

Civil Society Water, Sanitation & Hygiene Fund

Independent Progress Report

February 2011

Document:	Independent Progress Report
Version:	1.7 Final
Initiative:	CS WASH Fund
Donor:	AusAID
Implementers:	Adventist Development & Relief Agency (ADRA) Australian Red Cross (ARC) Care Australia East Meets West Foundation Live and Learn Oxfam Plan International Australia SNV Netherlands Development Organisation (SNV) WaterAid World Vision Australia (WVA) Water & Sanitation for the Urban Poor (WSUP)
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Date:	18 February 2011

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AID ACTIVITY SUMMARY

Aid Activity Name	Civil Society Water, Sanitation & Hygiene Fund		
AidWorks initiative number	INI592, INJ084, INJ076		
Commencement date	June 2010	Completion date	June 2011
Total Australian \$	\$32.5 million		
Total other \$	\$3.6 million		
Delivery organisation(s)	Adventist Development & Relief Agency (ADRA), Australian Red Cross (ARC), Care Australia, East Meets West Foundation, Live and Learn, Oxfam, Plan International Australia, SNV Netherlands Development Organisation (SNV), WaterAid, World Vision Australia (WVA), Water & Sanitation for the Urban Poor (WSUP)		
Country/Region	Sub-Saharan Africa, South Asia, South-East Asia and Pacific		
Primary Sector	Water, Sanitation & Hygiene (WASH)		

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ACKNOWLEDGEMENTS

The Monitoring Review Panel would like to firstly thank Anne Joselin (AusAID) for her support and inputs to this review process. Secondly, we appreciate the time and effort put in by civil society organisation field and management staff to provide timely information through the reporting processes. We also extend our thanks to the civil society program managers who participated in telephone interviews or a workshop, for their constructive approach. Contribution from the Office of Development Effectiveness is appreciated. Finally, we gratefully acknowledge the AusAID staff from both the Infrastructure, Water and Sanitation Section and other areas, who gave time and comments to help place this review in the wider institutional setting.

EXECUTIVE SUMMARY

This document is an independent progress review of the Civil Society Water, Sanitation and Hygiene Fund (the 'Fund'). This initiative was developed by the Infrastructure, Water and Sanitation Section thematic group as part of the broader Water and Sanitation Initiative 2008-2011. The Fund was designed in 2009 and following a competitive process, eleven civil society organisations (CSOs) started implementation in June 2010. The initiative is due to finish in June 2011. The eleven CSOs are working in twenty-one countries across Africa, South Asia, South-East Asia and the Pacific.

The review was undertaken by the three independent monitoring and evaluation specialists that comprise the Fund's Monitoring Review Panel (MRP).

The purpose of the review, given its timing within a short program, was to:

- Review the Fund structure, management and partnership between AusAID and CSOs, with a view to informing future potential funding arrangements
- Provide insight into how the Fund expects to contribute to AusAID WASH objectives and a structured analysis of WASH approaches used in the Fund

Overall the design of the Fund was viewed as of high-quality and based in appropriate analysis, with the main negative point for both AusAID and CSOs being its short time-frame. Issues were raised regarding the need to improve communication and transparency by both AusAID and CSOs. For a future fund, the MRP recommends that the proposal and selection processes be modified. The modified processes would entail a competitive round based on a capacity statement and concept note, followed by certain requirements to the first phase of implementation. Overall the management arrangements and performance arrangements for the Fund were found to be working well but attention needs to be given to the appointment of a Fund manager in the near future. It was clear that any future funding for CSOs would best be dealt with in a centralised manner, with discretionary input from country and regional programs on priorities.

The Fund expects to provide 330,000 people with access to safe water and an additional 560,000 people with access to basic sanitation facilities. Of these, most are in remote and rural areas, excepting 50,000 people in urban slums. Many CSOs are also supporting work in schools with 474 additional schools expected to receive access to water, sanitation or hand-washing facilities. In terms of implementation progress, only 75% of planned expenditure has taken place, prompting AusAID to consider a no-cost extension to ensure that predicted outcomes are met. Analysis of the breadth of strategies used by CSOs in their work revealed the main areas where there is diversity of approach across the Fund, and made clear that all CSOs are focused on creating change for particular groups or communities and less than half the CSOs are focused on tackling the enabling environment for service provision for the poor. Analysis of the predicted outcomes of the Fund revealed a need for CSOs to better clarify the changes they hope to result from their work. Despite this it was clear that besides significant increases in access, there were expectations of significant progress across the many 'soft' side outcomes in WASH, including hygiene promotion, governance, capacity building of local actors, gender equality and increasing the evidence base.

CONSOLIDATED RECOMMENDATIONS

1. In the event of a future Fund, AusAID should ensure a longer timeframe, ideally 5 years (and otherwise 3-5 years)..... p3
 2. In the event of a future Fund, AusAID should consider allowing CSOs to construct meaningful programs that link together countries of their choice based on demonstrated capacity and need. p4
 3. To support a sense of partnership, AusAID should proactively communicate with CSOs, including the rationale for decisions and changes. p5
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 7. In the event of a future Fund, AusAID should stipulate the need for a dedicated and technically qualified WASH program manager within participating CSOs to provide program advice, direction and quality for individual activities. p7
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LIST OF ACRONYMS

AusAID	Australian Agency for International Development
CBO	Community-based organisation
CLTS	Community led total sanitation
CSO	Civil society organisation
ICR	Independent completion review
IEC	Information, education, communication
IPR	Independent progress report
IDRC	International Development Research Centre
JMP	Joint Monitoring Program
M&E	Monitoring and evaluation
MRP	Monitoring Review Panel
NGO	Non-government organisation
ODE	Office of Development Effectiveness
PAF	Performance assessment framework
PHAST	Participatory Hygiene and Sanitation Transformation
WASH	Water, sanitation and hygiene
WSI	Water and Sanitation Initiative

1. INTRODUCTION

1.1 Background

This document is an independent progress report (IPR) for the Civil Society Water, Sanitation and Hygiene Fund (hereafter referred to as the 'Fund')—an initiative of the Australian Agency for International Development (AusAID). The Fund was developed as part of the broader Water and Sanitation Initiative (WSI), 2008-2011, to engage with civil society partners in water, sanitation and hygiene (WASH).

1.2 Overview of the Fund

The Fund has an overall goal to improve the health and quality of life of the poor and vulnerable by improving their access to safe water, improved sanitation and hygiene. The Fund is a thirteen month program supporting eleven civil society organisations (CSOs) in twenty-one countries in Africa, South Asia, South East Asia and the Pacific.

1.3 Evaluation purpose

This review conforms to the usual AusAID practice of commissioning independent evaluations of initiatives at mid-term. However this review is distinguished from a normal IPR due to the short time-frame of the program. It was not intended to evaluate the progress and outputs of the Fund since activities have only recently begun. The purpose of this IPR is two-fold:

- To inform successful partnership between AusAID and CSOs with respect to potential future civil society funding in WASH
- To provide a structured analysis of diversity across the Fund and insight into how the Fund is predicted to contribute to AusAID WASH objectives

An independent completion report (ICR) will be conducted after project completion later in 2011. The ICR will have a complementary focus on the substantial content of CSO work, its outcomes and achievements and will be informed by questions raised in this IPR.

2. METHODOLOGY

The review was conducted by the three independent monitoring and evaluation (M&E) specialists that comprise the Fund's Monitoring Review Panel (MRP). Data collection and analysis was carried out during November and December 2010. As a function of their support role, MRP members have been engaging directly with partner CSOs over the last seven months. The MRP Team Leader had prior involvement with the design of the Fund and led the background research commissioned by AusAID. This has the advantage that the MRP was highly familiar with the Fund however reduces the level of independence.

2.1 Approach

In recognising the short lifetime of the Fund and the nascent nature of program outcomes, the MRP adopted a pragmatic strengths-based approach that drew on existing knowledge and previous research and reviews concerning donor-CSO partnerships and engagement in the WASH sector. The focus of the review was on providing a knowledge base against which to assess substantive outcomes at the Fund's completion, and capturing lessons of relevance to any comparable program in the future. The methods employed were broadly aimed at triangulating stakeholder perspectives.

2.2 Methods

The MRP adopted a mixed-methods approach that included:

- Document reviews
- Quantitative analysis
- Key informant interviews
- Participatory workshop

The document reviews involved a range of relevant background documents¹ and partner agency progress reports submitted to AusAID in November 2010². Key informant interviews were carried out by telephone with three non-Australian partner agencies, and with purposively sampled AusAID stakeholders (see Appendix A for names of interviewees). The participatory workshop brought together informed stakeholders from each of the Australia-based partner agencies. Both key informant interviews and the workshop followed questions that reviewed the history and process of Fund design and management, and referred back to principles of partnership which were developed as part of the background research to the Fund³.

These methods were used to examine two broad hypotheses:

- **Hypothesis 1:** The Fund has been an effective way to facilitate donor-CSO engagement.
- **Hypothesis 2:** The Fund has been an effective way to support civil society contribution to positive WASH outcomes and contribute to AusAID's WASH priorities.

Analysis of qualitative data involved an assimilation of agency reports and interview notes to identify commonalities and exceptions in the range of stakeholder perspectives. The quantitative analysis involved aggregation and descriptive statistics of activity deliverables and activity characteristics.

2.3 Limitations

The review team encountered the usual challenges of deciphering complex and ambiguous causal linkages, limitations within strict time and resource constraints, balancing multiple perspectives and also appreciating their own position and perspectives. Beyond these well-recognised evaluation challenges was the inherent difficulty of synthesising Fund-wide performance from disparate activities in geographically diverse locations by different CSOs, particularly using only written reporting.

As mentioned above, in addition to the above methodological challenges, the MRP are highly familiar with the Fund and the participating CSOs, which brings many benefits but could potentially compromise their independence. The MRP have addressed this limitation by taking a rigorous approach to analysis, ensuring multiple perspectives are presented, and providing clear evidence and direct quotes to support statements made in the report.

¹ E.g. Background research, design documentation, Office for Development Effectiveness Evaluation of Engagement with Civil Society, Africa Australia Community Engagement Scheme design documentation

² Progress Reports were structured to give consistency of information across the Fund and obliged partners to supply a range of qualitative and quantitative information.

³ The research proposed 12 principles to support constructive engagement between AusAID and Non-governmental organisations (NGO) in WASH intended to ensure mutual sense of partnership, build on NGO strengths and support areas of weakness in their practice. See <http://www.isf.uts.edu.au/publications/willettetal2008ngopartner.pdf> for more details.

3. FINDINGS ON FUND STRUCTURE AND MANAGEMENT

This section of the report examines evidence to support Hypothesis 1, that the Fund has been an effective way to facilitate donor-CSO engagement. Consideration was given to what was useful about the way the Fund was structured and managed, and how best to structure and manage a future Fund, should the opportunity arise.

3.1 Reflections on the overall Fund design

Most stakeholders indicated that the Fund design has been largely positive, aside from the short time-frame which has been problematic for both AusAID and the CSOs but was unavoidable due to the funding window for the Water and Sanitation Initiative (WSI). A recent review of engagements in the Mekong made clear that a five-year time-frame is appropriate for CSO partnerships and that even *“three years is too short to demonstrate change, and NGOs are very relationship based and it takes time to build trust and relationships”*.

Recommendation

1. In the event of a future Fund, AusAID should ensure a longer timeframe, ideally 5 years (and otherwise 3-5 years).

According to one of the partner agencies, the *“design was solid, with a commitment to quality...no quick fixes, based on research, and is not just about increasing coverage, but also valued creating space for sustainability and quality”*. Other comments from CSOs affirmed that the Fund highlighted the relative strengths of CSOs as aid delivery organisations.

AusAID senior managers within the Infrastructure, Water and Sanitation Section (hereafter ‘the thematic group’) viewed the design as high-quality with a strong analytical base. The Fund design was rated highly at its Quality-at-Entry peer-review within AusAID. However, the thematic group noted that it drew significant time and resources, particularly in developing the management arrangements, because there were no pre-existing models that could be adopted. AusAID staff were keen to avoid an extremely high overhead associated with tendering management to a private sector contractor, and hence looked for models that divided the management functions into smaller tasks that could be contracted separately or completed in-house. There was a perception in other parts of AusAID that the design phase was long due to extensive consultation. However, the thematic group reported that it was the development of management arrangements that consumed the bulk of the time. In addition, contracting of in-house support staff consumed significant time. For the thematic group, the human resources invested in supporting the Fund design and roll-out has negatively affected other responsibilities.

The thematic group expressed the view that the design of the Fund allowed flexibility for CSOs to define their WASH approach, and that this was appropriate for this first round. However, this resulted in the *“highly variable”* quality of proposals submitted. For a future Fund, the thematic group stated it may be beneficial to narrow the focus; to better ensure activities represent best practice; to state the purpose of the Fund more clearly; and explicitly make links to bilateral and multilateral programs. One member of the thematic group said: *“[Our] ultimate goal*

is to have a sector-wide approach in a country—each agency with respective roles contributing to the overall program”. This idea is taken up later in this section, where a modified selection process is proposed. In general, for a future fund, the thematic group is keen to improve on the existing model rather than redesign it.

3.2 Appropriateness of regional allocations within the Fund

There is an argument for AusAID to define the geographic focus of the Fund based on strategic priorities and existing engagements with country programs. Alternatively CSOs could define their own geographic focus based on their analysis, linkages and capacity. For the current Fund, AusAID prescribed regional funding ‘bands’. However, the regional budget allocations were not announced until late in the process. Allocating funds on a regional basis had the following effects:

- Some CSOs invested effort in initiating design processes prior to the announcement of the allocations, which proved problematic where this work did not align with the priority regions later defined by AusAID.
- In one region, two agencies with a single activity each were selected, which raises an efficiency issue, and denies the benefit derived from linked country level activities within a broader, well-supported CSO program based on WASH know-how.
- Program quality was compromised when strong proposals in one region were excluded, while some less sophisticated proposals in a less competitive region were approved.
- Agencies had not necessarily undertaken design processes in regions which later emerged as a priority. One CSO representative stated “*the big shift to Africa blind-sided everyone*”. Again, this potentially undermined quality due to rapidly developed proposals to match the announced regional priorities.

If there is a future centrally-managed Fund, then there is likely value in CSOs defining the countries of their choice based on needs analysis⁴ matched with their in-country capacity, and constructing a coherent, linked program across countries. However, the link between foreign policy and the aid program would need to be taken into account. Also, this may not be possible if a future Fund is resourced through pre-defined country or regional allocations by AusAID Desks/Posts.

Recommendation

2. In the event of a future Fund, AusAID should consider allowing CSOs to construct meaningful programs that link together countries of their choice based on demonstrated capacity and need.

3.3 Importance of communication and transparency in a partnership

In general, a positive spirit of partnership between AusAID and CSOs was developed through consultations and communication during the concept, design and implementation phases. However, three issues have at times eroded the partnership.

⁴ Both to ensure due consideration of relative ‘need’ and to enable appropriate tailoring of their approach within individual countries to local context

Findings on Fund Structure and Management

Firstly, from a CSO perspective, AusAID has sometimes made seemingly arbitrary decisions, been slow to share information or not communicated a clear rationale for decisions. For example, a research project commissioned by AusAID to explore CSO capacity to do WASH work was still underway when the decision on funding allocation for civil society within the wider WSI was taken (i.e. prior to publication of the research findings). The CSOs perceived the funding decision to lack an evidence base. One CSO representative stated *“at the same time the research was being undertaken, AusAID had decided to allocate 10% anyway; we went away feeling the consultative process was squandered”*. The thematic group explained that this decision was based on average relative allocations to CSOs in other sector programs. Also, as mentioned earlier, from a CSO perspective, ambiguity about regional funding allocations eroded the sense of partnership as did a perceived lack of communication from AusAID about what time-line could be expected for the call for proposals. CSOs also mentioned that AusAID posted responses to frequently asked questions about the call for proposals only a week before the deadline and some CSOs felt they were given different messages and instructions prior to that time.

Secondly, from a CSO perspective, the delays and lack of communication leading up to the call for proposals meant that relationships with field partners were impacted. Many CSOs had pursued early-engagement with field partners in an effort to refine design quality in readiness for mobilisation. Since the end of Fund deadline was set, each passing month meant the implementation time for the Fund was shrinking. Consequently, some CSOs had to regularly revise targets and approaches in their draft designs.

Thirdly, the concept of partnership was impacted by CSOs’ assessment of their capacity. The thematic group questioned *“are they honest with themselves?”* having noted that five months after start-up the CSO programs are on the whole underspent relative to their own plans (see Section 4.2). The thematic group expected that CSOs appreciated the amount of time that start-up or scale-up would require. According to the thematic group, *“AusAID’s assumption was that CSOs had a good understanding of what was needed because they were building on existing programs...This may not have been a correct assumption.”* To some extent, the AusAID view was affirmed by the CSOs, with one representative stating *“we overestimated our capacity, but you do that in proposals”* though this view is not held by all CSOs.

Recommendation

3. To support a sense of partnership, AusAID should proactively communicate with CSOs, including the rationale for decisions and changes.
4. CSOs should consider their notion of their capacity, how it is presented to AusAID and their tendency to over-estimate it.

3.4 Reflections on the proposal and selection processes

According to some agencies, the proposal guidelines were clear. One CSO representative said *“I have written a lot of proposals and I have to take my hat off to AusAID. The guidelines and structure were clear and made it easy to respond”*. A five page concept document had advantages and disadvantages. It encouraged agencies to be clear and succinct: *“it was difficult to fit into five pages, but in some ways this*

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is good and pushes you to clarity". An alternative view was that *"the number of things they asked for was in contradiction with the five page limit"*. Issuing the call for proposal immediately before Christmas created challenges for field offices that were closed with key people on holidays.

All stakeholders agreed that some form of competitive selection process was appropriate, at least as an initial step. However, a competitive process is in conflict with the ideals of partnership and collaboration. Further, there is a fundamental difference between proposal documentation required by a competitive process (which essentially 'sells' the strengths of CSOs), and design documentation that is necessary for clarity and quality in implementation (which is more technical and detailed in nature).

For a future fund, the MRP recommends that the proposal and selection processes be modified as outlined in Appendix B. This recommendation is based on the MRP's insight to weaknesses in M&E and planning, AusAID's desire to relate civil society work to other program components, along with an assimilation of lessons learned from other AusAID-NGO partnerships (e.g. the Australia Africa Community Engagement Scheme (AACES)). This proposed process is still a one-step selection process. However, following selection, the first milestone is characterised by delivery of a series of specified documents or 'planning products', which would be developed and refined with support from an MRP in collaboration with AusAID and local partners during the initial months of Fund implementation.

Recommendation

5. In the event of a future Fund, AusAID should consider adopting the modified proposal, selection and mobilisation process outlined in Appendix B.

3.5 Review of management arrangements

As mentioned earlier, developing the management arrangements was a time consuming process for the thematic group. The arrangements proposed in the design included:

- AusAID thematic group responsible for the selection process and contracts with in-house support
- A Fund manager with administrative, coordination and communication responsibilities
- A three-member MPR responsible for performance and quality

AusAID's use of in-house personnel for selection and contracting significantly reduced overheads and appeared to work well, though was time-consuming to put into place. According to CSOs, *"the contract process was done quickly. We were happy with it"*. One CSO commented that the AusAID program manager and support staff were excellent and were *"flexible, clear and open to talking through issues"*. For the thematic group, contracting of the MRP was straightforward since it utilised existing period offer contracts, hence the MRP was quickly established and mobilised. By contrast, the fund manager role was more difficult to contract. The AusAID Program Manager was willing to lead the administrative and communication functions and was informed internally that CSO contract issues must be dealt with by the thematic group. However the level of communications and the Fund's administrative tasks amongst other responsibilities are time-consuming and there

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are signs that the envisaged Fund Manager role is needed. AusAID’s country and regional program staff indicated that they have not been sufficiently informed about the Fund (though some have conceded this may have been their own fault), and some CSO staff expressed discomfort about contacting AusAID concerning administrative and financial details, recognising the internal resource constraints. Communication between partners could also have been managed more effectively—for example proactively linking agencies working in the same country or employing similar approaches.

Recommendation

6. AusAID should instate the proposed Fund Manager.

For a future fund, the Australian CSOs recommended a MRP-like mechanism with a broader scope and longer-term engagement, starting with appraisal of concept notes—the aim being to increase quality, continuity and increase the degree of commonality in M&E arrangements. This idea could work well within the modified selection and mobilisation process proposed in Appendix B.

Within the CSOs, management arrangements varied considerably. Some agencies appointed a centralised program manager with WASH experience to provide guidance and support to field offices and to ensure performance and quality. This arrangement appeared to work well and add value. In other cases there is evidence of lack of responsiveness, lower quality reporting and less facilitation of internal learning within the CSO’s program.

Recommendation

7. In the event of a future Fund, AusAID should stipulate the need for a dedicated and technically qualified WASH program manager within participating CSOs to provide program advice, direction and quality for individual activities.

3.6 Review of performance arrangements

The performance arrangements comprise a three-member MRP who play support, appraisal and evaluative roles; a common performance assessment framework (PAF); and Fund-wide templates for two progress reports and a completion report.

The MRP was generally appreciated by participating CSOs, who commented (either in the IPR process or through progress reports) on timely and helpful feedback about M&E and the usefulness of having access to people with an overview of the whole Fund. One CSO commented: *“of all the donors we work with, this support mechanism is better than any”*. AusAID also affirmed how the mechanism has worked: *“Performance management has been a strength—both the mechanism and the people selected”*.

Australian CSOs expressed that the development of the PAF would have been enhanced through greater consultation. To some extent this was accommodated by CSOs having input into the ‘Program Framework’⁵ which was the foundation of the

⁵ The Program Framework established the Core Outcomes and Enabling Outcomes which are the foundation of the PAF

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PAF. Nevertheless, AusAID agreed to enhance consultation on the development of a PAF if there is a future fund and implementation time is less compressed.

The predominant view about the PAF and reporting templates was positive⁶. Nine of eleven CSOs gave positive feedback; one CSO did not provide any feedback; and one CSO was critical about a seeming overreliance on 'quantitative' data and a view that the PAF was overly *"outputs focused"*. While the underlying sentiments of this assertion are respected, only 13 of the 38 suggested measures in the PAF can be described as 'quantitative'—the balance are open-ended questions requiring qualitative methods. It may be that the reaction stemmed from the structured, tabular format of the Fund-wide reporting templates. This same agency suggested, *"The Program seems to work to meet reporting parameters rather than working to meet need"*. However this view was contrasted by another agency representative: *"The PAF is really great because it helps NGOs to communicate the wider impact of their work. Our [NGOs] inability to communicate the wider impact of our work to AusAID has really undermined our work... the format is great, the templates are great, the PAF is great."* Finally, one agency expressed support for the PAF but criticised the requirement for two reports within 13 months. In this regard, all stakeholders recognised the difficulties but acknowledged the administrative requirements of AusAID and the need to demonstrate progress for funds to be disbursed.

The review of the first progress reports suggested that the definition of activity-specific outcomes is an area for further development among CSO partners (see Section 4.4 for a full discussion on the expected outcomes of the Fund). One factor in the poor standard of outcome definition may have been the short-time frame of the Fund, which meant that field staff were starting-up implementation in parallel with the development of detailed M&E plans. However, it may also indicate weakness in the area of M&E⁷. The revised selection and mobilisation process suggested in Appendix B is designed to overcome this issue.

3.7 Implications of the purpose of AusAID-CSO partnership in WASH

The recent Office of Development Effectiveness evaluation of AusAID's engagement with civil society recommends the need to work with civil society as an intrinsic part of development. From the perspective of the thematic group, AusAID's primary purpose in engaging with CSOs is for the value added by their community relationships and ability to address the needs of the vulnerable. The thematic group expressed a preference for engaging with CSOs that focus on policy and partnerships. There is also a recognition that *"we have to include NGOs...[it is] taken as given that we must include NGOs"* and that CSOs work is complementary to other aid modalities employed in AusAID's WASH work.

AusAID country and regional program staff expressed broad perspectives on the importance of engaging with CSOs in WASH, from *"it's a policy directive"* to seeing CSOs as *"a critical element to the sustainability of infrastructure development"*. Traditional roles for CSOs are to provide support in WASH 'service delivery'. Beyond this, some country and regional program representatives suggested that advocacy,

⁶ CSOs have provided specific feedback about some parts of the performance assessment system, which have been accepted and will result in amendments to the performance arrangements. The most important of these was issues with the definitions for access to water and sanitation. The CSOs must use the Joint Monitoring Program (JMP) definition (for AusAID's reporting needs against the Millennium Development Goals) and a broader definition of access (including improvements that CSOs are making to access) that do not meet the JMP definition.

⁷ The MRP note that the Fund guidelines specified a line item for 'performance monitoring information' in the budget proposal, but did not stipulate a minimum investment. AACES by contrast stipulates a minimum of 10% allocation.

Findings on Fund Structure and Management

community voice, public accountability and participation in policy dialogue are important. Some representatives also expressed an interest in better coordinating the different parts of their WASH work, to find synergies and complementarities between civil society engagement and other bilateral and multilateral components.

The Fund was open to accredited and non-accredited agencies, and both Australian and international organisations. This choice was supported by AusAID's Community Partnerships Section and research by the Office of Development Effectiveness, and allowed AusAID to access CSOs with strong WASH sectoral expertise. AusAID is confident that this was a good decision: *"[what was most valuable about the Fund] was broadening it out beyond accredited agencies"*.

Some Australia-based CSO representatives indicated concerns about which agencies were considered within the Fund; especially accredited versus non-accredited, and Australian versus international. Representatives from accredited agencies reported that the inclusion of non-accredited agencies was initially viewed as undervaluing the integrity and rigor of the accreditation process by AusAID. However, the agency representatives in the IPR workshop reached agreement that non-accredited agencies that have a track record in WASH had made a positive contribution to the Fund and AusAID's Community Partnerships section affirmed the design principle of 'track record in WASH' rather than the AusAID status of 'accredited'⁸. One representative said *"the agencies that aren't accredited have proved themselves, so it's a good outcome for the sector"*. CSO representatives were firmly of the view that the Fund should not support a 'learning curve' for new entrants to the WASH sector since there are other funding channels to support that. Rather, the Fund should support good quality work in WASH. A manager from Plan stated *"Plan shouldn't be funded for work in Bangladesh if Plan doesn't have experience in Bangladesh"*. In brief, the predominant view was that it is appropriate for the Fund to have a narrow sectoral focus with a clear commitment to technical competency.

There was also some criticism by Australia-based CSO representatives about non-Australian agencies being funded. The inclusiveness of the Fund was based on the concept of untied aid and on the principle of supporting good quality work. However, some Australian CSO staff expressed the view that Australian CSOs were disadvantaged when international agencies received funding. One representative said *"It's a bit unfair that Australian agencies lobbied for this money, but there is less to go around because international agencies took a share"*. However, the thematic group's response to this view was that the Australian agencies had lobbied for funds for the WASH sector in general rather than for specific CSOs, and that *"it shouldn't matter who is doing it as long as quality is achieved"*.

Recommendation

8. In the event of a future Fund, AusAID should invite applications from non-accredited and non-Australian CSOs with strong WASH sectoral expertise in addition to accredited Australian agencies.

A recent review of civil society engagement in the Mekong area found programs need a clear purpose and architecture. Without this, the potential for generating policy relevant lessons and impact at the program level are undermined. The current

⁸ AusAID's Community Partnerships Section noted that the accreditation process was set up specifically for AusAID NGO Cooperation Program (ANCP) funding, and that accredited agencies already derive benefit through this funding channel.

Findings on Fund Structure and Management

Fund architecture includes a range of mechanisms to address this point: the MRP; the performance assessment framework and supporting information system (to enable analysis of the Fund as a whole); and the inclusion of a specific learning component in the Fund design. Based on the Mekong experience, these mechanisms could be enhanced by establishing processes to ensure that AusAID posts can benefit from lessons and policy dialogue. The modified selection and mobilisation process suggested in Appendix B includes mechanisms to support this.

Recommendation

9. For a future Fund, AusAID should include a learning component and dedicated resources for performance information analysis, with strong communication mechanisms to feed into policy.

3.8 Desired role for country and regional programs in future funding

The overarching sentiment from AusAID country Desks/Posts is that the best solution is a centralised Fund with discretionary input by Desks and Posts in certain parts of the design and implementation process. This model was proposed both from a work/time pressure perspective (*“we [Posts] would not want to be involved in direct management”* and *“resources are strapped at the moment”* were common perspectives) and from a skills perspective in that Desks and Posts perceived that the thematic group provided good quality and direction. In terms of the performance arrangements, Desks and Posts were happy for these to be dealt with in a centralised way: *“it will be difficult to meet performance arrangements at country level—better if the thematic group can do it”*. However some posts, such as Africa and Fiji, are interested to be involved in field visits to CSO sites, and those countries or regions with WASH as a strategy priority are keen to receive performance information. The MRP will develop reports to meet this need.

This given, Desks/Posts were keen to receive information about the CSO programs in their country or region: *“We have no real idea of what [the Fund] has been used for in our country”* and *“more communication would be helpful”*. This perception has arisen despite communication from the thematic group to share the list of successful proposals and offers to send detailed proposals on demand. This points to the need for more pro-active and targeted communication about the Fund activities and its performance arrangements with Desk and Post. This role is built into the management arrangements in the form of a Fund manager (see Section 3.5).

Desks and Posts would like to have optional input to Fund priorities and selection criteria, with potential to even prescribe country or region-specific criteria. Africa, Burma, Fiji and Solomon Islands staff expressed eagerness to be involved: *“Post could be involved in design to make sure that the fund is responsive to priorities in Africa.”* Some Posts were interested to be involved in the selection process itself for their countries, and some were interested to be involved in a collaborative design process, if the two-step selection/detailed design process was followed, to facilitate linkages with other parts of their program to be achieved: *“NGOs should be integrated into the current country program”*. The development of delivery strategies was seen as an important point of engagement between country or regional programs and the thematic group to develop shared priorities. In some locations, for example, Burma, the Desk needs to be closely involved in the initial stages of a CSO program due to sensitivities.

Findings on Fund Structure and Management

Recommendation

10. AusAID's Infrastructure, Water and Sanitation section should lead the development, management and performance arrangements of any future civil society Fund, seeking discretionary input from country and regional programs on sub-sectoral priorities, and to establish linkages to bilateral or multilateral WASH programs.

4. FUND CONTRIBUTION, PROGRESS, APPROACHES AND EXPECTED OUTCOMES

This section of the report examines evidence to support Hypothesis 2, that the Fund has been an effective way to support civil society contribution to positive WASH outcomes and AusAID WASH strategy implementation.

4.1 Contribution to AusAID's WASH priorities

The Fund forms part of AusAID's WSI. While much of the WSI is being delivered through AusAID bilateral programs and multilateral agencies, civil society organisations are also key partners. The design Program Framework (August 2009) for the Fund describes an intent to draw on the strengths and comparative advantage of CSOs, including community engagement, providing support for the poorest and most vulnerable, innovation and demonstration of approaches and technologies and engaging at the policy level to advocate for the rights of the poor and promote proven approaches. On this basis over AUD\$32.5m was provided to the Fund to support CSOs in improving access to water, sanitation and hygiene in Asia, the Pacific region and Sub-Saharan Africa. This represents 10% of the total AUD\$300m WSI and follows Australia's commitment to increase the proportion of funding channelled through CSOs to bring Australia in line with the donor median of 8%. As noted in Section 3.1, the program is short in duration (June 2010 until June 2011) and thus its emphasis is to build on existing successful WASH work of NGOs.

The Fund is supporting 11 Australian and International NGOs to deliver 45 projects (including two cross-regional learning/research activities) in 21 countries (see Figure 1) with budget allocations to individual projects ranging from less than AUD\$200,000 to over AUD\$1.6 million. The geographic distribution is based on research undertaken, levels of access to water and sanitation, current AusAID programs, and the specific contributions and role of CSOs in each country. The high level of funding in the Sub-Saharan Africa region (\$AUD14.4m), for example, is based on scale of need, AusAID's strategic re-engagement in this region and the quality of proposals.

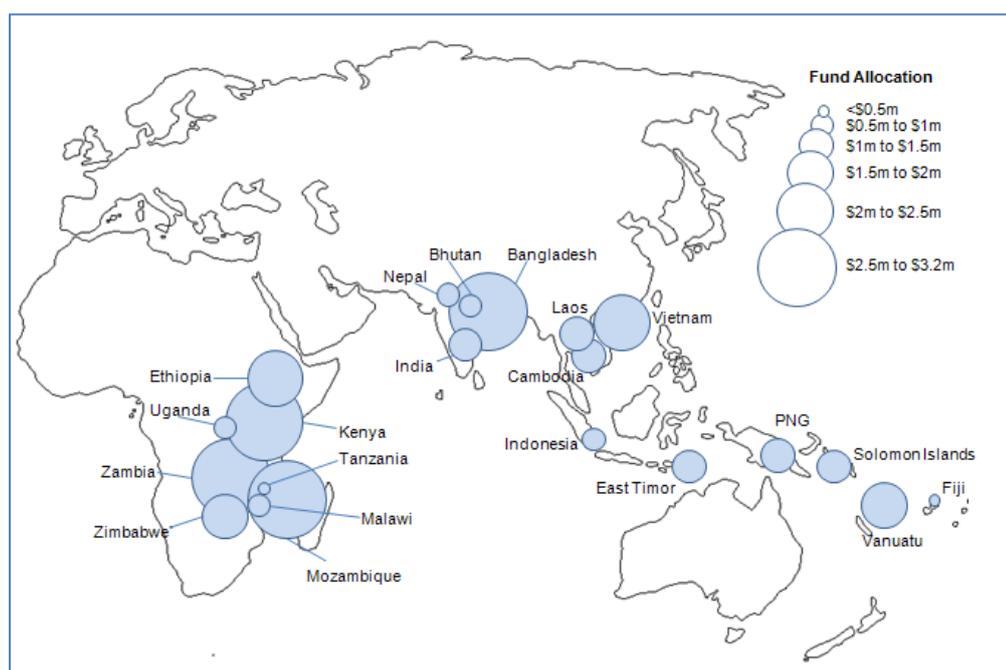


Figure 1: CSO WASH funds allocated to recipient countries

Fund contribution, progress, approaches and expected outcomes

Described below are the ways in which the CSO programs are contributing to AusAID's WASH priorities for (i) increasing access to safe water and sanitation, (ii) improving hygiene promotion and (iii) creating more sustainable WASH services.

Firstly, with regard to **increasing access to services**, the Fund is predicted to support an additional 330,000 people with access to safe water, and an additional 560,000 people with access to basic sanitation facilities (see Figure 2)⁹. In addition, the Fund has a strong focus on service provision in schools, with 474 additional schools expected to benefit from improved water, sanitation or hand-washing facilities.

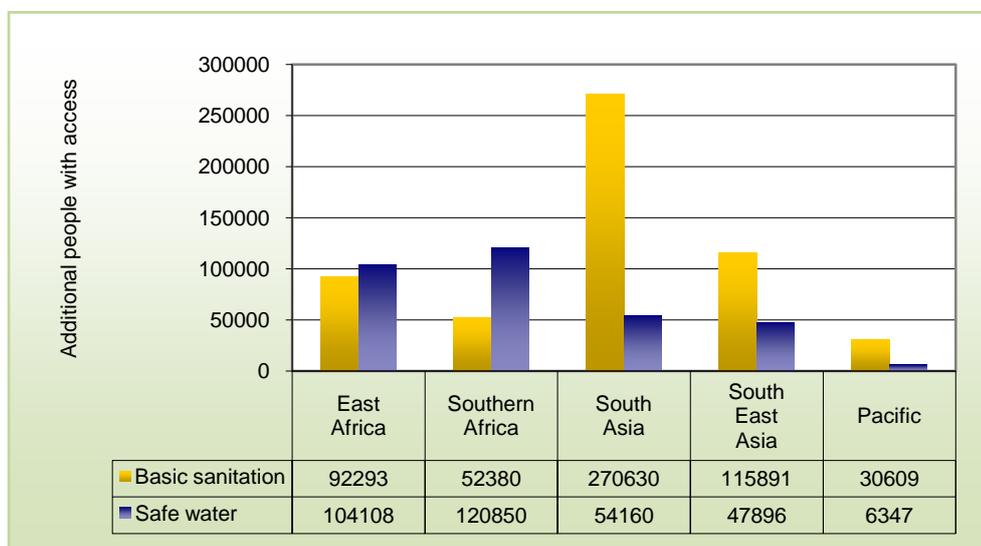


Figure 2: Additional people with access to safe water and basic sanitation

A high proportion (38%) of the Fund is allocated to sanitation activities, and this is consistent with the Australian Government's aim to double the proportion of WASH funding directed towards sanitation, from 15% to at least 30% (see Figure 3).

Although the Fund is primarily supporting the delivery of rural WASH projects, 18% of allocated funds are also being used to deliver WASH improvements in urban areas, especially urban slums. Urban WASH projects in Bangladesh, Zambia, Kenya and Mozambique are expected to provide an additional 50,000 people living in urban slums with access to safe water and basic sanitation.

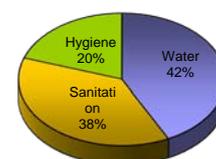


Figure 3: Proportion of funds allocated to water, sanitation and hygiene

Further detail on targeted beneficiaries and the range of WASH technologies and infrastructure used by CSOs is given in Sections 4.3 and 4.4.

AusAID's policies specify that programs be designed to promote the equitable participation of women and that the needs of people with disabilities and living with HIV/AIDS are taken into account. The Fund is supporting the commitment to gender equality through a variety of approaches, though this is an area that the IPR identifies as requiring more effort (detailed later in Section 4.4). In addition, five

⁹ This compares favourably with the prediction in the Fund design Program Framework (August 2009) which predicted an increase in access to water and/or sanitation to more than 500,000 additional people.

Fund contribution, progress, approaches and expected outcomes

activities are specifically targeting the needs of people with disabilities through the installation of latrines appropriate for people with disabilities in schools and households (see Figure 4).



Figure 4: Ramps in school toilets in Malawi enable access for pupils with a disability.
Photo: WaterAid

Secondly, the Fund supports AusAID's increasing priority of **hygiene promotion**, as critical to realising the health benefits of enhanced service provision. Across the Fund's activities, 20% of funds are being used to support activities that promote better hygiene practices (see Figure 3), particularly hand-washing. More than half the Fund's activities are targeting hygiene improvements in schools. The types of hygiene promotion approaches delivered

by CSOs are presented in Section 4.3 and detail on the range of hygiene outcomes expected from the Fund is described in Section 4.4.

Thirdly, supporting the **creation of sustainable WASH services** is a key priority for the Australian Government. This includes supporting the development of sector policies and strengthening sector institutions. Across the Fund, an effort is being made to increase accountability of service providers; an expected 413 service providers will be monitored independently and 16% of activities include a focus on lobbying for the rights of the poor. Every activity in the Fund includes a supportive, capacity building component for community WASH groups or organisations, local service providers or local government. Four activities are also providing support to sub-national WASH policy and strategy development. The strategies used by CSOs to support sustainable WASH services are presented in Section 4.3, and the expected achievements of the Fund in this area are expanded upon in Section 4.4.

A learning fund was developed as part of the Fund design to facilitate sharing of experiences and lessons between participating CSOs. Three events are planned for March 2011 with 60-80 CSO staff and partner organisation staff expected to participate. Event proceedings will be professionally documented and disseminated. In addition, two CSOs have developed their own learning and research programs. These and broader expectations of how the Fund will contribute to the evidence base on effective WASH practice are described later in Section 4.4.

4.2 Implementation progress

The review of expenditure to date presented some concerns. Thirty percent (\$AUD 9.3m) of the total fund was disbursed to partners at program start up in May 2010. During the first four months of implementation \$AUD 6.4m was actually spent by partners. This represents 51% of funds disbursed to date and 75% of planned expenditure for that period. There is significant variation across different CSOs as shown in Figure 5.

Despite this, CSOs from across the Fund gave an optimistic view of their ability to reach their targets for deliverables. According to progress reports submitted by partners in November 2010, 89% of deliverables are considered by the partners to be on track to be fully achieved by the end of the program. Eleven percent will be partially achieved and less than 1% are unlikely to be achieved (see Figure 6 which reports progress of deliverables across the 7 Fund outcome areas described later in

Fund contribution, progress, approaches and expected outcomes

Section 4.4). The reported variations to targets are within the norms of delivering field programs in developing countries and do not at this stage, present significant budget implications.

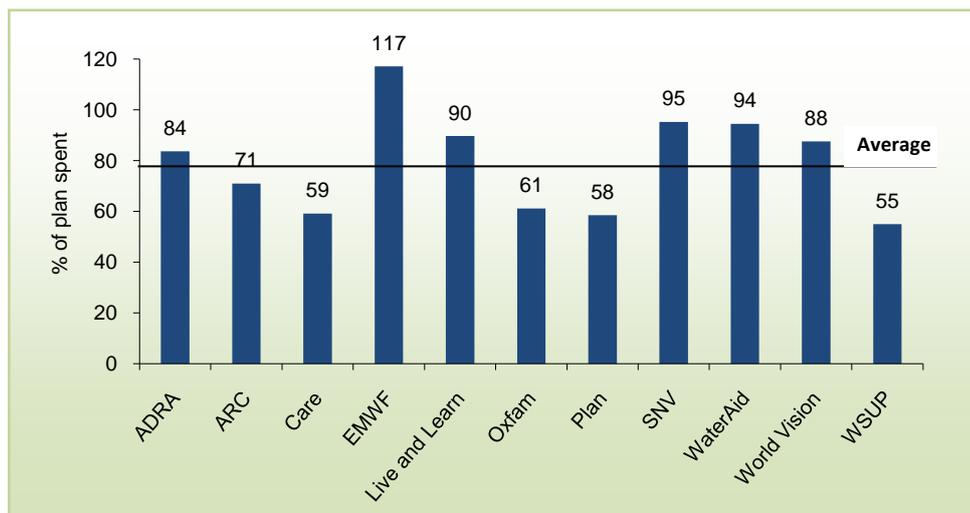


Figure 5: Percentage of plan spent (at 30 Sep 2010)

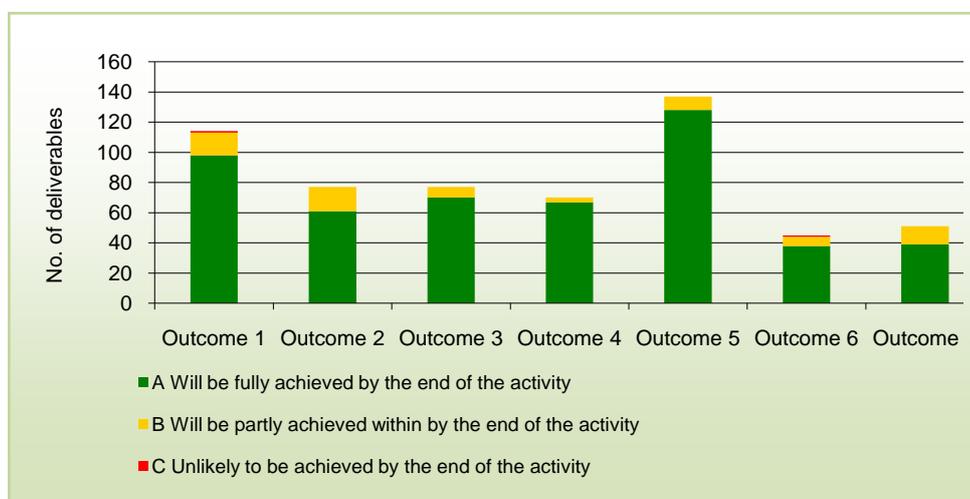


Figure 6: Number and status of deliverables against PAF outcomes

The slow rate of spending and the challenges associated with the short time-frame are appreciated by AusAID, who have opened negotiations on a no cost-extension for Fund activities.

4.3 Description of CSO approaches, strategy and role

The MRP sought a robust structure to visualise the breadth of approaches within the Fund, both to assist CSOs in reflecting on their position within the Fund, and to inform the design of the Fund's independent completion review (ICR). The MRP adapted a 'strategy map' developed by the International Development Research Centre (IDRC)¹⁰ to WASH sector interventions to enable the diversity of CSO approaches within the Fund to be visualised and explored. The IDRC model categorises approaches that are targeted at particular groups, and approaches that

¹⁰ Earl, S., Carden, F., and Smutylo, T. (2002) Outcome mapping: Building learning and reflection into development programs, Ottawa, IDRC

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relate to the enabling environment for that group, as well as distinguishing between causal, persuasive and supportive strategies to influence change.

Examining the Fund through this lens provides important feedback about how different agencies are approaching their role in the sector and how effort is distributed across the Fund. It will inform the design of the ICR for the Fund. Figure 7 shows the categories used to classify and map the types of strategies used by CSOs. These categories are based on a recent publication on ‘software’ approaches in WASH¹¹ and also inductively from CSO proposals and progress reports.

Strategy	Causal	Persuasive	Supportive
	I-1	I-2	I-3
Focused on a particular individual or group	<p>Direct role in facilitation of service delivery by directly building or supplying new infrastructure.</p> <p><i>Characteristic activities in this Fund:</i> Provide community, school or public water and sanitation systems as well as some forms of waste disposal and drainage.</p>	<p>Providing awareness raising, education or specific training to community members or other partners.</p> <p><i>Characteristic activities in this Fund:</i> Raise demand, shift specific behaviours or attitudes through hygiene promotion activities, develop workable supply chains. Promote women, social inclusion and equity in WASH.</p>	<p>Providing frequent, sustained, on-going mentoring and support; or multipurpose capacity building; or developing support structures, committees and networks.</p> <p><i>Characteristic activities in this Fund:</i> Use systematic strategies to build the capacity of community-based organisations and WASH user groups, the capacity of local government or service providers, private sector or school teachers or committees.</p>
	E-1	E-2	E-3
Focused on the enabling environment	<p>Engaging in policy dialogue on specific issues, directly causing changes in incentives, rules or guidelines; playing an advocacy or social accountability role.</p> <p><i>Characteristic activities in this Fund:</i> Lead lobby or mobilise community members to advocate rights of the poor and gender sensitive policy, promote improved WASH governance</p>	<p>Dissemination of information widely to a broad audience; creation of a persuasive environment for a specific behaviour or attitude; and conducting workshops and conferences.</p> <p><i>Characteristic activities in this Fund:</i> Conduct large-scale hygiene campaigns, use mass-media to share messages, celebrate global WASH days, document and share learning or new evidence with a broad audience.</p>	<p>Building partnerships, providing collective support and promoting networking and coordination; also supporting higher levels of government in their role or supporting local research or action networks.</p> <p><i>Characteristic activities in this Fund:</i> Initiate multi-stakeholder sector coordination, support sub-national or national planning, support policy and strategy development, support collaboration between private sector and government</p>

Figure 7: Strategy map showing 6 types of strategies

The mapping provides a useful overview of the Fund, however it should be noted that distinguishing lines between particular categories for every CSO activity based on available information has at times been challenging and professional judgements have been required. In general an activity was only assigned to a particular strategy if there was evidence of significant effort to use that strategy in a core way.

¹¹ Andy Peal, Barbara Evans, and Carolien van der Voorden (2010) Hygiene and Sanitation Software: An Overview of Approaches, Water Supply and Sanitation Collaborative Council

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The mapping reveals emphasis on directly focusing on particular groups (strategies I-1,2 and 3) and less effort directed to tackling the broader enabling environment (strategies E-1,2 and 3)(see Figure 8). All agencies participating in the Fund are using persuasive and supportive strategies to influence behaviours, skill development and sustainability of **service provision for particular groups** (see Figure 9). Almost all agencies are directly providing infrastructure, with the exception of SNV and East Meets West Foundation who are working in a facilitation role. However, the number of agencies engaged in supporting the **broader enabling environment** is notably less. Six of the eleven agencies are engaged in activities such as social accountability, broad information dissemination, policy input and dialogue and sector coordination.

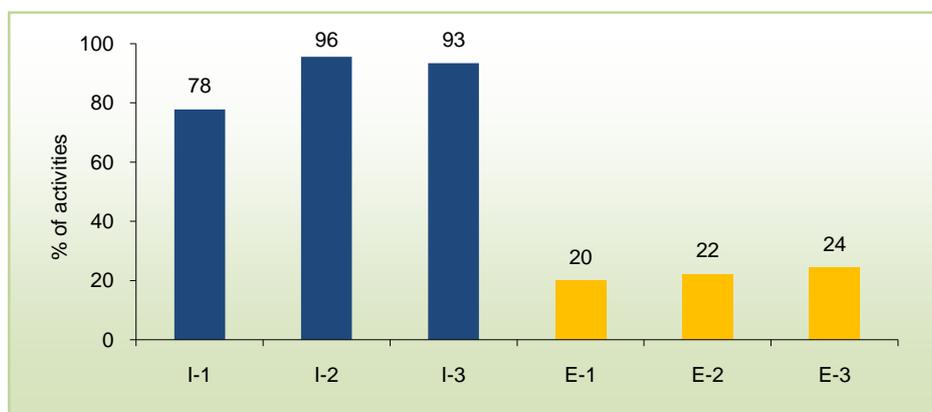


Figure 8: Percentage of activities using each strategy

Strategy		Causal	Persuasive	Supportive
	Agency	I-1	I-2	I-3
Focused on a particular individual or group	ADRA	◆	◆	◆
	Australian Red Cross	◆	◆	◆
	Care Australia	◆	◆	◆
	East Meets West Foundation		◆	◆
	Live and Learn	◆	◆	◆
	Oxfam	◆	◆	◆
	Plan International Australia	◆	◆	◆
	SNV		◆	◆
	WaterAid	◆	◆	◆
	World Vision Australia	◆	◆	◆
WSUP	◆	◆	◆	
Focused on the enabling environment		E-1	E-2	E-3
	ADRA			
	Australian Red Cross			
	Care Australia			
	East Meets West Foundation			
	Live and Learn			
	Oxfam	◆	◆	◆
	Plan International Australia		◆	◆
	SNV	◆	◆	◆
	WaterAid	◆	◆	◆
	World Vision Australia		◆	
WSUP	◆	◆	◆	

Figure 9: Strategies used by different Fund organisations

Fund contribution, progress, approaches and expected outcomes

The following sections and graphics describe the diversity of detailed approaches across the Fund, within each strategy type. In their service provision role (I-1), the CSOs cover a breadth of different technologies and approaches. Figure 10 demonstrates the number of activities (of 45 activities in the Fund) that use particular infrastructure types to improve access to safe water and sanitation.

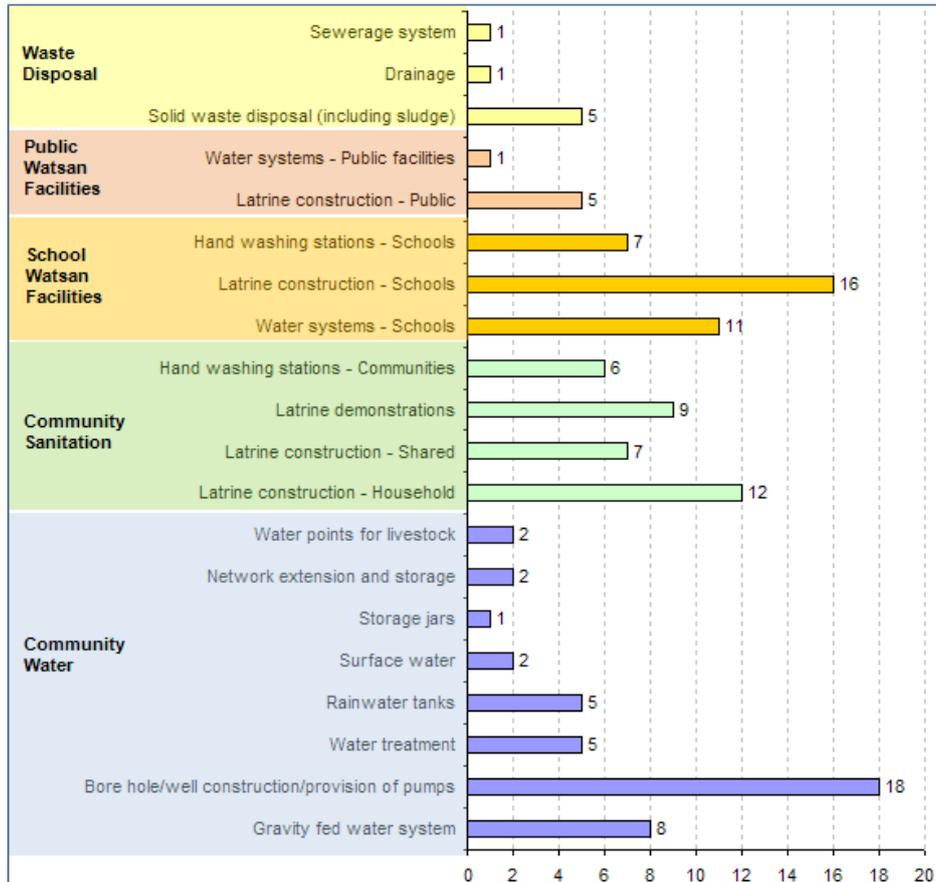


Figure 10: Number of activities using different sanitation and water service types

Three main persuasive strategies have been identified for targeting particular groups (I-2): hygiene promotion, demand and supply chain and equity in WASH. Across the Fund, hygiene promotion is conducted primarily through schools and traditional information and education communication (IEC) methods. To a lesser extent, participatory approaches such as participatory hygiene and sanitation transformation (PHAST) are employed. There are also examples of innovative approaches such as child-to-child approach, community health clubs and participatory education theatre (see Figure 11).

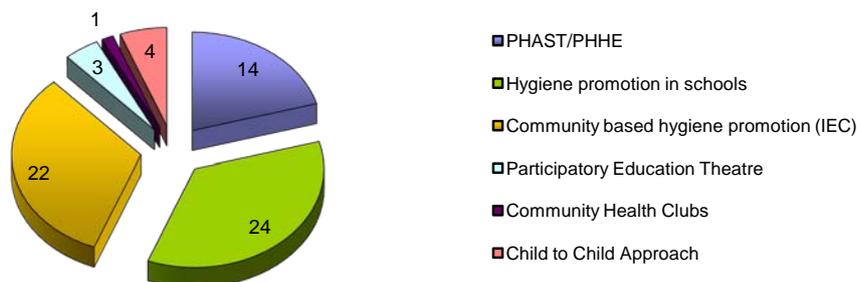


Figure 11: Proportion of particular hygiene promotion approaches

Fund contribution, progress, approaches and expected outcomes

The demand and supply chain was also included as a ‘persuasive’ strategy, since most CSOs are focused on motivating actors to take up new roles in this area. For sanitation, community-led total sanitation (CLTS) is the dominant approach, and is used in 20 of the 45 activities in the Fund (see Box 1 for an example). Sanitation marketing, training of artisans and supply chain development are also strong components of the Fund (see Figure 12).

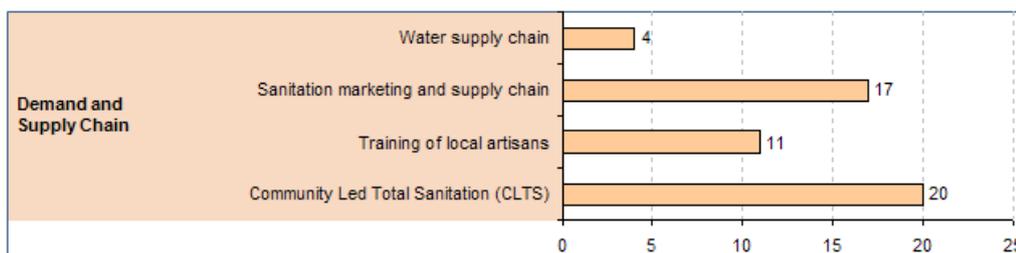


Figure 12 : Number of activities influencing the demand-supply chain

Box 1: How community-led total sanitation works

Kysun Nesa, a community mobiliser from an Oxfam partner in Bangladesh, who attended training in CLTS says: *“It was amazing to see the community members’ reactions when my colleague Ataur showed them a leaf, covered in a product resembling faeces, which we had made from flour, oil and colouring. Everybody was horrified, covering their noses with cloth, and saying “please, please drop that, it’s spreading a bad smell!”. They thought that we had collected faeces on the leaf while we were doing a walk through the community to identify the places where they usually defecate. We then touched the fake faeces with a single human hair, then lightly brushed it on a biscuit and requested them to eat it. At this, the community members became really disgusted, almost sick at the thought of eating it and begged us to throw it in the bin!*

As a result of this exercise, our trainees were effectively able to visualise the transmission of faecal matter and became aware that their current open defecation practices may lead to them unconsciously ingesting their faeces. This methodology was an exciting learning experience that had an immediate and powerful impact on both the trainees, as well as the wider community”.

All agencies have some form of supportive strategies (I-3) for local organisations, with 25 activities working to support local government in WASH¹² though the mapping does not reveal the nature of this engagement. The relative emphasis of effort directed towards building the capacity of WASH groups and community based organisations (CBOs), WASH service providers (which may be private sector or otherwise), local government and within schools is shown in Figure 13.

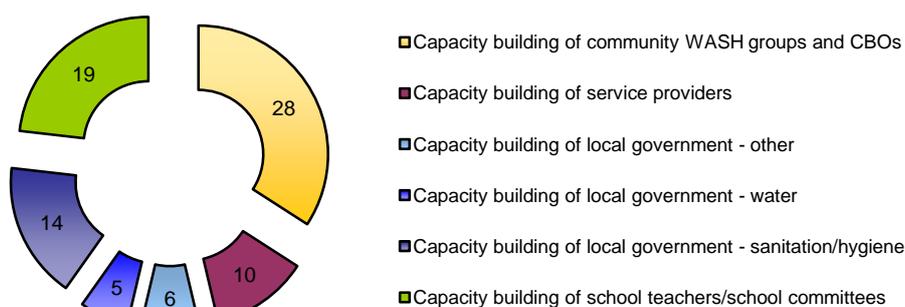


Figure 13: Relative focus of capacity building on different local WASH actors

¹² This is in line with expectations described in the Fund design Program Framework (August 2009) that CSOs work closely with local civil society organisations, and that “[a]t least 50% of funded activities implemented in coordination with a partner government agency, particularly local government”.

Fund contribution, progress, approaches and expected outcomes

In terms of the broader enabling environment for WASH, and particularly WASH for the poor (strategies E-1, E-2 and E-3), the Fund demonstrates a small number of examples of other ways of working (see Figure 14). Contribution to development of sub-national planning and efforts to lobby government for the rights of the poor are the strongest elements, with 18% and 16% (respectively) of activities employing these approaches. Only three agencies (WaterAid, SNV and WSUP) employ strategies across all three causal, persuasive and supportive domains relating to the enabling environment. Two agencies (Oxfam and SNV) specifically designed activities focused on cross-activity learning and development of the evidence base for WASH approaches.

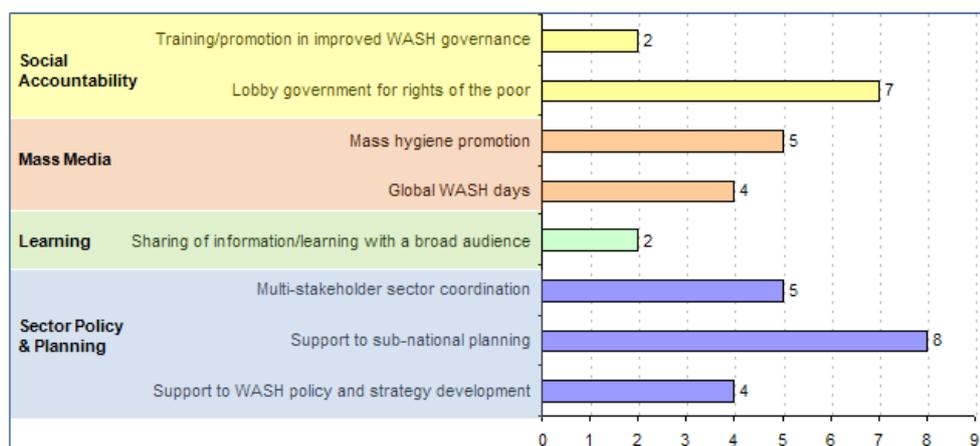


Figure 14: Number of activities influencing the enabling environment for WASH provision

Recommendation

11. AusAID should ensure the ICR takes account of this structured view of diversity within the Fund so that the effectiveness of different approaches adopted in the Fund can be examined.
12. AusAID should initiate monitoring visits to investigate the nature of engagement with local government and local institutions, and to better understand how CSOs are influencing the enabling environment for WASH.

4.4 Expected outcomes of the Fund

The Fund design anticipated improvements in the health and quality of life of the poor and vulnerable by improving their access to safe water, improved sanitation and hygiene. It was expected that this broad objective could be achieved by: i) directly supporting increased access among the Fund's ultimate beneficiaries; and ii) supporting changes among WASH sector actors. The former changes were described as 'core outcomes' and the latter were described as 'enabling outcomes'. The **core outcomes** focused on three domains:

- Outcome 1: Increased access to improved sanitation services
- Outcome 2: Increased access to safe water supplies
- Outcome 3: Improved hygiene behaviours

The **enabling outcomes** focused on four domains:

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- Outcome 4: Improved WASH governance and effectiveness
- Outcome 5: Strengthened capacity in partner countries
- Outcome 6: Improved gender equality
- Outcome 7: Improved WASH evidence base

For each outcome given in the PAF a series of **result areas** were defined to further categorise the types of changes expected to result from Fund activities, as shown in the example given in Figure 15. See Appendix C for complete PAF and result areas.

Outcome 1: Increased access to improved sanitation services

Result Areas:

- 1.1 Changes in access to different levels of improved sanitation
- 1.2 Changes in user demand, use or satisfaction with basic sanitation facilities

Figure 15: Performance assessment framework example

Categorising expected results in this way facilitates systematic analysis of how CSO activities contribute to achieving the Fund objectives.

At the time of this review, the early stage of implementation of Fund activities meant that it was not possible to meaningfully report actual outcomes. However, partner agencies were asked to nominate ‘expected changes’ arising from their activity deliverables. While the reported number of expected changes may not necessarily indicate the extent of the effort invested or the significance of changes manifest within each outcome¹³, it does provide an indication of what agencies expect might result from their activities, and a way to characterise the potential benefit of the Fund overall.

As depicted in Figure 16, partner agencies expect to contribute to all seven of the PAF outcomes, with almost half of the expected changes aligned with the first three ‘core outcomes’¹⁴. The most changes are expected against Outcome 5 (most likely because this outcomes includes six result areas), followed by Outcome 1 and then Outcome 3. The least expected changes were reported against Outcome 7.

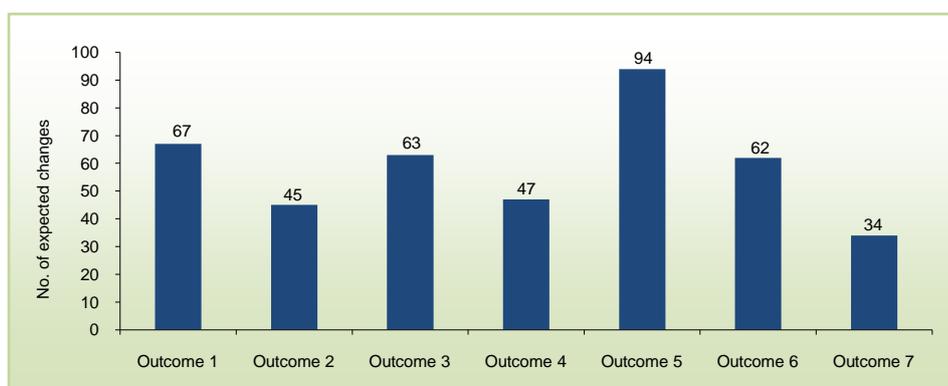


Figure 16: Expected changes reported against each of seven Fund outcomes

¹³ It is possible some agencies may not have reported the full breadth of contributions they expect their activities to make

¹⁴ Agency project reports described a total of 402 expected changes aligned with the seven outcomes; with 44% explicitly aligned with the three core outcomes, and 56% explicitly aligned with the four enabling outcomes.

Fund contribution, progress, approaches and expected outcomes

The MRP noted that many of the expected changes were phrased in broad terms, or effectively just restated the outcome. For example, in reporting against Result Area 4.1 (WASH sector governance by institutional actors), one agency identified the expected change as *“Improved WASH governance and effectiveness for 6 communities”*. The difficulty in elaborating expected changes may reflect ‘design uncertainty’ (i.e. ‘we don’t really know what might result’), challenges in communication chains from the field to program managers about the specifics of expected outcomes, or perhaps particular views about performance measurement (e.g. ‘we don’t want to judge our performance against narrowly defined standards’). Irrespective, the practical effect was that several activities were effectively ‘under-reported’ in terms of their contribution to the Fund, which somewhat erodes the extent to which the likely outcomes and benefits of the Fund as a whole can be communicated to AusAID and other stakeholders at this point in time. Further, under-reporting expected outcomes limits the potential for capturing precise or grounded lessons both within CSO activities and for the Fund as a whole¹⁵.

Recommendation

13. CSOs should more precisely articulate the changes they expect to flow from activity deliverables based on their adopted theory of change.

Notwithstanding the above critique, there are examples of well articulated expected changes that locate activity deliverables within a plausible ‘theory of change’; for example, *“46 villages declared Open Defecation Free by local government with 100% latrine coverage in each community”* (Plan, Indonesia).

Analysis of the relative contribution of each agency to PAF outcomes showed that virtually all of the eleven CSOs are contributing to the three core outcomes¹⁶. However, as shown in Figure 17, there is diversity among Fund partners in terms of their contributions to the four enabling outcomes. Ten of the eleven partners are contributing to Outcome 5, and nine of the eleven are contributing to Outcome 6. Only seven of the eleven partners are contributing to Outcome 7 and only five of the eleven agencies are contributing to Outcome 4.

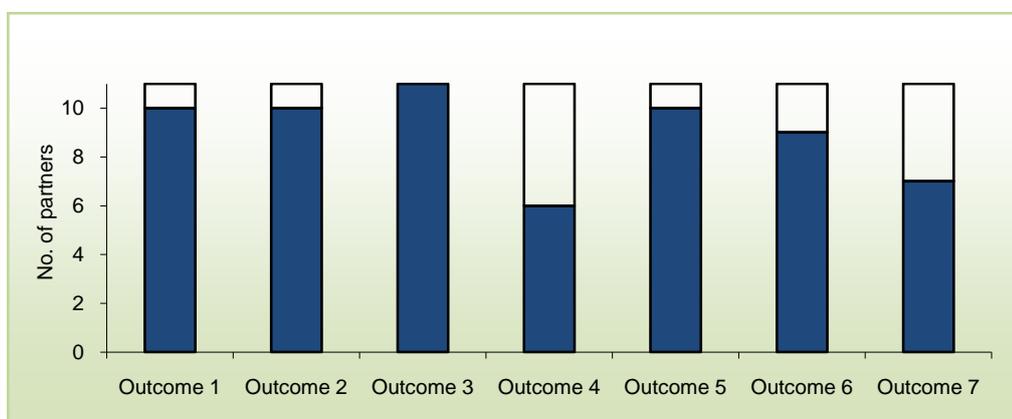


Figure 17: The relative contribution of eleven agencies to the seven Fund outcomes

¹⁵ “Learning results from being surprised: detecting a mismatch between what was expected to happen and what actually did happen. If one understands why the mismatch occurred (diagnosis) and is able to do things in a way that avoids a mismatch in the future (prescription), one has learned.” (Gharajedaghi, J. (1999) *Systems thinking: managing chaos and complexity*, Oxford).

¹⁶ All eleven of the Fund partners are contributing to Outcome 3; ten of the eleven partners are contributing to Outcomes 1 and 2.

Fund contribution, progress, approaches and expected outcomes

The following paragraphs discuss agency contributions to each of the seven outcomes.

Outcome 1: Increased access to improved sanitation services

In terms of **access to different levels of improved sanitation (Result area 1.1)**, the Fund expects to provide access to basic sanitation for 560,000 additional people. Of these, the largest proportions are 200,000 in Bangladesh, 45,000 in Ethiopia and 53,000 in Vietnam with the remainder spread across Fund target countries. Of the 560,000 additional people, approximately 170,000 will be provided sanitation access that meets the Joint Monitoring Program (JMP)¹⁷ definition of 'improved access'. This large difference relates primarily to the use of CLTS by almost half the Fund activities, whereby community members build their own toilets without a subsidy. Inevitably many community members will construct rudimentary toilets that enable the community to achieve 'open defecation free status' but don't necessarily meet the JMP definition for improved sanitation facilities.

The targeted beneficiaries include 5,600 people in disaster affected communities in Laos (CARE) and 1,000 extreme poor households including people living with disabilities in Bangladesh (Oxfam). Most other activities do not identify specific beneficiary groups in their reporting, however agency proposals demonstrate that overall, remote, poor rural populations are the major group expected to benefit as well as 50,000 people in poor slums. Oxfam make clear that the latrines in their activities will be gender-sensitive and safe and Live and Learn describe theirs as "*culturally appropriate, affordable, marketable and environmentally sound*".

A second aspect to this outcome is **changes in beneficiary use of facilities and their level of satisfaction with facilities (Result area 1.2)**. This result area is important since 'access' does not equate with 'use'—the important point from a health perspective. Few expected changes were reported in this area (only 9 activities). Of changes reported, one type relates to achievement of 'open defecation free status' (Plan in Bangladesh and Kenya (see Box 2), and CARE in Kenya) for some proportion (30-90%) of triggered households or communities. WSUP also expect a change in level of use and satisfaction with urban services as assessed through an end of project household survey. SNV specify clear definitions of access to a 'sanitary' toilet to indicate both use and

Box 2: New technology employed to monitor sanitation coverage and 'open defecation free' communities

Plan staff and community health workers are triggering CLTS among an estimated 20,000 people across 14 villages in Kilifi District. Plan Kenya and Ministry of Public Health and Sanitation (MoPHS) staff will also provide technical support to natural leaders and village CLTS committees following each triggering event. CLTS is designed to eliminate open defecation by increasing the number of people in project communities who are motivated and able to construct and use improved latrines. The project team is also using a new tool called Mobile Geo-services for Africa, or 'M-GESA'. 'M-GESA is a tailor-made application which can be used on basic mobile phones. It picks up GPS coordinates and other data. Pre-designed questionnaires are developed and data can be entered in the field using mobile phones.'



Photo: Plan Kenya

¹⁷ For definitions see http://wssinfo.org/pdf/WHO_2008_Core_Questions.pdf

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hygienic care of toilets. The low level of reported outcomes in this result area is surprising given the generally strong demand-side approaches that CSOs are using, and possibly reflects lack of methods to assess changes.

Outcome 2: Increased access to safe water supply

In terms of **access to safe water (Result area 2.1)**, the Fund is expected to provide safe water to approximately 333,000 additional people. Of these, the largest proportions are 56,000 in Mozambique, 41,000 in Bangladesh, 40,000 in Ethiopia and 38,000 in Vietnam. Of the 333,000 people gaining access, 323,000 will be provided safe water that meets the JMP definition¹⁸ of 'improved access' (assuming all CSOs have reported correctly against this indicator). Other improvements in access relate to improving water quality through use of water storage and water treatment filters (Oxfam). Target communities for increased access (based on CSO proposals) include rural, remote rural, urban slums and schools. The expected changes for community members and students in schools include having water more closely accessible, improving the quality of water used and enhancing the maintenance of water sources. Only two agencies reported expected changes in **voiced demand for services and likely level of use and satisfaction with improved water facilities (Result area 2.2)** which represents either a gap in CSO effort, reporting or measurement of this dimension.

Box 3: Health outcomes as the result of use of water filters

Oxfam provides water treatment filters in Takeo Province as part of their Fund activity in Cambodia. Phalla, who received such a filter, explains the effects:

"I have used the water filter for about 1 month so far. I can see my family members now have better health than before; especially my children look much stronger and healthier. Since the water filter, nobody in the family has had diarrhoea. The water from the water filter has a good taste; it taste like fresh rain water and we like it very much. Now with the water filter, I no longer spend time boiling water. With this free time, I can do other business. I have a small business sewing and selling gloves, plus I can now do other business outside the village.



Photo: Oxfam Australia

I have done the sewing for more than 2 years and now I earn about 6000-7000 per day (1.5-1.75USD). Now I no longer need to use this money to buy medicine. So now I can save some money to buy other things the family needs and to support my family. The filter makes our lives better than before. My children are not sick, stronger and go to school more regularly than before."

Recommendation

14. AusAID/MRP should refine the reporting against core indicators for sanitation and water to include both an indication of access according to Joint Monitoring Program definitions, and broader definitions defined by participating CSOs.

¹⁸ For definitions see http://wssinfo.org/pdf/WHO_2008_Core_Questions.pdf

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Outcome 3: Improved hygiene behaviour

CSOs reported 56 expected **changes in hygiene practice in communities (Result area 3.1)**. The expected changes in hygiene practice were predominantly phrased in generic terms (e.g. *“Improved hygiene behaviour”*). Where greater definition was provided, the predominant focus is on hand-washing practices (21/56), followed by latrine maintenance or use and excreta disposal (10/56), and then water treatment/storage (3/56). Other work relates to the development of local hygiene trainers (7/56). Behaviour change activities are targeted at communities or households and schools.

Box 4: Red Ribbon Express promotes hygiene awareness

WaterAid India conducted a unique large-scale hygiene promotion campaign reached 14,000 people. WaterAid used the “Red Ribbon Express” - a train travelling over 27,000km in India covering 180 stations - to promote hygiene messages. WaterAid used a multi-pronged communication strategy with educational materials, banners, interactive child-friendly games and theatre performance. People from hundreds of villages thronged to the stalls.



Photo: WaterAid

These expected hygiene practice changes are spread relatively evenly across 19 of the 21 the Fund countries. A small number (7) of changes were noted with regard to **changes in the prevalence of WASH-related diseases (Result area 3.2)**. This is likely due to the complex nature of assessing health changes and the short-timeframe of the Fund. In addition, it is in line with CSOs adopting ‘evidence-based practice’, looking to detailed epidemiological research studies¹⁹ that prove the strong relationship between hygiene promotion and disease prevention, rather than investing their own resources in high-cost studies to measure disease prevalence.

Outcome 4: Improved WASH governance and effectiveness

CSOs reported 47 expected changes against this outcome. Of these, SNV reported a large proportion (27/47). By definition, Outcome 4 is a broad-reaching and amorphous (‘soft’) domain which may be why many of the expected changes reported by agencies are generic, unclear or restate the outcome. Agencies were frequently ambiguous about which actors are expected to be the subject of the changes (e.g. *“improved relationship...between key WASH sector contributors”*). Further, the nature of the changes expected often lack precision (e.g. *“progress in the development of pro-poor support mechanisms for sanitation...”*). Four of eleven CSOs reported **changes in WASH sector governance by institutional actors (Result area 4.1)**. These mostly involve multi-actor or whole-of-sector actors (7/26), district or local level government actors (7/26), private sector service providers (6/26) and community groups or committees (4/26). Several of the expected changes appear to be misaligned, however the MRP appreciates that agencies found some overlap between Outcome 4 and Outcome 5. One agency (World Vision, Zimbabwe) articulated a precise expected change in terms of a well-defined actor and a specific change: *“increased role of Environmental Health Technicians in monitoring water*

¹⁹ The work of Sandy Cairncross and Val Kurtis should be consulted for further information in this area, as well as recent papers in PLoS such as Bartram J, Cairncross S (2010) Hygiene, Sanitation, and Water: Forgotten Foundations of Health. PLoS Med 7(11): e1000367. doi:10.1371/journal.pmed.1000367.

quality...” Box 5 provides an example of how SNV are working directly to influence approaches to private sector involvement in WASH. Changes in **capacity of local communities to demand and defend their WASH rights (Result area 4.2)** were reported by five CSOs. Reported changes concerned “rights holder groups”, “ultra poor households” “socially excluded groups” and “women committee members”. The expected changes are broadly about making progress in how these groups or individuals participate in decision-making and express their needs at a community level, or in three cases at district or provincial level; for example “progress in degree of influence of people from ultra poor households in district dialogue...in particular their capacity to influence the agenda of meetings” (SNV, Nepal). In terms of geographic spread, Outcome 4 is represented in around half of the Fund countries.

Outcome 5: Strengthened capacity in partner countries

This outcome relates to the strengthening of key WASH sector actors across six result areas relating to different actors and aspects of WASH—a factor important for sustainability. Of the 26 expected changes concerned with **capacity to plan and manage WASH facilities (Result area 5.1)**, most involve local communities or committees (14/26) and frequently concern unspecified skills and capacities. Other activities are explicitly targeted at water resources (e.g. “Communities will be managing their water resources and infrastructure effectively to ensure long term sustainability”). Only five activities include any changes in local government capacity to plan and manage facilities and two activities mentioned building capacity in schools to manage and maintain facilities. Four activities are focussed on strengthening specified local NGOs or partners. One urban activity by WSUP, describes well-articulated outcomes to increase service providers skills in reducing non-revenue water through legalisation of connections in slums and improved leak detection and repair.

Of the 23 expected changes in **local actors’ capacity to address hygiene promotion (Result area 5.2)**, many involve training a local partner such as a local NGO or CBO (8/23) (e.g. “Staff from 5 Local NGOs are trained and have their capacities strengthened and implement CLTS successfully”). Other common approaches (5/23) involve training local volunteers such as ‘Community Health Volunteers’ or ‘Health Motivators’. Some hygiene promotion training is invested in water user groups, school teachers and school clubs. SNV’s expected changes across its five activities relate to changes in the level of innovation in behaviour change communication strategies used by local, district or provincial level government or local NGOs. The focus is on moving from health-centred messages to using other non-health

Box 5: Integration within existing governance structures to up-scale

In Nepal SNV works directly with the relevant ministry and the regional monitoring office of the lead government department for WASH. A major achievement has been promoting district dialogue on private sector engagement in sanitation. In Nepal, usual practice has been a subsidy approach to sanitation which discourages value chains in rural and remote areas, resulting in little interest of private sector. But subsidized materials are not available to all communities, so the practice is far from equitable or sustainable. SNV developed a draft value chain analysis and based on this the Regional WASH Coordination Committee decided to put effort into improving the supply chain and engaging private sectors at district and regional level. It is the first time that the lead government department decided positively to develop market linkage between private sector and consumers through water and sanitation user’s committee or their umbrella body.

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motivators, since recent research indicates that health is not (as widely believed) the strongest motivator for hygiene behaviour change²⁰.

Of the 19 expected changes concerned with facilitating the **participation of the private sector (Result area 5.3)**, 10 from SNV described changes in the extent to which small to medium sized enterprises are engaged in either sanitation or water-related services, starting from a base where there is little or no participation. Such expected changes relate to improvements in marketing skills and outreach ability in poor communities. Measures include extent of sales through such businesses and paid services for such businesses. Several expected changes (6/19) make reference to supporting the private sector in the supply of hardware or parts to improve supply chains. In one activity in Kenya, Plan is expecting four entrepreneur youth groups to have the skills to provide profitable sanitation services in a settlement in Nairobi.

Of the 22 expected changes concerned with **WASH policy capacity of local and national institutions (Result area 5.4)**, more than half (13/22) involve local or district government actors and are concerned with raising awareness and knowledge about WASH issues. Many of the expected changes are unspecified or generic (e.g. *“Increased awareness of WASH issues at the local government level in rural areas”*).

This may suggest insufficient analysis of the ‘levers of change’, and perhaps inadequate insight about the wider purpose of the change (i.e. ‘increased awareness’ for what purpose?). Notwithstanding this critique, there are also some examples of clearly articulated changes concerned with oversight capacity, promulgation of CLTS and budget reform (e.g. *“80% of Unions Parishads (24) are functioning, each with an operational budget for sanitation by June 2011”* Plan, Bangladesh).

As noted above, only one agency reported an expected change aligned with the **capacity of WASH actors to address environmental issues (Result Area 5.5)**, but even this statement seems misaligned and to belong in a different result area. Given AusAID’s environment and climate change priorities, and emphasis on a holistic approach to water management that manages sources of contamination (e.g. solid waste management, waste treatment and effective sanitation systems), it is surprising that no agencies reported any expected changes in this area. In addition, no agencies reported expected changes with respect to increasing **capacity of CSOs to play social accountability roles (Result Area 5.6)**. This is highly surprising considering that 4 CSOs are using social accountability approaches in their work (as reported in Section 4.3).

Outcome 6: Improved gender equality

Improved gender equality is expected to arise both from how CSOs choose to work and the effects of increasing access to WASH. With respect to the **influence of women in planning and implementation (Result area 6.1)**, altogether six out of eleven agencies have articulated 31 expected changes. Oxfam and CARE are expecting to specifically influence and increase women’s opportunity to experience leadership or decision-making positions in water user groups and school clubs in some or all of their activities (see Box 6). Oxfam (in East Timor and Zambia) specify proportions (30% and 50% respectively) of such groups that have women in leadership positions and CARE specify that 50 women leaders will be identified. SNV also expect to achieve changes in how women are involved in the sanitation private

²⁰ See the work of Val Kurtis and Christine Sibejsma for details of this research

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sector, from a baseline of almost no involvement, to providing either unskilled or skilled labour.

Other agencies (SNV, World Vision, WaterAid and WSUP) are hoping to achieve changes in how women are involved in decision-making more generally (in communities, as well as district and provincial level dialogue in the case of SNV). No agencies provided information about any expected changes in male attitudes and support for women's involvement and leadership in WASH. The absence of five of the eleven agencies from this Result Area is surprising given that gender was given strong emphasis in the AusAID design documentation for the Fund, which either reflects lack of focus and activity in this area, or lack of attention to reporting on it.

It also appears little effort has been focused in the result area of **changes in capacity of WASH actors (CSOs or institutions) to take a gender-sensitive approach (Result area 6.2)**. Only two activities have mentioned expected results in this area and with no specific expected outcomes articulated, and no sense of what an existing baseline for gender-sensitive practice is and what it might look like in the future. Against a third area of **changes in gender equality in homes, schools or community (Result area 6.3)**, four of the eleven agencies have identified expected changes. Three Oxfam activities aim to reduce time spent for women in transporting water by 50%, and all six WaterAid activities aim to reduce time taken to collect water by 1-4 hours per day. Oxfam also expects to increase the safety, security and privacy of access to sanitation facilities constructed in schools and communities, including a facility for girls for menstrual hygiene in one activity in Zambia. Plan is providing separate toilets for girls in two school-focused activities in India and Uganda, and Oxfam also in East Timor. WaterAid also expect an increased rate of school attendance by girls in three of their activities. No expected changes by any agencies were reported on changes in power dynamics in families or communities between women and men, signalling that this area of gender equality is possibly not being assessed.

Box 6: Ensuring women's participation:

Following emergency response to typhoon Ketsana, CARE Laos has shifted to a development focus. During participatory WASH assessment, the women played an active role in providing relevant data and information through community meetings and one to one interviews. This was a very positive development as typically in community meetings and discussions, it's the men who actively participate and make decisions while women were either absent or passive spectators. By intentionally facilitating a community process that supported and encouraged women to assert themselves, they made significant and meaningful contributions, and the men recognised this contribution. This paved the way for women's representations on the WASH Committees and formation of a Women's WASH Core Group.



Outcome 7: Improved WASH evidence base

Two agencies (Oxfam and SNV) have dedicated activities focussed on Outcome 7, whilst three other CSOs have built in documentation and methods to share lessons and findings from their work within country activities. Expected changes articulated across the two result areas of **increasing the evidence base about effective WASH approaches (Result area 7.1)** and **uptake of lessons and approaches (Result area**

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7.2) did not differentiate these two result areas²¹ hence it is easiest to discuss this outcome as a whole. One third of the reported changes were focused on internal learning within the given CSO. Overall, 28 expected changes were reported, of which more than half were put forward by Oxfam and SNV and relate primarily to the capture of lessons and the organisation of forums to share them with various government agencies. Oxfam mostly demonstrates good clarity in what is hoped to be achieved in terms of influencing practice: *“The lessons from the midterm review findings that are disseminated to relevant NGOs and government departments in appropriate language in Cambodia increase...uptake of evidence-based WASH practices”* (Oxfam, Cambodia) and *“4 quarterly private public WASH sector forums are held at Upazila level between the DPHE, project team, WWP members and VDC members...”* (Oxfam, Zambia). SNV’s expected changes across five activities relate primarily to influencing national policy making and priority setting in rural sanitation and hygiene and adoption of elements of SNV’s approach and lessons into district programmes. The relatively limited engagement in this outcome is a concern given the learning-focussed agenda that surrounds the WASH Fund specifically, and the NGO sector more broadly. It appears that CSOs could benefit from further discussion about what this outcome may mean, and how activities might best contribute changes.

Recommendation

15. To ensure that the overall achievements of the Fund can be represented and reported, CSO partners should ensure that their planned M&E activities will provide sufficient information such that activity completion reports provide a succinct analysis of the actual outcomes for each funded activity, seeking assistance from the MRP where appropriate.

²¹ The two result areas were intended to separate the process of analysis, synthesis and documentation of important learning and its dissemination (Result area 7.1) and the process of understanding what difference or impact this information had on particular actors (Result area 7.2) however in practice CSOs reported similar expected changes in both.

APPENDIX A: PERSONS CONSULTED

The following people were consulted or interviewed as part of the Independent Progress Report:

Organisation	Representative
AusAID Infrastructure, Water and Sanitation section	Kirsty McNichol
	Marcus Howard
	Anne Joselin
AusAID Office of Development Effectiveness	Jo Hall
AusAID Programs	Sue-Ellen O'Farrell, Indonesia Program
	Clare Hanley, Africa Program
	Laila Smith, Pretoria Post
	Tracey Newbury, Africa Program
	Rob McGregor, Mekong Program
	Julie Hart, Community Partnerships Section
	Steve Burns, Community Partnerships Section
	Angellah Kingmele, Solomon Islands Post
	Sue Nelson, Burma Program
	Rebecca McClean, Fiji Post
	Tu Tangi, Fiji Post
Civil society organisations	Jane Bean, Oxfam Australia
	Maud Moses, Oxfam Australia
	Janet Parry, Plan International Australia
	Steven Dunham, Plan International Australia
	Matthew Brown, ADRA
	Alexandra Balmer, Care Australia
	Christian Nielsen, Live and Learn Environmental Education
	Peter Dwan, WaterAid
	Thien-Nga Nguyen, World Vision Australia
	Donna Webb, Australian Red Cross
	Sarah Davies, Australian Red Cross
	Antoinette Kome, SNV
	Megan Ritchie, SNV
	Paul Gunstensen, WSUP
	Guy Norman, WSUP
Minh Chau Nguyen, East Meets West Foundation	
Thanh Binh Le, East Meets West Foundation	

APPENDIX B: PROPOSED SELECTION & EARLY-STAGE IMPLEMENTATION PROCESS

On the basis of a number of issues arising through the IPR process, the MRP provides the following description of a modified selection and mobilisation process.

Most stakeholders acknowledge the following principles:

- The value of competitive selection
- The need for technical rigor and track-record in WASH
- The need for transparency
- The importance of fostering partnership and collaboration
- The need for clarity of purpose, balanced with the value of flexibility and responsiveness
- The value of detailed, robust planning processes to improve quality

The selection and early-stage implementation process for a future Fund could involve the follow two broad stages:

Competitive selection process:

- AusAID issues funding guidelines that provide clarity around requirements, including geographic preferences or restrictions
- CSOs are given 2-3 months to prepare their proposal
- CSOs submit an organisational capacity statement and a concept design identifying targeted countries and locations, partnerships, technical WASH approach(es), approach to engaging and supporting local civil society²² etc.
- The responsibility for assembling a coherent and meaningful portfolio of country-level activities lies with the CSOs who are required to match credible needs analysis with their capacity assessments.
- CSOs are required to demonstrate how their proposed portfolio is coherent, and how they will facilitate learning and collaboration that contribute to the objectives of the Fund.
- Selection criteria is prescribed in Fund guidelines.
- Appraisal and selection is carried out by an appointed panel as per AusAID guidelines, with feedback provided on request.

Specified requirements for inception phase and first milestone:

- Once approved, CSOs proceed with recruitment and with mobilising working relationships with their partners through detailed joint planning processes during the inception phase, supported by an initial small tranche payment.
- The detailed plans include specified 'products' that would be reviewed and evolved in association with the MRP, AusAID thematic group, and where appropriate, AusAID country and regional programs. These detailed **planning products** would include:

²² Amongst the recommendations of the Office of Development's recent evaluation is the importance of supporting local civil society in recipient countries, and avoiding parallel systems which potentially arise when NGOs act as intermediary organisations

Appendix B: Proposed Selection & Early-stage Implementation Process

- *M&E Plan* that includes deliverables targets, end-of-program outcomes, progress indicators, monitoring and evaluation methods, risk monitoring arrangements, responsibilities and schedules.
- *Gender and Social Inclusion Plan* articulating nuanced analysis of specific gender inclusion and social equity issues in the local contexts, and practical strategies to tackle these issues and how they are integrated in the overall design.
- *Environmental and Climate Change Plan* determining the key environmental and climate change risks and opportunities in each context and appropriate mechanisms to mitigate risks and build on opportunities.
- *Institutional Learning and Knowledge Management Plan* that outlines strategies to capture and assimilate lessons of wider value within the organisation, between partners in the Fund and with a wider audience within and beyond the local policy context.
- *Sustainability and Exit Strategy* that elaborates processes to foster sustainability, particularly elaborating the approach taken to engagement with local civil society, local government and local institutions, as well as criteria and mechanisms for exit.
- *First year operational plan*
 - The second tranche of payments by AusAID covering implementation costs would be contingent on the submission of the final approved versions of the planning products.
 - Partner agencies would be encouraged to share their detailed planning products to promote good practice, learning and collaboration.

APPENDIX C: FUND PERFORMANCE ASSESSMENT FRAMEWORK

Objective: To enhance the health and quality of life of the poor and vulnerable by improving access to safe water, improved sanitation and hygiene

Core Outcomes			Enabling Outcomes		
Outcome 1: Increased access to improved sanitation services	Outcome 2: Increased access to safe water supply services	Outcome 3: Improved hygiene behaviour	Outcome 4: Improved WASH governance and effectiveness	Outcome 5: Strengthened capacity in partner countries	Outcome 6: Improved gender equality
<p>Result Areas:</p> <p>1.1 Changes in access to different levels of improved sanitation</p> <p>1.2 Changes in user demand, use or satisfaction with basic sanitation facilities</p> <p>Measurement to focus on:</p> <ul style="list-style-type: none"> • <i>Number of additional people with access to basic sanitation</i> • Numbers of additional schools with access to sanitation • Number of communities achieving Open Defecation Free status • Who benefited (women/men/children /class/ caste/people with disabilities etc) and who didn't? • What changes have occurred in attitude and practice relating to sanitation in targeted areas? • What changes have occurred in use of sanitation? • What changes have occurred in user satisfaction with sanitation facilities available? 	<p>Result Areas:</p> <p>2.1 Changes in access to safe water supplies</p> <p>2.2 Changes in user demand, use or satisfaction with safe water services</p> <p>Measurement to focus on:</p> <ul style="list-style-type: none"> • <i>Number of additional people with access to safe water</i> • Numbers of additional schools with access to safe water • Who benefited (women/men/child ren/class/ caste/people with disabilities etc) and who didn't? • What changes have occurred in attitude and practice relating to safe water use in targeted areas? • What changes have occurred in user satisfaction with water services available? 	<p>Result Areas:</p> <p>3.1 Changes in safe hygiene practices in community members</p> <p>3.2 Changes in the prevalence of WASH related diseases amongst beneficiaries</p> <p>Measurement to focus on:</p> <ul style="list-style-type: none"> • <i>Number of additional locations with hand washing facilities and soap</i> • <i>Number of additional schools with water, sanitation and hand washing facilities</i> • Trend in incidence of diarrhoea for program locations from health agency data • Who benefited (women/men/class/ caste/people with disabilities etc) and who didn't? • What specific behaviour(s) were targeted and what evidence is there of changes in these behaviours? • What is the sustainability of changes in behaviour? • What changes have taken place in level of WASH related diseases in target areas? 	<p>Result Areas:</p> <p>4.1 Changes in WASH sector governance by institutional actors</p> <p>4.2 Changes in capacity of local communities to demand and defend their WASH rights</p> <p>Measurement to focus on:</p> <ul style="list-style-type: none"> • <i>Number of additional water and sanitation service providers monitored independently</i> • What influence has been made on relationships, communication and/or coordination between key WASH sector contributors? • What influence has been made on WASH national, regional or local policies, strategies or approaches? • What influence has been made on how WASH services or service providers are monitored or regulated? • What influence has been made on how vulnerable groups (such as people with disabilities and people living with HIV and AIDS) participate in WASH decision-making processes? • What influence has been made on existence and use of mechanisms for local communities to demand and defend their WASH rights? • What skills have been developed in communities to assist them in negotiating for their WASH rights? 	<p>Result Areas:</p> <p>5.1 Changes in capacity of WASH actors (CSOs or institutions) to effectively plan, design, operate and/or maintain WASH facilities</p> <p>5.2 Changes in capacity of WASH actors (CSOs or institutions) to address hygiene promotion</p> <p>5.3 Changes in participation of private sector</p> <p>5.4 Changes in capacity of local and national institutions to implement WASH sector policies</p> <p>5.5 Changes in capacity of WASH actors (institutions or CSOs) to address environmental issues in WASH provision</p> <p>5.6 Changes in capacity of CSOs to play social accountability roles in WASH</p> <p>Measurement to focus on:</p> <ul style="list-style-type: none"> • Whose capacity has been built? • What changes have been seen in specific targeted skills of targeted groups or roles? • What is the likely sustainability of changes in capacity? • What is the level of demand for or use of new skills? 	<p>Result Areas:</p> <p>6.1 Changes in influence of women in planning and implementing WASH services</p> <p>6.2 Changes in capacity of WASH actors (CSOs or institutions) to take a gender-sensitive approach</p> <p>6.3 Changes in gender equality in homes, schools or community</p> <p>Measurement to focus on:</p> <ul style="list-style-type: none"> • What changes in how women participate and influence decisions are visible? • What changes are evident in CSO's or institution's gender awareness and ability to conduct gender-sensitive WASH approaches ? • What changes in women's and men's roles, relative status, opportunities, responsibilities and relations in the home, school or community have resulted from WASH activities
			<p>Outcome 7: Improved WASH evidence base</p> <p>Result Areas:</p> <p>7.1 Increase in evidence-base about effective WASH approaches</p> <p>7.2 Uptake of lessons and new approaches</p> <p>Measurement to focus on:</p> <ul style="list-style-type: none"> • What were the unit costs per beneficiary of providing access to water or sanitation services, or achieving particular hygiene behaviour changes? • What were the critical success factors and risks in innovative WASH approaches or technologies? • What were the key findings of action research processes conducted? • How has knowledge been proactively shared? • What uptake has there been by local or international stakeholders of new WASH knowledge you have produced? 		