results were set to chart the future, while placing the provincial governments in the stewardship. These plans defined the role and opportunities for the sector partners, while underpinning collaborative approaches to sector delivery. The strides made in other provinces made GOKP to embark upon the strategic planning process to realise the vision of sector specific 'Sustainable Development Goals' (SDGs).

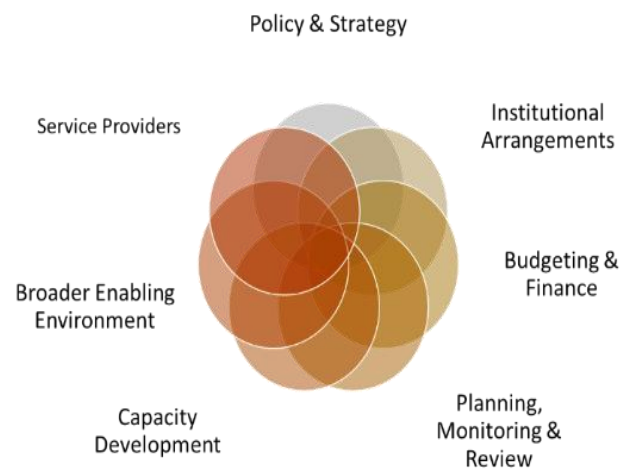


Figure 1: Key Thematic Areas

There is widespread acknowledgement that the 'Business as Usual' may not help the GOKP to achieve the vision of provision of safe water, safe sanitation and hygiene, as committed under SDGs. The WASH situation analysis highlights the opportunities to align sector policies (provincial) with sustainable development goals (SDG)¹⁹. Institutional arrangements must be focused on delivery with clear roles and mandates for service providers along with well-coordinated and regulated mechanisms. There is absence of sector financing strategies and this inadequacy does not support placing adequate resources required according to the demands on service delivery. Measuring performance and holding accountabilities is yet another area that needs urgent attention. Lastly,

¹⁸. This initiative was taken up in early 2017 and the original KPWSP period was 2018 to 2030. Due to many unavoidable challenges along the way, the period of the KPWSP is now set to start with July 2019 and end with June 2030.

¹⁹. The Sustainable Development Goals (SDGs) were born at the United Nations Conference on Sustainable Development in Rio de Janeiro in 2012. The objective was to produce a set of universal goals that meet the urgent environmental, political and economic challenges facing the world. The SDGs replace the Millennium Development Goals (MDGs), which started a global effort during the period 2000 and 2015 to tackle the indignity of poverty.

capacity of service providers and awareness of users, respectively, on standards of service delivery and entitlements need to be assessed and enhanced. The strategic planning exercise of developing KPWSP is important in a number of ways to the Provincial GOKP. It provides a sense of direction and outlines measurable goals. It is also important in guiding decision making and for evaluating progress as well as changing approaches while moving forward. Most importantly, it helps to set out a plan of action in unlocking sector bottlenecks and paving way for effective WASH governance and service delivery.

1.3 A Process Approach to Developing KPWSP

There were five major steps followed (Figure-2) during the development of the KPWSP. For each step certain methodology and approach was followed. Based on these steps three principles of consultation/ iterations and validation at each of the above step were followed;

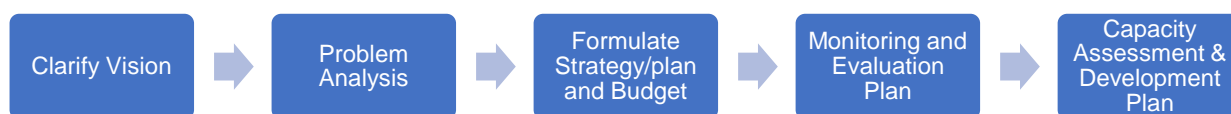


Figure 2: Steps in formulating a Strategic Plan

1.3.1 Methods for KPWSP Formulation

Desk Review: Reviewed more **300+ documents** as part of desk review which includes (national and international, national and provincial key documents).

Problem Analysis: In order to undertake problem analysis, gaps of information were identified after desk review and based on checklist of question data/information was gathered from key service providers. Problem was further undertaken by following three steps.

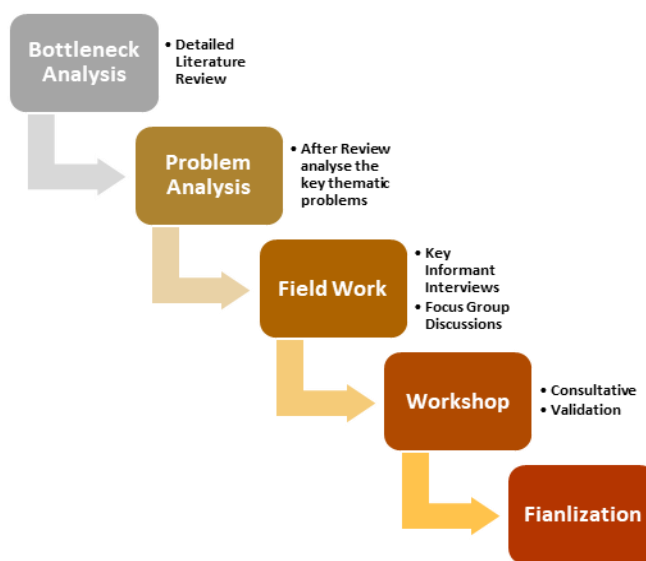


Figure 3: Technical Approach

A) Preparing the Ground: A tool develop by WHO/UNICEF of Bottleneck Analysis (BAT) was used to identify sector blockages in the seven thematic areas. The bottlenecks were identified by sector partners and by (BAT) Tool²⁰. A well facilitated step-by-step process was undertaken to identify thematic areas and the bottlenecks. The BAT was conducted during a strategic planning exercise called the Joint Sector Review (JSR)²¹ held in 2017.

B) Determining Causes and Effects of Bottlenecks: A further analysis of bottlenecks by reviewing existing literature, holding discussions with stakeholders and analysing information was undertaken. As a result of this analysis, higher level challenges under each theme-wise

²⁰ WASH-BAT tool is an online tool designed by UNICEF with inputs from sector stakeholders.

²¹ A Joint Sector Review (JSR) as a periodic process brings different stakeholders of WASH together to engage in dialogue, review status, progress and performance and take decisions on priority actions. JSR processes are aimed to provide a reliable overview towards driving reforms and improving sector governance.

bottleneck were identified. A set of causes and effects were further analysed and documented. These higher-level challenges under each bottleneck, their causes and effects helped sector partners in developing a results-based matrix. Both vertical logic (Vision, outcomes, outputs, activities and timelines) and horizontal logic (indicators, means of verification, responsibilities and assumptions) were identified, discussed and validated.

- C) Converting challenges, causes and effects into results: In order to develop this KPWSP (2019-2030), Results-Based planning tool of identifying vision/ mission, outcomes, outputs and activities was used. Sector positioning conducted as part of step 2 of WASH strategic planning helped in clearly identifying theme-wise sector bottlenecks. A total of 22 bottlenecks (based on JSR, 2017) against seven thematic areas (Fig-1) were identified. A process of combining similar bottlenecks together resulted finally in placing 15 bottlenecks. The KPWSP is a result of extensive discussions, held by sector partners in a four-day workshop (Jan 1-4, 2018)²². The analysis of this consultation was documented and validated in a follow up workshop held with the same sector partners.

Field Work: Based on gap analysis, a field work was planned and implemented. Field work includes Key informant interviews with key provincial and district level officials (Haripur and Peshawar). It also included discussions held with selected communities in these districts as well. Overall **80+ persons** were interviewed as part of this consultation for undertaking problem analysis.
held with communities

Workshops: A total of **6 workshops** were held at different stages of the preparation of plan. The stages include consultation on initial analysis, follow-up consultation for validating the documented analysis.

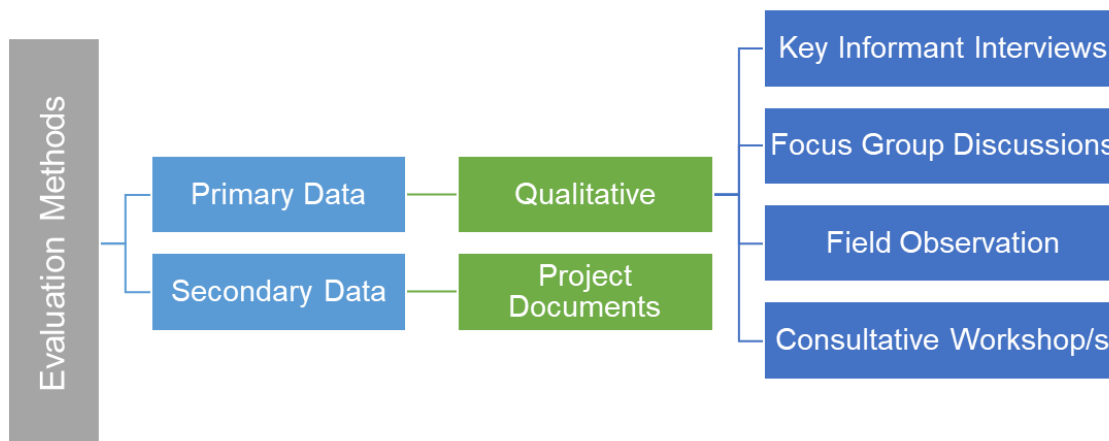


Figure 4: Methodology

²² A four day (January 1-4,2019) consultative workshop was held in Islamabad. Where participants representing line departments of provincial government, civil society, academia, the UN agencies and international NGOs were involved in development of Result Framework (Vertical logic of the result framework was developed by participants).

1.3.2 Delivery Approach

The assignment delivery was guided by following principles or approaches. These principles/approaches enable keep process participatory (owned by the stakeholders), efficient, and supported by best industry standards and practices. These are:

- Consultative & Participatory
- Consensus Driven
- Adaptive and Flexible
- Leverage Sector/Global Best Practices for Contextualization
- Working Draft Approach

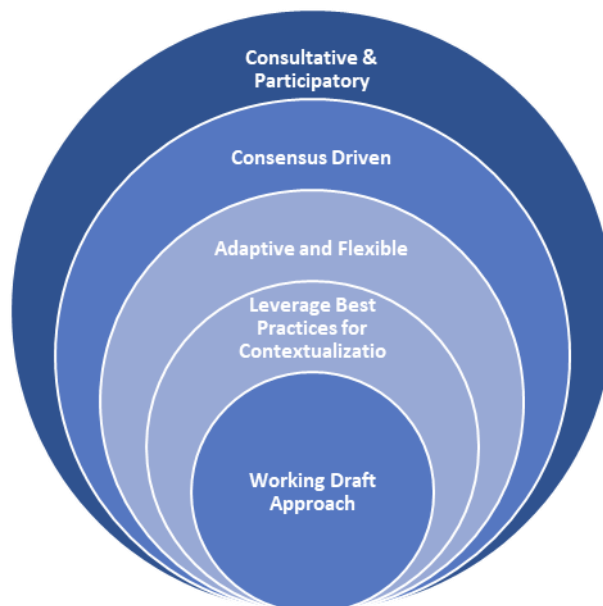


Figure 5: Delivery Approach

1.4 Scope of the Plan

To enable the relevant stakeholders including planners, implementers and sector partners, the scope of this plan has been expanded below. The scope includes:

- The Plan primarily focuses on the seven thematic priorities (Figure-1), that came up as systemic bottleneck (could be grouped as governance and management challenges) in the Provincial WASH Joint Sector Review (2017-18). The Plan operational plan outlines approach and actions to unlock these governance and management challenges for efficient, effective and sustainable services delivery. With that, the Plan offers models and approaches including anticipated costs for services expansion. These are not prescriptive however the relevant public sector entities could adapt them as required.
- The services expansion plan given in KPWSP is just to provide basis of broad physical and financial projections at this stage and does not limit primary service providers for preparing a more realistic need-based plan.
- The Plan cycle has been aligned to public sector planning cycle hence, it may start from July 2019 and end in June 2030.
- The plan is primarily applicable for Public Health Engineering Department and Local Government Elections & Rural Development Department in their area of jurisdiction.²³
- KPWSP excludes coverage of newly merged districts of Khyber Pakhtunkhwa (formerly FATA areas).

1.5 Contents of the Sector Plan

The contents of the Plan have been structured into two Volumes. The Volume I comprise seven chapters whereas Volume II includes all the appendices.

The chapters of Volume I are as below:

Chapter 1: Introduction, Significance and Scope of The Plan

Chapter 2: Sector Context, Challenges, Opportunities and Stakeholders

²³ At the same time as this KPWSP was prepared, the provincial government is also working on an IWRM. The main thrust of that plan is to look at water as a whole and its provision for various purposes. The departments dealing with IWRM will review this KPWSP and create synergy wherever appropriate with IWRMP. Moreover, the Provincial Government of Khyber Pakhtunkhwa is also preparing a Sustainable Development Strategy (SDS) compatible with the 17 SDGs. While SDS is still in the development stage P&DD will review KPWSP and create synergy between both KPWSP and SDS.

Chapter 3: Vision, Mission and Values of Sector Plan

Chapter 4: Thematic Priorities, Challenges, Solutions and Actions

Chapter 5: Implementation Strategies

Chapter 6: Planning, Monitoring, Evaluation and Research Plan

*Chapter 7: Capacity Assessment & Capacity Development Plan for Primary Service Providers
(PHED & LGE&RDD)*

Chapter 8: The Budget

CHAPTER-2. SECTOR CONTEXT, CHALLENGES, OPPORTUNITIES AND STAKEHOLDERS

This chapter presents the sector context whereby zooms in from global to local context. The description includes referrals to the significant global long-term planning initiatives. It includes a summary of thematic priorities and bottlenecks identified in the 'Khyber Pakhtunkhwa Joint Sector Review' (2017). The chapter outlines the key sector stakeholders involved either directly or indirectly with services provision and systems strengthening.

2.1 Global WASH Agenda

The end of 2015 marked the transition from Millennium Development Goals (MDGs 2000-2015²⁴) to 'bolder and more transformative'²⁵ agenda comprising seventeen (17) goals of 'Sustainable Development Goals' (SDG – 2015-30). Pakistan has signed up for SDGs and is committed to achieve the targets set under them. Find below the (WASH) targets and indicators framework that is available to the members countries (Table-2).

Table 2: SDGs Targets and Indicators

Targets	Indicators
6.1: By 2030, achieve universal and equitable access to safe and affordable drinking water for all.	6.1.1 Proportion of population using safely managed drinking water services
6.2: By 2030, achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable situations.	6.2.1 Proportion of population using safely managed sanitation services, including a hand-washing facility with soap and water
6.3: By 2030, improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials, halving the proportion of untreated wastewater and substantially increasing recycling and safe reuse globally.	6.3.1 Proportion of wastewater safely treated 6.3.2 Proportion of bodies of water with good ambient water quality
6.4: By 2030, substantially increase water-use efficiency across all sectors and ensure sustainable withdrawals and supply of freshwater to address water scarcity and substantially reduce the number of people suffering from water scarcity.	6.4.1 Change in water-use efficiency over time 6.4.2 Level of water stress: freshwater withdrawal as a proportion of available freshwater resources
6.5: By 2030, implement integrated water resources management at all levels, including through transboundary cooperation as appropriate.	6.5.1 Degree of integrated water resources management implementation (0-100) 6.5.2 Proportion of transboundary basin area with an operational arrangement for water cooperation
6.6: By 2020, protect and restore water-related ecosystems, including mountains, forests, wetlands, rivers, aquifers and lakes.	6.6.1 Change in the extent of water-related ecosystems over time

²⁴ The United Nations MDGs were eight goals that all 191 UN member states had agreed to try to achieve by the year 2015. The MDGs was the first effort to galvanise unprecedented efforts to meet the needs of the world's poorest (<http://www.un.org/millenniumgoals/>).

²⁵ The Sustainable Development Goals (SDGs) were born at the United Nations Conference on Sustainable Development in Rio de Janeiro in 2012. The objective was to produce a set of universal goals that meet the urgent environmental, political and economic challenges facing the world. The SDGs replace the Millennium Development Goals (MDGs), which started a global effort during the period 2000 and 2015 to tackle the indignity of poverty.

Targets	Indicators
6.a: By 2030, expand international cooperation and capacity-building support to developing countries in water- and sanitation-related activities and programmes, including water harvesting, desalination, water efficiency, wastewater treatment, recycling and reuse technologies.	6.a.1 Amount of water- and sanitation-related official development assistance that is part of a government-coordinated spending plan
6.b: Support and strengthen the participation of local communities in improving water and sanitation management.	6.b.1 Proportion of local administrative units with established and operational policies and procedures for participation of local communities in water and sanitation management

A new platform i.e. ‘Sanitation & Water for All’ (SWA)²⁶, was created in 2010 to guide efforts around sector governance. The discussions contributed to shaping the SDGs for safe water and sanitation. For the first time in this SWA global discourse, the concept of ‘long-term planning’ as the central principle giving impetus to eliminating WASH inequalities was developed. “Leaving no one behind” is the new global drive behind SWA²⁷. The framework includes 7 guiding principles, four collaborative behaviours and five building blocks (Figure-6)²⁸

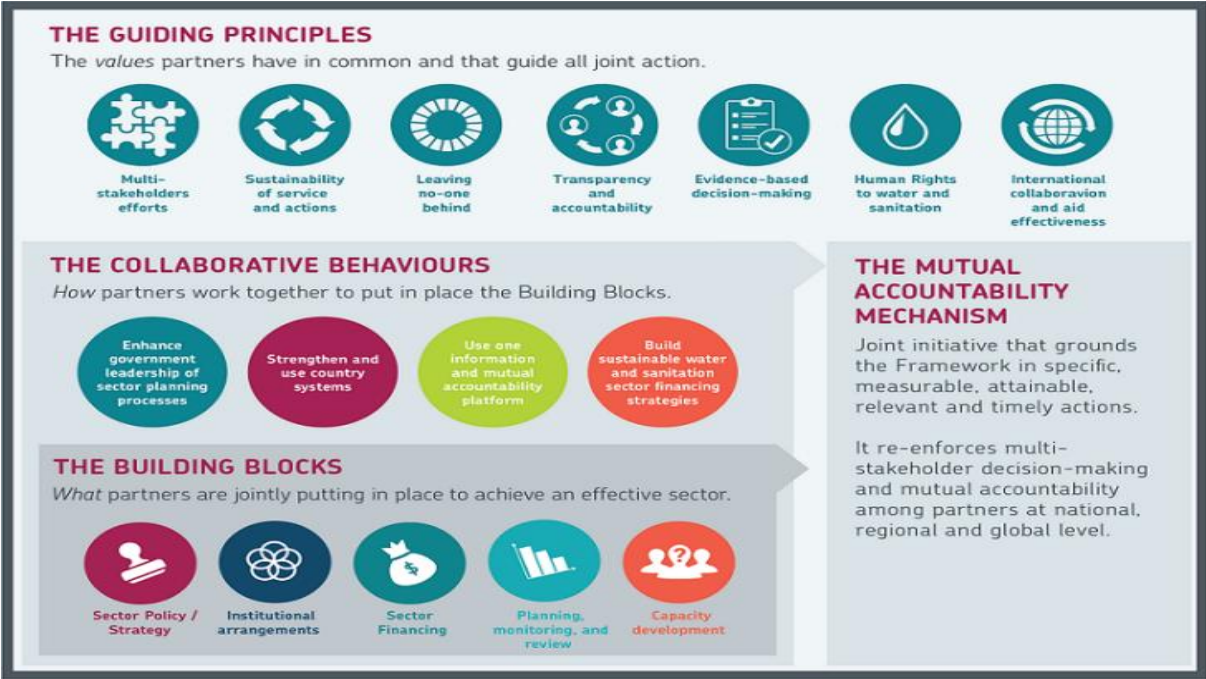


Figure 6: SWA Framework

There is a global platform that tracks the progress made in the sector. The progress is tracked through a joint initiative of WHO and UNICEF, commonly referred to as “Joint Monitoring Programme (JMP)”. The JMP had developed service ladders which is used to benchmark and compare service levels within and across countries. The service ladders have been separately identified for drinking water,

²⁶. SWA is a partnership of governments and their development partners, including civil society, the private sector, donors, UN agencies and research and learning institutions. This global partnership lead countries contribute as a developing and supporting mechanism for achieving SDGs.

²⁷. <http://sanitationandwaterforall.org/about/about-swa/>.

²⁸. <http://sanitationandwaterforall.org/priority-areas/swa-framework/>

sanitation and hygiene²⁹. The service ladders (**Sub-Appendix 19.3**) have now been updated for compatibility with SDG indicators and targets.

Like other sectors, the SDG agenda has set targets for water, sanitation, and hygiene (WASH). For each service area, the targets are set across the continuum of progressively improved service level, referred to as ‘Service Ladder’. At the top of the continuum or ladder, the most desired form of service is classified as ‘Safely Managed’ drinking water and sanitation. However, the rating differs for hygiene and is identified with basic services.

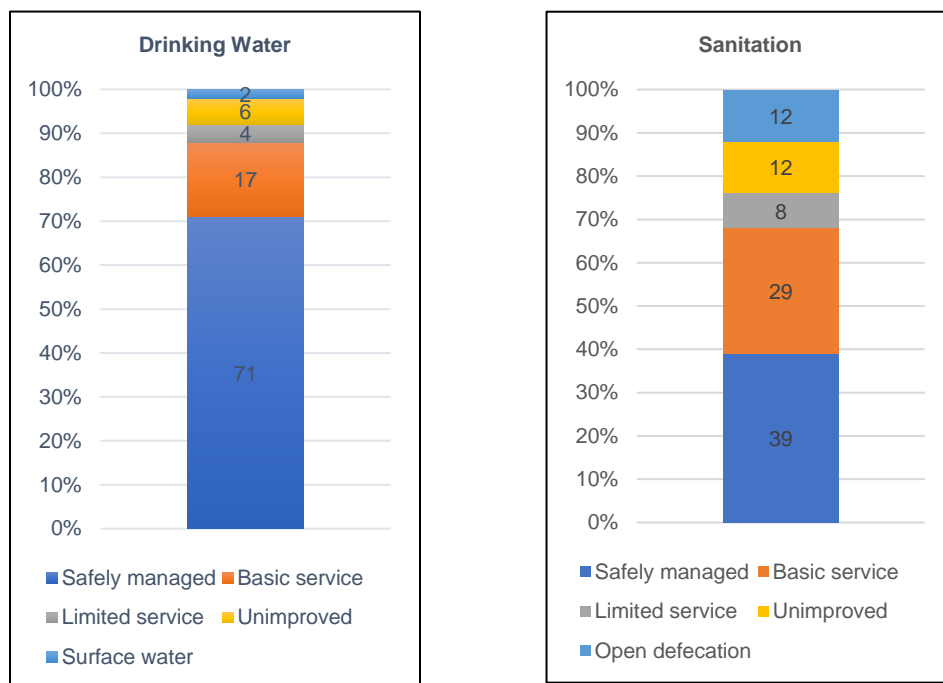


Figure 7: World Status of Water, Sanitation and Hygiene (JMP Ladder)

The transition in the targets under SDGs (from MDGs) has contributed to significant drop in countries rating in terms of delivery of safely managed water and sanitation services. The data points to significantly lower levels of access to safely managed sanitation, in comparison to drinking water. As of 2015, almost 2/3 of the world’s population lack access to safely managed sanitation. Similarly, 1/3 of the population is without access to safely managed drinking water (Figure-7)³⁰. In terms of hygiene, data is currently insufficient to produce a global estimate for the population with basic handwashing facilities and demonstration of basic behaviours of using soap with water at critical times.

2.2 WASH Agenda: Pakistan

Pakistan is one of the first few countries to ratify the SDGs and placing them on national development agenda³¹. The Planning Commission of Pakistan (PC) has set up separate ‘SDG Units’, both at the federal level and in the provinces. The purpose clearly is to steer adoption and implementation of SDGs, including SDG-6, in a dedicated and focused manner. At federal level, it is the ‘Ministry of Climate Change (MoCC)’ which is the nodal agency for coordination, guidance and reporting on SDG-6 (safe water, safe sanitation and hygiene).

²⁹ <http://www.washdata.org>

³⁰ WHO/UNICEF (2017): Joint Monitoring Programme (JMP) Report.

³¹ <http://www.sdgpk.com>

The JMP (2017)³² baseline (as per SDG targets) figures for service ladders (Figure-8) show that 36% people have access to safely managed drinking water (drinking water from an improved water source that is located on premises, available when needed and free from faecal and priority chemical contamination). The numbers for safely managed sanitation are not available. However, more than half of the population has access to basic sanitation services (use of improved toilet facilities that are not shared with other households). In terms of hygiene 60% of people in Pakistan have access to basic hygiene services associated with availability of a handwashing facility on premises with soap and water.

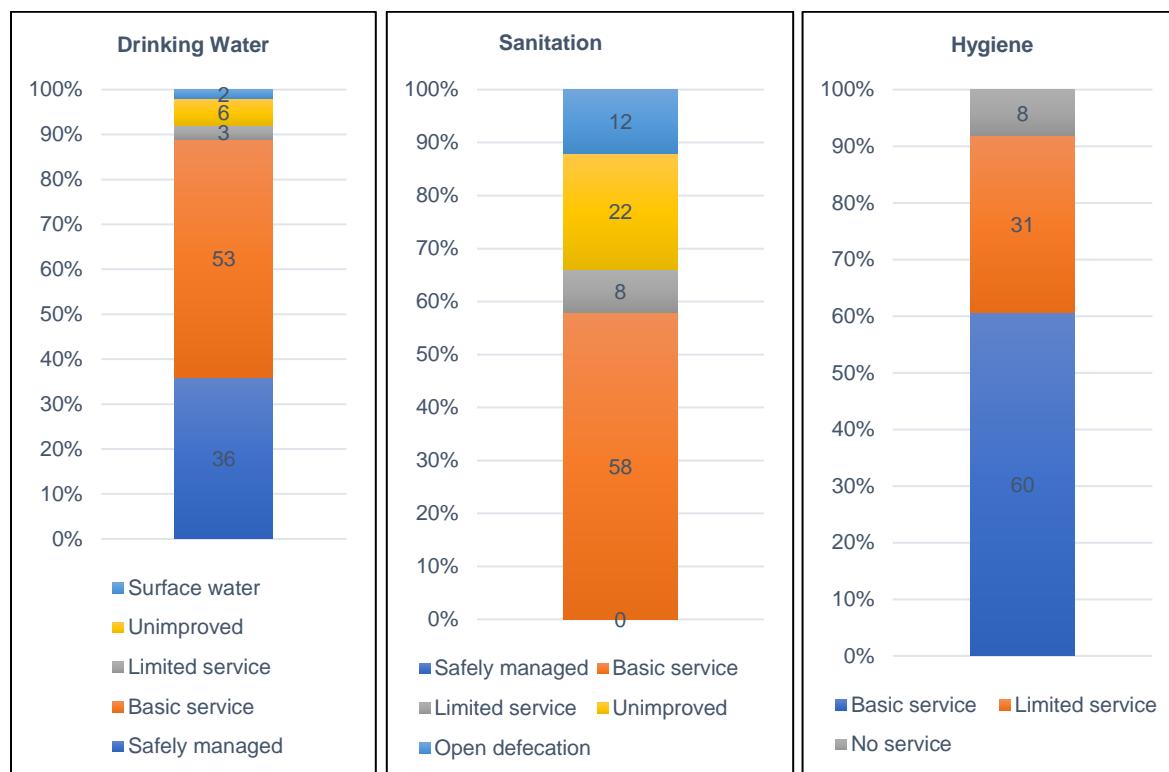


Figure 8: Pakistan Status of Water, Sanitation and Hygiene against JMP ladder

Administratively, the provinces are responsible for delivery of water, sanitation and hygiene services (courtesy 18th Constitutional Amendment). Within provinces, the services provision is segregated across multiple agencies such as Public Health Engineering (PHED), Local Government (LG)s, Health and others. The role of MoCC is to advise and support to the provinces together with coordination and reporting with key sector partners. The last decade has seen a sector planning process unfolded across provinces, whereby governments of Punjab, Sindh and Baluchistan have already developed their 'WASH Sector Strategic Plans'. The Plan in hand is for the GOKP.

2.3 Khyber Pakhtunkhwa: Sector Context

The GOKP is committed to undertaking long-term view of developing and implementing WASH sector plan in consonance with the national SDG agenda. The government is both committed and aware of challenges and bottlenecks that have thwarted the sector progress. A significant proportion of population is without services in the provinces. The recently released Multiple Indicator Cluster Survey (MICS -2016-17), results suggests that 82% population of the province have access to safely managed

³² At the start of the SDG period of 2015.

drinking water facilities (against the national average of 36% as reported by JMP 2017). Moreover, 77.8% of the population have access to basic sanitation services (data on safe sanitation is not available). For hygiene, more than half the population (69.1%) has access to hygiene services, implying availability of handwashing facility on premises with soap and water (Figure-9).

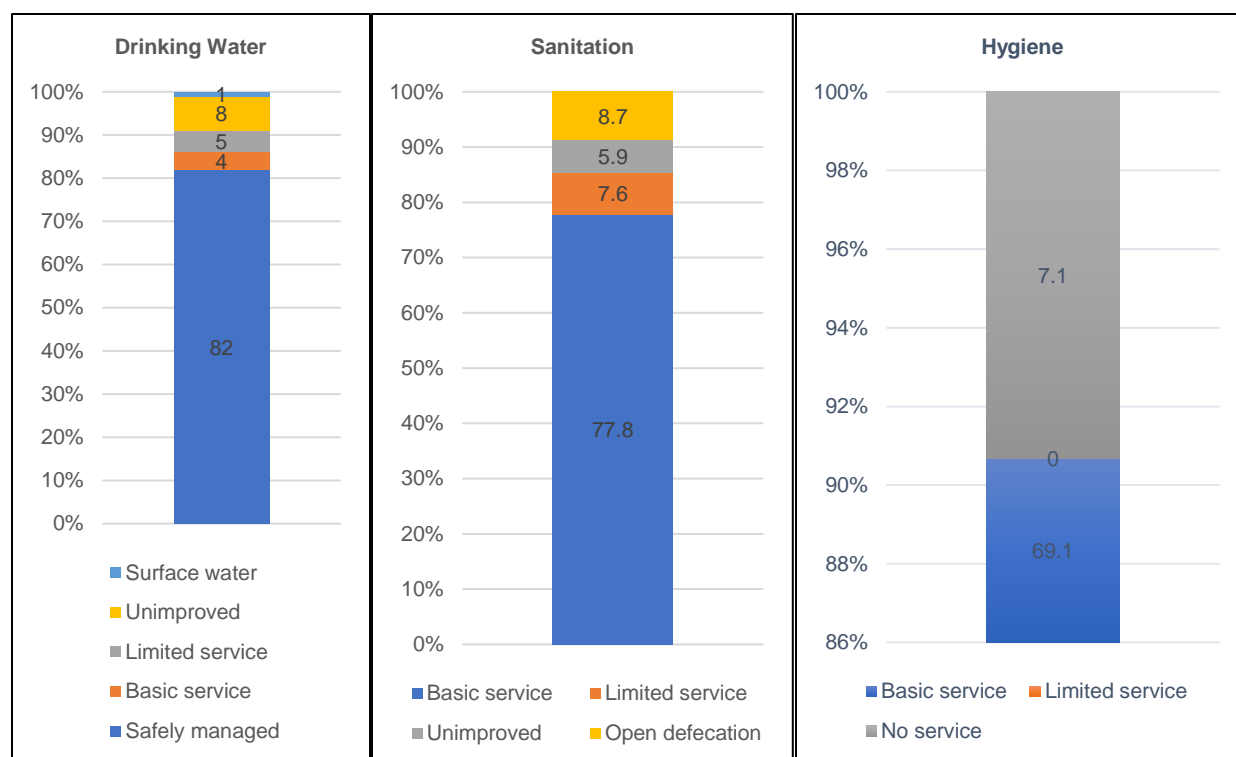


Figure 9: Khyber Pakhtunkhwa Status of Water, Sanitation & Hygiene against JMP ladder 2017

A provincial JSR (2017) identified multiple bottlenecks under seven (7) separate thematic areas. These offer themselves as opportunities to unlock the bottleneck to help improve services delivery in terms of coverage, quality and sustainability.

2.3.1 Thematic Priorities, Bottlenecks and Opportunities in Khyber Pakhtunkhwa

Below are the key bottlenecks described briefly under each of the seven thematic areas, and visually in figure-10 below;

1. **Sector Policy & Strategies** are not aligned with SDGs, there is less available discussion on integrating disaster-resistance and climate resilience and integrating WASH with Health, nutrition and education.
2. Blurred roles of multiple service providers, lack of effective coordination and regulatory environment are challenges of **institutional arrangements**.
3. Lack of long-term and three-cycle medium development framework (MTDF) for WASH constrains government effort to strategize sector financing need under **Budget & Finance**. Lack of WASH as a development priority compromises dedicated budget allocation to WASH and consequently bifurcated analysis of financial utilisation is also not possible.
 - o The Provincial Finance Commission (PFC) Award is not based on equitable distribution of resources to local governments at each district level.
4. **Planning, monitoring, evaluation & research** is an area that is not adequate to respond to the requirement of tracking performance of service providers. There is also lack of use of tools of information technology (IT) in documenting and analysing trends and inadequacies during programme implementation.

- Lack of Research in WASH sector is absent and is not supportive of promoting more effective programmes in water and sanitation.
5. **Capacity development** as an approach to making transformation change needs assessment and planning.
 6. Political support to prioritize & support planning as well as users not being aware of their responsibility of paying for services are conditions of **Broader Enabling Environment** that need to be addressed.
 7. Lastly, **Service Providers** are struggling with provision of sustainable provision of services and in regulating the private sector in service provision outreach to people.

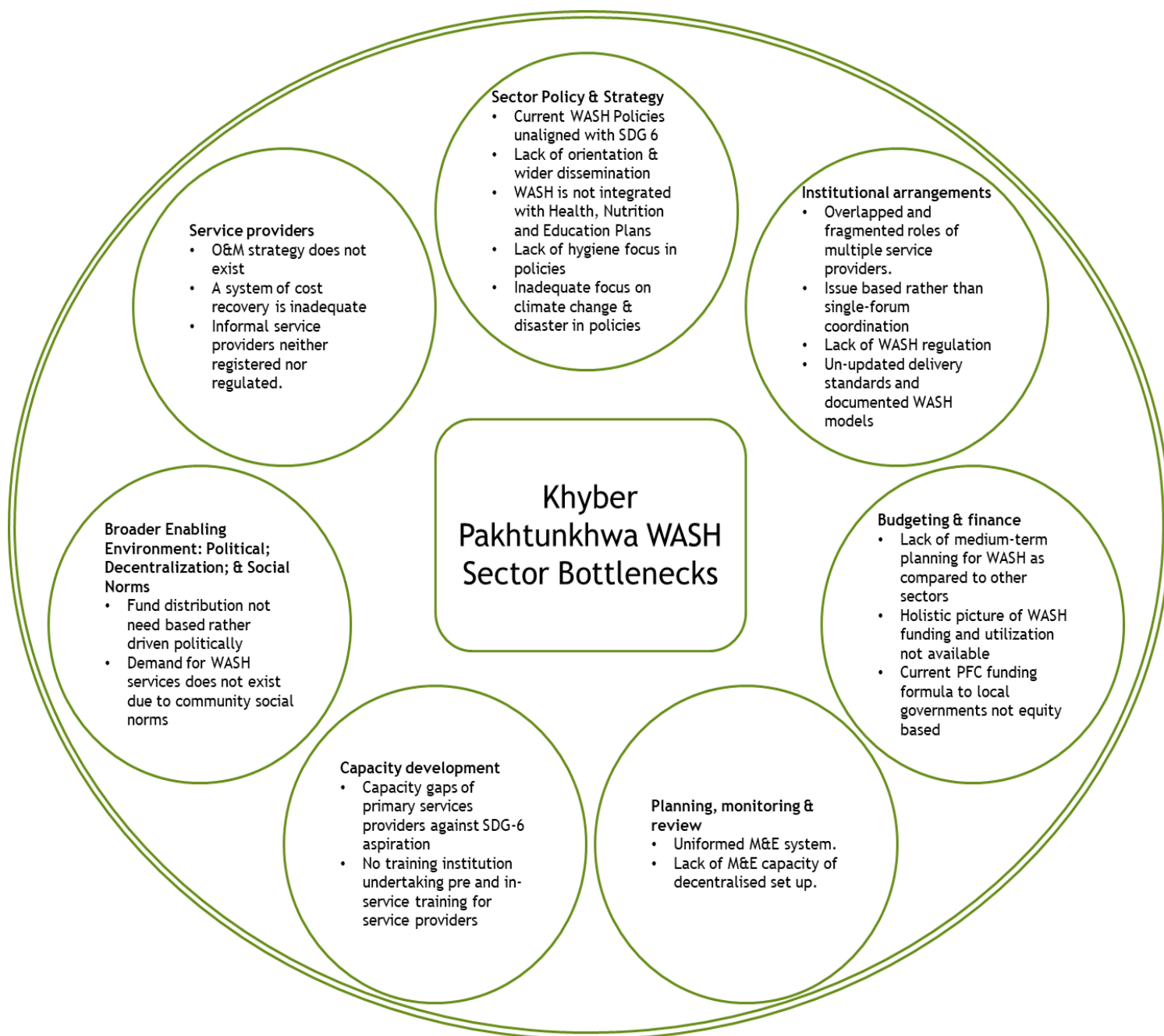


Figure 10: Khyber Pakhtunkhwa WASH Sector Bottlenecks

2.3.2 Key Stakeholders: Mandates, Roles and Coverage

There are multiple public stakeholders involved directly in services delivery across the province. These include WSSCs, LDD, Cantonment areas, PHED, LG&RDD and others. In some areas, the services are being delivered by the private sector including housing societies and private operators. There are a range of public and non-public stakeholders that work to complement, support and strengthen the services of primary service providers. Find below the matrix (table 3) that outlines the key service providers and their mandates and coverage.

Table 3: Key Stakeholders; Mandate, Role and Coverage

S#	Organization / Entity	Status*	Mandate, Roles and Coverage
1.	Public Health Engineering Department (PHED)	Primary Service Provider	Comprehensive planning and look after of the clean drinking water schemes and sewerage system; Maintenance of latest quality pipes and better machinery; Testing and research of hygiene related schemes; Accumulation of statistics and analysis; Increasing the know-how of the staff related to engineering. The PHED covers water and sanitation (only liquid waste) in the rural areas of districts of the province.
2.	Local Government, Elections & Rural Development Department (LGE&RDD)	Primary Service provider	The Local Government, Elections and Rural Development Department is working to respond to the specific needs of the citizens of Khyber Pakhtunkhwa falling within the ambit of local governance. The Department has been assigned the responsibility to implement the Khyber Pakhtunkhwa Local Government Act 2013 to achieve the stated objectives of the local government reforms introduced by the GOKP. The Department also has regulatory and administrative functions to ensure that the local governments throughout the province perform their roles and functions within the policy framework introduced under the new law. The local governments cover water & sanitation also in rural areas of districts of the province. The Tehsil Municipal Authorities cover solid waste aspect of sanitation in rural areas.
3.	Planning and Development Department (P&D)	Secondary Services Provider	Strategic planning for provincial economy. Formulation of Annual Development Plans. Appraisal and review of Projects, Monitoring and evaluation of development schemes, Socio-economic impact analysis, Management of Provincial Statistics, Foreign Development Assistance – Donors Coordination, Processing Foreign trainings & visits, Lead Provincial representation in National Development Forums, Lead Steering Committees and PRBs of mega projects, Secretariat support to PDWP/CDWP/ECNEC/NEC, etc and coordination & implementation of reforms agenda
4.	Water and Sanitation Services Companies (WSSC)	Primary Services Provider	Water Extraction, Storage and Distribution; Solid Waste Management; Wastewater Collection, Treatment and Reuse, and; Sewage Sludge Use. The WSSCs are covered
5.	Finance Department	Secondary services provider	Supervision and control of Provincial Finances; Preparation of Provincial Budget; Management of public funds, public debit; Resource management, and; Financial Regulation.
6.	Environment Protection Agency (EPA)	Secondary services provider	Administer and implement the Act 1997, its rules and regulations Review of IEE/EIA, preparation of procedures and guidelines; Preparation revision and enforcement of NEQS (Industries, Municipalities, Vehicular emission); Establish & maintain laboratories, certification of laboratories for conducting "tests and analysis"; Assist local Councils/Authorities, Govt; Establish a system for surveys, monitoring, examination and inspection to combat

S#	Organization / Entity	Status*	Mandate, Roles and Coverage
			pollution; Provide information and education; Publish the Annual State of the Environment report, and; Take measures to promote environment related R&D activities
7.	Education Department	Primary services provider	Provide quality education enabling all citizens to reach their maximum potential; Produce responsible and skilled citizens. Integrate Pakistan into the global framework of human centred economic development. The National Education System should be meaningful and relevant in order to alleviate poverty and sustain growth through the provision of quality education for all Pakistanis, without any discrimination thus facilitating the creation of a knowledge-based society. (Pakistan Development Forum). The mission and vision are consistent with the EFA and MDG goals and the objectives of the National Education Policy, Education Sector Reforms (ESR) and Provincial Reforms Programme (PRP). Coverage in the entire province.
8.	Health Department	Primary services provider	Leadership & evidence-based direction setting for health sector. Health support and development. Health regulation and enforcement. Quality assurance and control; facilities and services; Food and sanitation. Management support services and monitoring & evaluation. Coverage in the entire province.
9.	UNICEF	Donor	UNICEF is a key stakeholder in WASH Steering Committee of the province. P& and UNICEF are partners under Multi Years Work Plan (2015-17). They have signed MoU which is aligned to Output 1 of the MYWP Strengthened political commitment and national capacity to legislate, plan and budget for children. P&D agreed to collaborate on conducting Joint Sector Review and develop WASH sector plan.

Source: Websites of concerned department except UNICEF

*Status = (Primary/ Secondary Service Provider)

CHAPTER-3. VISION, MISSION AND VALUES

This chapter describes the Plan's Vision, Mission and Values that shall guide the services delivery in future. There is wider acknowledgement across the range of stakeholders involved that the *'business-as-usual'* may not enable provision of safely managed water, sanitation and hygiene, as outlined and committed in the SDGs. The situation merits a considered 'rethinking' and 'bold' steps to address the hindrances thwarting effective WASH governance.

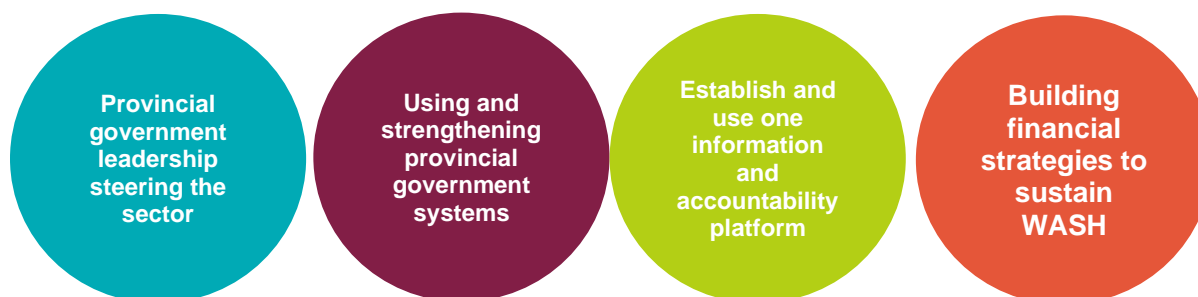


Figure 11: Collaborative Behaviors for WASH Sector in Khyber Pakhtunkhwa

Find below the 'transformative agenda' that the provincial government has outlined in the shape of Vision, Mission and Values. These are:

3.1 Vision

The KPWSP (2019-30) envisions that: ***"Everyone in Khyber Pakhtunkhwa have access to affordable, sustainable and safe water, sanitation and hygiene services by 2030"***.³³

3.2 Mission

The KPWSP (2019-2030) Mission is;

"Public sector agencies in Khyber Pakhtunkhwa are providing responsive, integrated (in partnership with private sector, communities, academia and civil society) and innovative Water, Sanitation and Hygiene Services that are safe, affordable, equitable, resilient and sustainable"

3.3 Values that Drive the Vision

The GOKP has outlined following values (also referred to as collaborative behaviours, already committed by GOP) that shall drive the transformative agenda that the provincial government has embarked upon. These are; i) provincial government leadership in steering the sector; ii) using and strengthening provincial government systems; iii) establish and use one information and accountability platform; and iv) building financial strategies to sustain WASH.

- I. ***Provincial government leadership steering the sector:*** Leadership of government is critical in planning and managing WASH services. GOKP has demonstrated initiative to provide the much-needed steerage to the sector. A WASH sector plan (KPWSP) for the province to improve WASH governance and support services expansion in achieving SDGs is a manifestation of greater focus and priority being accorded to the sector. With this a Provincial

³³ This vision is compatible with the national vision and with the international commitment of Pakistan to the sustainable development goal (SDG) 6 – ***"Clean water and sanitation for all"***. The vision is also in harmony with the visions of all other three provinces of the country completing the cycle of harmonized and joint working towards achieving SDG-6.

WASH Steering Committee (PWSC), has been notified which guided the KPWSP formulation and approval.

- II. *Leveraging & strengthening existing structures and systems:* Using and strengthening provincial government systems core provincial systems are the fundamental capabilities of the government for effective and transparent management of public resources. It is taking measures during planning and implementation by supporting sustainable service provision for all. The existing systems of developing sector policies is strengthened by aligning with SDGs and holding regular reviews to stay on course. Institutional delivery of WASH is being made more effective by clarifying roles and mandates between multiple service providers. The currently limited regulation of WASH sector is being strengthened by establishing and resourcing regulator(s) to ensure compliance and holding accountabilities. Long-term planning and financing strategies is the new adopted way to fund sustainable water, sanitation and hygiene for all in the province. The M&E system is being strengthened by establishing dedicated M&E units within the primary service providers.
- III. *Establish common information and accountability platforms:* Establish and use one information and accountability platform in order to decide where to invest, how to sustain and improve water and sanitation services and to understand which policies and strategies work, it is crucial that sectors have reliable data and engage in critical joint reflection and adaptive planning. Use of one information and mutual accountability platform is being strengthened by linking M&E at service providers from district to province level. Agenda-based joint sector exercise will be held, and course correction undertaken. Performance of service providers will be both for purposes of holding accountabilities but also as an incentive to enhance performance.
- IV. *Sector financing for sustainable services:* Building financial strategies to sustain WASH Long-term plans and financing strategies will help fund sustainable water, sanitation and hygiene for all in the province. The provincial government is taking leadership role in directing and monitoring sector investment. It is taking all measures for building new WASH infrastructure, improved governance and strengthening sector capacity.

CHAPTER-4. THEMATIC PRIORITIES, CHALLENGES, RESULTS AND ACTIONS

The provincial government after extensive reflections and discussion sessions held with sector partners and stakeholders have worked out a strategic plan for the WASH sector in the province (2019-2030). This chapter presents the thrust of the plan from drivers of change to what needs to be achieved to bring wider change in the sector. A Results-based logic model was applied to develop this strategic Plan. The logic model approach and the strategic plan developed as a result of using this planning tool is unfolded below.

4.1 Results-Based Management Planning Approach

This logic model helps to dig deep into a comprehensive problem analysis. The problem analysis is the critical foundation to ascertain all challenges, their causes and effects. These in turn help to frame long, medium and short-term solutions and actions for the WASH sector.

4.1.1 Transforming the WASH Sector

A total of seven thematic areas had already been identified at an initial stage of discussions held with sector partners and are now WASH Sector 'Thematic Priorities' for the WASH Sector in the province. Each thematic priority has been analysed by identifying challenges that hamper effective WASH sector governance and management. Keeping in view the thematic priority-wise challenges, long, medium and short-term solutions have been developed. Figure-12 presents the overall thrust of the WASH Sector Strategic Plan.

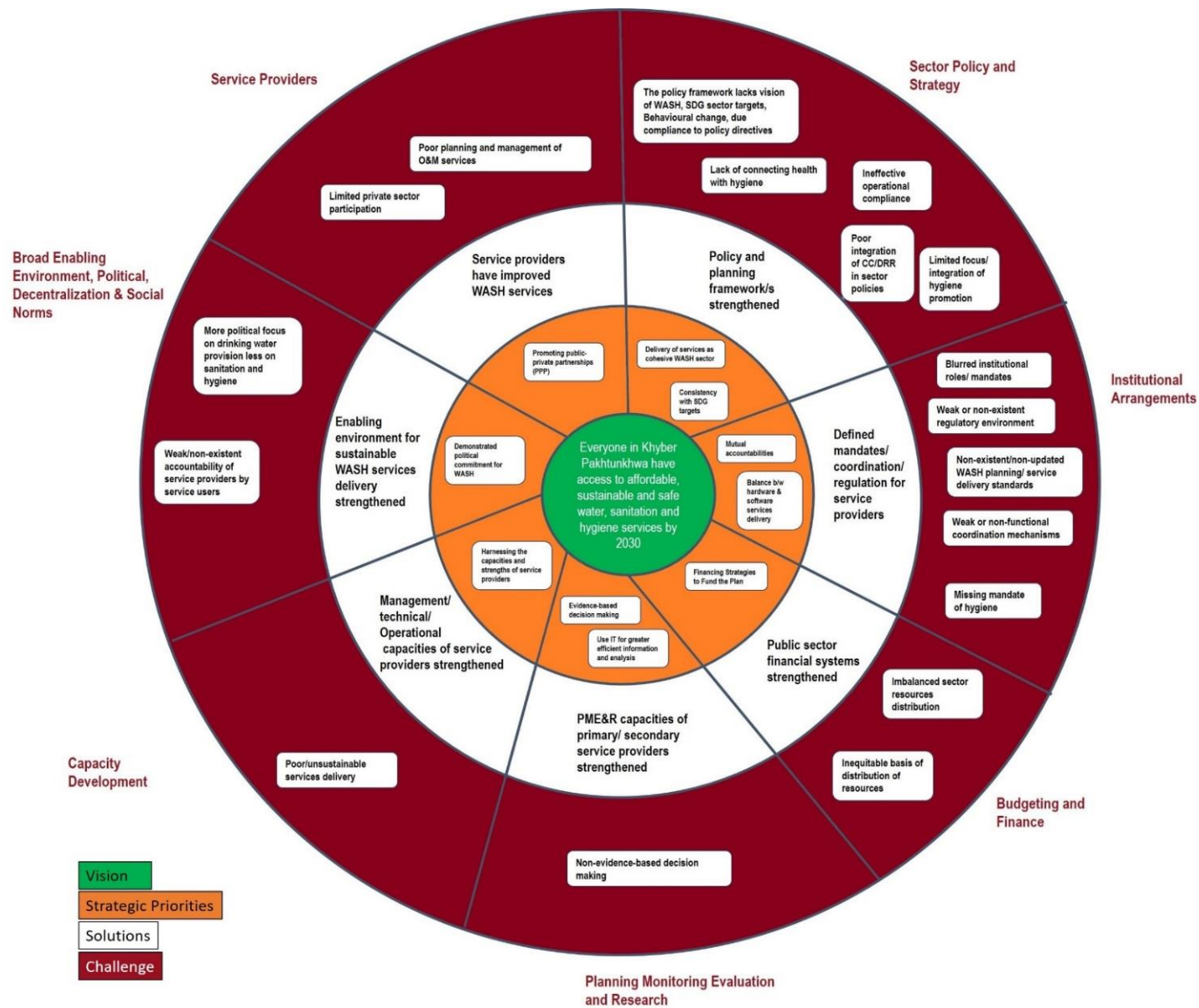


Figure 12: KPWSP Strategic Framework

4.1.2 Actions for Transform the WASH Sector

Given the long-term solutions, actions are needed to reach to these solutions. The theme-wise solutions and actions are described below, while complete theme-wise results framework including its monitoring indicators, means of verification and critical assumptions are given after description of actions. The detailed results framework including activities, timelines and responsibilities are provided in appendices.

4.2 Sector Policy & Strategy

Challenge: There key policy and strategy challenges include:

- Available policies lack vision of WASH as an integrated service comprising inter-dependent constituents i.e. water, sanitation, and hygiene;
- Policies lack coherence to SDG targets for water, sanitation and hygiene;
- Policy guidance around behavioural change is non-existent;
- The service providers are non-compliant to the policy directives or standards;
- Policies lack significance of and provide limited guidance on inter-sectoral linkages (of poor WASH services) such as health, nutrition, education and others;
- Policies lack guidance on Climate Change and Disaster Risk Reduction (DRR).

Results (Outcomes and Outputs) and Strategic Actions: The results logic in terms of outcomes outputs and strategic actions are outlined below;

Outcome: 1. Policy & planning frameworks strengthened to make WASH sector governance and services delivery cohesive, aligned (to SDGs, other sectors and CCA & DRR) and effective.

Outputs:

- 1.1. Water, sanitation, and hygiene policies are reviewed and consolidated into an 'Integrated & Harmonised (with SDGs) WASH Policy' and approved to guide (cohesive and integrated) services delivery.
- 1.2. The Sector (KPWSP) Strategic & Operational Plans (long, medium and short term) developed, approved and implemented.
- 1.3. The Integrated WASH Policy and (Strategic and Operational) Plan/s underline linkages with health, nutrition, education, climate change adaptation (CCA), and DRR and offer guidance for public sector implementers to develop and deliver integrated and sustainable services.

Strategic Actions:

Harmonising policies that guide delivery

- Integrated policy of drinking water, sanitation and hygiene will be developed and implemented
- SDG-6 will be included in policy
- Integrated WASH policy will have appropriate balance between WASH infrastructure and hygiene promotion
- Political and staff ownership of approved policies will be disseminated through well-designed orientation of political leadership, staff of primary and secondary service providers and users.
- Addressing disaster and climate change risk in policies will be the organizational priority of primary service providers. The PDMA and service providers will jointly draw up a training programme on integrating disaster resistance and climate change resilience aspects in WASH infrastructure designs.

Preparing and implementing long-term plans

- Long-term services delivery plans in line with updated WASH policy by primary service providers (PHED & LG&RDD) will be developed³⁴ for the period 2018-2030.
- Keeping in line with current practise for all other sectors, the PHED and LG&RDD will prepare a three-year cycle-based Medium-Term Development Plans (MTDP). A total of 3 MDTPs and 11 Annual Development Plans will be prepared during long-term planning of 2019 to 2030.

WASH integrated with Health, Nutrition and Education

- WASH is being integrated into related sector of Health, Nutrition & Education for making wider impact on sustainable development
- Orientation on approved WASH policy and knowledge as well skill will be imparted to primary and secondary services providers.
- Regular Reviews held will also review

The results framework on Sector Policy and Strategy can be seen on the next page, while activity-wise timeline and responsibility (primary & secondary) is at Appendix-1.

³⁴. This operational plan is completely different from this plan (KPWSP) which is about unlocking WASH sector blockages.

Thematic Priority: Sector Policy and Strategy

Narrative Summary	Indicators	Means of Verification	Responsibilities		Assumptions
			Primary	Secondary	
<p>Vision Everyone in Khyber Pakhtunkhwa have access to affordable, sustainable and safe water, sanitation and hygiene services by 2030</p>	<ul style="list-style-type: none"> By 2030, achieve universal and equitable access to safe and affordable drinking water for all <i>in Khyber Pakhtunkhwa</i> (SDG indicator) By 2030, achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable <i>situations in Khyber Pakhtunkhwa</i> (SDG indicator) 	<ul style="list-style-type: none"> Provincial MICS surveys PSLM National and provincial WASH reports 			
<p>Outcomes 1. Policy and planning framework/s strengthened to make WASH sector governance and services delivery cohesive and effective.</p>	<ul style="list-style-type: none"> Separate policies approved for drinking water, sanitation and hygiene % increase in allocation/use of funds for WASH activities at provincial/district levels* Separate policies of WASH reviewed and revised <p>*Baseline: Existing funds allocated and utilised for the last 10 years are available in budget portion</p>	<ul style="list-style-type: none"> WASH Steering Committee Minutes WASH Approved Policies 	<ul style="list-style-type: none"> PHED LGE&RDD 	<ul style="list-style-type: none"> Education Health 	<ul style="list-style-type: none"> Consistent commitment of Provincial Government towards setting transformational change in WASH through policies/strategies continues unabated
<p>Outputs 1.1 Water, sanitation, and hygiene policies are reviewed and consolidated into an 'Integrated & harmonised (with SDGs) WASH Policy' and approved to guide (cohesive and integrated) services delivery.</p>	<ul style="list-style-type: none"> Policy documents make adequate referrals to SDGs targets, and provision of services informed of climate change and disaster risks Policy documents refer to balanced focus on hard/software components of services delivery Number of stakeholders' consultative events planned and implemented Number of launch/dissemination events organized 	<ul style="list-style-type: none"> SoPs and guideline on DRR/CC Designed and evaluated orientations on approved WASH policies and training programmes on hygiene 	<ul style="list-style-type: none"> PHED LGE&RDD 	<ul style="list-style-type: none"> Education Health 	<ul style="list-style-type: none"> Commitment to and focus on WASH as a priority continues by key government departments Natural disaster not disrupting government focus away from

Narrative Summary	Indicators	Means of Verification	Responsibilities		Assumptions
			Primary	Secondary	
<p>1.2 The sector (KPWSP) strategic & operational (long, medium and short term) plans developed, approved and implemented</p> <p>1.3 The Integrated WASH Policy and (Strategic and Operational) Plan/s underline linkages with health, nutrition, education, climate change adaptation (CCA), and DRR and offer guidance for public sector implementers to develop and deliver integrated and sustainable services.</p>	<ul style="list-style-type: none"> Provincial WASH strategic and operational plan approved and implemented Strategic plan approved by the Provincial Cabinet to demonstrate highest political commitment 3 medium-term WASH development plans in line with long term plans approved and implemented 10 years ADPs approved and implemented All plans reviewed and revised Adequate funds provided Health & Education Sector strategies/plans integrated with WASH approved and implemented by 2020 onwards Health & Education Sector provincial plans integrated with WASH regularly reviewed for compliance 	<ul style="list-style-type: none"> knowledge and skills on DRR/CC Monitoring report on utilisation of imparted training of DRR/CC Approved long term MTDPs and ADPs 	<ul style="list-style-type: none"> PHED LGE&RDD PHED LG&RDD 	<ul style="list-style-type: none"> Secondary service providers Education Health 	<p>development to everyone</p>

4.3 Institutional Arrangements

Challenges: The challenges with respect to institutional arrangements are:

- Overlapping and blurred institutional roles or mandates (particularly for rural water and sanitation) contributing to turf related tensions and competition for resources;
- Primary water and sanitation service providers are not providing hygiene promotion/education services;
- The sector coordination mechanisms are weak (lack system capacities) and largely non-functional to drive shared sector agenda and rally support from partners;
- The regulatory environment (laws, standards and authorities) is weak resulting in poor standardization (of services), monitoring, and accountabilities of service providers.

Results (Outcomes and Outputs) and Strategic Actions: The results logic in terms of outcomes outputs and strategic actions are outlined below;

Outcome: 1. Sector (WASH as complete package) governance strengthened with well-defined (and accepted) mandates (across service providers), improved coordination and regulatory environment for provision of standardized services by the primary/ secondary services providers.

Outputs:

- 1.1. Provincial Rules of Business (RoB: 2015) amended and offer clarity around mandates, roles and coordination arrangements for the primary and secondary service providers.
- 1.2. WASH Coordination Forums (at provincial and district levels) established/re-activated/revamped to steer sector-wide planning, reviews, information management, harmonization, and advocacy.
- 1.3. The public sector lead for hygiene education is identified (with consensus) and capacitated to plan and implement public education/behavioural change campaigns (BCC).
- 1.4. The service delivery standards (for water, sanitation and hygiene) are reviewed and revised (in view of SDG targets) and under implementation by the primary service providers.
- 1.5. Primary service providers continue to evolve, implement, review and scale new service delivery models and approaches for provision of safe and sustainable services.
- 1.6. Primary and secondary service providers have developed and implement users' mass education and awareness programmes to inform them of entitlements, obligations and complaint system.
- 1.7. Regulatory environment (in terms of promulgation of laws, services standards, introduction of sector regulator/s) is strengthen including regulator's capacities to effectively regulate and enable compliance to service delivery standards.

Strategic Actions:

Clearly defined roles and mandates between multiple service providers

- Both the PHED and LGE&RDD will initiate a process of clearly defining roles and mandates for these two primary service providers.
- The clearly redefined roles for PHED and LGE&RDD will be approved and notified
- All key staff of PHED and LGE&RDD will be oriented on redefined roles and placed on government website for wider dissemination.

Clearly defined roles and mandates of hygiene

- The provincial government will assign primary mandate of hygiene to one of its departments most relevant to this aspect of the sector.

- The hygiene leader within the provincial government will lead discussion in consultation with all relevant stakeholders to develop policy, strategy and plans on hygiene for implementation.
- A well-structured training programme on knowledge & skills for hygiene promotion will be designed and implemented.
- The primary and secondary services providers (PHED, LGE&RDD, Health and Education Departments) will develop a strategy for implementing a long-term behaviour change campaign on hygiene implemented in the province.

Effective single coordination platforms

- There will be joint coordination mechanisms at the level of the province as well as in each district. The Provincial Steering WASH Committee (PWSC) will be the provincial joint coordination forum. It already has ToRs to retain oversight on KPWSP. At the district level, the Deputy Commissioner will head the District WASH Committee.
- These coordination mechanisms will be strengthened to adopt Agenda-based discussion and resolve challenges to the sector

Updated service delivery standards and models

- The PHED and LGE&RDD will review and update the current service delivery standards of safe drinking water, sanitation and hygiene.
- All international best practices will be studied, discussed and adopted in the context of Khyber Pakhtunkhwa.
- The updated standards placed on website of the government for wider awareness and understanding of users.
- Key staff of service providers will be oriented on updated service delivery standards
- The updated service delivery standards will be revisited every two years for any amendment
- PHED and LGE&RDD will develop and use tested models of sustainable WASH
- Approved models of sustainable WASH piloted and scaled

Appendix-8 presents services expansion design that includes two models of liquid and solid waste management.

Users mass education programme designed and implemented

- A user awareness programme will be designed and implemented
- It will include mass awareness programme on user obligations & entitlements, updated service delivery standards and the complaint system set out by the service providers.
- The use of print, electronic and social media in transmitting messages will be designed and implemented

Establishing single or multiple WASH regulator(s)

- A WASH regulator will be placed, appropriately resourced both in-terms of human and financial capacity
- The regulator will prepare the framework of regulation, undertake regular reviews and present findings to PWSC for holding accountabilities (the organigram of the proposed regulator is given in Appendix-9).
- The environmental protection agency (EPA) will be strengthened and capacitated to enforce environmental assessment of municipal waste.
- The implications of unsafe drinking water and sanitation (both liquid and solid) will be regulated.

The results framework of institutional arrangements is given in next pages, while activity-wise timelines and primary & support responsibilities is at Appendix-2.

Thematic Priority: Institutional Arrangements

Narrative Summary	Indicators	Means of Verification	Responsibility		Assumptions
			Primary	Secondary	
<p>Vision Everyone in Khyber Pakhtunkhwa have access to affordable, sustainable and safe water, sanitation and hygiene services by 2030</p>	<ul style="list-style-type: none"> • By 2030, achieve universal and equitable access to safe and affordable drinking water for all in Khyber Pakhtunkhwa (SDG indicator) • • By 2030, achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable situations in Khyber Pakhtunkhwa (SDG indicator) 	<ul style="list-style-type: none"> • MICS Surveys • PSLM Reports 			
<p>Outcome 1. Sector (WASH as complete package) governance is strengthened with defined mandates, coordination, regulations for primary/secondary service providers</p>	<ul style="list-style-type: none"> • Roles of primary and secondary service providers clearly defined in RoB and approved • Mandates of multiple services providers clearly defined in RoB and approved • Single functioning coordination forums at provincial and district levels • Regulator(s) as valid referee(s) established and functioning 	<ul style="list-style-type: none"> • P&D M&E unit reports • Revised RoBs • Regulator(s) efforts 	<ul style="list-style-type: none"> • PHED • LGE&RDD 	<ul style="list-style-type: none"> • Education • Health 	<ul style="list-style-type: none"> • Change in political government after Change in government through elections continue to support policies/ strategies and plans of effective WASH governance.
<p>Outputs 1.1 Provincial Rules of Business (RoB: 2015) amended and offer clarity around mandates, roles and coordination arrangements for the primary and secondary service providers</p>	<ul style="list-style-type: none"> • Clearly defined roles, mandates and coordination arrangements in RoB implemented • Mandate of hygiene to one primary service provider notified 	<ul style="list-style-type: none"> • PM&E Units at service providers and P&DD reports • Reports of Regulators/ EPA • Documents of Sustainable 	<ul style="list-style-type: none"> • PHED • LGE&RDD 	<ul style="list-style-type: none"> • P&DD • Establishment Department 	<ul style="list-style-type: none"> • Service providers will continue to remain positive to institutional changes in roles, mandates, coordination

Narrative Summary	Indicators	Means of Verification	Responsibility		Assumptions
			Primary	Secondary	
<p>1.2 WASH Coordination Forums (at provincial and district levels) established/re-activated/revamped to steer sector-wide planning, reviews, information management, harmonization, and advocacy</p>	<ul style="list-style-type: none"> • Already notified provincial coordination forum (Steering Committee) and xx district WASH Committees functioning • Xx sector reviews/researches undertaken • Xx joint sector partners meeting convened at provincial and district levels • Xx advocacy events planned and implemented 	<p>WASH models</p> <ul style="list-style-type: none"> • Regular progress reports of service providers 	<ul style="list-style-type: none"> • PHED • LGE&RDD 	<ul style="list-style-type: none"> • P&DD • Education • Health • WASH steering committee • WatSan Cell 	<p>arrangements and regulations</p>
<p>1.3 The public sector lead for hygiene education is identified (with consensus) and capacitated to plan and implement public education/behavioural change campaigns (BCC).</p>	<ul style="list-style-type: none"> • Government establishes primary service provider for hygiene through BCC • Provincial BCC strategy developed and implemented • Health department guides/supports PHED, LG&RD and allied departments in BCC activities • BCC strategy reviewed and revised • Regular monitoring of BCC interventions 		<ul style="list-style-type: none"> • PHED • LGE&RDD 	<ul style="list-style-type: none"> • P&DD • Education • Health 	
<p>1.4 The service delivery standards (for water,</p>	<ul style="list-style-type: none"> • Standards of WASH service delivery updated and approved by 2019 • Key service provider staff oriented on updated WASH service delivery standards • Regulator(s) report compliance 		<ul style="list-style-type: none"> • PHED • LGE&RDD 	<ul style="list-style-type: none"> • P&DD • Education, Health 	

Narrative Summary	Indicators	Means of Verification	Responsibility		Assumptions
			Primary	Secondary	
<p>sanitation and hygiene) are reviewed and revised (in view of SDG targets) and under implementation by the primary service providers</p> <p>1.5 Primary service providers continue to evolve, implement, review and scale new service delivery models and approaches for provision of safe and sustainable services.</p> <p>1.6 Primary and secondary service providers have developed and implement users' mass education and awareness programmes to inform them of entitlements, obligations and complaint system</p> <p>1.7 Regulatory environment (in terms of promulgation of laws, services standards, introduction of sector regulator/s) is strengthen including regulator's capacities to effectively regulate and enable compliance to service delivery standards</p>	<ul style="list-style-type: none"> Sustainable WASH models currently in Pakistan and South Asia documented and approved for implementation Approved Sustainable WASH models implemented (piloted and scaled) IEC material prepared for user awareness Internal service provider and media mechanisms used for creating user awareness on their rights and entitlements Clear and effective mechanisms established for user feedback and complaints about service Number of new regulations introduced (including existing amended and enacted) Mandates of different regulators defined Staff of regulators trained Guidelines for compliance monitoring included into routine operations of regulators. Regulators producing periodic compliance reports 		<ul style="list-style-type: none"> PHED LGE&RDD 	<ul style="list-style-type: none"> P&DD Health Education 	
			<ul style="list-style-type: none"> PHED LGE&RDD 	<ul style="list-style-type: none"> Health Education 	
			<ul style="list-style-type: none"> PHED LGE&RDD 	<ul style="list-style-type: none"> P&DD EPA 	

4.4 Budget and Finance

Challenges: The challenges under this thematic area are;

- Imbalanced distribution of resources skewed heavily in-favour of drinking water than other elements i.e. sanitation and hygiene) and allocations are mostly politically driven rather needs based;
- The funds are allocated through multiple streams and current public financial management system most often is unable to consolidate the total sector allocations and expenditures. Moreover, the current system does not facilitate to track separate allocations and expenditure tracking for water, sanitation and hygiene;
- Current mechanisms of PFC for resource allocation to local governments by using criteria of population, poverty and infrastructure lag does not help in equitable distribution of resources-based districts need for WASH.

Results (Outcomes and Outputs) and Strategic Actions: The results logic in terms of outcomes outputs and strategic actions are outlined below;

Outcome: 1. Public sector financial systems strengthened enabling availability of adequate resources with balanced (WASH) and equitable distribution.

Outputs:

- 1.1. Public sector budgeting/financing for WASH services is aligned to MTDP (three years budgeting cycles).
- 1.2. The budgeting and expenditures tracking systems improved for disaggregated tracking for water, sanitation and hygiene including geographic/administrative units.
- 1.3. Allocations for WASH services to respective local governments through Provincial Finance Commission (PFC) Awards made equitable according to district need.

Strategic Actions:

Aligned Public Sector Budgets to long, medium and annual plans

- The PHED & LGE&RDD will develop WASH long, MDTP and ADPs of WASH service delivery plans.
- The PHED and LGE&RDD will synchronise their individual into WASH Sector Services delivery Plan
- The Finance Department by using WASH Sector MDTP will develop a financing strategy and seek long-term resources for the sector
- WASH will be identified as a separate sector in the ADP and create an independent unit within P&D to steer dedicated efforts towards sustainable WASH.
- The work of civil society organisation in WASH will be included in budgetary allocations and utilisation for analysing a holistic sector positioning on finance.

Bifurcated tracking of WASH budgets and funds

- The Finance Department will create codes allowing bifurcated allocations and utilisation and analysis within its financial system.
- The bifurcated funding and utilisation codes will be separated by sector, sub-sector, by primary & secondary service providers and by CSO/international organizations dealing with WASH.
- The primary service providers will strengthen their WASH IMS (see these details against description under Planning, Monitoring, Evaluation and Research further below) by including bifurcated data on allocations and utilisation helping in tracking expenditures.

Review of equitable-to-district-needs PFC allocations for local governments

- The Finance Department will need to review the MDTP and allocated resources to local governments under the PFC more equitably.
- More equitable resources will be distributed to local governments after due approval of revised formula by the PFC Commission.

The results framework for Budget & Finance is on the next page, while detailed activity-wise timelines and primary as well as supporting responsibilities is at Appendix-3.

Thematic Priority: Budget & Finance

Narrative Summary	Indicators	Means of Verification	Responsibility		Assumptions
			Primary	Secondary	
Vision Everyone in Khyber Pakhtunkhwa have access to affordable, sustainable and safe water, sanitation and hygiene services by 2030	<ul style="list-style-type: none"> By 2030, achieve universal and equitable access to safe and affordable drinking water for all <i>in Khyber Pakhtunkhwa</i> (SDG indicator) By 2030, achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable <i>situations in Khyber Pakhtunkhwa</i> (SDG indicator) 	<ul style="list-style-type: none"> Provincial MICS surveys PSLM provincial WASH reports 			
Outcome 1. Public sector financial systems strengthened enabling availability of adequate resources with balanced (drinking water, sanitation & hygiene) and equitable distribution	<ul style="list-style-type: none"> Adequate funds made available to service providers for implementation of WASH sector plan and ADPs Evidence/s of balanced resource distribution between water, sanitation and hygiene Improved expenditure tracking system for public allocations and expenditures 	<ul style="list-style-type: none"> Official notification of bifurcated financial allocations and utilisations Minutes of DWC and PWSC 	<ul style="list-style-type: none"> P&DD 	<ul style="list-style-type: none"> Finance PHED LGE&RDD 	<ul style="list-style-type: none"> Provincial government stays committed with approved plans and funding strategies
Outputs 1.1 Public sector budgeting/financing for WASH services is aligned to MTDP (three years budgeting cycles)	<ul style="list-style-type: none"> Fund allocation for WASH services is as per 3 WASH MTDPs (from 2019-20 to 2029-30) made and utilization reported A minimum of xx % of total funds allocated for water, sanitation and hygiene (for balanced distribution) Services providers have used xxx% of allocated funds. 	<ul style="list-style-type: none"> Progress reports of service providers Minutes of meeting of DWC and PWSC Minutes of approved PFC 	<ul style="list-style-type: none"> PHED LGE&RDD 	<ul style="list-style-type: none"> P&DD Finance 	<ul style="list-style-type: none"> Service providers stay on course with development plans No political interference in the implementation of developed plans

Narrative Summary	Indicators	Means of Verification	Responsibility		Assumptions
			Primary	Secondary	
<p>1.2 The budgeting and expenditures tracking systems improved for desegregated tracking for water, sanitation and hygiene including geographic/administrative units.</p> <p>1.3 Allocations for WASH services to respective local governments through Provincial Finance Commission (PFC) Awards made equitable according to district need</p>	<ul style="list-style-type: none"> • MTDP and ADPs are in accordance with districts plans and needs • Existing codes streamlined and new codes introduced for bifurcated financial allocations by sector, sub-sectors, district and utilization • Regular funds utilization reports produced and used for decision making • Regulator (AGPR/Other) reviews bifurcated tracking for compliance • Revised PFC formula for equitable WASH services based on need/plan available and in use • Proportionate allocation, under revised PFC formula, for under-served districts increased 	committee meeting	<ul style="list-style-type: none"> • P&DD • P&DD 	<ul style="list-style-type: none"> • Finance • PHED • LGE&RDD • Finance • PHED • LGE&RDD 	

4.5 Planning Monitoring Evaluation and Research

Challenges: The PMER related challenges are:

- Limited system capacities (amongst primary service providers) for monitoring, evaluation and research to generate relevant, reliable and usable information;
- Culture of non-evidence-based decision making for services planning and resource allocations.
- Limited technology use for monitoring, evaluation and research.

Results (Outcomes and Outputs) and Strategic Actions: The results logic in terms of outcomes outputs and strategic actions are outlined below;

Outcome: 1. Planning, monitoring, evaluation and research capacities of primary/ secondary services providers strengthened.

Outputs:

- 1.1. PME&R Units established/revamped, and are functioning in the primary/secondary service providers including P&DD.
- 1.2. MER Units/Focal Points receiving adequate funds for MER activities.
- 1.3. Researches and periodic reviews produced for services planning, programmed innovation and policy advocacy.
- 1.4. The IT tools and applications are widely in use for PME&R functions.

Strategic Actions:

Dedicated Focus on M&E in service delivery

- M&E as a function of government in WASH sector will be strengthened by providing human and financial resources to primary service providers.
- A M&E hub with coordination/partnership management, M&E and knowledge management is being established within the P&D for M&E.
- The PMER plan given in Chapter-6 is providing guidelines of M&E would function within the WASH Sector.

Use of research and reviews used for effective programmes and advocacy

- The primary services providers will undertake research for improved services delivery programmes.
- Research ideas (social, economic and technological) will be identified in the Joint Sector Review (JSR) that will be held every two years (See Chapter-6 of this Plan for details).
- The study findings will be used by service providers to improve their service delivery.

Use of IT-Based Tools in M&E functions

- IT-based WASH Information System (WIS) will be developed cater data gathering, analysis and for use in planning and in informed decision making
- All M&E staff of service providers and P&D will be oriented on the M&E Plan and WASH MIS.
- The trained M&E staff will undertake this task on a regular basis. The PMER framework that will be developed, and staff oriented will include all protocols and guidance for staff in this respect.

The results framework for Planning, Monitoring, Evaluation, & Research is on the next page, while detailed activity-wise timelines and primary as well as supporting responsibilities is at Appendix-4.

Thematic Priority: Planning, Monitoring, Evaluation, & Research

Narrative Summary	Indicators	Means of Verification	Responsibility		Assumptions
			Primary	Secondary	
<p>Vision Everyone in Khyber Pakhtunkhwa have access to affordable, sustainable and safe water, sanitation and hygiene services by 2030</p>	<ul style="list-style-type: none"> By 2030, achieve universal and equitable access to safe and affordable drinking water for all <i>in Khyber Pakhtunkhwa</i> (SDG indicator) By 2030, achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable <i>situations in Khyber Pakhtunkhwa</i> (SDG indicator) 	<ul style="list-style-type: none"> Provincial MICS surveys PSLM and provincial WASH reports 			
<p>Outcomes 1. Monitoring, evaluation and research capacities of primary/secondary service providers strengthened</p>	<ul style="list-style-type: none"> Service providers have specialized PME&R units at provincial and district levels Monitoring framework (indicators) made consistent across service providers and with national periodic surveys Number of inter-sectoral researches produced and used for advocacy 	<ul style="list-style-type: none"> Notifications M&E framework Research studies 	<ul style="list-style-type: none"> PHED LGE&RDD 	<ul style="list-style-type: none"> P&DD 	<ul style="list-style-type: none"> Provincial government will support institutionalizing the strengthened PM&E system

Narrative Summary	Indicators	Means of Verification	Responsibility		Assumptions
			Primary	Secondary	
<p>Outputs</p> <p>1.1 PME&R Unit established/revamped and functioning in primary/service providers including P&DD</p>	<ul style="list-style-type: none"> • PME&R tools and guides developed and implemented • XX staff inducted in PMER units in provincial and district offices • Relevant staff trained in PME&R 	<ul style="list-style-type: none"> • Tools and guidelines • M&E reports of service providers (division / district and provincial levels) 	<ul style="list-style-type: none"> • PHED • LGE&RDD 	<ul style="list-style-type: none"> • P&DD 	<ul style="list-style-type: none"> • Primary and secondary service providers utilise monitoring reports for course correction
<p>1.2 MER Units/Focal Points receiving adequate funds for MER Activities.</p>	<ul style="list-style-type: none"> • XX% of overall resources allocated annually for PME&R activities across stakeholders 		<ul style="list-style-type: none"> • PHED • LGE&RDD 	<ul style="list-style-type: none"> • P&DD 	
<p>1.3 Researches and periodic reviews produced for services planning, programmed innovation and policy advocacy</p>	<ul style="list-style-type: none"> • Number of inter-sectoral researches produced. • Number of sector reviews undertaken, and reports produced • Number of advocacy events organized. 		<ul style="list-style-type: none"> • PHED • LGE&RDD 	<ul style="list-style-type: none"> • P&DD 	
<p>1.4 The IT tools and applications are widely in use for PME&R functions</p>	<ul style="list-style-type: none"> • Periodic monitoring and evaluation reports • Latest IT tools and applications (MIS, GIS, SMS, etc) are being used for MER 		<ul style="list-style-type: none"> • PHED • LGE&RDD 	<ul style="list-style-type: none"> • P&DD 	

4.6 Capacity Development

Challenges: The key capacity development related challenges are:

- Primary and secondary service providers lack will, capacities and resources to undertake periodic capacity assessments to formulate capacity development plans;
- Serious technical and staffing gaps in the primary service providers resulting in delivery of poor/unsustainable services;
- Staff motivation levels are low combined with weak performance management culture to incentivise better performers.

Results (Outcomes and Outputs) and Strategic Actions: The results logic in terms of outcomes outputs and strategic actions are outlined below;

Outcome: 1. Management, technical and operational capacities of services providers are strengthened for efficient, effective and sustainable WASH services delivery.

Outputs:

- 1.1. Comprehensive capacity assessment/s against service delivery standards/models of primary/secondary service providers conducted and Capacity Development Plan (CDP) approved.
- 1.2. Capacity development for primary and secondary service providers as a regular internalised system for service providers resourced and implemented

Strategic Actions:

Capacity of Primary Service Providers enhanced to deliver sustainable WASH

- Capacity of primary and secondary service providers systematically assessed against updated service delivery standards and ability to develop and implement sustainable WASH models.
- The recommendations and eventually the capacity development plan will be reviewed by sector partners in PWSC and approved for implementation.
- The PWSC will periodically review the implementation of the capacity development plan
- The primary service providers will place staff according to the approved capacity development plan

Pre and In-Service Systematic Training effectively internalized

- A well designed and implemented system of pre and in-service training for key staff of Primary services providers will be sustained
- An institution will be identified and resourced for designing and imparting systematic pre and in-service managerial, operational and technical training for key staff of primary services providers
- The performance of staff of service providers will be regularly evaluated against acquired training in order to stay on course with enhanced capacity to delivering sustainable WASH services

The results framework for capacity development is given on next page, while activity-wise timelines and primary & support responsibilities is given in Appendix-5.

Thematic Priority:- Capacity Development

Narrative Summary	Indicators	Means of Verification	Responsibility		Assumptions
			Primary	Secondary	
<p>Vision Everyone in Khyber Pakhtunkhwa have access to affordable, sustainable and safe water, sanitation and hygiene services by 2030</p>	<ul style="list-style-type: none"> By 2030, achieve universal and equitable access to safe and affordable drinking water for all <i>in Khyber Pakhtunkhwa</i> (SDG indicator) By 2030, achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable <i>situations in Khyber Pakhtunkhwa</i> (SDG indicator) 	<ul style="list-style-type: none"> Provincial MICS surveys PSLM 			
<p>Outcome 1. Management, technical and operational capacities of service providers are strengthened for efficient, effective and sustainable WASH services delivery</p>	<ul style="list-style-type: none"> Each district of Khyber Pakhtunkhwa will have technically designed as well as managed safe drinking water system Each district of Khyber Pakhtunkhwa has a technically designed as well as managed (rural/ urban) of safely treated and disposed sanitation system (solid & liquid waste) for all users By 2030, 90% of complains by users addressed on time 	<ul style="list-style-type: none"> Regular progress reports Mid and end-of-period evaluations 	<ul style="list-style-type: none"> PHED LGE&RDD 	<ul style="list-style-type: none"> P&DD 	<ul style="list-style-type: none"> Provincial government is committed to implementing capacity assessment recommendations
<p>Outputs 1.1. Comprehensive capacity assessment/s against service delivery standards/models of primary/secondary service providers conducted and</p>	<ul style="list-style-type: none"> By 2020 capacity development plan implemented % increase in resources available for staff skills development 	<ul style="list-style-type: none"> Capacity assessment & development plan Evaluation reports on imparted trainings of local 	<ul style="list-style-type: none"> PHED LGE&RDD 	<ul style="list-style-type: none"> P&DD 	<ul style="list-style-type: none"> Least turnover of key staff in primary and secondary service providers with enhanced managerial and technical capacity

Narrative Summary	Indicators	Means of Verification	Responsibility		Assumptions
			Primary	Secondary	
<p>Capacity Development Plan (CDP) approved.</p> <p>1.2. Capacity development for primary and secondary service providers as a regular internalised system for service providers resourced and implemented</p>	<ul style="list-style-type: none"> By 2020 pre and in-service training system for primary and secondary service providers implemented Number of new/existing in-service training programme, coaching/mentoring either introduced or improved Staff of primary and secondary providers trained 	<ul style="list-style-type: none"> Annual staff performance review reports 	<ul style="list-style-type: none"> PHED LGE&RDD 	<ul style="list-style-type: none"> P&DD 	

4.7 Broader Enabling Environment

Challenges: The key challenges around enabling environment are:

- Differential focus (more on drinking water provision) and interest, including limited capacities and commitment at leadership level to help prioritise resources allocation for WASH as integrated services package.
- Weak/non-existent accountability of service providers by the service users.

Results (Outcomes and Outputs) and Strategic Actions: The results logic in terms of outcomes outputs and strategic actions are outlined below;

Outcome: 1. Enabling environment for sustainable WASH services delivery and utilisation by users is strengthened with the view to have WASH reckoned as public sector development priority in Khyber Pakhtunkhwa.

Outputs:

- 1.1. Service providers have mechanisms in place to regularly update/advocate with political leadership on WASH policies, plans and services.
- 1.2. Service charges and recovery mechanisms strengthened according to full cost recover and poor user affordability considerations.

Strategic Actions:

Political Leadership legislate WASH as Rights of People and as development priority

- The primary service providers will have sustained engagement with local government political leadership for making them aware of the importance of WASH.
- The provincial level political leadership will also be sensitised towards prioritising WASH as rights of people

Self-sustaining Service Charges and Mechanisms in Service Providers Strengthened

- The primary service providers will prepare a full cost recovery tariff structure of services and by addressing the principle of affordability by poorer segment of society
- A training programme on approved full cost recovery tariff structure will be imparted to staff of services providers.
- The services providers will place revenue collection staff within the service providers to ensure compliance.
- Orientation and repeated every two years on tariff structure and recovery mechanisms will be trained
- Compliance on recovery against tariff will be well regulated

The results framework for capacity development is given on next page, while activity-wise timelines and primary & support responsibilities is given in Appendix-6.

Thematic Priority: Broader Enabling Environment

Narrative Summary	Indicators	Means of Verification	Responsibility		Assumptions
			Primary	Secondary	
<p>Vision Everyone in Khyber Pakhtunkhwa have access to affordable, sustainable and safe water, sanitation and hygiene services by 2030</p>	<ul style="list-style-type: none"> By 2030, achieve universal and equitable access to safe and affordable drinking water for all in <i>Khyber Pakhtunkhwa</i> (SDG indicator) By 2030, achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable <i>situations in Khyber Pakhtunkhwa</i> (SDG indicator) 	<ul style="list-style-type: none"> Provincial MICS surveys PSLM National and provincial WASH reports 			
<p>Outcome 1. Enabling environment for sustainable WASH services delivery and utilisation by users is strengthened with WASH services reckoned as public priority in Khyber Pakhtunkhwa.</p>	<ul style="list-style-type: none"> Provincial WASH Steering Committee recommends to and Provincial Cabinet of Khyber Pakhtunkhwa approves KPWSP (2018-2030) GOKP lobbying with donors and international agencies for supporting KPWSP (2018-2030) Provincial WASH Steering Committee maintains regular oversight on implementation of KPWSP (2018-2030) Provincial Cabinet regularly updated on the progress of the approved KPWSP (2018-2030) Communities responsibly supporting government by regularly paying for WASH services 	<ul style="list-style-type: none"> Notification of approval of Assembly resolution and notified decision of the provincial cabinet Regular DWC and PWSC meeting minutes 	<ul style="list-style-type: none"> PHED LG&RDD 	<ul style="list-style-type: none"> P&DD 	<ul style="list-style-type: none"> Political leadership at provincial and local levels is willing to provide support

Narrative Summary	Indicators	Means of Verification	Responsibility		Assumptions
			Primary	Secondary	
<p>Outputs</p> <p>1.1 Service providers have mechanisms in place to regularly update/advocate with political leadership on WASH policies, plans and services.</p>	<ul style="list-style-type: none"> Approved water, sanitation and hygiene policies are shared with political leadership for ownership and commitment District annual plans regularly prepared in consultation with political leadership at local level approved and implemented 	<ul style="list-style-type: none"> Annual WASH Plans (2018-2030) Discussion minutes Local government council meeting reports indicating approval of plans 	<ul style="list-style-type: none"> PHED LG&RDD 	<ul style="list-style-type: none"> P&DD 	<ul style="list-style-type: none"> Political leadership is sensitive to the need of WASH by communities
<p>1.2 Service charges and recovery mechanisms strengthened according to full cost recovery and poor user affordability considerations</p>	<ul style="list-style-type: none"> Respective service providers have approved tariff structure for full cost recovery Tariff structures have special bracket of service charges for users living below poverty line Service providers are delivering services and making full-cost recovery Regulator(s) reviewing and reporting on full cost recoveries of service providers 	<ul style="list-style-type: none"> Progress reports of DWC and PWSC meetings Approved Tariff structures by service provider Regulator report on cost recovery against tariff structures 	<ul style="list-style-type: none"> PHED LG&RDD 	<ul style="list-style-type: none"> P&DD 	

4.8 Service Providers

Challenges: The key challenges for the service providers are:

- Services in particular drinking water services become unsustainable as a result of weak planning and management of operations and maintenance arrangements.
- Private sector participation is limited and poorly regulated by the primary service providers.

Results (Outcomes and Outputs) and Strategic Actions: The results logic in terms of outcomes outputs and strategic actions are outlined below;

Outcome: 1. The capacities of primary services providers strengthened to plan and deliver WASH services that are affordable, efficient and sustainable.

Outputs:

- 1.1. Primary service providers have evolved models and approaches to continue to provide/expand safe and sustainable drinking water services.
- 1.2. Primary service providers have evolved models and approaches to continue to provide/expand safely managed sanitation services.
- 1.3. Primary service providers have evolved models and approaches to continue to provide/expand hygiene promotion/BCC services.
- 1.4. Models of Public Private Partnership for drinking water, sanitation and hygiene services are piloted, reviewed and scaled for province-wide implementation.

Strategic Actions:

Sustainable Drinking Water, sanitation and hygiene for All

- The primary services providers will make district-based assessment of served and unserved areas
- Clear plans for provision of Sustainable WASH services will prepared and implemented.
- An interagency group consisting of primary & secondary services providers and supporting sector partners will steer the process detailed assessment and plan development.
- Based on the assessments planned drinking water services with focus on accessibility, quality and sustainability will be delivered and reviewed
- O&M Strategy developed, approved and implemented
Clear SoPs on approved drinking water O&M strategy developed and staff oriented
- Compliance of O&M strategy reviewed and regulated
- Hygiene promotion through provincial behaviour change campaign designed and implemented

WASH Models of PPP implemented by service providers

- PPP nodes established and strengthened within Service Providers that will guide implementation and help effectively reach out to communities with WASH services complimenting the government
- PPP Nodes piloting interventions and scaling up successful models
- PPP models regulated

The results framework for service providers is given on next page, while activity-wise timelines and primary & support responsibilities is given in Appendix-7.

This KPWSPP is a plan that will help unlock sector blockages in order to make WASH governance and management effective, efficient and sustainable. In Appendix-8, a detailed WASH services delivery plan is presented that can be taken as a guide for detailed planning by primary services providers. This plan has physical and financial projections of reaching out to 100% population of the province in terms of provision of safely managed drinking water, sanitation and hygiene, 100% coverage with solid and liquid waste management and hygiene promotion through province-wide behavioural change

campaign. The plan of drinking water provision has been taken from PHED perspective plan. In the case of sanitation projections are made by taking two models of solid and liquid waste being implemented as best practices in Islamabad and Muzaffargarh. The hygiene campaign simultaneously through media and ground traction by utilising public and private sector internal community outreach mechanisms.

For improved service delivery and effective sector governance it is proposed that that there should be specialized sanitation units both in PHED and LGE&RDD with dedicated staff (see appendix-20 for organogram of proposed sanitation unit). Liquid waste management should be sole responsibility of PHED, whereas LGE&RDD should be responsible for solid waste management.

Thematic Priority: Service Providers

Narrative Summary	Indicators	Means of Verification	Responsibility		Assumptions
			Primary	Secondary	
<p>Vision Everyone in Khyber Pakhtunkhwa have access to affordable, sustainable and safe water, sanitation and hygiene services by 2030</p>	<ul style="list-style-type: none"> By 2030, achieve universal and equitable access to safe and affordable drinking water for all <i>in Khyber Pakhtunkhwa</i> (SDG indicator) By 2030, achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable <i>situations in Khyber Pakhtunkhwa</i> (SDG indicator) 	<ul style="list-style-type: none"> Provincial MICS surveys PSLM National and provincial WASH reports 			
<p>Outcome 1. Service providers have improved WASH services making them affordable, sustainable, efficient and effective for users.</p>	<ul style="list-style-type: none"> % increase in coverage of services (safe water, safely managed sanitation) Low income users can pay for services (operational expenditures) XX% reduction in government subsidy for maintaining services Reduced trouble shooting time of service providers for addressing faults Increase in collection and use of tariffs for continued services 	<ul style="list-style-type: none"> M&E reports Programme mid-term evaluation Programme end-of-period evaluation 	<ul style="list-style-type: none"> PHED LG&RDD 	<ul style="list-style-type: none"> P&DD 	<ul style="list-style-type: none"> Province will not face any devastating natural disaster completely disrupting lives
<p>Outputs 1.1 Primary service providers have evolved models and approaches to continue to provide/expand safe and sustainable drinking water services</p> <p>1.2 Primary service providers have evolved models and approaches to continue to</p>	<ul style="list-style-type: none"> XX% increase in people in Khyber Pakhtunkhwa with access to safe drinking water Safely managed drinking water Schemes are maintained <ul style="list-style-type: none"> XX% increase of population to on-site/ of-site liquid waste treatment and disposal XX% of population with access to solid waste collection through to safe disposal 	<ul style="list-style-type: none"> Progress reports WASH IMS generated reports Regulator reports Reports of PPP Nodes of service providers 	<ul style="list-style-type: none"> PHED LG&RDD <ul style="list-style-type: none"> PHED LG&RDD 	<ul style="list-style-type: none"> P&DD <ul style="list-style-type: none"> P&DD 	<ul style="list-style-type: none"> Implementation with focus on O&M and regulated PPP model is sustained by service providers

Narrative Summary	Indicators	Means of Verification	Responsibility		Assumptions
			Primary	Secondary	
<p>provide/expand safely managed sanitation services</p> <p>1.3 Primary service providers have evolved models and approaches to continue to provide/expand hygiene promotion/BCC services</p>	<ul style="list-style-type: none"> • XX% increase in population with hygiene improvement messages outreach through media • XX% increase in population with hygiene improvement messages reinforced by using internal mechanism of service providers • XX% increase in population with hand washing practice at critical times 		<ul style="list-style-type: none"> • PHED • LG&RDD 	<ul style="list-style-type: none"> • P&DD 	
<p>1.4 Models of Public Private Partnership for drinking water, sanitation and hygiene services are piloted, reviewed and scaled for province-wide implementation</p>	<ul style="list-style-type: none"> • XX% increase in coverage of WASH services through PPP-based models • Services provided by the private sector is safe for users 		<ul style="list-style-type: none"> • PHED • LG&RDD 	<ul style="list-style-type: none"> • P&DD 	

CHAPTER-5. IMPLEMENTATION STRATEGIES

This chapter describes the proposed implementation strategies that may enable realisation of the KPWSP Vision. These are as under:

- Demonstrated political commitment for WASH
- Delivery of WASH services as cohesive/integrated package
- Balancing hardware and software services
- Harnessing the systemic (existing) capacities and strengthening service providers
- Realigning priorities and targets for conforming to SDGs
- Fostering culture of evidence-based decision making
- Innovative Use of IT & communication tools for information management and analysis
- Strengthening systemic accountabilities
- Encouraging and regulating private sector partnerships
- Increased sector financing for sustained WASH services

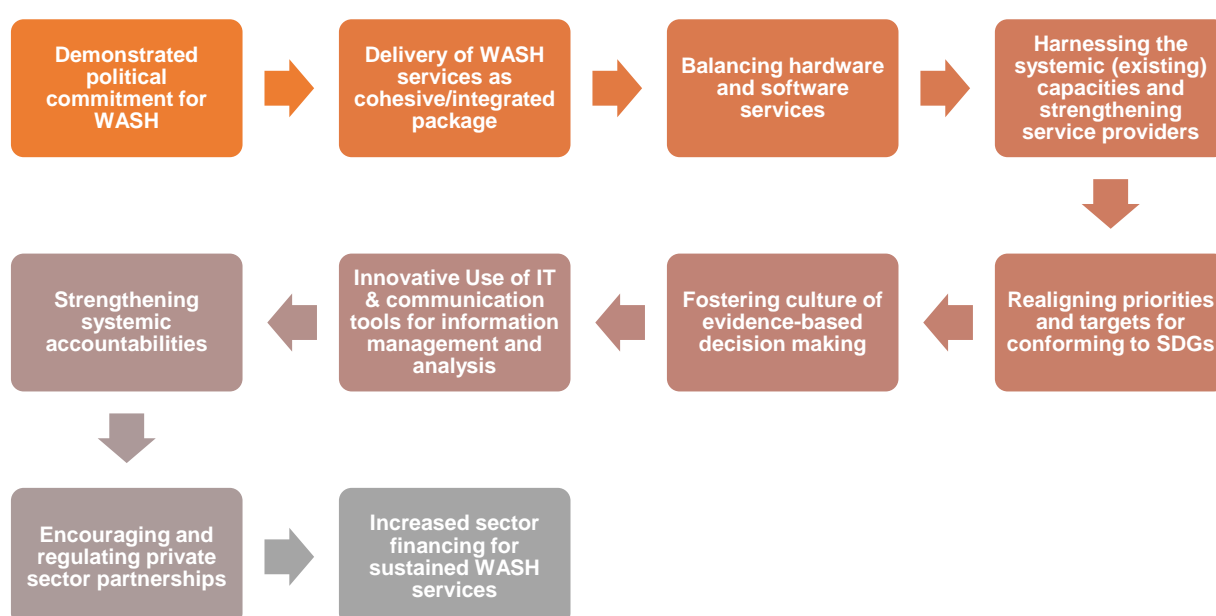


Figure 13: Implementation Strategies

5.1 Demonstrated political commitment for WASH at all levels

The political leadership of Khyber Pakhtunkhwa will be engaged in a sustained manner by primary services providers both at provincial and local levels for sustained support to WASH as a priority sector and during policy and plan development. This implies creating awareness of political leaders towards WASH as basic human rights and the need to legislate it as such. This acceptance of WASH as basic human rights will be the driving force for obligating commitment in terms of political support and dedicated resource allocation.

5.2 Planning and delivery of WASH services as complementary & integrated package

In order to provide sustainable WASH to all, all stakeholders will undertake WASH services as cohesive package of delivery to users. This implies that WASH services planning and delivering will entail the entire value chain of drinking water and sanitation. The planning for drinking water would consider value chain of *knowing catchment, source of water, quality, controlling treatment,*

protecting distribution and safe drinking water. In terms of Sanitation both solid and liquid waste management will be considered. The value chain for liquid waste include *containment, emptying, transporting, treatment and reuse/ safe disposal.* The value chain for solid waste management are *analysis of solid waste, collection, transportation, recovery and recycling/ safe disposal.*

5.3 Striking balancing between hardware and software services/investments

The provincial government will address present anomaly of more tilt towards WASH sector hardware (infrastructure) by balancing it by promoting software (hygiene) delivery. Hygiene promotion will be undertaken as a province-wide behaviour change campaign. The provincial government is committed to taking leadership with support from sector partners in developing separate hygiene strategy for the and plan for the campaign. Awareness of primary and secondary services providers will be the key strategy to impart knowledge and skills on hygiene and create common understanding on strategy and plans.

5.4 Harnessing the (existing) systemic capacities and strengthening service providers

In order to manage sustainable WASH, the provincial government and sector partners will enhance their capacities through well-structured and designed pre and in-service training programme. This module-based training will be building managerial technical and operational competencies within service providers.

5.5 Re-aligning planning and delivery of services around relevant SDGs

Integrated policy of drinking water, sanitation and hygiene is being tailored to delivering SDG targets. Consultative and collaborative efforts are being placed to do away with current outdated separately prepared policies, strategies and prepare consolidated long-term WASH sector plan for moving towards achieving the SDG targets.

5.6 Fostering culture of evidence-based decision making

Holding periodic evidence-based reviews and undertaking research are the new initiatives of provincial government. A single platform for holding evidence-based reviews at province level and at each district level are being strengthened. For this purpose, it will enhance its monitoring and evaluation capacity within service providers at their provincial offices and at the level of district-based offices. Steering WASH sector in the province towards planning and achieving sustainable WASH for all will be undertaken by a strengthened knowledge hub created at the level of the P&D Department. This hub will manage coordination, partnerships, M&E and knowledge management in-terms of new researches and continuous documentation.

5.7 Innovative Use of ICT use for information collection, analysis and dissemination

The reinforced M&E function of the service providers will be supported by IT-based data gathering, analysis and reporting. This process will be inculcated into the normal functioning of the service providers by strengthening their systems of data gathering, analysis and reporting. The IT-based analysis generated will help in making more informed decisions at joint review platforms and make quality of WASH programmes more effective for users.

5.8 Strengthening systemic accountabilities

Transparency and accountabilities together are the soul of this sector plan. Joint platforms planning and review at provincial and district level for all sector partners lead by the provincial government of provide is being set out for holding accountabilities. A regulatory authority will be established to review performance and provide opportunities of accountability against standards and implemented models.

5.9 Encouraging and regulating private sector partnerships

The provincial government is looking at engaging the private sector in provision of WASH services in a complimenting process to the public sector services providers. Based on the legislated action already taken as act of PPP passed by the provincial assembly will help establish PPP nodes in each service providers. These PPP nodes will create space for services delivery by private sector in a well-planned and regulated manner. The PPP nodes will pilot and upon success scale up PPP model to provision of services providers in the province.

5.10 Sector financing for sustained WASH services

The provincial government has been raising over time financial allocations to WASH. However, it is now preparing cogent strategies based on the sector Plan for seeking resources. The financing strategy is essential to lobby for resources and seek long -term commitments and funds flow for the sustained WASH sector services delivery.

CHAPTER-6. PLANNING, MONITORING, EVALUATION AND RESEARCH PLAN

This chapter describes the KPWSP's Monitoring & Evaluation Plan, hereinafter referred to as Planning, Monitoring, Evaluation and Research Plan (PMER). The chapter summarises the existing PMER structures, systems, procedures and capacities both at federal and provincial levels.

6.1 Significance & Contents of PMER Plan

The GOKP is committed to bringing a transformational change in the WASH sector, by putting in place a cogent and responsive performance measurement and accountability mechanism. It shall take shape of a 'Planning, Monitoring, Evaluation and Research (PMER) system, whereby requisite structural, procedural and capability development related interventions have been made part of this plan. The improved capacities and competencies³⁵ are likely to contribute to an M&E culture of evidence-based decision-making, processes and services innovation, performance management, and accountability. The system shall enable in reporting on WASH governance as well as reporting on services expansion plan.

The PMER Plan for effective WASH governance and services delivery to achieve SDG-6 is presented below. The results framework for improved WASH governance and management are placed in Appendices-1 to 7 including monitoring indicators. The M&E of sector related to governance and management aspect will be undertaken by M&E hub established within M&E unit of P&D (See 'Resourcing the Plan' further below). While PMER of WASH services delivery to achieve the SDG is presented below. The processes of PMER explained below are applicable to M&E of governance and management part of the sector plan.

6.2 WASH Sector Monitoring: Global Structures, Systems and Guidance for Member States

The new millennium experienced focus of global community towards elimination of poverty and accessibility to water and sanitation was part of goal-7 related to 'environmental sustainability'³⁶. Two targets were set under the MDGs of accessibility to drinking water and open defecation free environment under sanitation. The bold new global agenda of sustainable development goals (SDGs) building on MDGs is witnessing an independent Goal-6 on WASH. The targets and indicators under SDG-6 target a more holistic view of WASH by considering accessibility, quality and sustainability of drinking water, sanitation and hygiene. In the case of sanitation both solid waste and liquid waste is being targeted. Hygiene promotion was not included under MDGs, but it is very much part of the SDGs.

There are two global monitoring systems of Joint Monitoring Programme (JMP) and the UN-Water Global Analysis and Assessment of Sanitation and Drinking-Water (GLAAS). The WHO/UNICEF **JMP** is the custodian of global data on Water Supply, Sanitation and Hygiene (WASH). The objective of GLASS is to provide policy- and decision-makers at all levels with a reliable, easily accessible, comprehensive and global analysis of the investments and enabling environment to make informed decisions for sanitation, drinking-water and hygiene. The JMP tracks progress against SDG targets, while the GLASS provides analysis of investments in the WASH sector. The JMP has developed an updated WASH ladder while reporting progress on SDGs that helps to measure progress against these different levels. The top step of the ladder is about safely managing drinking water & sanitation

³⁵. The other process is of regulating WASH sector programme through an independent WASH regulator. For this purpose, it is undertaking steps in placing such a mechanism for reinforcing transparency and accountability in the WASH sector.

³⁶. <http://www.un.org/millenniumgoals/>

6.3 Overview of WASH Sector PMER in Pakistan (National and Sub-National/Provincial)

The existing PMER (monitoring in particular) system has been assessed and analysed at national and sub-national levels. These key elements include national and sub-national periodic surveys, MoCC led monitoring, Provincial P&DD led monitoring, Provincial Service providers led monitoring (including by the WATSAN Cell of LGE&RDD). This framework has been used for both diagnostics and system strengthening or architecture.

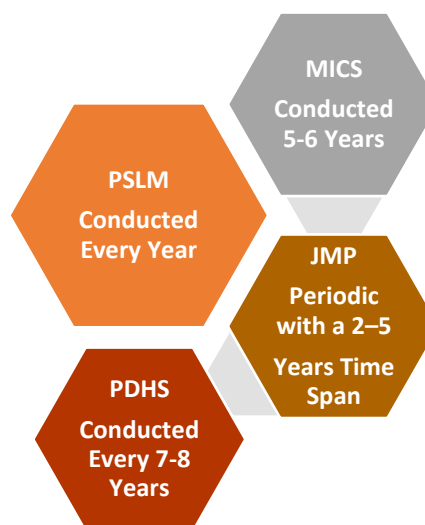


Figure 14: National/Provincial Surveys and Monitoring Programs

National Surveys: There are two national level surveys of Pakistan Demographic and Housing Survey (PDHS) and Pakistan Social Living Measurement Survey (PSLM), These surveys use below indicators of water, sanitation and hygiene. The PDHS uses

8-year cycle of data collection, collation and dissemination. The PSLM initially used 2-year cycle of similar pattern but is now initiating a yearly cycle. The national surveys are conducted by the Pakistan Bureau of Statistics that has its units well established in provinces.

Provincial Surveys: Provincial governments with the support of UNICEF collecting and analysing data in order to fill data gaps for monitoring the situation of children and women that is called the Multiple Indicator Cluster Surveys (MICS). Table below indicates indicators relevant to WASH against which the latest data in Khyber Pakhtunkhwa has been collected.

6.4 National WASH Monitoring

Ministry of Climate Change (MoCC): The Planning Commission of Pakistan (PCP) has established SDG Unit at the federal level and there are similar units in P&D Departments of all provinces. At the Federal level and with WASH as its mandate, the MOCC is the custodian of SDG-6. The MoCC initiated a process of Joint Sector Review (JSR) in 2015 and sent out a detailed guiding note to provinces. The JSR is a mechanism of sector review and monitoring. The JSR process started with sessions being held in provinces during 2017-18 and ended with one being session held at national level in November 2018.

Provincial Level Monitoring: Planning & Development Department: The P&DD monitors large donor funded schemes and does not undertake WASH related monitoring

Primary Services Providers (PHED & LGE&RDD): The primary services providers monitor physical and financial progress of their own schemes. The WATSAN Cell, functioning within the LGE&RDD, is also monitoring accessibility and quality of only drinking water supply schemes.

6.5 Planning, Monitoring, Evaluation and Research Plan for GOKP

6.5.1. Proposed Monitoring Plan

The mechanics of monitoring is embedded in the planning process. The provincial government has adopted a PMER cycle in which all its individual stages are embedded (See Figure-15). The planning process started with developing a long-term strategic services delivery plan. This plan is developed to help achieve the SDG targets. The targets are set for the province and will contribute to the overall SDG targets agreed for the Sector at the national level. The stages of planning, monitoring and reviewing are presented below.

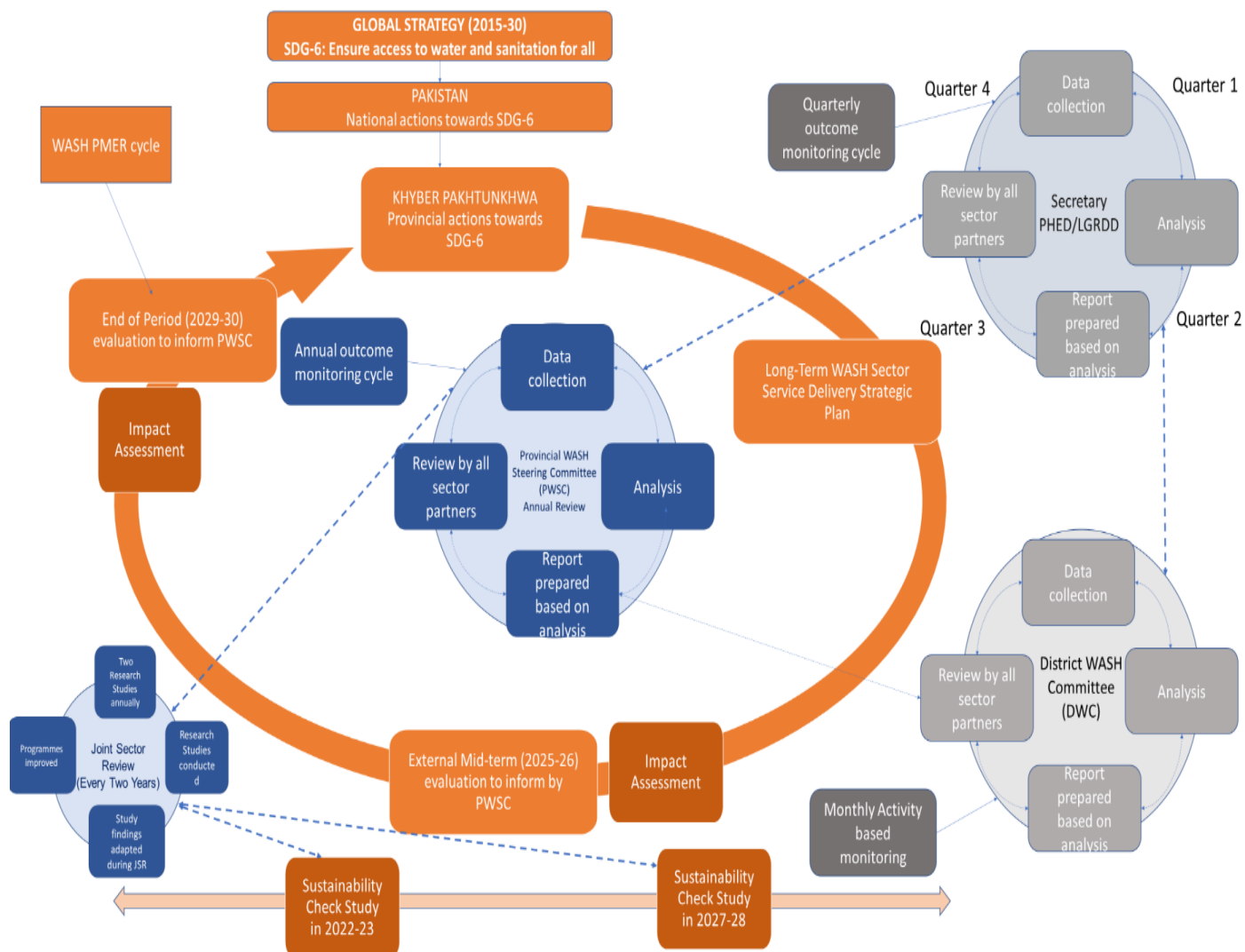


Figure 15: The PMER Cycle of Khyber Pakhtunkhwa WASH Sector Services Delivery

Table 4: Summary of Number of Indicators

Type	Rural	Urban	Both	Total
Water	1	4	51	56
Sanitation	5	4	50	59
Water and Sanitation	0	0	7	7
Health & Hygiene	0	0	12	12
Total	6	8	120	134

Defining indicators against outcomes and outputs: The indicators at these two levels have been identified by using various sources. The indicator sources include the SDG-6 targets and indicators, indicators used by JMP, GLASS Reports, PSLM and MICS surveys periodically conducted in the country. Indicators already used and documented in the Punjab, Sindh and Baluchistan WASH sector Plans have also been considered. Table-4 above shows number of such indicators and these have been indicated against outcomes and outputs of the WASH Sector Services plan.

Dividing indicators according to accessibility, quality and sustainability of services: In order to achieve SDG 6, three aspects of safely managed services of water and sanitation have been identified. These include ascertaining accessibility of services, checking their quality and embedding measures or mechanisms for sustaining the provided services. The indicators provided to measure and monitor indicators against outcomes and outputs and separately against accessibility, quality and sustainability of services have also been classified. The results framework given in Appendices-11,12,13 show colour coded indicators which are already collected through national/provincial surveys such as PSLM, MICS etc. All indicators at outcome level and to be included in the PSLM/PDHS/MICS are part of outcomes. All indicators that are indicated against outputs are to be collected by the primary service providers PHED and LG&RDD.

Table-5 below indicates the number indicators that need to be included in surveys, and those that need to be collected by the primary service providers. Data at outcome level is collected against 4 of the 20 proposed indicators in the national surveys. A total of 102 prospective indicators to monitor services delivery plan at output level by primary services providers through their own system is presented. Against these 102 prospective indicators, data currently is collected by services providers only against 17 indicators. In order to comprehensively monitor the service delivery plan to achieve SDG targets, the primary services providers will collect data against an additional 85 indicators. The methods of collecting data against outcome and output monitoring are given in Appendix-14.

Table 5: No. of Indicators by Levels, Method & Frequency of Collection & Responsible Agency

Level	Number of Indicators with Data Already Collected	Number of Indicators with Data not Collected	Total Number of Indicators to be used for Reporting	Method of Collection	Responsible Agency for collection & collation	Frequency of Collection of Data
Outcomes	4	16	20			
Drinking water	1	5	6	Surveys*	<ul style="list-style-type: none"> • BoS, KPK • P&DD 	Annual
Sanitation	2	8	10	Surveys*	<ul style="list-style-type: none"> • BoS, KPK • P&DD 	Annual
Hygiene	1	3	4	Surveys*	<ul style="list-style-type: none"> • BoS, KPK • P&DD 	Annual
Outputs of Drinking Water	8	27	35			
Accessibility	6	18	24	Primary service providers (PHED and LG&RDD) through their own system	<ul style="list-style-type: none"> • PHED • LG&RDD 	Service Providers to collect on Monthly Basis through their own system
Quality	2	4	6		<ul style="list-style-type: none"> • PHED • LG&RDD 	
Sustainability	0	5	5		<ul style="list-style-type: none"> • 	
Outputs of Sanitation (Liquid Waste)	4	21	25			

Level	Number of Indicators with Data Already Collected	Number of Indicators with Data not Collected	Total Number of Indicators to be used for Reporting	Method of Collection	Responsible Agency for collection & collation	Frequency of Collection of Data
Accessibility	4	16	20		<ul style="list-style-type: none"> • PHED • LG&RDD 	
Quality	0	2	2		<ul style="list-style-type: none"> • PHED • LG&RDD 	
Sustainability	0	3	3		<ul style="list-style-type: none"> • PHED • LG&RDD 	
Outputs of Sanitation (Solid Waste)	1	12	13			
Accessibility	1	5	6		<ul style="list-style-type: none"> • PHED • LG&RDD 	
Quality	0	3	3		<ul style="list-style-type: none"> • PHED • LG&RDD 	
Sustainability	0	4	4		<ul style="list-style-type: none"> • PHED • LG&RDD 	
Outputs of Hygiene	9	0	9		<ul style="list-style-type: none"> • 	
Basic	0	4	4		<ul style="list-style-type: none"> • PHED • LG&RDD 	
Campaign media	0	2	2		<ul style="list-style-type: none"> • PHED • LG&RDD 	
Campaign through services provider	0	3	3		<ul style="list-style-type: none"> • PHED • LG&RDD 	
Total	17	85	102			

*- Surveys include PSLM, PDHS and MICS.

6.5.2. Proposed Research and Evaluation Plan

The Evaluation process will entail four main parts. These would be conducting research studies to help improve WASH sector programmes and bring innovation for maximum impact. A process of conducting sustainability check of WASH services was introduced in the Punjab and Sindh and is adopted in Khyber Pakhtunkhwa. Impact assessment is another aspect that will help strengthen PMER function in the WASH Sector in the province. The final part is conducting evaluation itself where the three aspects described earlier will provide great input and depth to the evaluation studies. All these aspects are further briefly described below.

Research Studies: The GOKP has held first round of Joint Sector Review (JSR) and this will continue. The element of conducting research has been introduced and the JSR will help identify areas of such research. The findings of these research studies will be discussed in the JSR and adopted for refining WASH programmes. This will provide a very strong basis of putting together national inputs for national and international forums of PACOSAN and SACOSAN. At least two such research studies every two years will be conducted, findings discussed in JSRs and programmes improved. The JSR will happen every two years, helping to consistently improve quality of WASH programmes.

Sustainability Study: In order to strengthen quality and depth of the programme, a Sustainability Check Study will also be conducted: A sustainability check study is a new effective process of ascertaining WASH sector interventions. First of its kind in Pakistan was conducted for Punjab and

Sindh and was extensively reviewed for improving WASH programmes in these provinces. This study will also be conducted in Khyber Pakhtunkhwa twice in 2022-23 and 2027-28. These studies will also be presented in the JSR for reviews by sector partners and joint decisions taken for improved programmes.

Impact Assessments: In addition to research studies and sustainability check study on different aspects of WASH, the GOKP will also conduct impact assessment of programme implementation. Two such assessments will be held, one before mid-term evaluation and one before end of period evaluation of the services delivery plan.

Reviewing the Plan

Reviewing the services delivery plan is being strengthened. Reviewing of activities, outputs and outcomes of the plan and a sector review will be taking place as a regular process enforcing performance-based accountabilities. These two review processes are further briefly described below.

Reviewing outcomes, outputs and activities: Figure-15 above indicates three levels of reviews. At the district level of each primary services provider, activity reporting will take place. Output-monitoring will take place at the provincial level of each primary services providers. The reviews at this level will take place quarterly and each services provider will hold their own reviews. At the P&D level, outcome monitoring-based reviews will be held at the level of the PWSC. The outcome-based reviews will take place annually.

Evaluation of WASH Sector Services Delivery

Independent mid-term and end-of-period evaluations for this plan will also take place. The mid-term evaluation will take place in 2025-26, while end-of-period evaluation of WSSDP will take place in 2029-30. All the monitoring reports, research studies, sustainability studies and impact assessment will feed into the mid and end of period evaluations. The evaluation findings will be presented to the PWSC and decisions for adapting its recommendations will take place.

Joint Sector Reviews: A process of JSR has been initiated and this would be continued during the currency of the plan and beyond. All sector partners will review WASH sector programme once every two years. The reviews will help to identify research areas and discussions will be held around how to bring further refinements in WASH programmes.

6.5.3. Proposed PMER Institutional Arrangements in Primary Service Providers

The Figure-16 below shows how dedicated teams of M&E are placed within primary service providers as well as at an overall level in the P&D Department. Within the three inter-connected PMER mechanisms (see Figure-15, PMER Cycle). Figure-16 below, indicates how this human resource is placed to manage PMER in a dedicated manner. The human resource is placed at district, province level of primary rural service provider and at P&D Level.

District-based monitoring: In order to manage activity-based monitoring system at district level, each service provider at district level is provided one M&E officer and supported by an M&E assistant to manage the WAS MIS System. This staff based on the results-based Planning and Monitoring Framework, will develop their own set of activities that will help achieve outputs. The activities will be prepared separately by PHED and LG&RDD PMER staff but contribute to relevant WASH sector outputs.

Province-based primary service provider monitoring: The output-based monitoring system will be managed by a team of three people, headed by a director and supported by an officer and further support of IT management through an Assistant. This team will manage outcome-based monitoring and set up a system including reporting processes.

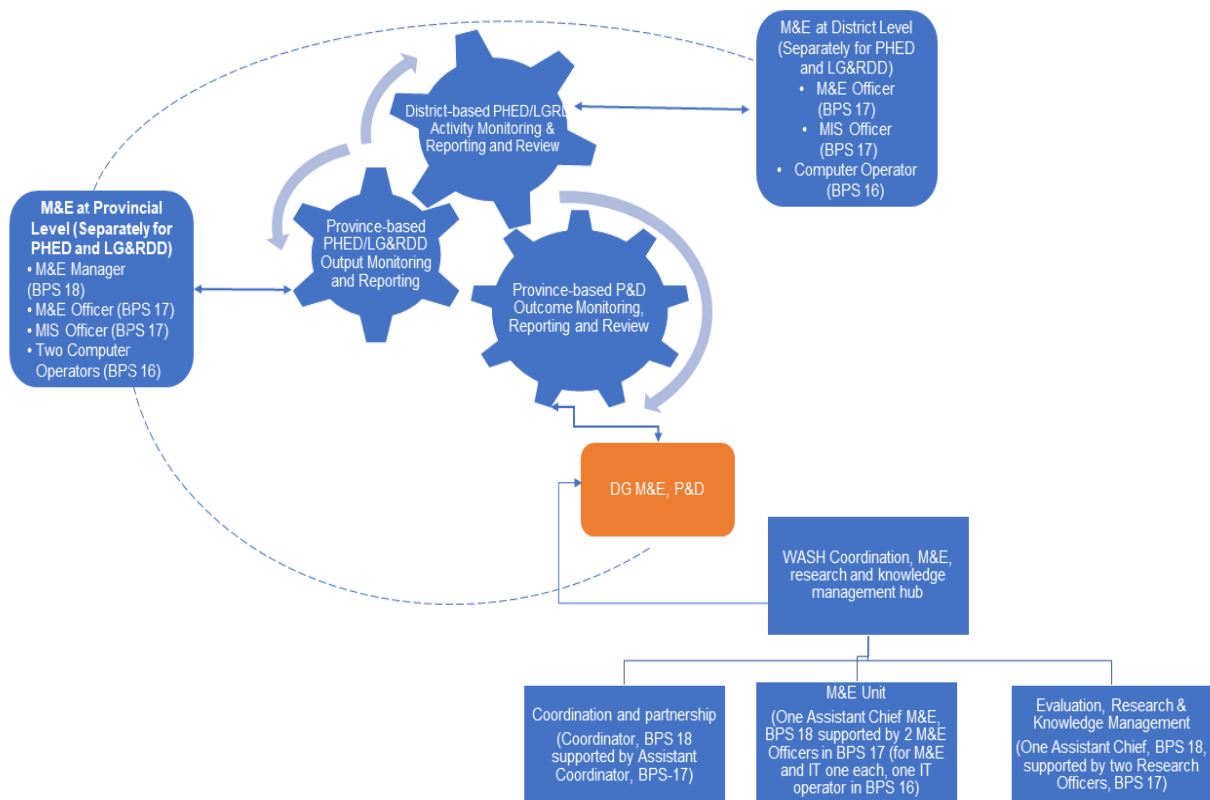


Figure 16: Human Resource Plan for PMER

6.5.4. Proposed Provincial Data & Knowledge Management Hub (merger of WATSAN Cell into P&DD Monitoring Unit):

The KPWSP proposes creation of ‘Data and Knowledge Management Hub’, placed under Provincial P&DD. This would mean amalgamation of ‘WATSAN Cell’ into the Hub, which would work under P&D M&E Unit. This will help demonstrating greater significance of WASH sector and enable better coordination with service providers. Moreover, it would work as focal point to for provincial coordination with respective service providers, federal government, and international partners. It shall develop and maintain WASH sector data and knowledge repository, and commission researches, sector reviews, host sector events for dissemination. The research part will largely be providing inputs for discussion at JSR level and help improve programmes. This will also be the hub for initiating and managing mid-term and end-of-period evaluations.

CHAPTER-7. CAPACITY ASSESSMENT & CAPACITY DEVELOPMENT PLAN FOR PRIMARY SERVICE PROVIDERS (PHED & LGE&RDD)

This is an annotated version of the 'Capacity Development Plan', attached as Appendix-B of Volume I for the two primary service providers i.e. Public Health Engineering Department (PHED) and Local Government Elections and Rural Development Department (LGE&RDD). The chapter gives an overview of the framework (7 S Framework) used for 'capacity assessment' and formulation of 'Capacity Development Plan' (both listed as priority outputs under section 4.6 of KPWSP). It outlines the findings of capacity assessment, capacity development priorities and actions needed to enable these service providers to realise vision and objectives of the KPWSP. The chapter ends with a matrix that lists the capacity development actions with respect to the '7 Thematic Priorities' of the KPWSP.

7.1 Purpose and Objectives of Capacity Assessment and Development Plan

The purpose of this plan (Capacity Development Plan) is to: 'outline capacity development priorities and actions for primary service providers to extend efficient, effective, and sustainable services, and in turn help realise the vision of the KPWSP (2019-30)'. The objectives of the Plan are as below:

- To undertake a structured, objective and comprehensive diagnostic assessment of two primary service;
- To outline capacity development priorities and actions (at insitutional, individual and enabling environemnt levels);
- To outline the implementation principles and approaches for the 'Capacity Development Plan';
- To produce a 'Budget' or a 'Costed Plan' for the Capacity Development Plan.

7.2 Concepts, Capacity Assessment Framework, Methodology & Approach

'Capacity is the ability of people, organisations and society as a whole to manage their affairs successfully³⁷.

In the public sector, one widely used definition of organisational capacity is a 'government's ability to marshal, develop, direct and control its financial, human, physical and information resources³⁸ (See Box-1 for definitions used by UNDP, OECD etc.).

7.2.1 Capacity Assessment Framework

This assessment has used an Adapted McKinsey's 7-S Model (refer figure 17 for different S of framework comprising of 7 aspects i.e. strategy, structure, systems, skills, staff, style and shared value). The framework has been tailored to the local context and needs of two government departments i.e. PHED and LGE&RDD. It was preferred over others for its ability to provide an in-depth diagnostic analysis of almost all the

Box-1

Capacity Assessment: UNDP defines capacity assessment as an analysis of desired capacities against existing capacities. This helps in generating an understanding of capacity assets and needs that can serve as input for formulating a capacity development response.

Capacity Development: UNDP defines capacity development as the process through which individuals, organizations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time.

³⁷ ADB. 2007a. Integrating Capacity Development into Country Programs and Operations. Medium-Term Framework and Action Plan. Manila.

³⁸ Ingraham PW, Joyce PG, Donahue AK. Government performance: Why management matters: Taylor & Francis; 2003

elements of organizational capacity. Moreover, for its **“holistic coverage”** (as it covers vast array of capacity elements) and **‘adaptability’** to apply to multiple organizational and local contexts. The assessment framework developed normative standards (ideal state) for institutional capacities to enable them to deliver on desired targets. The framework includes series of questions under each area of enquiry (106 in total), grouped under 7 S.

The Rating Scale & Colour Codes:

The existing capacities have been rated on the scale of 1-3³⁹ for objective assessment (against the normative standards or desired state). On the scale, 1 represents deficient, 2 being moderate and 3 is the optimum capacity. Each rating is color coded for visual presentation.

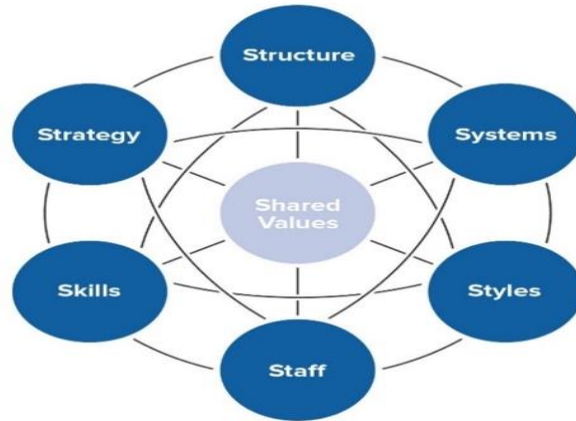


Figure 17: Adapted 7S Model/Framework

7.2.2 Methodology

The key methods used are as below:

- Desk Review
- Focussed Group Discussions (FGD):
- Interpreting Findings and Drafting the Capacity Development Plan
- Validation Workshop

7.3 Capacity Assessment Findings

The key findings are presented in the matrix form below. The findings have been grouped at three levels institutional (covering strategy, structure and systems), individual (covering staff and skills) and enabling environment, which covers shared values and styles. (Detailed summary and matrix of these findings can be found at Appendix-B).

³⁹ The scale is named after its inventor, psychologist Rensis Likert.¹³ It is a psychometric scale commonly involved in research that employs questionnaires

Table 6: Capacity Assessment for LGE&RDD & PHED

Area of Assessment		LGE&RDD	PHED
		Key Findings	Key Findings
Institutional	Strategy	<ul style="list-style-type: none"> Do not have dedicated 'Planning Units' with 'Skilled Staff' that can steer long term planning within these primary services providers. Local Council Board (LCB) responsible for planning has limited technical capacities. Don't have specialised units to do strategic & technical planning. 	<ul style="list-style-type: none"> Sector Reform Unit (SRU) within PHED demonstrates limited capacities for unavailability of dedicated planning staff. Gaps of strategic planning & management exist at PHED level.
	Structure	<ul style="list-style-type: none"> Structure for water & sanitation planning, monitoring and evaluation and hygiene promotion are not aligned to integrated and focused planning for achieving SDG 6.1 and 6.2. Local Governance School is extremely under resourced and utilized to provide WASH sector capacity enhancing support The LGE&RDD does not have a HR structure of its own to identify areas of initial or for meeting ongoing training demands of managerial, technical, operational and in financial management of WASH services 	<ul style="list-style-type: none"> A planning structure is available. However, they are not able to plan integrated WASH schemes with no dedicated sanitation programme structure for liquid waste management. A systematic structure to plan and implement PATS including social mobilization and technical solutions to liquid waste management for users is absent. Operational support structures of HR and of pre and in-service trainings are not available
	Systems	<ul style="list-style-type: none"> IT enabled HR and administrative work processes are deficient Lack of systematic human resource planning Lack of performance management system with clear performance benchmarks Lack of systematic staff pre-service inductions and in-service training and development function 	<ul style="list-style-type: none"> The SRU (strategic reforms unit) at PHED has started taking structural and systemic change initiatives however it needs to be capacitated first. Rest of the findings are same as LGE&RDD.

Area of Assessment		LGE&RDD	PHED
		Key Findings	Key Findings
Individual	Staff	<ul style="list-style-type: none"> • Senior tier of grade 19 is missing for strategic and technical planning & ensuring execution around provision of clean drinking water, its quality control and ensuring timely O&M at provincial level. • No separate position of safely managed sanitation agenda including safe disposal and treatment technologies is envisaged at provincial level. • Dedicated positions of M&E with clear mandate is missing. • Dedicated position of HR function is missing 	<ul style="list-style-type: none"> • Senior tier of grade 19 is missing for strategic and technical planning & ensuring execution around provision of clean drinking water, its quality control and ensuring timely O&M at provincial level.
	Skills	<ul style="list-style-type: none"> • Technical knowledge and skills around quality of drinking water is deficient. • In particular skills to manage water source is inadequate at PHED, while it is absent in LGE&RDD. • Management skills in steering strategic planning and management, financial management capacities (full cost recovery), HR management and project management are found deficient and needing urgent attention. • There is an issue of client service attitude currently deficient in PHED and LGE&RDD and hence services provision is not sustainably provided to users. 	<ul style="list-style-type: none"> • Same as LGE&RDD
Enabling Environment	Shared Values and Styles	<ul style="list-style-type: none"> • Absence of core values which is a driving force for any team to perform. • Core values of effective WASH services delivery did not appear to be placed in offices as well as demonstrated through documents of these two primary services providers. • Core values even though undocumented do not seem to be communicated to all levels of staff so that there is collective ownership of these values. • There was an absence of any regulatory framework around WASH to push for compliance and results. 	<ul style="list-style-type: none"> • Same as LGE&RDD

7.4 Capacity Development Priorities and Actions

The findings of the assessment guided formulation of capacity development priorities and actions. These include a wide variety of interventions, again grouped into three categories i.e., institutional, individual and enabling environment (each with relevant 7S aspects). The institutional actions are aligned to the KPWSP cycle 2018-30, however for remaining two the proposed interventions are front-loaded (2019-24) to create momentum to enable achievement of results. These could also be extended/adapted after proposed five-year review.

7.4.1 Capacity Gaps and Development Plan

The capacity gaps enabled identifying challenges and weaknesses currently faced at institutional, individual levels by both PHED and LGE&RDD. These have enabled laying out the priorities and interventions for capacity building of these stakeholders. The planned interventions outline capacity development outcomes and outputs vis a vis these three levels for the two organisations. The implementation on these actions may enable PHED and LGE&RDD to deliver more effectively and efficiently and achieve SDG 6.1 and 6.2 (see matrix showing details of capacity development priorities, actions, timelines of achievements and responsibilities at Appendix-19 chapter 4, section 4.2). Following matrix outlines capacity gaps and recommended actions to overcome them.

Table 7: Capacity Gaps and Development Plan

Area of Capacity Development		LGE&RDD and PHED	
		Gaps	Planned Actions
Institutional	Strategy	<ul style="list-style-type: none"> Strategy is not steered, internally developed and monitored during execution by PHED and LGE&RDD 	<ul style="list-style-type: none"> A core group /committee chaired by Secretary should be established & operationalized with clear TORs steering WASH agenda set out in policy and strategy Internal communication strategy for ensuring clarity of the policy and strategy at all levels and to users developed and followed A module on strategy as mandatory component in the pre- service training programme of services providers trainings/ refreshers developed and implemented KPIs on measuring pace of implementation on strategy developed and monitored
	Structure	<ul style="list-style-type: none"> Structures are in misalignment of PHED and LGE&RDD with safely managed WASH 	<ul style="list-style-type: none"> Place structural changes proposed in Sector Plan (2019-2030) Realign and notify newly aligned PHED and LGE&RDD structure by preparing updated organogram, placing updated organogram on official websites Placing an independent WASH regulator to regulate the WASH Sector
	Systems	<ul style="list-style-type: none"> Systems alignment with the strategy of achieving SDG 6.1 and 6.2 is not supported by placing them in the two primary services providers 	<ul style="list-style-type: none"> Defining new or reviewing existing mandates of various units / functions. The mandate of hygiene and its functions in PHED and LGE&RDD Designing and placing M&E systems including WASH MIS. Staff Training need analysis and review of utilisation of effective system Performance management system – review to include bench marking or KPIs Pre-service and in-service training system development
Individual	Staff	<ul style="list-style-type: none"> Staffing alignment with strategy by undertaking integrated WASH programme planning, monitoring, evaluation & research, and cost recovery at province and district levels are not available at both departments 	<ul style="list-style-type: none"> Hiring of new approved positions for integrated WASH programme Improving the current hiring, selection and onboarding process Preservice induction of newly appointed staff
	Skills	<ul style="list-style-type: none"> Skills alignment with the strategy have serious knowledge and skills gaps in managerial, technical, operational, M&E and financial management 	<ul style="list-style-type: none"> Execution of recommended trainings Follow up of in-service trainings conducted TNA using task analysis (new) and performance (current) analysis Improved staff trainings plan is executed

Area of Capacity Development		LGE&RDD and PHED	
		Gaps	Planned Actions
Enabling Environment	Shared Values and Styles	<ul style="list-style-type: none"> • Style and shared values indicate absence of core values which is a driving force for any team to perform 	<ul style="list-style-type: none"> • Communicating it down till all levels • Making them part of performance benchmarks & part of pre-service trainings module • Displaying the values at prominent places in all offices • Developing staff recognition programme to acknowledge high achievers and initiatives • Rolling out and implementation of staff recognition policy and / or programme • Developing and rolling out zero tolerance policy

7.5 Implementation Approach

The implementation of the capacity development plan may require complementary or support actions which are outlined below. The visual below highlights complementary actions that may enable effective implementation of the plan. (see detail implementation strategy appendix-19 section 5.1).

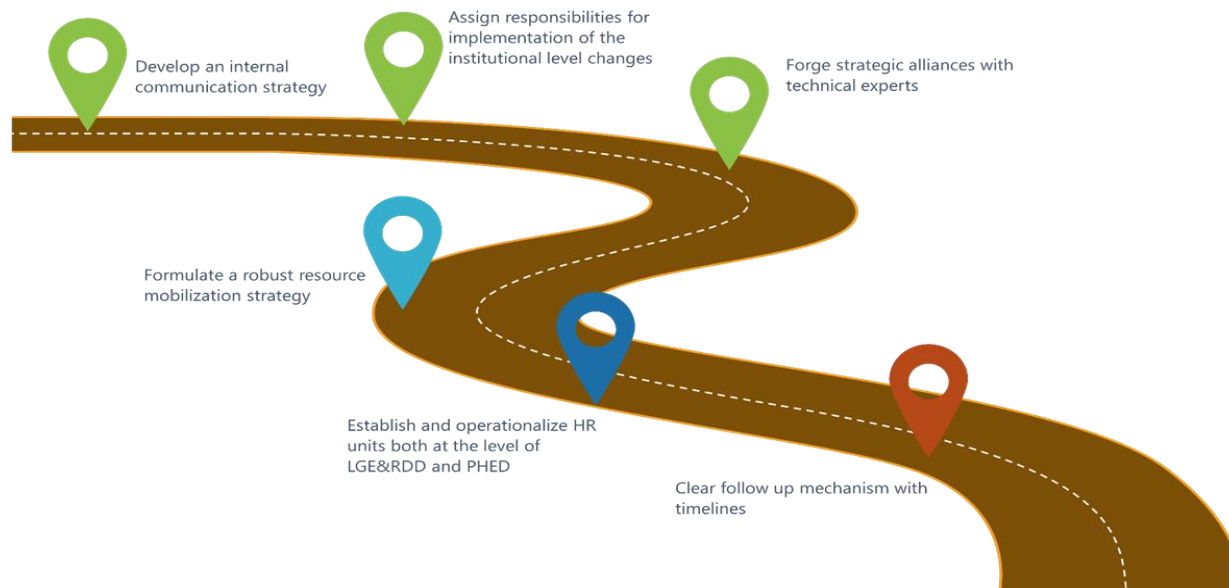


Figure 18: Implementation Strategy

7.6 Risk Assessment

This section also presents a risk assessment where certain externalities that may negatively have a likelihood and/ or impact are also envisaged at this planning stage. Matrix given showing possible risks during implementation phase, its likelihood, impact and mitigation strategies that are envisaged at this point in time. It is useful for the provincial government to take proactive actions to avoid these high risks issues. This was developed based on the basis of discussions held with the stakeholders for the CDP.

Table 8: Risk Matrix, Likelihood, Impact and Mitigation Strategy

Description of Risks	Likelihood	Impact			Mitigation Strategy
	High: frequent Medium: occasional Low: rare	High	Medium	Low	
Confusion of mandates among service providers persists given the context of LGA 2013.	Medium				Multi service providers scenarios are proposed in the CDP 2019-24
Change in political Government and change in development priority away from WASH	Low				Periodic external context reviews will help adjust / tailor the strategy proactively.
Abrupt changes at senior level	Low				

Description of Risks	Likelihood	Impact			Mitigation Strategy
	High: frequent Medium: occasional Low: rare	High	Medium	Low	
No funds available for proposed structural and skills development initiatives	Medium				Proactive measures led by core group (explained above) for resource allocation will help address this risk.
Lack of ownership of Sector Plan 2019-30	Low				

7.7 Capacity Development Interventions Vis a Vis KPWSP Thematic Priorities

The following matrix brings together the capacity development interventions (as per 7 S framework) and aligns them around the seven 'KPWSP Thematic Priorities' i.e. Sector Policy and Strategy, Institutional Arrangements, Budget and Finance, Planning, Monitoring Evaluation and Research, Capacity Development, Broad Enabling Environment and Service Providers. The matrix traces each action to the results hierarchy for the thematic areas, as given in the KPWSP. This has been produced for easier comprehension of capacity development priorities and actions, for both the public and non-public stakeholders and costs involved for future planning and resources mobilisation.

Table 9: Capacity Development Interventions vis a vis KPWSP Thematic Priorities

Thematic Areas	Capacity Challenges	Capacity Development Actions	Budget (Rupees in millions)
Sector Policy and Strategy Outputs 1.1 Water, sanitation, and hygiene policies are reviewed and consolidated into an 'Integrated & harmonised (with SDGs) WASH Policy' and approved to guide (cohesive and integrated) services delivery. 1.2 The sector (KPWSP) strategic & operational (long, medium and short term) plans developed, approved and implemented 1.3 The Integrated WASH Policy and (Strategic and Operational) Plan/s underline linkages with health, nutrition, education, climate change adaptation (CCA), and DRR and offer guidance for public sector implementers to develop and deliver integrated and sustainable services.	Inadequate policy & strategic planning technical forums and skills	1. Continue with the existing WASH Steering Committee (given need bring in independent experts) as decision making/overview forum for following: <ul style="list-style-type: none"> • Approval of KPWSP 2019-30 • Formulation and approval of WASH Policy • Regularly review/make decisions on KPWSP implementation • Clearly define mandates and coordination between PHED and LGE&RDD, and approve revised Rules of Business • Clarify the mandate and lead agency (preferably Health Dept.) for hygiene promotion. 2. Pre-service Induction Plans (for grade 17 and above staff) to include modules of policy and strategy formulation and implementation. 3. Strategic planning and management competence/skills building via customized trainings & refreshers (details of what, whom, when and how are provided in the in-service training plan, Sub-Appendix-19.7 of KPWSP Volume II).	21,850
Institutional Arrangements Outputs	Institutional management	1. PHED & LG&RDD New Units:	

Thematic Areas	Capacity Challenges	Capacity Development Actions	Budget (Rupees in millions)
<p>1.1 Provincial Rules of Business (RoB: 2015) amended and offer clarity around mandates, roles and coordination arrangements for the primary and secondary service providers.</p> <p>1.2 WASH Coordination Forums (at provincial and district levels) established/re-activated/revamped to steer sector-wide planning, reviews, information management, harmonization, and advocacy</p> <p>1.3 The public sector lead for hygiene education is identified (with consensus) and capacitated to plan and implement public education/behavioural change campaigns (BCC).</p> <p>1.4 The service delivery standards (for water, sanitation and hygiene) are reviewed and revised (in view of SDG targets) and under implementation by the primary service providers.</p> <p>1.5 Primary service providers continue to evolve, implement, review and scale new service delivery models and approaches for provision of safe and sustainable services.</p> <p>1.6 Primary and secondary service providers have developed and implement users' mass education and awareness programmes to inform them of entitlements, obligations and complaint system</p> <p>1.7 Regulatory environment (in terms of promulgation of laws, services standards, introduction of sector regulator/s) is strengthen including regulator's capacities to effectively regulate and enable compliance to service delivery standards.</p>	<p>structures and systems of planning, quality implementation, evidence-based M&E and financial management of both PHED and LGE&RDD are not well-aligned with safely managed WASH.</p>	<ul style="list-style-type: none"> • Form Sanitation Units in both PHED and LGE&RDD (for liquid waste in PHED, for solid waste in LGE&RDD, recruit and deploy staff (proposed organograms, see Sub-Appendix 19.13 KPWSP Volume II). • Form Social Mobilization Units/Teams within both PHED & LGE&RDD, recruit and deploy staff (proposed structure can be seen at Appendix 8 of KPWSP Volume II under heading “Community Mobilisation”). • Support health department for BCC (hygiene promotion). <p>2. Provincial Coordination Structures:</p> <ul style="list-style-type: none"> • Continue with Provincial WASH Steering Committee as nodal Provincial Coordination Forum (composition and mandate are defined and TORs available – Sub-Appendix 19.14 of KPWSP Volume II). • Notify (where needed) and re-activate District WASH Committees for district level coordination. • Revamp and reposition WATSAN Cell as ‘Knowledge Hub’ for undertaking research, documenting best practices and review of progress for presentation and discussion (for proposed organogram please see Chapter 6, of KPWSP). <p>3. Proposed Regulator:</p> <ul style="list-style-type: none"> • Form ‘Provincial WASH Commission’ as sector regulator, notify, recruit and deploy staff (proposed structure and mandate is Appendix 9 of KPWSP) <p><i>Note: Action for 1.1 is already covered above</i></p>	<p>2,605,634</p>

Thematic Areas	Capacity Challenges	Capacity Development Actions	Budget (Rupees in millions)
<p>Budget and Finance Outputs</p> <p>1.1 Public sector budgeting/financing for WASH services is aligned to MTDP (three years budgeting cycles)</p> <p>1.2 The budgeting and expenditures tracking systems improved for desegregated tracking for water, sanitation and hygiene including geographic/administrative units.</p> <p>1.3 Allocations for WASH services to respective local governments through Provincial Finance Commission (PFC) Awards made equitable according to district need.</p>	<p>Effective budgeting and tracking capacities are lacking.</p> <p>Revenue collection system is weak.</p>	<ol style="list-style-type: none"> 1. Capacities enhancement actions suggested under thematic area 1 and 4 (below) will improve evidence based planning and proper allocation of funds for improved WASH services 2. Organise regular budgeting and financial management courses for accounts/operations and management staff for both PHED and LG&RDD (refer Sub-Appendix 19.7 of KPWSP Volume II). 	<p>2,104</p>
<p>Planning, Monitoring Evaluation and Research</p> <p>1.1 PME&R Unit established/revamped and functioning in primary/service providers including P&DD</p> <p>1.2 MER Units/Focal Points receiving adequate funds for MER activities.</p> <p>1.3 Researches and periodic reviews produced for services planning, programmed innovation and policy advocacy.</p> <p>1.4 The IT tools and applications are widely in use for PME&R functions.</p>	<p>Complete absence of proper PMER structure, human resource and systems in both departments.</p>	<ol style="list-style-type: none"> 1. Establish PMER Units at provincial and districts in both PHED and LGE&RDD, recruit and deploy staff (refer Chapter 6, Figure 16 of KPWSP for organograms) 2. Develop M&E Frameworks and Implementation Manuals for teams. 3. Train PMER teams and organize refreshers in relevant tasks (refer Sub-Appendix 19.7 of KPWSP Volume II) 4. Develop and deploy MIS systems in both PHED and LG&RDD, recruit and deploy staff as part of PMER (proposed PMER structures include staff). 	<p>3,304,471</p>

Thematic Areas	Capacity Challenges	Capacity Development Actions	Budget (Rupees in millions)
<p>Capacity Development Outputs</p> <p>1.1. Comprehensive capacity assessment/s against service delivery standards/models of primary/secondary service providers conducted and Capacity Development Plan (CDP) approved.</p> <p>1.2. Capacity development for primary and secondary service providers as a regular internalised system for service providers resourced and implemented.</p>	<p>Staffing is inadequate to undertake integrated WASH programme planning, monitoring, evaluation & research, and cost recovery at province and district levels are not available at both departments</p> <p>Skills alignment with the strategy have serious knowledge and skills gaps in managerial, technical, operational, M&E and financial management</p>	<ol style="list-style-type: none"> 1. Revamp existing Ops Units in PHED and LG&RDD (add positions of 1 x Director and Dy. Director each) in two departments. (these staff to impellent the CD Plans) 2. Plan and include Pre-service Induction Plan (proposed plan is for four to six weeks – refer Sub-Appendix 19.6 of KPWSP Volume II for outline of induction plan). The New HR team/s to develop and introduce induction plans. 3. Develop and implement In-service Training Plan (for different cadres) and allocate resources (refer Sub-Appendix 19.7 of KPWSP Volume II). 4. Revamp and resource Local Government School (as futuristic training center) for PHED and LG&RDD staff (including for others). Undertake a comprehensive assessment of LGS vis a vis future role and then develop a Revamping Plan. 	184,684
<p>Broad Enabling Environment Outputs</p> <p>1.1 Service providers have mechanisms in place to regularly update/advocate with political leadership on WASH policies, plans and services.</p> <p>1.2 Service charges and recovery mechanisms strengthened according to full cost recovery and poor user affordability considerations.</p>	<p>Absence of core values, shared principles, public service attitude which is a driving force for any team to perform. In addition, staff is indifferent</p>	<ol style="list-style-type: none"> 1. Plan and implement Revenue Collection System (proposed to place Revenue Officers in both depts.) 2. Develop shared values (with staff at all levels) and include them in contents of Induction and Training Plans. 3. Introduce ‘Staff Recognition Programmes’ in both PHED and LG&RDD (HR Units to develop and implement) 	41,605

Thematic Areas	Capacity Challenges	Capacity Development Actions	Budget (Rupees in millions)
	about concept of performance excellence due to the absence of any recognition.	<ol style="list-style-type: none"> 4. Develop and implement KPI based Performance Management System in both PHED and LGE&RDD (HR units to develop and implement). 5. Use technology like websites/emails to share organisation updates with staff 	
<p>Service Providers Outputs</p> <ol style="list-style-type: none"> 1.1 Primary service providers have evolved models and approaches to continue to provide/expand safe and sustainable drinking water services. 1.2 Primary service providers have evolved models and approaches to continue to provide/expand safely managed sanitation services. 1.3 Primary service providers have evolved models and approaches to continue to provide/expand hygiene promotion/BCC services. 1.4 Models of Public Private Partnership for drinking water, sanitation and hygiene services are piloted, reviewed and scaled for province-wide implementation. 		<ol style="list-style-type: none"> 1. New models for community based safe water and safe sanitation proposed (CATS, CLTS, PATS guidelines available - waste management and others proposed - refer Sub-Appendix 19.8 of KPWSP Volume II). 2. Prepare and implement PPP Model Manual/Guidelines for service delivery. 	9,425,171

CHAPTER-8. THE BUDGET

This chapter presents the budgetary estimates for implementation of KPWSP 2019-30. The chapter opens with explanation of budgets and significance for planning. Then it outlines the budgeting principles and assumptions used to produce this budget. The description then dissects the budget at varied levels such as thematic areas, broader cost heads, and for different stakeholders (implementers). The working sheets are appended at the end.

8.1 Budgets & Significance of Budgets

'Budgets are the calculated estimates of the funds required to achieve a certain target with a specified time'. Budgets are pivotal in establishing financial needs and charting plans to mobilise resources for delivery of plans. These are important in terms of laying out spending plans for resources mobilised. These are realistic estimates or projections for achievement of planned targets.

Budget comprises two sections,

1. Costs for KPWSP 2019-2030
2. Costs for Services Expansion

Following table shows the funds required to achieve each target during the period as:

Table 10: Funds Required to Achieve Each Target

Section	Budget Description	Period (Year)	Rs. in million
7.2	KP WASH Sector Plan	2019-2030	15,591
7.3	Services Expansion plan	2019-2030	905,568

8.2 KP-WASH Sector Plan Budget (Year 2019-2030)

8.2.1 Budgeting Principles, Construction and Readers Guide

Following are the key concepts involved for preparation of KP WASH strategic plan budget;

- **Activity based budgeting** concept is used. Activities have been broken down into sub activities wherever considered necessary.
- Activities proposed by the stake holders referred at para 1.4, during the **interactive workshop**, have been budgeted and activities requiring no budget have been mentioned as activities require no budgets. All amounts appearing on the detailed budget sheet have been linked with the budget assumption sheets, providing basis of the budget amounts.⁴⁰
- The detailed budget is based on latest, most relevant and realistic assumptions.5% annual increase in human resource expenses has been applied, as annual increase in salaries and related costs.⁴¹
- **Inflation rate of 7% per annum** has been applied⁴².

40 Each activity is given a specific line number in detailed budget sheet and same line number is referred in assumption sheet to trace the breakdown of the activity. The budget may be read with assumption / rationale for better understanding of the budgeted amounts. Complete budget is presented in different arrangements, in annual summary budget spreadsheet, linked with detailed budget sheet. Budget for thematic area, capacity building will be added in the main budget sheet once the activities have been finalized.

41 Annual salary increment is mix of general inflation and periodic performance raise. Combination of annual performance increment and time-to-time revision in salary scales is expected to remain at 5% per annum.

42 Inflation has been around 5% in last five years. However, in recent months it has increased and reached to 9.41% max. and expected to remain at higher end in near future. Therefore, annual inflation rate of 7% is considered reasonable to be applied for budgeting purpose.

- Master plan budget period starts from year 2018. For consolidation purpose, budget for 2018 has been added in budget for the year 2019 to align with the time of this document. Liquid and solid waste management plants are proposed to be established as 10% in year 2020, 40% in year 2025 and 50% in year 2030. Annual inflation rate of 7% has been applied for Liquid and Solid waste management plants. Hygiene budget of Rs. 1.1 billion has been provided in WASH strategic plan budget and has not been included in Service Expansion Budget, to avoid duplication.

8.2.2 Costs for Thematic Priorities of KPWSP 2019-30

The costs for KPWSP 2019-30 implementation (activities listed in the thematic areas) come to Pak Rs (PKR). 15,590.8 million. The average annual requirement comes to Pak Rs. 1417.4 million. Table 11 consolidates the costs or budget for the 7 'KPWSP Thematic Priorities'. These have also been broken down into short (2019-22), medium (2023-26) and long-term costs (2027-30). Annual Budget allocations under various arrangements like thematic area wise, cost category wise, output wise etc. are provided at attached appendices. Outcome wise annual budget summary is attached at Appendix-15.

Table 11: Budget requirements in Short, Medium and Long Term

Short, Medium and Long-Term Budget - KP WASH Strategic Plan (2019-30)					
S#	Thematic Area	Short Term 2019-22	Medium Term 2023-26	long Term 2027-30	Total
1	Sector Policy and Strategy	16.70	2.29	2.86	21.85
2	Institutional Arrangements	411.61	893.89	1,300.13	2,605.63
3	Budgeting and Finance	2.10	-	-	2.10
4	Planning, Monitoring & Review	441.54	1,111.12	1,751.81	3,304.47
5	Capacity Development	109.27	31.10	49.55	189.92
6	Enabling Environment	7.31	14.05	20.25	41.60
7	Service Providers	2,530.26	3,532.37	3,362.54	9,425.17
	Total Rupees	3,518.79	5,584.82	6,487.14	15,590.76

Rs. in millions

The graph below distributes costs across years during which KPWSP to be implemented.

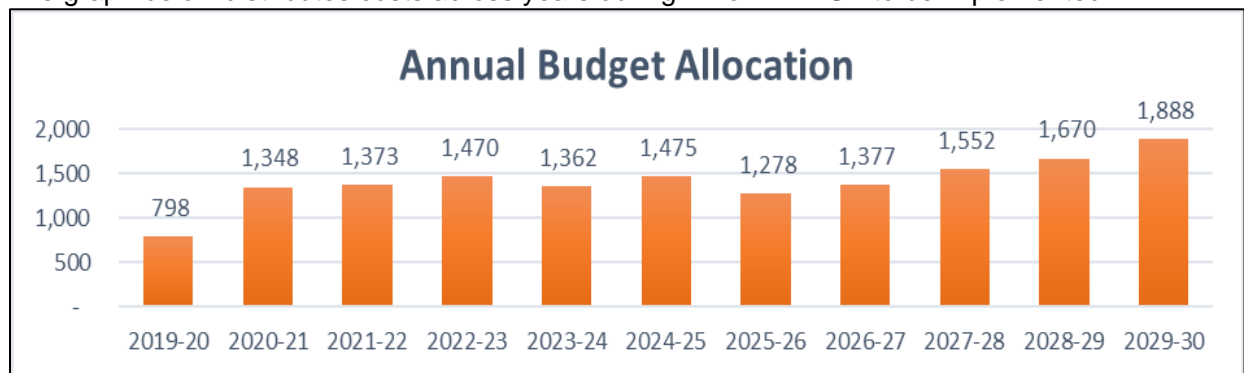


Figure 19: Annual Budget Allocation Rs. In million

8.2.3 Thematic Area wise budget allocation

Following pie chart shows thematic area wise budget allocations

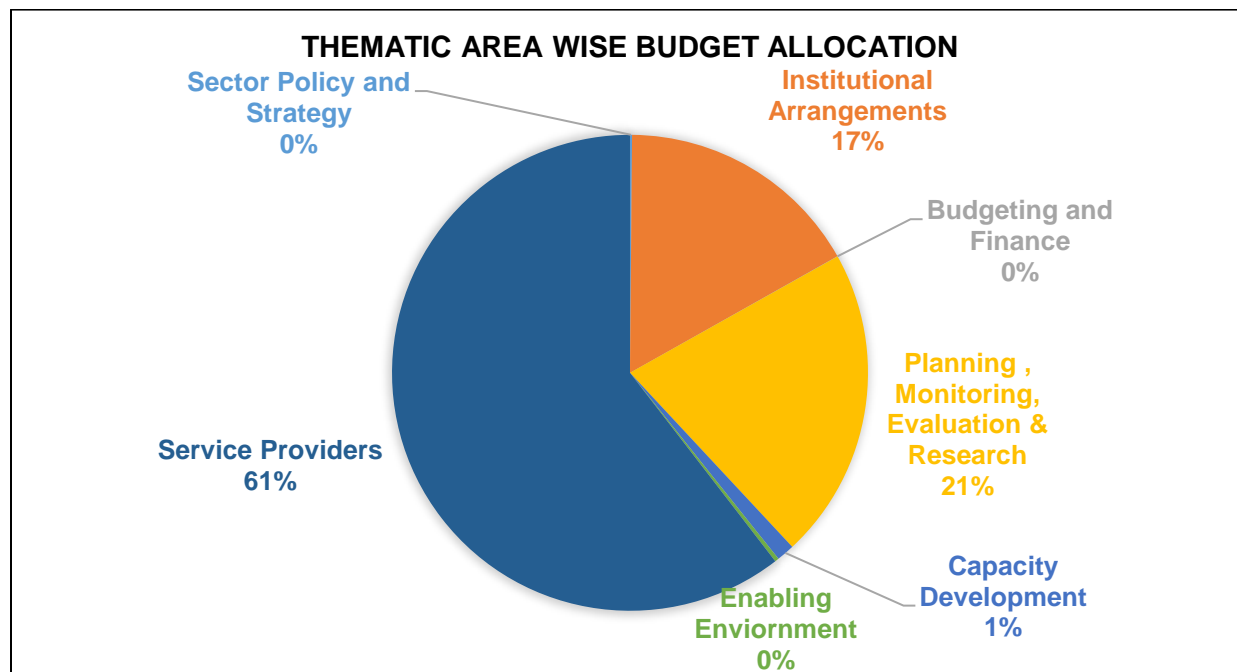


Figure 20: Thematic Area wise allocations

Thematic area wise budget allocations show 99.6% funds allocated to Institutional Arrangements, Planning Monitoring and Review and Service Provider areas collectively. This is mainly due to the following,

- Establishment of a WASH regulatory department and mass media awareness campaigns every quarter, is main cause of 17% budget allocation under the Institutional Arrangement thematic area,
- Establishment of Monitoring and Evaluation department and their field activities are main cause of 21% budget allocation under the Planning, Monitoring, Evaluation and Research thematic area, and
- Investment on Behaviour Change Communication campaigns on approved hygiene strategy and induction of PATS models has resulted in 61% of total budget allocation under Service Provider.

Thematic area wise annual budget allocation table is provided at Appendix-16.

8.2.4 Cost Category wise Budget Allocation

Another important factor requiring explanation is the cost category wise budget allocations. Following pie chart shows share of each cost category in the Khyber Pakhtunkhwa Strategic Budget.

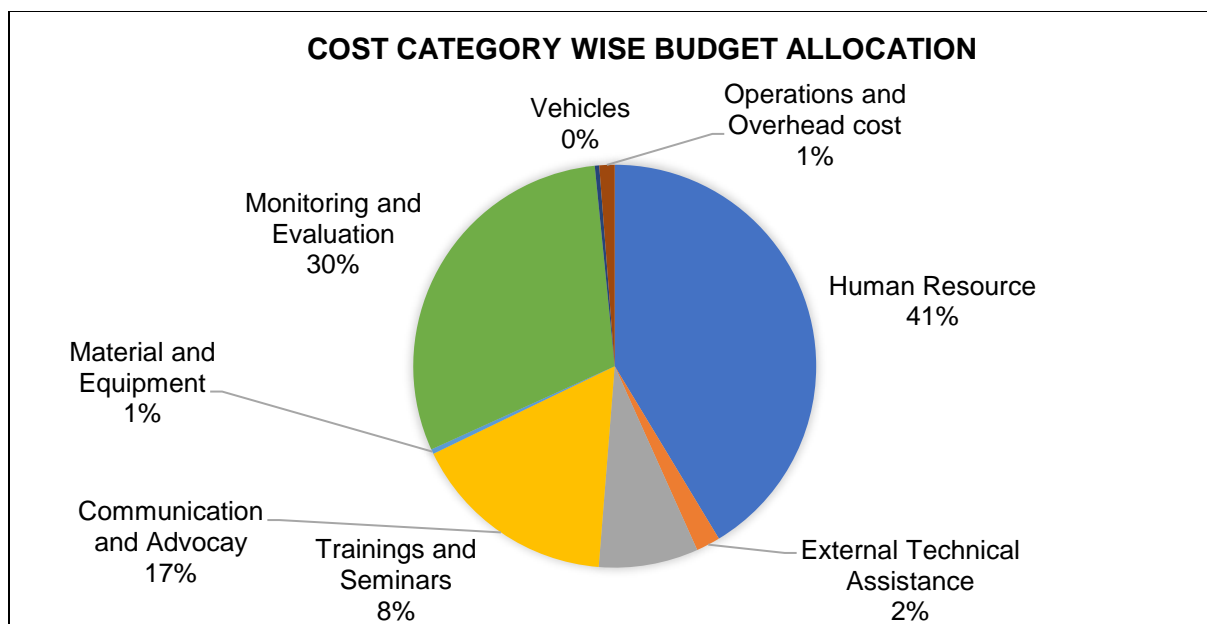


Figure 21: Thematic Area wise allocations

The pie Chart shown in Figure 22 above, explains the percentage budget allocations under each cost category. Three major cost sharing categories having 88.0% share of the total budget are as,

- Human resource 42% mostly consists of salaries and allowances of staff proposed for Monitoring and Evaluation department and WASH Regulatory Authority,
- Monitoring, Evaluation and Research 30 % mostly due to frequent travel cost in field by PME&R staff, social mobilizers and WASH Regulator departments.
- Advocacy and Communication 16%, due to proposed media campaigns and behaviour change campaigns.

Detailed cost category wise annual budget allocation table is at Appendix-17.

8.2.5 Budget Distribution Between Primary & Secondary Service Providers

Budget has been allocated among the relevant departments identified as primarily responsible for the implementation of activities. Where more than one department have activities distributed among them, budget is equally shared. Following table shows such segregation of funds among the departments.

Table 12: Interdepartmental Thematic Area wise Budget Allocations

Department wise Budget Segregation - KP WASH Strategic Plan 2019-30		
S #	Departments	Rs. million
1	Public Health Engineering Department	7,770.31
2	Local Government and Rural Development Department	7,756.90
3	Health	31.89
4	Education	31.19
5	Finance	0.42
	Rs. million	15,590.76

Local Government, Elections and Rural Development Department and Public Health Engineering Department being main key players carry more than 99% of the area of primary responsibility for the implementation of the activities. The other three department i.e. Health, Education and Finance share

less than 1% of the total budget allocations. Table 12 showing department wise budget allocation is attached at Appendix-18.

8.3 Costs for Services Expansion (to Achieve WASH SDG 6 Targets)

This section presents cost estimates for services expansion from current level (as of 2019) to achieve universal coverage by 2030. For safe drinking water and capacity building, water conservation etc. the KPWSP uses the PHED's Master Plan calculations (refer Appendix 8). For safe sanitation, the costs have been derived by using the existing costing principles and units of the GOKP.

Table 13: Projected Funds Requirement for Safe Water and Sanitation (Services Expansion)

Projection Funds Requirement (2019-30) for Services Expansion				
Service Delivery Area	Short Term Funds Projection (2019-22)	Medium Term Funds Projection (2023-26)	Long Term Funds Projection (2027-30)	Total Rs. (Millions)
Drinking Water Supply Schemes	49,880	46,849	72,906	169,635
Solid/Liquid Waste Management	43,424	242,067	448,942	734,433
Capacity Building, Water Quality, Water conservation, CLTS & SRU	300	450	750	1,500
Total Funds Project Amount	93,604	289,366	522,598	905,568