

Concept Note

Technical assistance to develop the needed capacities and support the successful implementation of the Government of Ethiopia financed and led “OneWASH National Programme-Consolidated WASH Account (OWNP-CWA) under the umbrella of the OneWASH National Programme (OWNP)”

Ethiopia

20 May 2019



Simplified Approval Process Concept Note

Project/Programme Title:	Technical assistance to develop the needed capacities and support the successful implementation of the Government of Ethiopia financed and led “OneWASH National Programme-Consolidated WASH Account (OWNP-CWA) under the umbrella of the OneWASH National Programme (OWNP)”
Country(ies):	Ethiopia
National Designated Authority(ies) (NDA):	Environment, Forrest and Climate Change Commission (formerly Federal Ministry of Environment, Forrest and Climate Change)
Executing Entities:	UNICEF. (Ministry of Water Irrigation and Electricity (MoWIE) as co-implementer)
Accredited Entity(ies) (AE):	UNICEF are applying for accreditation
Date of first submission/ version number:	<u>[2018-12] [V.0]</u>
Date of current submission/ version number	<u>[2019-05-18] [V.1]</u>



**GREEN
CLIMATE
FUND**

A. Project / Programme Information (max. 1 page)			
A.1. Project or programme	<input type="checkbox"/> Project <input checked="" type="checkbox"/> Programme	A.2. Public or private sector	<input checked="" type="checkbox"/> Public sector <input type="checkbox"/> Private sector
A.3. Indicate the result areas for the project/programme	<p>Mitigation: Reduced emissions from:</p> <input checked="" type="checkbox"/> Energy access and power generation <input type="checkbox"/> Low emission transport <input type="checkbox"/> Buildings, cities and industries and appliances <input type="checkbox"/> Forestry and land use <p>Adaptation: Increased resilience of:</p> <input checked="" type="checkbox"/> Most vulnerable people and communities <input checked="" type="checkbox"/> Health and well-being, and food and water security <input checked="" type="checkbox"/> Infrastructure and built environment <input type="checkbox"/> Ecosystem and ecosystem services		
A.4. Estimated mitigation impact (tCO2eq over lifespan)	49,601,344 (only includes the pilot project – does not include full benefits of developing a sustainable model for solar conversion).	A.5. Estimated adaptation impact (number of direct beneficiaries and % of population)	232,000 direct beneficiaries (solar component), and 6 million indirect beneficiaries (under OWNP-CWA)
A.6. Indicative total project cost (GCF + co-finance)	Amount: USD \$564,000,000	A.7. Indicative GCF funding requested (max 10M)	Amount: USD \$10,000,000
A.8. Mark the type of financial instrument requested for the GCF funding	<input checked="" type="checkbox"/> Grant <input type="checkbox"/> Loan <input type="checkbox"/> Guarantee Other: specify _____		
A.9. Estimated duration of project/ programme:	4 years	A.10. Estimated project/ Programme lifespan	4 years
A.11. Is funding from the Project Preparation Facility needed?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	A.12. Confirm overall ESS category is minimum to no risk¹	<input checked="" type="checkbox"/> C or I-3
A.13. Provide rationale for the ESS categorization (100 words)	Project is providing technical assistance and does not involve funding physical changes to the environment (no drilling activities to be funded by GCF).		
A.14. Has the CN been shared with the NDA?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	A.15. Confidentiality²	<input type="checkbox"/> Confidential <input checked="" type="checkbox"/> Not confidential
A.16. Project/Programme rationale, objectives and approach of programme/project (max 100 words)	<p>Ethiopia is one of the most vulnerable countries in the world to droughts, which are expected to become more frequent and intense due to climate change.</p> <p>The project will build government capacities to ensure the successful implementation of the climate resilient WASH component of the ONEWASH National Program- Consolidated WASH Account (OWNP-CWA). In particular, by conducting environmental and social impact assessments (ESIA), the studies for the development of drought-resilient deep groundwater sources, the pilot and establishment of a sustainable model for funding solar conversion of infrastructures, and the improvement of management and sustainability of water supply systems.</p>		
B. Project / Programme details (max. 3 pages)			
B.1. Context and Baseline (max. 1 page)			

¹ Refer to the SAP ESS Guidelines

² Concept notes (or sections of) not marked as confidential may be published in accordance with the Information Disclosure Policy ([Decision B.12/35](#)) and the Review of the Initial Proposal Approval Process ([Decision B.17/18](#)).

The project aims to break the vicious circle vulnerable infrastructures affected by recurrent droughts in drought-prone areas of Ethiopia and create a virtuous circle of climate resilient water supply systems that provide safe and sustainable access to water to the communities living there, despite the anticipated negative impact of climate change in the region.

According to the IPCC WGII-AR5 Chapter 22 (Africa), “Climate change will amplify existing stress on water availability in Africa”; this is particularly critical in drought-prone areas of Ethiopia recurrently affected by droughts and flash floods. The 4th assessment report (IPCC WGII AR4) has already highlighted that the climate vulnerability of Africa is due mainly to its low adaptive capacity, which this project seeks to address. Moreover, extreme precipitation changes over eastern Africa, including droughts and heavy rainfall, have become more frequent during the last 30 to 60 years (Funk et al., 2008; on IPCC WGII AR5). A continued warming in the Indian-Pacific warm pool has been shown to contribute to more frequent East African droughts over the past 30 years (Williams and Funk, 2011 on IPCC WGII AR5).

Africa, and Ethiopia in particular, have much lower level of emissions in comparison to other developed countries. Yet despite its low contribution to greenhouse emissions, Ethiopia is one of the countries in the world with the largest vulnerability to droughts. Fragile states and low-income communities, particularly those in East and Southern Africa will see the poor and marginalized being most affected. Low income quintiles of society such as children, women and the elderly who are less capable of coping with the negative effects of climate change will be the most severely affected.

Ethiopia is particularly vulnerable to drought as arid and semi-arid areas cover more than 40% of Ethiopia’s territory and contain some of the poorest and hardest-to-reach communities. The problems affecting these areas are different from the rest of the country and require a new approach to reduce vulnerability, with key challenges including:

- Unreliable and insufficient water supply sources;
- Inadequate water supply coverage and poor access; leading to loss of livestock and livelihood due to lack of water during drought; and poor water quality and prevalence of water-borne diseases;
- Weak capacity of water institutions for operation, maintenance and development of water sources
- Women and girls more adversely affected due to division of labour and their role in water collection

Despite progress, there are still challenges in water supply systems. The most critical ones include:

- Occurrence of more frequent and severe droughts as a consequence climate change, and the need for provision of a climate resilient water supply infrastructure with adequate distribution network and supply points;
- Adequate operation and maintenance capacity that, together with unreliable water sources, means that non-functionality of water systems is estimated at around 23%. In addition, there are often interruptions in the supply of fuel for powering water schemes in rural areas, which means they are often non-functional.
- Lack of capacity within the public and private sector to implement a transformative agenda, particularly in key areas such as deep groundwater investigation, installation and maintenance of solar-powered water systems; and supply chain management for breakdowns and repairs.
- Significant gaps in the distribution of water supply leaving behind 40 million people either without any access or access in insufficient quantity or quality;
- Insufficient exploration of groundwater potential, in particular in the lowland areas of Ethiopia, which could contribute to break the vicious circle of chronic shortage of water in certain areas;
- Current WASH infrastructure investments insufficient to provide services due to the rapidly growing population and a significant financial gap in the water sector;
- Anticipated increase of water-borne diseases as a consequence of climate change, with particular emphasis on acute watery diarrhoea (AWD), which has a significant impact in the health and wellbeing of the population.

Ethiopia has recognised the significance of these challenges, particularly for arid and semi-arid regions of the country. Since 2013, Ethiopia has established a unique WASH sector-wide approach (SWAp) under the umbrella of the OneWASH National Programme (OWNP), which brings together ministries, development partners, academia and civil society organisations (CSOs) to a common goal of one plan, one budget, and one report.

In 2018, the Government approved the project “Climate Resilient Water Supply Project in Drought Prone Areas of Ethiopia” (WASH-DPA) which aims at investing USD 5 billion on climate-resilient water investments over a period of seven years (2018-2025). This is now included as a component of the OWNP phase II, which puts strong emphasis on the need to mainstream climate resilience across the sector and has a budget of USD 6.5 billion until 2020.

Besides, the government of Ethiopia (GoE) is now finalising the first phase of the ONEWASH National Program-Consolidated WASH Account (OWNP-CWA) and a second phase is planned to start in July 2019. The CWA is a pool fund with contributions from GoE, World Bank, African Development Bank, DFID, UNICEF and Finland. Korea will also join the CWA, which now incorporates a climate resilient component which is likely to guide the sector in the introduction of the climate resilience agenda in the WASH sector in Ethiopia.

The successful introduction of climate resilience in the OWNP-CWA relies largely on the capacity of that programme to build evidence and show examples in the most challenging environments in the country. The number of people that is anticipated to benefit from the second phase of the OWNP-CWA is 6,000,000 people (more than 3,018,000 women and girls). All CWA beneficiaries shall be considered as indirect beneficiaries of this proposal. Under the first result of this proposal, the number of people expected to benefit from the pilot of the solar conversion using carbon credits is 232,000.

B.2. Project / Programme description (max. 1 page)

The OWNP-CWA is a consolidated and successful programme that is entering into its second phase in July 2019 with a total budget of USD 543 million (2019-2024). The new phase incorporates significant changes such as a new climate resilient WASH component and a new technology mix, which largely relies on the capacity of MoWIE to provide technical leadership in areas that are new in the country and the sector. The Ministry of Water, Irrigation and Electricity (MoWIE) has some capacity gaps to lead this change, in particular the adaptation of water infrastructures in drought prone areas particularly sensitive to climatic extremes. For that reason, there is need of external support to:

- Result 1: Improve the private and public sector capacity through investment (both at national and sub-national levels) in human resources capacity and equipment for deep groundwater investigation, and by recruiting a technical assistance team to deploy national and international experts at MoWIE and also in the Regional Water Bureaus where the implementation of the governments' OWNP-CWA will take place. Besides, the private sector needs to be capacitated in areas such as design of climate resilient water infrastructures or groundwater investigation.
- Result 2: Develop tools, guidelines and build the knowledge and capacities of decision makers -and also lower level government officials- who will be responsible of implementing the climate resilient (CR) component of the OWNP-CWA. Those tools and guidelines, shall be based on scientific evidence and provide guidance to government officials as well as to design engineers and practitioners. The tools will include the development of hydro-geological maps using state of the art remote sensing technology, which are considered as a key element of the strategy to identify deep groundwater aquifers which are less vulnerable to the impact to climate change than shallow aquifers and surface water.
- Result 3. Develop the necessary environmental and social impact assessments as well as the feasibility studies, which would facilitate the rapid design and implementation of individual projects under the CR-WASH component of the OWNP-CWA.
- Result 4. Support the development of a sustainable solar conversion model to be rolled out across Ethiopia, and to pilot the possibility of that conversion to be funded in part by carbon credits, in order to reduce greenhouse emissions; and to improve the sustainability and lifespan of water schemes. This will be evidenced by a pilot project which will leverage an additional \$5m/year from the Ethiopian government.

The Climate Resilient WASH approach has been piloted extensively within Ethiopia, particularly by UNICEF. Since 2015, UNICEF has implemented over 100 multi-village rural water supply schemes which predominantly rely on deep groundwater. These schemes have utilised innovative deep groundwater potential maps which combine traditional geophysical investigation with satellite mapping and overlay techniques to accurately estimate the most promising areas for drilling.

UNICEF is also supporting the development of solar-powered water schemes and the conversion of existing diesel-powered schemes to solar energy in SNNP and Oromia regions of Ethiopia. This project represents a significant opportunity to place the water supply sector in Ethiopia on a low-carbon development pathway. Solar power has won acceptance from the Ethiopian government as their preferred technology for water supply, but lacks the necessary supply chains and expertise to be deployed at-scale, as well as funding for the conversion of schemes. The benefits documented so far include more resilient water supply, with easier to maintain and cheaper operating costs, increased usage of safe water (as opposed to use of unsafe surface water sources) and reductions in carbon emissions. Moreover, UNICEF would like to pilot the possibility of using carbon credits for co-funding the conversion of diesel-powered systems to solar energy, and therefore will support the establishment of an MRV (measuring, reporting and verification) system at MoWIE.

Whilst the OWNP-CWA and the WASH-DPA programmes represent a significant opportunity for Ethiopia to accelerate its development, it is not without risks. At present in Ethiopia, capacity to conduct environmental and social impact assessments is limited, and particularly weak at regional and zonal level in the lowland areas of Ethiopia. This is a major concern given the substantial investment that the water sector is planning in Ethiopia. Even at current levels of investment, there is a significant backlog of environmental and social impact assessments. There is a serious need for increased capacity to conduct these assessments to a high standard.

As accrediting entity, UNICEF is particularly well-placed to undertake these activities for the following reasons:

- UNICEF is the indispensable partner in the water sector in Ethiopia. It is the leading agency for development and emergency response and is the chair for the WASH sector in the Donor Advisory Group (DAG).
- UNICEF has been the driving force behind the development of the Climate Resilient WASH approach, has constructed over 100 climate-resilient water supply schemes in rural areas and has developed the innovative groundwater mapping approach which is to be rolled out under this project.
- UNICEF has excellent relationships within the Ethiopian Government to build capacity for the sector. For instance, UNICEF has recently seconded 15 high-level technical advisors into MoWIE, who's task is to provide advice on the development of the OWNP and the water sector development.
- UNICEF's WASH team in Ethiopia is the largest globally, and has a field office with activities in all regions including Afar, Amhara, Benishangul Gumuz, Gambella, Oromia, Somali, SNNP and Tigray. The unique role of UNICEF field officers supporting the regional water bureau gives a comparative advantage to monitor and provide advice in the deployment of technical assistance and advisors to the regional government.

- UNICEF's mandate and expertise providing support to children and women represents a comparative advantage to ensure that gender and social inclusion aspects will be at the centre of this intervention.

B.3. Expected project results aligned with the GCF investment criteria (max. 1 page)

The expected results of the project -described in the previous section- are well aligned with the GCF investment criteria.

Impact potential

The project is expected to have impact at two levels: mitigation and adaptation to climate change.

- Adaptation: the project will target vulnerable communities (including pastoralists in the lowland areas of Ethiopia) affected by chronic shortage of water, recurrent droughts and high vulnerability to the impact of climate change.
- Mitigation: developing a model for the solar conversion of water schemes is expected to reduce greenhouse emissions and facilitate access and dissemination of green technologies such as FV panels and solar-powered pumps.

Paradigm shift potential

The introduction of a climate-resilience technology mix in both the OOWNP phase II and the OOWNP-CWA; as well as the approval of the WASH-DPA project, shows the strong commitment of the Government of Ethiopia (GoE) to adapt the sector to the negative impacts of climate change. The sector is now sensitized on the need to introduce more climate-resilient solutions and to have stronger evidence on the sustainability of the water resources when proposing specific technical solutions. However, there are very limited guidelines and knowledge in Ethiopia on how to effectively integrate the concepts of climate change adaptation in the water sector, in particular in the arid and semi-arid regions.

The technical assistance proposed by UNICEF is expected to support the implementation of the OOWNP-CWA project, but UNICEF as a key actor in the wider OOWNP and the chair of the WASH sector in the Donor Advisory Group (DAG) can also play a catalytic role in the dissemination of that knowledge across the sector, including the WASH-DPA. This proposal has the potential to enact two major paradigm shifts in the water supply sector:

1. Ethiopia will shift from low-cost, low-tech, vulnerable water supply technologies designed to rapidly increase access, to higher-cost (at least in capital terms), higher-tech, resilient water supply technologies which rely predominantly on deep groundwater sources which are less vulnerable to climate change.
2. The water supply sector will go 'solar-powered' by default in Ethiopia through the establishment of a sustainable model of financing for the conversion of solar-powered water schemes. This project will directly support the shift by building 20 and converting 116 water schemes which will benefit 232,000 people.

Sustainable development potential

Securing water sources in drought prone areas will have a major impact to communities living there. Those areas are recurrently affected by droughts, causing displacement and triggering humanitarian responses as a consequence. These humanitarian responses are lifesaving but are extremely costly. For instance, in 2017 over \$6m/month was spent in Somali region alone on response to acute watery diarrhoea (AWD) outbreaks. If this can be reduced, significant additional resources for development purposes can be made available.

In addition, there can be significant risks with developing deep groundwater if proper procedures are not followed. It is essential that this is done in an environmentally sustainable way, without causing major social negative impacts. This project will build the capacity of Ethiopia to adequately assess these risks and will guide the development of the OOWNP.

Needs of the recipient

Both nomadic/semi-nomadic pastoralist communities and settled populations, need certainty on the availability of water as a basic service and a key economic good. Moreover, the concept of climate resilience does not only focus on the resource but also on the management of those resources by professionalizing the management of the infrastructures and making the systems more resilient to natural and manmade shocks (<https://www.ircwash.org/blog/rural-utilities-water-supply-ethiopia>).

Fetching water is a task carried out by women and girls, which has an impact on their work load and security (often walking long distances alone with risk of gender-based violence (GBV) and their time (with girls dropping out of school more often than boys), therefore this intervention will have a positive impact on gender equity.

Country Ownership

This project is complementary to the efforts being made by the Government of Ethiopia under the OOWNP and the OOWNP-CWA. The government regulations have very strict procedures for hiring international experts or for recruiting highly qualified national experts to be working at regional levels. For that reason, the first result of the project aims at recruiting national and international experts and supporting the government Programme Management Units (PMUs) at national and sub-national levels as secondments to the ministry and the regional bureaus of water.

UNICEF -with its own resources- is currently supporting the ministry of Water Irrigation and Electricity (MoWIE) with 15 of those highly qualified staff, but the mainstreaming of climate resilience requires sustained investments in human resources and capacities, as well as deployments in the regions. The solar conversion component will be implemented using \$ 4m of resources from UNICEF & the Government of Ethiopia (GoE). The GoE is keen enough to deploy more resources (out of the CWA), in terms of finance and human resources, towards the same endeavours during the course of the project.

Efficiency, effectiveness, economy and, if appropriate, financial soundness of the project

The project aims at complementing the government efforts, and adding value in areas where the government structure, procedures and technical capacities need support. The technical assistance aims at addressing key government bottlenecks that would allow the WASH-DPA project to perform better.

C. Indicative financing / Cost information (max. 2 pages)

C.1. Financing by components (max ½ page)

Please provide an estimate of the total cost per component and disaggregate by source of financing.

Component	Indicative cost (USD)	GCF financing		Co-financing		
		Amount (USD)	Financial Instrument	Amount (USD)	Financial Instrument	Name of Institutions
Inception Phase	50,000	50,000	Grant			
Piloting a carbon credit financing model, including piloting the replacement of 20 diesel-based systems to solar-powered	6,000,000	4,000,000	Grant	2,000,000	Grant	UNICEF
Capacity Building Support & Technical Assistance	2,000,000	2,000,000	Grant			
Piloting the design/re-design and adaptation of 3 multivillage water supply infrastructures in arid areas to make them climate resilient	3,000,000			3,000,000	Grant	KfW/Government of Germany (through UNICEF). Drilling not to be funded by GCF
Development of Tools and Guidelines for development of climate resilient infrastructures (including groundwater investigations)	1,450,000	1,450,000	Grant			
ESIA, trainings and feasibility studies for deep groundwater exploitation in the lowland areas	1,500,000	1,250,000	Grant	250,000	Grant	KfW/Government of Germany (through UNICEF)
Project Support costs, staff, overheads etc.	2,000,000	1,250,000	Grant	750,000	Grant	UNICEF internal resources
OWNP-CWA (ONEWASH National Programme- Consolidated WASH Account)	543,000,000			543,000,000	Pool fund (grant and loans)	OWNP-CWA phase II. Implemented by GoE. Donors: GoE, World Bank, AfDB, DFID, UNICEF and Finland
Indicative total cost (USD)	564,000,000	10,000,000	Grant	554,000,000		

C.2. Justification of GCF involvement (max 1/2 page)

This project is supporting Ethiopia, a country of approximately 100 million people to shift to a low-emission and climate resilient development pathway in the strategically significant water sector. The project is fully aligned with the Ethiopian Government's vision for the environment and the water supply sectors, and will increase the effectiveness of the largest sector wide approach for WASH (SWAp) programme globally: The One WASH National Programme (OWNP) which in its second phase has a very strong focus on climate resilience (representing one third of the entire USD 6.5 billion budget). This proposal will provide technical assistance to the main instrument for the implementation of the OWNP: the OWNP-CWA (Consolidated WASH Account). The OWNP-CWA has been a successful government-led programme and the second phase (starting in July 2019) has secured already USD 543 million from different donors (including UNICEF). The success of the climate resilience agenda in the WASH sector in Ethiopia relies mostly on the success of the CWA, which can demonstrate how the CR pilot initiatives can be brought to scale.

The activities under this project are challenging to fund from other funding sources, yet essential for the success in the mainstreaming and introduction of climate resilience under the OWNP and the OWNP-CWA. Technical assistance, as a stand-alone component, is less interesting to most donors who prefer to see tangible construction and physical activities for their own accountability purposes. The Ministry of Water, Irrigation and Electricity (MoWIE) fully endorse this project, which would contribute to achieve the ambitious climate resilient agenda included in the OWNP and the OWNP-CWA. Moreover, because the project contributes to fill gaps in areas where the government has a less comparative advantage (i.e. the governmental procurement recruitment processes prohibit hiring suitably skilled international professionals, and make it very challenging to attract national professionals due to low salary caps). The

implementation of the OOWNP at national level requires the deployment of technical advisors at regional levels, and the production of high quality tools, guidelines and feasibility studies.

This size of funding envelope is the minimum required to provide requisite technical support at a national and regional level. The wider OOWNP programme under the SWAp will generate significant returns on investment through increased economic activity, reduced spending on emergencies and health benefits for the population. It is not possible to successfully mainstream the concept of climate resilient and the investments planned for the challenging drought prone areas of Ethiopia without a solid technical assistance package that sets up the foundations for those investments through evidence, orientation and enhanced capacities. This technical assistance should be seen as reducing the risk of project failure to effectively mainstream climate change adaptation and/or unintended consequences from the Climate Resilient component of the OOWNP-CWA.

C.3. Sustainability and replicability of the project (exit strategy) (max. 1/2 page)

The OOWNP Phase II, to which this project will contribute, is monitored through agreed procedures by all sector stakeholders and the Government of Ethiopia. After the first phase of the OOWNP implementation, the sector has made remarkable progress in coordination, harmonisation and alignment of both bilateral and multilateral programmes under the OOWNP.

UNICEF has recently introduced sustainability checks of WASH infrastructure, which are now conducted every six months (rainy and dry seasons). OOWNP monitoring includes regular surveys, a national WASH inventory as well as Joint Technical Review (JTR) missions where WASH sector stakeholders are involved in a process to harmonise, rationalise and align approaches. Moreover, the second phase of the OOWNP (2018-2020) will consolidate and finalise the establishment of a WASH-MIS (Monitoring Information System). The OOWNP Phase II is led and fully embedded within the government, relies on government systems, and comes under the architecture of a signed agreement between key government ministries. As such, it fully respects the principles of country ownership, and the overall structure is well respected both by national government and by donor partners. The OOWNP-CWA has a functional MIS in place, and similar monitoring instruments as the (umbrella) OOWNP (i.e. JTRs by development partners, etc.).

The sustainability of the technical assistance crucially requires genuine capacity building for the government institutions, in particular at regional levels. The increased investment in the WASH sector through this funding, will include a provision for increased resources to pay for staff and necessary equipment in regional water bureaus to manage and oversee these investments, as well as an exit strategy once the programme support comes to an end. The project will produce a number of products which be usable beyond the life-time of the technical assistance and beyond the government's OOWNP-CWA. It will develop a sustainable model of financing for solar conversion which can be scaled across Ethiopia under the overall OOWNP. It will also develop ESIA guidance and train professionals within the relevant Ethiopian agencies who will be responsible for addressing the significant backlog of ESIA-type assessments which currently exists and support the new phase of the OOWNP-CWA. The professionalisation in the management of the water infrastructures is one of the key elements that shall ensure sustainability of the investments being made under the OOWNP-CWA.

The project envisages to institutionalise and create capacity in the government system for the use of clean energy for water pumping. The established system and the capacity developed will enable to continue using this approach for water supply development in the country beyond the project period.

C.4 Stakeholders engagement in the project or programme (max ½ page)

The OOWNP has been developed under the largest Sector-Wide Approach in the WASH sector globally, which brings together all stakeholders in collaboration under one plan, one budget and one report. There has therefore been extensive consultation on the proposed efforts on deep groundwater exploitation, development of climate resilient WASH approaches, a swift in the technology mix and the needed capacities required to effectively mainstream climate change adaptation into the water sector in Ethiopia.

UNICEF has discussed this particular project for technical assistance closely with the MoWIE and other key stakeholders including CWA donors and the NDA (Environment, Forrest and Climate Change Commission). MoWIE have previously requested UNICEF's technical assistance to support mainstreaming climate resilience in the OOWNP and the OOWNP-CWA, and to support the implementation of that key component, which UNICEF have regrettably been unable to fully provide because of limited resources. Both UNICEF and MoWIE, as well as the regional water bureaus, are well aware of the challenges of implementation which will be faced under the OOWNP, which is focused in the regions of Ethiopia where implementation capacity is low.

C.5 Monitoring and Evaluation and reporting plans (max ¼ page)

UNICEF will develop a monitoring and evaluation (M&E) framework during the proposal formulation and the inception phase. The M&E framework will not only include development of outcomes and outputs against each of the results and corresponding indicators to track progress against measurable indicators in the implementation of the activities included

in this project, but also on the impact of the project in the implementation of the OWNP-CWA by the government of Ethiopia and its implementing partners.

In the inception phase of the project, a scoping exercise for the precise capacity building support required at national and regional levels will be developed as a baseline. In agreement with the government, the project will set measurable indicators for the capacity building outputs and outcomes which will be reviewed on a six-monthly basis. An end line evaluation of the project's capacity building will be conducted and disseminated to guide future efforts.

A study on the anticipated benefits of converting the pumping system to solar will also be conducted to analyse the benefits/gains from the project for both the environment and the users, and be a benchmark for similar project interventions.

D. Annexes

- ESS screening check list (Annex 1)
- Map indicating the location of the project/programme (as applicable)
- Evaluation Report of previous project (as applicable)

Annex 1: Environmental and Social Screening Checklist

Part A: Risk Factors

The questions describe the “risk factors” of activities that would require additional assessments and information. Any “Yes” response to the questions will render the proposal not eligible for the Simplified Approval Process Pilot Scheme. Proposals with any of the risk factors may be considered under the regular project approvals process instead.

Exclusion criteria	YES	NO
Will the activities involve associated facilities and require further due diligence of such associated facilities?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will the activities involve trans-boundary impacts including those that would require further due diligence and notification to downstream riparian states?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will the activities adversely affect working conditions and health and safety of workers or potentially employ vulnerable categories of workers including women, child labour?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will the activities potentially generate hazardous waste and pollutants including pesticides and contaminate lands that would require further studies on management, minimization and control and compliance to the country and applicable international environmental quality standards?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will the activities involve the construction, maintenance, and rehabilitation of critical infrastructure (like dams, water impoundments, coastal and river bank infrastructure) that would require further technical assessment and safety studies?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will the proposed activities potentially involve resettlement and dispossession, land acquisition, and economic displacement of persons and communities?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will the activities be located in protected areas and areas of ecological significance including critical habitats, key biodiversity areas and internationally recognized conservation sites?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will the activities affect indigenous peoples that would require further due diligence, free, prior and informed consent (FPIC) and documentation of development plans?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will the activities be located in areas that are considered to have archaeological (prehistoric), paleontological, historical, cultural, artistic, and religious values or contains features considered as critical cultural heritage?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Part B: Specific environmental and social risks and impacts

Assessment and Management of Environmental and Social Risks and Impacts	YES	NO	TBD
Has the AE provided the E&S risk category of the project in the concept note?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has the AE provided the rationale for the categorization of the project in the relevant sections of the concept note or funding proposal?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are there any additional requirements for the country?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Are the identification of risks and impacts based on recent or up-to-date information?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Labour and Working Conditions	YES	NO	TBD
Are the proposed activities expected to have impacts on the working conditions, particularly the terms of employment, worker’s organization, non-discrimination, equal opportunity, child labour, and forced labour of direct, contracted and third-party workers?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

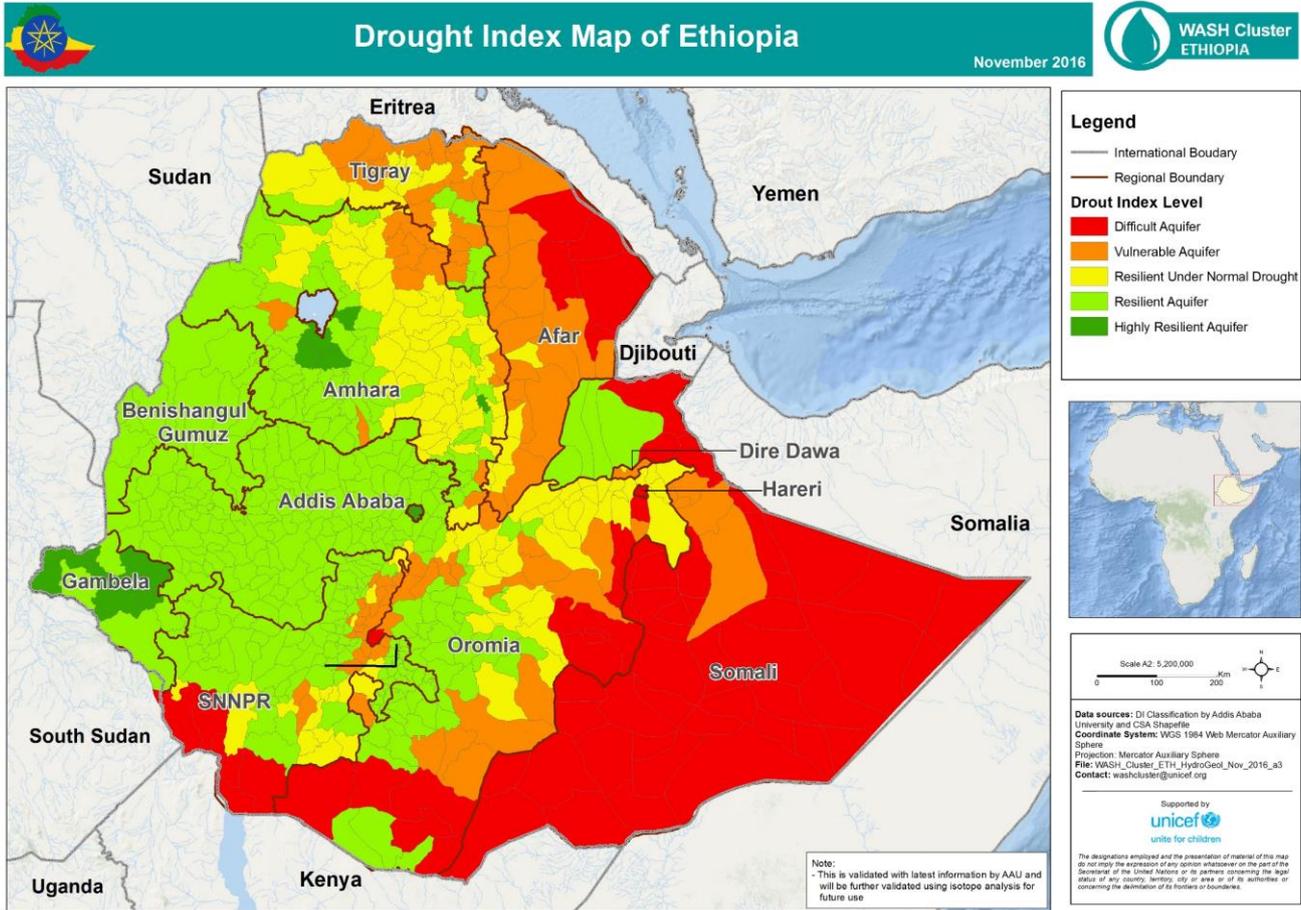
Will the proposed activities pose occupational health and safety risks to workers including supply chain workers?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Resource Efficiency and Pollution Prevention	YES	NO	TBD
Are the activities expected to generate (1) emissions to air; (2) discharges to water; (3) activity-related greenhouse gas (GHG) emission; and (5) waste?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Are the activities expected to utilize natural resources including water and energy?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Will there be a need to develop detailed measures to reduce pollution and promote sustainable use of resources?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Community Health, Safety, and Security	YES	NO	TBD
Will the activities potentially generate risks and impacts to the health and safety of the affected communities?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Will there be a need for an emergency preparedness and response plan that also outlines how the affected communities will be assisted in times of emergency?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Will there be risks posed by the security arrangements and potential conflicts at the project site to the workers and affected community?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Land Acquisition and Involuntary Resettlement	YES	NO	TBD
Will the activities likely involve voluntary transactions under willing buyer-willing-seller conditions and have these been properly communicated and consulted?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Biodiversity Conservation and Sustainable Management of Living Natural Resources	YES	NO	TBD
Are the activities likely introduce invasive alien species of flora and fauna affecting the biodiversity of the area?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Will the activities have potential impacts on or be dependent on ecosystem services including production of living natural resources?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Indigenous Peoples	YES	NO	TBD
Are the activities likely to have indirect impacts on indigenous peoples?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Will continuing stakeholder engagement processes and a grievance redress mechanism be integrated into the management / implementation plans?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Cultural Heritage	YES	NO	TBD
Will the activity allow continuous access to the cultural heritage sites and properties?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Will there be a need to prepare a procedure in case of the discovery of cultural heritage assets?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Sign-off: *Specify the name of the person responsible for the environmental and social screening and any other approvals as may be required in the accredited entity's own management system.*

Responsible of ESIA screening: Jorge Alvarez-Sala, WASH Specialist, UNICEF Ethiopia

To be approved by: Gillian Mellsop, Country Representative, UNICEF Ethiopia

Annex 2. Map of Ethiopia with the identified drought-prone areas which are considered as priority areas for climate change adaptation.



Annex 3. Summary of the ONEWASH National Programme (OWNP) phase II; and the OWNP-CWA (Consolidated WASH Account) phase II (preliminary budget)



Programme	Rural WASH	Urban WASH	Institutional WASH	Climate Resilient WASH	Enabling environment, program management and capacity building
ONE WASH National Program (OWNP) Sector wide approach (SWAp) led by GoE All sector stakeholders involved Aligned with GTP-2 US\$ 6,558.9 million 2018-2020*	US\$ 1,367 million Sub-components: rural water and rural sanitation	US\$ 1,868 million Sub-components: urban water supply, and urban sanitation and hygiene	US\$ 533.8 million Sub-components: WASH in schools, and WASH in health care facilities	US\$ 2,489 million Sub-components: water resources mapping planning and monitoring; CR solutions (including WASH-DPA); and emergency preparedness early response and recovery	US\$ 301.9 million Sub-components: enabling environment, programme management and capacity building
ONE WASH National Program (OWNP) Consolidated WASH Account (CWA) Led by GoE Donors: GoE, World Bank, AfDB, DFIF, UNICEF, Finland and Korea Implementers: MoWIE, MoH, MoE, MoFEC US\$ 598 million 2019-2024	US\$ 185 million Sub-components: rural water and rural sanitation	US\$ 92 million Sub-components: urban water supply, and urban sanitation and hygiene	US\$ 79 million Sub-components: WASH in schools, and WASH in health care facilities	US\$ 198 million Sub-components: water resources mapping planning and monitoring; CR solutions; and emergency preparedness early response and recovery	US\$ 44 million Sub-components: enabling environment, programme management and capacity building

Annex 4. No objection letter from NDA

Annex 5. OWNP phase I review

Annex 6. OWNP phase II

**Annex 7. UNICEF Social and Environmental Screening Note (SESN):
Non-Thematic Donor Proposals. Pre-Screening for GCF-funded proposal**