

**Independent Mid-Term Evaluation of
the Water and Sanitation Initiative Global Program**

Final

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Aid activity summary

The Water and Sanitation Initiative (WSI) Global Program			
AidWorks initiative number: INI691			
Commencement date	July 2011	Completion date	30 June 2016
Total Australian \$		\$100.5 million (disbursement until 30 June 2014 \$62.8 million)	
Total other \$		N/A	
Delivery organisation(s)		The Water and Sanitation Program (WB), UNICEF-WASH, UNICEF-SWA- JMP, The World Health Organisation and the Water Supply and Sanitation Collaborative Council, Asian Development Bank	
Implementing Partner(s)		The World Bank, UNICEF, The World Health Organization, the Water Supply and Sanitation Collaborative Council, Asian Development Bank	
Country/Region		Global	
Primary Sector		Water, Sanitation and Hygiene	

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Abbreviations and acronyms

ADB	Asian Development Bank
AUD	Australian Dollar
CLTS	Community Led Total Sanitation
DFAT	Department for Foreign Affairs and Trade
GSF	Global Sanitation Fund
JMP	Joint Monitoring Program
M&E	Monitoring and Evaluation
OECD	Organisation for Economic Cooperation and Development
SWA	Sanitation and Water for All Partnership
TOR	Terms of Reference
UNICEF	United Nations Children’s Fund
WASH	Water, Sanitation and Hygiene
WFPF	Water Financing Partnership Facility
WHO-WQP	World Health Organization Water Quality Partnership for Health
WPP	World Bank Water Partnerships Program
WSI	Water and Sanitation Initiative
WSP	World Bank Water and Sanitation Program
WSSCC	Water Supply and Sanitation Collaborative Council

Summary ratings table – WSI Global Program

Criteria	Rating	Explanation
Relevance	5	The partnerships are well aligned to the WSI Global Program objectives. The WSI Global Program is itself supportive of the Australian aid program priorities. Being global in nature the knowledge related products of the current partnerships are relevant for the Indo-Pacific region even if not all of the partnerships are exclusively dedicated to that region. WASH is a crucial element in enhancing stability in fragile and conflict affected states. However there are opportunities to further support this performance factor.
Effectiveness	4	All the WSI partnerships have demonstrated satisfactory achievement of their objectives. The larger well established partnerships are particularly effective and all partnerships show an increasing trend in effectiveness.
Efficiency	4	Efficiency, as measured by administrative costs as a share of total program expenditure is rated satisfactory for all WSI partnerships. Efficiency has increased for the newer partnerships as the transaction costs of starting up have reduced.
Sustainability	5	All partnerships aim at increasing sustainability not only of their own program activities but of the sector as a whole, globally and in the countries that they are operating. The partnerships themselves are largely sustainable other than the ones that are highly reliant on a single donor.
Gender Equality	4	All of the programs support activities of potential direct benefit to women and in some cases are global leaders in the field. Nevertheless gender is an area where there is much that can still be improved.
Monitoring & Evaluation	4	Monitoring and evaluation has been constantly improving. Some of the partnerships have developed state of the art results framework that track both outputs and outcomes. As a whole attainment of outcomes is less well documented. A results matrix for the WSI Global program as a whole has not been operational and is probably not feasible given the diversity of the portfolio.
Analysis & Learning	5	Many of the partnerships are world leaders on analysis and learning in the WASH sector. There are still improvements possible especially in the dissemination and follow up on practical application of knowledge.

Rating scale: 6 = very high quality; 1 = very low quality. Below 4 is less than satisfactory.

EXECUTIVE SUMMARY

The Water and Sanitation Initiative (WSI) Global Program (2011/12 to 2015/16) aims to address strategic gaps in the Water, Sanitation and Hygiene (WASH) sector programming across the Australian aid program by providing funding for a suite of complementary global WASH partnerships with key multilateral organisations. This mid-term evaluation assesses how well the program as a whole and the individual partnerships are aligned to the Australian aid program priorities and how well the program and partnerships are working. The evaluation also assesses DFAT's engagement with the partners and makes recommendations on the future direction and composition of the program.

Findings

Relevance - The partnership mix provide a well-balanced contribution to the different WSI Global program objectives. Increasing access to safe water and sanitation and improving hygiene behaviour are the main contributions of the WSI Global program to Australian aid objectives. There is an increasing focus on enhancing stability where the WASH sector has much to offer, more than is often recognised. The WSI Global program also contributes to at least 4 of the 10 Australian aid performance targets. The WSI Global Program is highly compliant with the Paris Declaration and Accra Agenda. In summary, all the partnerships were rated as **satisfactory or high (average 5)** on relevance which indicates a good targeting and selection of partnerships.

Effectiveness - The long established programs of UNICEF –WASH, JMP and WSP are rated as highly effective. A key factor in the increasing effectiveness of UNICEF-WASH and WSP has been to shift to a country based programmatic approach so that efforts at advocacy and knowledge management were locally relevant and less piecemeal. All the other partnerships are rated as satisfactory. Generally the technical capacity of the partnerships is strong and well founded. Partnerships have gradually improved their monitoring and oversight and this has been an enabling factor for increasing effectiveness. However, without the leverage that comes with bringing additional funds it is difficult to expect knowledge based efforts to have a strong effect in advancing necessary but unpopular reforms. In summary, the long established WASH partnerships with regional and country offices (UNICEF and WSP) are rated **high** in effectiveness, the others are rated as **satisfactory (average satisfactory)**. Where new programs have been set up e.g. WSSCC-GSF, WHO-WQP, WFPF, the effectiveness has increased over time, in some cases from a relatively low initial level.

Efficiency - The general pattern is that the large well established organisations such as the UN and World Bank are efficient and have well developed systems for procurement, cost control and monitoring. Operations like WHO-WQP and WSSCC that undertake global operations from a single headquarters tend to be expensive in terms of supervision and administration. DFAT by supporting core funding and not setting up special donor-specific trust funds or insisting on donor-specific reporting has tended to support increasing efficiency levels. In summary, there are opportunities to improve efficiencies. All partnerships were rated **satisfactory (average 4)**, none were rated higher. The overall efficiency of WASH is however strongly documented - well known research by WHO indicates that every dollar spent on water and sanitation services will bring four dollars of return.

Impact - For many of the partnerships, impact is measured by the number of people benefitting from the partnership's activities. All the partnerships that aim directly at improving service levels (UNICEF-WASH, WSSCC, WFPF and WHO-WQP) appear to have a very high impact and the DFAT support has contributed to improved water, sanitation and hygiene for millions of poor people, with a focus on children, the disabled and vulnerable groups. The impact of the advocacy, influence and knowledge related intervention is more difficult to measure but available evidence shows a promising impact. No evidence or reporting on negative impacts were found arising from the WSI Global Program. In summary, although the impact cannot be independently verified it is plausible from the evidence available that it is highly significant.

Sustainability - The partnerships that are engaged in direct service delivery are all highly conscious of the need for sustainability (UNICEF WASH, WHO-WQP, WSSCC (GSF) and WFPF) – reflecting the widespread recognition in the WASH community that it is easier to deliver water and sanitation services than to sustain them. The sustainability of the advocacy and knowledge based interventions, which all the partnerships provide in one way or another, depend on the extent to which the key messages are adopted by the relevant target group and turn out to be successful in practice. However, the advocacy and knowledge based activities of the partnerships are generally not good at documenting how the advice and guidance has been taken up. In summary, sustainability is not guaranteed however all of the partnerships are aiming at increasing sustainability not only of their own activities but of the sector globally as a whole, and in the countries that they are operating in. As DFAT is only one of many contributors (apart from the WHO-WQP operations in Asia-Pacific), the work of the partnerships will continue and be sustained albeit at a lower level even if DFAT withdraws. All the partnerships were rated as **satisfactory or high (average 5)**.

Monitoring and evaluation – Six of the 7 partnerships have been subject to independent evaluations. All the partnerships report regularly. DFAT's approach of relying on partnership reporting is judged as pragmatic and a better use of time than attempting to make a unified performance assessment framework on highly diverse partnerships that for the most part were only partly funded by DFAT and where quantifiable attribution to DFAT is difficult at best. In summary, the monitoring and evaluation of the WSI Global Program is satisfactory and constantly improving. Three of the partnerships were rated **high** and the others **satisfactory (average 4)**.

Gender - Gender might be the area of the WSI Global program that is weakest. The UNICEF-WASH program however is a global leader on gender equality in WASH and regularly makes gender disaggregated surveys. In summary, despite the criticism levelled by a number of different reviews and evaluations, it would be fair to say that partnerships do take gender equality seriously and do have a number of sometimes highly innovative initiatives aimed at improving access of women and girls to water and sanitation. The main thrust of the criticism on gender is that there is still more than can be done. Two of the partnerships were rated **high** and the others **satisfactory (average 4)**.

Analysis and learning - The partnerships have prioritised the focus of their advocacy, learning and knowledge sharing over time. Analysis and learning is at the heart of the knowledge based activities which form a part of all the partnerships and are the major part of some of them. The weak links in the knowledge management of the partnerships tend to be in the sharing and application of knowledge. The DFAT funded

WASH conferences provide a venue for the partners to share knowledge. Generally, though, there are many guidelines but less information about how the guidelines are read and put into practice. In summary, analysis and learning is a strong point of most of the partnerships. More attention on documenting how the guidelines are used will strengthen the ability to develop relevant knowledge and ensure that it is disseminated and put into practice. One of the partnerships was rated **excellent**, four were rated **high** and the others **satisfactory (average 5)**.

Conclusions

The key conclusions can be summed as:

- Objectives are being achieved and significant benefits are being realised
- The WSI partnership as a whole is well balanced
- Most of the partnerships are well established with a long track record of achievement
- Monitoring and reporting is improving and leading to improved performance
- There are strong contributions to gender equality but there is more that can be done
- Evidence on the success of dissemination and application of new knowledge and approaches is a weak link in the knowledge chain
- The risks identified in the project design have been managed as foreseen in the WSI project document.
- DFAT engagement is light but strategic

Recommendations

It is recommended that:

- 1) In the context of continuing budget constraints, DFAT prioritises support as follows:
 - Continue funding WSP with alignment to the Indo-Pacific region and fragile states.
 - Continue funding the WHO-WQP, at least to the end of phase 3 and possibly for a further phase provided a set of credible exit plans are developed for each country/intervention.
 - Gradually reduce the funding to GSF in favour of increasing funding to the global advocacy and knowledge management taking advantage of the WSSCC network.
 - Scale future DFAT contribution to SWA so that it is in proportion to that of other donors (< than 25%)
 - If budget constraints allow, fund UNICEF, JMP and WFPF.
- 2) DFAT Engage more actively but in fewer partnerships through forming engagement plans that:
 - Seek a like-minded lead donor to share the burden of continuing the partnerships with WSSCC/ SWA.
 - Matches the needs of DFAT bilateral programs in each country with the potential for applying and testing partnerships based knowledge (as done for the East Timor rural water and sanitation program).
 - Encourages the partnerships to continue improvements in monitoring, evaluation and reporting especially on the success or otherwise of dissemination and the practical application of guidance, advocacy and knowledge sharing efforts.

In addition to these recommendations there are also some suggestions for DFAT engagement with the different partnerships which are presented in the following table:

Summary of suggested DFAT engagement with the partnerships

Partnership	Suggestions for DFAT dialogue [all dialogue is initiated by DFAT with responsible lead organization for potential action in brackets]
WSP	<ul style="list-style-type: none"> Request the relevant DFAT bilateral programs to report on the benefits received from working with WSP and to isolate how these benefits might be replicated for other DFAT programs (as well as national and other donor programs).[DFAT] Clarify how the close coordination with ADB in the Pacific on water will minimise any overlap in support efforts. [DFAT/WSP] Follow up with WSP on implementation of their response to the need identified in the 2013 review to prioritise gender more highly (especially on evidence that the gender guidelines and approaches have actually been applied) [WSP]
WHO-WQ A	<ul style="list-style-type: none"> Document earlier WHO experience on linking with Australian expertise on water safety plans and ask WHO-WQP to engage with Australian utilities and other relevant organisations to explore market based opportunities (beyond subsidized twinning). [WHO-WQP] Review the exit strategy and exit plans for each country; encourage transfer of responsibility for securing the enabling environment from WHO-WQP to national bodies and other donor support efforts. [WHO-WQP] Propose that M&E arrangements set up for follow up on water safety plans use and/or support local monitoring systems where possible to avoid too many parallel systems. [WHO-WQP] Follow up with WHO-WQP on implementation of their response to the need identified in the 2012 review to prioritise gender more highly [WHO-WQP]
WSSCC	<ul style="list-style-type: none"> Discuss how the comparative value of WSSCC’s convening power can be made better use of and explore how what is learnt from the GSF can be translated into material of relevance for other parts of the Indo-Pacific region.[WSSCC] Consider to document the additional impact of GSF by comparing the sanitation progress in similar countries without GSF. [WSSCC] Encourage WSSCC to disseminate widely the findings of new measures for reaching vulnerable groups (if successful). [WSSCC] Follow up with WSSCC on implementation of their response to the internal reviews that 4 of the 11 GSF programs need to prioritise gender more highly [WSSCC]
SWA	<ul style="list-style-type: none"> Follow and understand the changing global priorities for external support to enhancing commitments to sanitation and water [DFAT or lead donor/SWA] and how best to use the SWA convening power to enhance rather replace or weaken domestic arrangements for linking WASH and the finance/planning function. [SWA] Discuss with SWA on how SWA reporting and follow up on commitments can focus more on the conditions needed for effective use of public financing for sanitation as well as mobilisation of user contributions. [SWA] Discuss with SWA the opportunities for promoting gender equality at high level meetings [SWA]
JMP	<ul style="list-style-type: none"> Discuss what readiness measures and other minimum commitments are required by the Pacific countries in terms of staffing and recurrent budget for monitoring and evaluation. [JMP]
UNICEF-WASH	<ul style="list-style-type: none"> Request information on how knowledge products produced in part under WSI Global Program funding have been used in practice and disseminated also to Australian bilateral programs.[UNICEF-WASH].
WPFP	<ul style="list-style-type: none"> Request WPFP to report on lessons learnt based on a few sample projects that represent good practice [WPFP]

1 INTRODUCTION

The Water and Sanitation Initiative, Global Program.

The background and purpose of the mid-term review on the Water and Sanitation Initiative (WSI) Global Program (2011/12 to 2015/16) are clearly described in the Terms of Reference (TOR). As outlined in the TOR, the WSI Global Program aims to address strategic gaps in the Water, Sanitation and Hygiene (WASH) sector programming across the aid program by providing funding for a suite of complementary global WASH partnerships with key multilateral organisations. The three objectives of the program are:

- promoting policy and regulatory reform and building capacity to deliver sustainable services;
- supporting country programs and expanding the reach of Australia’s WASH funding; and
- improving analysis, research and the knowledge base in the WASH sector and promoting cross-country learning.

The current phase of the WSI Global WASH Program began in June 2012 and included funding approval of AUD 100.5 million over 2011-12 to 2015-16 for eight partnerships with multilateral organisations: (1) the World Bank Water and Sanitation Program (WSP); (2) the Asian Development Bank (ADB) Water Financing Partnership Facility (WFPF); (3) the World Health Organization Water Quality Partnership for Health (WHO WQP); (4) the Water Supply and Sanitation Collaborative Council (WSSCC) (housed in UNOPS); (5) the UNICEF global WASH program; (6) the UNICEF/WHO Joint Monitoring Program (JMP); (7) the World Bank Water Partnerships Program (WPP); and (8) the Sanitation and Water for All Partnership (SWA). The first six partnerships were previously supported under the first phase of the program (2008-09 to 2010-11), while the latter two partnerships were envisaged as new partnerships. Since 2011-12, funding agreements have been signed for five partnerships: WSP; WHO WQP; WSSCC; SWA and JMP (the latter two are managed by UNICEF). Due to other budget priorities, new funding agreements have not been initiated for three partnerships: UNICEF’s global WASH program, WFPF and WPP. However, DFAT has continued to engage with UNICEF and the ADB WFPF due to funding previously provided under the WSI Global Program prior to 2011-12. In practice, there are only 7 active partnerships as the WPP has not yet been funded either in this or earlier phases.

The review looks at the WSI global program as a whole and at each partner. The program focus is on how the program as a whole is working, DFAT’s engagement with the partners and recommendations on the future direction and composition of the program. The partner focus is on the performance of the individual partners and how well they are aligned to the Australian aid program priorities. The 4 purpose related statements of the TOR reflect this well as shown below:

Table 1 Purpose of the mid-term review

Focus	Purpose of the mid-term review
WSI global program	Assess the WSI Global Program as a whole, including what is working well, what is not (and why) and how DFAT might improve its engagement with WSI partners
	Make recommendations on which of the eight partnerships are best placed to deliver against the WSI Global Program objectives in the future to meet aid program priorities and why
Partners	Assess how well aligned the current partnerships and funding are to Australian aid program priorities
	Assess the individual performance of the eight multilateral partnerships since 2011-12

The review has both a backward and forward looking purpose. The ultimate purpose of the mid-term review is to provide information on how well the WSI objectives are being reached and whether any adjustments in support or approach are needed. The main users of the mid-term review will be DFAT staff responsible for the WSI and those responsible for managing the DFAT contribution at the 8 different partners involved.

Methodology

As a desk based study the review relies primarily on independent reviews and evaluations where they are available and on internal monitoring and evaluation reporting undertaken by the partners themselves. Independent reviews were available for 6 of the 7 partners whilst all partners have some form of internal reporting. The available documentary evidence was complemented and confirmed through interviews with the partners and stakeholders. The stakeholders primarily consist of DFAT and included some of the consultants and others working for the partnerships and in one case contact was also made with end users. The review of both the WSI global program and the partners was structured around the 8 standard DFAT evaluation criteria and the 3 WASH specific criteria.

The limitations of the review relate principally to the desk based nature of study and the timing of the review. The mid-term review looks at what has been achieved from June 2012 to June 2014. However, many of the processes involve a much longer time frame. As recognised by the TOR, the review cannot expect to find evidence of impacts of the actions taken but, where possible, intermediary steps on a pathway from outcome to impact have been examined. The review, with around 2 workdays per partnership, was designed to provide an overview rather than an in-depth evaluation of each partnership.

2 Findings

Annex B provides a detailed partner by partner assessment of the evaluation criteria. This section summarises the detailed findings across the different partners.

2.1 Relevance

The relevance of each partnership is assessed on the extent to which the activities of the partnerships: i) contribute to the objectives, and align with the design, of the WSI Global Program; ii) contribute to the purpose and priorities of the Australian aid program as outlined in the new development policy 'Australian aid: promoting prosperity, reducing poverty, enhancing stability' and iii) comply with the Paris Declaration and Accra Agenda on aid effectiveness.

The WSI global program has 3 objectives which can be paraphrased as outcomes as outlined in the TOR:

- Influence global policy, knowledge sharing and advocacy on WASH
- Improve service delivery, sustainability, and service quality in WASH
- Leverage multilateral WASH programs to improve effectiveness and implementation of WASH at scale

The mix of partnerships provide a well-balanced contribution to the different WSI Global program objectives. The contribution of the different partnerships to these outcomes is illustrated in figure 1. The figure is a simplification as it only shows the main contribution of the partnerships – acknowledging that most of the partnerships have some degree of contribution to all areas. The figure indicates that all

partnerships contribute to the outcomes and the program as a whole is well balanced between the outcome areas. WSP focusses mainly on policy, knowledge and advocacy but also extends to improving service delivery and sustainability and leveraging WASH at scale (through its hosting within the World Bank (WB) and its incorporation in the World Bank’s new global water practice).

The purpose of Australian aid is to contribute to “Economic growth, poverty reduction and enhancing stability”. The contribution of WASH related activities to the overall Australian aid program are in the following areas (TOR):

- Economic Growth: (creating sustainable services)
- Human Development: (Improved hygiene behaviour ; increased access to safe water and basic sanitation)

Increasing access to safe water and sanitation and improving hygiene behaviour are the main contributions of the WSI Global program to Australian aid objectives. An attempt was made to rate the relative contribution of each partnership to the four areas above. Annex B provides the details for each partnership as well as the methodology used¹. A combined rating for all partnerships is shown in figure 2 and shows that the main contribution is towards increased access to safe water and basic sanitation with improved hygiene behaviour also an important area. Especially WSP, WSSCC and UNICEF focus on behaviour change on hygiene not least through the software activities associated with the Community Led Total Sanitation (CLTS) approach. The relatively weak score on creating sustainable services (compared to other priorities) is surprising but perhaps recognises that many of the partnerships address sustainability at an advocacy level but there is less evidence that they are able at a country level to contribute strongly to the institutional and financial changes needed to enhance sustainability. There is greater political demand and support for increasing coverage than improving sustainability. Sustainability, especially as a preventative measure, is less visible as a goal and will often work against short term political interests (e.g. keeping tariffs low).

Figure 1 – link to WSI outcomes

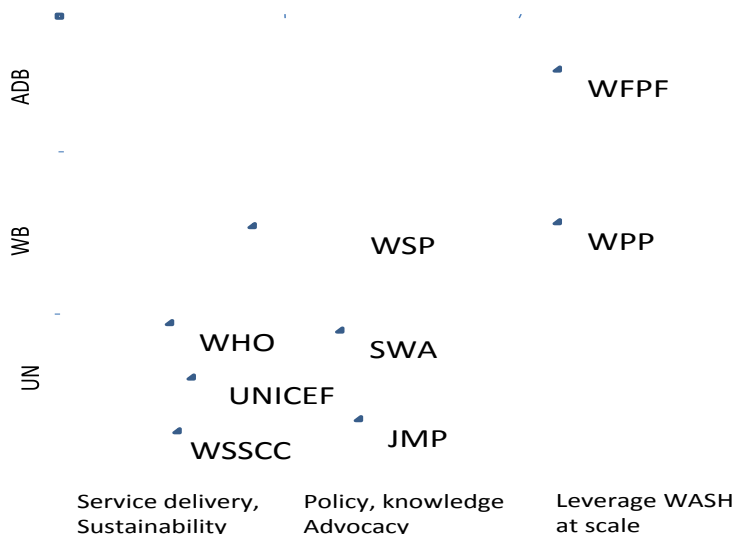
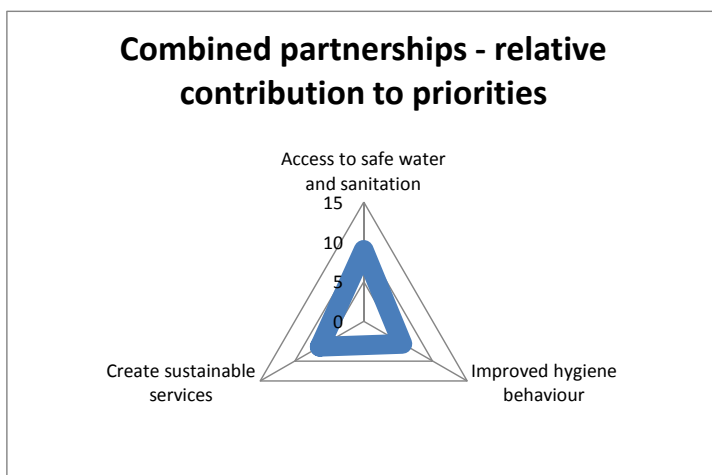


Figure 2 Relative contribution to Australian Aid priorities



¹ The contribution to priorities scores the relative contribution where a total of 24 points are distributed between the 4 priorities. It should be noted that this is based on a judgement which in turn is based on a review of the activities and priorities outlined in project documents and reporting.

There is an increasing focus on enhancing stability where the WASH sector has much to offer, more than is often recognised. The WSI global program has fragile and conflict affected states as one of its 6 focus areas. Improving service delivery, particularly water supply, underpins a fragile democracy and can support government legitimacy and authority to re-establish the rule of law and foster cooperation instead of discord. WSP has provided support to DFAT programs in East Timor and has also been active in Papua New Guinea both of which are considered fragile, it is also extending its reach to the Pacific Islands and is engaged in relevant networks in the area. The ADB has classified more than a third of its poorest members as countries in fragile and conflict-affected situations in 2012. Nine of these 10 countries are in the Pacific. In many cases the fragility is linked to inadequate and polluted water resources further threatened by climate change. With ADB taking the lead in water in the Pacific, the WFPF plays a vital role. In the Indo-Pacific region, WSSCC supports Nepal which is a fragile country. The WHO-WQP program supports activities in Nepal, Myanmar and East Timor which also helps to enhance stability in the region.

The WSI Global program also contributes to at least 4 of the 10 Australian aid performance targets. The Australian aid program has some 10 performance targets of which the following are particularly relevant for the WSI Global Program

- Priority # 2 - Engaging the private sector: All new investments will explore innovative ways to promote private sector growth or engage the private sector in achieving development outcomes.
- Priority # 3 - Reducing poverty: By July 2015, all country and regional programs have Aid Investment Plans that describe how Australia's aid will promote economic growth in ways that provide pathways out of poverty.
- Priority # 4 - Empowering women and girls: More than 80 per cent of investments, regardless of their objectives, will effectively address gender issues in their implementation.
- Priority # 5 - Focusing on the Indo-Pacific region: Increase the proportion of country program aid that is spent in the Indo-Pacific region to at least 90 per cent from 2014–15.

Priority #2- Private sector: is supported by those partnerships such as WSP which aim at documenting and triggering a business case for sanitation. The CLTS approach adopted by WSSCC also stimulates the local private sector. The WHO-WQP program works with utilities and has encouraged exchange between utilities in Asia-Pacific and Australia (although a full twinning was halted due to lack of funding).

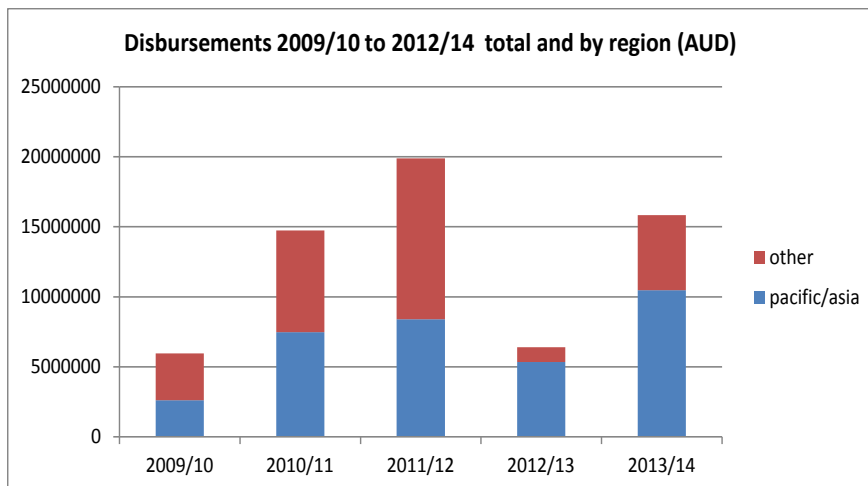
Priority #3- Poverty: is supported by all the partnerships in that they are focussing their attention on those population groups that are unserved by adequate water and sanitation and therefore among the poorest in the world. UNICEF with its focus on children is particularly effective in targeting poverty.

Priority #4 – Gender: is similarly supported by many of the partnerships in so far as women and girls tend to bear the brunt of the water and sanitation burden. UNICEF in particular targets girl children and WSSCC in its advocacy work has also focussed on menstrual hygiene.

Priority #5 – Regional focus: is supported in two ways; directly by those partnerships focusing intensively on the Indo-Pacific region such as WHO-WQP or by partnerships which have programs dedicated to the region such as WSP and UNICEF, and indirectly by the provision of global public goods of a knowledge/nature that also serves the interests of the Indo-Pacific region even if not solely devoted to the

region. An attempt was made to estimate the proportion of expenditure, partnership by partnership using information on geographic expenditure and making conservative assumptions. This attempt indicates that just over 50% of the disbursement are in the Indo-Pacific region with perhaps a further 25% having a global relevance (the remaining 25% being devoted mainly to Africa). Figure 3 shows the distribution over the years (where the second phase starts from 2011/12)

Figure 3 Disbursement



The WSI Global Program is highly compliant with the Paris Declaration and Accra Agenda.

Over 90% of the funds are transferred as core financing via multi-donor trust funds or single donor trust funds where Australia is the only donor (WHO-WQP). Earlier on there was some earmarking for the Asia-Pacific region for the WSP

funding and the recent JMP funding is also earmarked for the Asia-Pacific region. No DFAT specific reporting is demanded and the transaction costs and distortions are kept to a minimum.

In summary, all the partnerships were highly rated on relevance which indicates a good targeting and selection of partnerships.

2.2 Effectiveness

The effectiveness of the partnerships and WSI Global program as a whole is assessed on the basis of evidence that stated objectives are being achieved and the degree to which enabling or inhibiting factors are being managed to advance progress.

The long established programs of UNICEF –WASH, JMP and WSP are rated as highly effective. These partnerships and the host or implementing bodies behind them have decades of experience in WASH and have undergone scrutiny, restructuring and constant refinement in their operations especially in the last 10 years.

- UNICEF - External and independent evaluations of UNICEF as a whole (OECD, 2013) and of its programs (e.g. support to CLTS, UNICEF, March 2014) indicate a high and increasing effectiveness.
- WSP has similarly been subject to independent evaluations (Universalia, 2009, 2013) which found WSP effective towards achieving its objectives – although it is also noted by some observers that the WSP objectives are sometimes set unrealistically high.

A key factor in the increasing effectiveness of UNICEF-WASH and WSP has been to shift to a country based programmatic approach so that efforts at advocacy and knowledge management were locally relevant and less piecemeal and ad hoc. Both UNICEF and WSP benefit from regional and country offices

and programs which provide a long term continuous interface with country authorities allowing opportunities for influence and advocacy to be taken as they arise.

All the other partnerships are rated as satisfactory. Generally the technical capacity of the partnerships is strong and well founded.

- WHO-WQP has made significant strides in developing water safety plans and close to 260 are now in place with the potential to improve the water quality for some 23 million people. Efforts have been made to ensure that the enabling environment for the water safety plans are also addressed.
- WSSCC (GSF) after a slow start has started to accelerate and become more effective with a doubling in the last 12 months of the number of people served by sanitation through the facility actions to 3.1 million and the number of people who have adopted improved hygiene practices reaching 6 million.
- SWA has also become more effective over the last year with a very successful high level meeting that was well prepared and set the scene for meaningful advances on commitment to action by member states. SWA has a niche in bringing together high level stakeholders who are outside the water sector but highly influential e.g. finance ministers. This niche needs to be complemented by further refinement of the purpose and mandate of the SWA so that it can work to its comparative advantages.
- WFPF, after a difficult start in the early years is also proving effective. An evaluation of 3 financing facilities in ADB (ADB, December 2010) noted that outputs were achieved but evidence of outcomes was more difficult to come by. The new evaluation framework put in place since the evaluation have improved the accountability on achieving outcomes. In total according to the 2013 annual progress report (ADB, 2013), some 45 million people have benefitted from improved water and sanitation under projects supported by the WFPF.

Better monitoring and oversight is an enabling factor. Independent evaluations and the adoption of results orientated monitoring frameworks (often at the insistence of donors such as DFAT) have tended to be enabling factors in increasing effectiveness. For several partnerships (WSSCC, WHO, SWA, WFPF), low effectiveness was observed at the start of new programs mainly associated with teething problems and probably also unrealistically high objectives or an underestimate in the time taken to mobilise a new program of work.

Without the leverage that comes with bringing additional funds it is difficult to expect knowledge based efforts to have a strong effect in bringing in necessary but unpopular reforms - especially where the political economy is less favourable. There can be a tendency to repeat well known advice such as “increase tariffs” but without influence. That having been said, there is still a significant effort made towards sustainability e.g. the water quality improvements of WHO-WQP, the adoption of the CLTS approach by WSSCC through the GSF and the advocacy of UNICEF, WSP and others. The WSP and WFPF because of their links to the loan portfolio of their host organisations have a stronger entrance point. The WSP (in Indonesia through the Pamsimas project and Vietnam through the support to the National Target Program) and the WHO-WQP (through projects in Laos) have increased the leverage and relevance of their advocacy by linking with Australian funded WASH interventions. The WSSCC has focussed more on leveraging additional sources of money to expand services through its GSF which is partly a response to recognition given to agencies that are associated with additional funding and perhaps also the greater

influence on increasing efficiency, raising tariffs and instituting reforms that can arise when a concrete contribution is also being made to improving services.

In summary, the long established WASH partnerships with regional and country offices (UNICEF and WSP) are rated highly effective, the others are rated as satisfactory. Where new programs have been set up e.g. WSSCC-GSF, WHO-WQP, WFPF, the effectiveness has increased over time.

2.3 Efficiency

Efficiency is assessed according to the extent that the partnerships are being managed to get value for money from DFAT's input of funds, staff and other resources. In some cases it will be relevant to look at the administrative cost of the programs as a percentage of the overall expenditure although it is difficult to compare such percentages as the partnerships are different in the nature of their activities and the type of support required. The calculation of administrative costs is also done differently between different organisations.

- WSP - a series of evaluations and reviews of WSP point to its relatively high and increasing efficiency levels (Universalia, 2009, 2013; Rajasingham, 2012) – evidence cited includes an increasing level of disbursement and a reduced level of administrative costs - with over 90% of the consultants in the field. According to the WSP 2013 report, staff and travel costs have fallen 7%. Although the staff costs are not low compared to NGOs or national organisations, WSP is able to attract a consistently high quality of staffing which is also a factor in efficiency. Although a focus on the Pacific follows DFAT priorities and increases the relevance of the work, it could reduce efficiency as the division of labour agreement between the World Bank and ADB was that ADB focuses on water. WSP operations, following World Bank norms, are probably more expensive than those of NGOs and even consultants that also contribute to knowledge management and sharing.
- UNICEF-WASH, SWA and JMP all operate under similar conditions and follow similar procedures. Over the years, the UN specialist agencies have been put under a lot of pressure to put in place efficiencies and to reduce costs to a minimum. According to an OECD evaluation (2013), UNICEF is performing well in this respect noting that program actions were efficient and there was still room for improvement of systems and procedures (i.e. reducing bureaucracy). Head office expenditure is less than 1% which is remarkable.
- WHO-WQP, operating out of Geneva and needing to provide a high level of oversight on its locally recruited agents has relatively high administrative costs. Depending on how the time of head office staff is allocated in directly supporting field activities, the administrative costs are estimated at between 19 and 23 percent which is high when compared to other partnerships. As noted in earlier reviews the cost of the outputs such as the water safety plans are however on the low side and indicate a high use of cost effective local staff (which might explain the high head office supervisory inputs). If the water safety plans are put into action it is likely that they will save many times their costs by presenting highly cost effective investments and actions for improving water quality.
- WSSCC, like WHO-WQP, also operates from an expensive head office base which has high administrative costs (22%). Both WHO and WSSCC use competitive bidding for procuring goods and services.

- WFPF and similar facilities were found under an ADB special evaluation (2010) of financing facilities to be “less efficient” at least in the start period where transaction costs were high. The disbursement target is now exceeding target levels indicating that the operations are more efficient and streamlined.

The general pattern is that the large well established organisations such as the UN and World Bank are efficient and have well developed systems for procurement, cost control and monitoring. They have also been subject to constant scrutiny over costs, which has tended to increase efficiency over time. Nevertheless being large complex organisations they are subject to a heavy bureaucracy and a not insubstantial amount of senior staff time is consumed on administrative matters. Where, like UNICEF and WSP they are of a size that allows regional and country offices, the efficiency is likely to be higher as costs can be lowered and the distance from management to action is less.

Operations like WHO-WQP and WSSCC that undertake global operations from a single headquarters will tend to be expensive in terms of supervision and administration if the same degree of low fiduciary risk is to be maintained. SWA and JMP which have an advocacy and information gathering role tend to be more efficient as they do not need to exert supervision over local activities to the same extent. Thus, efficiencies differ but to some extent can be explained by the nature of the operations. Where risk of misuse of funds is high the efficiency will appear lower as more administrative burden is needed.

DFAT by supporting core funding and not setting up special donor-specific trust funds or insisting on donor-specific reporting has tended to support increasing efficiency levels.

In summary, there are opportunities to improve efficiencies. None of the partnerships were rated more than satisfactory. The overall efficiency of WASH is however strongly documented - well known research by WHO indicates that every dollar spent on water and sanitation services will bring four dollars of return.

2.4 Impact

Impact is difficult to measure especially at mid-term. The assessment is based on evidence of obvious changes (intended and unintended), including to the lives of beneficiaries and their environment – noting the positive/negative impacts from external factors. Measuring impact has 2 challenges: attribution (because many organisations and factors are usually involved and it is difficult to isolate the contribution of any one agency); time scale (because impact normally takes a long time to become evident). Another complicating factor is that when counting the number of beneficiaries under a program, the quality and degree of benefits are not easy to define. Table 2 provides a summary of impacts reported on in the latest annual reports and results frameworks.

For many of the partnerships, impact is measured by the number of people benefitting from the partnership’s activities - such measurement is easier for direct services such as sanitation and water supply - although rarely entirely straightforward. For example, the GSF works directly with efforts to create open defecation free communities where it is noted that 3.1 million people have benefitted but as observed by WSSCC itself the full attribution is complex as there are also many other efforts that currently and in the past have contributed. For actions of a more catalytic nature such as those of WSP, the impact is even more difficult to measure because by design such catalytic actions are not done alone. Against these

factors there is an increasing improvement in the monitoring and evaluation of result framework in international partnerships including the ones under the WSI Global Partnership. WHO-WQP for instance is developing an impact pathway and theory of change type framework to identify intermediary indicators of water quality and health as well as policy, institutional and equity outcomes.

Table 2 Summary of outcomes

<p style="writing-mode: vertical-rl; transform: rotate(180deg);">WSP</p> <ul style="list-style-type: none"> • Supported 37 million in sanitation services • Over 600,000 benefitting from water services • Over 80% of water and over 90% of sanitation firms supported are profitable. 	<p style="writing-mode: vertical-rl; transform: rotate(180deg);">WSSCC</p> <ul style="list-style-type: none"> • 3.1 million with improved toilets • 5.9 million living in ODF environments • 7.0 million with hand washing facilities 	<p style="writing-mode: vertical-rl; transform: rotate(180deg);">UNICEF</p> <ul style="list-style-type: none"> • 14.1 million with improved sanitation • 7.9 million with improved water • 2.4 million children with WASH facilities in schools.
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">SWA</p> <ul style="list-style-type: none"> • Over 50% of 356 commitments by 37 developing countries either completed or in good progress • Over 75% of 60 commitments from 11 donors either completed or in good progress • High level meetings increasingly successful 	<p style="writing-mode: vertical-rl; transform: rotate(180deg);">WHO-WQP</p> <ul style="list-style-type: none"> • 23 million people served by water safety plans • 259 Water safety plans completed • 15 countries supported with water safety plans 	<p style="writing-mode: vertical-rl; transform: rotate(180deg);">WFPF</p> <ul style="list-style-type: none"> • 45 million with improved water and sanitation • 68% of projects supported are gender sensitive • Business practices introduced in 22 projects

All the partnerships that aim directly at improving service levels (UNICEF-WASH, WSSCC, WFPF and WHO-WQP) appear to have a very high impact. The increasing in school coverage arising from the UNICEF-WASH activities are impressive (rising from an average coverage of 59% in 2008 to 68% in 2012) and are likely to have major impacts on health, gender equality, education not only for the current generation of children but for future generations. The hygiene messages will tend to reduce public health risks (including those arising from sudden outbreaks such as Ebola and bird flu) in the future. Similarly the impact of the GSF work of WSSCC will be substantial in terms of health, reduction of stunting and quality of life. As mentioned earlier some 45 million people are estimated to have benefitted from WFPF investments aimed at improving services.

The impact of partnerships that are more involved in advocacy, influence and knowledge related interventions are more difficult to measure. The mid-term review of WSP (Universalia, 2013) noted that the knowledge products produced and disseminated by WSP were found useful by its clients and development partners: “External stakeholders at the country-level considered the sharing of knowledge and development of knowledge products to be one of WSP’s key strengths. Generally speaking, knowledge products seem to be relevant and useful to actors intervening in the WASH sector, especially at the country-level. When clients were asked to qualify their responses relative to why they considered WSP to be an effective agent of change in their country, answers invariably included the notion that the Program is

able to move from “*global knowledge to local action*,” that it offers “*access to global best practice*,” or provides opportunities to “*learn from the experiences of other countries*” that have faced similar challenges.” The advocacy of SWA is too young to demonstrate impacts although there are promising signs such as the engagement of the political level and the Ministers of Finance.

No evidence or reporting on negative impacts were found arising from the WSI Global Program.

In summary, the impact cannot be independently verified but it is plausible from the evidence available that it is highly significant.

2.5 Sustainability

Sustainability is assessed by examining the extent to which the partnerships have identified and addressed sustainability issues taking into account partner government systems, stakeholder ownership, phase-out strategy and the use of social and environmental safeguards.

The partnerships that are engaged in direct service delivery are all highly conscious of the need for sustainability (UNICEF WASH, WHO-WQP, WSSCC (GSF) and WFPF) – reflecting the recognition in the WASH community that it is easier to deliver water and sanitation services than to sustain them. For the most part their interventions are specifically directed at improving sustainability. For example:

- WFPF supports ADB loan implementation projects in institutional capacity development and social participation.
- UNICEF-WASH program spends one third of its budget on capacity building and sustainability related actions.
- The sanitation activities of both UNICEF-WASH and WSSCC (GSF) involve the use of CLTS which itself is based on triggering a sustainable self-supply approach. The potential for slippage after a community has reached open free defecation status is recognised by WSSCC and closely monitored.
- WHO-WQP recognise that the sustainability of many of the water safety plans developed are vulnerable. Extensive support is being provided to ensure that the enabling environment for the plans is also strengthened. As mentioned earlier exit strategies are also being prepared although more explicit effort on linking up to other longer term support efforts would probably be useful to secure longer term sustainability.

The sustainability of the advocacy and knowledge based interventions, which all the partnerships provide in one way or another, depend on the extent to which the key messages adopted by the relevant target group and turn out to be successful in practice. So changes in policies for example such as the widespread adoption of CLTS by the government of Indonesia as advocated by WSP will be sustainable provided it works in practice and gains the continued support and confidence of the government. In many cases the advocacy and knowledge is pilot tested first, then refined and finally demonstrated at scale before it is considered sufficiently refined to be offered as guidance. The modus operandi of all of the partnerships involved in advocacy and knowledge sharing is highly appropriate for enhancing sustainability e.g.: i) efforts are made to ensure that messages and advocacy are institutionalised (e.g. WHO is working with ADB to introduce water safety plans in the staff handbook); ii) ownership of the advice and guidance is

emphasised by ensuring that the ultimate user groups are part of the process of developing the findings (e.g. involvement of the government of Indonesia in the scaling up trials of CLTS).

However, the advocacy and knowledge based activities of the partnerships are generally not good at documenting how the advice and guidance has been taken up. Many workshops, guidelines and publications are made but the key messages and evidence on whether they are adopted and how well they are working in practice is more difficult to find (and much more difficult to measure). Where there are country or regional offices (as for WSP and UNICEF-WASH) the longer term local presence is more likely to ensure that the messages are heard and refined to suit local circumstances which in turn will enhance the sustainability of the knowledge based activities.

The partnerships, hosted by the UN, the WB and ADB, are under organisations that have strict and well defined social and environmental safeguards which are evaluated and audited regularly both at program and project level. UNICEF-WASH is one of the partnerships that goes a further step in that it deliberately addresses children as a vulnerable group.

In summary, sustainability is not guaranteed however all of the partnerships are aiming at increasing sustainability not only of their own activities but of the sector as a whole, globally and in the countries that they are operating in. As DFAT is only one of many contributors (apart from the WHO-WQP operations in Asia-Pacific), the work of the partnerships will continue and be sustained albeit at a lower level even if DFAT withdraws.

2.6 Monitoring and Evaluation

The monitoring and evaluation assessment looks at the extent the organisations’ monitoring and evaluation frameworks effectively measure progress towards meeting their own objectives and the WSI Global Program objectives and performance framework. The partnerships are examined to see whether: i) they have an independent evaluation in recent years; ii) they monitor outputs, outcomes at a program as well as activity level; and iii) the quality of their monitoring and evaluation framework and reporting.

A summary of the assessment of the 7 active partnerships is given below.

Table 3 M&E	WSP	WHO	WSSCC	UNICEF	JMP	SWA	WFPP
Independent Evaluation (year)	(2009, 2013)	(2012)	(2010)	(2013 – OECD)		(2014 underway)	2010
Regular reporting on outputs, outcomes	✓	✓	✓	✓	✓	✓	✓
Quality of M&E	High	Medium	High	High	(Medium)	Medium	Medium

This assessment shows that 6 of the 7 partnerships have been subject to independent evaluations in one way or another. Only JMP has not been evaluated and this is partly explainable by the nature of the JMP, which is itself an M&E effort and where the statistical basis for its work is under UN scrutiny. UNICEF-WASH was not subject to specific evaluation but UNICEF as a whole was evaluated through a meta evaluation approach by OECD and has also been evaluated by DFAT as part of a multilateral assessment of international organisations. Aspects of UNICEF-WASH were subject to independent evaluation e.g. the

UNICEF-WASH approach to CLTS was recently evaluated (March 2014). The degree of independence of the evaluations could potentially be called into question in that they were funded and managed by the same organisation that was under evaluation. In some cases the partners have an independent evaluation department which helps as a check and balance. However, no obvious weaknesses or conflicts of interest were observed.

All the partnerships report regularly, at least annually and sometimes semi-annually on outputs and outcomes. The quality of the monitoring and evaluation framework varies and under this assessment is measured by the extent to which the critical link between outcomes and impact is handled; the extent to which the results obtained are reflected on in the annual reports and; the clarity of presentation of results.

- WSP, as outlined in the independent reviews, has been constantly improving its M&E especially after it was brought up as a weak point in the review of 2009. Its M&E is particularly good on the definition and mapping of intermediate outcomes and development of theories of change (e.g. on the Domestic Private Sector Participation area of work).
- UNICEF-WASH have a clear, concise and rigorous reporting on results. They carry regular in-depth evaluation at the country level of their operations which is more, precise, useful and likely to lead to worthwhile insights than a global level evaluation would.
- WSSCC also report in a clear way on the outcome of their flagship GSF program which accounts for the majority of its expenditure. The report reflects on the lessons learnt and offers idea for how to improve e.g. on sustainability of CLTS interventions.
- WHO-WQP undertake regular country level assessments and hold regional mid-term reviews to reflect on results achieved. The head office team is highly involved and knowledgeable about the program and is constantly monitoring progress and considering how to improve and enhance sustainability. There are plans to introduce a more sophisticated results framework that looks at intermediary outcomes but this is not yet in place.
- The SWA provide a short and illustrative annual report on the progress in gaining commitments for sanitation in particular. The underlying monitoring system still needs to be developed to verify commitments and bring greater credibility.
- WFPF has developed its results based M&E following the special evaluation of 2010. The widespread nature of the interventions that it serves is on one side a strength but also makes it difficult to bring together solid information on the extent the change processes assisted have been successful.

WSI global performance framework

The DFAT design summary and implementation document (April 2012) notes that the overall success of this program will be monitored at two levels: i) at a program level involving the use of a performance framework which includes key outputs, outcomes and impacts that could be expected to be delivered through the proposed partnerships; ii) at a partnership level which will involve assessing the performance of the partnerships on the basis of their own frameworks. A performance assessment framework and overall theory of change outline were developed to support the program level of monitoring. Objective (1), outcome (17) and output (17) indicators some 35 in total were identified and defined. It was recognised that it would be difficult to set targets due to the varying nature of the different partnerships.

The complexity, transaction costs and difficulty of bringing together the monitoring results of 8 partnerships is unlikely to be worth the effort especially given that the partnerships for a variety of reasons reported on different indicators using different definitions and over different reporting periods. Realising this, it was decided to rely on the partnerships own monitoring and evaluation and concentrate resources on carefully monitoring of partners' reporting and engaging in a dialogue on results. Reporting on progress and results for the WSI Global Program as a whole is done through the regular Quality at Implementation Reports. The latest of which is dated 14 March 2014.

DFAT's approach is judged as pragmatic and a better use of time than attempting to make a unified performance assessment framework on highly diverse partnerships that for the most part were only partly funded by DFAT and where quantifiable attribution to DFAT would have been guesswork or at best, heavily qualified by assumptions.

In summary, the monitoring and evaluation of the WSI Global Program is satisfactory and constantly improving.

2.6 Gender equality

Gender equality is assessed by examining what impact (if any) the funded partner's activities have made toward achieving gender equality and the active participation of women and girls and to what extent the activities promote access, decision-making, rights and capacity-building for women.

Gender might be the area of the WSI Global program that is weakest.

- The WSP although in some respects one of the leaders in the field of gender in WASH acknowledges the accuracy of the recent mid-term review (2013) which pointed to a relatively low performance on gender, with gender not featuring strongly in the business plan and a lack of evidence of the application of gender guidelines and approaches by the intended beneficiaries such as governments and NGOs.
- The WHO-WQP program according to a review in 2012 was not found to treat gender as a priority. This is now being vigorously addressed by incorporating gender in the master training program of national coordinators and through a special guide scheduled for publication in 2015.
- WSSCC report that 4 of the 11 GSF programs internally conclude that they need to improve how the programs address gender and disability concerns in access to sanitation.
- SWA whilst considering gender in all its work does not appear to seek out opportunities for advancing gender equality at its high level meetings where gender messages could effectively be transmitted.
- WFPF has set high targets of ensuring that 80% of the projects supported are defined as gender sensitive. Currently it has fallen short of this target in that 68% of projects are gender sensitive according to the ADB classification – the high target is however commendable.

The UNICEF-WASH program is a strong leader on gender equality in WASH and regularly makes gender disaggregated surveys. The annual reports for example have a special chapter on gender.

In summary, Despite the criticism levelled by a number of different reviews and evaluations, it would be fair to say that partnerships do take gender equality seriously and do have a number of sometimes highly innovative initiatives aimed at improving access of women and girls to water and sanitation. The main

thrust of the criticism on gender is that there is more that can be done. These partnerships that have a global profile and thought leadership could contribute even more than they are doing presently to advance gender equality with UNICEF-WASH providing a good example of the level of priority needed to achieve this.

2.7 Analysis and learning

Analysis and learning is assessed on the extent to which the activities are based on sound technical analysis and continuous learning.

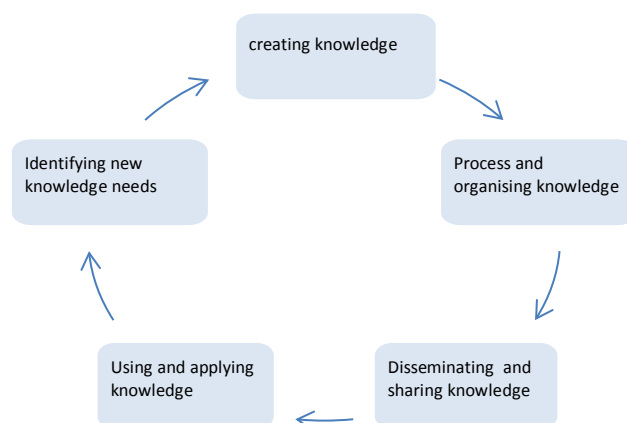
The partnerships have refined and prioritised the focus of their advocacy, learning and knowledge sharing over time. This has enabled them to develop more precise messages and follow them up. WHO-WQP has a single point of focus, which is the water safety plans. WSP has focussed on a number of major areas: (scaling up rural sanitation and hygiene; domestic private sector participation; urban poor services; adapting to climate change and providing services in fragile and conflict affect states)- within these areas it is able to develop clear and well researched messages and disseminate them in a variety of ways including the use of South-South channels and horizontal learning that makes use of WSP’s field presence. The UNICEF-WASH program focuses its advocacy on WASH in schools and on the rights of children. The SWA concentrates on making the case for greater allocation of finance and triggering commitments by developing countries. The JMP reports on attainment of the WASH related MDGs. These partnerships, especially where they have country and regional operations, have been relatively successful in developing tailored messages, in bidding their time and reacting to opportunities to advocate and in follow up.

Although local service delivery and global advocacy can complement each other, it is not easy to strike a

balance. The WSSCC through the GSF program focus on CLTS and have developed impressive reporting and reflection on the results. However, their global advocacy and knowledge advancement that could benefit and make use of their wider membership base does not seem to be as active or influential as it could be. The WFPF in supporting many different types of loan projects including water resources and flood works does not seek to contribute explicitly to knowledge on a global level but instead concentrates its attention at the project level, which in some cases where national reforms are involved could also be highly influential.

Analysis and learning is at the heart of the knowledge based activities which form a part of all the partnerships and are the major part of some them. In a simplified knowledge management cycle (figure 4) the weak links tend to be in the disseminating and sharing knowledge and the use and application of the knowledge. This general contention is supported by the observations from reviews that it is the application of advice and advocacy and take up by the intended beneficiaries which is not well documented.

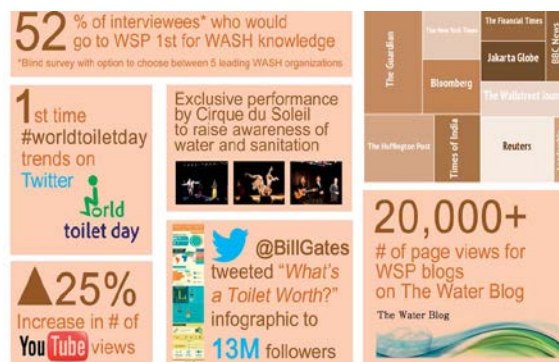
Figure 4 Knowledge management cycle



As noted under effectiveness there are many guidelines but less information about how the guidelines are read and put into practice. WSP has gone to great efforts over the years to improve this part of the knowledge cycle and the annual report presents information on uptake including the extract reproduced in figure 5.

In summary, analysis and learning is a strong point of most of the partnerships. More attention on documenting how the guidelines are used will strengthen the ability to develop relevant knowledge and ensure that it is disseminated and put into practice.

Figure 5 Extract from WSP annual report

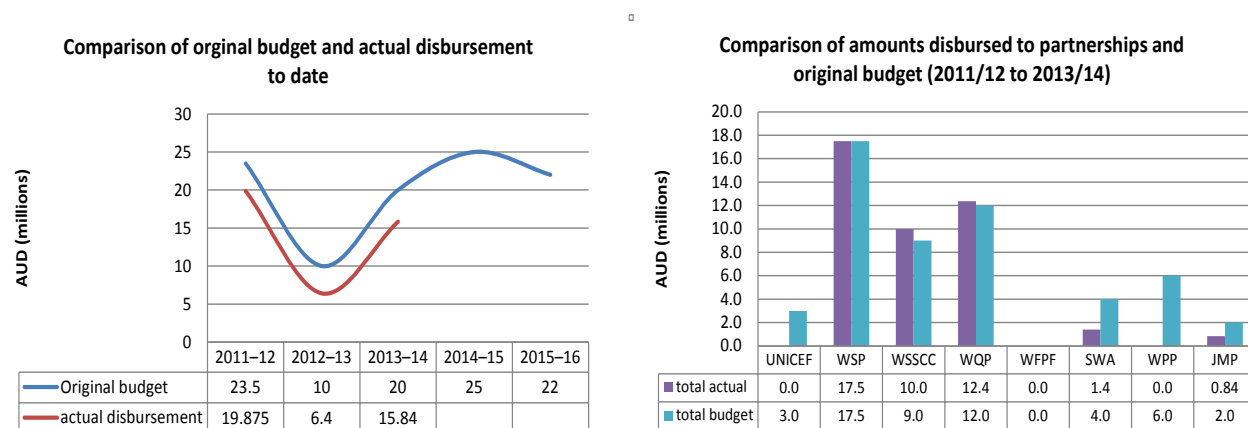


3 Findings – related to the WASH criteria

3.1 DFATs engagement

The level of disbursement has been around 20% under the original budget with variations in the amounts provided to each partnership compared to that budgeted. UNICEF and WFPF did not receive funds under this current phase. The level of DFAT funding (only 0.5% of the total) to UNICEF was not critical to the UNICEF WASH operations and WFPF still have considerable funds available from the last tranche in the earlier phase. Given budget cuts it was not found opportune to start a new partnership with WPP. WSP has received funds as planned, WSSCC and WHO-WQP have received slightly more than planned and SWA and JMP less.

Figure 6 Comparison and original and actual disbursements



DFAT has adopted a light touch in their engagement with the WSI Global Program partnerships. The majority of the partnerships are very well established and have strong governance and oversight structures. In the spirit of the Paris Declaration, this means that the most constructive approach for donors is to participate in the annual donor consultative forums that are set up as platforms for engagement with donors rather than engage in bilateral discussions on topics that could concern all. DFAT’s contribution (apart from the single donor trust fund for the WHO-WQP and SWA where DFAT funding was brought

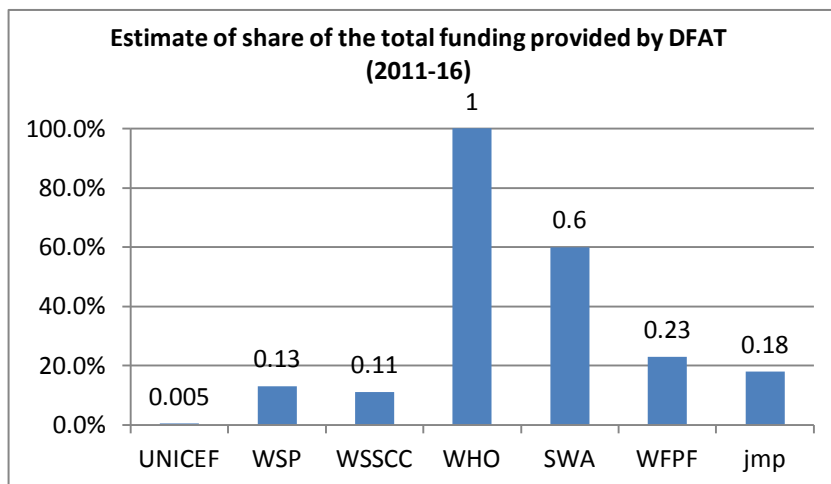
forward to fill a funding gap) is only a small part usually less than 25% (see figure 7)². This also points to the appropriateness of engaging with the partnerships through a common dialogue platform. In 2013/2014, DFAT have met face to face with representatives with all partnerships, which is more than has been done in the earlier years. The partnerships report that DFAT often arranges additional meetings during the Stockholm Water Week, which is considered a pragmatic and cost effective approach.

The major value added by DFAT is the provision of predictable and flexible funding but some of the partnerships also report some benefits from the technical discussions with DFAT. All partners report that DFAT have been highly responsive and professional in terms of channelling funds. No delays,

disruption or administrative bottlenecks were experienced. WSSCC, WSP and WHO-WQP in particular report that dialogue with DFAT has led to improvements in project design and prioritisation. WSSCC for example notes that it *“has benefited from strategic discussion with DFAT colleagues on the links between sanitation and health, issues of equity in sanitation (which were particularly profiled by DFAT and WSSCC at the WASH conference) and the post-2015 development agenda. WSSCC and DFAT are both members of the Sanitation and Water for All partnership which aims to catalyse political leadership and action, improve accountability and use scarce resources more effectively. DFAT took a leadership role due to increasing budget”*. A valuable area of technical exchange with DFAT that was pointed out by several partners was how to integrate those with disabilities into WASH programs. Partners report that some years ago the technical interaction with DFAT was more intense and that staff changes and rotations have reduced the depth and continuity of engagement. Several partnerships pointed to the Canberra and Brisbane meetings as being especially useful. The main staff issue for DFAT is not its skill set but i) staff numbers and time available for intensive follow up and ii) continuity of staff so that longer term partner relationships can be formed.

The bilateral WASH programs of DFAT have had some benefits from the WSI Global program but there are opportunities for a more systematic use of relevant knowledge products. The WSP partnership in particular, being managed from Jakarta, Indonesia has had a close interaction with DFAT and there is evidence of this partnership having a beneficial effect on DFAT bilateral programs. Examples include East Timor where a DFAT supported rural water supply and sanitation program was asked to assist in the development of a national policy on water supply both rural and urban. With the assistance of WSP on the urban side, the DFAT support program was able to meet the government expectations. Another example is PNG where DFAT is not engaged in the water sector but where DFAT through its partnership with WSP was

Figure 7 DFAT share of funding



² Qualifications and the basis for the estimates are provided in Annex B.

able to support water related interventions that complemented other parts of its country program (health, education, governance). These examples indicate that there are opportunities for more systematic use of knowledge products and expertise from the WSI Global Program partnerships.

DFAT have not yet developed engagement strategies. Engagement strategies would allow a tailored response to be developed for each of the partnerships. It would also allow a clearer delineation of a potential lead donor role where relevant which would allow DFAT to focus more in-depth on fewer partnerships (probably the WHO- WQA because it is the only donor and perhaps WSP (South East Asia) because of its regional relevance). Engagement is challenging and it should be noted that most if not all donors have a challenge in relating their global and regional support to their country based bilateral support.

In summary, there is value added by DFAT to global WASH programs over and above the much needed funding. And there is also value added by the WSI Global program to DFAT bilateral programs. But in neither case is it strongly evident and, the value added is not well documented except perhaps for the case of the WSP and WHO-WQP Partnerships. DFAT’s relatively light approach to engagement is well conceived but as also recognised by DFAT, their engagement strategy does need strengthening to obtain the potential benefits of the WSI Global Program.

3.2 Type of partner and forward looking

The partners selected as a whole reflect well the 3 expected outcomes of the WSI Global Program (as outlined under relevance , see figure 1 in section 2.1). The contribution to these outcomes is a main criteria for selecting future partnership. The other criteria are:

- contribution to the overall WASH related areas of the Australian aid program i.e. economic growth and human development; increased access to safe water and basic sanitation; improved hygiene behaviour and, creating sustainable services
- factors such as convening power (i.e. the outreach and influence in practice); policy and innovation expertise (the extent to which high quality content is developed); capacity to scale implementation (the extent to which new approaches can be brought from paper to practice).
- The ratings on relevance, effectiveness, efficiency, sustainability, gender, monitoring and evaluation and analysis and learning.

A mechanical scoring on the above 3 areas of criteria is given in Annex B. It is difficult to compare the criteria or to use the scores as a basis for selection. Instead insights from the mechanical scoring are used to inform and inspire the more qualitative assessment of pros and cons shown in the table below:

Table 3 Pros and cons of the partnerships

Partnership	Pros	Cons
WSP	<ul style="list-style-type: none"> • WSP is found to be highly effective and has been one of the few partnerships which can clearly demonstrate added value to the DFAT bilateral program • WSP with their regional office have a clear geographic focus in South Asia (even if future funding will not necessarily be earmarked) • WSP has a fragile and conflict affected focus 	<ul style="list-style-type: none"> • In some countries, WSP has not always found a strong entry point and as it does not bring funding it can be on periphery of decision making in such cases.
WHO-WQP	<ul style="list-style-type: none"> • There is a strong focus on a single issue: water safety plans • Water quality is a crucial element to consider in the trend of countries becoming more advanced 	<ul style="list-style-type: none"> • Highly dependent on DFAT • A high cost base with supervision needed from Geneva

Partnership	Pros	Cons
	<ul style="list-style-type: none"> • There is a potential link with Australian utilities and others that use water safety plans 	
WSSCC	<ul style="list-style-type: none"> • Strong sanitation and hygiene focus (through the GSF) • Highly successful in raising funds indicating credibility among donors • A material impact is made for poor people without sanitation (however, as stated under cons , WSSCC might not be the ideal implementing agent in the long term) 	<ul style="list-style-type: none"> • The GSF could potentially be done by other non-global institutions and potentially distracts from the advocacy mission • Relatively high cost base
UNICEF	<ul style="list-style-type: none"> • A material impact is made for especially children and women who are carers for children – achieved through the focus on schools and on relatively neglected areas such as menstrual hygiene. • The UNICEF track record for WASH (including emergency works and fragile and conflict affected situations) is very strong 	<ul style="list-style-type: none"> • DFAT funding would only be a very small proportion of the needs
JMP	<ul style="list-style-type: none"> • Credible monitoring brings greater effectiveness and efficiency • The approach of supporting development of the countries’ own monitoring and evaluation systems is potentially transformative. 	<ul style="list-style-type: none"> • The post 2015 agenda is not yet decided upon and is a highly political process.
SWA	<ul style="list-style-type: none"> • A potentially small contribution can have a significant political impact on the level of commitment of developing countries • SWA is increasing its credibility after a slow start – it would be relevant to consolidate this 	<ul style="list-style-type: none"> • DFAT is providing a high proportion of the budget which makes the organisation vulnerable
WFPF	<ul style="list-style-type: none"> • Efficiency and effectiveness is increasing after a slow initial period • There is high leverage on WASH at scale and the opportunity to apply knowledge and innovation at the project level • Strongly relevant geographic focus 	<ul style="list-style-type: none"> • WFPF focus not only on WASH but also WRM • Contribution to global knowledge seems weak
WPP	<ul style="list-style-type: none"> • There is high leverage on WASH at scale and the opportunity to apply knowledge and innovation at the project level • The World Bank global practice which the WPP will support is highly competent. 	<ul style="list-style-type: none"> • WPP focus not only on WASH but also WRM • It would entail a new agreement

There are other strategic considerations and choices to be made when putting a global program together:

- Few or many partnerships – Funding many partnerships would broaden the engagement with the global WASH community and bring DFAT and its bilateral program closer to more of the innovative processes. Many partnerships would require greater supervision except for partnerships that had a like-minded lead donor that could effectively take over. However, an efficiency and division of labour analysis tends to point in the direction of supporting few partnerships.
- Lead donor or follower role – in a lead or equal donor role, DFAT could better add value (e.g. on its focus on children, disability, environment and East Asia and the Pacific). As a follower DFAT would use less engagement resources and potentially could still have more direct benefits than if they did not fund at all. A passive follower role would need the presence of a like-minded and effective lead donor.
- Balance of global benefit and DFAT benefit – DFAT could free ride many of the global processes at least in the short term – benefitting without contributing. As a longer term strategy this would lead to a marginalisation and erosion in the influence and contribution that Australia has made so far to the WASH sector. DFAT could maximise its potential benefit by earmarking funds for special efforts in the Indo-Pacific region. But overt earmarking risks to increase inefficiency and transaction costs.

In terms of balancing effectiveness and serving the goals of the Australian aid program, the following guidance is suggested:

- Favour partnerships where it is possible to identify effective like-minded donors where a lead donor role can be rotated.
- Be wary of financing more than 25% of any partnership unless (like the WHO-WQP) it has a very specific link to Australian priorities geographically and/or in terms of engaging Australian institutions and

business interests; similarly consider carefully the value added of funding partnerships where the DFAT contribution is less than 5% unless they are special reasons.

- Favour partnerships that can focus WASH support to countries in fragile and conflict affected situations.
- Favour, other factors being equal, continuity in funding partnerships over a longer period. If partnerships are working well the burden of proof should be on why to change them.
- Explore means of making soft earmarking where, although funds are in principle not geographically traceable, there is “additionality” in outputs and outcomes in the Indo-Pacific area.

Applying this guidance together with the criteria and analysis of pros cons suggests the following strategy for the remainder of the WSI Global Program:

- Continue funding WSP with soft earmarking to the Indo-Pacific region as appears to have been implemented already (but noting the point mentioned earlier on the WASH division of labour with ADB).
- Continue funding the WHO-WQP, at least to the end of phase 3 and possibly for a further phase provided a set of credible exit plans are developed for each country/intervention.
- Seek a like-minded lead donor to share the burden of continuing the partnerships with WSSCC and SWA; and gradually reduce the funding to GSF in favour of increasing funding to the global advocacy and knowledge management taking advantage of the WSSCC network.

4 Conclusions and recommendations

4.1 Conclusions

Objectives are being achieved and significant benefits are being realised - the WSI Global partnership is achieving its objectives and contributing to the Australian aid program. The partnerships supported by DFAT have contributed to scaling up implementation of water and sanitation. The combination of partnerships has led to more than 50 million people access improved water and/or sanitation facilities over the period of the Global Program. By influencing global policy, through advocacy, knowledge generation and sharing the partnerships have also increased sustainability and service quality in WASH. Advocacy and knowledge sharing are for example leading to domestic private sector being increasingly involved in sustainable service delivery, communities are being mobilised through CLTS to adopt sustainable sanitation practices and water safety plans, which are serving some 23 million people.

The WSI as a whole is well balanced - the current portfolio of 8 partnerships are a good fit for the WSI Global Program objectives. The new priorities of the Australian aid program indicate a greater geographic focus on the Indo-Pacific region at least for efforts that are not purely global and also more attention to fragile and conflict affected situations.

Most of the partnerships are well established with a long track record of achievement –the partnerships are part of or being hosted by the World Bank, the Asian Development Bank and the UN family. These organisations have a long track record in WASH and solid governance structures and management practices. With the adoption of programmatic rather than project approaches both efficiency and effectiveness in increasing. As some of the newer partnerships become more established the initial transaction costs are declining.

Monitoring and reporting is improving and leading to improved performance – many of the partnerships reacting to earlier reviews have reformed their monitoring and evaluation and adopted a more results based framework and in some cases also used theory of change and outcome mapping approaches. There is evidence of an improving track record on results as a consequence of monitoring and increasing demands for accountability, including from donors such as DAFT.

There are strong contributions to gender equality but there is more that can be done – Apart from UNICEF-WASH which is a leader in gender, reviews point to areas where there are more opportunities for contributing towards gender equality.

Evidence on the success of dissemination and application of new knowledge and approaches is a weak link in the knowledge chain – there is relatively little follow up on how guidance documents, capacity development and knowledge sharing events are used in practice and what impact they have.

The risks identified in the project design have been managed as foreseen in the WSI project document.
(see Annex C)

DFAT engagement is light but strategic – DFAT support to WSI Global Program is highly compliant with the Paris Declaration as funding is generally unrestricted and no demands are made for additional reports. DFAT engagement plans would assist in tailoring engagement and make better use of scarce internal resources.

4.2 Recommendations

It is recommended that:

- 1) In the context of continuing budget constraints, DFAT prioritises support as follows:
 - Continue funding WSP with alignment to the Indo-Pacific region and fragile states.
 - Continue funding the WHO-WQP, at least to the end of phase 3 and possibly for a further phase provided a set of credible exit plans are developed for each country/intervention.
 - Gradually reduce the funding to GSF in favour of increasing funding to the global advocacy and knowledge management taking advantage of the WSSCC network.
 - Scale future DFAT contribution to SWA so that it is in proportion to that of other donors (< than 25%)
 - If budget constraints allow, fund UNICEF, JMP and WFPF.

- 2) DFAT Engage more actively but in fewer partnerships through forming engagement plans that:
 - Seek a like-minded lead donor to share the burden of continuing the partnerships with WSSCC/ SWA.
 - Matches the needs of DFAT bilateral programs in each country with the potential for applying and testing partnerships based knowledge (as done for the East Timor rural water and sanitation program).
 - Encourages the partnerships to continue improvements in monitoring, evaluation and reporting especially on the success or otherwise of dissemination and the practical application of guidance, advocacy and knowledge sharing efforts.

In addition to these recommendations there are also some suggestions for DFAT engagement with the different partnerships which are presented in Annex B.

Annex

A TOR

Independent Mid-Term Review of the Water and Sanitation Initiative Global Program

Terms of Reference

1. BACKGROUND

Water, sanitation and hygiene (WASH) is a critical enabler of economic growth and human development. Investment in WASH is necessary to meet the Government's aid priorities for sustainable economic growth, health, infrastructure, education and gender equality. As part of the new Australian development policy, WASH is aligned under **health** as part of the Education and Health investment priority. The development policy also recognises the strong contribution of WASH to **infrastructure** (as part of the Infrastructure, Trade Facilitation and International Competitiveness priority area) and **water resource management** (as part of the Agriculture, Fisheries and Water priority area).

According to the 2014 Update of the UNICEF-WHO Joint Monitoring Programme *Progress on Sanitation and Drinking Water*, more than 700 million people in the world do not have ready access to improved sources of drinking water. Worse still, 2.5 billion people do not use basic sanitation facilities and the MDG sanitation target is far from being met with the deadline of 2015 less than one year away. Australia's WASH program aims to address these challenges by increasing access to safe water and basic sanitation and improving hygiene behaviour, including to directly benefit women and girls.

The Water and Sanitation Initiative (WSI) Global aims to address strategic gaps in WASH sector programming across the aid program by providing funding for a suite of complementary global WASH partnerships with key multilateral organisations. The three objectives of the program are:

- a) promoting policy and regulatory reform and building capacity to deliver sustainable services;
- b) supporting country programs and expanding the reach of Australia's WASH funding; and
- c) improving analysis, research and the knowledge base in the WASH sector and promoting cross-country learning.

The current phase of the WSI Global WASH Program began in June 2012 and included funding approval of \$100.5 million over 2011-12 to 2015-16 for eight partnerships with multilateral organisations: (1) the World Bank Water and Sanitation Program (WSP); (2) the Asian Development Bank (ADB) Water Financing Partnership Facility (WFPF); (3) the World Health Organization Water Quality Partnership for Health (WHO WQP); (4) the Water Supply and Sanitation Collaborative Council (WSSCC) (housed in UNOPS); (5) the UNICEF global WASH program; (6) the UNICEF/WHO Joint Monitoring Program (JMP); (7) the World Bank Water Partnerships Program (WPP); and (8) the Sanitation and Water for All Partnership (SWA). The first six partnerships were previously supported under the first phase of the program (2008-09 to 2010-11), while the latter two partnerships were envisaged as new partnerships. Further detail on each organisation is provided in [Annex 2](#).

Since 2011-12, funding agreements have been signed for five partnerships: WSP; WHO WQP; WSSCC; SWA and JMP (the latter two are managed by UNICEF). Due to other budget priorities, new funding agreements have not been initiated for three partnerships: UNICEF's global WASH program, WFPF and WPP. However, DFAT has continued to engage with UNICEF and the ADB WFPF due to funding previously provided under the WSI Global Program prior to 2011-12.

The WSI Global WASH Program comprises of a suite of agreements with multilateral organisations that have a proven record of leadership and excellence in WASH. The program complements DFAT's bilateral

WASH programs by extending the coverage of Australia's WASH investment and undertaking regional activities, such as knowledge sharing, which cannot be undertaken by individual country programs. It provides the opportunity for DFAT to engage in and influence global policy discussions and to enhance learning and information exchange opportunities. It also ensures Australia can have a greater influence over the strategic directions and policy agendas of key multilateral organisations working in WASH. The multilateral organisations were selected based on their strong proven experience and technical expertise in WASH, effectiveness and efficiency in delivering aid, and their position at the forefront of good WASH practice, research and advocacy.

2. PURPOSE

The purpose of the mid-term review (MTR) is to assess the performance of organisations under the WSI Global Program against the criteria detailed in Section 4.

The MTR should:

- assess the WSI Global Program as a whole, including what is working well, what is not (and why) and how DFAT might improve its engagement with WSI partners;
- assess the individual performance of the eight multilateral partnerships since 2011-12, as identified in Annex 2;
- assess how well aligned the current partnerships and funding are to Australian aid program priorities; and
- make recommendations on which of the eight partnerships are best placed to deliver against the WSI Global Program objectives in the future to meet aid program priorities and why.

3. SCOPE

The MTR will evaluate the performance and outcomes of the WSI Global Program as a whole and each of the eight organisations (listed in [Annex 2](#)) since June 2012. The assessment will be against the Key Evaluation Questions and WASH criteria set out in Section 4 and the WSI Global Program performance framework. The MTR will consist of a desk review of relevant documents (see Section 9), consultation with DFAT, and relevant program managers of partner organisations as advised by DFAT.

4. EVALUATION CRITERIA

The MTR will address the Key Evaluation Questions and WASH criteria outlined below. The consultant will determine ratings for the Key Evaluation Questions against criteria in accordance with the aid program's quality reporting process. We recognise that the extent to which the review can provide insights on the criteria will be largely determined by the depth of information contained in the documents that form the basis of the desk review. Where evidence is not readily available from relevant reports the independent evaluator will need to base her/his judgments on interviews and discussions with DFAT, and interviews with program managers of relevant partner organisations as advised by DFAT. The specific assessment questions are listed in [Annex 1](#).

4.1. Key Evaluation Questions

Relevance: To what extent does the WSI Global Program as a whole and the activities of the eight partnerships contribute to the objectives, and align with the design, of the WSI Global Program? To what extent does the WSI Global Program as a whole and the activities of the eight partnerships contribute to the purpose and priorities of the Australian aid program as outlined in the new development policy 'Australian aid: promoting prosperity, reducing poverty, enhancing stability'?

Effectiveness: To what extent is the WSI Global Program achieving its stated objectives, both at the overall program level and at individual partnership level?

Efficiency: To what extent is the WSI Global Program achieving value for money for DFAT from inputs of funds, staff and other resources, and how are risks are being managed?

Impact (where feasible and in line with the nature and duration of funding provided): Have the activities produced positive or negative changes (directly or indirectly, intended or unintended)? Whether impact can be assessed, or the way impact can be assessed, will need to be determined by the independent evaluator. As such, impact will not be rated but will be quantified where possible.

Sustainability: Have the activities appropriately addressed sustainability with due account of partner government systems, stakeholder ownership and the phase-out strategy? Will the benefits of the activities continue after funding has ceased? This criterion should also consider each partnerships management of social and environmental safeguards.

Monitoring & Evaluation: To what extent do the partners incorporate robust monitoring and evaluation and suggest areas for improvement.

Gender Equality: How do the activities advance gender equality and promote access, decision-making, rights and capacity-building for women?

Analysis & Learning: Are the activities based on sound technical analysis and continuous learning?

4.2. WASH specific criteria

DFAT's engagement: assess DFAT's capacity to harness information and improve knowledge sharing gained through the WSI Global Program and identify what improvements can be made to improve the level of engagement both from the perspective of DFAT and funded organisations.

Type of partner: compare the operations of each funded organisation and make an assessment on the relative advantages and disadvantages of each.

Forward looking: Consult with DFAT and partners to consider and make recommendations on which of the eight organisations are best placed to deliver the program in the future to meet aid program objectives and how the WSI Global Program would be best structured to maximise effectiveness and impact.

5. MANAGEMENT ARRANGEMENTS

The Water, Sanitation and Hygiene (WSH) Section of DFAT will manage the evaluation process including procuring the independent evaluator and maintaining regular contact with her/him.

The independent evaluator engaged to conduct the MTR will have the following key skills:

- (1) demonstrated expertise in the evaluation of aid interventions, including experience working with DFAT, and knowledge of multilateral organisations including UN and World Bank systems of operation³; and
- (2) demonstrated expertise in the WASH and development sector.

³ See Section 10 for further details on the consultant/s specifications.

The WSH Section will be responsible for approving the evaluation plan, providing feedback on the draft report and approving the final MTR report.

6. METHODOLOGY

The MTR will be carried out in four stages. In the first stage the independent evaluator will have a briefing with DFAT and develop an evaluation plan for DFAT's approval. The plan will include the design and budget for the MTR, having considered the key documents and discussed the proposed stakeholder consultations with DFAT. It will identify methods, tools and information sources to be used for addressing the evaluation questions and provide an indicative timetable (including the timing of meetings and delivery of outputs). This will be submitted to DFAT by email for comment and subsequent approval. DFAT will provide the independent evaluator with relevant reports available to it on the funded organisations, including any reports that may not be available in the public domain.

In the second stage, the independent evaluator will carry out the review, consulting relevant DFAT sections and all other key stakeholders including program managers in partner organisations as advised by DFAT (including potentially through face-to-face meetings in Canberra or by teleconference) and reviewing key documentation.

In the third stage, the independent evaluator will write a draft report of its key findings and present it to DFAT for initial feedback. DFAT will then review this draft report and provide feedback to the independent evaluator.

In the fourth stage the independent evaluator will incorporate any changes based on the feedback received and then present the final report to DFAT. The independent evaluation will then be published on the department's website, accompanied by a management response to the evaluation's key findings and recommendations.

7. SCHEDULE / TIMEFRAMES

The MTR will be for a total of **25 working days commencing by early October 2014**. The draft report will be submitted to DFAT in **November 2014** and the final report is to be presented to DFAT by the end of **November 2014**.

Within this timeframe, the independent evaluator will undertake consultations with DFAT and other key stakeholders via teleconference where possible and complete the outputs described in Section 8 below.

8. OUTPUTS

The independent evaluator will, under the direction of DFAT, produce the following outputs:

- An evaluation plan, including a design and timeline for approval by DFAT
- A draft and final assessment report of 20 pages maximum each, which will include:
 - the findings and recommendations of the MTR
 - any key issues as highlighted through the ratings against criteria in accordance with the aid program's aid quality reporting process
 - the lessons learned and details of teleconferences / meetings held during the evaluation
 - clear recommendations to DFAT on the overall structure of the program and priority WASH partnerships (taking into account lessons learned and alignment with the aid program priorities as outlined in the new development policy)

- advice on existing organisations that were found to be underperforming or that do not align with Australia’s new development policy
- advice on how DFAT can most appropriately engage partner organisations to maximise relevance, effectiveness and efficiency.

9. REFERENCE MATERIALS

In undertaking the review, the independent evaluator will read all key program documentation including those listed in the table below and any other progress/evaluation reports available on funded organisations in consultation with DFAT. DFAT will make available to the independent evaluator all relevant reports, including any evaluations that may not be available publicly but will be relevant to this review.

DFAT	<ul style="list-style-type: none"> • ‘Australian aid: promoting prosperity, reducing poverty, enhancing stability’ 2014 • Australian Multilateral assessments for relevant partners
WSI Global Program	<ul style="list-style-type: none"> • Quality at Implementation Report 2014 • Quality at Implementation Report 2013 • Quality at Entry Report for Water, Sanitation and Hygiene Global Partnership Initiative 2012 • WSI Design Summary and Implementation Document 2012 • Independent Evaluation of the Infrastructure Partnerships Program and the Water and Sanitation Initiative Global Program 2012
WSP	<ul style="list-style-type: none"> • WSP Global Strategy 2009-2018 • WSP Business Plan FY11 to 15 • Water and Sanitation Program FY13 End of Year Report • Gender in the Water and Sanitation Program • Water and Sanitation Program External Review FY 2004-2008
WSSCC	<ul style="list-style-type: none"> • WSSCC Medium-Term Strategic Plan 2012-2016 • WSSCC External Review 2005-2010 • WSSCC Response to the External Review 2005-2010 • Narrative Progress Report 2011 • GSF Results 2011 • Workplan for 2012 and Indicative Workplan for 2013
WHO	<ul style="list-style-type: none"> • Water Safety Plans: Policy and Institutional strengthening and scaling up – Phase 2 and beyond February 2010 • Water Safety Plans as Normal Practice: Policy and Institutional Strengthening for WSP Mainstreaming – Phase 3 August 2011 • June 2014 Mid-Term Review Meeting Materials
Sanitation and Water for All (SWA)	<ul style="list-style-type: none"> • Proposal for support to SWA • SWA Annual Report 2013 • High Level Meeting Report
WHO / UNICEF Joint Management Programme (JMP)	<ul style="list-style-type: none"> • Proposal for support to JMP • JMP Annual Report 2012 • See JMP website for additional reference documentation, including Report of JMP/GLAAS Strategic Advisory Group Third Meeting
UNICEF Global WASH Program	<ul style="list-style-type: none"> • UNICEF Water, Sanitation and Hygiene Strategies for 2006-2015 • UNICEF WASH Annual Report 2013 • UNICEF Strategic Plan • Reporting from Laos Post regarding school funding provided under

	the previous UNICEF agreement under WSI Global Program
Asian Development Bank WFPF	<ul style="list-style-type: none"> • WFPF Annual Report 2013 • WFPF Annual Work Program 2014
World Bank Water Partnership Program	<ul style="list-style-type: none"> • WPP Annual Report 2012

* Other documents may also be provided by DFAT in consultation with the evaluator.

10. SPECIFICATION OF THE CONSULTANT

One independent, impartial consultant is required for this MTR.

Job Level 4 and Professional Discipline Category C.

WASH and Monitoring and Evaluation Specialist – 25 days

Skills/competencies:

- Experience in monitoring and impact assessment of WASH activities;
- Considerable experience with reviewing and evaluating aid and development activities including an ability to adopt a participatory approach to research when liaising with stakeholders;
- Knowledge of best practice operations in the WASH sector and emerging trends;
- Knowledge of multilateral operations working in the WASH space and the comparative advantage of different multilateral organisations;
- An understanding of the positive effects WASH investment can have in supporting economic growth; and
- Demonstrated analytical skills and proficiency in verbal and written communication, especially report writing.

Roles/responsibilities:

- Design the evaluation plan, including methodology and timeline;
- Review key documents and consult DFAT; key stakeholders; and program managers of partner organisations as advised by DFAT
- Undertake technical assessments and provide advice on the partnerships under the WSI Global Program in accordance with this Terms of Reference and the evaluation plan as agreed with DFAT;
- Assess the overall structure of the WSI Global Program and provide recommendations on a structure and priority partnerships for the remaining years of the program to 2015-16 that ensures it best meets the purpose and priorities of the Australian aid program;
- Provide a draft report for DFAT comment;
- Make agreed changes and provide a final report of 20 pages maximum length with clear analysis and recommendations for DFAT consideration.

Annex 1: Questions to Assist in Answering the Key Evaluation Questions for the WSI Global Program Independent MTR

Relevance:

- Assess the extent to which the funded partners are contributing to the knowledge base on effective WASH and best practice, sustainable WASH programming.
- In particular, the extent to which the objectives of each partner are contributing to the following (where appropriate):

Economic Growth and Human Development

- Do the activities enhance the knowledge base of the impact of WASH on economic growth and human development? Are these additions to the knowledge base used to increase WASH funding / improve WASH programming in the WASH Sector? How?

Increased Access to Safe Water and Basic Sanitation

- Do the activities facilitate increased access to safe water and basic sanitation? How?

Improved Hygiene Behaviour

- Do the activities deliver hygiene promotion services that bring about sustainable behaviour change around hygiene practices?

Creating Sustainable Services

- Do the activities support policies and strategies that keep services operating after they are built? This includes strategies that support sustainability including improving governance through public sector reform and improving service delivery through partnerships with civil society and the private sector.
- Assess the compliance of the WSI Global Program with the Paris Declaration and Accra Agenda for Action <http://www.oecd.org/document/18/0,2340,en_2649_3236398_35401554_1_1_1_1,00.html>.

Effectiveness:

- To what extent are the funded organisations achieving their own objectives and the WSI Global Program objectives?
- What are the key factors that are enabling or inhibiting progress towards the funded organisations own objectives? Have risks been identified and mitigated appropriately? If so, how? If not, why not?
-

Efficiency:

- To what extent are the funded organisations being managed to get value for money from DFAT's input of funds, staff and other resources?
- Is the budget being spent as expected or is it over or under spent?
- Are the inputs (human resources, funding and time) adequate to achieve the investment's intended outcomes?

Impact:

- What obvious changes (intended and unintended), including to the lives of beneficiaries and their environment, are evident through the activities of the funded organisations? Include any positive/negative impacts from external factors.

Sustainability:

- How is sustainability defined and measured by each of the funded partners?
- Most of the funded organisations are not involved directly in program delivery, therefore, are there processes in place to leverage sustainability beyond the life of each project?
- How well are cross cutting issues such as disability, environment and social protection addressed in the activities of the funded partners, and what safe guards are in place to address these issues?

Monitoring and Evaluation:

To what extent do the organisations' monitoring and evaluation frameworks effectively measure progress towards meeting their own objectives and the WSI Global Program objectives and performance framework? Suggest any improvements to the WSI Global Program performance framework.

Gender Equality:

- What impact (if any) have the funded partner's activities made toward achieving gender equality and the active participation of women and girls?

Analysis and Learning:

- What lessons can be learned to inform:
 - continued funding of the funded partners?
 - future funding of other global WASH organisations?
 - absorptive capacity and strategic levels of funding?

WASH specific criteria

DFAT's engagement:

- Is DFAT communicating, managing and monitoring funds with partners effectively enough to achieve WSI Global Program objectives?
- If not, how could it improve its engagement, especially given the constraints of some funded partner's structures/mandates?
- Is DFAT appropriately skilled to engage effectively in the management of the funded partners?
- What skill sets may staff need to develop to strengthen DFAT's engagement with funded partners in the future?

Forward looking:

- Which of the eight partnerships best align with the aid program's priorities in the WASH sector and what should DFAT consider as priorities for future engagement (both funded and non-funded) to 2015-16?
- What program structure would maximise DFAT's engagement in the WASH sector and best meet the priority areas of the aid program?

B Individual Partnership reviews - working notes

Summary of suggested DFAT engagement with the partnerships

Partnership	Suggestions for DFAT dialogue [all dialogue is initiated by DFAT with responsible lead organization for potential action in brackets]
WSP	<ul style="list-style-type: none"> Request the relevant DFAT bilateral programs to report on the benefits received from working with WSP and to isolate how these benefits might be replicated for other DFAT programs (as well as national and other donor programs).[DFAT] Clarify how the close coordination with ADB in the Pacific on water will minimise any overlap in support efforts. [DFAT/WSP] Follow up with WSP on implementation of their response to the need identified in the 2013 review to prioritise gender more highly (especially on evidence that the gender guidelines and approaches have actually been applied) [WSP]
WHO-WQ A	<ul style="list-style-type: none"> Document earlier WHO experience on linking with Australian expertise on water safety plans and ask WHO-WQP to engage with Australian utilities and other relevant organisations to explore market based opportunities (beyond subsidized twinning). [WHO-WQP] Review the exit strategy and exit plans for each country; encourage transfer of responsibility for securing the enabling environment from WHO-WQP to national bodies and other donor support efforts. [WHO-WQP] Propose that M&E arrangements set up for follow up on water safety plans use and/or support local monitoring systems where possible to avoid too many parallel systems. [WHO-WQP] Follow up with WHO-WQP on implementation of their response to the need identified in the 2012 review to prioritise gender more highly [WHO-WQP]
WSSCC	<ul style="list-style-type: none"> Discuss how the comparative value of WSSCC's convening power can be made better use of and explore how what is learnt from the GSF can be translated into material of relevance for other parts of the Indo-Pacific region.[WSSCC] Consider to document the additional impact of GSF by comparing the sanitation progress in similar countries without GSF. [WSSCC] Encourage WSSCC to disseminate widely the findings of new measures for reaching vulnerable groups (if successful). [WSSCC] Follow up with WSSCC on implementation of their response to the internal reviews that 4 of the 11 GSF programs need to prioritise gender more highly [WSSCC]
SWA	<ul style="list-style-type: none"> Follow and understand the changing global priorities for external support to enhancing commitments to sanitation and water [DFAT or lead donor/SWA] and how best to use the SWA convening power to enhance rather replace or weaken domestic arrangements for linking WASH and the finance/planning function. [SWA] Discuss with SWA on how SWA reporting and follow up on commitments can focus more on the conditions needed for effective use of public financing for sanitation as well as mobilisation of user contributions. [SWA] Discuss with SWA the opportunities for promoting gender equality at high level meetings [SWA]
JMP	<ul style="list-style-type: none"> Discuss what readiness measures and other minimum commitments are required by the Pacific countries in terms of staffing and recurrent budget for monitoring and evaluation. [JMP]
UNICEF-WASH	<ul style="list-style-type: none"> Request information on how knowledge products produced in part under WSI Global Program funding have been used in practice and disseminated also to Australian bilateral programs.[UNICEF-WASH].
WPPF	<ul style="list-style-type: none"> Request WPPF to report on lessons learnt based on a few sample projects that represent good practice [WPPF]

Water and Sanitation Program (WSP) ⁴

Status of Partnership: An agreement was signed on 4 June 2012 and provides \$27.5 million over 2011-12 to 2015-16. Last tranche will be paid by 30 September 2015. Australia is the 3 largest core support donor to WSP providing/pledging about 13% of a total core support of USD 93 million (Source: WSP, 2013, p50).

Details of Organisation: The Water and Sanitation Program (WSP) is a multi-donor trust fund program administered by the World Bank, comprising a field-based network in four regional locations (Africa, East Asia, Latin America and South Asia) managed from a small headquarters team in Washington DC. WSP works in partnership with country client governments, external support agencies, regional partners, and other leading support agencies to strengthen national policy, coordination, institutional development and service delivery options to respond to global trends that affect delivery of water and sanitation services and hygiene promotion. This includes rapid urbanisation, decentralisation, natural resource constraints in light of climate change, reduction in global poverty and rising income inequality, increase in private flows to infrastructure and changing aid infrastructure.

WSP is currently implementing a \$200 million FY11-15 Business Plan. The objective of the program over this 5-year period is “to support governments scale up improved water supply and sanitation services and hygiene programs for poor people.” This objective is pursued by providing technical assistance, capacity building, and knowledge sharing in 24 focus countries, and knowledge activities at the regional and global level. In the business plan WSP focusses on a limited number of business areas: 1) scaling up rural sanitation; 2) creating sustainable services through domestic private sector participation; 3) supporting poor-inclusive WSS sector reform; 4) targeting the urban poor and improving services in small towns; and 5) delivering WSS services in fragile states .

Relevance

WSP’s relevance for the WSI Global Program is through its contribution to two of the outcomes: i) influencing global policy, knowledge sharing and advocacy on WASH and ii) leveraging multilateral WASH programs to improve effectiveness and implementation of WASH at scale. WSP has a direct engagement in influencing policy, knowledge sharing and advocacy on WASH whereas it has an indirect engagement in leveraging multilateral WASH programs. Being hosted by the World Bank, WSP is a preferred source of sector expertise for the World Bank, although the World Bank also has its own practice within water and the WPP within the bank is available to directly service its large scale WASH loans. The WSP end of year report (WSP 2013) notes that WSP has influenced some USD 120 million of World Bank WASH related loans. The report also notes that WSP has contributed to large-scale results, particularly in the rural sanitation business area and reports that some 22 million people are better served with sanitation. The WSP business plan (2011-15) and the business areas are well aligned to the new challenges faced by the WASH sector as noted by the mid-term review (Universalialia, 2014).

WSP has contributed explicitly to DFAT bilateral programs in East Timor (assisting in the urban sector policy); Vietnam (assisting on sanitation for the National Target Program), and Indonesia (on the Pamsimas project which is also supported by the World Bank where CLTS was introduced). WSP contributes explicitly to the purpose and priorities of the Australian aid program both for sustaining economic growth and reducing poverty as WASH is an important factor in sustaining growth and reducing poverty. However it could be argued that core funding to WSP does not reflect the new priority of focusing 90% of aid on Asia

⁴ Sources of information: External evaluations have been conducted covering the periods 2002-04 and 2004-08. An evaluation of IPP and WSI partnership was also conducted in 2012 which included WSP. A mid-term review of the WSP business plan was made in 2014. This current review builds largely on the findings of the 2012 evaluation and 2014 mid-term reviews as well as the internal reporting of WSP itself, especially the annual report for financial year 2013.

Pacific. Some 18% of the total budget of USD 38 million is spent on global programs with the remainder being spent on geographic regions. Support to the East Asia and Pacific region amounted to approximately 28% of the geographic based funding in financial year 2013 (WSP, 2013), if South Asia is included then the support rises to 49% of the geographic based funding. In earlier years of the current phase of support, there was earmarking towards the Pacific and South East Asia and WSP have directed attention afresh to the Pacific as a result of the DFAT support to the Pacific. Suggestion for DFAT engagement with WSP: Ask the relevant bilateral programs to report on the benefits received from working with WSP and to isolate how these benefits might be replicated for other DFAT programs (as well as national and other donor programs).

Effectiveness

An evaluation of WSP 2004-2008 in 2009 (Universalialia, 2009) found that WSP was generally effective in achieving its objectives. Although other commentators including the mid-term review of 2014 have suggested that the objectives set are often unrealistically high. A 2012 review (Rajasingham et al, 2012), concluded that WSP's work in helping governments define policies, strengthen institutions, and improve sector investments is focused and contributed to the effectiveness of the WSI. The 2012 review notes that since 2009, WSP has made significant progress in achieving and demonstrating effectiveness. Firstly, WSP has made a strategic shift from a project to a programmatic approach. Secondly, it has developed a more formal approach to leverage its knowledge levels through global practice teams. The mid-term review of the WSP business plan (Universalialia, 2013) concludes that "WSP contributes to improved policies and regulatory framework" and WSP is "increasingly managing towards results at the outcome level". The mid-term review notes that although WSP effectively establishes partnerships and leverages investments, its influence on World Bank operations is unclear.

As noted in the 2012 review, four factors appear to be key to WSP's effectiveness: 1) its sustained country presence and programs, which has enabled the program to earn the confidence and partnership of governments and to jointly embark on complex and time-consuming agendas of institutional development, policy reform, and capacity building; 2) the technical quality of its work; 3) its promotion of coordination across the sectors of water, sanitation and hygiene; and 4) its global reach enabling widespread cross-country and cross-regional exchange on good practices and innovation.

Efficiency

According to the 2009 evaluation, "based on the interviews conducted, there is a generally positive perception of the relationship between program benefits and costs (value for money) among WSP partners, particularly donors." The 2012 notes that "with some 90 percent of its staff/consultants based in the field, WSP is viewed as an efficiently run program". The review notes that the program has managed to keep down its costs while increasing its disbursements. The mid-term review of 2013 concludes that WSP is a cost-effective program that follows strict resource and risk management procedures although it also mentions that transaction costs are difficult to measure due to recent migration to World Bank systems. WSP's annual report (WSP 2013) notes that "In the last year WSP has increased cost-effectiveness .. by reducing staff, consultant and travel costs over seven percent since fiscal year 2012."

There is a division of labour between ADB and the World Bank that ADB responds to needs in the water sector in the Pacific especially because of the large transactions costs associated with operating in the Pacific. Although the focus on the Pacific increases the relevance of WSP activities for the Australian aid program it will tend to reduce overall aid efficiency if both WSP and ADB are involved in water in the Pacific. Close coordination could minimise this problem. Suggestion for DFAT engagement with WSP: clarify how the close coordination with ADB in the Pacific on water will minimise any overlap in support efforts.

Sustainability

As pointed out by the 2012 review it is difficult to find hard evidence on the sustainability of the benefits arising from program activities. However the review does isolate three features of WSP's mode of operation that appear supportive of the likely sustainability of benefits achieved on the ground: 1) sustained engagement with its clients; 2) cross-sectoral interventions which involve citizens and service providers, policy reforms and business environment change, and enhanced government capacity to track progress; and 3) its concentration in a limited number of focus countries which demonstrate potential for reform and learning. In addition, its hosting within the World Bank has enabled the leveraging of innovative practices into major investment funding and WSP has full compliance with World Bank's social and environmental safeguards.

Monitoring and Evaluation

The 2009 evaluation was critical of WSP's monitoring and evaluation. Since then the program has improved considerably as noted by the 2012 WSI review and the 2013 WSP mid-term review. Its FY11-15 Business Plan includes performance indicators and time-bound targets at the country and program level. WSP's global results framework helps in its measurement of outcomes. WSP uses an advanced theory of change and outcome mapping approach to determine the impact and impact pathway of its activities. According to the mid-term review of 2013, the global results framework has led to an important cultural shift within WSP. There is now a stronger focus on accounting for results and a focus on the end beneficiaries which is also evident from recent reporting (WSP,2013).

Impact:

The improvement in monitoring and evaluation makes it easier to measure the impact of WSP's work at least in terms of end beneficiaries. The mid-term review of 2013 accepts the accuracy of reporting and the WSP annual report (WSP 2013) provides detailed information that is likely to be traceable. When reporting on the impact in terms of beneficiaries the attribution of WSP is difficult to determine as WSP rarely acts alone. In some cases for ownership reasons it is advisable that WSP lowers its profile and takes a catalytic and less active role. Nevertheless the consensus of the recent reviews is that WSP's activities are having the desired impact and that there are no strong grounds for concern although areas of improvement which would increase its impact have been noted by the mid-term review of 2014 (e.g. more attention to cross cutting issues, climate change, hygiene promotion and urbanisation).

Gender Equality

As noted by the 2012 review "gender is given considerable, explicit attention in WSP's work, through gender-related technical assistance, policy and institutional advice, and project support". The Mid-term review of 2014 acknowledges that WSP have defined their approach to gender "Gender in the Water and Sanitation Program," (May 2009) but also find that "anecdotal evidence suggests that the concerns of gender equality, vulnerable groups and the environment are being addressed to a limited extent and unevenly across regions/and countries". The review goes on to say that whilst gender is addressed in the business plan it is addressed, only to "a limited extent, in the work of WSP itself, either as a knowledge topic for evidence-based research, or as a point of discussion in the design and implementation of projects and activities. Further, gender is integrated in the Program's results framework (at the Intermediate Outcome level), which includes a specific indicator on the inclusion of gender-specific indicators in performance monitoring systems developed with WSP support. In 2010, WSP developed the guidelines "Gender in Water and Sanitation", which highlight approaches to redressing gender-related inequality in the sector. Yet, the interviews conducted did not provide evidence of their application by their intended users (i.e. sector ministries, donors, citizens, development banks, NGOs, and water and sanitation service providers)." WSP accept these findings and are developing a response.

Analysis and learning

The 2012 review notes that "WSP's work in generating and sharing knowledge within and across regions, generating and disseminating global knowledge products, and supporting horizontal learning has made it a

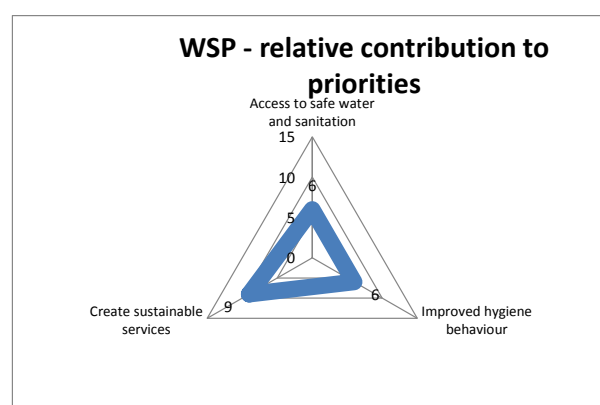
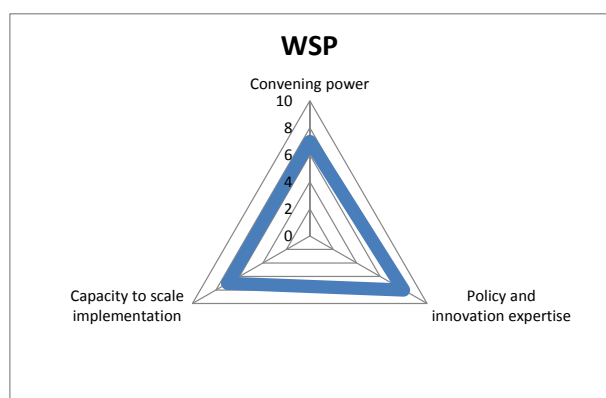
recognized unique source of global/sector knowledge”. The review also finds that the WSP as a field-based program bases much of its analysis and learning on direct interaction with stakeholders. Increasingly, WSP has facilitated horizontal, South-South learning which has proved effective at producing results at the utility, provincial and national levels. Its website provides easy access to its newsletter and publications. Still, WSP remains in the process of strengthening and systematizing global learning and knowledge exchange, as was recommended by the 2009 evaluation and addressed in its current Business Plan.

Summary of rating

Criteria	Rating	Criteria	Rating
Relevance	6	Gender Equality	5
Effectiveness	5	Impact	
Efficiency	4	Monitoring & Evaluation	5
Sustainability	4	Analysis & Learning	6
Rating scale: 6 = very high quality; 1 = very low quality. Below 4 is less than satisfactory.			

Comparative advantages and contribution to Australian aid priorities

(Note: The comparative advantages are marked on a scale of 1 to 10 bearing and are compared between the different partnerships. The contribution to priorities scores the relative contribution where a total of 24 points are distributed between the 4 priorities.)



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- Universalia, 2009, External Evaluation of WSP 2004-2008 Final report, September 2009
- Universalia, 2013, Mid Term Evaluation of WSP FY11-12 Final report, June 2013
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Interviews

Isabel Blackett, WSP; Almud Weitz, WSP

Summary of engagement suggestions:

- Request the relevant DFAT bilateral programs to report on the benefits received from working with WSP and to isolate how these benefits might be replicated for other DFAT programs (as well as national and other donor programs).[DFAT]
- Clarify how the close coordination with ADB in the Pacific on water will minimise any overlap in support efforts. [DFAT/WSP]
- Follow up with WSP on implementation of their response to the need identified in the 2013 review to prioritise gender more highly (especially on evidence that the gender guidelines and approaches have actually been applied) [WSP]

World Health Organisation (WHO) Water Quality Partnership for Health

Status of Partnership: An agreement was signed on 14 August 2012 and provides \$15 million over 2012-2016 into a single donor trust fund. Last tranche was paid in July 2014.

Details of Organisation: The WHO leads internationally on setting drinking water quality standards. Its 'Guidelines for Drinking-water Quality' are used by both developed and developing nations as the scientific basis for regulation and standard setting, and in their third edition they established the international consensus approach to preventive management through 'water safety plans'. The water quality partnership promotes water safety planning through supporting government and institutional practices and policy development, mobilising resources and developing implementation tools. The program operates in selected Asian and Pacific countries.

Phase 1 of the Partnership led to activities at global, regional, and country levels with target countries being Bangladesh, Bhutan, Cambodia, China, Lao PDR, Myanmar, Nepal, Vietnam. The project led to all target countries gaining practical water safety plan experience through pilots and training and most developing or revising drinking-water quality-related sector policies, including the preparation of national strategies for scaling-up water safety plans. Phase 2 was designed for a short period of time to align with WSI funding and sought to maintain the momentum of phase 1 and advance the implementation of WSPs. Phase 3 commenced in September 2012 and aims to provide stability for the program and enable capacity building and strong local ownership of the program, contributing to the sustainability of water safety planning in the program countries after the Partnership. It also provides for expansion into additional countries based on readiness criteria; the following 9 countries are targeted: Cambodia, Cook Islands, Indonesia, Mongolia, Myanmar, Samoa, East Timor, Tonga and Vanuatu.

Relevance

The water quality partnership is highly relevant for the WSI Global Program as it addresses the increasingly important topic of managing water quality which is critical for attaining WASH goals. In turn the partnership contributes to the health goals of Australian aid as a critical element to improving livelihoods, enabling poor people to participate in the economy and lifting living standards. The water quality partnership focusses on geographic areas of relevance to DFAT (Pacific and South East Asia). The partnership also links to Australia's leading edge knowledge on water safety plans (e.g. it draws on the lessons from Australia practice on how to respond to the need for continuous support over a longer period for water safety plans to become rooted in sector practice). Australia has also been able to provide expert resources for assessing water safety plans and has been instrumental in hosting study tours and exchange visits. Suggestion for DFAT engagement with WHO-WQP: Document what support was provided and ask WHO-WQP to engage with Australian utilities and other relevant organisations to explore market based opportunities (beyond subsidized twinning).

Effectiveness

The water quality partnership has improved drinking water quality for 23 million people⁵ so far with an additional 15 million expected by the end of phase 3 (WHO, November 2014). The program is on track to meet established targets (WHO, Progress report June 2014). Independent assessments have been made in all countries that confirm that progress is satisfactory whilst also pointing areas of risk and where improvement can be made. The strategy of capacity building, embedding water safety plans in national

⁵ 23 million is composed of 12.5 million beneficiaries from Phase 2 of the WQP program and a total of 11.2 million thus far in phase 3 (of which 9.6 million are in phase 2 countries and 1.6 million in phase 3 countries)

policies, institutional strengthening and collaborating with key partners is well-conceived and assists in making the program effective. The challenges are considerable and although the strategy derived to address the challenges is appropriate, the program may find that it is not possible to implement all elements of the strategy e.g. suitable entry points for embedding water safety plans in national policies may not become available during the relatively short period of implementation in each country.

Efficiency

The strategy of engaging with local partners leads to efficient operations as it reduces overlap and repetition and ensures that best use is made of the efforts of others. As outlined well in the summary report (WHO, November 2014) this collaborative approach allows the program to maximize its reach and avoids disparate project or donor-specific approaches that can undermine sector development. It was noted by the 2012 review (Rajasingham et al, 2012) and also the DFAT design document (April 2012) there is a dual administration both at WHO headquarters and from a regional South East Asia Office program hub. The end result is that the program administration costs are high. They were estimated in 2012 as around 23% of total expenditure. However, if it is assumed that 40% of the headquarter and regional staff are engaged in direct program related activities then the administrative costs for phase 3 (2014) fall to 19% (or 7% if project support costs are excluded.)

The efficiency of the program output is, however, considered cost-effective (the phase 3 estimates are US\$20,000 per water safety plan or around US\$ 0.6 per person helped) – although as noted by the 2012 review, the final costs of ensuring water safety might be much higher as many other elements are needed to ensure water safety. However, if well implemented and provided then plans become institutionally embedded, the strategy of using water safety plans is considered a highly efficient and relatively low cost (preventative) means of ensuring water quality.

Sustainability

The sustainability of the water safety plans depends on many factors including the degree to which they are embedded in national policies and in the institutional set up and also the extent to which budgets and human resources are directed towards consolidating and maintaining the plans once the project support withdraws. The program correctly identifies a range of factors that affect sustainability including the need to clearly identify and communicate the benefits of implementing water safety plans. Although the strategy of the program is highly appropriate and recognizes what needs to be done to enhance sustainability, it is too early to tell what level of sustainability can be expected as it also depends on the reaction of country level authorities and organizations involved. It is clear that a longer term involvement may be needed to consolidate efforts – it might also be that in some cases it would be prudent to lower the ambition level and consolidate rather than expand. Exit strategies are being prepared for each country so that the benefits obtained thus far can be consolidated and sustained if funding does not continue to a further phase. Nevertheless it is not immediately clear at what stage it would be better to withdraw support and let the countries continue without support as the enabling environment is in many respects beyond what WHO can tackle. It would appear that if support is needed on the enabling environment, then a close coordination with other support efforts would offer better prospects for sustainability than attempting such a wide task within this program. Suggestion for DFAT engagement with WHO-WQP: Review the exit strategy and exit plans for each country; encourage transfer of responsibility for securing the enabling environment from WHO-WQP to national bodies and other donor support efforts.

WHO are also engaged with the Asian Development Bank where they are assisting in integrating water safety plans into the staff handbook and with the International Water Association and others. These efforts extend the reach and consolidate the concept of water safety plans making it more likely that they will receive attention and be maintained after project support has withdrawn.

The partnership operates under the WHO social and environmental safeguards which are considered highly relevant for the sector.

Monitoring and evaluation

It was noted in earlier reviews (2012) and also the DFAT design document (April 2012) that the partnership's results' framework at the time did not allow adequate measurement of results and that no comprehensive independent evaluation of the partnership had been conducted. The situation has improved since then. The overall governance, management and supervision set up from headquarters to regional and country level is robust and provides a good degree of oversight on performance. Regular, high quality, results orientated progress reporting is made. Independent assessments are carried out and in 2014 an internal mid-term review was held that also served to deepen the monitoring and evaluation. Suggestion for DFAT engagement with WHO-WQP: propose that M&E arrangements set up for follow up on water safety plans use and/or support local monitoring systems where possible to avoid too many parallel systems.

Impact

The programs acknowledges that the production of water safety plans themselves are not necessarily enough to ensure a water quality and health impact, they also need to be implemented and sustained. The program recognizes the need to assess and demonstrate the impact of water safety plans not only to account for results but also in order to reinforce national and sub-national commitment. A comprehensive set of indicators have been developed that reflect water quality and health outcomes but also look at intermediary factors such as policy, institutional and equity outcomes. The summary of progress (WHO, November 2014) points to a very large number of people benefiting from water safety plans.

Gender equality

As noted by an earlier review (2012) gender analysis has not been a priority of the partnership at least up to phase 2. This has been addressed in phase 3 where WHO is developing a guidance document to national level water safety plan coordinators. The document guides coordinators on how to ensure that the potential for improving equity and gender balance is optimised when initiating and carrying out water safety plans. The guide is scheduled for publication in early 2015 but the content has already been incorporated in the master training program for national coordinators.

Analysis and learning

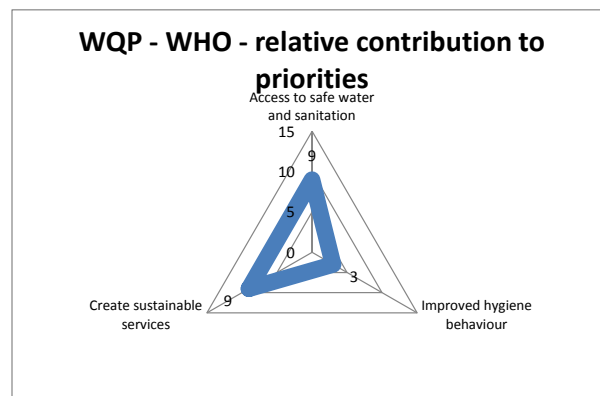
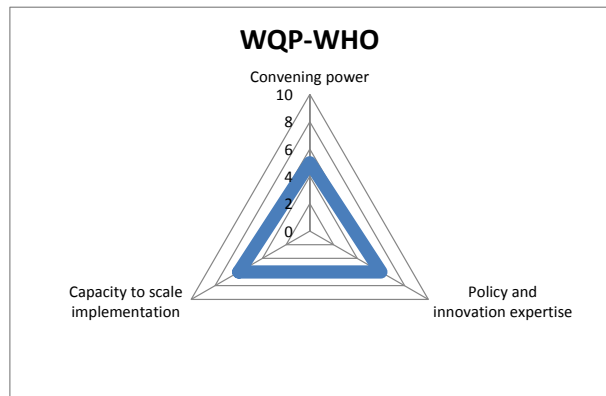
As noted by the earlier review, the partnership is highly active in preparing case studies and multi-media dissemination on the Asia Pacific Water Safety Plans network. The recent summary report (November 2014), the launching of independent assessments and the mid-term review process are all evidence of a strong culture of analysis and learning. As noted by many observers the key lesson learnt is that longer term continuous support will be needed. However, what to do in the absence of secured funding is not fully reflected on e.g. the option of reducing the ambition level to allow more resources for fewer places.

Summary of rating

Criteria	Rating	Criteria	Rating
Relevance	5	Gender Equality	4
Effectiveness	4	Impact	
Efficiency	4	Monitoring & Evaluation	4
Sustainability	4	Analysis & Learning	5
Rating scale: 6 = very high quality; 1 = very low quality. Below 4 is less than satisfactory.			

Comparative advantages and contribution to Australian aid priorities

(Note: The comparative advantages are marked on a scale of 1 to 10 bearing and are compared between the different partnerships. The contribution to priorities scores the relative contribution where a total of 24 points are distributed between the 4 priorities.)



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Water Safety Plans as Normal Practice: Policy and Institutional Strengthening for WSP Mainstreaming – Phase 3 August 2011

June 2014 Mid-Term Review Meeting Materials

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WHO, Summary notes on Mid-Term Review meeting of Phase 3 of the Water Safety plan Programme (2012-2016) July 2014

WHO November 2014, WHO WSP program overview

WHO October 2014, 4th Six monthly progress report

DFAT, April 2012, WSI Global Program, Design summary and implementation document

Interviews

Jennifer DE France; Bruce Gordon, Angella Rinehold, Donald Sutherland, WHO

Summary of engagement suggestions:

- Document earlier WHO experience on linking with Australian expertise on water safety plans and ask WHO-WQP to engage with Australian utilities and other relevant organisations to explore market based opportunities (beyond subsidized twinning). [WHO-WQP]
- Review the exit strategy and exit plans for each country; encourage transfer of responsibility for securing the enabling environment from WHO-WQP to national bodies and other donor support efforts. [WHO-WQP]
- Propose that M&E arrangements set up for follow up on water safety plans use and/or support local monitoring systems where possible to avoid too many parallel systems. [WHO-WQP]
- Follow up with WHO-WQP on implementation of their response to the need identified in the 2012 review to prioritise gender more highly [WHO-WQP]

Water Supply and Sanitation Collaborative Council (WSSCC) (UNOPS)

Status of Partnership: An agreement was signed on 12 June 2012 and provides \$9 million over 2012 to 2015 to a MDTF as a contribution to the WSSCC medium term strategic plan (2012-2016). The last tranche was paid in September 2013. Over the period 2007-2011, Australia, provided about 13% of the WSSCC resources and was its third largest donor. Over the period 2012 to 2015 Australia will provide about 11% of the total budget of USD 69.6 million for the WSSCC medium term strategic plan.

Details of Organisation⁶: WSSCC is a membership network of more than 2,600 individuals, academics, non-government organisations, community based organisations, international organisations, national governments and private sector members concerned with implementation, research and knowledge management in water and sanitation. WSSCC works to enhance collaboration between its members, generating and sharing knowledge and advocating in favour of water and sanitation.

WSSCC's mandate covers both water supply and sanitation, with a greater focus on sanitation and hygiene. During the 1990s, WSSCC's main activity was *networking and knowledge management*. In the period 2000-2006, it expanded its work to include *advocacy* at both global and national levels. Since 2007 the WSSCC started its *Global Sanitation Fund (GSF)*. The GSF provides grants from a pooled fund to selected organisations in particular countries. Since 2011, the WSSCC MDTF has received funds from six major bilateral donors (Australia, UK, Norway, Sweden, Switzerland, and the Netherlands) and the Bill and Melinda Gates Foundation. WSSCC is executing its Medium Term Strategic Plan (MTSP) that runs from 2012-2016 and that foresees annual disbursements rising to US\$100 million. At present there are 11 Global Sanitation Fund program countries (of which 3, Bangladesh, India, Nepal are in the Indo-Pacific region).

WSSCC activities have three functions: 1) advocacy of sanitation and hygiene programs; 2) knowledge management in the sanitation and hygiene field; and 3) implementation through the Global Sanitation Fund (GSF) of sanitation and hygiene programs. The first two functions are implemented by WSSCC members around the world funded through a Sanitation Leadership Fund from Geneva while the GSF is implemented in each of the program countries through Executing Agencies that in turn contract with sub-grantee organizations that are mostly NGOs and that concentrate on hygiene education and training of artisans for the construction of latrines. The GSF is rapidly growing relative to the advocacy and knowledge management functions, and constitutes 85% of WSSCC expenditure under the medium term strategic plan.

Relevance

The WSI Global Program design document (DFAT, April 2012) and the IPP and WSI evaluation (Rajasingham et al, March 2012) regard WSSCC as highly relevant to AusAID's strategic goal of saving lives and achieving the MDG sanitation target which is currently off track. It is noted that the program supports the WSI WASH pillars of improving access to sanitation and improved hygiene behaviours through the GSF target of helping around 12 million people from 2012 to 2016. These arguments are still valid although less so now that the new Australian aid program promotes a stronger geographic focus on the Indo-Pacific region where WSSCC is relatively weak (there are no Pacific countries supported although activities are supported in Bangladesh, India, Nepal). It could also be argued that the GSF is a highly operational activity where it is difficult to see how use is made of the global convening power or comparative advantages of WSSCC – the CLTS methodology is a proven one and although innovative in its own right does not represent something new that needs testing at a global level. However, this is not to imply that GSF does not serve a highly relevant task for the countries concerned and that the scaling up effect is not in itself important in

⁶ Source: WSSCC website (<http://www.wsscc.org/>, accessed 31 October 2014); TOR ; Rajasingham,S, et al, March 2012)

terms of increasing the credibility of the success of sanitation related investments in soft approaches. Although costly in terms of software support, the CLTS approach does mobilise people's own resources rather than rely on subsidies and it can stimulate a local market for low cost sanitation services, which is relevant to DFAT's priorities. Suggestion for DFAT engagement with WSSCC: Discuss how the comparative value of WSSCC's convening power can be made better use of and explore how what is learnt from the GSF can be translated into material of relevance for other parts of the Indo-Pacific region.

Effectiveness

The external review of the period 20015-2010 (IOD-PARC, 2011) and the IPP and WSI evaluation (Rajasingham et al, March 2012) indicate doubts about the effectiveness of WSSCC's GSF due to low expenditure and slow progress in results. The WSI Global Program design document (DFAT, April 2012) noted these concerns but also concludes that the momentum is with the GSF and results were being reported. The latest GSF progress reports appear to confirm the confidence placed in GSF as strong results are now emerging. Since GSF began there are now 3.1 million additional people in the 11 target countries with improved toilets – a doubling in the last 12 months. There are also indications of habits changing in that nearly 6 million people reported to be living in open defecation free environments and some 7 million people who now have access to hand washing facilities as a result of the GSF. The medium term strategic plan has attracted commitments of nearly USD 100 million (close to 30% in excess of the original budget) and WSSCC have by mid 2014 disbursed USD 43 million. The GSF progress report (WSSCC, August 2014) notes that "GSF-supported activities are always implemented within a wider (sector) environment". As GSF is a relatively new sector program, WSSCC acknowledges the work that has been done by other actors in previous years that laid a foundation for GSF's intervention. Results are based on reports submitted by Global Sanitation Fund sub-grantees with regular independent monitoring. It would be plausible to conclude that the GSF has had a significant part in reaching these physical and behavioural results.

Efficiency

The external review of the period 20015-2010 (IOD-PARC, 2011), the IPP and WSI evaluation (Rajasingham et al, March 2012) and the WSI Global Program design document (DFAT, April 2012) indicate doubts about the efficiency of WSSCC. The unit cost per person served is reported as between 1 and 20 USD (WSSCC, August 2014) with the highest level in Senegal and the lowest in India. The indicative budget for 2014 indicates that activity costs are USD 30.3 million with total WSSCC staff, directly managed costs and UNOPS management fee (7%) raising the budget to USD 41.6 Million which indicates an administrative cost of close to 37% which appears very high. Some of the WSSCC staff and directly managed costs could potentially be attributable to technical inputs instead of administration. It is estimated by WSSCC that 50% of their staff time can be attributed to technical inputs which would bring the administrative costs to 22% (WSSCC financial document, November 2014). Nevertheless as pointed out by earlier reviews the administrative costs are still relatively high. The IPP and WSI review (Rajasingham et al, March 2012) indicated a targeted reduction in governance and overhead from 45% in 2007 to 8% in 2010. This has clearly not happened. The majority of the WSSCC activity budget of USD 30.3 million is spent on goods and services that are procured competitively which indicates that the expenditure itself is efficient and market tested.

Sustainability

GSF uses the CLTS approach which is proven method that relies on self-realised change in behaviour and avoids subsidies or unsustainable incentives. The progress reports (WSSCC, August 2014) reflect over sustainability concerns. The report notes that "Villages participating in sanitation and hygiene programs supported by GSF find that in order for them to sustain open defecation free status, they must combat different types of slippage. The actual abandonment of latrines and return to the practice of open defecation is relatively rare. However it tends to occur when the commitment to open defecation free status fades and latrines are not maintained, often as a result of inadequate follow-up and support. A common problem is a lack of continued good hygiene practices, specifically handwashing after defecation"

Mid-term evaluations of four of the eleven sanitation and hygiene programs indicate that roughly 16% of people (one in 6) living in open defecation free environments have experienced some kind of slippage. It can be concluded that sustainability is relatively promising and is under close scrutiny.

WSSCC operates under the UN social and environmental safeguards which are considered highly relevant.

Monitoring and evaluation

The monitoring, evaluation and reporting systems and practices are impressive both globally and at the country level. A high level of independent monitoring is carried out and this might to some extent explain the high administrative costs. The reporting at global level is very clear and excellently communicated. The chosen indicators both at final and intermediary level are simple and convincing. Attribution is weak as trying to obtain an estimate of attribution is not judged a sensible use of funds. One relatively simple, if crude, way would be to look for nearby countries not served by GSF and see if sanitation results are any different – however at present the data is not available. Suggestion for DFAT engagement with WSSCC: consider to document the additional impact of GSF by comparing the sanitation progress in similar countries without GSF.

Impact

The impact is high and arises from the achievement of the physical and behavioural interventions. There are likely to be very large impacts on the mortality, reduction in stunting and life quality of millions of people. There is also a wider catalytic impact. Children that live in healthy environments are likely in the next generation to perpetuate good habits. The WSSCC reporting (WSSCC, 2014) also argues that “low income countries are unlikely to dedicate scarce public resources to sanitation and hygiene” unless results are proven. GSF investments it is argued are therefore critical and could help governments to make the case for directing more resources and attention to sanitation. It is not always clear however, if this has happened although there are some promising cases in Nigeria, Uganda, Madagascar and Nepal where there is evidence that WSSCC advocacy together with others has led or is likely to lead to greater financial commitment to sanitation by country authorities. In Nigeria, the GSF funding of USD 5 million is complemented by state and federal funding of USD 5.35 (<http://www.wsscc.org/resources/resource-news-archive/new-sanitation-partnership-changes-donor-recipient-dynamic-and-aims?rck=e89886cc5ea14d8e04344c017f01b4f3>) which is a good sign.

Gender equality

WSSCC report (WSSCC, August 2014) that “the mid-term evaluations in four of the eleven sanitation and hygiene programs supported by GSF show that the programs need to address more systematically the aspects of sanitation that concern women and the physically disabled. The mid-term evaluations indicate that the sanitation and hygiene programs have been successful in reaching very poor households and populations that historically have been excluded from access to basic services”. This self-evaluation is in the context of an organization that is already highly aware and capable on gender sensitive issues. In response to the findings, GSF are designing new measures to reach women, girls and the disabled e.g. by appropriate latrine design. Suggestion for DFAT engagement with WSSCC: encourage WSSCC to disseminate widely the findings of new measures for reaching vulnerable groups (if successful).

Analysis and learning

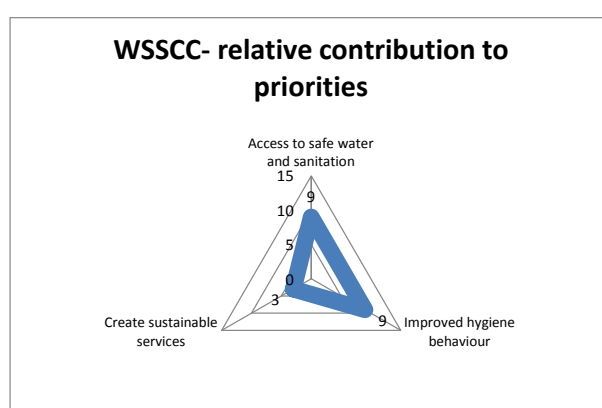
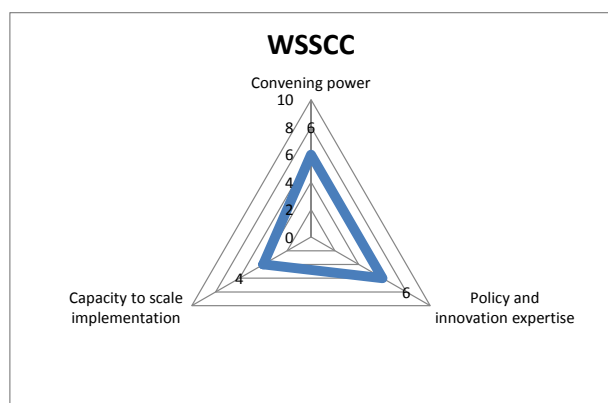
As pointed out by the WSI design document (April 2010) “learning lessons is a core part of WSSCC’s work and its dissemination program is led by the Networking and Knowledge Management Department. It is also embedded in its internal management, design and implementation of activities.” The quality of the reflections and analysis of the recent annual and semi-annual reporting bears this out.

Summary of rating

Criteria	Rating	Criteria	Rating
Relevance	5	Gender Equality	4
Effectiveness	4	Impact	
Efficiency	4	Monitoring & Evaluation	4
Sustainability	4	Analysis & Learning	5
Rating scale: 6 = very high quality; 1 = very low quality. Below 4 is less than satisfactory.			

Comparative advantages and contribution to Australian aid priorities

(Note: The comparative advantages are marked on a scale of 1 to 10 bearing and are compared between the different partnerships. The contribution to priorities scores the relative contribution where a total of 24 points are distributed between the 4 priorities.)



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- GSF Results 2011
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- DFAT, WSI Global Program, Design summary and implementation document, April 2012
- WSSCC, November 2014 financial information (email November 2014)
- Rajasingham, S., Gwin, C., Ringsklog, K., 2012, IPP and WSI Independent Evaluation, March 2012

Interviews

Isobel Davies, WSSCC; Grace Katurama consultant Uganda

Summary of engagement suggestions:

- Discuss how the comparative value of WSSCC's convening power can be made better use of and explore how what is learnt from the GSF can be translated into material of relevance for other parts of the Indo-Pacific region. [WSSCC]
- Consider to document the additional impact of GSF by comparing the sanitation progress in similar countries without GSF. [WSSCC]
- Encourage WSSCC to disseminate widely the findings of new measures for reaching vulnerable groups (if successful). [WSSCC]
- Follow up with WSSCC on implementation of their response to the internal reviews that 4 of the 11 GSF programs need to prioritise gender more highly [WSSCC]

Sanitation and Water for All (SWA) (UNICEF) ⁷

Status of Partnership: An agreement is currently in place. The agreement was signed on 12 June 2013 and provides \$1.4 million to UNICEF to provide secretariat services to support SWA operations over 2013-14 to 2014-15. The single tranche was paid in June 2013, according to the annual report of SWA, this amounted to 50% of the total donor contributions in 2013 and 60% of the 2013 expenditure (SWA, 2013).

Details of Organisation: Sanitation and Water for All (SWA) is a global partnership between developing countries, donors, multilateral agencies, civil society and the private sector with the objective of achieving universal and sustainable access to sanitation and safe drinking water, with an immediate focus on achieving MDG 7c in the most off-track countries. The key advocacy mechanism that SWA supports is a biannual high level meeting that aims to gain ministerial agreement on actions and sector funding at global and national levels.

Currently the membership of SWA numbers about 70 entities, consisting of developing countries that are off-track for achieving the MDG 7c target (mostly in Africa and a handful in Asia), six donor partners who are aligning their programs with the SWA principles — Austria, France, Netherlands, Germany, Switzerland, and the Gates Foundation, as well as civil society, multilateral agencies, and other sector partners. Australia joined the SWA partnership in April 2012 when the former Director General of AusAID made a number of commitments to the 2012 SWA High Level Meeting and agreed to report on progress against those commitments. UNICEF hosts the SWA Secretariat and is supported by WSSCC in advocacy and political dialogue.

SWA approaches include:

- hosting a biannual high level meeting (HLM) of global decision-makers to focus on key water and sanitation issues;
- improving mutual accountability for delivery on sector commitments;
- improving information on the sector, to assist evidence-based decision-making, with updated information, such as in the JMP and annual UN-Water GLAAS Report; and
- providing additional support to developing countries processes, through technical assistance, better coordination, ideas and where appropriate catalytic support.

Relevance

SWA is considered unique in an otherwise crowded field as it is a global advocacy mechanism that aims for increased political support and dialogue and collaboration to direct funding and efforts to areas of most need. A number of observers have noted that the role of SWA needs greater clarity. SWA is operating in a changing landscape and needs to constantly refine its focus and interpret its mandate and purpose so that it contributes to the sequencing between commitment and action as well as its original priority areas of: i) increasing political prioritisation; ii) promoting development of a strong evidence base and iii) strengthening country processes. The value added of SWA is to use its convening power to bring i) donors and beneficiaries together; ii) bring WASH and finance ministries together; that otherwise would not come together. Inadvertently, this could weaken local processes for bringing finance, planning and WASH together. Because sanitation is the lagging MDG goal, SWA concentrates more on sanitation than water. Suggestions for DFAT engagement with SWA: Follow and understand the changing priorities and how best to use the SWA convening power to enhance rather replace or weaken domestic arrangements for linking WASH and the finance/planning function.

⁷ This assessment is largely based on: i) the SWA annual progress report (2013) and; ii) a presentation of findings of an in-depth review (Caplan, September 2014) which involved interviews with more than 60 stakeholders.

Effectiveness

The recent review (Caplan, 2014, personal communication) summarises the SWA achievements to date as; i) Widely recognized as valuable global platform for the sector with growing membership base (90+) and significant potential – no clear global competition; ii) Increasingly promotes coordination and collaboration among wide range of different sector players; iii) The high level meeting is important convening mechanism – galvanizes high level players and gives WASH sector clear positioning among development priorities; iv) Captures technical aspects for non-technical audiences in a professional and meaningful way. The key achievement is seen as the creation of an increasingly recognised, referenced and sought after brand. The review also notes that within the 3 priority areas there had been achievements but there are also points which need further reflection moving forwards:

- Increased political prioritisation – the high level meetings have increased visibility and finance ministers have been increasingly engaged but accountability for commitments made is not secured and it is not possible to verify if the message is reaching the wider audience.
- Promoting the evidence base – the coordination with JMP and GLAAS is good but the data has not been translated to what needs to be done on the ground or how the data can be used to influence external actors.
- Strengthening country processes – there has been a strong push for global and national level action on WASH but it is not clear how the dialogues and processes can be embedded into national policy, planning and reporting cycles.

Efficiency

It is difficult to determine the efficiency. An 8% fee is paid to UNICEF for hosting SWA which is the normal level for UN operations of this nature. The staff remuneration, travel and other costs are governed by the UN regulations. Conceivably, similar work could be outsourced by UNICEF to a dedicated NGO for considerably less but the links to the UN system and its convening power would be weakened. The recent review points to the steering committee being rather large and cumbersome and notes there are opportunities for increasing efficiency by streamlining the committee.

Sustainability

SWA contributes to sustainability of sanitation in the sense that it aims at raising the political awareness and commitment to funding sanitation. The recent review points to the need to move beyond commitment at high level meetings. There is a need to verify and ensure that the commitments are met in practice and that arrangements are in place to make good use of additional funds released. The sustainability of SWA itself will depend largely on the extent to which it can document additional commitments and verify that these have taken place and led to results. If this happens, then the SWA brand will be reinforced, if not, it could risk to diminish and its convening power would be reduced. Even though there are references and focus on non-monetary factors (more than two thirds of the commitments are not directly funding related) there is a strong focus on money and on attracting more resources to the sector. At some stage even more attention will be needed on how well the money is spent and the many other factors that affect progress such as the institutional set ups, regulatory environment and subsidy policies. Suggestions for DFAT engagement with SWA: discuss how SWA reporting and follow up on commitments can focus more on the effective use and the conditions needed for effective use of public financing for sanitation as well as mobilisation of user contributions.

SWA operates under the UNICEF social and environmental safeguards which are considered highly relevant.

Monitoring and evaluation

Indicators and milestones for each year are defined in the proposal document but not formally reported on in the annual progress report (although values for most of the indicators can be found). As mentioned earlier there is a need to extend the monitoring beyond recording of verbal commitments made at high level meetings and find a mechanism to verify the allocation of funding. It appears that this is not yet fully in place – although SWA are fully aware and working on constant improvements. There is perhaps an over reliance on self-monitoring which is ideal but probably not convincing enough in practice.

SWA points to the need for greater accountability for the commitments through better monitoring. This will include better worded commitments that are easier to monitor as well as more harmonisation on M&E to avoid overlap and to support country level processes of domestic accountability that are partner led.

Impact

The impact is potentially high as relatively modest interventions at a politically powerful level involving high level staff and ministries of finance could lead to substantial additional funding. Funding, as mentioned under sustainability, is however not the only issue. In many countries the fragmentation of the sector is a major issue that prevents funding from being well used. In its current form the SWA does not reach to the country level and clearer links with organisations that can follow up to develop or support multi stakeholder forums would be needed for those countries where substantial commitment had been made at the high level and other meetings.

Gender equality

The SWA implicitly supports gender equality in all its work. At the 2014 high level meeting, there were two themes: sustainability and addressing inequalities. Gender of course fits within that broader theme. Several of the ministers at the high level meeting addressed their government’s prioritization of women and girls. Finally, there were six commitments which were tabled – 4 by donors and 2 by countries – which specifically addressed women and girls.

Analysis and learning

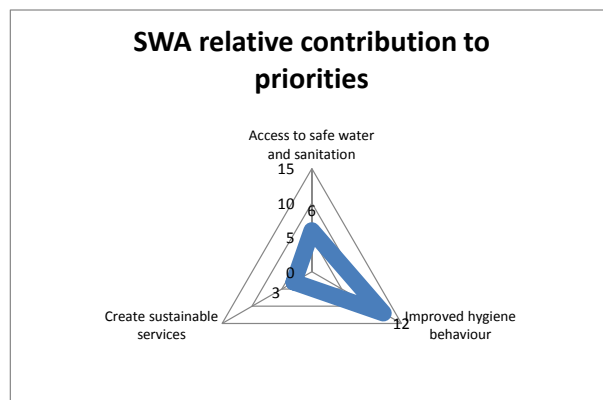
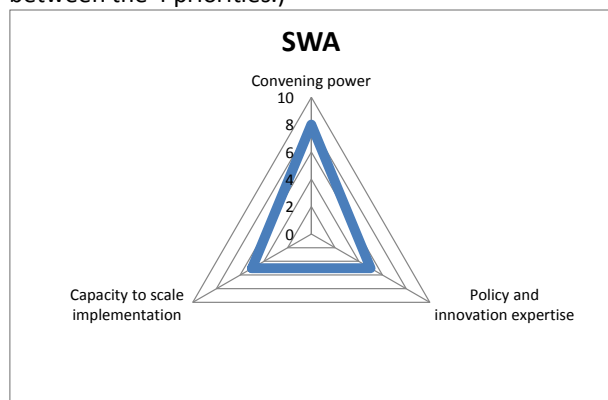
The high level meetings have comprehensive preparatory processes involving developing countries, donors and other stakeholders. The aim of these processes is to review existing commitments and to develop proposed future resource allocations and specific commitments that can be agreed at the meetings. Although the SWA annual reports (2013) mainly focus on achievements there is some acknowledgement of many of the challenges noted in the sections above and the 2013 states: “ Much work remains to be done to address commitments to improve the effectiveness and sustainability of service delivery. There is slower progress in terms of strengthening institutional arrangements and financial systems and addressing human resources gaps. Change in these areas will take a considerable amount of time and progress needs to be monitored over several years”. A review is being undertaken and the findings are under discussion (and not fully available for this assessment).

Summary of rating

Criteria	Rating	Criteria	Rating
Relevance	5	Gender Equality	4
Effectiveness	4	Impact	
Efficiency	4	Monitoring & Evaluation	4
Sustainability	5	Analysis & Learning	4
Rating scale: 6 = very high quality; 1 = very low quality. Below 4 is less than satisfactory.			

Comparative advantages and contribution to Australian aid priorities

(Note: The comparative advantages are marked on a scale of 1 to 10 bearing and are compared between the different partnerships. The contribution to priorities scores the relative contribution where a total of 24 points are distributed between the 4 priorities.)



References

SWA annual report (2013)

Proposal for support (2013)

High level meeting report (2014)

UNC, May 2013, Policy brief on Outcomes of a Meeting of Senior Finance Ministry Officials to Discuss Decision-making for WASH

SWA 2013 Progress on update of the 2012 SWA HLM commitments

Interviews

Cindy Kushner former SWA; Ken Caplan, Reviewer of SWA

Suggestions for DFAT engagement with SWA

- Follow and understand the changing global priorities for external support to enhancing commitments to sanitation and water [DFAT or lead donor/SWA] and how best to use the SWA convening power to enhance rather replace or weaken domestic arrangements for linking WASH and the finance/planning function. [SWA]
- Discuss with SWA on how SWA reporting and follow up on commitments can focus more on the conditions needed for effective use of public financing for sanitation as well as mobilisation of user contributions. [SWA]
- Discuss with SWA the opportunities for promoting gender equality at high level meetings [SWA]

Joint Monitoring Program (JMP) (UNICEF)

Status of Partnership: A current agreement is in place. An agreement was signed on 12 June 2014 and provides \$0.84 million for activities over 2013-14 to 2015-16. The single tranche was paid in June 2014. The JMP budget for 2012 was approximately USD 2.8 million which means the DFAT contribution over a 1½ period is approximately 18%.

Details of Organisation: The vision of the WHO/UNICEF Joint Monitoring Programme for Water Supply and Sanitation is to accelerate progress towards universal sustainable access to safe water and basic sanitation by 2025, including the achievement of the MDG target by 2015 as a key milestone. The mission of the JMP is to be the trusted source of global, regional and national data on sustainable access to safe drinking-water and basic sanitation, for use by governments, donors, international organizations and civil society.

The JMP for Water Supply and Sanitation is the official UN mechanism tasked with monitoring progress towards the MDGs relating to drinking water and sanitation. In fulfilling this mandate, the JMP publishes updated estimates every two years on the use of various types of drinking water sources and sanitation facilities at national, regional and global levels. The JMP also collaborates with international organisations and with individual countries to further develop national and global monitoring. The DFAT support is aimed at “strengthening the WASH monitoring with a special focus on the Pacific and South East Asia and with an eye to the post 2015 WASH agenda” (DFAT, June 2012).

Relevance

The JMP as a whole is highly relevant as it is the main mechanism for reporting on the WASH MDGs and thus the instrument for knowing whether targets are being met or not. Information on progress towards targets can help inform what strategies should be continued or changed. One practical outcome of the JMP monitoring has been the recognition that more attention is needed on sanitation as it was off track. The special DFAT support to the Pacific region that envisaged is relevant because it builds on the JMP and focusses support on a highly relevant geographic region (which in many respects is lagging in WASH progress) as well as on the post 2015 agenda.

Effectiveness

JMP is generally regarded as effective. It is hosted by UNICEF and the satisfactory overall effectiveness of UNICEF and its WASH activities are thus relevant in this connection. The 2012 annual report notes that the JMP data is based on data from more than 1,100 surveys and censuses from developing countries and 300 reports from developed countries, covering the period 1980 to 2010. It is noted that this is a fivefold increase in data sources since the JMP report in 2000 which indicates an increasing effectiveness in engaging national bodies in reporting.

Efficiency

The DFAT design document (April 2012) notes that a partnership with JMP is considered an efficient investment because of the cost-effective methodology used by JMP to collect data, including household surveys and national censuses. It is also noted that the efficiency of JMP is highly regarded as demonstrated by the cost-effective methodology used to collect data using national statistics offices and international survey programs through nationally representative household surveys and national censuses. A cost conscious approach appears to be used for the annual Strategic Advisory Group meetings in terms of economising on meetings and costs (JMP, December 2013). UNICEF charge an administrative fee of 8% which is regarded as standard for this type of operation.

Sustainability

The sustainability of JMP itself or its successor is dependent on the post 2015 agenda. The DFAT support will help to define this agenda and how a post 2015 JMP can best be organised. For now, JMP is nearing the completion of its task. By improving the information environment and especially the national capacity to self-monitor it has helped in sustaining the WASH sector in many countries by bringing to the attention of decision makers the relative progress made in WASH and what can be achieved by the right policies and financial commitments. Sustainability of improved monitoring in the Pacific countries is difficult. The national M&E is weak and there is a poor economy of scale. It is likely that support will be needed over a longer period especially if recurrent budgets (staff and funds) are not assigned to M&E. Suggestions for DFAT engagement with JMP: Discuss what readiness measures and other minimum commitments are required by the Pacific countries in terms of staffing and recurrent budget for monitoring and evaluation.

JMP operates under the UNICEF social and environmental safeguards which are considered highly relevant.

Monitoring and evaluation

The JMP is itself an M&E tool. JMP reports are made every year and subject to scrutiny. A strategic advisory group that also includes a number of external members openly examines the accuracy of information provided and makes recommendations for improvements in the process and reporting.

Impact

The impact of JMP is indirect. As earlier noted, by improving the information environment and the ability to self-monitor, the JMP will lead to greater efficiency and effectiveness in the sector as well as a better informed prioritization of the sector. Again, as earlier mentioned the increased attention given worldwide to sanitation is a result of the overwhelming information arising from JMP and other sources of the degree to which sanitation was off track as an MDG target.

Gender equality

Gender equality is a focus of JMP's work program with the information produced allowing tracking of gender impacts.

Analysis and learning

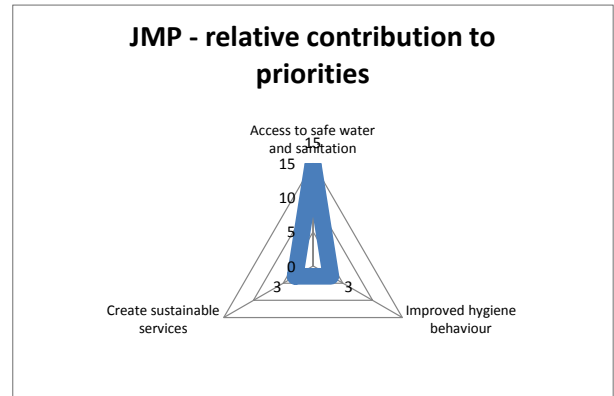
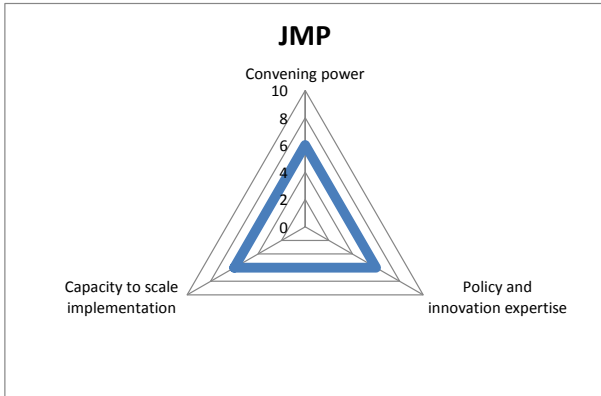
The strategic advisory group holds a meeting each year where the lessons learnt are reflected on in open session and recorded and uploaded on the internet. The JMP has year by year improved its presentation and dissemination of information.

Summary of rating

Criteria	Rating	Criteria	Rating
Relevance	5	Gender Equality	4
Effectiveness	4	Impact	
Efficiency	4	Monitoring & Evaluation	5
Sustainability	5	Analysis & Learning	5
Rating scale: 6 = very high quality; 1 = very low quality. Below 4 is less than satisfactory.			

Comparative advantages and contribution to Australian aid priorities

(Note: The comparative advantages are marked on a scale of 1 to 10 bearing and are compared between the different partnerships. The contribution to priorities scores the relative contribution where a total of 24 points are distributed between the 4 priorities.)



References

- JMP, December 2013, Report of Fifth Meeting Strategic Advisory Group 11-12 December 2013
- JMP 2014, Progress on sanitation and drinking water 2014 update
- JMP 2013, Progress on sanitation and drinking water 2013 update
- DFAT, June 2012, Contribution agreement to JMP, Annex A

Interviews

Evariste Kouassi-Komlan, UNICEF

Suggestions for DFAT engagement with JMP

- Discuss what readiness measures and other minimum commitments are required by the Pacific countries in terms of staffing and recurrent budget for monitoring and evaluation. [JMP]

UNICEF Global WASH Program

Status of Partnership: No agreement is in place under the current phase of the WSI Global Program. An agreement was signed in the earlier phase of the program on 17 June 2009 for \$6 million for 3 years which was expanded to \$8 million in June 2011 in support of the UNICEF WASH programme 2006-2015. This agreement formally ended on 30 June 2014. Australia's total contribution of \$8 million over 5 years (equivalent to USD 1.4 million per year) is less than 0.5% of the total annual UNICEF WASH expenditure (which in 2012 was USD 380 million).

Details of Organisation: UNICEF's WASH program works in 96 countries with the aim to contribute to the realisation of children's rights to survival and development through promotion of the sector and support to national programmes that increase equitable and sustainable access to, and use of, safe water and basic sanitation services, and promote improved hygiene.

Most of the funds provided to UNICEF were spent at the country level; less than 1 per cent was incurred at the global or regional level. At the country level, programs vary significantly in scope. Large programs typically have annual budgets of around US\$10 million and support a wide range of water, sanitation and hygiene activities, often country-wide. Other programs are much smaller and focus activities on particular geographic areas or on specific program elements that require special support, such as hand-washing campaigns or water quality. Support to school-based WASH activities has also increased significantly in recent years. UNICEF works towards making schools healthier and more attractive to children, especially girls, through WASH in schools programs.

UNICEF sponsor a wide range of activities and work with many partners, including families, communities, governments and like-minded organisations. For the 10 year period 2006 to 2015, UNICEF support for the sector is guided by two overarching targets:

- Halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation (MDG target 7c); and
- Ensure that all schools have adequate child-friendly water and sanitation facilities and hygiene education programs.

Relevance

As noted by the WSI Global Program design summary (April 2012) the UNICEF WASH program is "highly relevant to AusAID's strategic goal of saving lives because of its focus on children's health and well-being. The program supports the AusAID WASH pillar of improving access to water and sanitation through its new programs for WASH in Schools of which operated in 94 countries as at 2010". The UNICEFD WASH program also contributes strongly to Australia's focus on education and on helping and preventing harm for the most vulnerable sections of the population. The WASH program operates in the Indo-Pacific region. In 2012 the WASH program spent 5.8% of its budget in the East Asia and Pacific region and 19.1 % in the South Asia region (UNICEF, 2012).

Effectiveness

The multilateral assessment of UNICEF carried out by DFAT (2012) found that UNICEF was effective as an organisation. As the WASH is implemented through the country offices of UNICEF this conclusion is also relevant for the WASH program. The multilateral assessment found that UNICEF delivers strong, tangible development results. UNICEF received very strong ratings for aligning with Australia's strategic goals and focusing on cross-cutting issues. The only area of weakness was alignment with partner countries' priorities and systems.

UNICEF carries out independent evaluations usually at a thematic or country level. An evaluation of the WASH community approaches to total sanitation found that UNICEF's application of the approach had successfully contributed to shift the sanitation sector towards demand-driven and not directly subsidized approaches. The evaluation also concluded that a new momentum was given to rural sanitation in the many countries supported by UNICEF and that this new momentum has translated into a change in how rural communities regard sanitation, invest into it, commit to new behaviours around ending open defecation– and eventually improve their living conditions. The evaluation found that UNICEF and its partners have successfully advocated CATS principles and managed to influence other key development partners and that UNICEF is now recognized by Governments and development partners as a major actor of change in the sanitation sector. (UNICEF, March 2014).

Efficiency

As noted by the WSI Global Program design summary (April 2012) UNICEF offers “excellent value for money” as reported in the DFID Multilateral Aid Review. UNICEF WASH has an ongoing program to reduce running costs and the organisation limits funding spent in headquarters. Expenditure at head office is less than 1%. A recent evaluation by OECD (May 2013) based on a meta evaluation of some 64 individual evaluations found that UNICEF was relatively strong on efficiency of program actions and moderate on efficient systems and procedures and achievement of objectives on time (see extract below)

Extract from OCED May 2013, p50

Sustainability

The UNICEF WASH program uses a business model that combines water, sanitation and hygiene education to provide sustainable health benefits. One third of expenditure is spent on capacity building and advocacy to increase the sustainability of its WASH programs. The UNICEF WASH report (2012) acknowledges that sustainability is a critical issue. The annual report (2012) notes that UNICEF's focus in water supply continues to shift from service delivery towards support in the areas of improving cost effectiveness, sustainability, water safety and efforts related to climate change adaptation. Although sustainability is still a crucial and unsolved issue, through these measures (such as focusing on service delivery rather than infrastructure) UNICEF with others are working consistently to improve performance on sustainability.

UNICEF-WASH operates under the UNICEF social and environmental safeguards which are considered highly relevant.

Monitoring and evaluation

The multilateral assessment of UNICEF (DFAT, April 2012) found that two of the key areas in which UNICEF performed less strongly were in monitoring and reporting results and cost-effectiveness. UNICEF WASH has relatively strong systems to monitor the effectiveness of its interventions in part because the WASH sector benefits from a number of highly measurable indicators. The WASH programming cycles includes an annual WASH progress report.

Impact

The impact of UNICEF's WASH program is judged as high. UNICEF support encourages the development of well-functioning water and sanitation markets as well as providing direct service delivery for emergency and humanitarian purposes. The impact on school water and sanitation coverage over the period 2008 to 2012 which is a key area of UNICEF performance is shown below:

Extract from UNICEF annual report (2012), p18

Gender equality

Gender equality is support by UNICEF WASH programs. UNICEF actively encourages the development and use of gender-sensitive WASH technologies. UNICEF has been at the forefront of developing methodologies for gender in WASH. UNICEF regularly makes gender disaggregated surveys. As an illustration of the attention given to gender by UNICEF, the annual reports devote a special chapter to gender and the topic is also covered in other parts of the report.

Analysis and learning

UNICEF has a sophisticated evaluation system that brings together and makes available on its website all the evaluations undertaken by theme, country and year. Learning and analysis are well integrated into

decision making and budgets are set aside to ensure that analysis is of high quality and where necessary independent. As the current WASH program is coming to an end, UNICEF is designing a next strategy period. In preparation a number of exercises were conducted to learn lessons and to shape the next phase of work. This exercise has resulted in a set of five goals for UNICEF’s work in WASH designed to result in programmes that:

- are recognized as the benchmark of best practice;
- achieve scale and transformational change;
- demonstrate outcomes across sectors and corporate agendas;
- provide leadership in responding to emergencies;
- make the best use of UNICEF’s global network of knowledge and expertise.

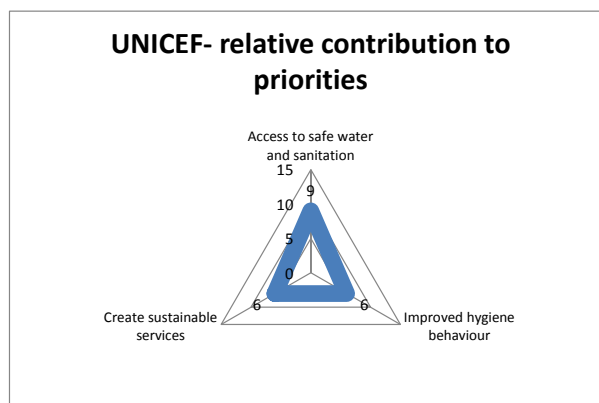
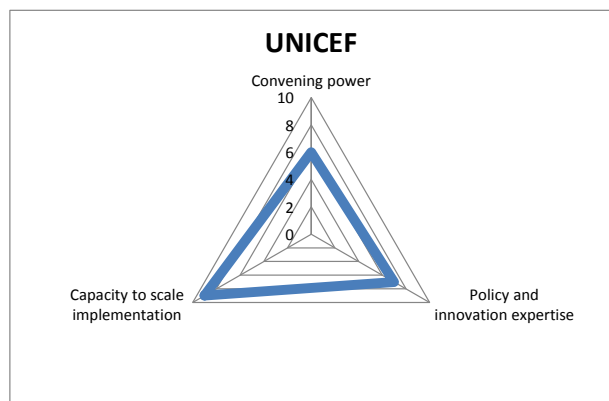
Summary of rating

Criteria	Rating	Criteria	Rating
Relevance	5	Gender Equality	5
Effectiveness	5	Impact	
Efficiency	4	Monitoring & Evaluation	5
Sustainability	5	Analysis & Learning	5

Rating scale: 6 = very high quality; 1 = very low quality. Below 4 is less than satisfactory.

Comparative advantages and contribution to Australian aid priorities

(Note: The comparative advantages are marked on a scale of 1 to 10 bearing and are compared between the different partnerships. The contribution to priorities scores the relative contribution where a total of 24 points are distributed between the 4 priorities.)



References

- UNICEF, Evaluation of community approaches to total sanitation, March 2014
- UNICEF, WASH report, 2012
- UNICEF, WASH report, 2013
- OECD, Review of UNICEF’s development effectiveness, 2009-2011, May 2013

Interviews

Evariste Kouassi-Komlan, UNICEF

Suggestions for DFAT engagement with UNICEF

- Request information on how knowledge products produced in part under WSI Global Program funding have been used in practice and disseminated also to Australian bilateral programs.[UNICEF-WASH].

Water Financing Partnership Facility (WFPF) (Asian Development Bank)

Status of Partnership: No agreement is in place under the current phase of the WSI Global Program. An agreement was signed in the earlier phase of the program in September 2007 that provided \$10 million. An additional contribution of \$15 million was provided under that agreement in March 2011. The funding was provided as core funding to the Multi donor trust fund (some other donors have earmarked special trust funds). According to the WFPF annual report (2013) Australia funds close to 23% of the total commitments received by December 2013. DFAT still receives WFPF annual reporting and attends the WFPF Annual Board meeting.

Details of Organisation: WFPF mobilises additional analytical and technical support from various development partners for ADB’s Water Financing Program (WFP). WFPF was established in November 2006 with initial contributions targeted at \$100 million. The Facility has since provided the WFP with additional financial resources and technical support for components of investment projects, technical assistance operations, knowledge management, and regional cooperation.

Direct project support covers the WFP's three investment areas:

- Rural water (rural water supply and sanitation and irrigation and drainage),
- Urban water (urban water supply, sanitation and wastewater management), and
- Basin water (water resources development and management, flood management, wetlands and watershed protection, and hydropower generation).

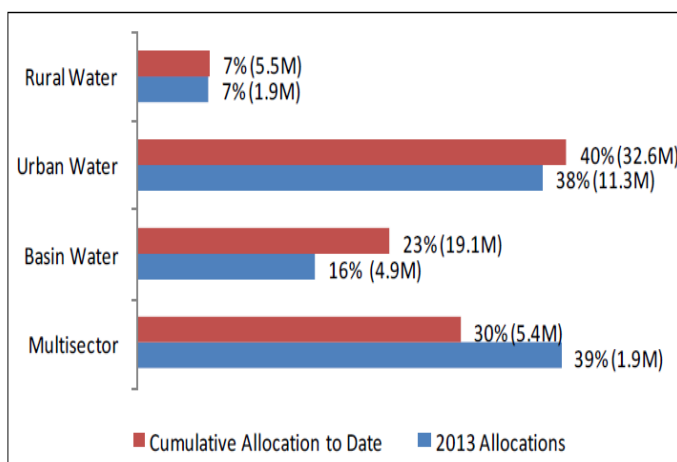
In September 2013, the Bill & Melinda Gates Foundation signed a partnership agreement with the ADB to create a new Sanitation Financing Partnership Trust Fund that will be part of WFPF. It is expected that an investment of \$15 million from the Bill & Melinda Gates Foundation into the Sanitation Financing Partnership Trust Fund will leverage more than \$28 million in investments from ADB by 2017 to expand non-sewered sanitation and septage management solutions across Asia.

Relevance

The facility is relevant to and supports the WSI Global Program WASH objectives particularly on contributing towards the outcomes on leveraging multilateral WASH programs to improve effectiveness and implementation of WASH at scale. With a total committed funding of USD 102 million, the WFPF is available to support a water sector lending program that in the years 2006 to 2013 amounts to more than USD 10 billion for WASH.

The facility however is broader than WASH as it also works on irrigation and water resources. According to the annual report for 2013 some 47% of the facility was allocated to WASH related sectors (rural and urban) – although depending on the make up of the multi-sector allocations this would probably rise to well above 50% (see figure). The geographic focus of WFPF is highly relevant for Australian support as it focuses

Allocations of the WFPF to different sectors (extracted from WFPF annual report 2013)



on Asia. WFPF has set a goal of at least 20 per cent of resources being dedicated to sanitation which is in line with DFAT's priorities.

A special and independent evaluation study of three financing partnership facilities was undertaken in 2010, one of which was the WFPF. The evaluation found that the facilities were relevant in terms of fulfilling their expected role of being a useful platform for strategic, long-term, and multi-partner cooperation. The facilities were found to have been generally compliant with their established eligibility criteria and flexible in devising an innovative new delivery modality.

Effectiveness

WFPF supports the wider Water Financing Program which as a whole over the period 2006-2020 seeks to provide an additional 500 million people with drinking water and sanitation, 170 million with reduced risks to flooding, and an additional 95 million with more efficient irrigation and drainage services. According to the 2013 annual report, for the projects directly supported by WFPF some 45 million people have been served with drinking water and sanitation. As Australia provides 23% of the funding it could be argued that this finance has supported WASH services for over 10 million people. The value added of WFPF to the ADB water financing program is:

- Increased speed of decision making due to fast track technical assistance procedures
- Higher quality implementation due to investment in country dialogues and promotion of innovations in water and sanitation
- Greater focus on reaching the underserved (supported by the presence of grant funds to assist in targeting)
- Greater involvement of civil society in project design and implementation
- More attention placed on environment and climate change
- Greater attention to gender mainstreaming

By end of December 2013 some USD 66 million out of a total of USD 102 had been committed (WFPF annual report 2013). By the end of 2013, a total of USD 19 million (23%) of the total cumulative allocations of USD 82 million has been for sanitation. Thus, the commitment to allocate 20% of the facility's resources to sanitation has been maintained.

The special evaluation study (ADB, 2010) found that the financing partnership facilities were generally found to have been effective in delivering their intended outputs, although it was not possible to conclude on the achievement of outcomes. Evidence was found that the WFPF projects reduced the perceived risks of adopting new technologies and building institutional capacity within agencies for embarking on new investment projects. Suggestion for DFAT engagement: the volume of support to projects in Asia and the Pacific has been very large, so it would be interesting to see a report on lessons learnt based on a few sample projects that represent good practice.

Efficiency

The DFAT design document (DFAT, 2012) noted that the governance and management arrangements of WFPF were well embedded in ADB structures. The financing partners and ADB meet regularly to review progress, administration, annual work programs, and the strategic direction of the facility. A WFPF steering committee provides strategic direction. All funding applications are evaluated by ADB's Water Committee.

WFPF was rated as "less efficient" in an ADB study covering the period 2006– 2009. The main factor was the low size of funding and the transaction costs of setting up the trust funds, the day to day administration and the processing time. As the fund as expanded and is no longer involved in developing procedures the

efficiency should have improved and problems of this nature are not noted in the 2013 annual report. For example in 2010 the disbursement levels were reported as less than half their expected value whereas for 2012 the disbursement exceeded the target level indicating that with greater familiarity and routine, the efficiency has increased.

Sustainability

The WFPF interventions are in part aimed at improving the sustainability of ADB water lending. By making grants available for improved project preparation they ensure that the project design is more robust, otherwise difficult to finance software interventions are supported and suitable use is made of innovative technology. The special evaluation study (ADB, 2010) noted that under the WFPF, project proposals for WFPF should (i) be consistent with ADB's Water Policy, (ii) contribute significantly to WFPF targets, (iii) introduce innovative solutions, (iv) adopt a participatory approach, (v) have high demonstration value in the sector, (vi) have good potential for replication in the country/region, and/or (vii) be linked with the relevant country strategy and results framework. The criteria (iii) to (vii) above are sustainability related. In total eight WFPF-financed projects were selected for in-depth review and all were found to be consistent with the Water Policy and with the respective country's strategy and results framework. This finding tends to confirm that the WFPF is operating in a way that enhances sustainability of ADB water lending. WFPF operates under the ADB social and environmental safeguards which are considered highly relevant for the needs of the region.

Monitoring and evaluation

The facility has a Design and Monitoring Framework that was adjusted based on the recommendations of the special evaluation study carried out in 2010. There are impact, outcome and output indicators with targets. The annual report (2013) provides information on the level of attainment. The presentation follows the recommendations of the financing partners agreed during the 2012 consultation meeting.

Impact

The design and monitoring framework has a single impact indicator – the number of people benefiting from ADB water projects where WFPF had contributed. The target for 2020 is 115 million people benefiting and the total number recorded by end of 2013 was 71 million of which 45 million benefitted from improved drinking water and sanitation. This would indicate that the WFPF is on track as regards impact at least by this measure. It is not possible to measure the quality or value addition of WFPF.

Gender equality

The WFPF is in part designed to enhance the uptake of gender equality in loan projects that would otherwise probably not pay as much attention to gender. The target for gender sensitive projects⁸ is 80% of WFPF projects. By 2013, the annual report estimates that 68% of the projects could be classified as gender sensitive, indicating that more attention is needed to reach the target.

Analysis and learning

The analysis and learning is mainly done at project level where WFPF interventions are involved in developing knowledge products and introducing technology and software interventions. The annual reports provide some reflection over the progress achieved but stop short of presenting an analysis of lessons learnt.

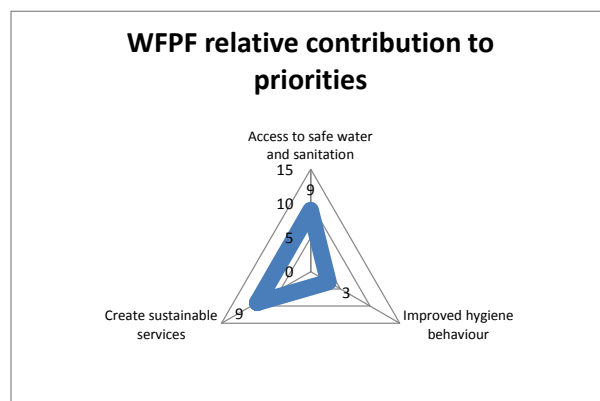
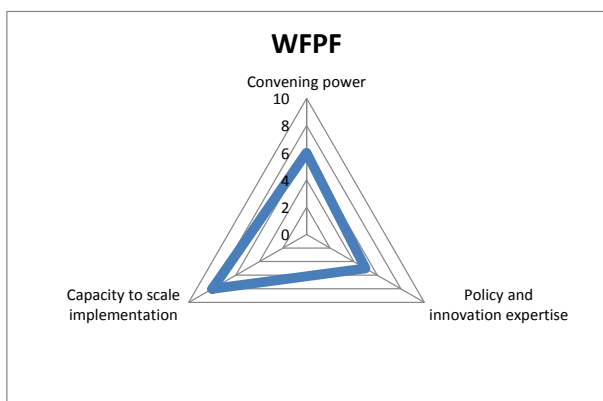
⁸ By ADB practice, projects are considered to be supporting gender mainstreaming if they fall under any of the following themes: (i) gender equity, and (ii) effective gender mainstreaming". Those falling under the following themes are not considered to be addressing gender mainstreaming: (i) have some gender benefits, and (ii) no gender elements.

Summary of rating

Criteria	Rating	Criteria	Rating
Relevance	5	Gender Equality	4
Effectiveness	4	Impact	
Efficiency	4	Monitoring & Evaluation	4
Sustainability	5	Analysis & Learning	4
Rating scale: 6 = very high quality; 1 = very low quality. Below 4 is less than satisfactory.			

Comparative advantages and contribution to Australian aid priorities

(Note: The comparative advantages are marked on a scale of 1 to 10 bearing and are compared between the different partnerships. The contribution to priorities scores the relative contribution where a total of 24 points are distributed between the 4 priorities.)



References

- ADB, December 2010, Special Evaluation Study Financing Partnerships Facilities
- ADB, WFPF annual report 2013
- ADB, WFPF annual work plan 2014

Interviews

(only on email)

Suggestion for DFAT engagement:

- Request WFPF to report on lessons learnt based on a few sample projects that represent good practice [WFPF]

Water Partnership Program (WPP) (World Bank)

Status of Partnership: No agreement is in place under the current phase of the WSI Global Program, nor was it funded under the previous phase of the WSI Global Program.

Details of Organisation: WPP is a multi-donor trust fund established in 2009 supported by the governments of the Netherlands, the United Kingdom, Denmark and Austria. WPP enables the World Bank to bring innovation and leverage investment in water, to drive change in global policy dialogue and to strengthen the results of its projects. WPP works at the nexus of water with food, energy, environment, and human development needs to help countries achieve climate-resilient and inclusive green growth. WPP activities are supporting and influencing about \$11.5 billion in Bank financing while support to water supply and sanitation lending benefits the lives of roughly 52 million people in 26 countries, 17 million of which are in Africa.

The World Bank is undergoing the final stages of a restructuring where global practices are being developed for different technical areas including water. WPP will be integrated into the water global practice. It is not yet clear if it will be retained as a separate trust fund or will be incorporated into the core funding of the global practice.

C Risk analysis

Identified Risk	Effect	Risk Level	Risk Treatment	Evaluation notes
Project outputs and outcomes are not delivered effectively or in a timely manner	Partnerships do not deliver value for money for the aid program and do not effectively reduce poverty	Medium	<p>POLICY AND SECTOR DIVISION and independent evaluation have confirmed that the partnerships are effective in delivering results targeted at reducing poverty.</p> <p>POLICY AND SECTOR DIVISION will work closely with each of the partnerships to ensure they have robust performance framework allowing AusAID to assess returns on investment.</p> <p>AusAID will continue to work closely with partners to ensure that their processes and practices support sustainable outcomes.</p> <p>A mid-term review scheduled for 2013–14 will assess effectiveness and will determine how much funding partnerships receive in 2014–15 and 2015–16.</p>	As documented in the analysis under effectiveness the rating of the individual partnerships on effectiveness is that they are all satisfactory or better.
Programs do not adequately address cross-cutting issues	Sustainability of projects is reduced as they do not address issues such as gender equality and safeguards	High	<p>POLICY AND SECTOR DIVISION will work closely with each of the partnerships to ensure that cross-cutting issues are given adequate attention in partnership processes and practices.</p> <p>The mid-term review will assess how effectively the partnerships are addressing cross-cutting issues and will determine 2014–15 and 2015–16 funding.</p>	<p>As documented in the analysis under sustainability the rating of the individual partnerships on effectiveness is that they are all satisfactory or better.</p> <p>It is noted that gender although generally strongly addressed is an area where improvement can be made.</p>
Lack of coordination with AusAID country programs activities	Impact of partnerships on the aid program is reduced as activities are not coordinated	High	<p>POLICY AND SECTOR DIVISION will develop and implement a strategy to address the lack of visibility of these partnerships amongst country programs.</p> <p>POLICY AND SECTOR DIVISION will continue to work closely with partnerships to ensure that there is ongoing dialogue between them and relevant country posts and desks.</p>	<p>As noted in the evaluation there is good coordination at least for the WSP partnership and also to some extent the WHO-WQP partnership.</p> <p>There is a potential to improve the coordination and learning with other partnerships and this forms part of some of the suggestion engagement topics for DFAT to take up with the partnerships.</p>

D Documents and people consulted

organisation	Documents (note additional documents noted in Annex B)	People Consulted
DFAT	<ul style="list-style-type: none"> 'Australian aid: promoting prosperity, reducing poverty, enhancing stability' 2014 http://aid.dfat.gov.au/aidpolicy/Pages/home.aspx Australian Multilateral assessments for relevant partners http://aid.dfat.gov.au/Publications/Pages/7373_9810_453_4167_7175.aspx 	
WSI Global Program Independent review/eval. Available	<ul style="list-style-type: none"> Quality at Implementation Report 2014 ✓ Quality at Implementation Report 2013 ✓ Quality at Entry Report for Water, Sanitation and Hygiene Global Partnership Initiative 2012 ✓ WSI Design Summary and Implementation Document 2012 ✓ Independent Evaluation of the Infrastructure Partnerships Program and the Water and Sanitation Initiative Global Program 2012 http://aid.dfat.gov.au/Publications/Pages/wash-ipp-ind-eval.aspx 	Rhonda Mann Rhonda.Mann@dfat.gov.au +61 2 61784065 Marcus Howard
WSP Independent review/eval. Available	<ul style="list-style-type: none"> WSP Global Strategy 2009-2018 http://www.google.com.au/url?sa=t&rct=j&q=&esrc=s&frm=1&source=web&cd=2&cad=rja&uact=8&ved=0CCMQFjAB&url=http%3A%2F%2Fwww.wsp.org%2FUserFiles%2Ffile%2FGlobal_Strategy_July2008.pdf&ei=061FVNDXOKbHmAXq2oLIDw&usg=AFQjCNHIFIPiRif97xB9VMA3VZb_-kl4rA WSP Business Plan FY11 to 15 http://www.wsp.org/content/FY11-15-Business-Plan Water and Sanitation Program FY13 End of Year Report https://wsp.org/sites/wsp.org/files/publications/WSP-End-Year-Report-FY13.pdf Gender in the Water and Sanitation Program https://www.google.com/url?q=http://www.wsp.org/sites/wsp.org/files/publications/WSP-gender-water-sanitation.pdf&sa=U&ei=TapFVNYXKeO3mAXzgoKIDw&ved=0CAUQFjAA&client=internal-uds-cse&usg=AFQjCNHjO5QMZwWToagB24E0cuR4mk0z3g Water and Sanitation Program External Review FY 2004-2008 ✓ External Mid-Term Evaluation of Water and Sanitation Program (WSP) for FY11-12 ✓ 	Isabel Blackett Senior Sanitation Specialist Water and Sanitation Program East Asia & Pacific iblackett@worldbank.org Almud Weitz aweitz@worldbank.org
WSSCC Independent review/eval. Available	<ul style="list-style-type: none"> WSSCC Medium-Term Strategic Plan 2012-2016 http://www.wsscc.org/node/4112 WSSCC External Review 2005-2010 http://www.wsscc.org/resources/resource-publications/wsscc-external-review-2005-2010-final-report-2?rck=086117f758cb2c5b001eb59875c93bfd WSSCC Response to the External Review 2005-2010 http://www.wsscc.org/resources/resource- 	Isobel Davis Programme Officer Strategic Relations Water Supply & Sanitation Collaborative Council (WSSCC) 15, Chemin Louis-Dunant 1202 Geneva, Switzerland Visit www.wsscc.org .

organisation	Documents (note additional documents noted in Annex B)	People Consulted
	<p>publications/wsscc-response-external-review-2005-2010-final-report?rck=086117f758cb2c5b001eb59875c93bfd</p> <ul style="list-style-type: none"> Narrative Progress Report 2011 ✓ GSF Results 2011 <p>http://www.wsscc.org/global-sanitation-fund/results http://www.wsscc.org/global-sanitation-fund/publications http://www.wsscc.org/sites/default/files/publications/2012_gsf_progress_report_en_light.pdf</p> <ul style="list-style-type: none"> Workplan for 2012 and Indicative Workplan for 2013 ✓ Narrative progress report for 2013 ✓ GSF Results 2013 (link) GSF Results mid-year update 2014 (link) Workplan for 2014 ✓ Mid-term evaluations of four GSF countries completed in 2014: Madagascar (in French), Malawi (English), Nepal (English) and Senegal (French) and a synthesis report. ✓ Sustainability report for Madagascar and Senegal GSF programs 2013 ✓ 	<p>Isobel.Davis@wsscc.org</p>
<p>WHO</p> <p>Independent review/eval. Likely to be Available</p>	<ul style="list-style-type: none"> Water Safety Plans: Policy and Institutional strengthening and scaling up – Phase 2 and beyond February 2010 ✓ Water Safety Plans as Normal Practice: Policy and Institutional Strengthening for WSP Mainstreaming – Phase 3 August 2011 <p>http://www.google.com.au/url?sa=t&rct=j&q=&esrc=s&frm=1&source=web&cd=1&cad=rja&uact=8&ved=0CB0QFjAA&url=http%3A%2F%2Faid.dfat.gov.au%2Faidissues%2Fwatersanitation%2FDocuments%2Fwash-who-proposal.doc&ei=RKhFVOiOJOKSmwWu_oLYCg&usg=AFQjCNFD2MoSYuqYdb4eKTdsFJY9I5of6w</p> <ul style="list-style-type: none"> June 2014 Mid-Term Review Meeting Materials Meeting reports for the Phase 3 review meetings. One was convened in India that primarily focused on progress in the South East Asia Region (SEARO) in 2013 and the other was convened in the Philippines and focused mainly on the Western Pacific Region (WPRO). Eric may want to focus on these rather than the mid-term meeting review materials 	<p>Jennifer DE FRANCE defrancej@who.int</p> <p>Bruce Gordon Acting Coordinator Water, Sanitation, Hygiene and Health Department of Public Health, Social and Environmental Determinants of Health World Health Organization gordonb@who.int</p> <p>Donal Sutherland, Angella Rinehold angella27@gmail.com</p>
<p>Sanitation and Water for All (SWA)</p>	<ul style="list-style-type: none"> Proposal for support to SWA ✓ SWA Annual Report 2013 http://sanitationandwaterforall.org/news/swa-annual-report-2013-now-available High Level Meeting Report http://sanitationandwaterforall.org/priority-areas/political-prioritization/2014-hlm 	<p>Ms. Cindy Kushner ckushner@unicef.org Secretariat Coordinator Sanitation and Water for All (SWA) Water, Sanitation and Hygiene (WASH) Section UNICEF Three UN Plaza, New York, NY 10017</p>

organisation	Documents (note additional documents noted in Annex B)	People Consulted
		Martin Leeser Australia portfolio UNICEF mleeser1983@googlemail.com
WHO / UNICEF Joint Management Programme (JMP)	<ul style="list-style-type: none"> • Proposal for support to JMP • JMP Annual Report 2012 • See JMP website for additional reference documentation, including Report of JMP/GLAAS Strategic Advisory Group Third Meeting 	Evariste Kouassi-Komlan Senior Adviser, Water, ekouassikomlan@unicef.org
UNICEF Global WASH Program	<ul style="list-style-type: none"> • UNICEF Water, Sanitation and Hygiene Strategies for 2006-2015 • UNICEF WASH Annual Report 2013 • UNICEF WASH Annual Report 2012 ✓ • UNICEF Strategic Plan • Reporting from Laos Post regarding school funding provided under the previous UNICEF agreement under WSI Global Program • http://www.unicef.org/wash/files/Humanitarian_WASH_Annual_Report_Draft_9_9.pdf 	Evariste Kouassi-Komlan Sanjay Wijesekera Chief, Water, Sanitation & Hygiene (WASH)
Asian Development Bank WFPF	<ul style="list-style-type: none"> • WFPF Annual Report 2013 ✓ • WFPF Annual Work Program 2014 ✓ • January-June 2014 Semiannual Progress Report • 2010 Special Evaluation Study on Financing Partnership Facilities 	Gil-Hong Kim WFPF Facility Manager ghkim@adb.org
World Bank Water Partnership Program	<ul style="list-style-type: none"> • WPP Annual Report 2012 	Almud Weitz aweitz@worldbank.org