INTRAC
International NGO Training and Research Centre

FINAL REPORT

for

Evaluation of Water & Sanitation for the Urban Poor's DFID-Funded Programme 2012-2015

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WSUP
Water & Sanitation for the Urban Poor

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List of abbreviations

AdeM	Aguas da Regiao de Maputo
AFD	Agence Française de Développement
APR	Annual Progress Review
BC	Behaviour Change
CBO	Community based organisation
CMM	Conselho Municipal de Maputo
CPM	Country programme manager
CUA	Conselho de Regulação de Águas
DAC	Development Assistance Committee
DFAT	Department of Foreign Affairs and Trade (formerly AusAid)
DFID	Department for International Development
DMA	District Metered Areas
DP	Discussion Paper
EIB	European Investment Bank
ERL	Evaluation, Research and Learning
FGD	Focus group discussion
FSM	Faecal Sludge Management
GAMA	Greater Accra Metropolitan Area Sanitation and Water Project
IFI	International Financing Institutions
INGO	International Non-governmental Organisation
IPP	Institutional Pro-Poorness (scale)
IRC	International Rescue Committee
KMA	Kumasi Metropolitan Assembly
LIC	Low Income Consumers
LWSC	Lusaka Water & Sanitation Company
MCC	Millennium Challenge Corporation
MHM	Menstrual Hygiene Management
MLGRD	Ministry of Local Government and Rural Development
MoU	Memorandum of Understanding
NGO	Non-governmental organisation
NRW	Non-Revenue Water
NWC	Nairobi Water Company
NWSC	National Water and Sewerage Corporation
O&M	Operation and maintenance
PAWS	Partners for Water and Sanitation
PG	Programming Guide
PN	Practice Note
PP	Perspective Piece
PPA	Partner Performance Assessment
PTA	Parent Teacher Association
RCT	Randomised controlled trial

SDO	Sub-district Officers
SHEP	School Health Education Programme
SME	Small/medium enterprise
SMEC	Small/medium enterprise capacity (scale)
TB	Topic Brief
ToC	Theory of Change
ToR	Terms of Reference
UN	United Nations
UNC	University of North Carolina
UNICEF	United Nations Children's Fund
USP	Unique selling point
VEI	Vitens Evides International
VfM	Value for money
WASH	Water, Sanitation and Hygiene
WB	World Bank
WEDC	Water, Engineering and Development Centre
WES	WASH Environmental Sustainability (scale)
WHO	World Health Organisation
WSP	Water and Sanitation Program
WSSCC	Water Supply and Sanitation Collaborative Council
WSUP	Water & Sanitation for the Urban Poor
WT	Water Trust
WUC	Water Utility Capacity (scale)

Contents

1. Executive Summary

1. WSUP has developed itself, with DFID support, into a key global resource for facilitating pro-poor institutional change in lower-income country utilities and municipalities, as well as in supporting private sector and household involvement in ensuring safe and sustainable public health improvements.

   This independent evaluation has found that WSUP has used DFID funds strategically and transparently to deliver results over the term of this grant agreement. It has exceeded its targets to deliver access to WASH for poor urban communities by over 30% and has influenced utilities and other service providers to provide WASH to a significant number of indirect beneficiaries. It is also making strong progress in supporting and catalysing institutional change of service providers. Although funding that WSUP has leveraged was below target amounts it still represents a very significant level of progress in the period under consideration. In support of these activities WSUP, has undertaken a series of successful and valuable research programmes, produced an impressive raft of publications which document their leading role in pro-poor urban WASH, achieved a notable presence and stature at international conferences and supported training through its Masterclasses and Masters modules.

Background

2. WSUP has a strategic portfolio of six countries in Africa and South Asia where it works in close partnership with local service providers and national government. Through the delivery of financially viable and effective service provision at a representative scale in target cities, and by strengthening the capacity of local partners to provide pro-poor services under viable business models, WSUP aims to trigger investments for the scale-up of service delivery at the city, and ultimately the national level. WSUP is committed to sharing the learning from its work with the wider sector to inspire replication and ensure maximum global impact.

3. The DFID-funded programme, titled Water & Sanitation for the Urban Poor and implemented by WSUP, runs from December 2012 – March 2016. The programme targets the adoption and replication of effective urban water, sanitation and hygiene (WASH) models by WASH service providers, national governments and international financing institutions across the six countries where WSUP has an established presence. It is further characterised by a comprehensive programme of research, publications and communications. The grant amount is: £14.9m. The proposed total number of people benefiting from the programme directly is 3.9 million people and a further 12.5 million people benefitting indirectly.

Methodology

4. The evaluation team employed a variety of qualitative and quantitative methods to ensure that the evaluation was both rigorous in its approach and rich in its content. These include documentary review[1], (semi-structured) interviews; focus group discussions; and analysis of Household survey in six countries. In addition, the evaluation team undertook approximately 50 individual interviews and carried out two field visits to Kenya and Mozambique.

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[1] See Annex One for the summary list of documents reviewed by the evaluation team.

Verification of data sources

5. To verify the accuracy and plausibility of WSUP reporting, the review team conducted a preliminary review of the Annual Reports to DFID (June 2015). The field visits, further secondary data analysis and Skype conversations with key informants and stakeholders enabled the team to verify the accuracy of the reporting[2].

Results

Outcome One

6. Programme reporting provides a positive assessment of WSUP's value for money per beneficiary at an aggregated level for all six countries. WSUP reports indicate that this equates to £3.77/direct beneficiary and £2.97 for both direct and indirect beneficiaries[3]. This compares favourably to the estimate given in the proposal to DFID of £8.10/direct beneficiary and is in the lower quartile of the reported range in the DFID WASH portfolio review of between £0.91 and £18.80.

7. The numbers of direct programme beneficiaries reported by the programme is significantly above the projected total (approximately 33%). Whilst the numbers of people with access to improved water and sanitation are important, their significance is more in their increasing robustness. Findings from the evaluation support the data from the WSUP Household survey, to show that people – those at the lower end of the market – having been enabled to access to water and sanitation, are being translated into use. There is evidence of people having a firm grip on, and moving up the water and sanitation ladder.

8. An important strength of this programme relates to its twin track 'accompanying, capacity building and modelling/piloting' approach of engaging with communities and service providers. From the perspective of the communities that WSUP engages with, this is the point at which the accompaniment they receive meets and engages with utilities and service providers. WSUP is creating an effective demand mechanism that can work with, and link effectively to, utilities and service providers who remain the responsible service entities. The programme also has a very clear emphasis on gender, with women clearly consulted and represented. This is strongest in the involvement of women in the local groups that discuss the facilities to be developed.

9. The numbers of beneficiaries who have been indirectly benefitted through the influence of the WSUP programme are also significant, despite being much lower than projected. It is our view that the numbers given represent conservative estimates and, more importantly, do not adequately reflect the critical contribution that the programme is making to scaling up. For WSUP the numbers of people influenced by the programme provide a strong understanding of how the programme is being replicated and built on through its direct influence.

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[2] Comment is made on the methodology to count the numbers of people who indirectly benefitted from the programme.

[3] Information received from WSUP 3/02/2016.

Outcome Two

10. WSUP had a remarkably ambitious target for institutional change, planning to achieve for 12 cities to get to a 15/25 level (WSUP self-designed capacity measurement scale[4]). The most recent WSUP assessment (January 2015) suggests that they have only seen two out of the ten cities functioning at this WSUP assessed level. However, eight out of the ten cities reached 10 or above, from a baseline average score of 7.2 and six cities have achieved the adjusted target of 12.5. Considering the improvement in scores over the period (it being a very short period in institutional change terms), the figures suggest a more impressive 78% improvement on average across the nine cities (only 9/10 having a baseline score). Individual city level improvements have ranged from 31% (for the highest baseline scored city) to 170% (for one of the lowest baseline scored cities).

11. Additional information reviewed in this evaluation suggests that WSUP's capacity measurement scales may not have fully captured the extent of the institutional change WSUP has delivered. WSUP Country Programme Managers, supported by very able staff in-country and by the team in London, have done a remarkable job in enabling 'fragile' institutions in challenging contexts to move forward in learning to fulfil their 'service to all' mandate. The extent of development in the utility 'pro-poor' units, also amongst communities and municipalities, and with the delegated management contractors, is truly impressive. However, the fragile institutions remain fragile, staff changes and government changes continually challenge all such improvements and the key value of WSUP being an on-going presence, as some form of 'call-down 'free' management consultant' is an invaluable and necessary resource, at least for the foreseeable future, to ensure these institutional gains are both maintained and built upon.

Outcome Three

12. WSUP had an equally ambitious target for leveraging US$220m of additional finance mobilised and made more effective. The figures given to the evaluators suggest that a total of US$151m has been mobilised by the September 2015 reporting date, adjusted to US$174.4 end February 2016. Of the $151m figure, over 80% is represented by three advisory inputs with respect to making concessionary finance more effective – one in Ghana and two in Zambia. That target has been achieved at the 75% level. The target for private finance leveraged has been met, in effect, but the target for public and households finance is significantly under-achieved.

13. Although the targets were originally developed from an understanding of likely opportunities in each country, it is clear that they were over-ambitious. The evaluators have also noted how it would be possible to adjust the methodology to claim higher numbers for household investment in water and sanitation for example, and for concessional finance to claim further additional indirect leveraged finance, at least in the two countries visited for the evaluation.

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[4] The WSUP Capacity Measurement Scale comprises five sub scales: Water Utility Capacity (WUC) scale; City Sanitation Management (CSM) scale; Small and Medium Enterprise Capacity (SME) scale; Institutional Pro-Poorness (IPP) scale; WASH Environmental Sustainability (WES) scale; Institutional Inclusivity (INC) scale. The total score for a particular scale is generated by adding together the ratings for each sub-scale.

14. We believe that these results are a true reflection of progress, and represent a very significant level of progress in the period under consideration, recognising that both public and concessional finance, as examples, have such lengthy and unpredictable gestation periods. We suggest this financing outcome is a useful indicator of progress but likely the least valuable, being the most uncontrollable, of all the outcome indicators.

Outcome Four

15. WSUP has undertaken a series of successful and valuable research projects with potential, but as yet unrealised longer term global impact. It is not clear if these will contribute particularly towards country level objectives, but will likely have more resonance in the countries in which they were conducted. WSUP intends to move towards a more nationally relevant, owned and run research agenda that relates more to its, and other national sector actors going forward. It is considered this shift will bring greater value and more immediate impact for WSUP's country level work.

16. WSUP has produced an impressive raft of publications that fill many gaps in the knowledge market, and document their leading role in pro-poor urban WASH. These are synonymous with and support the WSUP knowledge leadership brand. They have also achieved a notable presence and stature at international conferences, drawing heavily from their publications. Going forward they can be more selective and potentially extend their reach, as they can now draw upon the recently completed research reports.

17. The Masterclasses are highly effective and greatly valued, delivering immediate and medium term learning and impact. While they are currently ad hoc, as they do not have an obvious pathway to a more sustainable learning environment, this can be developed, especially if WSUP sees these alongside the evolution of the Masters modules. The university accredited Masters modules are an ambitious initiative which are consistent with WSUP leadership and demonstrating ways of working. These are really about mid to long-term learning and so require considerable money and time investment. They may lose out on opportunities for more immediate impact, and they will not be very effective, unless used by the intended audience of sector professionals, which was often not the case.

Conclusions

18. Overall our conclusion is that the WSUP Programme and approach is highly relevant to enabling poor people living in urban areas to be able to access and clean water and appropriate sanitation through the appropriate national entities. The four outcome areas work together in a synergistic way. Specifically we would highlight the approach of working with utilities and poor communities to develop approaches to water and sanitation provision that engage the two groups in a shared search for appropriate solutions.

19. WSUP's Unique Selling Point (USP) is to enable low-income country stakeholders to engage with and deliver services to the poor and fulfil their (not always initially understood) pro-poor mandate. Understanding the combination of characteristics[5] that make up their USP is critical to understand how WSUP can do what it does. In so doing it helps understand what WSUP

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[5] Long term accompaniment; catalyst and innovator; deep craft i.e. understanding; projects get a place 'at the table'; appetite to take action; senor staff with sector expertise; tenacity; independent and impartial; financial feasibility of poor to pay; building professional awareness.

must continue to keep doing and to what extent other organisations can or cannot replicate and take WSUP's work to greater scale.

20. WSUP works to support service providers to fulfil their critical pro-poor function in as viable a manner as possible. In this respect WSUP does not confront duty bearers with their obligations, rather it works with them through demonstration, capacity building and long-term support. None the less, advocacy on rights and holding service providers to account are important tools that WSUP should take account of.

21. In order to lever bigger system change and confront under-investment in sanitation as a whole, WSUP needs to build some strategic relationships with key stakeholders such as the WB, UNICEF and WaterAid, in order to lever more support for the sanitation agenda.

22. Given WSUP's clear focus on the importance of enabling access for people with disabilities, as well as other people with increased needs, it is important that it provides a consistent and clear approach to inclusive access, whilst not compromising the legitimate needs of other users.

23. Learning/knowledge management is a key part of how WSUP can lever change, through its credibility as an expert, knowing how things really work, being able to innovate and catalyse change. Given this is so essential, WSUP should be much more strategic in its learning. This could be supported with better planning, resources and with the addition of some complementary initiatives.

24. The influencing work that the Country Programme Managers (CPMs) and others do in relation to Outcomes 2 and 3 is critical and forms part of their ongoing work. Given the lack of time, measures must be put in place for CPMs to address this and allow CPMs to re-prioritise work areas.

25. One of the hypotheses that the evaluation explored and tested is that given that WSUP, is trying to influence utilities, it needs its own core utility experience/partner. Both for the knowledge of 'mechanical' management approaches (with organic elements as and when) and for the reputational/promotional aspect that might influence fragile target utilities to be more receptive. It is our view that the quality and capability of the CPMs to open doors may be as important, if not more important, than having a recognisably competent utility as a significant partner. We also recognise WSUP's ability to influence the establishing of a pro-poor unit in a utility to be second to none.

26. Provision of, and investment in sanitation is a much greater challenge than water supply. WSUP has rightly focussed a lot of energy and achieved success with its work on FSM and some very useful work on small scale sanitation finances. Valuable as this work is, there is now a need to grapple with the fundamental sanitation obstacles. WSUP needs to be able to balance the aspirations to move towards sewerage when topography allows, to support on-site as transitional solutions, and to recognize when these are the longer term solution.

27. WSUP has undertaken a successful research programme. However, this route is not without costs and the careful framing of research questions can become limiting itself. It is suggested that WSUP could go one step further and step away from the restrictions and costs of high

level research and instead see research as just one possible means to answer big questions and to help unlock innovation and progress moving forward.

28. WSUP has found it challenging to be able to account for the numbers of people influenced by its work. We suggest that these numbers are very important, both for WSUP as well as for other sector players. The critical issue for WSUP is to see where it has contributed towards moving engagement in water and sanitation from pushing and influencing beyond the tipping point where the changes have become dynamic and have a life of their own.

29. It is critical to consider the extent to which location specific knowledge/understanding can be replicated elsewhere and/or how much context determines what solutions can be used elsewhere. It is recognised by WSUP that it must "*copy - adapt* and not *copy – paste"*. We want to stress the importance of maintaining (and further developing) this approach. This work could be supported by a decision making manual that explains these key context factors with examples from WSUP's programme.

30. A key finding from the evaluation is that sustainability is built through the engagement and buy in of key stakeholders. For hygiene behaviour change it is clear that the key stakeholders are the communities Principals and Teachers and the local departments of Education. An issue to consider is how other potential stakeholders such as business could engage to ensure a harmony of objectives that would see issues such as market penetration and coverage longer term desirables rather than as specific elements of such a relationship.

31. The programme has a well-developed M&E System. The M&E system can be refined to support better learning and accountability. We would suggest that WSUP make more use of its well-developed linkages with communities and its field staff to develop a programme of longitudinal studies to be able to monitor longer term sustainability.

Recommendations

WSUP has developed itself, with DFID support, into a key global resource for facilitating pro-poor institutional change in lower-income country utilities and municipalities, as well as in supporting private sector and household involvement in ensuring safe and sustainable public health improvements. It can now build on its status and position as a market leader/influencer to take its role as an influencer to a higher level and use its cadre of 'model utilities' and, most critically, key people in those utilities along with its Programme staff, to influence that decision making and direction of WASH provision and support by IFI's and International donors.

WSUP should focus on extending its programme to two new countries with at least one of them in Asia. It should develop a more strategic partnership with the World Bank at the global and national level. It should also build upon selective engagement with UNICEF and UN Habitat at the national level where they are engaging in urban sanitation work, and, in time, at the global level. Looking forward, we see a need for more strategic sanitation work to be undertaken by WSUP that makes the case for a system wide change in attitude to recognise the need for ongoing sanitation subsidies and appropriate on-site technology. In this it is important to develop more effective ways to interact with the UK's water utilities, both to harness their skills in the more *mechanical* aspects of utility service and to develop a UK constituency of support for WSUP.

WSUP should take a more holistic view of learning by building a suite of learning packages and approaches and expand their proposed research programme into *an enquiry programme* that can use a variety of means. Recognising the importance of WSUP's influencing role, we recommend that it develops its monitoring framework to incorporate monitoring of sustainability and use.

2. Introduction

2.1 Context

Whilst the rapid urbanisation of the last two decades has contributed to bringing millions out of poverty and helped to bridge the gap between the developed and developing world, it has also led to significant problems. Many of the people migrating to the cities end up living in urban slum areas where governments struggle to provide effective water and sanitation systems.

WSUP aims to make a significant contribution to addressing this problem through a tri-sectoral partnership between the UK private sector, academia and civil society. WSUP believes that access to safe and sustainable water, improved sanitation and improved hygiene practices underpins poverty reduction through impacts on health, education and livelihoods. This is supported by the belief that sustainable and viable improvements can only be made by strengthening capacity and pro-poor focus in those institutions given the direct responsibility to deliver services and those entities mandated to support them: public, private or civil society.

2.2 Purpose, Scope and Objectives of the evaluation

The assignment evaluated the Department for International Development (DFID) funded Water & Sanitation Programme for the Urban Poor Programme (2012–2015)[6]. The programme is focused on six countries in South Asia and Africa and targets the adoption and replication of effective urban water, sanitation and hygiene (WASH) models by WASH service providers, national governments and international funding institutions. The programme is further characterised by a comprehensive programme of research, publications and communications aimed at informing and influencing the sector.

Whilst this evaluation focused on the DFID funded programme, it also considered the input and contribution of other work carried out by WSUP in the six programme countries – Bangladesh, Ghana, Kenya, Madagascar, Mozambique and Zambia – through other funding channels, as these constitute a complementary package.

The programme has four core intended Outcomes that closely map to WSUP's four strategic objectives as presented in its organisational Theory of Change (ToC)[7]. These Outcomes are:

1. Demonstrated models of urban WASH service delivery for the urban poor.
2. Service provider capacity and institutional framework to sustain improvement process.
3. Scale: City wide investment triggered.
4. Influence: Sector influence worldwide.

During the period evaluated, the Programme aimed to improve access to water, sanitation and hygiene services for 16.5 million people: 3.9 million people directly through WSUP interventions and an estimated 12.5 million people indirectly through improved capacity and an enhanced enabling environment for WASH service delivery[8].

For this evaluation the Consultants were required to provide an assessment of the programme in terms of the Development Assistance Committee (DAC) criteria[9], namely; A) relevance, B)

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[6] See Annex Two for the evaluation work plan

[7] WSUP Theory of Change 2012-2015.

[8] DFID, WSUP Business Case, October 2012

[9] Development Assistance Committee (1991) Principles for evaluation of development Assistance. OECD, Paris.

effectiveness, C) efficiency, D) impact and E) sustainability, within each of the Programme's four outcome areas.

2.3 Evaluation methodology

Evaluation framework

An evaluation framework was developed through the construction of a matrix of the four key Outcomes described in section 2.2, using the DAC criteria of relevance, effectiveness, efficiency, impact and sustainability. This matrix is included in Annex Three.

WSUP's approach, outlined in its Theory of Change, focusses on four key strategic objectives (corresponding to strategic objectives above).

1. The delivery of service improvements at a representative scale will enable both the practical application of capacity development of local service providers and removes a key barrier to a better functioning pro-poor market function through using grant funding.

2. At the same time through the delivery of financially viable effective service provision at a representative scale.

3. Strengthening the capacity of local partners to provide pro-poor services under viable business models WSUP aims to trigger investments for the scale up of service delivery at a city and ultimately at a national level.

4. WSUP's fourth area of work focuses on sharing learning from its work for the benefit of its ongoing programmes as well as to the wider sector to inspire replication and to ensure maximum global impact.

The evaluation approach was based on building up a chain of evidence and analysis that examined progress to achieving the Outcomes 1 through to 4 of the programme. Our hypothesis in taking this approach is that it would enable us to build up a credible analytical picture of the achievement and contribution of the DFID funded programme. Ultimately, the evaluation aimed to address the major questions of the value added, sustainability and potential for replicating WSUP's approach to addressing water and sanitation challenges in urban environments in diverse environments and contexts.

Key considerations in the proposed methodology

The list of 'Results Chain Assumptions and Supporting Evidence' (Annex 1 of the Terms of Reference (ToR) has been used in developing the question frameworks that were used in the evaluation process.

In developing the methodology for the evaluation the following key considerations were taken into account, as they had a bearing on the overall work plan and methodology:

1. An important part of WSUP's development model is the dynamic linkage between activities underpinning the four Outcomes. In particular, the ToC indicates that significant work on Outcomes 1 and 2 needs to be undertaken before significant in-country progress can be made on Outcome 3 – at least until such time as WSUP's global influence, both by in-country networking and as per Outcome 4, permeates through to complementary donors and finance institutions.

2. Each member of the evaluation team has focused on gathering and analysing the evidence related to different Outcomes. We refined our approach in that, from that work, the team worked together to understand the interlinkages between the different Outcomes. Questions

were asked in terms of what the evidence is, that work on each of the Outcomes supports and leads to (and is sufficient for) the other Outcomes.

3. The extent to which each country can be considered representative of WSUP programmes with sufficient evidence to form a view on the achievements against Outcomes 1-3, and to a lesser extent Outcome 4, is an important question. WSUP uses a development model which it believes is highly replicable, though understands the limitations of models being used as templates.

To address this, the achievements on each of the Outcomes were assessed across each of the country programmes.

The evaluation did not require a close examination of public health outcomes. For this evaluation it was only possible to get an indicative understanding of these outcomes through interrogating WSUP's reporting, through limited site visits and through interviews with key informants. Additional insights came from the WSUP managed Household surveys that provided indications of the demand (through take-up) for the WSUP interventions, and the economics, at a household level, of accessing better quality water and sanitation services.

Attribution

A key element of the evaluation was to examine the validity of the Theory of Change given in the WSUP proposal document. The country programme visits were used as an opportunity to test the Theory of Change against possible counterfactual and alternative approaches.

An important element of the evaluation was to carry out an exploration of the counterfactual – that is: what are the alternative means by which these outcomes might have been achieved?[10] We explored, through the literature and limited interviews, the means by which other stakeholders have sought to deliver improved water and sanitation to the urban poor and reflected the effectiveness and efficiency of such approaches against the WSUP model.

The comparators chosen are:

a) World Bank's (WB) specialist inputs through their Water and Sanitation Program.

b) Water Operator Partnerships (noting some level of overlap with the WSUP approach through the involvement of Vitens Evides International (VEI) in some of WSUP's activities).

c) Suez Environment's Access to water and sanitation services for all Programme.

d) Water Services Trust Fund (Kenya specific).

2.4   Value for money (VfM)

WSUP has defined VfM in terms of:

* Programme management costs. This is achieved through having small staffing numbers in both the UK and the six country programmes and through a rigorous management of programme costs.

* The cost/direct beneficiary (total programme cost divided by total number of direct beneficiaries).

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[10] Option 4 WSUP Business Case para 67, page 26.

- Finance mobilised by the programme.

We made an assessment of the value for money of the programme through:

- A detailed assessment of costs/direct beneficiary.

- An assessment of the finance mobilised by the programme (estimated target of US$220 million in the Business Case[11]) across the different areas.

Note: We did not propose to make an assessment of WSUP programme management costs in terms of value for money. However, the approach to having small staffing numbers will form an assessment of programme effectiveness and influence.

Gender

Gender is a key cross-cutting issue for the programme[12]. A quantitative assessment of the gender impact of the programme could be made primarily through Outcome 1 in terms of the number of women and girls with access to improved water and sanitation and with improved hygiene knowledge. This was, however, unlikely to give many insights on the effectiveness of the programme at meeting the needs of women and girls for access to safe water and sanitation facilities.

To be able to make an assessment of the gender effectiveness of the programme, the evaluation team reviewed the documents and reports (for example WSUP Practice Note (PN) 14). These, together with information gained through the 'Household survey' (both through the specific questions aimed at provision for women and girls), provided insights that were probed further in the country visits.

Data from reports and case studies was triangulated in the country visits through semi-structured interviews and (where possible) Focus Group Discussions (FGDs) with women's groups during site visits.

Verification of M&E data

An important element of the evaluation was to verify the accuracy and plausibility of WSUP's reporting, which was a key data source. The review team conducted a preliminary review of the Annual Reports to DFID (June 2015). The reports indicated that WSUP is on track to achieve or exceed the targets for Outcome One (84.4% achievement in both water and sanitation, 400% of hygiene and 148% in Environmental Sanitation). The field visits, further secondary data analysis and Skype conversations with key informants and stakeholders enabled the team to verify the accuracy of the reporting[13].

Country programme Visits

An important element of the validation process has been through carrying out two country programme visits. A consideration for assessing which country programmes to visit was the

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[11] The total volume of finance that is projected to be mobilised by the replication of models developed in this programme is US$220m (para 87, WSUP Business Case).

[12] For this evaluation whilst the team gave a special focus to gender we also included as a matter of good practice concern for and attention to access and disability.

[13] Comment is made on the methodology to count the numbers of people who indirectly benefitted from the programme.

ability of a country programme to demonstrate a full span of programme interventions across Outcomes 1-4, and ideally over a range of WASH activity types – water, sanitation and hygiene.

The team developed a set of criteria[14] to make the decision which two country programmes would be most suitable. Scoring of the six country programmes showed clear differences between the new and more established countries. Looking at the three high scoring country programmes, the team visited Kenya and Mozambique, rather than Madagascar, as the programme in Mozambique was understood to have a stronger research evidence base, as well as the Masters course delivery, as compared with Madagascar. Kenya was understood to have developed its activities through expansion to additional cities in a manner which allowed for an assessment of activity development over time. See Annex Five for the country visit programmes.

Data gathering tools

The team employed a variety of qualitative and quantitative methods to ensure that the evaluation was both rigorous in its approach and rich in its content. These include: documentary review; (semi-structured) interviews[15], focus group discussions; and analysis of WSUP's survey data[16]. The main tools used were:

Semi-structured Interviews with programme stakeholders

The evaluation team undertook approximately 50 individual interviews with WSUP staff, local government staff, utilities, International Non-Governmental Organisations (INGOs) and sector stakeholders in the course of the review.

A list of the stakeholders proposed to be interviewed was provided by WSUP. This list was found to be appropriate and useful: some additional stakeholders were added. Annex Six contains the list of stakeholders interviewed. A matrix of questions based on the programme Outcomes and evaluation criteria was developed for use in the semi-structured interviews (over Skype as well as in-country). The high level matrix is included in Annex Three, Evaluation Matrix, and the detailed matrix in Annex Seven presents the Supporting questions frameworks by Outcome.

Focus group discussions (FGDs) with communities and user groups

FGDs with community and user groups primarily addressed the research questions under Objective 1. WSUP commissioned three FGDs with community and user groups in each of the six countries, as part of the survey process described below. These took place within defined survey areas linked to intervention types (see sampling for the surveys below).

In addition to these, the team ensured that there was an opportunity to have first-hand discussions with specific groups of beneficiaries/user groups and service providers. A small focus group discussion was suggested as the most appropriate format. Lines of enquiry were based on the question areas in Annexes Two and Seven. FGDs with communities and users were limited to the two countries selected for visits. However, they provided a triangulation point to assess the measures of satisfaction with WASH services in the Household survey.

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[14] See Annex Four and the Inception Report for more details of the selection criteria applied.

[15] To assess the effectiveness of the Masterclasses the team followed up on programme participants.

[16] We would like to note here that, as the designs, sampling and administration of the surveys was done by WSUP, without input from the evaluation team, the team worked within any limitations that brought and received prompt clarification about the surveys from WSUP when needed.

Household and Infrastructure surveys

WSUP contracted six separate consultants (one in each country) to conduct:

- A Household survey of users (300 households across three defined survey areas[17]).

- An Infrastructure survey (in two or three defined survey areas).

- At least one FGD (in three survey areas), discussed above.

Analysis of the data from the Household surveys has contributed towards the overall assessment of the Programme; a note on the surveys is included in Annex Eight and the full analysis is provided in Annex Nine (a separate document). The Infrastructure survey was less relevant for this evaluation: the questions were either more operational in nature, or provided similar information as the Household survey, but without the benefit of a counterfactual.

Following the country visits and the final semi-structured interviews, the team came together to highlight key findings and issues across the programme. To ensure quality, each team member was responsible for drawing together the findings and analysis for the Outcome(s) they were responsible for. Evaluation report inputs were peer reviewed by team members as well as by INTRAC's Quality Assessment process[18].

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[17] Survey areas were defined contiguous or non-contiguous geographic areas where WSUP has established under the DFID-funded programme either water, sanitation or hygiene interventions (or a combination of these). Survey areas were identified and defined by local consultants conducting the surveys.

[18] Section 7, INTRAC Proposal.

3. Assessment and analysis by Outcome

3.1 Outcome One

3.1.1 Objectives from Logframe

Output One:
• Demonstrated models of urban WASH service delivery for the urban poor
• Programmes delivering service improvements to a representative population of urban poor in each town/city, demonstrating strong local ownership and informing city wide water and sanitation programmes
Activity One
• Design and deliver joint programmes of improving water supply in low income/peri-urban areas of target cities in partnership with water utility, VEI and local civil society;
• Monitor and evaluate success of service delivery
Activity Two
• Design and deliver joint programmes of improving sanitation services in low income/peri-urban areas of target cities in partnership with the mandated service provider
• Monitor and evaluate success of service delivery
Activity Three
• Develop partnerships with range of partner organisations to collaborate with: Unilever etc.
• Design and deliver large scale mass media hygiene promotion campaigns focused on core messages in partnership with the private sector, service provider partners etc. with support from relevant ministries - WSUP intervention areas
• Monitor and evaluate success of campaigns including uptake of hygiene messages
Activity Four
• Design and deliver joint programmes of improving total sanitation in low income/peri-urban areas of target cities in partnership with the mandated service provider
• Monitor and evaluate success of service delivery

3.1.2   Outline of Achievements

Table 1 – Numbers of people with improved WASH services[19]

Outcome Indicator 1	Cumulative Total	Baseline (Dec 2012)	Milestone 1 (31st Dec 2013)	Milestone 2 (31st Dec 2014)	Milestone 3 (31st Dec 2015) Adjusted to March 2016	Target (31st Dec 2015)
Numbers of men, women and children with improved WASH services: Direct beneficiaries [gender-disaggregated: f - female m - male]	**Planned** *cumulative total*	2,076,600: f 1,059,576 m 1,018,024[20]	1,015,000:	1,335,000	1,654,000:	3,995,000)
	Achieved *cumulative total*		2,729,580:	3,674,837:	*2,345,081*	8,630,205
Direct beneficiaries (water)			343,560	541,573	*676,115*	1,521,041
Direct beneficiaries (sanitation)			166980	254,042	*578,435*	921,874
Direct beneficiaries (hygiene			1,764,450	2,311,010	*792,220*	4,868,132
Direct beneficiaries (environmental sanitation)			454,590	568,212	*298,311*	1,319,158

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[19] Source: Household surveys, FGD records, quarterly annual reporting, evaluations

[20] Data has not been disaggregated for the final figures.

The assessment of the value for money of the programme was made through a detailed assessment of costs/direct beneficiary.

Table 2 – Value for money

Value for money – programme cost per beneficiary in GB£	
Total Programme Costs	**£32,552,000**
Direct beneficiaries	8,630,205
Cost per beneficiary (direct)	*3.77*
Indirect beneficiaries	2,315,000
Cost per beneficiary (direct + indirect)	**£2.97**

Programme reporting provides a positive assessment of WSUP's value for money at an aggregated level for all six countries. WSUP reports indicate that this equates to £3.77/direct beneficiary and £2.97 for both direct and indirect beneficiaries.[21] This compares favourably to the estimate given in the proposal to DFID of £8.10 and is in the lower quartile of the reported range in the DFID WASH portfolio review of between £0.91 and £18.80.[22]

3.1.3   Impact on households using WSUP supported WASH services

The Household survey provides key indications on the quality of WASH services provided by WSUP, in terms of both tangible benefits for users (access, price, distance) and satisfaction with the services. The Household survey allowed comparison against non-WSUP users[23] (who may have different profiles) but also users' previous water and sanitation arrangements. The box below summarises key findings as a result of these comparisons; further details are in Annex Nine (a separate document).

Key findings – Household Survey

Water (all six countries)

- The results for Bangladesh appear exceptional, in that the results for WSUP users are extremely positive both in comparison to other users and when compared with WSUP users' previous arrangements; it is also the only country that has focussed on shared network connections (which are also the most common source for non-WSUP users)

- In other countries the results appear more mixed, and these are also where WSUP users are using water points/kiosks/standpipes (reflecting the dominant source in their respective markets).

- There appear to have been major shifts in the types of water source in the market in two countries (Ghana and Kenya); the survey responses indicate that former seems to be connect to shifts associated with WSUP programmes, while the latter is more likely to be exogenous.

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[21] Information received from WSUP 3/02/2016

[22] DFID Water, Sanitation and Hygiene Portfolio Review 2012.

[23] WSUP users include those using services that may be supported as well as directly provided by WSUP.

- There are indications that WSUP water interventions are benefiting the lower end of the market within the surveyed areas (which themselves are poorer urban areas). These indications arise from positive comparisons with previous water source for WUSP users, but negative comparisons with non-WSUP users. WSUP users also appear to be trading off price for convenience (see below), which would indicate poorer households.

- A lower relative cost of water for WSUP users appears to be the most consistent result across all countries; however this is not reflected in satisfaction with price in contexts where water prices for all users seem to have increased. Improved satisfaction with water quality is also present in nearly all countries.

- With the exception of Bangladesh, WSUP water sources are showing few benefits in terms of convenience (availability and length of trip to fetch water) for the average user, when compared with the alternatives. When compared with previous sources, the length of trip for WSUP users is reduced in some contexts, suggesting WSUP is benefiting harder to reach users. However, in some countries there is evidence of availability benefits for those with the worst provision previously (i.e. at the bottom of the distribution).

- In some countries there have been availability benefits for those with the worst provision previously.

- User satisfaction with water sources tends to mirror tangible results, except where there have been major shifts in the market (for example where the price for water across the market has increased).

Sanitation (four countries)

- For sanitation, both tangible and satisfaction measures are generally positive across the four countries for which data was available (Bangladesh, Ghana, Kenya and Mozambique), when comparing WSUP with non-WSUP users and with previous provision.

- The profile of WSUP and non-WSUP users appears relatively similar, suggesting WSUP is intervening across the market for sanitation within the surveyed areas (which may of course already represent poorer urban areas).

- Communal/shared toilets are the most common for both WSUP and non-WSUP users, and household toilets, the second most common overall. However, in three of the four countries, WSUP users are using those sanitation types in different proportions to Non-WSUP users.

- WSUP users are predominantly using facilities with septic tanks or 'sewered' facilities, where available. Previous arrangements for WSUP users, and the current arrangements for non-WSUP users tend to be more basic technologies such as open cesspits, latrines with cleanable slabs and unimproved latrines.

- There have been significant shifts in sanitation provision for both households using WSUP supported facilities and those not doing so. The distance to the nearest sanitation facility has dropped across all countries, while the amount spent per month has increased.

- WSUP users are on average paying more for sanitation than non-WSUP. However, they are more likely to be satisfied with the amount paid.

- WSUP sanitation facilities are rated very positively on most aspects of quality, when compared to non-WSUP. The only exception is the comfort during menstruation and provision of a container for disposal of sanitary products in Kenya and Mozambique.

- Taken together, the findings indicate that WSUP has focussed on improved hygiene (via the toilet technology) and the quality of sanitation facilities, and that users are willing to pay for those despite fewer tangible improvements in terms of distance and access.

3.1.4   High level comment on progress

People with access

The numbers of direct programme beneficiaries reported by the programme is significantly above the projected cumulative total (an increase of approximately 33%). The most significant increase is in the numbers of people accessing hygiene. From the data provided through WSUP's reporting it is clear that the programme is demonstrating significant achievement in delivering water, sanitation and hygiene across its six country programmes.

Whilst the numbers of people with access to improved water and sanitation are important their significance is more in their increasing robustness:

Figure 1: Illustration of the move of people with access, through use to sustainable impact
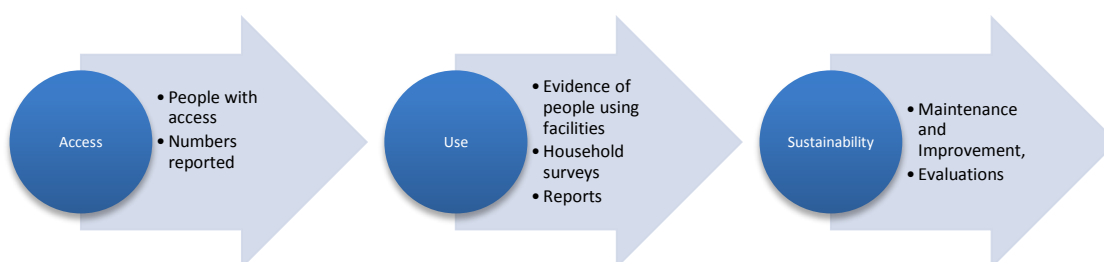
Findings from the evaluation (document review, country visits and interviews) support the data from the Household survey, showing that numbers of people (especially poorer people), having been enabled to access water and sanitation, are being translated into use. There is evidence of people having a firm grip on, and moving up the water and sanitation ladder.

Examples:

- Kenya, Nairobi: Adams/Franceys – upgrading of toilets from communal to sewered communal to sewered household shared.

- Kenya, Nakuru: improvement by landlords of sanitation facilities following demand for renting of rooms/that have access to good sanitation.

An important strength of this programme relates to its twin track 'accompanying, capacity building and modelling/piloting' approach working with communities and service providers. From the perspective of the communities that WSUP engages with and especially the poor, this is the point at which the accompaniment they receive meets and engages with support, capacity building, modelling and piloting of utilities and service providers. This point has been made in previous evaluation reports[24] that recognise the relevance and effectiveness of WSUP's strong accompaniment approach at community level (Outcome One) that effectively links to its capacity building of utilities and service providers (Outcome Two). A quote from an evaluation of the Stone Family Foundation funded Programme in Zambia illustrates this:

WSUP's 'advocacy from the inside' work (combining demonstration work on the ground and targeted capacity building) is directly influencing the mind-set of

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[24] 2013. AusAid: Phase I Mid-term Review of Sustaining and Scaling Pro-poor Urban Water and Sanitation Services in Maputo Initiative.

Lusaka Water & Sanitation Company, Water Trusts and other players in the sector[25].

People influenced by the programme – Indirect beneficiaries

The numbers of beneficiaries who have been indirectly benefitted through the influence the WSUP programme has had on other providers are also significant (see Table 2 above) despite being much lower than projected (12,560,000). The total number of beneficiaries influenced by the programme are, however, below the targeted number in the Logframe. It is our view that the numbers given represent conservative estimates and, more importantly, do not adequately reflect the critical contribution that the programme is making to scaling up. This is primarily due to the guidance given[26] that has been found to be quite complex to calculate such numbers that country programme officers have erred on the side of caution when providing information.

The obvious challenge when trying to identify and then count 'influenced beneficiaries' is first to be able to assess when and what changes have occurred that could possibly relate to the influence of the programme. A subsequent challenge is to assess whether the influence was direct (as in the example below) or more indirect. In both direct and indirect influencing it is important to assess the issue of significance. Mayne's Paper on '*Contribution Analysis*'[27] is helpful in structuring and assessing the evidence needed for this.

As mentioned above, for WSUP the numbers of people influenced by the programme are important. When reported on for each urban location, they provide a strong understanding of how the programme is being replicated and built on through its direct influence.

For example, WSUP influencing of Nairobi Water Company (NWC) and the World Bank is contributing to the development of proposals that, when implemented, will add another 15,000 water and sewerage connections (estimated to be an additional 75,000 people)[28].

In this respect the numbers of people influenced by the programme provide an important indication of how influence is being translated into tangible and measurable change. When aggregated the numbers of people influenced by the programme represent a helpful understanding of how the whole programme is having a wider influence.

However, it would also be helpful to be able to differentiate between direct influencing and wider or more indirect influencing. This point is expanded further in Section Four of this report.

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[25] 2015. Stone Family Foundation Evaluation: Consultancy to carry out the final evaluation of SFF support to improved water and sanitation in Chazanga and Kanyama.

[26] The calculation of indirect beneficiaries is based on the City Capacity Scale scorings: for every city where the median CCS scoring (of the five sub-scales) at end of programme exceeds 15, the LIC population of that city are counted as indirect beneficiaries.

[27] 2008. ILAC Brief 16. Contribution analysis: An approach to exploring cause and effect. John Mayne.

[28] Adams Skype interview Mugo Kariuki. WSUP Kenya Country Programme Manager, 09/02/2016

Pro-poor [29]

There is very firm anchoring of the programme to support and engage poor people in the provision of WASH. This is brought out in the Household survey where analysis of data indicates that the programme is targeting the 'lower end of the market' for water services in the surveyed areas [30].

Whilst there is good evidence to show how poor people are getting a firm grip on the water and sanitation ladder and are in some instances getting better access and/improving their own access, there is also evidence to show that some 'improvements' can result in a lower quality of service. For example in Kenya, developments in block/compound housing and latrines in Nakuru have resulted in a lower ratio of toilets/household as landlords counteract building better latrines by building more blocks [31].

Gender

The programme has a very clear emphasis on gender, with women clearly consulted and represented. This is most strongly seen in the involvement of women in the local groups that discuss the types of water and sanitation facilities to be developed.

WSUP is supporting increased participation and leadership by women in WASH interventions, particularly in WASH committees across its programmes. WSUP is also facilitating discussions to encourage women to take part in sanitation management and assume lead roles in community WASH activities [32].

Embedding of gender awareness and especially Menstrual Hygiene Management (MHM) for girls is key. The challenge is for hygiene and MHM work to be embedded and linked to communities and with local education/health authorities in the same way that WASH is embedded and linked in communities and utilities. There is some evidence (see WSUP Paper on Gender and WASH referenced above) of progress in this area. However, the paper also brings out the challenges of making progress in this area, in particular issues of privacy, security and social taboos. The following comment from the 2014 Zambia Annual Progress Review (APR) helpfully illustrates the challenges faced:

> *On implementation of 'School of 5' Hygiene promotion activities: WSUP conducted the intervention using Stone funding in 50 schools, reaching 100,000 children aged 6-11. However, the WSUP Zambia team shared their concerns that the intervention has limited sustainability, due to a number of factors beyond WSUP's control: these included lack of continuous water supply in some schools,*

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[29] Note: We did not propose to make an assessment of WSUP programme management costs in terms of value for money. However, the approach to having small staffing numbers will form an assessment of programme effectiveness and influence.

[30] The Household survey only shows pro-poor bias for water. However, it is not the best evidence as the surveyed areas are all likely to be slum areas. Better evidence of pro poor would be how they chose the wards that WSUP has focussed on, and the types of water/sanitation that predominate in those areas (i.e. most basic kinds).

[31] Adams visit to WSUP Kenya Programme, Nakuru. Interview a 'Block landlord' in Lawanjiru. 59 households had access to 23 toilets/bathrooms. Currently the landlord was building more rooms to rent. He was not going to increase the number of toilets/bathrooms. Increasing houses by 26. Ratio of toilets per family will be 1:4. WHO guidance is for 1:2 for shared latrines.

[32] WSUP Paper: '*Gender and WASH: Experience and examples from WSUP's Programmes'.*

inadequate handwashing facilities, and lack of mechanisms for onward monitoring[33].

3.1.5   Key comment and analysis

3.1.5.1 Relevance

Water, Sanitation and Hygiene

The overall relevance of the WSUP programme in engaging with the challenges of rapid and increasing urbanisation in Africa and Asia is as relevant now as at the outset of the programme. The need to expand water and sanitation systems is critical. In order to do this it is essential to address the constraints that face the sector.

WSUP's approach based on its ToC, is to engage with communities at the same time as working with utilities and service providers. WSUP works with communities to assist them to identify the most appropriate water and sanitation service delivery options (water kiosk, shared connections, pre-paid dispensers, household connections, community, shared or household toilets) and to assess the most appropriate financial approach to ensure sustainable service provision.

The engagement of local committees takes many forms from agreeing on the types of toilets to be built, mobilising the local community to agree the process of building toilets and making their contribution.

Below an example of participation: a comment from Bangladesh:

> *We praise the WSUP team's efforts to ensure community participation. Thanks to consultation meetings with communities prior to construction, during which the WSUP engineers explained design options and consulted with the community on the same, most users feel they participate in decision making. Users also liked that community-based Infrastructure Implementation Committees (IIC) oversee all procurement and construction activities*[34].

The outcomes of this context and market-driven approach are reflected in the results of the Household survey. WSUP programmes in different countries are deploying quite different mixes of water and sanitation infrastructure, depending on the prevailing local conditions. In addition, there are indications that local markets for water and sanitation in some countries have shifted considerably. In Kenya, for example, both WSUP and non-WSUP users report previously relying on mobile vendors, yet they were almost completely absent from the market at the time of the survey. In addition, the price differential for WSUP water and sanitation users (slightly lower for water, slightly higher for satiation) is relatively small (in spite of significant reported shifts in prices) suggesting that interventions are appropriate for the markets.

A critical element of this approach is the linking of a clear demand from communities with the development of an informed and market driven pro-poor approach from utilities. Whilst WSUP is not explicitly taking a rights-based approach, instead focusing on service delivery to the poor (a 'universal service obligation' approach), it is helpful to see how their approach effectively links 'rights holders' and duty bearers' (seeing the utilities as contractors who are acting on behalf of the government as the ultimate duty bearer) in the supply of water.

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[33] WSUP Zambia APR 2014.

[34] This was one of the recommendations of the 2013 APR which WSUP Bangladesh have implemented successfully.

Gender inclusive approach

The purposeful inclusion of women in the community groups and implementation committees is an essential element in WSUP's approach and is clearly evident. The findings from this evaluation agree with previous studies that the programmes clear and meaningful involvement of women on community based organisations (CBO's) and User Groups is beneficial. The following comment from a Focus Group discussion with a group of women committee members illustrates this perspective:

> *Women are seen to play an important role in the process. "Women are responsible for water, sanitation and hygiene for the family. It is therefore important that women are involved in the process. It is also important to recognize that men need to be engaged as well".* Comment from women's FGD Amandla, Maputo[35].

Disability inclusive approach

The messages on evidence of disability inclusive design are more mixed, with a number of programmes supporting the inclusion of inclusive design for all community and shared latrines, whilst in other communities the onus was on families to provide support: Examples of inclusive and non-inclusive approaches are:

- Maputo (Chamancula C Bairro). Inclusive design for people with disabilities in community/shared toilets, even where there were no people with disabilities in the group to be served. There was also a recognition that having toilets with more space supported women and girls /facilitates Menstrual Hygiene Management (MHM)[36].

- Kibera in Nairobi community toilets would usually have a step as they would have been built on a previously constructed pit latrine. During the evaluation site visit (13/1/2016) no facilities to assist access were observed and when questioned families/attendants stated that anyone with a disability would be assisted by a member of their family or by the facility attendant[37].

- In Kibera a family were building a household toilet and connecting it to the sewer line. Their main reason was that the grandmother was elderly and had arthritis and was struggling to access the communal toilets[38].

Inclusion challenges

The evaluation visits to both Kenya and Mozambique noted that the size of toilet cubicles was often restricted. This was due to either space limitations on the plots, landlord preference or cost. Whilst this is being accommodated by households, it was noted as a challenge in the Focus Group Discussion with six female local committee members[39].

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[35] Focus group discussion with six women representatives from three local committees in the Bairros (Communities) of Amandla, Aeroporto B and Chamanculo C, Maputo. January 21st 2016.

[36] It is also important to note that this the requirement for 'disabled access' was an essential criteria of a DFAT grant agreement. Adams field visit. Mozambique, January 2016.

[37] Adams interview with Zadia, attendant at the Al Safia Washrooms Mabara, Kibera Nairobi.

[38] Adams interview with family in Kibera, Nairobi. 13 January 2016.

[39] FGD Amandla, Maputo 21/1/16, Adams.

Recognising that it is important that the package for toilets has limited options available, in terms of design, the critical message is that community groups are able to engage in the discussions to agree on the toilet package they want. In effect, WSUP is creating an effective and responsive demand mechanism that can work with and link effectively to utilities and service providers who remain the responsible service entities.

With two contrasting approaches to addressing access for people with disabilities, it is essential that their needs are taken into account when planning WASH facilities, especially when considering community facilities that will need to be designed for both current and future needs. While this point is addressed in the WSUP Urban Programming Guide it is clear that the application of the principles outlined[40] is not consistently being applied and that consideration should be given as to how it can be integrated into discussions on the development of appropriate sanitation solutions.

3.1.5.2 Effectiveness

Water

The WSUP programme has a clear and effective poverty focus. This is confirmed through the results of the Household survey that show a focus and benefit to poorer people. This has been achieved through WSUP's lead and championing of a pro-poor focus that supported the utilities to develop Low Income Consumers (LIC's) and Pro-poor Units in utilities that have developed mechanisms to provide affordable and appropriate ways for poorer communities to access clean water. For this Outcome WSUP has focused on working with communities and the development of community groups so that poorer people are supported to access and pay for water.

Meetings with Pro-Poor Unit and LIC staff in Nakuru, Nairobi and Mombasa (Kenya) and Maputo (Mozambique) confirmed the commitment of the utilities in providing services to poorer people, strongly influenced by the inputs from WSUP. It was evident that in these situations the recognition of poor people as customers and the support/linkage with local groups was supporting the development of more robust services and support to consumers, especially poorer ones[41]. Whilst the examples given are illustrative of similar progress across all country programmes, it is important to note that in some situations the LIC Units are not yet sustainable and will need further support (DWASA Bangladesh[42]). In Ghana there is a challenge with Ghana Water Company Ltd that sometimes gives the impression of seeing their poverty focus more as a means of attracting financial support/funding[43].

It is also important to note that in many (if not the majority) of situations, water provision is often limited by supply constraints. Water resources development has often not expanded at the rate of population growth and of pro-poor distribution networks. Ensuring fair access for all, through Non-Revenue Water programmes helps to even out demand and ensure that there is just about enough to go round. There remains the challenge of how to deal with illegal connections –

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[40] WSUP Urban Programming Guide; 2014. Crosscutting: Empowering Vulnerable Groups; pp 46 - 47

[41] Adams Meeting Pro-poor Unit Nakuru Water; Adams/Luff meeting AdeM, Maputo.

[42] WSUP Bangladesh APR 2014.

[43] WSUP Ghana APR 2014.

something that WSUP has helped to address, for example by running TV adverts in Bangladesh (in collaboration with WaterAid)[44].

Sanitation

WSUP is making strong progress in demonstrating appropriate and relevant approaches to the provision of sanitation in poor communities. In Ghana there is a strong focus on compound sanitation that has the potential to achieve citywide scale and to influence sanitation provision at the national level[45]. The Ghana and Madagascar programmes have also undertaken initiatives to develop/enhance laws to ensure access and provision of sanitation facilities, for example:

- Kumasi, Ghana: enhancing existing bylaws that require landlords to provide compound sanitation[46].

- Madagascar: initiative by WSUP and Care on the introduction of a legal text on hygiene, now being rolled out across the Conselho de Regulação de Águas (CUA). Each household must have one latrine. In addition, the text places a heavy emphasis on environmental cleanliness and household guidance on solid waste disposal.

The numbers of people with access to sanitation are important because they are strong/robust numbers. Of more importance, since it links effectiveness to sustainability and impact, is the evidence of care and maintenance and of upgrading and improvement of facilities undertaken by communities, sometimes without further WSUP support. This was observed during the field visit to Kibera, Nairobi in four main ways:

- Upgrading by moving from communal latrines to sewered communal latrines to sewered shared compound household latrines and, occasionally, individual household sewered latrines.

- Improved services: hot showers in Kibera[47].

- Moving from communal water points to household water points with a resulting improved willingness to pay, particularly when accompanied by the lower tariff enabled by accessing the lifeline block in the tariff structure.

- Improving facilities to enable improved access to people with disabilities[48].

An important question to ask about the numbers of people with access to water and sanitation is whether the numbers are robust, with evidence of access being transformed into use and improvement? A clear strength of the WSUP approach is the strong accompaniment and the linkage of rights holders with duty bearers (the formal government service entities), which builds commitment and leads to embedding and sustaining behaviour change (BC). This, it is

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[44] WSUP Bangladesh APR 2014.

[45] WSUP Ghana APR 2014.

[46] WSUP Ghana APR 2014.

[47] Adams' field visit to Mabara Community, Kibera, Nairobi 13/1/2016. Example of community latrines with showers which had been upgraded to provide hot showers (cost KES 10/for a shower). Very popular.

[48] Adams' Kibera visit report. Examples of Upgrading from Pit latrines to Improved latrines. Communal toilet block that had been upgraded from a pit latrine. Rehabilitated toilet blocks used by 15 families. Three toilets and a shower upgraded from pit latrines. New toilets built on top with drainage to the sewer line. Available to about 40 households. Two examples of families upgrading to household toilet facilities.

understood through other research, leads to long term improvements in health. This demonstrates a strong potential for longer term sustainability and shows that the numbers of people with access have a good degree of robustness.

Faecal Sludge Management (FSM)

WSUP country programmes have taken a number of different approaches to address challenges in managing FSM. Supporting the development of local FSM services (for example in Maputo and Lusaka) and major initiatives in Ghana with the Clean Team and SWEEP in Dhaka, Bangladesh. The Ghana and Bangladesh initiatives highlight WSUP's ability to engage local businesses in addressing the challenge of FSM. The Gulshan Clean and Care business, known as SWEEP in Bangladesh, has developed strong links with the Dhaka Water Supply and Sewerage Authority to help them to the business[49].

Despite the progress made by the SWEEP and Clean Teams in developing FSM Services, there remains a challenge for stand-alone private service providers that the fees they can charge are often not high enough to cover the full costs. This is especially true for poorer families/ consumers. Reading of other Country Reports shows this as a common factor[50]. For consumers, specifically poorer consumers who are more likely to have poorer access (being further from an access point) the cost of pit emptying is often prohibitive/too high. The following example from Bangladesh illustrates this point:

> *Communities have taken up the pit emptying service (SWEEP). They are happy with the quality and speed of service provided – even though they are more expensive than previous service providers. Currently, WSUP anticipate emptying costs ranging from 5,000 BDT to 10,000 BDT. According to findings from the Household survey, such high costs will only be affordable if several households contribute; it is too expensive for a single household[51].*

It can also be difficult for small operators to get the right equipment. This was reported as a challenge at a Focus Group discussion of FSM operators in Maputo[52]. However, with the recognition that the amount the operators could charge was not enough, this challenge may be more about the business model in terms of consumers' willingness to pay, or for the extent to which the service needs to be subsidised to achieve societal public health benefits for the poorest, than about availability of equipment. The WSUP's report on behaviour research noted that:

> *The most important steps towards improving environmental sanitation in Dhaka is to address the absence of any faecal sludge management system. To improve the quality and cleanliness of shared facilities, behaviour change*

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[49] These links are illustrated in an article in News Today on 5 February 2016: http://www.newstoday.com.bd/index.php?option=details&news_id=2405416&date=2015-03-12

[50] Mozambique: Prices too low for FSM operators. Poorer consumers unwilling/unable to offer to pay more. Difficult to access some houses. Zambia.
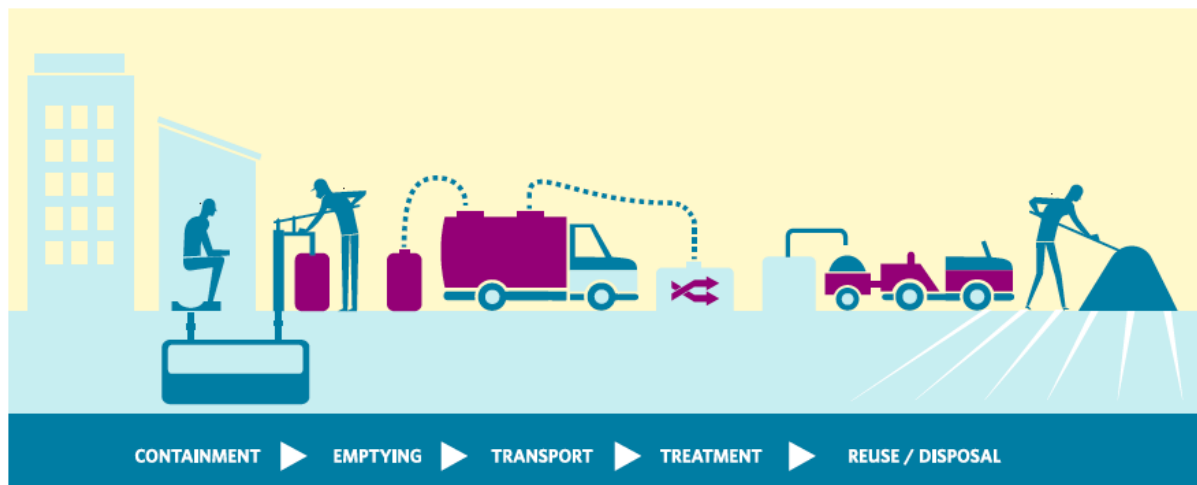
[51] WSUP Bangladesh APR 2015.

[52] Adams FGD Interview with nine FSM operators in Maputo 21/01/2016.

targeting the central role that landlords and community managers play can be particularly effective[53].

The critical issue to address is therefore the sanitation value chain: [54]

Figure 2 – Sanitation value chain graphic

It is clear that the economics of FSM are particularly challenging. WSUP are involved in trying to address FSM challenges across a number of their programme areas. In addition to the Clean Team and SWEEP initiatives, the WSUP Zambia team are working with Lusaka Water trialling an approach to FSM that aims to introduce a full FSM service to the peri-urban areas of Kanyama and Chazanga in Lusaka. A key premise of the programme is that it argues that FSM services are given the best possible chance of success when embedded within a mandated local service provider that is willing to innovate and continuously iterate[55]. The FSM service being offered in these two areas is still at a formative stage and there is clear recognition by the different stakeholders in the project that it still has a long way to go to be able to claim success.

Unsurprisingly with such a challenging issue, we have not seen evidence that WSUP's programming to date has been able to fully address these challenges. It is important to recognise the work that WSUP is involved in looking to ways to address the FSM challenge. The approach of WSUP to addressing the challenge of FSM in Kanyama, Lusaka illustrates the role WSUP has to play in trying to find new modalities for FSM. It is also clear that there is unlikely to be one solution that can be applied everywhere. Rather, it is more likely that through experimentation across different situations that models will be developed that illustrate key factors to be taken into account when developing an appropriate FSM response. For the peri-urban areas of Lusaka a key factor is seen as the need for a mandated local service provider who is willing to be able to continually innovate.

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[53] '*Can Behaviour Change Approaches Improve The Cleanliness and Functionality of Shared Toilets?*' WSUP 2016.

[54] Image from WSUP Urban Programming Guide 2014.

[55] Topic Brief July 2015: Introducing Safe FSM service in low income urban areas: lessons from Lusaka.

Maintenance budgets for toilets

Maintenance of toilets has always been a challenge with often inadequate or limited attention given to having adequate operation and maintenance (O&M) budgets. The Kenya, Bangladesh and Ghana Annual Progress Reviews in 2014 all noted challenges, primarily due to insufficient investment and attention to budgeting for O&M[56]. Specific examples include:

- Chamanculo C, Maputo. Of four communal sanitation facilities visited, the majority did not have full maintenance budgets (possibly in part because they were new facilities).

- Bangladesh: from a survey, user groups and the Latrine Management Committee are not yet fully capable of maintaining and operating facilities in a sustainable way. To elaborate, they do not know when the pit will require empting and how much it will cost. Moreover, none of the groups/committees has yet established a robust system for collecting funds to pay for pit emptying and other major maintenance or repair costs. Survey respondents say they will jointly make a decision on who will empty the pit and how to come up with the funds once the pit needs emptying[57].

There has been some good progress on O&M. As an example the 2015 Bangladesh APR noted:

> *The sustainability survey results for communal toilets in Bauniabadth and Roopnagur were highly positive. The toilets in Bauniabadth in particular were among the most impressive observed by the reviewers in WSUP country programmes, satisfying key criteria including cleanliness, lighting, ventilation, security, and O&M financing arrangements.*

In considering the challenge of having effective O&M budgets for standalone facilities (networked facilities being responsibility of the utility) we wonder whether operation and maintenance aspects follow design and build rather than being seen as integral to it. Taking this approach, O&M budgets would evolve to take account of operation. For example including better ways to assess pit faecal sludge levels and requirement for emptying.

Gender

WSUP has been effective at involving women in activities to support the development of improved access (and use) of water and sanitation facilities. Specifically through the gender mainstreaming involvement of women on committees:

- Data from Mozambique gives the numbers of women and men on local committees as 257 and 178 respectively.

- Bangladesh: Given that gender inclusiveness, similar to MHM, is a relatively new focus for WSUP Bangladesh, it is impressive to see how awareness has been created among target populations – even if they are still small in numbers[58].

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[56] WSUP Kenya APR 2014. Section 6. Sustainability Assessment; WSUP Bangladesh APR 2014. Key Findings (p5); WSUP Ghana APR. School Sanitation.

[57] WSUP Bangladesh APR 2014.

[58] Possible exception from Household survey is Kenya and Mozambique where comfort during menstruation and disposal container were poorly rated for WSUP sanitation facilities in HH survey.

There is a recognition by women that improving the understanding of women's and girls' needs must also involve men[59]. However, it is also recognised that involving men is not always easy. The 2014 Annual Progress Report from Bangladesh provides a helpful example of the challenges faced:

> *….of the 17 community volunteers who had been trained to disseminate sanitation and hygiene messages only one was male. The challenge identified was it was easier for women to attend sessions during the day (as many of them don't have an official job) – and that it is only culturally appropriate for women to enter other household's during door-to-door awareness raising campaigns[60].*

Hygiene

WSUP has worked on a number of different approaches to address the hygiene objectives of the programme, both independently and also with other international organisations, for example UNICEF, WaterAid and Unilever. It has also forged linkages with the local Ministries and Departments of Education, for example the Ghana School Health Education Programme (SHEP).

A major partnership has been the 'School of Five' initiative, sponsored by Unilever, which teaches children to wash their hands on five occasions during the day. Whilst strong results have been reported (see box) there have also been negative reports.

In the Bonsaaso Millennium Village cluster in Ghana, there was a 22% increase in handwashing among children in the School of Five programme compared to children not in the program. The average time of handwashing with soap was much longer and the frequency increased. As a result, the children spent 40% more time washing their hands every day. Lifebuoy also implemented a School of Five programme in Zimbabwe where there was an increase in handwashing from eight % before the programme's implementation in schools to 74% after the programme[61].

However, the long term effect of large scale handwashing and hygiene promotion campaigns on handwashing behaviour, diarrhoea and respiratory infections is still not known. While intensive small scale interventions have achieved improvements in these areas, it is not clear whether realistic and scalable interventions delivered across large areas achieve effects large enough to be of public health interest. The WSUP Bangladesh Programme for example, reported the problem of drop off once the programme had finished and soap was no longer being provided.

The London School of Hygiene, together with Unilever and Cliff Investment Trust are embarking on a study in Bihar, India where a Unilever School of Five programme is being implemented between 2015 – 2017, to evaluate the effect of this campaign on handwashing behaviour in school aged children and their mothers, and on diarrhoea and respiratory infections in the same children and their younger siblings[62].

In other initiatives WSUP has worked with schools to support the improvement of sanitation and hygiene, with a focus on Menstrual Hygiene Management (MHM) across a number of countries:

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[59] Point made by women at an FGD discussion in Amandla Bairro, Maputo, Mozambique, 01/01/16.

[60] WSUP Bangladesh APR 2014.

[61] 2013 Cheeseman G.M. Unilever's Lifebuoy Soap Aims to Expand Handwashing Program. Triple Pundit.

[62] 2015 ClinicalTrials.gov Evaluation of the Unilever Lifebuoy School-Based Handwashing Campaign (School of 5) In Rural Bihar, India.

Madagascar. The Wash Friendly Institutions is a DFID funded collaboration of six partners including WaterAid that is working across schools, churches and hospitals. From its inception in 2002 it has now gained considerable momentum. In 2014 around 1,800 primary schools are participating (approximately 15% of the total number of primary schools for the country).

Bangladesh. WSUP (through the non-governmental organisations (NGO) Forum) have significantly increased knowledge on hygiene and sanitation among target communities. This is great progress towards behaviour change and is complementing construction/rehabilitation of toilet facilities. Trained community members are very motivated to disseminate key messages and they demonstrate profound understanding of the value of good hygiene and sanitation. To illustrate, one female FGD participant emphasised that improving hygiene standards throughout her community requires *everyone* to practise good personal hygiene.

Mozambique. WSUP is working with 11 primary schools in one District of Maputo to support the improvement of essential infrastructure – new toilets and where appropriate improved water supplies. A critical part of this initiative, which mirrors the initiatives in Madagascar and other country programmes is the strong linking and development of relationships between parents, schools and local authorities/Departments of Education.

The benefit of such linkages is seen in the support and development of local initiatives to support and fund improved MHM management and O&M. The linkage with the Department of Education provides opportunities to share and potentially replicate achievements to other districts and areas[63].

The Bangladesh Annual Report 2015 highlights the impact of effective advocacy:

> *We highlight the directive issued by the Department of Primary Education as a major advocacy achievement for WSUP which has helped to secure buy-in from District and Sub-district Officers; the sustained engagement of Sub-district Officers (SDOs) will be crucial to the success of the programme. WSUP has established a strong rapport with local government administration which needs to be capitalised on, and through which WSUP now has a "tremendous advocacy opportunity."[64]*

It is also encouraging to see that WSUP are exploring innovative ways to make the public aware of the issues. For example in partnership with WaterAid, WSUP have tried using a TV campaign to explore innovative ways to make the public aware of the need to hygienically use communal latrines, saving water, storing water safely, etc.

3.1.5.3 Efficiency

The business case for the programme estimated the expected costs/beneficiary both direct and indirect of £8.10 per direct beneficiary and £2.60 per indirect beneficiary[65]. These are estimated to be well within the range of costs reported in the DFID WASH portfolio review (between £0.91 and £18.80[66]. Data from WSUP reports gives the costs per direct beneficiary at £3.77 and total of

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[63] Meeting with Director of Education Municipality of Maputo (CMM) who affirmed the importance of WSUP's role in modeling and supporting the improvement of sanitation facilities as a way of engaging parents in supporting the Municipalities limited budgets and help to embed good practice.

[64] WSUP Bangladesh APR 2015.

[65] DFID (2012) Water and Sanitation for the Urban Poor – Business Case. EDRM no. 3568211.

[66] DFID 2012. Water, Sanitation and Hygiene Portfolio Review.

direct and indirect beneficiaries at £2.97 (see table 2). The costs per direct beneficiary are significantly lower than the projected costs in the business case and we suggest this is due to lower costs. The similarity of the projected cost per direct and indirect beneficiary is most likely to have been influenced by the significant reduction in the estimates of indirect beneficiaries.

Whilst the cost per beneficiary is helpful to make a crude assessment and comparison of the efficiency of the programme, it is of more use to dig underneath the numbers to draw out lessons on potential sustainability and continued relevance.

An important indicator of efficiency is the extent to which infrastructure and ongoing management costs are recovered via user fees, while still retaining users (including among the poor). The data from the Household survey shows that user fees for WSUP supported infrastructures are broadly in line with market rates, taking account of the fact that WSUP may be servicing a poorer segment of the market. The amount spent by WSUP users is on average slightly lower than the market rate for water, and slightly higher for sanitation. The indications are that WSUP is not overly subsidising water and sanitation services:

Table 3 – Amount spent on water for current source (US$)

Amount spent on water for current source, WSUP, non-WSUP users							
All in US$	Bangladesh	Ghana	Kenya	Madagascar	Zambia	Mozambique	Average
Non-WSUP users	0.281	1.426	1.109	0.404	1.693	1.422	1.056
WSUP users	0.146	1.419	0.837	0.353	1.156	1.337	0.875
Amount spent on water for previous source, WSUP, non-WSUP users							
All in US$	Bangladesh	Ghana	Kenya	Madagascar	Zambia	Mozambique	Average
Non-WSUP users	0.289	1.131	1.467		1.134	-	1.005
WSUP users	0.210	0.953	1.360		1.424	(0.934)	0.987

Note: local currencies converted to US$.

Non-Revenue Water (NRW)

An important area of efficiency gains for the WSUP programme is in the work done on Non-Revenue Water (NRW). WSUP has played a critical role with Water Utilities in helping them to address the problems of Non-Revenue Water through improving leak detection, addressing issues of illegal connections and vandalism and helping utilities to identify and get payments from non-paying customers. Whilst a part of this achievement directly relates to the work done with the water utilities, its success illustrates again the long term benefits of creating an effective linkage between consumers and customers with utilities and service providers.

Efficiency of service is also gained through developing alternative approaches to paying for water through pre-payment schemes, such as those in Naivasha and Nakuru in Kenya (though recognised to be costly to the service provider), discounts for legal connection fees (Bangladesh), lower water tariffs (Kenya, Nakuru) and staged payments (various programmes).

Benefits of alternative approaches to advanced payments:

- Good buy-in from community. Women could go and purchase/top up their fobs/tags with water credit.

- Stopped fights, evened out supply of water (as a limited commodity), reduced vandalism[67].

Potential challenges to maintaining efficiency gains are:

- Weak embedding of O&M design/management/costs into sanitation.

- Challenges to charging (subsidizing in Bangladesh).

- High cost to utilities of electronic prepaid meters.

- Weakness of pro-poor approach (Ghana Water).

- FSM costs too high for poorer consumers to bear without some level of subsidy.

3.1.5.4 Impact

Numbers of people indirectly supported through influence of WSUP

The influencing numbers that WSUP gives as a result of its work are very important as they demonstrate how sustainability is moving beyond the local and in this respect they demonstrate the 'catalytic' nature of WSUP's approach.

The data from WSUP's reporting shows that the total number of indirect beneficiaries reached by the programme is 2,315,000. This is significantly different to the projected number given in the business case of 12,560,000. The methodology that WSUP adopted to assess the number of indirect beneficiaries of the programme is based on applying their City Capacity Scale (CCS) scorings:

> *For every city where the median CCS scoring (of the five sub-scales) at the end of programme exceeds 15, we count the Low Income Consumer population of that city as indirect beneficiaries.*

WSUP recognises that this approach has not been helpful in estimating the indirect beneficiaries of the programme. In part this is due to the decision to go for a median rather than an average score.

Despite the figures being reported, there is strong evidence from the field visits, reports and conversations with Programme Managers that WSUP is having a significant influence and that the programme is benefitting substantial numbers of low income communities through the application of its model of support and demonstration. The following diagram illustrates this:

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[67] Adams. Notes from Naivasha and Nakuru visit.

Figure 3 – Diagrammatic representation of linkage between direct and indirect beneficiaries
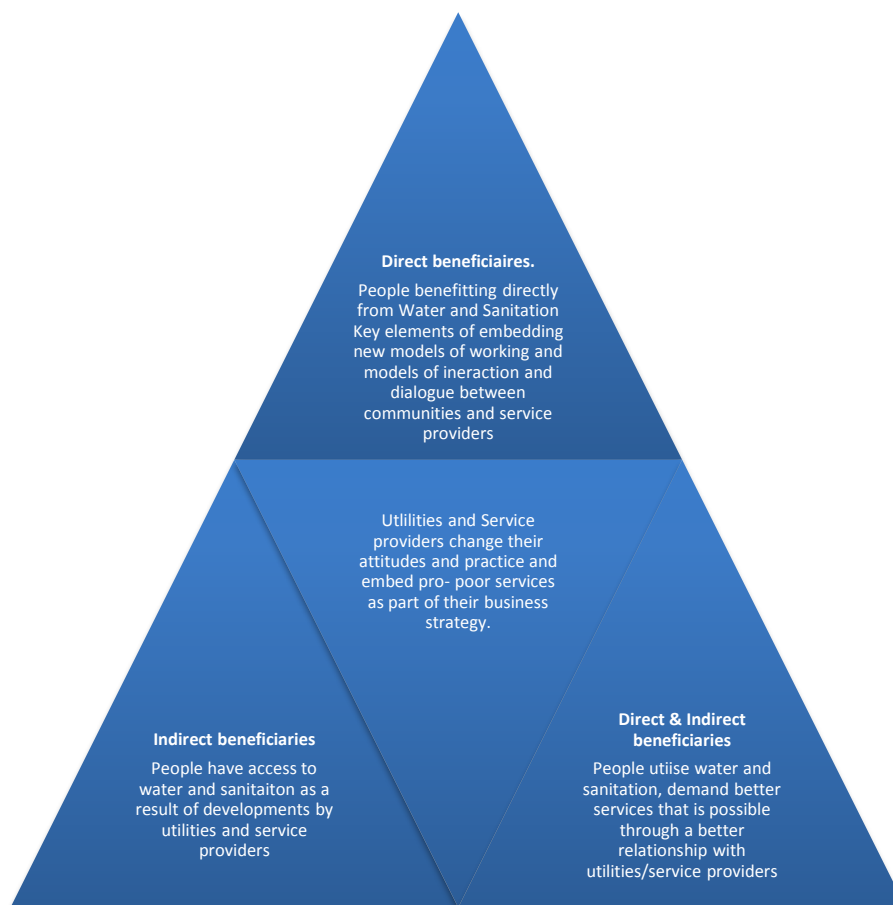
The following example from the Mozambique country programme illustrates how the programme is influencing utilities to provide services to communities as a result of their work with WSUP:

WSUP is working with the local utility Aguas da Regiao de Maputo (generally known by its previous abbreviation as AdeM) in one District in Maputo in a number of different ways: tertiary network extension, Non-Revenue Water (NRW), Low Income Consumers (LIC's) and District Metered Areas (DMA's). AdeM is implementing the WSUP model in other areas.

A rough estimate of indirect beneficiaries related to their work with AdeM could be estimated as follows:

- Network extension: AdeM have constructed 400kms of water supply network. Assuming that 30% of these were in low-income areas where the model was influenced by the WSUP model, we estimate that this is equivalent to around 30,000 beneficiaries;

- Non-Revenue Water: since the creation of this department, and WSUP's support over the last three years, NRW has reduced from 56% to around 46%. With daily water production of 180,000 m3/day with 80% delivered to supply, the 10% NRW reduction on 144,000 m3/day means 14,400 m3/day of water recovered; assuming an average consumption per capita of 90 litre, this represents capacity to serve around 160,000 additional beneficiaries;

- As the District Metering Area model proved to be very positive, AdeM decided to establish at least one DMA per operational area, so seven DMA are in progress to be established. We think it is reasonable to assume that in each DMA there will be 12,000 direct beneficiaries and 3,500 indirect beneficiaries, giving a total of 108,500 beneficiaries.

- LIC models have proven to give very positive results regarding invoices delivered meter reading ratios, collection ratios and billing ratios and better visibility of AdeM close to the low-income consumers. Because of these benefits AdeM is planning to replicate the model, gradually, in all low-income areas. Clearly with significant numbers of beneficiaries.

The evidence presented above primarily indicates that the programme is having a major impact in terms of equity, i.e. pro-poor services. In addition there is also some evidence, from the Household survey as well as field visits, of improved benefits to users, e.g.:

- **Water** of reduced costs, increased quality and in some countries increases in convenience.

- **Sanitation** – the impacts are probably more from a public health perspective in reducing the numbers relying on open cesspits and unimproved latrines (even though this evaluation has not been able to assess public health impacts,[68] existing evidence would link such improvements to public health benefits).

From the evidence given above it is clear that the WSUP Programme is having a significant impact beyond its direct programme areas and that this can be estimated. It is also clear that the numbers of people indirectly benefitting from the programme can provide an important and helpful indication of the influence of the WSUP programme in contributing to wider catalytic changes in practice towards the provision of services to low income consumers that needs to be captured.

3.1.5.5 Sustainability

Water and Sanitation

As mentioned under the sub section on Relevance above, the WSUP approach of forging strong linkages between utilities/service providers and communities is in effect embedding sustainability into the process of the programme, rather than it being seen as a separate objective. This results in a joint commitment to sustainability based on a merging of supply and demand perspectives.

From a service delivery and community perspective it is:

- The combination of strong engagement with local communities – recognising and encouraging 'voice'.

- The development and demonstration of appropriate models that are scalable at community level (they can be improved/adapted to local needs and conditions as well to enable families and communities to move up the water and sanitation ladder).

- Clear pro-poor focus seen through the development of Low Income Consumer/Pro-poor Units in utilities with structures to support delivery and of and payment for services.

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[68] We were given substantial 'informal evidence' of improvements – fewer cases of diarrhoea, less money spent on medicine, days off sick etc. – from our field visits.

- Effective Non-Revenue Water (NRW) approaches that work with communities and poor (previously disenfranchised) groups.

- Utilities and service providers want to replicate and expand services.

  - Example AdeM in Maputo. The Informal Settlements Department in Nairobi becoming a self-standing business region in the utility[69].

The development of this synergy supports and embeds sustainability and expanding impact in a dynamic and catalytic way that is evidenced through:

- Expansion of services (direct to indirect beneficiaries).

- Reduced costs due to lower instances of vandalism and illegal connections.

- A better use of an often limited resource – more for all and buying of time as new resources come on stream.

- Better services for women and girls.

Hygiene

For WSUP's work on hygiene the challenge with all of its initiatives is how to ensure effectiveness, impact and sustainability. A clear finding from WSUP's experience is that it is essential to understand both the demand and supply side issues and that these then need to be addressed with local communities, local authorities and with input from organisations such as Unilever. The challenge for WSUP is how to foster, develop and sustain these relationships. With a number of potentially good practice examples from different country programmes, the strengthening of support from WSUP UK is critical in providing support and to encourage cross-learning. Underpinning this is the need to document and share learning, especially to document the work in schools and to unpack how to stimulate and sustain social motivation in an urban context.

Gender

Evidence from the field visits and interviews with women representatives of local committees suggests that the embeddedness of a strong gender awareness and 'voice' is present across WSUP's programme areas. At the same time there is also an understanding that it will take time for progress to move from being embedded to totally recognised as integral, essential and 'the way we do things around here'. It will be essential for WSUP to continue its focus and support.

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[69] Interview with Tim Hayward, WSUP Advisory

3.2   Outcome Two

3.2.1 Objectives from Logframe

Output Two:
• Service provider capacity and institutional framework to sustain improvement process • Demonstrable efficiency and effectiveness improvements embedded in service provider operations and institutional capacity strengthened ensuring the sustainability of improvements delivered to low income consumers
Indicator 2.1 • Number of target cities achieving a score of 15/25 or more on the WSUP SME Capacity (SMEC) scale
Indicator 2.2 • Number of target cities achieving a score of 15/25 or more on the WSUP Water Utility Capacity (WUC) scale
Indicator 2.3 • Number of target cities achieving a score of 15/25 or more on the WSUP City Sanitation Management (CSM) scale
Indicator 2.4 • Number of target cities achieving a score of 15/25 or more on the WSUP WASH Environmental Sustainability (WES) scale
Indicator 2.5 • Number of target countries achieving a score of 15/25 or more on the WSUP Institutional Pro-Poorness (IPP) scale

3.2.2   Outline of Achievements

Table 4 – Achievements against output indicators for Outcome 2

Output Indicator 2.1		Baseline (Dec 2012)	Target (31st Dec 2015)	15 & above	>12.5	>10
Number of target cities achieving a score of 15/25 or more on the WSUP Small/medium Enterprise Capacity (SMEC) scale	**Planned**	2	12			
	Achieved			2	4	2
	Achieved % (& % of 10 cities)			17% (20%)	50%	67%
	Source					
	Quarterly and annual reporting, annual assessments, independent verification documents					
Output Indicator 2.2		Baseline (Dec 2012)	Target (31st Dec 2015)	15 & above	>12.5	>10

Number of target cities achieving a score of 15/25 or more on the WSUP Water Utility Capacity (WUC) scale		Baseline (Dec 2012)	Target (31st Dec 2015)	15 & above	>12.5	>10
	Planned	0	9			
	Achieved			3	4	1
	Achieved % (& % of 10 cities)			33% (30%)	78%	89%
	Source					
	Quarterly and annual reporting, annual assessments, independent verification documents					

Output Indicator 2.3		**Baseline (Dec 2012)**	**Target (31st Dec 2015)**	**15 & above**	**>12.5**	**>10**
Number of target cities achieving a score of 15/25 or more on the WSUP City Sanitation Management (CSM) scale	**Planned**	1	5			
	Achieved			3	1	2
	Achieved % (& % of 10 cities)			60% (30%)	80%	120%
	Source					
	Quarterly and annual reporting, annual assessments, independent verification documents					

Output Indicator 2.4		**Baseline (Dec 2012)**	**Target (31st Dec 2015)**	**15 & above**	**>12.5**	**>10**
Number of target cities achieving a score of 15/25 or more on the WSUP WASH Environmental Sustainability (WES) scale	**Planned**	0	6			
	Achieved			1	5	2
	Achieved % (& % of 10 cities)			17% (10%)	100%	133%
	Source					
	Quarterly and annual reporting, annual assessments, independent verification documents					

Output Indicator 2.5		**Baseline (Dec 2012)**	**Target (31st Dec 2015)**	**15 & above**	**>12.5**	**>10**
Number of target cities achieving a score of 15/25 or more on the WSUP Institutional Pro-Poorness (IPP) scale	**Planned**	1	5			
	Achieved			3	4	2
	Achieved % (& % of 10 cities)			60% (30%)	140%	180%
	Source					
	Quarterly and annual reporting, annual assessments, independent verification documents					

Output Indicator 2.6		**Baseline (Dec 2012)**	**Target (31st Dec 2015)**	**15 & above**	**>12.5**	**>10**

Number of target cities achieving a score of 15/25 or more on the WSUP Institutional Inclusivity (INC) scale	Planned		unspecified			
	Achieved			4	2	1
	Achieved % (& % of 10 cities)			(40%)		
	Source					
	Quarterly and annual reporting, annual assessments, independent verification documents					

For Outcome Two, reporting, according to the WSUP reported data above, analysed from the six individual country reports by the evaluators, indicates that WSUP is failing to make strong progress according to the scoring level target initially proposed. However, taking into account the longer-term nature of the challenge of institutional development, the adjusted scoring, checking on performance at the >12.5 and >10 scales, indicates that WSUP is indeed making responsible progress through building long term, trusted, non-competitive partnerships with water utilities, municipalities, regulators and private operators across the six programme countries. Capacity development initiatives supported by WSUP are being embedded into organisation structures. With regard to the number of people indirectly benefitting from the programme WSUP expects a total of 5.1 million people to benefit indirectly from the programme overall by the end of Year 3, 41% of the original target. Reporting on internal and partner capacity is informed by an annual capacity assessment rating tool; the evaluation team reviewed the results of the 2014 round, reported January 2015. We note that in this subsequent year of operations there are likely to have been continuing improvements.

3.2.2.1 Overview

WSUP's Theory of Change is that "*demonstrable efficiency and effectiveness improvements embedded in service provider operations and institutional capacity strengthened, [will] ensure the improvements continue.*" This is expanded to explain in the ToR for this evaluation that "*through the delivery of financially viable and effective service provision at a representative scale in each city, and by strengthening the capacity of local partners to provide pro-poor services under viable business models, WSUP aims to trigger investments for the scale-up of service delivery at the city and ultimately the national level.*" This approach is demonstrably relevant to serving the needs of the urban poor.

WSUP have developed useful and appropriate Capacity Scales in order to track their performance in these areas. They have chosen to focus upon 1) Water Utility Capacity 2) City Sanitation Management 3) Small and Medium Enterprise 4) Institutional Pro-Poorness 5) WASH Environmental Sustainability and 6) Institutional Inclusivity (INC).

We have reviewed the reporting to DFID, which is based on scoring of progress against the six scales, mentioned above. Whilst there is some case study information given in the reports that assists in understanding of progress and challenges, we have chosen to focus on the different types of organisations and assess progress and issues in that way. By doing so we aim to provide a more nuanced and helpful analysis and comment.

For this evaluation, across the six countries, we have chosen to focus more specifically on the different types of organisations rather than the institutional responsibilities in the WSUP Capacity Scale, though the intention is very similar. We recognise there are nine main organisational types or areas of institutional change to be evaluated:

1. Water and sanitation (sewerage) utilities (e.g. JIRIMA, DWASA, NCWS, MWSA, Naivawass, Nakuru WSC, AdeM, LWSC, GWCL).

2. Municipalities (e.g. CUA, DCC, KMA).

3. Private sector delegated management contractors (e.g. EMA, Maputo).

4. Community/NGO delegated management providers (e.g. Kenyama, Umande).

5. Private sector service providers (e.g. Clean Team, SmartLife, Gulshan Clean & Care).

6. Government Ministries/policy-makers/environmental agencies/national agents (e.g. Ministries of Water and Environment; Ministries of Local Government; WSTF Kenya).

7. Government regulators (e.g. WASREB, PURC, NWASCO, CRA).

8. Civil society (e.g. WUA, Madagascar).

9. Other donor programmes (e.g. WSP, WoP, SUWASA, IFIs.)

3.2.3   Key comments and analysis

3.2.3.1 Relevance

This Outcome is the core deliverable for the WSUP programme, utterly relevant, and the most challenging. WSUP is designed to enable society's existing organisations - public, private and civil society - to be more effective in serving the low-income households within their service areas, delegated or chosen. There are many varied reasons, sometimes good, sometimes disappointing, often understandable, why a low-income country's entities are not delivering effectively to the poor. One key issue to be remarked upon is that the donors have spent the last two decades requiring service providers, particularly with respect to water, to be more commercially minded in order to be viable … which has led many of them to a) remove the 'free' stand posts delivering water to the poor, which used to be common-place (also now therefore, by default, burdening the poor with the cost of paying for the vendor in addition to the water) and b) to focus on service in areas where the provider can be more confident of selling viable quantities of water per connection. This in order to service the fixed costs that make up such a high proportion (80-90%) of a networked service providers costs.

We agree with WSUP that the service providers and institutions that capacity development and institutional change is targeted at are fundamentally weak and start from a low base in terms of human and financial capacity. It is within this context that national and local government processes, national elections, political unrest and multiple, often competing demands, from multiple stakeholders puts additional strain on these poorly capacitated organisations.

The WSUP challenge therefore, as an initially 'unknown' external agency, is to deliver institutional change in a public sector body (usually), which has become 'frozen' in a particular delivery mode with both individuals and organisations benefiting from the status quo. The Lewin model of change[70] explains the need to 'un-freeze' an organisation before it can 'change' so as to then 're-freeze' after that change to consolidate and 'solidify' the new

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[70] See for example http://www.change-management-consultant.com/kurt-lewin.html

behaviours. This is a hard enough challenge for change agents to deliver when commissioned by an organisation's leaders to deliver change. WSUP is tasked to deliver some level of un-freezing and change as an external agent who, at least to begin with, may not necessarily be welcomed in this 'self-volunteered' role, with the concomitant suspicions as to motives and benefits.

The necessity to gain credibility, in each country, as a knowledgeable and useful change agent, along with the need to give early visible results to donors, justifies the initially stand-alone requirements of Outcome 1. It also explains the more difficult to measure benefits of Outcome 4, particularly those relating to public sector staff exposure visits, Masterclasses and long-term Masters module classes. This in the context of the acknowledged long-term challenge of institutional change: 'generational development' or '20 years' according to some practitioners. WSUP has been functioning effectively in its initial countries since 2006. It could be argued that this present evaluation is taking place approximately half-way through the necessary change period. And that is assuming that it is possible for organisations to out-perform the socio-economic trend-line to some extent – that trend-line relating to effective demand as well as to supply.

The evaluators would also explain that the models of organisational change have been developed in the context of private sector behaviours in high-income countries. The organisations that WSUP is required indirectly to change, in the context primarily of the public sector in low-income countries, described above in WSUP's description as fundamentally weak could also be described as 'fragile institutions', this description deliberately appropriating the terminology of 'fragile states'. The challenges of limited capacity, politics and changing politicians, and corruption are self-evidently manifest in a state's institutions as much as in the state.

The fragile states index not only focuses upon conflict, insurgencies, politics and corruption, but also recognises the challenges of public services and demography. The demographic bulge in the countries where WSUP is working is leading not only to the rapid growth of the urban informal settlements, but also to the challenge of water demand being significantly higher than achieved water production, let alone water supply – sometimes the demand supply balance being out by a factor of one third, sometimes by a factor of two or three. To expect or require an institution to change its approach and actively target serving the urban poor when it doesn't have sufficient 'product' (water) to deliver to its existing customers in a viable manner is a challenge. Particularly when that service to conventional customers has been the target of the previous un-freezing and change programmes, supported by most institution's relatively newly designed staff incentives based on commercially oriented key performance indicators. It is necessary to recognise, in such circumstances, that pro-poor change takes very particular expertise, as well as time.

Finally in this consideration of relevance, in the context of evaluating WSUP's progress, it is helpful to recognise that within the Burns and Stalker[71] categorisation of organisations – 'contingency theory' – public utilities and municipal entities are focused upon serving, and geared up in capacity terms, to serve, 'mass markets' with 'simple technologies'. The resulting organisation is characterised as '*mechanical*' in that it is designed to be 'formalised

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[71] Organisational Change as a Development Strategy, Chapter 2, Hage, J. and Finsterbusch, K. (1987) Lynne Rienner after Burns, T and Stalker, G. The management of innovation, Tavistock, 1961

and large scale'. It should be efficient (in theory if not always in practice), 'producing in quantity and providing a standardised service or product which can capitalize on economies of scale.' Whereas serving the unserved informal settlements, delivering a 'decentralised, relatively non-hierarchical service, based on teamwork and networks, specialised around professional expertise, non-formalised and small scale, which is innovative or adaptive, produces quality and non-standard goods and services in small numbers' requires an 'organic' organisation. Usually the antithesis of a mechanical organisation and definitely not an approach that is welcomed in bureaucratic public entities.

So the relevant challenge for WSUP is to enable a 'mechanical', 'fragile' (also noting the frequent staff changes) organisation, which has not itself commissioned a change agent, to incorporate an 'organic' element of service provision aimed at a group of potential customers that it has previously been led to believe should not be served and to which it in reality has insufficient product to deliver to meet any new demand. This is the target of Outcome 2.

Using the same organisational understanding, the private sector, another key target for WSUP interventions, whilst undoubtedly more responsive than the public sector, is likely to have been trapped in a 'craft' level organisation approach – meeting 'local demand for individual or batch markets run by family businesses or partnerships functioning in local markets with low capital and skill requirements'. Therefore inherently un-scalable.

The public sector organisations, benefiting from economies of scale in addition to default tax-based subsidies, therefore have to be 'nudged' by various external interested parties into moving towards a 'mechanical-organic' organisation and the private sector has to escape the 'craft' service delivery model in an inherently capital intensive sector. Here the private sector faces the disadvantages of delivering a private cost of capital from the contributions of the poorest, in competition with the subsidised cost of capital always accessed by the public provider, where the low-income consumer has to meet significant costs not borne by higher-income beneficiaries.

The 'nudging' referred to defines the need for WSUP itself to be inherently 'organic' in its approach, that is innovative, flexible, responsive, opportunistic with never any assurance that investing 'x' over 'y' period will deliver the desired institutional change. A major understanding of contingency theory, referred to above, is that organisations cannot be both efficient (low cost of output) and innovative (number of new outputs or procedures) at the same time. 'The organic model is designed to be innovative rather than efficient' (ibid).

We find the assumptions in WSUP's Theory of Change, and in its scoring approach to understand that change, to be both comprehensive and relevant. The evaluators have seen clear evidence of this results chain in action and delivering the desired outcomes, discussed below as related to effectiveness.

3.2.3.2 Effectiveness

The evaluation of this Outcome 2 challenge, increased capacity and institutional change, is based on the evaluators visit to the Kenyan Country programme as part of this evaluation (with development underway in four cities, Kenya representing the most complex approach), also influenced and informed by earlier visits to WSUP country programmes in Mozambique, Zambia and Ghana. These visits have been complemented by a detailed review of WSUP's (very informative) internal evaluations, monitoring information and the various country business plans.

The overall capacity areas that WSUP uses for scoring are well supported by 'sub-scales' to facilitate as objective as possible scoring. WSUP explains that "*The idea is that the scales provide a holistic assessment of capacity of these partners – they also touch on things like gender inclusion and environmental friendliness. It is a numeric rating plus narrative comments and explanations. WSUP teams in each country were asked to complete one rating themselves (facilitated by the M&E Officer) and request two key partners to self-rate their capacity. All three ratings will be combined (and an average calculated from numeric rating and narrative comments.*" This is a systematic and sophisticated approach, the addition of partners to self-rate is a powerful tool to aid the WSUP assessment and to guide partners into recognising the need for their own assessment tools. However, we note the variability and the 'optimism bias' in the utility self-scoring and have therefore reported figures here based on Country Programme Manager scoring.

The average improvements in scores per city are shown in Table 5 along with the percentage development. We recognise that all such scoring is subjective but nonetheless is an important indicator of progress.

Table 5 – Achievements by city against baseline indicators for Outcome 2

Achievements by city against baseline indicators for Outcome 2			
Output Indicator 2	**Country Programme Manager Scoring**		
	Mar 12 - Jan 13 Various	**Jan-15**	**Percentage Improvement**
Bangladesh - Dhaka	5.8	10.5	81%
Ghana - Kumasi	5.8	12.5	116%
Kenya - Nairobi	8.8	12.5	42%
Kenya - Naivasha	7.3	13.3	82%
Kenya - Nakuru	8.8	13.2	50%
Kenya - Mombasa	6.2	10.8	75%
Madagascar - Antananarivo	5.8	13.3	130%
Mozambique - Maputo	10.4	13.7	31%
Zambia - Lusaka	5.8	15.7	170%
Average overall nine cities	**7.2**	**12.8**	**78%**
Source : Evaluator's analysis of WSUP Capacity Index			

In Kenya, the country programme where most focus was addressed to institutional development issues, the evaluators discussed the claimed outcomes with utilities at Managing Director, Technical Director and Pro-Poor Unit leader levels, Private Service Providers, Regulator and International Financing Institutions (IFIs).

Utility service providers – It is apparent that some countries have found it easier to address the needs for change in utility service providers, whereas others have had faster initial success through the supporting or private organisations. There is therefore no straightforward and constant 'sample size' for each of these nine categories. Each country programme has its own unique mix of involvement and influencing and has rightly and necessarily operated in something

of a reactive mode, feeling its way forward and responding to opportunities as and when available.

Overall it is fair to say that WSUP has had a remarkable success in enabling the establishment of 'pro-poor units' (variously labelled by individual utilities) in the main public service providers in each country where they are operating. To enable the delivery of these '*organic'* sub-entities with a differing mix of professional capabilities (sociologists/'marketers' as well as engineers) is a very significant step forward and reflects powerful institutional development. This has been delivered in public organisations that are traditionally reluctant to accept new departments and is a striking achievement which sets the scene for long-term, sustainable, inclusivity of low-income consumers. Although the nature of poverty with respect to WASH service delivery may change over time, it is this evaluator's experience of the UK water sector that '*organic'* flexibility in serving lower-income customers is a requirement that continues.

To enhance availability of water for sale through service extensions, WSUP has, very appropriately, targeted support to utilities also through programmes of Non-Revenue Water minimisation. Such programmes necessarily incorporate both technical aspects, to find and fix leaks in pipes and joints, as well as commercial aspects, to improve billing and find illegal connections. This has been an important contribution by WSUP to utilities to support the more conventional '*mechanical'* aspects of a utility's operations. By this means WSUP not only supports the delivery of an important output but also avoids becoming trapped in what others in the utility business might easily see as a 'pro-poor ghetto' with no relevance to the rest of the organisation. Similarly the technical innovations that WSUP has supported through its pilot demonstration programmes have had relevance to the rest of the organisation.

Municipalities – The evaluators had limited access to municipalities in their field visits. Earlier conversations in Ghana, with Kumasi Metropolitan Assembly (KMA) for example, testify to the value placed by Municipal officials upon having responsive support from WSUP in solving some of their most difficult service challenges. Conselho Municipal de Maputo (CMM), the Maputo municipality, was very positive about WSUP's role and engagement with them and were supportive of WSUP's approach. However, their own commitments to supporting sanitation work was not realised at this stage for a variety of reasons. The sanitation tariff is a key factor to make the sanitation business environment work for larger scale investment, but CMM appear to be unable to commit to this to date as the idea is politically controversial. Thus, investments in sanitation by the municipality remain limited at this stage.

Private sector delegated management – The private sector delegated management contractors, Maputo as above and Naivasha as another example, are delivering an important service. WSUP has shown skill and perseverance in supporting them to deliver effectively, along with enabling them to have a more recognised status as formal sub-contractors. The customer focus of the delegated contractors is an important signal to the utility, and its pro-poor unit, as to how a *'craft'* organisation has to be totally focused upon the interests of its customers in order to survive. However, the evaluators recognise the importance of such contractors as 'transitional' providers that is they have a role which should only continue until the designated utility is able to fulfil its mandate to serve all consumers in its prescribed area. The transition might take a generation but ultimately the delegated management contractors will require access to additional bulk water supply, access to local groundwater supplies being ultimately unsustainable and/or unaffordable with regard to treatment capacity. And as utilities become more mechanical and efficient they find that it is more cost effective to absorb delegated outliers with respect to service provision (though their need to use sub-contractors continues, but with a different focus).

This normal development can be seen in the reported coming connection of Mirera, Naivasha to the utility's bulk water supply. It is presumed that the community on-selling of that water will continue in its present form for a while longer (though the fluoride treatment at the kiosks can presumably be discontinued). This does not negate all that WSUP has delivered in Mirera-Karagita (and that donors have paid for) over the past years but is a positive sign of an appropriate evolution of the service provider's capacity towards long-term sustainability.

Delegated community providers – Similarly to the delegated private providers, the delegated community providers are being enabled to serve an area where the utility has so far failed. The work that WSUP has undertaken to formalise the contractual arrangements, enhance the monitoring and support the technical and commercial expertise of the community providers such as the Kenyama Trust in Lusaka has been excellent. However, as explained earlier, it means that poor consumers in such areas pay more than those receiving a supply from the main utility. This is a better solution than the alternative but again should be seen as a transitional approach. WSUP should support not only the delivery of better delegated community providers in the present but also, at the right time, the adsorption of that provider into the formal utility to the benefit of the consumers. Service reservoirs and distribution networks should be designed with the transition in mind.

Private sector service providers – The private sector service providers have not been a key focus of this evaluation though we have been able to talk with the SmartLife manager in Nairobi. We understand that WSUP Enterprises, under which SmartLife in Kenya, and Clean Team in Ghana were established, had been acting as a separate entity in order to tap into global interests for private sector product innovation and development. Our understanding is that however innovative and creative such enterprises have been, and however good the products they have developed, they are inherently disadvantaged by being required to deliver a more expensive product (being unable to take advantage of utilities' significant economies of scale) whilst having to price that product to achieve a return sufficient to pay for capital maintenance as well as a cost of capital if they are to be 'sustainable'[72]. This in a situation of serving the poorest consumers which may be worsened by government taxes on private enterprise and all without being able to access government subsidies. This rather disappointing overview, recognised by WSUP, does not negate the work done in this area, as such activities can again form a most useful transitional service. The key learning is that such approaches have to be able to access subsidies (bulk water access, enhanced sludge disposal access) if they are to a) achieve reasonable sustainability and b) not to disadvantage their poor customers.

3.2.3.3 Efficiency

The discussion of the relevance of institutional change also indicates that this is not an area where it would be reasonable to expect an enhanced level of efficiency. Supporting the development of the *organic* capacity of an institution as an outsider, necessarily in a similarly *organic* manner, is not conducive to efficiency. However, we recognise that the country programmes have been run in an extremely lean manner, based primarily on the capability of very competent Country Programme Managers, supported by visits and consultants as and when necessary.

To investigate further the level of efficiency of WSUP we have considered other modalities of supporting utilities and municipalities, the counterfactuals. These are compared in the outline

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[72] This comment is based on a review of current documentation as well as a number of visits to review the work of both the SmartLife and Clean Teams by Richard Franceys.

below. These alternative approaches show a noticeable bias towards networked water supply, and are given a) to demonstrate the wide recognition of the pro-poor service challenge in the international development community, and therefore the relevance of WSUP's work, and b) to bring out the particular characteristics of WSUP's approach.

Table 6 – Successes and limitations of other modalities

Other modalities	Successes	Limitations
Kenya has the Water Services Trust Fund[73]	Has been strong on acting as a conduit for pro-poor financing to smaller utilities.	Has not been able to follow through on either innovations or institutional pro-poor strengthening. WSTF does not have the adaptive, organic, management consultancy approach that enables institutional change in fragile situations.
Zambia has the Devolution Trust Fund	**Delivering services to the poor**	It is not clear that the DTF, as a public body, has been empowered to have quite the necessary flexibility at this time.
USAID Sustainable Water and Sanitation in Africa (SUWASA) program	**Successful projects delivered in a wide variety of countries**	More project-focused approach of SUWASA as opposed to the more country-focused approach of WSUP, the developments initiated by SUWASA are unlikely to have 're-frozen' sufficiently to fix the benefits in place.
GIZ	Delivers a significant number of pro-poor, utility and government institutional development oriented activities.	**Does not have the long-term national country programme manager relationship**
Partners for Water and Sanitation (PAWS)	**Strong individual partnerships and mentoring**	PAWS never attained the in-country networking presence or the scale and breadth of demonstration pilots leading to lasting institutional development that have been such a critical benefit of the WSUP approach.
Water and Sanitation Program (WSP)	WSP has had to take a much more 'project' approach with delivery of specified inputs in the hope of achieving desired outputs within a relatively short time-frame.	Does not have WSUP's enhanced flexibility and programmatic approach over a longer time has delivered additional benefits. The evaluators were told that WSP had been trying for some time to get a low-income consumer unit in Mombasa Water but the WSUP approach subsequently succeeded within one year. Ongoing 'field-level innovative management consultant' capabilities of a WSUP will be absent.
Vitens Evides International (VEI).	Does impressive work in supporting utilities in the more conventional 'mechanical' aspects of utility water supply.	Much less of the 'organic' flexibility of WSUP in creating innovative solutions to serve the poor, not being set up to deliver and facilitate pro-poor units with pilot innovations or to support private sector or civil society alternative providers in sanitation, for example.

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[73] http://www.waterfund.go.ke/

		Does not have the expertise and deliverables in the specifically low-income, informal settlements aspects of service delivery.
Suez Environment Services For All - Tailor Made Services For Unserved Areas' programme	Global expertise in water and sanitation for the urban poor, based on their global concession contracts.	However, the costs of 'privatisation', political as well as financial, led to the loss of the majority of such contracts and the reduction in capability of the Services for All department until recently with a resurgence through large-scale pro-poor work in Algiers and Mumbai.

Respondents have commented that WSP, as one example, has had to take a much more 'project' approach with delivery of specified inputs in the hope of achieving desired outputs within a relatively short time-frame. WSUP's enhanced flexibility and programmatic approach over a longer time has delivered additional benefits. The evaluators were told that WSP had been trying for some time to get a Low Income Consumer unit in Mombasa Water but the WSUP approach subsequently succeeded within one year. It is understood that the skills and capacity of WSP, as a separate Trust Fund entity within the World Bank, are being absorbed into the ongoing World Bank lending operations. This should be to the benefit of pro-poor investments within larger World Bank financing, but the ongoing 'field-level innovative management consultant' capabilities of a WSUP will be absent. This suggests a growing opportunity for WSUP, with DFID support, to act as a most useful interface through utility partners to enable the large scale financial investments that all utilities need to have an adequate pro-poor focus. An issue we come back to in the evaluation of Outcome 3, next section.

3.2.3.4 Impact

It can be understood that a public utility exists to serve the poorest (the rich can always manage to look after themselves) but that a utility can only serve the poorest by accessing the economies of scale, ability to cross-subsidise, as well as ability to access national subsidies, by serving all city residents in a standard '*mechanical' manner.* However, there could well be other '*mechanical'* areas that WSUP might support for the long-term benefit of the poorest. For example enhanced bulk water supply and treatment, pumping costs and distribution network optimisation, telemetry, information technology and billing systems, customer care programmes, water quality testing and monitoring, etc. could all be supported through consultancies and utility partnerships. Such areas often being the target of IFI investments we consider that these more conventional areas of utility operations could benefit from WSUP partnering of utilities to both enhance and expedite those complementary investments. Referring earlier to the 'fragile' nature of many formal utilities, staff with limited experience and resources are often required to respond to a wide range of institutional challenges. The constant flow of donors and experts can be overwhelming, particularly in the context of rapidly changing local political priorities which senior staff also have to manage. Ongoing peer to peer utility relationships and partnering through WSUP type support could form an important bridge between utility decision-makers and the international finance institutions. Those institutions bring very necessary capital for investment but also have increasingly demanding criteria for feasibility assessment, an area for potential WSUP support.

We have seen clear evidence of pro-poor service extensions, both for water through communal provision and through household/yard tap provision, as well as for sanitation through communal toilets and now household/compound housing sewered toilets. These demonstration pilots,

generally being well-based in the work programme of the pro-poor utility units, can only have a long-term multiplier effect. Both Maputo and Nairobi utilities explicitly volunteered that the work WSUP had started had now been incorporated into their ongoing programmes.

It is clear from conversations with the regulator in Kenya (and previous conversations in Maputo and Accra) that regulatory staff value having access to WSUP for ongoing discussions with respect to areas of concern and interest which then result in consultancy support to deliver important outputs. The formulation of a sanitation tax in Mozambique and pro-poor indicators in Kenya are of real benefit to low-income consumers to which the in-country presence and immediacy of response that WSUP can deliver are a significant contribution to the desired outcomes.

Conversations and visits with WSUP staff in-country have demonstrated the commitment to low-income consumers and the broader aspects of civil society and it is apparent that WSUP has linked to specific civil society organisations whenever and wherever possible and in an appropriate manner.

We find WSUP's work in increasing capacity and institutional change to be utterly relevant to the needs of serving the urban poor. They have achieved this relevance, very appropriately, across a range of different service providers, including small and medium enterprises, and support entities. We find clear evidence that service providers have realigned their institutional focus to be pro-poor. Similarly, with regard to effectiveness we find that service providers are now able to more effectively deliver services to urban poor, including women and girls. Not always and not everywhere yet but with very marked improvements across service areas and consumer groups. In doing so service providers in each category are beginning to improve their efficiency in comparison with their previous work – as evidenced by regulatory reports in addition to WSUP capacity scoring. We note that WSUP necessarily supports a range of service delivery models, some now being more efficient as transition suppliers, even if less efficient than the ultimate model.

We have noted the impact of these institutional developments, described much more fully in the reporting of Outcome 1, and see evidence of enhanced institutional sustainability in both the ongoing roll-out of service access to the urban poor and the subsequent service delivery. We recognise the limited sustainability of some transitional service providers and, noting the understandable time-lag in such transitions, recommend innovation in sharing of subsidies (taxes and transfers) to the smaller scale, private and community, providers. This to overcome their inherent losses and tendency to limited environmental and social sustainability.

3.2.3.5 Sustainability

The WSUP results chain assumptions are that these inputs-activities-outputs will enable public service providers through: "*having the capacity to adopt and scale up effective models contributes to service providers and local/national government committing to adopt and scale up effective pro-poor models at a city wide level; and that with capacity developed and changed attitudes to serving low-income areas [will] form part of the core business strategies of service providers; whilst political developments and social stability do not significantly undermine service providers' commitment to scaling up effective pro-poor models at citywide level.*"

To the extent possible, the evaluators have verified these reported outputs, in the context of the results chain, during the country visits and through calls to the non-visited countries.

Overall there is a remarkably strong endorsement of the WSUP approach to facilitating and supporting pro-poor WASH change. The capability in networking and then using that network to innovate, pilot service innovations, encourage scaling-up of developments, flexibility support

institutions in accepting change (benchmarking visits, in addition to office furniture when necessary (literally), being highly valued) and the sense of a longer-term commitment to supporting change, were highly regarded.

We believe that in this most challenging area of institutional development, having been given the time to respond to the pilot innovations and capacity-building experiences, WSUP's work has been remarkably good. Or as one utility respondent reflected "I" We cannot praise too highly the results that the WSUP Country Programme Managers (CPMs), their national staff and their international facilitating staff, have achieved in institutional development.

It is of course also clear that at the margins of such varied and necessarily adapting programmes there are weaknesses where the enabled partner has not been able to follow through at the required level of quality. For example Mombasa Water was seen to be installing new yard taps for low-income households that were not robust enough and of sufficient quality to deliver long-term benefits. Nairobi City Water was not taking advantage of the remarkable new sewers in Kibera to have trapped disposal points for grey water. However, the nature of WSUP as an ongoing 'critical friend'/'management consultant' will enable such issues to be addressed sooner rather than later. This would not have been the case in a one-off project intervention.

It is also clear that fragile institutions in semi-fragile states continue to be fragile, both in capacity and resources and economic growth and management, etc. notwithstanding the benefits of institutional development. The never-ending change-over of public utility staff in key positions, when the WSUP investment in training and sensitising appears to be bearing fruit, is both frustrating to WSUP staff and programmes and a likely regularly irregular set-back. But that is the nature of development with fragile institutions. The benefit of a longer-presence facilitator such as WSUP is that they are available to support the next holder of the post, and in the not so uncommon situations where that new person is not particularly receptive, WSUP has the capacity to wait for that person to be moved and, with the level of networking demonstrated, to influence at Board and Managing Director level for the person to be moved. But this is only with the long-term presence that WSUP has been allowed.

3.3 Outcome Three

3.3.1 Objectives from Logframe

Output Three:

- Scale - City wide investment triggered

- Pro-poor policies and institutional processes adopted by local service providers and authorities and supported by financially viable service improvements, triggering investment from a range of funding sources

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Indicator 3.1

- Total volume (US$) of household investment in water and sanitation [in WSUP intervention districts of all target cities] **US$10.67m (US$14.67m)**

Indicator 3.2

- Total volume (US$) of public investment in pro-poor water and sanitation [in all target cities] **US$42.23m (US$47.23m)**

Indicator 3.3

- Total volume (US$) of private investment in pro-poor water and sanitation [in all target cities] **US$3.54m (US$6.54m)**

Indicator 3.4

- Total Volume (US$) of non-national concessionary finance for pro-poor water and sanitation [in all target cities] US$165.4m (US$190.6m)

Target: US$220m finance mobilised and more effective: households, local private sector, public sector and IFIs. This in addition to the baseline mobilised finance (US$37.2m) at the commencement of this programme, the figures in brackets above recognising the cumulative totals.

3.3.2 Key comment and analysis

3.3.4.1 Relevance

The anticipated inputs for Outcome 3 refer to evidence of WSUP financial models related to business planning and strategies for different types of service providers, supported by appropriate contractual frameworks. Through these inputs, and the supporting inputs from the demonstrated service models and the programmes of increasing capacity and institutional change, it has been anticipated that WSUP would be able to mobilise significant additional funding for pro-poor services. This would be achieved by "*engaging with IFI offices, sharing evidence, participating in project design processes, mobilising grant funding, data collection at HH level, facilitating private sector investment by entrepreneurs and the local banking sector, mobilizing service provider budget lines through programmes.*"

To monitor the amount of financing leveraged, the WSUP London team developed a guidance note for use by the organisation. It is important to note that the interpretation of data collected was on the conservative side, which has led to underestimates due to some investments not being included.

Household finance mobilised includes:

Money that households (water/sanitation users in WSUP programme locations) that would not otherwise have been spent on pro-poor WASH (e.g. fees for water from water kiosk or communal stand pipe; fees for use of laundry block or shared sanitation facility). This can include capital investment in infrastructure or service, recurrent expenditure.

Public finance mobilised includes:

Money that the public sector (e.g. municipalities, local or national governments and line ministries with the mandate to water and/or sanitation) has spent on pro-poor WASH, that would not otherwise have been spent on this. This can include public sector investment in water or sanitation services or hygiene.

Private finance mobilised includes:

Money that the private sector has spent on pro-poor WASH that would not otherwise have been spent on this. This can include local business investment in sanitation or water services or hygiene, international private investment in water/sanitation services or hygiene.

Concessional finance mobilised includes:

Investment by International Financing Institutions (IFIs) that WSUP has influenced to be spent on pro-poor WASH so WSUP influence has caused an IFI investment to be spent in a more pro-poor manner (or a more efficiently pro-poor manner)[74].

With regard to relating activities to outputs WSUP has assumed that *"Financial incentives, businesses cases and plans which demonstrate financial viability affect decision making processes when making investments in urban WASH, notwithstanding politics and vested interests; all of the identified sources of scale up finance are in a position to invest in service delivery improvements."*

Again, we would agree with the caveat that utilities are indeed influenced by political expectations of the level of services to be delivered as much as by any viability of their business planning, which is then tempered by the IFI requirements for multiple special factors to be incorporated in any design, pro-poor service being only one of several. The time taken to come to an agreement on these issues before any implementation can start explains part of the slow-take up of leveraged finance claimable by WSUP.

WSUP also assumes that "*householders can afford to invest in service WASH improvements for themselves and their communities".* We find this to be correct but only where any such investments have been facilitated through staged payments and only where the service is directly seen as relevant and, quite often, aspirational.

WSUP does not account for finance leveraged according to any distinction between water, sanitation or hygiene. Based on the scoring for access to improved services, which is approximately two thirds water to one third sanitation, if the same ratio is being achieved for finance leveraged we would judge that to be realistic at this stage of development.

Overall, we find these categories and assumptions to be entirely relevant to the finance leveraged outcome.

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[74] The full guidance document includes examples of potential finance sources for each category.

3.3.4.2 Effectiveness

For Outcome Three early progress has not continued as strongly with the total achievement reported to end September 2015 of **US$151.6m** of finance mobilised or better targeted as a result of the WSUP programme, or **68%** the overall programme target of US$228M. Because of this, WSUP re-forecast its target for Outcome Three to a total of **US$182.35m** of finance by the end of implementation – circa **80%** of the logical framework target. By end February 2016 WSUP reported $170.8m finance mobilised (no breakdown given), which is 77% of the original logframe target, 94% of the revised target.

Table 7 – WSUP mobilised finances

Type	WSUP December 2015 Assessment	
	Target	Amount (in US$)
TOTAL – Household	$10.7	$4,518,574
TOTAL – Private	$3.5	$3,237,219
TOTAL – Public	$42.2	$22,766,217
TOTAL – Concessional	$165.4	$142,167,781
TOTAL – FINANCE TOTAL	**$221.8**	**$172,689,791**

WSUP explains that its Outcome 3 target of leveraging US$220m finance was from a 'bottom-up plan, country by country' best judgment at the time of the original business plan – and clearly a stretch target. Although referred to by some now as a 'finger in the wind' type guesstimate, it is apparent that it was a useful approximation for a target for direct leveraging when there were so many unknowns as to in-country responses to WSUP's involvement. As is normal, donor approaches change over time and, for example, the withdrawal of Australian Aid funding from urban programmes in Africa, following a change in government, led to a significant reduction in one aspect of funding. Similarly, the expectation that the then developing link through Vitens Evides International would leverage finance from the Dutch Foreign Ministry has not come to fruition, for a variety of reasons we understand.

We note also that there has been no claim with regard to financing leveraged through WSUP Advisory, unless it has been achieved in one of the six focus countries. This would only ever be indirect financing, but being based on the experience and knowledge gained through working in the six focus countries, is clearly an outcome of the DFID support. WSUP defines finance mobilised as 'triggered' (= new money that would not otherwise be spent on WASH) or 'influenced' (= money that was already allocated to WASH, but WSUP has influenced the way in which the money is spent, i.e. for low-income areas)'.

The most recent figures available to the evaluators from WSUP, for September 2015, report cumulative finance mobilised of US$151.6m as against the target of US$220m. Of this, US$3.7m is reported as leveraged through households, US$3.2m through private enterprise, US$21.2m through the public sector and US$123.5m through concessional finance, as in Table 7 above.

At country level the total amounts leveraged (to December 2015) are:

Table 8 – WSUP leveraged amounts by country

WSUP December 2015 Assessment (in US$m)	
Bangladesh	$15.4m
Ghana	$33.9m
Kenya	$6.6m
Madagascar	$5.5m
Mozambique	$3.2m
Zambia	$108m

We presume that the final figure for finance up to March 2016 will probably be closer to the US$220 million target. Overall our observation is that there have been other, possibly significant, amounts of finance leveraged that have not been accounted for. For examples of this see the comments below regarding WSUP Kenya influencing investment from World Bank through Nairobi City Water and Sewerage Company (NCWSC) and the Mozambique example of WSUP evidence of influence of the utility AdeM to invest substantially in pro-poor work in other areas of Maputo. WSUP Bangladesh supporting the World Bank to work with Dhaka Water and Supply and Sanitation Authority[75] is another example.

Overall we find there is clear evidence of leveraging of finance: we find a range of approaches to quantify that leveraging. We would advise that indirect leveraging should be explicitly acknowledged and we would recommend a more realistic suggestion for the next period, target perhaps being an inappropriate word.

If the larger numbers, related to World Bank or other IFI contracts, can only be claimed in the context of consultancy or advice those would represent valid outputs of WSUP involvement but this might better be counted as another category again, perhaps using the word 'advisory'. This would lead to three categories of finance leveraging: *direct* (relating to ongoing WSUP programme or WSUP acting as an active partner in another agency's programme and including discounted cash flows of future consumer payments), *indirect* (where there is evidence that a WSUP programme has led to an ongoing use of that approach by others) and *advisory* where WSUP special expertise has been contracted for occasional inputs to another agency's programme.

Following on from this analysis of WSUP's reported finance leveraging the evaluation has found that it has not been straightforward to design finance models which are both scalable and replicable, being appropriately adapted to specific contexts and stakeholders. Rather, we find that WSUP's particular strength has not been to mimic the IFIs in finding scalable models (which generally have not scaled) but to be remarkably flexible and organic in adapting its solutions and approaches to the varying contexts and stakeholders. The benefit to stakeholders of having an in-country WASH management consultant has been to experiment and pilot a remarkable range of approaches, rather than deciding that there is one model which can be rolled out regardless.

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[75] Skype interview with Abdus Shaheen, WSUP Bangladesh Country Programme Manager (also with Habeeb, Sanitation Programme Manager and Asis, Water Programme Manager), 10/02/2016, Adams.

With regard to the wider changes that have occurred in investment programmes and policy at the city level we find that all the IFIs and donors have a clear pro-poor agenda and that increasingly national institutions are recognising the need to follow the same approach. WSUP is facilitating this process by being exceptionally innovative and creative in each location such that the 'it won't work here' excuse cannot be used.

The evaluation team has necessarily acted as an auditor to the reported finance mobilised, that is spot-checking in the countries visited and following through with the team member responsible as to how they determined the key performance indicator of finance mobilised by households, the local private sector, the public sector and IFIs.

We find that the figures reported have generally been counted 'conservatively', that is staff have been concerned not to exaggerate or over-count the likely leveraged finance. For example, future cash flows, for example from households, have not been discounted to present values, as is normal in economic analysis, therefore not taking advantage of the approximately ten times multiplier effect of a 30 year cash flow of tariffs that could have been assumed from enabling household connections.

As an example, WSUP reports that they have facilitated over 5,500 household connections in Maputo – this has mobilised approximately US$600,000 in household investment through connection fees. It would have been reasonable to claim the present value of the discounted cash flows relative to the ongoing future water consumption tariffs leveraged by those new connections. Similarly 'a small/medium enterprise (SME) in Naivasha invested US$35,000 in infrastructure for water supply delivery' which has also led to households paying long-term for water consumed from that enterprise.

We have also noted that innovations developed by WSUP that have been taken up by other donors/financial providers may not always have been counted. We believe that the present counting system is robust enough for direct financial leveraging but that there is a case to be made for also recognising 'indirect financial leveraging', over and above the direct.

A good example of this indirect leveraging can be seen in the effects of the 'condominial' sewerage project in Kibera, Kenya. The WSUP team has counted the household investments made to connect to the sewerage line developed initially to serve communal toilets and latrine emptying points. However, it has not counted all of the government funded additional communal toilets which have subsequently been enabled by the presence of that sewerage development and that project's extensions of the sewerage to give an improved service. It has also not counted the finance leveraged through donors to other projects who are now constructing condominial sewers in other informal settlements in Nairobi. However, Nairobi City Water and Sewerage Company confirm that all such projects flowed from the visit supported by WSUP for NCWSC technical staff to visit Brasilia, the 'home' of condominial (community/reduced cost) sewerage. There they became convinced by the approaches and materials used and accepted this solution for use in Nairobi, both for the immediate WSUP supported project and for all subsequent sewerage projects in the informal settlements.

WSUP does not account for finance leveraged according to any distinction between water, sanitation or hygiene. Based on the scoring for access to improved services, which is approximately two thirds water to one third sanitation, if the same ratio is being achieved for finance leveraged we would judge that to be realistic at this stage of development.

Overall we believe that WSUP has been mobilising finance and making it more effective at a rate that is consistent with ensuring that it really is effective in improving services to people in very challenging situations. It appears that the US$220m objective has not been achieved but there has been a good leveraging across the main stakeholder components. Changes in investment

patterns that have been observed are directly relevant, have been as efficient as the critically necessary '*organic*' flexibility and innovativeness allows, have had a significant impact and are generally sustainable when delivered with the framework of a utility or delegated water management contract.

3.3.4.3 Efficiency

With regard to timing of investments and timely release of funds for investments, we recognise that the large investments with IFI support continue to take a long time to progress through the project cycle and that implementation capability when funds are eventually available for release is as limited as always. Again, it is to the credit of WSUP that they have been able to make so much progress in such a relatively short time in a sector which is inherently slow to absorb new developments.

Any levels of efficiency that can be surmised from the information available are heavily influenced by the amounts leveraged through international concessionary finance. We have therefore looked more closely at the US$123.5m claimed under that heading. This includes three very significant amounts, one from Ghana and two from Zambia, thus implying very different levels of efficiency in leveraging finance between those two countries and the other four, as in Table 8, above.

These three amounts include a US$30m claim for concessional financing leveraged in Accra, Ghana (not Kumasi as initially reported) and the US$86m for concessional finance for two projects in Zambia. It has not been possible to audit these numbers through country visits. Representing 94% of the concessional finance reportedly leveraged, which in itself represents over 80% of all the leveraged finance, these two country claims have been questioned through direct communication with WSUP London.

WSUP has a Memorandum of Understanding (MoU, not a contract as previously reported) to develop technical recommendations for the low income consumers component of the Greater Accra Metropolitan Area Sanitation and Water Project (GAMA). US$30m of the total US$150m budget has been allocated to improving services to low income consumers. The MoU with the *Ministry of Local Government and Rural Development* (MLGRD) clarifies WSUP's role in working alongside WB projects under different lines of funding to better focus the Bank's funding on effective delivery of sustainable water and/ or sanitation services for LICs. We accept the claim of this leveraging of finance.

In Zambia WSUP Advisory was subcontracted to design the €35m LIC component of a €160m project with Mulonga Water Company in Zambia to be financed by the European Investment Bank (EIB) and Agence Francaise de Developpement (AFD). WSUP Zambia team, it has been explained to us, have had a strong involvement in this sub-contract. Also in Zambia, WSUP has a signed MoU with the Millennium Challenge Corporation (MCC) in Zambia to assist in better targeting its US$350m infrastructure investment in Lusaka, to ensure impact for low income areas. The MoU was signed in 2014 and is valid for three years, so this work is ongoing. WSUP claimed US$35.5m in 2014 with respect to this involvement. This again would appear to be a good example of leveraging of finance, depending upon the specific role in 'working alongside.' WSUP advises that they have had direct influence on the MCC programme ... "*but it is so difficult to measure*".

3.3.4.3 Impact

In considering to what extent effective pro-poor targeting of low-income components within IFI investment projects provides examples for further replication and scale-up in other countries and contexts we find that the *'mechanical'* aspects of water and sanitation service delivery are very scalable but that the nature of the areas where very poor people develop their informal (/illegal) housing are so variable, that the capability of the *'organic'* approach of WSUP staff is critical and non-scalable. For example, the geological conditions in Kenyama, Lusaka require such different solutions (blasting for trenches and raised latrines due to regular flooding) than the social conditions in Mukuru, Nairobi (very high density compound 'dormitory' housing) to the institutional conditions in Mombasa (water vendor conflicts), etc.

It appears to us that the experience to date, and the types of financial leverage being achieved, indicate that specific financial models (over and above the basic model of a capital intensive networked utility being able to achieve economies of scale in delivery of low cost services to all) are not particularly scalable.

Investments tend to be challenged in their sustainability, particularly for sanitation, where the sector has assumed that there really ought to be self-financing profitable stand-alone circular economy sanitation solutions in low-income economies, with the poorest paying at full cost-reflective rates, when all our own now high-income country historical experience suggests otherwise.

3.3.4.5 Sustainability

In the context of concluding this section on leveraging financing it is perhaps helpful to consider the extent to which the present expectation for sustainable pro-poor services is at some level a distraction. This is because society has 'always' subsidised the rich to have networked water and sanitation, through taxes and now transfers in many countries, so it might be seen as illogical to require the poor suddenly to be cost-reflective consumers. It is a bit like requiring 'sustainable welfare payments'. The task is to enable public sector entities, society's chosen agents, to discharge their responsibilities to achieve public health protection for all. This has always required a mix of tariffs and taxes in high-income countries, only delivered as societies have allowed their wealth to be invested in incremental public health improvements rather than other desired societal benefits. Tariffs alone have rarely been sufficient in delivering potable water and environmentally acceptable wastewater disposal. Now that global society desires such improvements to be made ahead of any particular country's economic carrying capacity, it would be illogical to demand that pro-poor services should be funded purely by tariffs. This is even truer where the appropriate solution is through local private enterprise. Private entities requires full cost recovery, including a full cost of capital component ('profit') without any possibility of cross-subsidy within the city. A burden the higher-income households connected to the public system have never had to bear.

Nevertheless, it is clear that in the six countries under consideration additional finance is being mobilised and made more effective through the inputs of WSUP. Households, communities, the local private sector, the public sector and IFIs are being enabled to contribute additional finance to support better water and sanitation services for all.

3.4 Outcome Four

3.4.1 Objectives from Logframe

Outcome Four: • **Influence: Sector influence worldwide** • Learning and analysis documented and disseminated using a range of media, challenging the sector on urban water and sanitation service delivery and informing the design and delivery of large scale investment programme
ACTIVITY 4.1 – Research and Analysis
i) Identify, design and implement major research projects in four core areas: market-driven sanitation models, faecal sludge treatment technologies, progress linked finance approaches and impact evaluation and monitoring
ii) Produce high-quality analysis and lead sector debate on innovative and financially viable process and intervention models for pro-poor urban WASH using results from SO1 to validate models
ACTIVITY 4.2 – Documentation and Dissemination
i) Influence institutional decision-making and private-sector initiatives in the focus countries, through coordinated country-level strategies centred around a) targeted meetings and sector workshops with key stakeholders, and b) in-country documentation
ii) Document and disseminate programme experience through publications (Practice Notes, Topic Briefs (TPs) and Discussion Papers (DPs)) and wider communications strategies aimed at targeted audiences in-country and internationally
ACTIVITY 4.3 – Training
i) Develop MSc module with a sector leading academic organisation
ii) Partner with in-country learning institutions and roll out MSc module
iii) Develop short professional training course for service provider staff to be delivered at national/ regional/international level as appropriate

3.4.2 Outline of achievements (see Annex Ten for full details and analysis of outputs)

Output Indicator 4.1		Target (31st Dec 2015)
Number of research projects implemented, documented and disseminated	**Planned** (*cumulative total*)	6 (8)
	Achieved *(cumulative total)*	4 (6)
	Comments	others being finalised (complete by Mar 2016)

Output Indicator 4.2		Target (31st Dec 2015)
Number of WSUP publications produced and disseminated (Practice Notes - PNs; Topic Briefs - TBs)	**Planned** *(cumulative total)*	15 PNs & 6 TBs (23 PNs & 8 TBs)
	Achieved *(cumulative total)*	11 PNs, 9 TBs, 3 DPs, 3 Perspective Pieces (PPs), 2 Programming Guides (PGs)
	Comments	expects to publish seven additional publications before 31st March 2016
Output Indicator 4.3		**Target** (31st Dec 2015)
Number of people from low-income countries receiving professional/postgraduate training linked to the WSUP programme [gender-disaggregated: f - female/m - male]	**Planned** *(cumulative total)*	150: 75 f/75 m
	Achieved *(cumulative total)*	201. (Estimated to be 17 females but this is a guess from names where listed).
	Comments	Masters module rolled out in 5 WSUP countries with the 6th - Zambia cancelled so numbers down 15-20 or so. 2 Masterclasses ran in Uganda and Zambia
Outcome Indicator 4 Number of WSUP models documented, disseminated and informing the sector	**Planned** *(cumulative total)*	Target 15
	Achieved *(cumulative total)*	WSUP response awaited
	Comments	

Other key activities not included in logframe or without targets set

Conferences (international) – Target; none specified.
- 26 conferences in total, with 14 attended in 2015, a few in 2013 (exact numbers unknown).

Masterclasses – Target; none specified.
- Masterclasses have been run at Africa regional level in 2013 - 60 people (Uganda) and 2015 – 54 people (Zambia). (No gender breakdown).

3.4.3 High level summary of Achievement

The work undertaken under Output 4 seeks to document and disseminate learning and analysis in order to challenge the approach to working with urban LICs, both nationally and internationally, in order to make efforts more pro-poor. Under this work stream a series of knowledge products – research papers, publications, conference outputs, non-published papers from Masterclasses and a Masters module – have been produced (see Annex Ten for full details of what was undertaken). Much of the leadership and organisation for these activities and associated knowledge products came from the global level, specifically from the Evaluation, Research and Learning (ERL) team.

WSUP and WSP are really the only two organisations that have developed in depth knowledge products in this field, noting some contributions from SUWASA. Most of WSUP's specialised urban WASH knowledge for LICs has been produced in just over three years. WSUP has added as much to this body of knowledge to that produced by WSP over the course of its 25 years of existence. Therefore, WSUP has established itself convincingly and credibly as a knowledge leader within a brief time frame, which makes this effort all the more impressive.

Our understanding of WSUP's unique selling point (USP, see section 4) includes three characteristics that WSUP brings that relate to WSUP's work under Outcome 4;

- Really knowing how things work, i.e. deep craft as illustrated in its documentation.

- Showing financial feasibility of/for poorer customers, with much documentation in this area.

- Identifiable as a catalyst and innovator both in thinking and action, which is demonstrable in its knowledge products.

In addition to these knowledge products, key staff at the national and global level bring significant breadth and depth of expertise and so are the key actors who play a critical knowledge leadership role. It is by being a credible knowledge leader, underpinned by these knowledge products, that WSUP is able to lever influence. Beyond the specific DFID programme, WSUP Advisory supported by WSUP's Sanitation Advisor Georges Mikhael is working on a WSUP Advisory led programme in India, which provides an example of knowledge leadership. However, the influencing/knowledge leadership work of key individuals is not projectised and so is clearly a less tangible and measured part of WSUP's influencing work. It is highlighted as a critical, yet often invisible, aspect that must be supported by a strong institutional learning culture, a point explored more in section 4.

WSUP included three key questions in the ToR in relation to Outcome 4, which are addressed in the summary below and in more detail in the following section:

1. What has been the impact of dissemination activities conducted under this programme on external perceptions of WSUP's work? Are WSUP's current dissemination channels conducive to achieving WSUP's influencing objectives?

2. What evidence exists for the uptake of service delivery models implemented under this programme by other service providers and WASH-implementing organisations?

3. To what extent have the research projects commissioned under this programme contributed to country-level objectives?

Overall the collective knowledge products that WSUP have developed fill clear gaps in the knowledge market, adding considerably to what little documentation there has been by others. This has created a very positive perception of WSUP's work and it is considered that this will be highly influential. The broad range of dissemination channels adopted definitely support WSUP's influencing objectives. These could be enhanced going forward. There is definite evidence of uptake of service models, as described elsewhere in this report, though of course knowledge products are just one, though critical, part that supports this uptake.

Research – WSUP has undertaken a series of successful and valuable research projects with potential, but as yet unrealised longer term global impact. It is not clear if these will contribute particularly towards country level objectives, so will have more resonance in the countries in which they were conducted. WSUP intend to move towards a more nationally relevant, owned and run research agenda that relates more to it and other national sector actors going forward. It

is considered this shift will bring greater value and more immediate impact for WSUP's country level work.

Publications – WSUP has produced an impressive raft of publications which fill many gaps in the knowledge market and document their leading role in pro-poor urban WASH. These are synonymous with and support the WSUP knowledge leadership brand.

Conferences – WSUP has achieved a notable presence and stature at international conferences, drawing heavily from their publications. Going forward they can be more selective and potentially extend their reach, now being able to draw upon the recently completed research reports.

Masterclasses – The Masterclasses are highly effective and greatly valued delivering immediate and medium term learning and impact. While they are currently ad hoc, as they do not have an obvious pathway to a more sustainable learning environment, this can be developed, especially if WSUP sees these alongside the evolution of the Masters modules.

Masters modules – University accredited Masters modules are an ambitious initiative that are consistent with WSUP leadership and demonstrating ways of working. These are really about mid- to long-term learning and so require considerable money and time investment. They may lose out on opportunities for more immediate impact, and they will not be very effective unless used by the intended audience, (sector professionals) which was often not the case.

3.4.4   Key comment and analysis

3.4.4.1 Relevance

Activity 4.1 – Research

In broad terms, WSUP considers high quality research as key to bringing an evidence base to underpin their own work and in turn influence others. DFID has for some years placed the highest premium on research work to provide a robust evidence base and this is in line with global trends with ever increasing emphasis placed on strong evidence. The investments in research are clearly highly relevant in general terms, but specific terms it needs to be considered how relevant the chosen topics were. WSUP set up a consultative process[76], with inputs sought at a research planning workshop[77], and the final decisions taken internally by WSUP based upon their internal analysis. Then a newly formed Research Steering Group confirmed the overall relevance of these, based upon their knowledge. No literature review was carried out. The process of narrowing the research choice down needed to be quite rapid because of the lead time to undertake research.

As noted by Guy Norman[78], WSUP's research had approached some very specific questions, in order to generate clear findings. Asking questions like "*what are the most cost-effective urban sanitation investments?*" may have programmatic breadth and seem more relevant, but trying to answer very big questions risks leading to diluted research efforts of little strong value.

In considering the relevance of the areas of research undertaken there are a few key observations:

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[76] Interview Guy Norman.

[77] Urban WASH Research: Building the Evidence Base, 21 January 2013.

[78] Email Guy Norman, 28th January 2016.

a) WSUP balanced its own practitioner perspective with that of knowledgeable academic bodies in making a choice of topics that clearly have a very direct link with WSUP's core work.

b) Research projects chosen related to the following WASH sub sectors; 1- hygiene/ behaviour change (BC), 2- sanitation, and 3- water. Given the greater complexities associated with workable urban sanitation and BC approaches, it is considered very relevant to put such emphasis on sanitation and BC.

c) A global research agenda may not meet the specific needs of national service providers, as noted by Maputo water utility[79].

d) In the field of Urban WASH for LICs there is a very long research 'shopping list' to undertake. In future, there could be value in undertaking a more comprehensive review, perhaps with WB/WSP, rather than just with research institutions.

Activity 4.2 – Dissemination

Publications

WSUP has brought together an impressive and significant body of new publications and case studies. These were produced in a range of different publication types (short and long formats) with different purposes in mind. These added considerably to the body of knowledge for urban WASH for LICs. WSUP did not set out to establish what critical 'missing' sector knowledge needed to be documented and then finding out if their experience fitted this, rather they documented what they had learnt, which meant the process was more organic than planned[80]. None the less a stock-take of the publications (see Annex Ten) reveals the high number of publications that focus on finances, as well as a good number on sanitation, so WSUP has added real depth in these areas. These are clearly both highly relevant given the challenge of sanitation and to demonstrate WSUP's key belief that the poor are potentially viable consumers. Only WSP Global experience documented[81] has comparable detailed knowledge across the board.

The WSUP publications survey[82] quantifies organisation/users who downloaded docs. The urban guides were the most popular amongst downloaders, (perhaps because many in this group appeared, because of their organisation type, too often to be making general research enquires). However, the publications survey significantly underestimates the use of publications as it does not capture soft copy distribution amongst organisations after initial downloads and hard copy users (it is not possible to easily quantify this). WSUP Advisory, as a user of WSUP programme knowledge products felt that the publications of greatest potential value were papers related to financial aspects, as these in particular are shared with and cited by other organisations[83]. What would have been useful to produce in addition were internal 'how to' manuals[84] which would have been beneficial for WSUP project management as well as sector wide influence.

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[79] Interview with AdeM in Maputo.

[80] Interview Guy Norman 16th December 2015.

[81] WSP Global experience on expanding services for the urban poor.

[82] Publications survey full, January 2016.

[83] Interview Tim Hayward.

[84] Antonio Junior - WSUP water programme coordinator.

Conferences

Global conferences, a key accompaniment to WSUP's publication and research work, are clearly a way for WSUP to lever further pro-poor change, particularly at the analytical and to some extent policy level. At the start of the project period WSUP sought to attend and present at international conferences where suitable opportunities presented themselves. During the early period major conferences, for example Water, Engineering and Development Centre (WEDC), and some less significant conferences were attended with WSUP both presenting and chairing sessions. Once WSUP's knowledge momentum was built up, it was possible to attend more of the strategically significant events and regional sanitation conferences, as well as events focussed on key topics such as FSM. National conferences also play an important role, as noted in the Zambia report[85].

During these conferences it was notable that no less than 17 conference outputs were on sanitation, with one on water, five on WASH generally, three gender related, and one on behaviour change[86]. It is reassuring to see so much attention given to sanitation, though there is much more to be said on what is different about urban behaviour change. A closer review of conference outputs (other than the gender presentations given at SUWASA, MHM, Kings WASH week conferences) suggests that there could have been more opportunities to mainstream gender within some other presentations, e.g. by describing the different roles and experiences of girls and women, alongside boys and men.

Activity – 4.3 learning

Masterclasses

The overall value of peer learning and exchange visits is consistently identified in WSUP reports as key to support learning, expose participants to other ways of operating and encourage adoption of new approaches. Two regional Masterclasses were run in Africa in 2013 and 2015, both of which were very well attended with a very good selection of quite senior WASH sector representatives. The Masterclasses drilled down into a series of critical topics and really sought to unpack these and provided useful documentation to support learning[87]. These added real depth in key topic areas such as LIC – pro-poor units as highlighted by Tim Hayward[88]. The identification of Masterclasses and the choice of topics within these were clearly highly relevant to the needs of the participants and undoubtedly show real added value.

Masters module

WSUP's analysis was that there is a real lack of expertise and understanding about how to undertake WASH provision for LICs in urban areas so there was a real need to build professional and sector capacity over the medium and long term. This was a point strongly emphasised in Mozambique by WSUP's course delivery partner university there[89]. At the time of the development of these materials, no other taught material for urban WASH for LICs as a complete module existed. The development of the Masters module is entirely consistent with WSUP taking leadership and bringing innovation to develop demonstration models, in this case for learning, and the initiative potentially added significant value by filling an obvious gap in structured

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[85] WSUP Zambia APR 2014.

[86] See Annex Ten for listing of all conferences attended.

[87] WSUP-Masterclass-2013-fuller-report-GN-Dec2013, and a series of documents from the 2015 Masterclass.

[88] Key informant interview Tim Hayward, WSUP Advisory.

[89] Key informant interview Nelson Matsinhe - Universidade Eduardo Mondlane, Maputo.

learning. It also had the potential added benefit of bringing together all WSUP's knowledge across the spectrum of its work, placing it into a coherent whole, in a way which the urban programming guide really only started to do. The modality of delivery was envisaged to be development of an accredited module, which would then be run through partner university establishments in all of WSUP's country programmes. This would bring the topic to the heart of developing countries, which is considered very appropriate.

3.4.4.2 Effectiveness

Activity 4.1- research

In considering whether the research projects were effective, this evaluation looked initially to WSUP's own appraisal of the value of this work[90] which considered the likely value-of-findings to be excellent for three research projects, good for one and adequate for one. A review of the outputs shows that broadly speaking three of these (behaviour change, scaling up sanitation, environment) have produced a thoroughly researched evidence base which provides detailed and convincing knowledge in these areas.

The Bangladesh BC project is a valuable enquiry that examines whether key messaging can effect hygiene behaviour. It also demonstrates the very well established principle that facilities also need to be in place (the so called enabling environment) to support messaging. This is useful to 'prove', even though it might be considered self-apparent to those with sector familiarity. However, though the research methodology takes account of gender it is surprising that the results of the randomised controlled trial (RCT) are gender neutral and do not distinguish between the experience of women/girls and men/boys. The Leeds environment study more precisely quantifies the impact of providing a higher level of water service to LICs on city wide water resources, and demonstrates that the overall resource impact is not significant. It appears to have effectively achieved what it set out to do and might well prove to be a very convincing piece of research. The scale study Triggering Increased City-Level Public Finance for Pro-Poor Sanitation Improvements conducted by the Urban institute seems particularly interesting as it really drills down to unpick how change in sanitation investment might occur. In this sense it particularly useful as its application goes beyond the specifics of the locations (Ghana/Kenya/ Mozambique) it was conducted in, and offers an analysis of more generic patterns, something that could be built upon for a context analysis tool (see section 4). The Cranfield study was very focussed seeking to unlock a particular problem and assist the Ghana Clean Team in its work. Though not a big investment, it appears rather inconclusive, though it still needs to be finalised. The initiative was particularly complex and faced a number of difficulties,[91] including import of equipment to Ghana, and these complications have really impeded the effectiveness of this particular piece of work. As noted elsewhere in the report, the FSM management is a particularly tricky piece of the puzzle that is very important to 'crack'. However, a research modality may not be the most effective way to undertake technology development. This is a point made to DFID in the research report[92]; "*This research also highlights the daunting logistical challenges of technology testing in distant locations, and WSUP will not get lightly involved in such testing in future*".

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[90] Research-for-DFID-AnnualReportJan16-GN-26Jan2016.docx

[91] As explained by Richard Franceys.

[92] Research-for-DFID-AnnualReportJan16-GN-26Jan2016.docx

Activity 4.2 – Dissemination

Publications

WSUP has chosen a variety of publication formats, with two originally envisaged and now expanded into five format types. These short form (Topic Briefs, Practice Notes) technical WASH briefs are widely used by WHO, WEDC, and Oxfam, so are considered to be a useful way to provide this sort of very practical information. The publication survey[93] showed that the longer form urban programmes guide was the most downloaded publications, notably the Practice Note on faecal sludge management, a known gap area was the most popular Practice Note. There was also a lot of interest in the Ghana Clean Team.

WSUP has produced a significant number of publications that include a lot of data and analysis of financial aspects of WASH for LICs, which is much needed and very powerful. Some earlier APRs[94] raise the issue of needing convincing data to show utilities that LICs can pay in Bangladesh. The need for better understanding about life cycle costs was highlighted for Mozambique. This shows that the 14 publications which focussed on financial aspects[95] are very much needed, though no doubt there is more to be done to satisfy the needs of a variety of stakeholders. While there are a few publications that bring out gender or focus on girl's/women's issues, gender as a cross cutting theme is not so evident throughout other publications. It is recognised that some are too short and by their nature gender is not relevant, but others are rather quiet on gender when more could be said. Overall, as noted by WSP/WB, these publications definitely help put WSUP on the map and have influence[96].

Using downloads as proxy for effectiveness we can see that bigger publications are most downloaded, but as noted above, this does not capture hard and soft copy distribution. The use of the shorter formats does allow a live, dynamic, process of contribution, encouraging individual country ownership, allowing these countries to circulate within their constituents. It is evident that the teams in Mozambique, Kenya and Madagascar have been much more prominent in getting their experience set down[97], something that is not unnoticed by WSUP in its annual reviews. However, all countries have contributed, so it has been a highly effective way of drawing out WSUP's experience across the board.

French and to a lesser extent Portuguese translations are limited. An overwhelming amount of publication downloads were in English: 4,791, with 153 French and 50 Portuguese downloads. This may not tell us much about the effectiveness of language translations, as it seems likely that hard copy language translations of WSUP experience (not included in the survey) are the format that would be preferred to most national mid- and senior level sector staff. The WSUP Annual Progress Review Mozambique 2014 raised the question of the need for further translations.

Conferences

The review of conference material/outputs[98] shows that WSUP has established a very effective presence at these events. Overall WSUP have taken on a strong leadership role in the conference circuit, playing facilitation roles, as well as presenting/co-presenting, sometimes with

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[93] WSUP Publications Survey May 2014 – October 2015.

[94] WSUP Bangladesh APR 2013, Mozambique.

[95] See Annex Ten for breakdown in topics.

[96] Key informant interview Peter Hawkins WB Mozambique.

[97] See analysis in Annex Ten.

[98] Files on conferences attended showing presentations and associated papers.

the production of associated papers. Leadership of presentations has been by WSUP's ERL team, meaning they have become the global knowledge holders/owners. This is considered as highly effective as it ties in well with the overall learning and research agenda led by this team. It also enables an overview, drawing on all country experience to be weaved together. In conclusion WSUP have occupied a high profile learning space at global WASH conferences and this has contributed to their international profile and brand.

Activity – 4.3 learning

Masterclasses

Masterclasses and learning exchange visits are considered to be highly effective as these are very good means by which peer learning and exchange occurs. As noted by WSUP's African Cities for the Future report[99] peer learning is a very powerful way of spreading learning and successes, as well as helping develop pro-poor champions. Masterclasses and Bilateral Learning exchange visits, were described by Tim Hayward of WSUP Advisory as "*brilliant*"[100]. AdeM (Maputo city network water supplier) staff cited the visit to Manila as being very influential, as did Ghana staff[101]. Kenya and Bangladesh staff requested further exchange programmes[102]. Much of the driver behind the regional sanitation conferences (SACoSan, AfricaSan, etc.) is bringing South to South actors together to learn and to some extent compete to be better. The Masterclasses very much embrace this spirit so are considered highly effective.

It is suggested that Masterclasses are particularly useful for mid-level sector professionals who attended these events to effect short and medium term changes. However, it needs to be appreciated that part of the success of these is that WSUP also has long term relationships with key utility staff, so the ability to 'go deep' is much enhanced by the trust and relationships built up. WSUP plays more than a convening role, it is a trusted partner that is allowed to set the tone and determine content. Thus Masterclass preparation has been led by WSUP in-house experience, and proved to be a wonderful pro-poor learning platform with a captive audience and has allowed for cross fertilisation of ideas. For example, one theme discussed was organisational structures within utilities for extending services to low-income communities.

Masterclasses were not evaluated, though feedback from the Zambia Masterclass was reported as overwhelmingly positive. The 2015 Zambia class listed key commitments and learning, which is considered as good proxy for effectiveness. Participants often cited that "*opportunities to learn from the experiences of other institutions in the sector are extremely rare*", such opportunities provide welcome inspiration and a chance to reflect on what might be possible in their own city. As noted in their 2015 report; "*Following on from the success of the first Masterclass in Kampala in December 2013, WSUP believes the event provides a valuable forum for knowledge exchange among WSUP partner institutions*"[103].

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[99] African Cities for the Future Water & Sanitation for the Urban Poor October 2014 Final Report | October 2009 to September 2014.

[100] Key informant interview Tim Hayward, WSUP Advisory.

[101] WSUP Ghana APR 2013.

[102] WSUP Kenya APR 2013, WSUP Bangladesh APR 2013.

[103] WSUP six monthly report, July 2015.

Masters module

The key driver for the Masters module was to build sector capacity for work on WASH for LICs in urban areas, which is very much a medium- to long-term goal if targeted at recent graduates. Brian Reed (WEDC) commented that WSUP also took on an employment centred approach to the course, in as much as they wanted more knowledgeable WASH LIC personnel in the employment pool.

WSUP planned to have material developed by a global expert establishment, with delivery by national university partners and accreditation for the modules, a worthy ambition in order to bring added, lasting value and credibility. Thus the development of the module was contracted out to WEDC and the brief included a Mozambique country scoping visit. WEDC recognised and highlighted to WSUP some of the complexities of embarking upon development of Masters modules to WSUP[104]. It highlighted the challenge of 'docking' with in-country Masters courses, for example that this would not easily fit pre-existing courses, potentially limited capacity of university staff to deliver and weak student ability/grounding in basic principles from their first degree, much of which proved to hold true. Though WEDC highlighted this in general terms, there is no evidence that they conducted a clear feasibility assessment, so some of these problems were not that well stated and had to be addressed subsequently.

As a consequence of the national university limitations, the original materials developed by WEDC for Mozambique were very generic in nature, and pitched at a lower level to meet the capability of partner university lecturers and students. However, it is also noted that WEDCs does not have any real urban LIC WASH experience[105], so was not in a position to produce a higher-level module that would have added value. Even more disappointingly WEDC failed to include much of WSUP's very good experience in the first draft of material. WSUP addressed this by bringing in Richard Franceys who presented his own materials in order to run the prototype in Mozambique, which enabled WEDC to take these and finalise a much improved package. While final outputs were of good quality, this point is highlighted as it illustrates the extent to which urban LIC knowledge still remains a niche that most organisations are unfamiliar with, so effectiveness is dependent upon real expertise.

There was some variation in the length of the module (from between 5-8 full time equivalent days) though delivery for all courses included core materials and one field visit. The only delivery which has been formally accredited within an existing Masters programme is the Mozambique delivery. However, as noted by Guy Norman "*working with the slow moving bureaucracies of universities precluded the ambition of accreditation elsewhere if roll out targets were to be met, so this is something that will have to be left for future programmes*"[106]. Partnering with southern universities is complex as WSUP want to allow flexibility and encourage local ownership, but this will not contribute to WSUP's wider goals if local lecturers deviate significantly from the core materials.

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[104] Key informant interview with Brian Reed who undertook the visit.

[105] Views of both Richard Franceys when he re wrote materials for Mozambique delivery and Richard Luff when looking at the suitability for adaption for another purpose.

[106] Guy Norman.

In terms of course effectiveness the course evaluations[107] and interviews with Reed and Matsinhe[108] highlighted that the course was indeed considered effective. However, the biggest factor that compromised the overall effectiveness was the fact that participants were often not, in fact, recent graduates, for which a taught module is considered more appropriate. Instead many participants appeared to be mid-level sector personnel, as confirmed by Mozambique University partner Nelson Matsinhe. This also appeared to be the case for participants in Bangladesh, Kenya and Madagascar. WSUP reported that the approach was modified in light of this experience to move towards a non-accredited roll-out of the courses targeting sector professionals[109]. Another significant limitation in the Masters module was that there were not enough country specific materials, delivery in Kenya being the case cited by Bill Peacock[110]. Finally, the course itself would benefit from sitting within a framework that also considers in greater depth context factors such as planning and urban social mobilisation, a point highlighted by Nelson Matsinhe.

While the medium and long term vision of WSUP for courses embedded in Southern universities is laudable, it is considered too ambitious. Feedback from WEDC, from the partner in Mozambique and the fact that the course was cancelled in Zambia, demonstrate the complexities of trying to situate this learning material within national university systems. It should still be noted that there is definitely appetite in some countries to retain the idea of the university run and accredited Masters module. For example Chittagong University would like to run the module as part of a Masters course[111] and the WSUP CPM Carla Costa was extremely positive about the initiative.

In conclusion, it would have been more effective for WSUP to have aimed for short/medium term sector enhancement by running stand-alone short courses which would have been more adaptive to participants learning needs, included more WSUP and national sector experience and allowed more exchange. This was very much the approach recommended by Nelson Matsinhe. WSUP could then sought to have these subsequently situated within university courses at a later date, if opportunities arose.

3.4.4.3 Efficiency

Activity 4.1 – Research

Broadly speaking, WSUP thinks research generally offers value for money. It has provisional plans[112] to have a £3 million research portfolio over four years, so approximately a five-fold increase in expenditure. The DFID conducted WSUP Annual Review 2014 concluded that overall the "r*esearch programme continues to deliver good value for money*".

In considering efficiency, it is important to reflect upon what sort of influencing WSUP seeks to achieve: is it at the global and/or national level, to influence on issues that WSUP identifies, or what urban policy makers and service providers want. High level, methodological robust, in depth research with randomised controlled trails (RCTs) is costly. However, in order to have global

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[107] Master modules course evaluations from Mozambique, Kenya, Madagascar and Ghana.

[108] Nelson Matsinhe – Universidade Eduardo Mondlane, Maputo.

[109] Regine Skarubowiz.

[110] Interview Bill Peacock 16th December 2016.

[111] Key informant interview Abdus Shaheen, WSUP CPM Bangladesh.

[112] Minutes of WSUP Research Strategy Meeting, 19th August 2015.

recognition and fit a global influencing agenda, it needs this level of investment. However, if a national level influencing agenda is pursued, the cost would be less and would likely resonate more with national organisations. It would also provide a sector rallying point for a variety of sector actors and give rise to more national ownership. A national research body partnering with globally recognised institutions could be more efficient way of delivering robust, credible evidence, whilst better meeting national needs and ownership, something which WSUP is considering going forward.

At the service provider level, a more action orientated research approach is likely to meet the direct needs of such stakeholders. Some of the research topics could be pursued using in depth survey techniques and mobile phone surveys and might offer viable alternatives that would provide enough data to be influential. At the WSUP research event on 4 February 2016, it was observed that maintaining the gold standard of RCT may need to yield in the face of alternatives, for example surveys using mobile phone apps.

Activity 4.2 – Dissemination

Publications

The budget was around £60,000, which enabled publication of 20 short form publications and eight long form publications. An indicative cost per publication type was as follows.

Table 9 – Indicative costs per publication type

Type of publication	Short form (PN, PP)	Long Form (TB, DP)	Programme Guide
Indicative average cost per publication (not including in-house labour costs)	£52	£2,867	£9,750

Conferences

These are considered a key accompanying activity to the research agenda and publications. Costs for conferences were not available. Outputs for conferences included a range of posters, PowerPoints, papers or sometimes chairing sessions.

Activity – 4.3 Learning

Masterclasses

WSUP estimates that the total cost was in the order of £60,000[113] for the 2015 Masterclass (no costs were provided for 2013 though these are likely to be similar). Costs arise from paying for flights and hotels of the participants (these are regional events) and the venue hire. Expenditure amounts to a cost of about £280/per day, which is roughly speaking equivalent to costs for an advanced training course, and is considered reasonable value for money. As noted above these classes are hugely effective in invoking a change in attitude and open eyes to new ways of running utilities to be more pro-poor, so are – in terms of exposure and learning – considered to be excellent value for money.

Masters module

A £50,000 contract was agreed with WEDC to develop the Masters training materials (which was paid for by both the Australian Department of Foreign Affairs and Trade (DFAT, formerly AusAid) and DFID). Figures provided by WSUP indicate that the running cost for five courses has been

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[113] Email Sam Drabble 5th January 2016.

£38,500 to deliver 39 full time equivalent days (some days were part time) of training in five countries. This means the cost (excluding WEDC costs) per person/day varies between £14 and £90, depending upon which country the course was delivered in[114]. The figures for Mozambique in particular were very high, as additional contracts were made to bring in additional external specialist lecturing support, which was considered necessary in light of the weaknesses of the original materials prepared by WEDC. In total close to £90,000 was spent to deliver material for 87 students, about £1,000 each, or about £180/person/day.

As noted above the absence of pre-existing taught materials meant there was no real choice other than to commission their development. However, WEDC did not have the experience to deliver materials of the right quality. Given the very limited pool of expertise, an in-house contract would have delivered much better value for money as it could have directly drawn in WSUP's own experience. Contracting Southern universities to deliver was potentially cost effective and helped with ownership and sustainability. However, in reality all deliveries to date, except Bangladesh have involved a WEDC lecturer in module planning and actual delivery (which was not possible in Bangladesh because of a security threat at that time)[115]. It shows that assumptions about national capacity to deliver being adequate did not hold (as highlighted by WEDC), meaning that additional costs were incurred to run the modules.

Alternatives to delivery of university accredited short modules could have been considered. A short course format, unaccredited and run on an ad hoc basis, would certainly have been easier and more cost effective to run in the short/medium term. This could have been conceived of as a demonstration model that others could later have built upon, much like WSUP's work under Outcome 1. However, ad hoc training initiatives offered by a series of organisations over many years, will prove to be very expensive and not at all sustainable. The case of National Water and Sewerage Corporation (NWSC) in Uganda, which invested heavily in 90s and 2000s and at great expense, was cited as an example of the limitations of a piece meal approach[116].

A distance learning approach might have provided an interesting alternative. WEDC estimates that distance learning costs three times as much to develop compared to a conventional face to face training, but this of course neglects to account for the savings on accommodation, subsistence and flight/travel costs. The above figures seem to suggest distance learning could break even after running for three years.

3.4.4.4 Impact

Activity 4.1 – Research

Five of the research reports have just been finalised. WSUP have outlined a dissemination plan that is contained in its research dissemination timetable. It is intended that results will be published in peer-reviewed journals[117]. As noted, WSUP is believed to be seen as impartial and independent, so undoubtedly independent rigorous research will reinforce this perception of legitimacy and in so doing WSUP's impact. However, it is clearly too early to predict the impact.

Member of the panel at the WSUP research event on 4 February gave a strong endorsement of the research areas and the research findings. There also was, though, acknowledgment that it

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[114] Details in Annex Ten.

[115] Key informant interview Guy Norman.

[116] Key informant interview Brian Reed.

[117] Email from Guy Norman/Sam Drabble 15th January 2016.

was not really known how policy makers and service providers are influenced at the national level. As these research projects sought to address issues identified by WSUP and undertaken by global research bodies, it is considered they will not have immediate impact at the national level or on the national policy environment. Therefore 'global' research should be considered to be a long term game changer, rather than delivering more immediate change. The value and impact of such research projects is likely to be more significant for the likes of DFID, the WB, etc. However, there is no clear evidence one way or another to say what impact these particular projects will have at the global level, so it would be a useful for WSUP to hear from DFID in order to understand their views and how they will use this research work to shape their own policy.

Some further evidence on perceived potential impact can be gleaned from sources that point to next steps for any future WSUP research programme as these show where WSUP feels changes are necessary. WSUP organised an event with the Bill and Melinda Gates Foundation at the University of North Caroline (UNC) 2015 about urban WASH research going forward[118] (this document was not available for review). WSUP's research steering group[119] recommended that "*WSUP needs to carefully analyse from the outset how to leverage WSUP's position in the sector to engage relevant practitioners and policymakers with the research*". The steering group further noted some over-arching questions of broad interest to the sector should be identified and any future research programme should retain a focus on creating new knowledge and new tools, and utilising these tools in the field to make full use of WSUP's position 'on the cutting edge'. Guy Norman[120] suggested that, going forward, research should be nationally led and focussing on national issues. What emerges is that in future WSUP wishes to work in way that has more impact at the national level, is more directly relevant to national policy makers and service providers and is more closely aligned with WSUP's own work.

Activity 4.2 – Dissemination

Publications

These are considered to be high impact from a visibility and branding perspective as they are an easy way to promote WSUP's knowledge and brand. It is considered that the publications, a very identifiable WSUP knowledge product, are a critical part of a package that contributes to shifting service provision to be more pro-poor. The variety and nature of formats, which often document cutting edge knowledge, are considered to likely be influential in a market with relatively little Urban WASH LIC documentation. However, in interviews and email exchange with WSP/WB, UNICEF and WaterAid, no one was able to comment in a very definitive or insightful way about the impact of such publications.

It is considered, none the less, that the organisations that access publications will likely be where WSUP will have impact. The WSUP publication survey (which as noted above only captures some of the users) shows organisations with the highest number of individual downloaders (excluding WSUP London and its country offices) were WaterAid, UNICEF (mostly UNICEF UK), and World Vision. Other notable users were UN Habitat (5 publications), WSP (8), WB (14). 18% of downloads were in the UK and 26% from Africa, and there was a high number of downloads in India 8%, perhaps because WSUP Advisory is undertaking work there and WSUP programme

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[118] http://www.wsup.com/2015/10/28/research-for-urban-sanitation-where-next/

[119] WSUP-Research Steering Group – Meeting 4-23 January 2015 minutes.

[120] Interview Guy Norman 16th December 2015.

used to work in Bangalore. Unsurprisingly usage and potential impact is likely to be strongest where WSUP has a presence.

Conferences

The question of whether conferences, specifically the regional sanitation conferences, are effective and what sort of impact these might have has been considered by a Water Supply and Sanitation Collaborative Council (WSSCC) review of the regional sanitation conferences, led by Piers Cross (this does not appear to be available for public review, but this might be useful to obtain). However, there is no doubt that at the international level WSUP is making a significant contribution to sector knowledge on urban WASH solutions at sector conferences, "using events such as Africa Water Week, the African Water Association Conference and Stockholm Water Week as a means of dissemination of their research and their learnings from their programmes"[121]. DFID reinforced this point in an interview that WSUP has a strong presence and influence in conferences[122]. Going forward, now that WSUP is established at the global conference level and has a good body of documentation, research and evidence behind it, WSUP could probably be more selective in which conferences they attend to maximise their potential impact.

Activity – 4.3 Learning

Masterclasses

Of all the knowledge products that were mentioned verbally, the Masterclasses, internal learning forums and exchange visits were most often cited as being of greatest value. For example, during the Mozambique visit, staff of the water utility AdeM cited the visit to Manila water in the Philippines as being very powerful, as it allowed them to see what could be achieved and to bring practice back to Mozambique and adapt it to the country context. It is considered that these seem likely to deliver most immediate impact, specifically within those institutions that sent participants to attend. The 2015 Masterclass lists commitments that participants would take back into their workplace. The extent they can do so depends upon a number of factors, but the sorts of commitments made might suggest quite an attitude and culture shift for some participants. However, there is no follow up survey to verify the potential impact of this and there is no direct way to measure impact.

Masters module

The investment in development and running of the Masters module courses is really pitched at recent graduates, so its impact is likely to be mid- to long-term, i.e. 10-20 years. Brian Reed (WEDC) highlighted that this is a big job, beyond the remit of any one organisation and requires a more collaborative approach. As noted, above these will not deliver real impact if they are attended by mid-level professionals who actually need a more tailored experience exchange. Thus, given the materials are designed for an audience that typically did, in fact, not attend, these will, to some extent have missed the target. In summary, it is suggested that developing and running a Masters module is a worthy but rather protracted route to achieve impact. A stand-alone course would have short and/or medium term impact, as well as potential for longer term impact too, if available to be run as part of a university course at a later date.

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[121] DFID annual review for WSUP 2014.

[122] Key stakeholder interview Jane Crowder.

3.4.4.5 Sustainability

Activity 4.1 – Research

WSUP appears to be moving towards a national level applied research agenda. The prospects for national ownership and contribution would appear to be much better. Though the ability for Southern university partners to fund comprehensive research appears very limited, but local partnerships and less rigorous and expensive research may hold the key to a more sustainable research agenda being developed.

Activity 4.2 – Dissemination

Publication

The bulk of the work with associated costs has been undertaken, and a significant range of knowledge products now exist. While updating and new publications will be required, the existing publications are available and can be easily adapted and used in other formats in future, without too much additional investment.

Conferences

Grant support is currently required to allow WSUP to attend further conferences. However, it may be that now WSUP is established on the conference agenda, it can be more selective and strategic about which conferences it attends.

Activity – 4.3 learning

Masterclasses

While there is a significant price tag associated with these events, these will continue to need high/full subsidy until such time when utilities and policy makers have access to budgets to attend these events and/or the pro-poor business is of a scale to make it justifiable. If WSUP can devote further attention to the Masterclasses as a very important learning/influencing opportunity, then new opportunities to build on the concept could be developed. An example might be to move to a more conference-like format, with WSUP holding limited bursaries, with the majority of participants expected to be self-funding.

Masters module

WSUP have embarked on a learning initiative, initially choosing to develop and run a module of taught material that could sit within a Masters course. The engagement with universities is very much a medium and long term approach, and has an eye on sustainability in the long term. The business model for running courses did not appear to be well developed, a point made by the Mozambique counterpart[123], who felt that significant subsidies will be required. Upfront costs for initial material development have been undertaken, though the materials will need further work in-country to tailor and then there are additional costs for facilities and venue hire and payment for specialist lecturers' time. Therefore this initiative is better placed to deliver sustainable learning programmes but is contingent upon sufficient inputs being made available, which requires a very long term approach.

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[123] Nelson Matsinhe - Universidade Eduardo Mondlane, Maputo.

4. Overall Assessment and Conclusions

4.1 Relevance

Overall our conclusion is that the WSUP Programme and approach is highly relevant to enabling poor people living in urban areas to be able to access clean water and appropriate sanitation through the appropriate national entities. The four Outcome areas work together in a synergistic way. Specifically we would highlight the approach of working with utilities and poor communities to develop approaches to water and sanitation provision that engage the two groups in a shared search for appropriate solutions. This work is then supported by a mix of research, training and capacity building that supports the development of capacity as well as sharing of ideas and knowledge. The financing work contributes to and is supported by work on the other Outcomes.

4.1.1 WSUP's Unique Selling Point (USP)

Carrying out an analysis of WSUP reports and documentation, and undertaking interviews with key stakeholders, along with the two country visits, provided an opportunity to really get 'inside' WSUP and hear about the combination of key characteristics that add up to what we perceive is a winning combination of WSUP's Unique Selling Point (USP). In the 2009 evaluation by Alison Barrett[124], she considers whether WSUP is unique and concludes this is not material[125].

However, we suggest that understanding the combination of characteristics, whether unique or not, is critical to understand how WSUP can do what it does. In so doing it helps understand what WSUP must continue to keep doing, and to what extent other organisations can – or cannot – replicate and take WSUP's work to greater scale. For example, WSUP Advisory was developed in part to provide greater leverage and replication. Though of course they do not combine all the characteristics of the WSUP programme, the question arises to what extent they can lever change with just some of these characteristics to hand.
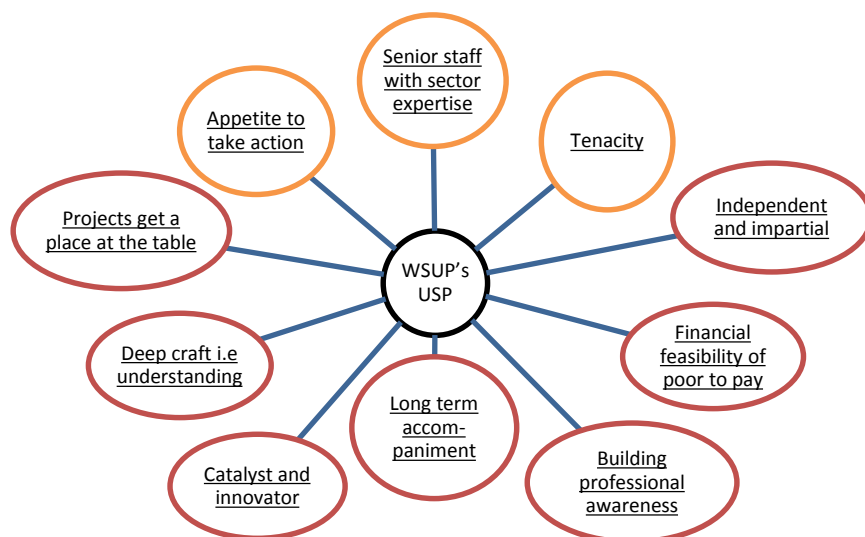

Figure 4 – WSUP's key characteristics

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[124] Review of the DFID-funded Water and Sanitation for the Urban Poor WSUP. Final Report. December 2009. Report Prepared by: Alison Barrett for The TI-UP Resource Centre.

[125] Alison Barrett. 2009. Review of the DFID-funded Water and Sanitation for the Urban Poor WSUP Final Report.

The diagram depicts ten key characteristics we see working together to bring about the change that WSUP has been so successful at. As WSUP fully understands, it is the combination of these, undertaken evidently in different ways, primarily under Outcomes 1, 2 and 4, that leads to changes under Outcome 3. These then feedback either directly into WSUP work under its different Outcome areas, or spiral out to new areas and locations through the work of other agencies and organisations.

One aspect that should be highlighted is that WSUP is not a rights-based organisation, in the way in which many INGOs work as 'Rights-based organisations'. WSUP does not put its main focus on lobbying and advocacy. Instead, it works to support service providers to fulfil their critical pro-poor function in as viable a manner as possible. In this respect WSUP does not confront 'duty bearers' with their obligations, rather it works with them through demonstration, capacity building and long-term support. We observed this in the context of WSUP necessarily working with 'fragile' utilities to enable a far more conducive way of working and mutual respect. None the less, advocacy on rights and holding service providers to account are important tools which WSUP should take account of. We suggest WSUP should do this more consciously, but not by doing this directly, but rather working indirectly with others who do, thereby keeping this work at some distance and so as not to undermine trust and working relationships.

WSUP have developed a new Theory of Change for the next planning period going forward. The diagram of key characteristics is really another lens through which to examine how WSUP is able to achieve its wider influence. In this respect it would be valuable to test these ideas to understand to what extent they are substantially right. The Ghana programme prioritises influencing over and above demonstration in a way other country programmes do not consider[126]. The work on the sanitation tariff in Mozambique[127] is another prime example of good influence (though the tariff is yet to be realised). Given these have been cited as particularly strong examples, it would be useful to examine these cases in greater detail. There is a wider question to consider by asking how WSUP's work is influencing DFID and others. Finally, while we believe WSUP has become a market leader, combining characteristics in a powerful and perhaps unique way, it might be considered to what extent others are catching up, or indeed falling away, and if this this matters.

In conclusion WSUP's Unique Selling Point (USP) can best be described as follows:

> *WSUPS's USP is to enable low-income country stakeholders[128] to engage with and deliver services to the poor and fulfil their (not always initially understood) pro-poor mandate*

4.2 Effectiveness

4.2.1 Imbalances/system bias

WSUP works in an environment with a number of systemic biases, as depicted in the diagram below. The system default is towards networked systems, poor people who have some money to pay, water and men. It is evident that WSUP is able to work on the areas of lesser priority: this is considered very positive and must be maintained. In broad terms, WSUP manages well to give

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[126] WSUP Ghana APR 2014 and email clarification Sam Drabble 19/02/2016.

[127] WSUP Mozambique APR 2014.

[128] This wording has been used rather than utilities to include other key actors such as municipalities.

particular attention to women and to sanitation[129] and balances networked/non-networked systems – it should continue to do so going forward[130].

In order to lever bigger system change and confront under-investment in sanitation as a whole, WSUP needs to build some key strategic relationships with key stakeholders such as the WB, UNICEF[131] and WaterAid in order to lever more support for the sanitation agenda.
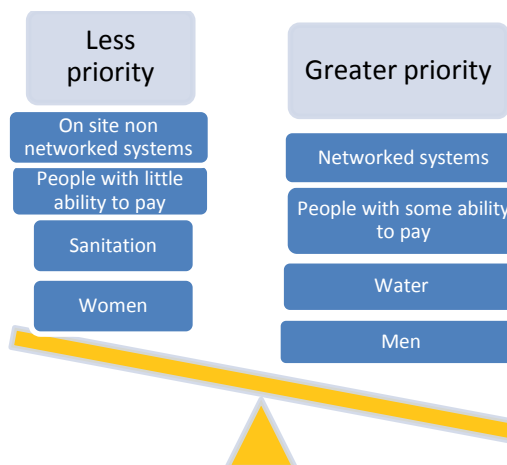
Figure 5 – System bias (imbalances)

4.2.2 Addressing inclusion effectively

The WSUP programme works hard to address issues of access and inclusion for people with disabilities. This is clear from the guidance in the Urban Programming Guide that responded to challenges in approaches in the field. Given WSUP's clear focus on the importance of enabling access for people with disabilities as well as other people with increased needs (such as the elderly or frail) it is important for WSUP to provide a consistent and clear approach to inclusive access. That enables WSUP programme staff and communities to demand and develop inclusive approaches that benefit those with special access needs whilst not compromising the legitimate needs of other users. While recognising the value of Guidance documents, such as the Urban Programming Guide, there is the inevitable challenge of whether people will always consult and refer to such documents (especially when they are large documents/guides). There is also the inevitable challenge of such guidance getting out of date. In order for WSUP to maintain and build on its position of working at the 'cutting edge', we would want to propose that it should look to developing a system of key personnel across the organisation who can act as the 'go to' people for advice and support on each of the main concept areas of WSUP's work.

4.2.3 Strategic learning

Learning/knowledge management is a key part of how WSUP can lever change, through its credibility as an expert, knowing how things really work, being able to innovate and catalyse

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[129] During interview with Jane Crowder, DFID, it was stated that sanitation is the DFID priority going forward to support the urban agenda.

[130] During interview with Jane Crowder, DFID, it was stated that sanitation is the DFID priority going forward to support the urban agenda.

[131] Interview Mark Henderson, former UNICEF Mozambique WASH chief. WSUP Bangladesh APR 2014.

change, etc. Given this is so essential, we believe, while we recognise that WSUP undertakes strategic learning at all levels, WSUP should be much more strategic in its learning. Learning could be supported with better planning, resources and with the addition of some complementary new initiatives.

- There are examples of learning between countries, e.g. the Mozambique Community-led Total Sanitation programme coming from Madagascar[132]. However, this could be enhanced, e.g. by information sharing between countries, which sets experiences down side by side to invite comparison, for example through regular learning webinars.

- We recognise and applaud the work that WSUP has done to develop guidance notes and publications, particularly the development of the Urban Programming Guide and the Urban Water Supply Guide. However, there is still an absence of sufficient guidelines and 'how to' manuals/guidelines in country offices. This is a point that Manuel Alvarinho of the regulator CRA in Mozambique made[133]. "*We emphasise that there is still a need for simple manuals, simple guidelines, to allow us to select the most appropriate models for a given town or city district*". WSUP is a small organisation with some of its knowledge disbursed, but there are compelling reasons to consolidate this in the form of manuals to: a) ensure consistency of approach within team and over time, b) build overall sector capacity, c) share with other country offices, d) allow WSUP management to have effective oversight, e) address a clear demand from external stakeholders. However, it was noted that there is a lack of writing skills and influencing skills in the teams,[134] so WSUP needs to think through how this could best be undertaken.

- At present Practice Notes tend to be rather static – once written they stay in the 'file'. WSUP needs to consider how they can be updated and developed.

4.2.4 Advocacy

WSUP business is about working with and influencing WASH sector professionals and organisations. There are two schools of thought[135] around who is best placed to undertake influence and advocacy work;

a) Sector professionals with expertise, or

b) Staff recruited for and dedicated that can lobby and advocate.

We are of the view that given that WSUP's work is primarily about capacitating service providers from the inside rather than holding duty bearers to account, it is considered that professional advocates are very unlikely to have credibility with senior sector personnel, cannot bring in depth sector knowledge and will not secure a place at the WASH negotiating table. We also note that WaterAid's advocacy work is targeted at a higher or non-sector specific level, so working with generalists. In this sense it may be that WSUP also needs dedicated WASH advocates at the global level, but not based at the country level.

The influencing work that the CPMs and others do in relation to Outcomes 2 and 3 is critical and forms part of their ongoing work but of course such work is hard to projectise, budget for and

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[132] Vasco Parenta – WSUP Sanitation Coordinator

[133] WSUP Mozambique APR 2013.

[134] Key informant interview Guy Norman.

[135] Interview Guy Norman and Neil Jeffery 16th December 2015.

measure. However, this is an issue/challenge, because CPMs do not have enough time to undertake this work. It could be more visible and have associated outputs time that could be allocated more explicitly to this – a point well made in the Annual Progress Review Mozambique 2014 which draws from experience under DFAT project; "*Explicitly allocate resource to influencing activities as part of future proposals and log frames*". Given the lack of time, for CPMs in particular, who carry a management and admin load, is a clear impediment to achieving this. Measures must be put in place to address this and allow CPMs to re-prioritise work areas.

4.2.5 Involvement of water utility expertise in WSUP's board

It has been one of the hypotheses of this evaluation that WSUP, striving to influence utilities, society's chosen core service provider entity, needed its own core utility experience/partner. Both for the knowledge of 'mechanical' management approaches (with 'organic' elements as and when) and for the reputational/promotional aspect that might influence fragile target utilities to be more receptive. The initial WSUP partnership vision of Thames Water playing that role faded some years back and the more recent hope that Vitens Evides International (VEI) might play that role has similarly failed. WSUP has attempted to incorporate this capacity through south-south partnerships (Manila Water, NWSC Uganda) and through consultants who have worked for utilities.

It is our view now that the quality and capability of the Country Programme Managers to open doors may be as important, if not more important, as having a recognisably competent utility as a significant partner. We also recognise that WSUP's ability to influence the establishing of a pro-poor unit in a utility to be second to none. It is clear from respondents that the ability to take staff from utilities where WSUP is starting to work on 'benchmarking visits' to other cities where they have been working for longer, has been a powerful multiplier effect.

However, external utility/municipality involvement would seem to be an area that WSUP might consider developing, either in its own staff (it is not clear that WSUP has any staff with actual working utility experience), or perhaps on secondment from a utility or through a stronger partnership with one or more experienced utilities.

It appears that, for now, the UK water utilities have given up on their profit-making vision of working internationally, hence their reluctance to be involved. However, it is equally clear[136] that staff in those utilities would prefer to support water development in lower-income countries through using their professional skills as much as (if not much more than) for example running up a mountain to raise funds for WaterAid. There are areas of utility change management, over and above Non-Revenue Water management, where international utilities could deliver critical support to lower-income country, often fragile, utilities, if a long-term partnership commitment could be developed. This would also deliver benefits through the development of a long-term constituency of support for WSUP within the UK.

4.2.6 Faecal Sludge Management

Provision of and investment in sanitation is a much greater challenge than water supply. This was evident throughout this evaluation: the obstacles facing financial viability of FSM, continuing underinvestment in sanitation, bias towards sewerage systems as an end state and higher costs of sanitation (compared to water). WSUP has rightly focussed a lot of energy and achieved success with its work on FSM and some very useful work on small scale sanitation finances.

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[136] Institute of Water Regional Meeting, Cranfield University, November 2015.

Valuable as this work is, there is now a need to grapple with the fundamental sanitation obstacles:

a) It does not pay for itself, so will always need subsidies/transfers to service the poor (unlike water). Specifically, the rich receive hidden subsidies while the discourse is that the poor can and should have self-financing systems.

b) Low tech/on-site solutions (with FSM) that may be more suitable for the poor are seldom favoured end states for many municipal service providers, who invariably see sewerage as the desired goal, sometime stated explicitly, often not. However, there is a need to accept that on-site solutions may be required as an end state.

WSUP needs to be able to balance the societal aspirations to move towards sewerage when topography allows, to support on-site and on-plot as transitional solutions, and to recognize when on-site has to be the longer term solution. This needs a major shift in attitude to understand where taxes are required to be sustainable. Without this, much of WSUP's work will remain as useful FSM fine tuning, but this will not address the bigger underlying challenges.

4.2.7 Urban Behaviour Change (BC) models – understanding urban motivation

To date, relatively little has been done to explain and illustrate key differences between BC/Hygiene promotion in urban areas, when compared to rural areas. WSUP therefore do not yet have an urban poor/LIC BC model ready and 'off the shelf'. This is not to say that WSUP programme staff do not intuitively know some of this and put it into their practice, but rather it is not set down, and experience has not been shared between countries. The Bangladesh research project[137] touches upon this by looking at mass media, but does not go deeper. Work undertaken by one of the evaluators[138] notes that "*Hygiene promotion is significantly more complex to undertake in urban areas…. In the much busier and noisier urban environment Hygiene Promotion work needs to understand if/how to use cash/material incentives to lever behaviour change…It must be driven by a strong urban social marketing approach*" and goes onto conclude that it is *"not about promoting BC, but more marketing/selling it"*.

4.2.8 Research

WSUP has undertaken a successful research programme conducted through research establishments with global recognition. High level research is an area that many at the global level value, considering it critical to develop robust evidence and which offers VfM. However, this route is not without costs and the careful framing of research questions can become limiting itself.

The environment project (Leeds) is really about gathering evidence for advocacy, which this sort of research is well placed to do. However, the scale (Urban Institute) project is about understanding how things work, while the treatment research (Cranfield) is really about innovation and both building understanding and innovation are not necessarily best served by "research" projects.

WSUP understands and plans to move towards more considered formulation of research questions informed by programme needs going forward, which is to be welcomed. However, it is suggested WSUP's key characteristics of innovation and 'deep craft' may not always be best

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[137] Using mass media behaviour change messaging to improve communal toilets in Dhaka, Bangladesh.

[138] Review of humanitarian WASH preparedness and response in Urban and Peri-Urban areas. Richard Luff 29th September 2014.

supported by high level research. Therefore, WSUP could go one step further and step away from the restrictions and costs of high level research and instead see research as just one possible means to answer big questions and to help unlock innovation and progress moving forward. We recognise it might appear challenging to define and manage outputs but is more consistent with WSUP's core 'organic' way of working than a somewhat mechanistic and rigid high level research programme.

4.3   Impact

4.3.1 WSUP's role in influencing wider change. The importance and meaning of numbers

An important aspect of WSUP's work is for it to influence wider changes. These can be influenced directly through its work, for example where a utility that it is working with expands its service coverage to other areas applying principles and practices gained from the WSUP partnership[139]. Nairobi City Water and Sewerage stated this to be the case.

This first area of 'direct' influence is very clear. It can be measured (numbers of people with improved services, etc.) and also the evidence for WSUP's influence can be cross-checked.

The second area of influence is where WSUP has influenced wider changes indirectly. An example of such influence would be for example, where UNICEF[140] has adopted a WSUP model and is replicating in a completely separate context and situation (or country).

As reported in section 3, WSUP has found it challenging to be able to account for the numbers of people influenced by its work. We suggest that these numbers are very important, both for WSUP as well as for other sector players. Because of WSUP's model (see Relevance and USP), the numbers of people impacted and the contexts where WSUP has influenced work give a very valuable perspective on the broader effectiveness and impact of its work. In essence, the critical issue for WSUP is to see where it has contributed towards moving engagement in water and sanitation from pushing and influencing beyond the tipping point to where the changes have become dynamic and have a life of their own. With the sheer scale and enormity of the challenge of urban water and sanitation, this is the impact that WSUP should seek to contribute towards and understand how it is influencing those higher level dynamic changes.

4.3.2 Understanding the context

It is critical to consider the extent to which location specific knowledge/understanding can be replicated elsewhere and or how much context determines what solutions can be used elsewhere. This is conceptually well understood by WSUP, as evidenced from a number of sources: the Mozambique Annual Review[141] acknowledges that while context differs, learning still has value outside its place to origin. This was well articulated by the explanation that "WSUP must *copy - adapt*, not *copy – paste*"[142]. Bill Peacock noted that it is critical to understand the enabling environment in a country and be able to get stakeholders to grasp this. Guy Norman suggested that knowledge has to be context specific and so the idea that packages/models that can be seen as exportable, is an approach WSUP is moving away from in the new business

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[139] AdeM Maputo. Meeting with AdeM Maputo (20/01/16). Correspondence Carla Costa (10/02/16).

[140] This is given as an example recognizing that UNICEF are beginning to move into working in Urban Sanitation.

[141] WSUP Mozambique APR 2014.

[142] Antonio Junior - WSUP water programme coordinator.

plan. This idea is also evident in the thinking behind how any future research programme would be run: this should be more about context specific learning rather than more generic learning and with a move towards national and away from international[143] engagement.

We want to stress the importance of maintaining (and further developing) the approach of the '*copy and adapt'* approach. The evidence from this evaluation is clear that the Masterclasses and exchange visits to other countries are powerful means to enable to the process of '*copy and adapt'*. There are overarching issues that occur in nearly all locations with patterns that are clearly evident, though the relative significance of these of course varies. Thus, some knowledge, for example as per the PNs, TBs, etc. is transferable, but 'the whole package' is not.

We suggest there is a need to separate location specific knowledge from the business environment and other contextual factors. It is evident that in WSUP's considerable body of knowledge they recognise this and have started to identify patterns and help guide others through a top line decision-making process[144]. Key factors and the enabling environment are set out in the WSUP Advisory *'everyone forever'* diagram. This work could be supported by a decision making manual that explains these key context factors more with examples from WSUP's programme[145]. This sort of tool could be very usefully accompanied by a critical look at WSUP's array of country experience set out in its PNs and TBs, with a complementary explanation which outlined in what other environments this experience could be transferred and how it might be adapted. For example, how a municipality would know whether WSUP's compound sanitation strategy in Ghana[146], or communal toilets in Maputo[147] would be applicable in Chittagong.

4.4 Sustainability

4.4.1 Embedding sustainability through developing a shared agenda/approach.

As mentioned under effectiveness a critical aspect of WSUP's USP is the way in which the organisation successfully links utilities and communities (especially poorer communities) to effectively collaborate on the provision, delivery and use of improved water and sanitation. This is achieved through a strategic mix of support, capacity building, demonstration, modelling and experimentation. A question to raise is how WSUP can build on this model in other areas – specifically in hygiene behaviour change.

A key finding from the evaluation is that sustainability is built not just through the processes outlined above, but also through the engagement and buy-in of key stakeholders – in utilities and communities (through the development of CBOs).

For hygiene behaviour change it is clear that the key stakeholders are the communities (CBOs, Parent Teacher Associations (PTAs), as well as Principals and Teachers and the local departments of Education. An issue to consider is how other potential stakeholders, such as business, could engage in such a way as to ensure a harmony of objectives that would see

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[143] Interview Guy Norman.

[144] Bangladesh 2013 Annual Review. TB 004 & TB 006.

[145] WSUP's publication Main Global guidance Note for the Urban Poor.

[146] WSUP Ghana APR 2014.

[147] PN 002: Financing communal toilets: the Tchemulane project in Maputo (February 2011).

issues such as market penetration and coverage as longer term desirables rather than as specific elements of such a relationship.

4.4.2 Improving M&E to be able to assess sustainability

This evaluation does not comment on the M&E system as a whole and whether this is fit for purpose. It focusses on where data generated from the system directly supports the Outcome areas 1, 2, 3 and 4. WSUP has built up an extensive and impressive monitoring framework. This is testimony to the effective work of the Evaluation Research and Learning (ERL) team. The team appears positioned to be genuine knowledge holders, given they conduct annual programme reviews (APRs), lead presentation at conferences, lead on consolidating and compiling learning. In this sense their work goes beyond collection of data for management purposes and enables them to perform a genuine learning function. It is also notable that the process of the APR includes feedback on quality of support from UK teams and contributes to a virtuous circle of learning[148]. We would however take this opportunity to propose areas where the M&E system can be refined to support better learning and accountability.

A critical point, recognised by WSUP, is that a lot of the data collected relates to improved access rather than detailed evidence of sustained use and change. We would suggest that WSUP should make more use of its well-developed linkages with communities and its field staff to develop a programme of longitudinal studies. We would propose that it develops and builds in a straightforward sustainability monitoring system. Options include adopting a sampling approach of visiting a selection of sites every year or of using a more qualitative methodology such as the 'Reality Check' approach[149]. This can be applied across WSUP's main programme areas and also (together with its utility partners) in some areas where it is to have an influence through leveraging.

In working through this evaluation process we have been aware of the sizeable amounts of information, reports and documents produced. A significant challenge for a programme such as this is how to ensure that data, particularly M&E data, can be used to helpfully and quickly get across new concepts, as well as information on progress and challenges. With the importance of the linkages that WSUP has with utilities and service providers, it is important that WSUP look to ways of providing and sharing information that enables them to engage with and use such information. Many organisations are now looking at using infographics as a means of sharing and communicating information in ways that minimise language barriers and support ownership and learning.

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[149] http://www.reality-check-approach.com/what-is-rca.html

5. Recommendations

These recommendations are provided in the knowledge that WSUP is well into planning for the next phase of its work, so some of these ideas may already have been raised and agreed upon. Recommendations are provided for each of the main overarching findings and the corresponding section number is provided here for reference.

5.1 Relevance

5.1.1 Recommendation 1 (relates to 4.1.1 WSUP's USP)

WSUP has developed itself, with DFID support, into a key global resource for facilitating pro-poor institutional change in lower-income country utilities and municipalities, as well as in supporting private sector and household involvement in ensuring safe and sustainable public health improvements.

WSUP can now build on its status and position as a market leader/influencer to take its role as an influencer to a higher level and use its cadre of 'model utilities' and, most critically, key people in those utilities along with its Programme staff (particularly CPM's, supported by its UK team), to influence that decision making and direction of WASH provision and support by IFI's and International donors.

We note the consideration in the next business plan with respect to working in additional countries and we strongly recommend that WSUP extend its programme to two new countries, with at least one of them being in Asia. A proposal for consideration would be to develop new country programmes in Myanmar and Nigeria, noting the very different challenges in both.

5.2 Effectiveness

5.2.1 Recommendation 2 (relates to 4.2.1 Imbalances/system bias)

Continue and expand work on sanitation by:

- Developing a more strategic partnership with the World Bank at the global and national level, primarily to further the sanitation agenda, through joint research and learning, conferences and in-country strategy development. This also in the context of the change in the role of WSP.

- Build upon selective engagement with UNICEF and UN Habitat at the national level where they are engaging in urban sanitation work, and in time at the global level. There is a clear opportunity to support UNICEF as it develops its urban programme.

- Include attendance at regional sanitation conferences in regions where WSUP does not have country programmes, along with selective attendance at World Bank events.

5.2.2 Recommendation 3 (relates to 4.2.2 Addressing inclusion effectively)

In order for WSUP to maintain and build on its position of working at the 'cutting edge' we would want to propose that it should look to developing a system of key personnel across the organisation who can act as the 'go to' people for advice and support on each of the main concept areas of WSUP's work.

5.2.3 Recommendation 4 (relates to 4.2.3 Strategic learning)

Enhancing learning

Take a more holistic view of learning by building a suite of learning packages and approaches, which can be deployed flexibly for both WSUP/partners and in support of other organisations, drawing from the excellent work already undertaken. This to include:

- Adapting the Masters module to be standalone (i.e. not university accredited at this time) available for face-to-face and on-line learning. (In the course of time these can subsequently be re-introduced into Masters courses, as and when opportunities arise).

- Develop an enhanced programme of peer-to-peer learning based upon occasional exchange visits and improved Masterclasses and complemented with regular in-country and remote learning through skype webinars, etc. (For example, Masterclasses could require potential participants to submit papers/topics for discussion and these could be used to vet participants, getting more participant involvement and allowing follow up on key learning.)

- Understand how more internal learning opportunities, particularly about other WSUP country programmes, can be provided to WSUP staff.

5.2.4 Recommendation 5 (relates to 4.2.4 Advocacy)

Strengthening its advocacy capacity at country programme level

Explicitly allocate resources to influencing activities at the national level as part of future proposals and log frames, considering simple ways to projectise this work, so it can be better managed and measured. Seek ways to ensure senior staff can expand their influencing role by for example simplifying and reducing the management burden.

5.2.5 Recommendation 6 (relates to 4.2.5 Involvement of water utility expertise in WSUP's board and activities)

Work with WSUP Advisory/key European utilities to develop a concept of whole system analysis that will support and enable WSUP to influence high level capacity and effectiveness with decision makers, funders, national and local governments.

Develop more effective ways to interact with the UK's water utilities, both a) to harness their skills in the more *mechanical* aspects of utility service delivery, potentially through long-term partnering between utilities with a developmentally appropriate 'one in, one out' staff exchange approach, and b) to develop a UK constituency of support for WSUP.

Use of appropriately sensitised UK utility Directors to facilitate high-level interaction and advocacy in WSUP target countries.

5.2.6 Recommendation 7 (relates to 4.2.6 FSM)

Looking forward we see a need for more strategic sanitation work to be undertaken by WSUP that makes the case for a system wide change in attitude to recognise the need for ongoing sanitation subsidies and appropriate on-site technology. This could be achieved by undertaking:

- A macro level analysis that sets down evidence from different parts of the world of how subsidies/tariffs/transfers are required, carefully explaining the extent to which the poor bear a disproportionate cost burden or not.

- Justification that shows where on-site sanitation systems (with FSM) are a valid end state rather than a means to a 'sewered' end state, building upon work by Mara[150] at al. This is critical to move municipalities and utilities beyond ambivalence towards onsite sanitation investment. This analysis should be built up from the sanitation value chain (as highlighted in the Stone Family Foundation funded project final evaluation[151]), while taking into account population density, lack of tenure/illegality of settlements, benefits of community management of systems.

- Situate WSUP's work on FSM within this bigger picture to know where efforts should be concentrated.

- Advocacy and communication work that sets down the case for this change in approach. It is suggested that a lay person's explanation that sets down key financial, social and technical differences with water supply would be a helpful part of this.

5.2.7 Recommendation 8 (relates to 4.2.7 Urban BC models – understanding urban motivation)

Consolidate WSUP programme experience and define research work to develop a much clearer understanding about the specificities of urban BC. This must place emphasis on drawing out the different experiences of men and women and take account of context factors/the enabling environment.

5.2.8 Recommendation 9 (relates to 4.2.8 research)

WSUP expand their proposed research programme into *an enquiry programme* that can use a variety of means; high level research conducted with international academic establishments, extensive surveys, enquiry through national academic establishments, commissioning innovation etc.

5.3   Impact

5.3.1 Recommendation 10 (relates to 4.3.1 WSUP's role in influencing wider change. The importance and meaning of numbers)

Further develop country protocols and guidance by carefully examining cases this evaluation has highlighted and considering cases in other WSUP countries. Consider how WSUP Advisory and WB/WSP might measure their influence. Use this to build an improved protocol with examples to illustrate.

5.3.2 Recommendation 11 (relates to 4.3.2 Understanding the context)

Developing a decision-making guidance note/monograph that sets down key factors that must be considered as part of context analysis. Draw WSUP's collective experience of templates/models together in direct comparison and so providing a menu of options explaining which of WSUP's templates/interventions models are suited to which situations, taking account of context factors/ analysis.

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[150] Low cost sewerage, Duncan Mara. 1996

[151] Final evaluation of SFF-funded WSUP project in Chazanga, Mtendere and Kanyama – Final Report.

5.4 Sustainability

5.4.1 Recommendation 12 (relates to 4.4.2 improving M&E to be able to assess sustainability)

Recognising the importance of WSUP's influencing role we recommend that it develop its monitoring framework to incorporate monitoring of sustainability and use. Such an approach, whether through taking a random sampling approach with communities on an annual or bi-annual basis, or using more qualitative approaches such as the 'Reality Check' approach, will support its work in influencing service providers to copy/adapt reflect and learn from its work.

We also recommend that with the density and complexity of information and concepts that WSUP look to more visual means of communicating and enabling stakeholders and other sector players to learn from and use information that it provides.

5.4 Sustainability

Annex One – List of consulted documents

WSUP Programme documents

- Business case
- Theory of Change 2012-2015
- Results Chain
- Budget and budget assumptions
- Logical Framework
- Organisational chart

WSUP Publications

- Practice Notes 1-20
- Discussion Papers 1-7
- Topic Briefs 0-14
- Perspective Pieces 1-3
- Urban Programming Guide
- Urban Water Supply Guide
- Climate Proofing Reports Naivasha & Antananarivo
- 'How to Climate Proof' Report

WSUP reports to/from DFID 2012-2015

- Annual and Six Month Reports
- Briefing on WSUP Madagascar Programme & DFID Contribution
- DFID Annual Reviews

WSUP Internal Quarterly Reports

- Narrative Quarterly Reports of Q2 2015-2016
- WSUP Programmes Outcomes Dashboards Q2-4 2014-2015 and Q1-2 2015-2016

Annual Progress Reports from years 2013, 2014 and 2015

- Bangladesh
- Ghana (not 2015 report)
- Kenya
- Mozambique
- Madagascar (not 2015 report)
- Zambia (not 2015 report)
- African Cities of the Future Annual Reports 2010, 2011, 2012, 2013, 2014

Research

- WSUP Impact study
- Behaviour Research Quarterly Reports
- City Briefs on Scale from Nakuru, Maputo and Ghana West
- WSUP Desk Reviews on Scale
- WSUP Quarterly Reports on Scale
- Treatment Outputs and Findings reports from Accra and Nairobi
- Masters Theses on Treatment, by Louisa Fearn and Collette Genevaux

External Evaluations

- AUSAID Mozambique
- EC LINDA Zambia
- GPAF Kenya
- ODI 2011 of BMGF Maputo and Antananarivo
- Stone Family Foundation Zambia
- TIUP 2009 of WSUP

Annex Two – Revised work plan

WSUP Evaluation	Months													
Activities and deliverables	**Nov-15**	**Dec-15**					**Jan-16**				**Feb-16**			
	23-29	30-6	7-13	14-20	21-27	28-3	4-10	11-17	18-24	25-31	1-7	8-14	15-21	22-28
Phase 1 - Inception														
1 Briefing and discussion with WSUP, collection of documents	▓													
2 Initial interviews with selected WSUP staff and key/critical stakeholders	▓	▓												
3 Initial document review and country selection (criteria)	▓	▓												
4 Develop evaluation workplan, methodologies and questions - drafting of and submit inception report		▓	▓	14-Dec										
2. Data collection														
A. Work Prior to country visits														
5 Detailed documentation review			▓	▓	▓	▓								
6 Phone, Skype, possibly e-mail surey, with WSUP staff, SP, WSP, WB and other key stakeholders in 6 countries			▓	▓	▓	▓								
7 First review of WSUP end-line household and infrastructure survey and pubications survey, (raw data available 18 Dec)				▓	▓	▓								
8 Review of WSUP annual assessment of institutional capacity in each city									▓	▓				
B. Country visits														
9 Two country visits, including: prep, interviews/WSs/FGD with WSUP staff and other stakeholders, Theory of Change workshop, visits to project locations, including meetings with community and SME								▓	▓					
C. Work post country visits														
10 Revisit of WSUP surveys (final data available 31 December)							▓	▓						
11 Follow up face to face interviews with key WSUP staff in London										▓				
12 Skype calls with WB and other key stake holders that WSUP expect to influence										▓				
Phase 3. Data analysis and preliminary findings														
13 Produce outline of preliminary findings											▓			
14 Present preliminary findings to WSUP/key stakeholders												▓		
Phase 4. Analysis and Reporting														
15 Draft report											▓	12 Feb		
16 Feedback on report													▓	▓
17 Finalisation and submission of report														28 Feb

Annex Three – Evaluation Matrix

The following table proposes a number of questions for consideration against each Outcome and the DAC criteria.

	A) relevance	B) effectiveness	WSUP output indicator	C) efficiency	D) impact	E) sustainability
Outcome 1. Demonstrated models of urban WASH service delivery for the urban poor	Are the models suitable for the urban poor, offering advantages over other models? In particular do they bring better services for women and girls?	Have models delivered improved services; water sanitation and hygiene, to the most economically marginalised, in particular for women and girls?	3.45m	Have models delivered more efficiently in comparison with services available in other localities, particularly poorer unserved or under-served areas?	What has been the economic social and health impact of new models on poor and in particular for women and girls and how many people have directly benefitted?	Have models delivered a track record of more reliable & regular service provision over longer periods of time? Are poor people, particularly women, able to maintain payments for services on a regular and ongoing basis?
Outcome 2. Service provider capacity and institutional framework to sustain improvement process	Are models for service delivery relevant for a range of service providers from SMEs to utilities? Have service providers realigned their institutional focus to be pro-poor?	Are service providers able to more effectively deliver services to urban poor, including women and girls?	12.5m	To what extent have service providers improved their efficiency in comparison with their previous work and with other service delivery models?	What impact have changes had on service providers & the way they have delivered economic, social and health impacts? How many people have benefitted indirectly & are there differences in impact between females & males?	How long have new business models been established with demonstrated service delivery on this basis? Are business models viable, do they take account of losses, and environmental and social sustainability?
Outcome 3. Scale – City wide investment triggered	What are the wider changes that have occurred in investment programmes and policy at the city level and how many people have benefitted?	To what extent have new investments been made in unserved or underserved areas where the poor live?	US$220m	To what extent have city wide policies prioritised efficiency & have new investments been made on the basis of delivering service efficiencies particularly for the poor?	Are pro-poor and gender attentive models and ways of working being accepted for city wide stakeholders and their business models?	Is there the right balance between capital grant/loan investment & revenue versus expenditure in areas where urban poor live & more widely across the city? Is there a city wide resource & waste management plan?
Outcome 4. Influence: Sector influence worldwide	Do new models of service provision, capacity building and investment decision making influence or align with emerging global thinking?	To what extent have DFID, IFIs, UN & service providers adapted their ways of working and focused investments to be more pro-poor as a result of WSUP dissemination, research & training?		To what extent have global polices and investment prioritised efficient service provision for the poor?	To what extent have urban poor populations benefitted from improved urban WASH service provision?	How have investment policies and practices of other organisations addressed social, economic and environmental sustainability?

Annex Four – Country programme visit criteria for selection and visit outline

Criteria for country selection (as in the Inception Report)

An important element of the validation process will be through carrying out two country programme visits. A consideration for assessing which country programmes to visit will be the ability of a country programme to demonstrate a full span of programme interventions across Outcomes 1-4, and ideally over a range of WASH activity type – water, sanitation and hygiene.

The team have used the following criteria to make a decision on which two country programmes would be most suitable:

1. The programme has been established for a sufficient duration of time in order to demonstrate evidence across Outcomes 1, 2 and 3.
2. There is a significant difference in; city context, scale, political autonomy and stability, deregulation, in order to more closely test the achievability of Outcomes 2 and 3 under a variety of conditions.
3. The level of programme documentation available and the ability to hold phone calls with key stakeholders will highlight if there are gaps in information which warrant a country visit.
4. To include countries where WSUP (and the evaluation team) believes its Theory of Change is working well and not well.

Following the inception meeting with WSUP staff a further three criteria were added:

5. Maturity of the programme (progress not length of time).
6. Usefulness of the programme to WSUP (areas of focus or innovation, for example Ghana: Innovative Compound Strategy).
7. Safety considerations/risks.

Each country programme is scored on a 1 (low/poor) to 3 (high/good) scale.

Criteria	Zambia		Ghana		Mozambique		Madagascar		Kenya		Bangladesh	
	Score	Comment	Score	Comment	Score	Comment	Score	Comment	Score	Comment	Score	Comment
The programme has been established for a sufficient duration of time in order to demonstrate evidence across outcomes 1, 2 and 3.	2		2		3		3		3		2	
There is a significant difference in; city context, scale, political autonomy and stability, deregulation, in order to more closely test the achievability of outcomes 2 & 3 under a variety of conditions.	2		1		3		2		3		3	
The level of programme documentation available and the ability to hold phone calls with key stakeholders will highlight if there are gaps in information which warrant a country visit.	3		3		3		3		2		2	
To have chance to examine countries in depth where WSUP (and the evaluation team) believes its theory of change is thought to be working well and not well.	2		3		3		3		3		3	
Usefulness of programme to WSUP	2		2		3		3		3		3	
Safety considerations/risks	3		3		3		3		2		1	
Totals	16		16		21		20		19		16	

Scoring of the six country programmes showed clear differences between the new and more established countries. Looking at the three high scoring country programmes the team propose to visit Kenya and Mozambique, rather than Madagascar, as the programme has a stronger research evidence base as well as the Masters course delivery.

The teams proposed for the country visits are as follows:

Dates	Country	People
11-17th January	Kenya WSUP sites: Nakuru/Naivasha, Nairobi and Mombasa	Richard Franceys Jerry Adams
18th – 24th January	Mozambique WSUP sites TBC	Richard Luff Jerry Adams

The country programme visits will last one week (5 working days) each.

Annex Five – Country visit programmes

WSUP Evaluation – Mozambique programme 18th – 22nd January 2016

Date	Time	Activity
Day 1: 18/1/16	**AM**	9.00 (JA/RL) Overview of programme in Maputo – WSUP team 11.00 (JA) bi-lateral meetings Dinesh and Gafur – WSUP CDOs 11.00 (RL) meeting Nelson Matsinhe – Universidade Eduardo Mondlane, Maputo
		Lunch
	PM	14.00 (JA/RL) Meeting with Head of Neighbourhood, Chamanculo C 15.00 (JA/RL) Visit to three Communal Sanitation Blocks (2009 – 2015 construction)
Day 2: 19/1/16	**AM**	9.00 (JA/RL) visit to Waste Water Treatment Plant – CMM 11.00 (JA/RL) meeting with Manuel Alvarinho – CRA
		Lunch
	PM	14.30 (JA/RL) meeting with Vasco Parenta – WSUP sanitation coordinator 15.00 (JA/RL) meeting with Victor Fonseca – CMM 16.30 (JA/RL) Meeting with Alfonso Alvestegal – UNICEF WASH Urban Lead 18.30 (JA/RL) Skype call Mark Henderson Former head of – UNICEF WASH, Mozambique
Day 3: 20/1/16	**AM**	9.00 (JA/RL) Meeting Lidia Salatiel, Jose Henrique Barata, Isabelle – AdeM 10.45 (JA/RL) Meeting – Frederique Martins (and two others) – AIAS
		Lunch
	PM	2.00 (RL) meeting with Adriana Aifaz – WSUP Community Development Officer 2.00 (JA) Focus group discussion – FSM operators 16.00 (JA/RL) meeting Antonio Junior – WSUP Water Programme Coordinator
Day 4: 21/1/16	**AM**	08.00 (JA) Visit to two WSUP intervention schools EP1 Unidade 23 primary school, Maxaquenab primary school – meeting with principals (school holidays) 08.00 (RL) Meeting with Arone Tivane – AdeM NRW team and Job Mutombene – CBO in Mafala 10.30 (RL) Meeting with Susie Kinghan – WSUP Water Specialist 12.30 (JA/RL) Meeting Carla Costa – WSUP Country Programme Manager
		Lunch
	PM	14.30 (JA/RL) Focus group with women involved in WSUP's work – community 16.00 (JA/RL) Meeting Vasco Parenta – WSUP Sanitation Coordinator
Day 5: 22/1/16	**AM**	9.00 (JA/RL) meeting with Pedro Paulino – FIPAG (cancelled) 10.30 (JA/RL) Meeting Carla Costa – WSUP country programme manager
		Lunch
	PM	13.00 (JA/RL) Feedback to team 14.30 (JA) meeting with Councillor for Education – CMM

WSUP Evaluation – Kenya programme 11th – 15th January 2016

Date	Time	Activity
Day 1: 18/1/16	**AM**	RF – Meeting with Kariuki Mugo, WSUP Country Programme Manager
		Lunch
	PM	RF Meeting with Jack O'Regan – WSUP Enterprises RF Meeting with Chris Heymans – WSP World Bank
Day 2: 19/1/16	**AM**	RF Travel to Mombasa. Meet with: Philip Oyamo Interview with Acting (and this day departing) MD – Kombo Rajab Introduction with VEI Project Manager
		Lunch meeting with Philip Oyamo and Emily Kirigha (WSUP Mombasa sociologist)
	PM	Meeting with Nancy Wanyinyi the very recently replaced Head of 'Low income consumer services Department' Visit with Emily to newly connected (that morning) households in a low-income settlement
Day 3: 20/1/16	**AM**	JA arrive. JA & RF briefing meeting WSUP team 11.00 JA & RF Kibera visits to communities and individuals
		Lunch
	PM	Meeting with WSUP Team
Day 4: 21/1/16	**AM**	08.00 (JA) Visit to Naivasha. Meet James Kariuki, WSUP Programme Manager Naivasha. . Field visit to Karabila (Water Kiosks) and Menerva (Water Kiosks and shared latrines). Meet representatives of Water Users Associations (WUA's)
		Lunch
	PM	RF Meeting with Peter Njaggah, Director of Technical Services, WASREB JA Naivasha: Visit to Kasaranye to see an FSM operation. Met with PHO (Samuel) & Clinical Officer (Fred). Discussion on recent cholera outbreak. Travel to Nakuru RF Meeting with Nahashon Muguna, Technical Director, Nairobi Water
Day 5: 22/1/16	**AM**	JA visit to Nakuru Water and Pro-Poor Unit. Met Grace Head of Communications. Visit to Rhonda and Lawanjiru to see Water meters. RF Final de-brief meeting with Country Programme Manager (CPM) Kariuki Mugo RF Meeting with Dr Andrew Trevett, UNICEF Kenya WASH Director
		Lunch
	PM	JA Nakuru: Visit to Nakuru Water Utility Western Zone Payments Office. Field visit to Mwaritie. Visit to Southern Zone Nakuru: Manjari area. Return to Nairobi. Evening: RF/JA Final debrief
		RF Subsequent interviews with WSP team members: Lilian Achieng Otiego; Clifford James through Kevin Bedner/Glen Pearce Oroz

Annex Six – List of stakeholders interviewed

Name	Role	Organisation	Country	Date of interviews
Abdus Shaheen	Country Programme Manager	WSUP	Bangladesh	04/01/2016, 10/02/2016
Adriana Aifaz	Community Development Officer	WSUP	Mozambique	20/01/2016
Alfonso Alvestegal	WASH Urban Lead	UNICEF	Mozambique	19/01/2016
Dr Andrew Trevett	WASH Director	UNICEF	Kenya	22/01/2016
Anisur Sarkar	Programme Engineer	WSUP	Bangladesh	10/02/2016
Antonio Junior	Water Programme Coordinator	WSUP	Mozambique	20/01/2016
Anita Layden	Programme Manager	WSUP	Bangladesh	11/01/2016
Anne Walsh	Head of Innovations & Consumer Needs	WSUP	UK	27/01/2016
Arone Tivane	NRW Team	AdeM Maputo	Mozambique	21/01/2016
Baghi Baghirathan	Programme Director, WSUP Madagascar (and formerly for WSUP Mozambique)	WSUP	UK, Madagascar	17/02/2016
Bill Peacock	Director of Programmes; Programme Director for WSUP Kenya, Mozambique	WSUP	UK, Kenya, Mozambique	16/12/2015
Brian Reed	Lecturer in Public Health Engineering	WEDC, Loughborough University	UK	11/01/2016
Carla Costa	Country Programme Manager	WSUP	Mozambique	18/01/2016
	Head of Neighbourhood Chamanculo C Bairro	Maputo	Mozambique	18/01/2016
Chris Heymans	Senior Water & Sanitation Specialist, WSP	World Bank	Kenya	18/01/2016
Clifford James	WSP	World Bank	Kenya	15/01/2016
Dinis Namburete	CDO	WSUP	Mozambique	18/01/2016
Emily Kirigha	WSUP Mombasa Sociologist	WSUP	Kenya	19/01/2016
Frederique Martins	AIAS	Maputo	Mozambique	20/01/2016
Abdul Gafur	CDO	WSUP	Mozambique	18/01/2016
Georges Mikhael	Head of Sanitation	WSUP	UK	17/02/2016
Grace Kabubu	Head of Communications	NAWASSCO	Kenya	22/01/2016
Guy Norman	Head of Evaluation, Research and Learning	WSUP	UK	16/12/2015
Habibur Rahman	Deputy Programme Engineer	WSUP	Bangladesh	10/02/2016
Issaka Balimah Musah	Country Programme Manager	WSUP	Ghana	08/01/2016
Jack O'Regan	SmartLife Manager	WSUP Enterprises	Kenya	18/01/2016

James Kariuki	Project Manager	WSUP	Kenya	14/01/2016
Jane Crowder	Water and Sanitation Adviser	DFID	UK	21/12/2015
Jose Henrique Barata		AdeM Maputo	Mozambique	20/01/2016
Job Mutombene	CBO, Mafala	AdeM Maputo	Mozambique	21/01/2016
Kariuki Mugo	Country Programme Manager	WSUP	Kenya	11-16/01/2016, 09/02/2016
Kombo Rajab	MD	Mombasa Water (now replaced)	Kenya	19/01/2016
Lidia Salatiel		AdeM Maputo	Mozambique	19/01/2016
Lilian Achieng Otiego	WSP	World Bank	Kenya	11/01/2016
Lovy Rasolofomanana	Country Programme Manager Madagascar	WaterAid	Madagascar	Email (Skype not possible)
Manual Alvarinho	President	CRA Maputo	Mozambique	19/01/2016
Mark Henderson	(Former) Head of WASH	UNICEF	Mozambique	19/01/2016
Nahashon Maingo Muguna	Technical Director	Nairobi Water NCWSC	Kenya	21/01/2016
Nancy Wanyinyi	LIC Head of Department	Mombasa Water	Kenya	19/01/2016
Neil Jeffery	Chief Executive Officer	WSUP	UK	16/12/2015
Nelson Matsinhe	Lecturer and Researcher	Universidade Eduardo Mondlane	Mozambique	18/01/2016
Paul Gunstensen	Director of WASH	Stone Family Foundation	UK	05/01/2016
Peter Hawkins	Country Team Leader, WSP	World Bank	Mozambique	15/01/2016
Philip Oyamo	Project Manager, Mombasa	WSUP	Kenya	12/01/2016
Zaituni Kanenje	Pro-poor Programme Co-ordinator	NAWASSCO	Kenya	15/01/2016
Peter Njaggah	Director of Technical Services	WASREB	Kenya	21/01/2016
Regine Skarubowiz	Monitoring and Evaluation Manager	WSUP	UK	16/12/2015
Reuben Sipuma	Country Programme Manager	WSUP	Zambia	08/01/2016
Sam Drabble	Research and Evaluation Manager	WSUP	UK	16/12/2016
Samuel Kingori Wairia	PHP Nakuru County		Kenya	15/01/2016
Susie Kinghan	Water Specialist	WSUP	Mozambique	21/01/2016
Sylvie Ramanantsoa	Country Programme Manager	WSUP	Madagascar	26/02/2016
Tim Hayward	WSUP Advisory	WSUP Advisory		29/01/2016
Timothy Wanjohi	Manager Southern Zone	NAWASSCO	Kenya	15/01/2016
Vasco Parenta	Sanitation Coordinator	WSUP	Mozambique	21/01/2016
Victor Fonseca	Civil Councillor	CMM Maputo	Mozambique	19/01/2016

Annex Seven – Supporting questions frameworks

A) Relevance – The extent to which the aid activity is suited to the priorities and policies of the target group, recipient and donor.
B) Effectiveness – A measure of the extent to which an aid activity attains its objectives
C) Efficiency – Efficiency measures the outputs -- qualitative and quantitative -- in relation to the inputs
D) Impact – The positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended
E) Sustainability – Sustainability is concerned with measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn

Key questions and means to gather data in relation to Outcome 1

Outcome 1. Demonstrated models of Urban WASH service delivery for the urban poor. Programmes deliver service improvements to a representative population of urban poor in each town/city, demonstrating strong local ownership and informing city wide water and sanitation strategy.

	Questions/data checks	Possible Data sources	Notes/comparisons/counterfactuals
Output level. Demonstration. ACTIVITY 1.1 Improved Water and Sanitation Services			
Relevance	Is the programme able to deliver models of urban WASH that are accessible to the urban poor	Country Programme and Annual Reports. Publications, updates and reports on access of disadvantaged groups. Interviews with user groups in-country Household surveys	Is it possible to drill down into the data to compare the relevance of different models? Are there preferences/more desired models? Perceptions of other stakeholders
Effectiveness	Has the programme achieved the numbers of people with access to water and sanitation – scale? How appropriate/effective have marketing approaches been? (To what extent have low income consumers living in the targeted areas benefitted directly from the water and sanitation services implemented under this programme)	Country Programme and Annual Reports, User and Household surveys Interviews with CP staff, user groups and other stakeholders (WaterAid, WSP etc.)	Compare actual numbers (disaggregated) with targets and milestones). This needs to be looked at together with Outcomes 2 and 3 to understand whether the numbers are perceived to be 'scalable' Speak to other stakeholders Link to other WSUP programmes – Clean Team in Ghana.
Efficiency	Have the different country programmes been on track to deliver the numbers of people with access	Cost per beneficiary (disaggregated (global/country/programme). Comparison with other organisations CARE, WaterAid)	Important to look for differences between new and established programmes.

	Has the programme delivered cost efficient models to different urban poor groups	Reports and cases of access. Household surveys Interviews country programme team; Focus Group discussions with user groups and site visits	Assumption that delivery of numbers supports more investment – leading to more people with access Are there significant differences between higher cost and lower cost programmes?
Impact	Is there evidence of models being developed/ replicated locally or by others? Is there evidence of models informing strategy (locally or further)	Reports, Interviews with country programme staff and key stakeholders. Country programme visits: interviews with sector stakeholders	Would be good to see whether there is any evidence of preference for any non-WSUP models (if available or known). Is there any evidence of negative impact of models
Output level. Demonstration. ACTIVITY 1.2. Improved Hygiene Knowledge			
Relevance	Is the programme able to deliver models of hygiene education that are relevant to the urban poor? Are there models of hygiene education relevant to specific groups – women, girls, schoolchildren	Annual Reports and updates. Household surveys Interviews with user groups in-country programmes Country programme visits: FGD's with beneficiaries and user groups	Important to compare stories of successes from publications, reports and updates with Household survey and country programme site visits
Effectiveness	Has the awareness created through the hygiene education programmes resulted in changes in behaviour	Annual reports Interviews with key stakeholders Site visits: interviews with user groups	Annual reports give numbers of people who have been covered
Efficiency	What are most cost-efficient models of hygiene education for different groups?	Annual reports. Studies Publications Interviews country programme staff	Check with other actors/stakeholders – WaterAid, UNICEF Need to explore replicability of models (such as 'School of 5). What are key factors in sustaining hygiene behaviour?
Impact	What has been the impact of hygiene education work? Evidence of sustained change or sharing/replication beyond the project areas?	Household survey data Evaluation Reports Studies Interviews with community/user groups	Have there been any negative impacts or challenges as a result of improved hygiene

Output level. Demonstration. ACTIVITY 1.3 – Environmental Sanitation			
Relevance	Is the programme able to deliver models of environmental sanitation that are relevant to the urban poor?	Country Reports Clean Team Ghana Country programme visits	
Effectiveness	Have environmental sanitation programmes resulted in significant changes to urban environments?	Site visits Focus group meetings with user groups Studies?	Clean Team Ghana. What about non WSUP models and approaches: WaterAid, others?
Efficiency	What are most cost-efficient models of environmental sanitation?	Review of reports. Stakeholder interviews: Representatives of Clean Team Ghana country visits	Investigate Clean Team Ghana against other WSUP non WSUP models
Impact	Is there evidence of environmental sanitation work supporting/impacting on sustaining demand for sanitation and water and behaviour change	Studies Evaluations country programme site interviews	From WSSCC field studies or rural sanitation – improved environmental sanitation resulted in additional benefits and supported a desire to maintain a healthy environment. Is this the case for urban environments? What are the drivers?
Output Level. Gender. Cross-cutting			
Relevance	Is the programme delivering models of Water and Sanitation provision that are relevant to the needs of women and girls?	Studies Interviews with country programme staff, User groups (especially women headed user groups)	Programme has been fairly quiet on this apart from Menstrual hygiene and schools? What is perceived relevance of what they are doing?
Effectiveness	Has the programme delivered to women and girls	Reports Disaggregate data across country programmes to see where there are significant differences Country programme visits: Site visits FGD's with user groups	The logframe gives a baseline of 51% coverage of women and milestones/targets of 52%. Is it possible to analyse whether the programme has provided better quality of access and use that is changing attitudes and practices and health benefits?
Efficiency	Are there additional costs to ensuring access to women and girls (latrines) are these acceptable to communities?	Interviews with country programme staff Site visits FGD's with communities and women's groups	Check with other stakeholders - WaterAid

Impact	Is there evidence of the programme positively impacting on attitudes towards appropriate and effective provision of relevant WASH models for the Urban Poor that are gender inclusive	Evaluations? FGD's with women's groups The Household surveys may provide some insights to follow up on. WSP country programme staff (Kenya and Mozambique WSUP Practice Notes	Is there any evidence of attitude studies on men and women

Key questions and means to gather data in relation to Outcome 2

Outcome 2. Service provider capacity and institutional framework to sustain improvement process. Demonstrable efficiency and effectiveness improvements are embedded in service provider operations and institutional capacity is strengthened, ensuring the improvements continue. – *leading to 12.5m people with improved access to sustainable, affordable and viable WASH services*

Considering the semi-structured interview questions below, related to the Theory of Change statements but all in the context of WSUP's capability, knowledge, skills, attitudes and practices, as opposed to the alternative capacity development offerings. What is WSUP's USP? Is it selling 'pro-poor units', NRW and FSM? Asking in-country to score WSUP relative to the competitors? E.g. In what ways better/different from Vitens/WSP_WB/SUWASA? What sort of 'animal' do you think characterises WSUP? Does it have/have access to the right skills and knowledge? How strong/effective the link with water utility capacity?

	Questions/data checks	Possible Data sources	Notes/comparisons/counterfactuals
Output level. 2.1 Having the capacity to adopt and scale up effective models contributes to service providers and local/national government committing to adopt and scale up effective pro-poor models at a city wide level			
Relevance *Effectiveness* *Efficiency* *Impact* *Sustainability*	Are models for service delivery appropriate for a range of service providers from SMEs to utilities? How long have new business models been established with demonstrated service delivery on this basis? Are business models viable, do they take account of losses, and environmental and social sustainability?	Water utility SME Service Provider Municipality Regulator WSUP Programme Manager	Alternative models from WSP/WOP/ SUWASA/KFW/WSTF (Kenya)

Output level. 2.2 Capacity developed and changed attitudes to serving low income areas form part of the core business strategies of service providers			
Relevance *Effectiveness* *Efficiency* *Impact* *Sustainability*	Have service providers realigned their institutional focus to be pro-poor? Are service providers able to more effectively deliver services to urban poor, including women and girls? To what extent have service providers improved their efficiency in comparison with their previous work and with other service delivery models?	Water utility SME Service Provider Municipality Regulator WSUP Programme Manager	Staffing knowledge, skills, attitudes and practices
Output level. 2.3 Political developments and social stability do not significantly undermine service providers' commitment to scaling up effective pro-poor models at citywide level			
Relevance *Effectiveness* *Efficiency* *Impact* *Sustainability*	To what extent is the socio-economic-political context conducive to early pro-poor service improvements?	Water utility Municipality Regulator WSUP Programme Manager	Key informant interviews Newspaper articles search
Outcome Increased capacity and institutional change – *leading to 12.5m people with improved access to sustainable, affordable and viable WASH services*			
Relevance *Effectiveness* *Efficiency* *Impact* *Sustainability*	What results have changes had on service providers & the way they have delivered economic, social and health impacts? How many people have benefitted indirectly & are there differences in impact between females & males?	Water utility SME Service Provider Municipality Regulator WSUP Programme Manager Community/households	Alternative approaches from WSP/WOP/ SUWASA/KFW/WSTF (Kenya

Key questions and means to gather data in relation to Outcome 3

Outcome 3. Scale – City wide investment triggered. Pro-poor policies and institutional processes are adopted by local service providers and authorities and supported by financially viable service improvements, triggering investment from a range of funding sources for the expansion of service delivery.

	Questions/data checks	Possible Data sources	Notes/comparisons/counterfactuals
Output level 3.1 Finance models designed to mobilise scale up finance are replicable and can be appropriately adapted to specific contexts and stakeholders			
Relevance	What are the wider changes that have occurred in investment programmes and policy at the city level and how many people have benefitted? To what extent have new investments been made in unserved or underserved areas where the poor live?	WSUP Financing records	What is WSUP's USP relative to other donors/agencies?
Effectiveness		Water utility	
Efficiency		SME Service Provider	
Impact		Municipality	
Sustainability		Regulator	
		WSUP Programme Manager	
Output level 3.2 Effective pro-poor targeting of low income components within IFI investment projects provides examples for further replication and scale up in other countries and contexts			
Relevance	To what extent have city wide policies prioritised pro-poor & have new investments been made on the basis of delivering service efficiencies particularly for the poor?	WSUP Financing records	To what extent are IFIs benefiting from WSUP approaches, or leading, or simply on parallel track?
Effectiveness		Regulator	
Efficiency		WSUP Programme Manager	
Impact		IFI Country staff	
Sustainability			
Output level 3.3 Pledged budget/investments for low income areas are released/delivered upon within reasonable timeframes			
Relevance	Timely release and spending of funds?	WSUP Financing records	
Effectiveness		Water utility/municipality	
Efficiency		Regulator	
Impact		WSUP Programme Manager	
Sustainability			
Output level 3.4 A meaningful proportion of this money goes to on-site sanitation and associated services			
Relevance		WSUP Financing records	

Effectiveness	What proportion of funds are spent on sanitation and hygiene promotion? Are pro-poor and gender attentive models and ways of working being accepted for city wide stakeholders and their business models?	Water utility/municipality Regulator WSUP Programme Manager	Why the on-site sanitation focus when communities would often prefer (reduced cost) sewerage?
Efficiency			
Impact			
Sustainability			
Outcome Mobilising finance and making it more effective- *US$220m finance mobilised and more effective: households, local private sector, public sector and IFIs*			
Relevance	Is there the right balance between capital grant/loan investment & revenue versus expenditure in areas where urban poor live & more widely across the city? Is there a city wide resource & waste management plan?	WSUP Financing records Water utility/municipality Regulator WSUP Programme Manager	What is WSUP's USP relative to other donors/agencies?
Effectiveness			
Efficiency			
Impact			
Sustainability			

Key questions and means to gather data in relation to Outcome 4

Outcome 4. Influence: Sector influence worldwide Scalable, viable, effective and replicable approaches for pro-poor urban water and sanitation service delivery are documented, backed by evidence, disseminated widely and influencing decision makers in service providers and the wider sector

	Questions/data checks	Possible Data sources	Notes/comparisons/counterfactuals
Output level. Evidence. ACTIVITY 4.1 - Research and Analysis			
Relevance	Did the research areas break new ground/was it the most relevant to undertake?	Literature search of research in these areas Guy Norman for choice of areas WEDC or International Rescue Committee (IRC) – Netherlands (not involved in research programme)	Important to understand if these were recognised as the or some of the most important questions to answer/areas to influence
Effectiveness	To what extent have the research projects commissioned under this programme contributed to country-level objectives?	Traction and Scale studies in Maputo Scale: study in Bangladesh evaluation of Zambia FSM	How effective is research in achieving this? Evidence based programmes is increasingly stipulated

Efficiency	Were reports developed within a reasonable timeframe and at least one peer reviewed?	Documentation on drop box	Cost analysis will not be undertaken. Costs will be mapped and may be commented on.
Impact	What has been the impact of the research work?	Guy Norman WSUP Country Programme Managers Users or research work (to be identified)	
Output level. Learning. ACTIVITY 4.2 - Documentation and Dissemination			
Relevance	Was there a plan for what need to be documented and how were topics identified? What was useful, not useful and what was not covered that could have been?	Guy Norman for choice of areas WEDC and WSP for other views on documentation needs	Focus on publications
Effectiveness	Did documentation and dissemination provide new learning to organisations, was it widely used and changed the way organisations worked? Has translation been important? How many slots did WSUP present in network meetings compared to meetings attended and what was their influence?	2015 WSUP publications survey. Publication user satisfaction survey early in Year 2 Reports from network meetings	
Efficiency	Was delivery within expected costs/time? What other channels of dissemination beyond publications and workshops could have been used?	Budget costs for publications Guy Norman for choice of topics for publication Other user organisations e.g. CARE, WaterAid	Cost analysis will not be undertaken. Costs will be mapped and may be commented on.
Impact	What has been the impact of dissemination activities conducted under this programme on external perceptions of WSUP's work? Are WSUP's current dissemination channels conducive to achieving WSUP's influencing objectives? What was the impact of the Masterclasses	WSUP publications survey. Guy Norman	

Output level. Training. ACTIVITY 4.3 – Training			
Relevance	How were the main audiences and the learning processes chosen? Why were there parallel process Global and Mozambique What has WSUP learnt from its programme going forward for next business period?	Guy Norman WEDC?? Mozambique's Eduardo Mondlane University Course evaluation reports	
Effectiveness	Did training provide new learning? How were participants able to apply this in their work?	Guy Norman WEDC?? Mozambique's Eduardo Mondlane University Course evaluation reports	
Efficiency	What were the costs/time involved? Was delivery within expected costs/time? Could learning have been delivered in other ways, e.g. unaccredited short courses, apprenticeships, internet learning programmes, artisan rather than professional level.	Guy Norman WEDC?? Mozambique's Eduardo Mondlane University Course evaluation reports	Cost analysis will not be undertaken. Costs will be mapped and may be commented on. While Masterclass and MSC module have different purposes and audiences it will be useful to compare inputs and outputs.
Impact	What has been the impact of learning courses? How does relative impact of Masters module compare with the Masterclasses?	Course evaluation reports	While Masterclass and MSC module have different purposes and audiences it will be useful to compare impact.
Outcome level. Influencing (as per the INTRAC proposal)			
Relevance	Do new models of service provision, capacity building and investment decision making influence or align with emerging global thinking?	Guy Norman WSUP Country programme staff Government and utility staff in Kenya and Mozambique DFID WSP?	

Effectiveness	To what extent have DFID, IFIs, UN and service providers adapted their ways of working and focused investments to be more pro-poor as a result of WSUP dissemination, research & training?	Guy Norman WSUP Country programme staff Government and utility staff in Kenya and Mozambique DFID WSP?	
Efficiency	To what extent have global polices and investment prioritised efficient service provision for the poor?	Guy Norman WSUP Country programme staff Government and utility staff in Kenya and Mozambique	
Impact	To what extent have urban poor populations benefitted from improved urban WASH service provision? What evidence exists for the uptake of service delivery models implemented under this programme by other service providers and WASH-implementing organisations?	Guy Norman WSUP Country programme staff Government and utility staff in Kenya and Mozambique A Partner Performance Assessment (PPA) for DFAT (formerly AusAID) of the WSUP programme in Maputo which DFAT has funded for four years	
Sustainability	How have investment policies and practices of other organisations addressed social, economic and environmental sustainability? Evidence of influence in other countries where WSUP Advisory works. To what extent does the membership model lever influence? Evidence of influence with others WB, ABD, UN agencies	Guy Norman WSUP Country programme staff Government and utility staff in Kenya and Mozambique DFID WSP?	

Annex Eight – Household and Infrastructure surveys – note

WSUP have contracted six separate consultants (one in each country) to conduct:

- A Household survey of users (300 households across three defined survey areas*)

- An Infrastructure survey (in two or three defined survey areas)

- At least one FGD (in three survey areas)

Analysis of the data from the two surveys will contribute towards the overall assessment of the programme. It will be used to further inform and refine the methodology, primarily in highlighting areas to focus on in interviews with user groups and beneficiaries in the two country visits.

Both Household and Infrastructure surveys are being undertaken using the mobile data collection platform Mwater, using the same questionnaires in each country. Review of the questionnaires suggests they will provide data relevant to objective 1 against the criteria of relevance and effectiveness of the WSUP interventions, and to a lesser extent, efficiency, impact and sustainability. The inclusion of non-WSUP users and questions of around previous water and sanitation arrangements provide a limited counterfactual.

The survey areas are geographically limited areas benefiting from a WSUP intervention – they may be one single area or a group of non-contiguous areas. In each country, the consultants must define three survey areas covering different types of intervention. They are selected on the basis that two intervention types have been rated by WSUP as strong, and one is rated moderate or weak. Only interventions with impacts at household are included (i.e. school-based programmes are excluded).

Sampling for the Household survey is complex and multi-stage, and may vary from country to country. For the Infrastructure survey, a random sample of infrastructures is stipulated within the survey areas. The sample size (minimum 150 WSUP intervention users in each country programme) may limit the power of the survey in observing differences between countries and between intervention types etc. The evaluation team will review the final achieved samples and establish whether and what statistical testing may be applicable to the sample designs. At this stage, we do not propose linking the analysis of infrastructure and Household surveys at a micro-geographic level (survey area or intervention catchment level), due to the sampling complexity and limited sample sizes.

Following the country visits and the final semi structured interviews the team will come together to highlight key findings and issues across the programme. To ensure quality each team member will be responsible for drawing together the findings and analysis for the Outcome/s they are responsible for. Inputs will be peer reviewed by team members as well as by INTRAC's Quality Assessment process (Clare Moberly and Dan James)[152].

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[152] Section 7, INTRAC Proposal.

Annex Nine – Household and Infrastructure surveys analysis

This is presented as a separate document.

Annex Ten – Further data on achievements against Outcome 4

Outline of achievements at the output level

4.1   Research

- Target six research reports, achieved four, others being finalised (complete by March 2016)
- Projects started in 2013/2014. Four reports submitted in December 2015
- Project submissions vetted at concept submission stage
- Projects will be peer reviewed when these are submitted to academic journals
- Total expenditure £537,000

Summary overview

Title	Country research conducted in	Research bodies	Relates to Outcome	Approx. cost[153]	WSUP Self-review[154] likely value-of-findings
BEHAVOIR - Using mass media behaviour change messaging to improve communal toilets in Dhaka, Bangladesh	Bangladesh	ICDDR,B John Hopkins, Stanford	Outcome 1	£220,000-	*excellent*
TREATMENT - The Last Piece of the Puzzle – Testing modular systems for treatment of waste from container toilets	Ghana	Cranfield University	Outcome 1	£38,000-	adequate
ENVIRONMENT – Impacts of slum water supply improvements on city-level water and energy consumption	Ghana and Kenya	Leeds University	Outcome 2	£84,000-	*excellent*
SCALE - Triggering Increased City-Level Public Finance for Pro-Poor Sanitation Improvements: A Research Agenda	Ghana, Kenya and Mozambique	The urban institute	Outcome 3	£195,000-	*good*
IMPACT project – Population Density, Neighbourhood-Level Sanitation Access, and Health in Urban Maputo 29 APRIL 2013 (externally funded MapSan)	Mozambique	??	Outcome 2 & 3	??	*excellent*

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[153] PERL DFID04 budget October 2015 spreadsheet

[154] Research-for-DFID-AnnualReportJan16-GN-26Jan2016.docx

| Transforming Waste consortium looking at FSM in Lusaka | Zambia | ?? | Outcome 1 | ?? | |

4.2 Publication development & dissemination, in-country meetings and events, international events

Publications

	Practice note (PN)	Topic brief (TB)	Discussion paper	Perspective piece (PP)	programme guides
DFID project target	15	6	0	0	0
Produced	11	9	3	3	2
Translation	55% French 45% Portugs				50% French
Total produced (including those before the project period)	20	15	7	3	2
Gender/women mentioned	PN 1, 2, 8, 12, 15 selected survey (W 0, G 0)	TB6 Tenure tenancy (W 1, G 5), TB11 Getting to Scale in Urban Sanitation (W 1, G 0)	003 pro poor finance (W 3, G 0), 006 Creating Business Value and Development Impact in the WASH Sector - (W 2, G 0)	P02 Entrepreneurial ecosystems success stories (W 0, G 0)	Urban programme guide (W 30, G 14)

- WSUP expects to publish seven additional publications before programme funding officially ends on 31st March 2016 – all of which will be related to our research projects – five short-form and two long-form – two relating to water and five to sanitation[155].

- Practice Notes (short documents discussing specific solutions for pro-poor urban water and sanitation, usually based on a particular WSUP experience), Topic Briefs (longer documents that take a more analytical look at successful and scalable models being demonstrated by WSUP and its partners in a range of countries), Discussion Papers (aim to stimulate critical debate about the major challenges facing WASH service provision for the urban poor, and to propose radical new approaches for overcoming these challenges) and Perspectives (take a view of the sector as a whole, inviting discussion of broader issues among all agencies involved in WASH interventions).

- Publications produced drawing upon material from following WSUP programmes

Publication by country (excluding programme guides)					
Bangladesh	Ghana	Kenya	Madagascar	Mozambique	Zambia
4	5	15	13	12	6
Publication by main topic (excluding programme guides)					
Water	Sanitation	Hygiene	Gender	Finance	Other
4	7	1	2	14	9

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- Total approx. Cost of publications around £60,000[156]

Type of publication	Short form (PN, PP)	Long Form (TB, DP)	Programme Guide
Number produced in programme period	14	12	2
Approximate amount spent on writing/editing/layout consultancy	£7,400	£34,400	£19,500
Indicative average cost per publication (not including in-house labour costs)	£529	£2,867	£9,750

Conferences (international)

- Target; none specified.

- 26 conferences, 14 attended in 2015, a few in 2013 (exact numbers unknown).

- The major WASH conferences attended; World Water week (2014, 2015), WEDC conferences (2013/14/15), Africasan (2015), Sacosan (2016), UNC conference (2013, 2014, 2015)

- 17 conference outputs on sanitation, one on water, five on WASH, three gender related, one on Behaviour Change.

Confe-rence	What	Where	When	WSUP lead/joint lead session	Gender/ Women	Outputs/ role	What
WEDC	Assessing demand for pit latrine emptying services in Kanyama + Sanitation in schools: successes and challenges for sustainability. Experience from Mozambique	Nakuru, Kenya	2013	NA		Just posters	san
WASH con	Programmatic approach to develop sustainable sanitation services in Maputo, Mozambique	Brisbane Australia	Mar-14	NA	(G3, W6)	ppt + paper	san
MHM	MHM in the school environment	Kampala Uganda	Aug-14	NA	Note topic	ppt + paper	Hygiene gender
SWASSA	Gender mainstreaming: experience from Maputo	Pretoria South Africa		NA	Note topic	ppt + facilitated workshop	gender
SWASSA	Improving pro-poor water services: experience from Maputo	Pretoria South Africa		NA	(G0, W0)	ppt	wat
SWASSA	Designing sanitation tariffs	Pretoria South Africa		NA		ppt	san
UNC	Capacity, Drive, Incentives: Engaging the private sector with urban sanitation	University of North Carolina, USA	Oct-14	Yes		ppt + discussio n panellist	san

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WEDC	Tracking urban sanitation services Improving faecal sludge management services through monitoring in Lusaka, Zambia	Hanoi Vietnam	Sep-14	NA	(G1, W0)	ppt + paper	san
WEDC	Bringing toilets back to Kumasi's compound houses: landlord and tenant behaviours and motivators	Hanoi Vietnam	Sep-14	NA		ppt + paper	san
Africasan	Financing sanitation: achieving 0.5% of GDP	Dakar Senegal	May-15	Yes		Facilitated session	san
Africasan	Financing sanitation: a local government perspective	Dakar Senegal	May-15	Yes	(G0, W0)	Facilitated session	san
FSM3	Supporting Scale-Up of FSM Enterprises in Dhaka, Bangladesh	Hanoi Vietnam	Jan-15	NA	(G0, W0)	ppt + paper	san
Kings WASH week	Embedding gender inclusiveness in urban WASH programme design	London	Mar-15	NA		ppt + discussion panellist	gender
Kings WASH week	Working with institutions: financing and maintaining urban WASH	London	Mar-15	NA		ppt + discussion panellist	WASH
Scaling for impact	Institutional behaviour change	Bangkok	Mar-15	Yes	(G0, W0)	ppt + discussion panellist	WASH
Stockholm world water	Sustainable City Sanitation – from planning to implementation	Stockholm	Aug-15	Yes		Facilitated session + discussion panellists	san
Stockholm world water	Exploring urban sanitation at the nexus of government and enterprise	Stockholm	Aug-15	Yes	(G0, W2)	ppt	san
Stockholm world water	Public Finance for WASH: making it happen	Stockholm	Aug-15	Yes		Facilitated session	WASH
SUWASA	Market-based sanitation solutions	Kampala Uganda	May-15	Yes		ppt + facilitated workshop	San
UNC 2015	Research for urban sanitation: where next	University of North Carolina, USA	Oct-15	Yes		Facilitated session	San
UNC 2015	Primary research around public finance for WASH: ways forward	University of North Carolina, USA	Oct-15	Yes		Facilitated session	WASH
WEDC 2015	Developing the market for local WASH businesses: lessons from pit emptying in Africa	Loughborough UK	Jul-15	Yes		ppt + discussion panellist	san

WEDC 2015	Sustainable Development Goals (SDGS) and their impact on the WASH sector	Loughboroug h UK	Jul-15	Yes		ppt + facilitated session	WASH
SACOSA N 2016	Public Private Partnerships in FSM in the SAARC Region	DhakaBangl adesh	Jan-16	Yes		ppt + facilitatin g session	san
SACOSA N 2016	FSM - supporting the full sanitation chain	Dhaka Bangladesh	Jan-16	Yes		ppt + facilitatin g session	san
WASH sustainab ility forum	Sanitation sustainability tracking	Amsterdam	Jun-14	Yes		Facilitatin g session	san

Conferences national

- In addition, National conferences were attended though not part of budget/log frame (this is partial listing including responses from Zambia and Mozambique).
  - Zambia - April 2013: Presentation on what WSUP is what we do + FSM business model in the WATSAN quarterly meeting; (Commercial Utilities, Learning institutions and industry
  - Zambia 2015 WSUP attended and made presentation during the Urban Sanitation – Professionalisation of emptying service Sustainable Sanitation and Hygiene for All – Urban Program Manila, Philippines, 30 November -3 December, 2015. This was a learning event.
  - Mozambique in 2013: WSUP had three presentations related with: FSM, Standpipes and Equity and inclusion, challenges in WASH
  - Mozambique 2013: participation in the National Conference on Communication in HIV where WSUP presented a poster about Inclusivity in WASH; attended an AIAS meeting for discussion of the "*Namialo and Monapo Sanitation Master Plan*" where WSUP sanitation models where presented;
  - Mozambique WSUP presented to a workshop about "Reflections on the Education of the Girls" organised by Ministry of Education and Save the Children; the WSUP participant also moderated the workshop which had about 50 participants from MINED, national and international civil society organisations, universities and school councils.
  - Mozambique WSUP was invited by MINED to share their experiences working in the education sector, in a National Meeting with MINED partners; 55 people attended (30W&25M).
  - Mozambique WSUP presented WSUP sanitation work in a workshop under the theme "the evolution of environmental impact assessment in Mozambique, sanitation

International Learning visits

(This is a partial listing, including responses from Zambia and Mozambique).

- Mozambique in 2013: A visit was organised to NCWSC Nairobi Informal Settlements Department, to learn and share experiences related to LIC services and establishing a LIC unit. There were six participants from AdeM (1M+1W), FIPAG (1M+1W), CRA (1M) and CMM (1M).

- Mozambique In 2014: Related with UCLTS a learning visit was realised to Tana with four people (2M & 2W), representing AIAS, WSUP, SCDS and CMM.
- Zambia – facilitated the learning visit for Zambian LWSC and Ministry of Local Government and Housing during the WSUP PIW that was held in Maputo in 2013.

4.3   Masters module

- Target; 150: 75 f / 75 m.
- Achieved 87. Estimated to be 17 females but this is a guess from names where listed. (Numbers will increase with addition of Zambia class – February 2016.)
- The WASH in urban low-income communities' module was developed by WEDC under contract.
- Five short Courses run in five WSUP country programmes, the course in Zambia was programmed in February 2016 but will not be run.
- Course materials available on WSUP web site[157]
- All been run in conjunction with national Universities and with WEDC (except Bangladesh) delivering the courses.
- Courses were spread over a 5 – 15 days' period, equivalent to 5-8 days' full time.

Evaluation scoring for Masters module delivered:

Bangladesh	Ghana	Madagascar	Kenya	Mozambique
No evaluations included	33% very good 47% good	overall ranking; 47% very good 47% good	overall ranking very good 33%, good 56%	No evaluation scoring given
seemed to be pitched at more mid-level professionals	There was suggestion that it could be aimed at more senior people.	Mostly mid-level professionals attended		All of the students that responded agreed or strongly agreed that the module has helped them develop a greater understanding of the subject

- Costs are summarised: £50,000 contract with WEDC to develop training (paid by both DFAT and DFID), cost for five courses has been £38,500 to deliver 39 days (some day's part time) of training in five countries split between DFID and DFAT.

	Zambia	Kenya	Mozambique	Ghana	Madagascar	Bangladesh
dates	planned for Feb. 2016	November 9 to 13, 2015	Sept 1 to 15, 2014	May 25 to 29, 2015	November 16 to 25, 2015	November 15 to 19, 2015

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[157] http://www.wsup.com/programme/resources/

location/ Delivery by	University of Zambia, Lusaka	WARREC (Jomo Kenyatta University Nairobi)	Universidade Eduardo Mondlane Maputo	KNUST	IST-T	ITN-BUET
classroom days		4.5	15	4.5	7	4.5
days for field trip		0.5	1	0.5	1	0.5
Numbers attending		20	14	15	13	25
No of Govt				1		
No of women		8??		3??	3??	3??
cost of implementation (GBP)	N/A	4,973.30	20,100.00	1,054.71	2,051.87	10,417
Cost per head/day		49.73	89.73	14.06	19.73	83

Masterclasses

- Target; none specified.

- The Masterclasses were introduced into this work stream after the proposal first reported to the Board in May 2013 and first reported to DFID in our July 2013 Six-Monthly Report under Output 4.3 (Professional training)

- Masterclasses have been run at Africa regional level in 2013 (Uganda) and 2015 (Zambia). Attendance; 60 people (2013) to 54 (2015) people. (no gender breakdown)

- Cost about £60,000 for 2015 Zambia class[158]

- Internal planning meetings, functioning in a similar way to Masterclasses, with sessions on a range of topics, sometimes with external speakers, for WSUP staff as part of annual planning meeting to improve our internal learning. These were held annually, so four within the lifespan of the DFID programme: Horsley, UK, in 2013; Antananarivo in 2014; Accra and Kumasi in 2015; and Cambridge (forthcoming) in 2016.

- Exchange visits, not stated as an activity in budget and log frames.

Masterclass	Focus	Evaluation feedback	Women/gender
Water and Sanitation for Low Income Consumers, Kampala, Uganda 2-5th December, 2013	Focus on themes and success stories; LICs and FSM.	Report with learnings but no evaluation of value of the Masterclass	

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[158] Email from Sam Drabble 11th January 2016

Urban WASH Masterclass, Lusaka, Zambia. 9th -12th February 2015	1) Structuring responsibility for low-income consumers within water utilities, 2) Building effective city-wide Faecal Sludge Management (FSM) systems, 3) Developing sanitation surcharge models to support sanitation improvement in urban low-income communities	Follow up action provided	(w 0, G 0) session Organisational structures within utilities for extending services to low-income communities