



EVALUATION OF WASHPLUS: SUPPORTIVE ENVIRONMENTS FOR HEALTHY COMMUNITIES PROJECT FINAL REPORT

This report was produced for review by the United States Agency for International Development (USAID). It was prepared by Optimal Solutions Group, LLC, for USAID's *Learning, Evaluation, and Analysis Project (LEAP)*, Contract Number: AID-OAA-C-11-00169.

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT
LEARNING, EVALUATION, AND ANALYSIS PROJECT
(AID-OAA-C-11-00169)

**EVALUATION OF THE
WASHPLUS: SUPPORTIVE ENVIRONMENTS FOR
HEALTHY COMMUNITIES PROJECT**

FINAL REPORT

**Prepared for the United States Agency for International Development
Prepared by Optimal Solutions Group, LLC**



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November 25, 2014

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ACRONYMS

AOR	Agreement Officer's Representative
APHIA	AIDS, Population and Health Integrated Assistance
AVAS	Association of Voluntary Actions for Society
CCT	Controlled Cooking Test
CHEWs	Community Health Extension Workers
CHWs	Community Health Workers
CLTS	Community-Led Total Sanitation
COP	Chief of Party
CQI	Continuous Quality Improvement
DAM	Dhaka Ahsania Mission
DANIDA	Danish International Development Agency
DHS	Demographic and Health Surveys
DPHE	Department of Health and Engineering
DORP	Development Organization of the Rural Poor
FABRI	Further Advancing the Blue Revolution Initiative
FHI360	Family Health International360; WASHplus prime partner
FJKM	Fiangonan'i Jesoa Kristy eto Madagascar (faith-based NGO in Madagascar)
FTF	Feed the Future
BMGF	Bill and Melinda Gates Foundation
GACC	Global Alliance for Clean Cookstoves
GH/HIDN	Global Health, Office of Health, Infectious Diseases and Nutrition
GIZ	German Agency for International Cooperation
GoB	Government of Bangladesh
HIP	Hygiene Improvement Project
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome
IAP	Indoor Air Pollution
ICS	Improved Cook Stoves
IDIQ	Indefinite Delivery/Indefinite Quantity (contract)
ICDDR,B	International Centre for Diarrheal Disease Research, Bangladesh
IRC	International Research Centre
JICA	Japan International Cooperation Agency
JMP	Joint Monitoring Program
KM	Knowledge Management
KR	Knowledge Resources
LEAP	Learning, Evaluation, and Analysis Project
M&E	Monitoring and Evaluation
MCH	Maternal and Child Health

MDGs	Millennium Development Goals
MICS	Multiple Indicator Cluster Surveys
MOEd	Ministry of Education
MOH	Ministry of Health
MOPHS	Ministry of Public Health and Sanitation
MPI	Multidimensional Poverty Index
NGO	Non-Governmental Organization
NTD	Neglected Tropical Diseases
PLAN	Plan International USA
PPP	Public and Private Partnerships
PPPHW	Public Private Partnership for Handwashing
SAF	Sampan'Asa momba Fampandrosoana (faith-based NGO in Madagascar)
SAP	South Asia Partnership
SNV	Stichting Nederlandse Vrijwilligers (Foundation of Netherlands Volunteers)
SN2	Santénet2
SOW	Statement of Work
SPLASH	School Promoting Learning Achievement through Sanitation and Hygiene
SPRING	Strengthening Partnerships, Results, and Innovations in Nutrition Globally
STAR SW	Strengthening TB and HIV/AIDS Response in the South-Western Region of Uganda
SUWASA	Sustainable Water and Sanitation in Africa
SWA	Sanitation and Water for All
UNC	University of North Carolina
UNICEF	United Nations Children's Fund
UNDP	United Nations Development Programme
USAID	United States Agency for International Development
VERC	Village Education Resource Center
WADI	Water and Development IDIQ
WASH	Water, Sanitation and Hygiene
WEDC	Water, Engineering and Development Centre
WHO	World Health Organization
WSP	Water and Sanitation Program
WSUP	Water and Sanitation for the Urban Poor

EXECUTIVE SUMMARY

Background

The WASHplus Cooperative Agreement is housed in the United States Agency for International Development (USAID) Bureau for Global Health's Office of Health, Infectious Diseases, and Nutrition (GH/HIDN), Maternal and Child Health Division. It is a 5-year activity focused on the implementation and scale-up of environmental health interventions to prevent morbidity and mortality from infectious diseases, primarily in young children, as well as among vulnerable adult populations. The WASHplus Cooperative Agreement began in October 2010 and ends in September 2015. The strategic objectives of the WASHplus activity are:

1. Increase the availability and use of water supply, sanitation, hygiene (WASH), and indoor air pollution (IAP) interventions.
2. Develop and implement WASH/IAP integration strategies.
3. Support USAID's participation in strategic partnerships.
4. Develop and test new and innovative approaches and tools.

Evaluation Methodology

The evaluation methodology included a document review, budget analysis, and stakeholder interviews. A total of 55 out of 81 interviews (67 percent response rate) were completed with WASHplus staff in Washington, DC, WASHplus staff in-country, global partners, government representatives, USAID Missions staff, USAID staff in Washington, DC, and local implementing partners. Stakeholders were interviewed in all seven of the WASHplus country programs (i.e., Bangladesh, Benin, Kenya, Madagascar, Mali, Uganda, and Zambia). The team also evaluated the content and functionality of the WASHplus website.

As per the statement of work (SOW), visits to field programs were not part of the evaluation methodology.

Findings

USAID Context

- WASHplus has operated within a dynamic and evolving institutional context at USAID that puts emphasis on increased engagement with local partners, particularly in building the capacity of and working through national and local governments.

Benefits of WASHplus as a Core Mechanism for Missions

- WASHplus is designed to offer a variety of benefits, including that it is easier and faster than using the other mechanisms available to USAID Missions to implement WASH programming, and it provides Missions with access to trusted partners.

- Obligated funds are currently just over a third of the \$100 million WASHplus ceiling, which, though high, constitutes a small fraction of USAID funding to WASH. Some WASHplus country programs are not close to using their obligated budget. Countries with large service delivery account for a great portion of expenditures.
- There was limited demand for the WASHplus mechanism from USAID Missions.

Impact at Country Level

- WASHplus has undertaken service delivery in its country programs with programming designed to positively impact the lives of the poor.
- The WASHplus mechanism did not have a strong emphasis on government capacity and leadership.
- WASHplus was not designed, and has not been used, to help Missions to build skills to conduct a government-to-government approach of implementing WASH activities in the future.
- Despite some attempts, public-private partnerships (PPP) and other forms of private-sector involvement have not evolved into a prominent feature of the WASHplus program to date.

Integrated Programming

- WASHplus has incorporated integrated programming, has made related resources available, and has undertaken innovative country-level integrated programming.
- The IAP component of WASHplus has had a reach in IAP globally, and in applying lessons from behavior change programming in the WASH sector. However, WASHplus was unable to achieve notable country reach with IAP.

Project Management

- Respondents suggested that WASHplus is well managed and the staff is highly responsive.
- WASHplus has faced constraints due to its complicated contractual structure involving multiple partners and multiple bureaucracies.
- WASHplus is perceived to have not demonstrated flexibility with regard to staff assignments and its use of experts.

Global Leadership and Knowledge Management

- Interview results suggest that WASHplus has not developed an evident global leadership role and is largely absent from the current global policy debates. Opportunities exist to bring the learning from WASHplus country programming to global attention.
- Certain aspects of WASHplus knowledge management are highly valued by users, in particular the “WASHplus Weekly.”
- The reach of WASHplus knowledge management has been uneven.

- Webinars for which attendance data are available show that they attracted more than 500 participants and that between 14 and 28 percent of attendees have been from developing countries.
- There is a considerable volume of English content on the WASHplus website and Twitter, but limited content in French, which is needed considering that three of the country programs are francophone.

Conclusions

The following conclusions were documented as a result of the evaluation’s findings and analysis:

USAID Context: WASHplus has operated within a dynamic and evolving institutional context at USAID that puts great emphasis on increased engagement with local partners, particularly in building the capacity of and working through national and local governments.

Benefits of WASHplus as a Core Mechanism for Missions:

The benefits and challenges of the WASHplus central mechanism, combined with the evolving strategy within USAID and the ongoing commitment of the agency to WASH, suggest that as Missions are looking at larger WASH projects, they will be less likely to use a centrally managed mechanism for projects that include service delivery, and will work directly with local NGOs and national and local governments. Moreover, it is also evident that the need for advice, training, and technical assistance will be greater, particularly for projects that aim to work through national governments, local governments, and local implementing agencies.

Financial:

Most WASHplus country programs had insufficient demand for their programs which led to an under-utilization of their budgets. Countries with significant service delivery represent a large portion of WASHplus expenditures compared with other small-scale programs. WASHplus accounts for a small portion of USAID expenditures on WASH, but its strategic objectives were ambitious. However, it appears that the demand-driven model used has not been consistent with these objectives, particularly with the objective of “moving beyond basic service delivery through non-governmental organization (NGO) projects.

Impact at Country Level:

WASHplus is seen as a program that has had a significant impact and has implemented effective service delivery in the countries where it was in operation. Although the WASHplus country activities in Zambia and Bangladesh aimed to build government capacity at the national and the district levels, WASHplus has not been used to build government capacity and leadership

systematically across all countries in which WASHplus operated. Interviewees suggested that more could be achieved in terms of building the capacity of the local private sector for provision of WASH products and services and to develop new PPPs, as called for in the strategic objectives.

Integrated Programming:

Based on interview findings and documents reviewed, WASHplus has energetically embraced integrated programming, has made many related resources available, and has undertaken innovative country-level integrated programming. Integrated programming is becoming an accepted approach, both within USAID and other agencies. Nonetheless, understanding the institutional obstacles to making integrated programs work is not yet well understood.

Project Management:

According to interview respondents (approximately 90 percent), WASHplus staff have been highly responsive to country offices, with good communication quality and promptness as indicated in the interview responses. Because of its contractual structure, WASHplus has also faced some constraints. These constraints have led to a delay in the start-up of some activities. Interview responses also suggest that the structure and responsibilities of this centrally funded mechanism were often not clear.

Global Leadership and Knowledge Management:

Based on a review of WASHplus activities and interview responses, the program has been somewhat active at the global level, it could have a higher profile. Opportunities exist to bring the learning from WASHplus country programming to global attention. USAID seeks to take a leadership role in the sectors in which it engages. There is considerable opportunity to be the voice of the United States on specific policy issues relating to WASH, in particular those around sanitation and hygiene and the role of governments (especially the leadership of Ministries of Health).

The attendance rate at webinars suggests there is a strong interest in presentations organized by WASHplus; some respondents recommended that webinars could be both more frequent and more consistently scheduled. The availability of recorded webinars online seems to be an effective way to attract a greater audience from developing countries. The WASHplus website and presence on Twitter have been used effectively to communicate information. However, considering that three of the seven countries participating in WASHplus are Francophone, the evaluation team found that limited material was available in French on their website.

Lessons Learned for the Future

The following lessons learned for future programming were gathered:

- In order to be relevant, a centrally funded mechanism needs to have some influence on other USAID WASH investments, not just the funding that flows through the mechanism itself. This could be achieved through knowledge management, capacity building, and the development of innovations.
- The demand-driven model used has not been consistent with the ambitious strategic objectives set for this centrally managed mechanism. In the future, if a demand-driven approach is used, USAID should ensure it benefits from more widespread promotion to Missions, and for country-level project requests to be in line with the intended scale, goals, and strategy of the program. It is important to develop approaches that allow the learning and innovations from country-level activities to be widely adopted among a large number of USAID Missions.
- Future investments and programming should reflect that USAID support to WASH will continue in the future. USAID will expect these interventions to be consistent with the strategies that it has recently developed, and closely coordinated with the other WASH activities of USAID. Given USAID's new strategies and the evolution of development thinking (e.g. leveraging the whole of government approach), there is a need to develop approaches that foster government leadership, build government capacity, work with the private sector at scale, and increase the ability of U.S. Missions to work directly with the host government.
- In the future, it will be important to provide Missions with advice and support necessary to work more effectively with national governments and local partners to respond to the imperative articulated in the USAID Forward strategy.
- There is considerable opportunity to be the voice of the United States on specific policy issues relating to WASH, in particular those around sanitation and hygiene and the role of government, especially the leadership of Ministries of Health.
- Future knowledge management could focus on resources relating to working with and through governments on water, sanitation, and hygiene, which would address the specific needs of the Ministries of Health to deliver on their mandate with respect to sanitation and hygiene.

Recommendations

The evaluation team recommends the following activities, which can be implemented during the final year of the program:

- The last year should have a strong focus on building country-level capacity and mechanisms to ensure sustainability of the interventions in the program countries. When possible, emphasis should be given to supporting existing entities—especially national and local governments—to build upon WASHplus’ effective activities once WASHplus support comes to an end.
- USAID should consider extending WASHplus for a period of 6 to 12 months, which would provide additional time for countries where there were start-up delays or under-utilization of budgets to meet their goals. This additional time period may also allow for further country-level capacity development and support to government agencies where necessary.
- Knowledge management activities, especially webinars, should be ramped up to disseminate the learning from WASHplus, and to make a wider group of stakeholders aware of recent evidence and best practices in WASH. Knowledge management products and webinars should be available in both English and French, and should be targeted to a variety of audiences, including a larger proportion of in-country stakeholders.
- The final knowledge management activities and products should focus not only on perceived successes, but on the constraints and challenges faced by the WASH sector and experienced through WASHplus activities. A thorough examination of the challenging aspects of activities such as achieving integration within development agencies, communicating the need for behavior change, and engaging with the private sector would and identifying mitigation strategies to these challenges, would be an excellent way of identifying additional available resources to other programs both within USAID and externally.
- WASHplus should develop a proposed future research agenda for USAID based on the needs identified and lessons learned through its activities.

1. INTRODUCTION

1.1. Background and Context

The WASHplus Cooperative Agreement is housed in the United States Agency for International Development (USAID) Bureau for Global Health's Office of Health, Infectious Diseases, and Nutrition (GH/HIDN), Maternal and Child Health Division. This 5-year activity is focused on the implementation and scale-up of proven environmental health interventions to prevent morbidity and mortality from infectious diseases, primarily in young children, as well as among vulnerable adult populations. The WASHplus Cooperative Agreement commenced in October 2010 and ends in September 2015.

The strategic objectives of the WASHplus activity are:

1. Increase the availability and use of water supply, sanitation, and hygiene (WASH), and indoor air pollution (IAP) interventions.
2. Develop and implement WASH/IAP integration strategies.
3. Support USAID's participation in strategic partnerships.
4. Develop and test new and innovative approaches and tools.

Strategic Objective 1: Increase the availability and use of proven, high-impact WASH and IAP interventions. The project aims to achieve measurable improvement in the prevention of diarrhea through increased access to a water supply and sanitation, and improved hygiene practices, including hand washing with soap, the treatment and safe storage of water, the safe disposal of feces, and food hygiene. The project also aims to prevent the health impacts from IAP by improving indoor air quality in rural and urban households still reliant on biomass fuels and basic stoves to meet their energy needs for cooking and heating. Moving beyond basic service delivery through non-governmental organization (NGO) projects, WASHplus uses innovative approaches to expand access and use of WASH services, such as the development of innovative approaches for WASH financing; building the capacity of the local private sector for provision of WASH products and services; and institutional strengthening, especially at lowest levels of governance.

Strategic Objective 2: Develop and implement WASH integration strategies. The project aims to achieve improved health outcomes by integrating WASH programs with other health and non-health activities. Primary focal areas are the integration of WASH in education, HIV/AIDS, nutrition, food security, and neglected tropical diseases.

Strategic Objective 3: Support USAID’s participation in strategic partnerships. WASHplus supports USAID’s participation in strategic partnerships with other donors and cooperating agencies as a vehicle for increasing both the quality and scale of program activities. At the global level, a key factor in enhancing USAID’s leadership role and maximizing its contribution to the sector is identifying and pursuing the most effective platforms and partnerships (e.g., for scaling up sanitation). WASHplus will support USAID’s existing partnerships and explore the development of new public-private partnerships (PPPs).

Strategic Objective 4: Develop and test new and innovative approaches and tools. Problems that remain in the WASH/IAP sectors include technical efficacy, affordability and financing, behavior change strategies for continued use, and sustainable models to reach scale. These challenges call for innovations in technology, tools, and approaches. WASHplus will focus on developing or adapting promising technologies and approaches developed elsewhere for WASH and IAP implementation.

Cross-cutting initiatives that are developed across all of the strategic objectives include knowledge management and monitoring and evaluation (M&E). The knowledge management program will build knowledge platforms for information exchange, capacity building, and networking. These issues should be considered in all aspects of the strategic objectives.

The activities described above were designed to ultimately achieve a large-scale public health impact. Approximately 80 percent of WASHplus efforts were to be focused on increased availability and the use of WASH interventions, while 20 percent were to be dedicated to IAP.

1.2.Purpose and Scope of the Evaluation

The primary objectives of this evaluation are to:

1. Assess whether WASHplus is achieving its objectives and planned outputs as stated in the WASHplus agreement, project description, and in approved implementation plans. The performance review should evaluate successes, shortcomings, impact, and lessons learned from project interventions to date.
2. Make recommendations to improve the implementation of the current project and to inform future environmental health investments.

1.3.Key Evaluation Questions

The statement of work provided five principal questions to guide the evaluation, using the broader categories as a framework for inquiry.

Country impact:

- 1) To what extent, in what ways, and with what challenges has WASHplus acted to increase the coverage of high-impact WASH interventions at local, national, and global levels?
- 2) What is the efficacy of the methods used to increase coverage?
- 3) Specifically, what approaches to achieving increased coverage were chosen by the project to guide improved programming, contribute to post-Millennium Development Goals (MDG) process, and facilitate access to financing and technical assistance, etc.?

Integrated programming:

- 1) Has the WASHplus activity been effective at integrating WASH with other activities, including IAP, health, and non-health initiatives such as nutrition?
- 2) What new approaches have been tested, documented, and disseminated?
- 3) Does this integrated programming provide added benefits that are not observed for independent programming?
- 4) If WASHplus integrated programs, is there any carryover effect for other organizations to integrate programming?

Benefits of the WASHplus core mechanism for Missions:

- 1) What is the impression and efficiency of a Washington-based core mechanism within USAID Missions?
- 2) Did the project meet the missions' needs? If so, which needs?
- 3) In what areas were needs unmet?
- 4) How is a Washington-based core mechanism for WASH effective?

Project management:

- 1) Why were many of the WASHplus projects delayed?

Global leadership (including public private partnerships and knowledge management):

- 1) Have the WASHplus activities demonstrated “thought leadership” in the sector and how?
- 2) Specifically, what forums have WASHplus led or participated in, what written and oral (e.g., recordings of webinars) resources have they developed, and what is the impact of the knowledge management activities?

2. METHODOLOGY

The evaluation team used a mixed-method approach for data collection and analysis to gather comprehensive feedback on improving the implementation of the current WASHplus and for future environmental health investments. The primary sources of information for this evaluation were stakeholder interviews and document review. As per the statement of work, visits to field programs were not part of the evaluation methodology.

2.1.Data Collection Approaches

The following activities were conducted as part of data collection:

Document review: USAID provided the evaluation team with various WASHplus program-related documents, including annual work plans, annual and quarterly reports, and other relevant documents for the seven program countries participating in WASHplus (Annex 4). The team conducted a thorough review of the quarterly and annual reports and work plans. The WASH sector specialists on the evaluation team read key documents in detail to gain an understanding of the program and to be informed during the interview process. The team also created profiles for each country program, which included the deliverable status, duration of program, funding levels, and other general information based on the program documentation received (refer to Annex 2).

The WASHplus team provided financial information (Annex 6) about the project to the evaluation team. This information provided an overview on obligated funds and expenditures of WASHplus.

Stakeholder interviews: WASHplus DC-based staff and a representative from the USAID Environmental Health team provided the evaluation team with a list of 81 potential stakeholders for interviews. With their assistance, the stakeholders were assigned to one of seven categories:

- WASHplus staff in Washington, DC
- WASHplus staff in-country
- Global partners
- Government representatives
- USAID staff in Missions
- USAID in Washington, DC
- Local implementing partners

The evaluation team developed interview protocols (Annex 5) for the aforementioned stakeholder categories. These interview protocols provided a short list of questions to guide a structured interview. The list of interviewees was prioritized to ensure that a suitable number of respondents were interviewed in each country and category, and to reflect the extent to which each respondent could contribute to an understanding of the WASHplus project. As interviews progressed, respondents proposed additional people for the evaluation team to contact; these were added where possible. The team also requested that the WASHplus team suggest additional respondents to fill gaps.

A total of 55 interviews were completed (67 percent response rate). Each interview was led by one (or in some cases, both) of the WASH sector experts, with another member of the team taking notes. Five of the interviews were conducted in French by two members of the evaluation team, using French translations of the relevant interview protocols, and three of the interviews were with individuals working on IAP and clean-cook stoves.

The interview respondents were evenly distributed between the seven categories and across the seven country programs (see table 1 below). With the exception of government representatives, interviewees from almost all respondent categories were contacted in each country. It was difficult to identify government representatives with suitable knowledge of the WASHplus project in three of the country programs (i.e., Bangladesh, Madagascar, and Uganda). The evaluation team requested, when possible, to interview government representatives at both district and central level, a request that brought in three respondents in Kenya.

Table 1: WASHplus Evaluation Interviews by Country and Respondent Category

CATEGORY/ COUNTRY	WASHplus staff in DC ⁱ	WASHplus staff in country	Global partners ⁱⁱ	Govt reps. ⁱⁱⁱ	USAID staff in missions	USAID staff in DC	Local imp. partners	TOTAL
Bangladesh		1		0	1		2	4
Benin		1		1	1		1	4
Kenya		1		3	1		1	6
Madagascar		1		0	1		1	3
Mali		1		1	1		0 ^{iv}	3
Uganda		1		0	1		2	4
Zambia		1		1	1		1	4
Global/Other Countries			8		1			9
DC	10					8		18
TOTAL	10	7	8	6	8	8	8	55

ⁱ Included interview with one individual involved in indoor air pollution and clean-cook stoves.

ⁱⁱ Included interviews with two individuals involved in indoor air pollution and clean-cook stoves.

ⁱⁱⁱ Suitable government interviewees could not be identified for Bangladesh, Madagascar, and Uganda.

^{iv} Interviewees from local implementing partners were not provided for Mali.

Each interviewee signed a formal consent form agreeing to the interview and, if respondents agreed, the interview was recorded. Interview transcripts were typed and collated for data analysis.

The evaluation statement of work (SOW) required focus group discussions, but after consultation with the USAID, it was agreed that these were not practical given the dispersed nature of the stakeholders.

Information from the interviews was analysed quantitatively in which respondents were asked a “yes” or “no” question. When appropriate, the results of these questions are reported. Upon completion of the interviews, WASH sector specialists reviewed the transcripts to determine trends and themes arising from the responses. Illustrative quotes were extracted to provide firsthand insight into the opinions of the respondents, some of which are provided in this report, as applicable.

Review of WASHplus Website and Webinars

Website: Both the functionality (such as functional links) and the content of the WASHplus website were reviewed to assess whether or not the site was appropriate, useful, and contained current material that would be beneficial to a wide range of potential users. The evaluation team also reviewed all the characteristics above from the perspective of francophone users, given that of the seven WASHplus country programs, three of them are francophone: Benin, Mali, and Madagascar (where Malagasy is the second official language). The evaluation team evaluated the availability of French materials throughout the website through two levels of searches. The first-level search included browsing through the landing pages of the main sections of the website. The second-level search included opening 50 percent of the hyperlinks provided in the text of each section’s landing page.

Webinars: The WASHplus team provided data on the subject, timing, and attendance of webinars. The evaluation team analyzed these data, which are graphically presented later in this report.

2.2. Study Limitations

Limitations of interviews: Given the global distribution of the interviewees, the SOW required that interviews were conducted via teleconferencing (refer to Annex 1 for data gathering activities). This accommodation sometimes led to difficulties in sound quality that could limit understanding. To mitigate this challenge, two members of the evaluation team participated in each call. Team members cross-referenced interview transcriptions after the calls. In cases in which the interviewees gave permission, the evaluation team recorded the calls.

It was anticipated that there would be reluctance among some respondents to be frank. To mitigate this reluctance, the evaluation team clearly stated to each interviewee that his or her responses would remain anonymous and identifying comments would not be used. In addition, each interviewee signed a consent form that also explained the confidentiality of the interviews.

Given the time differences and the time commitments of stakeholders, it was difficult to schedule interviews with some key interviewees. This difficulty was mitigated by having two lead interviewers on the team, so that, for example, two early-morning interviews could be conducted in parallel. Additionally, a small minority of people had less formal, shorter interviews, and a small number were asked specific questions via e-mail.

Limitations of document review:

- Gaps in reporting: Some of the countries did not provide reports for every quarter. For example, there were only two quarterly reports for Uganda over a 1-year period.
- Number of beneficiaries: Quantitative data on beneficiaries were not systematically available for all countries. The exception was Zambia, which had thorough documentation of the targeted number of beneficiaries and the actual numbers achieved.
- Quality of descriptions of project outcomes: Descriptions of some of the project objectives and results were vague, making it difficult to set coherent criteria to evaluate project outcomes.

Because of the limited beneficiary data available, the evaluation team obtained approval from the USAID to not conduct an analysis of beneficiaries. The scarcity of information on project results led the team to probe for more details from the interviewees (refer to Annex 5 for interview questions).

3. FINDINGS AND CONCLUSIONS

3.1. USAID Context

In the last few years, USAID has embarked upon specific organization-wide initiatives that determine how mechanisms such as WASHplus are to be implemented. These strategies and initiatives essentially define how the agency intends to carry out its activities both in general, and specifically in the WASH sector. The evaluation team reviewed six initiatives of USAID; many stress an emphasis on increased engagement with local partners and building the capacity of and working through national and local governments

USAID Forward

Introduced in 2010, a ground-breaking new strategy titled “USAID Forward” proposes a major shift in the way USAID works based on principles that “reflect the global discourse on development that has evolved over the last decade.”¹ The strategy aims to create “a critical shift in the way we administer assistance, placing a greater emphasis on public-private partnerships and working with local governments and civil society organizations,”² directing USAID staff to work more closely with partners in-country to ensure sustainable results. The stated objective of the strategy is far reaching: “working ourselves out of business and replacing our efforts with those of responsible institutions, vibrant private sectors, and thriving civil societies . . . our goal is to use assistance and development to help nations realize their own potential, [develop] their own ability to govern, and become our economic partners.”³

Eradicating Poverty by 2030

USAID has also committed to support the eradication of extreme poverty by 2030. In early 2013, President Obama stated, “The United States will join with our allies to eradicate extreme poverty in the next two decades by connecting more people to the global economy; by empowering women; by giving our young and brightest minds new opportunities to serve and helping communities to feed, and power, and educate themselves; by saving the world’s children from preventable deaths; and by realizing the promise of an AIDS-free generation, which is within our reach.” USAID responded that “. . . building on a wealth of expertise, strategic thinking, more targeted resource allocation, and global partnership platforms, we are well-positioned to seek smart, sustainable solutions to extreme poverty.” The discussion paper “Getting to Zero” points out that poverty has many dimensions, which income alone does not

¹ USAID Forward Progress Report, 2013.

² *ibid.*

³ *ibid.*

capture, and refers to the Multidimensional Poverty Index (MPI) developed by UNDP. The MPI includes access to water and sanitation as two of the 10 indicators used to calculate the index.

Water and Development Strategy, and 2014–2025 Multi-Sectorial Nutrition Strategy

At the same time, the agency has developed two new strategies that directly relate to water sanitation and hygiene. The Water and Development Strategy covers the period 2013 to 2018 and outlines the approach of the agency in both water for health and water for food, and states that it draws on USAID Forward “by supporting host country systems and emphasizing an integrated approach to development.”⁴ The strategy includes a target of reaching 10 million people with an improved water supply and six million with improved sanitation. USAID’s 2014–2025 Multi-Sectorial Nutrition Strategy is described as the first of its kind at USAID. The strategy’s multi-sectorial approach addresses both direct and underlying causes of malnutrition, and focuses on high-impact actions across health, nutrition, agriculture, water and sanitation, and humanitarian assistance programs. It includes WASH as a “nutrition-sensitive intervention” and contains a well-referenced subsection on WASH outlining “essential WASH actions.” These include hand washing with soap, the treatment and safe storage of drinking water, and the sanitary disposal of human feces. The strategy singles out sanitation in particular and cites its strong correlation with stunting: “even in the absence of diarrhea, a fecal-contaminated environment is linked to environmental enteropathy.”⁵

Sanitation and Water for All (SWA)

USAID has also been an active participant in the Sanitation and Water for All (SWA) partnership. This alliance of 90 partners, including governments, donors, civil society organizations, and other development partners, started in 2010 and aims to create a cycle of robust planning, institutional strengthening, better use of resources, and higher investment to achieve universal access to water, sanitation, and hygiene. Partners agree to adhere to the SWA Guiding Principles, which are largely based on the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action. The principles include country ownership, alignment, harmonization, managing for results, mutual accountability, and predictability. The principles aim to facilitate improved domestic investment, increased donor flows through country systems, and more effective use of all resources in the sector to ultimately achieve sustainable access to services for everyone. USAID has been a member of the partnership since its first biennial High-Level Meeting in 2010.

⁴ USAID Water and Development Strategy, 2013–2018.

⁵ A subclinical condition of the small intestine caused by constant fecal-oral contamination and resulting in blunting of intestinal villi and intestinal inflammation, and consequent decreased nutrient absorption and infiltration of microbes.

Further, at the most recent High-Level Meeting of the SWA partnership in April 2014, USAID Administrator Rajiv Shah announced numerous new commitments on behalf of USAID. Many of commitments reflected the direction described in the USAID Forward strategy. For example, the administrator stated that the agency wanted to “identify a partnership framework that recognized that the majority of resources going towards [WASH] efforts come from countries themselves, and we play a modest but sometimes catalytic role.”

Water and Development IDIQ (WADI)

More recently, the Water Office within USAID issued a water and development indefinite delivery indefinite quantity (WADI) contract to “carry out task orders that reflect the [agency’s] strategic direction and focus in water programming.” Under the contract, USAID wishes to “acquire innovative and effective practices in the water sector supporting USAID’s work in sustainable water, sanitation, and hygiene, and in enhancing food security through productive use of water in agriculture . . . [and] provide technical services and support to USAID Missions, Bureaus and Offices worldwide in implementing priority water sector activities.” The total ceiling under the IDIQ is \$1 billion dollars. WASH is a significant part of the IDIQ, and awardees will provide services that include various WASH related activities, technical assistance services, capacity building and institutional strengthening (specifically capacity building for USAID staff), and training of technical personnel within host-country institutions on topics including WASH.

The indefinite delivery indefinite quantity (IDIQ) contract is designed to support the vision and strategic objectives as presented in the USAID Forward policy framework and the water and development strategy, which includes “building local capacity, nurturing lasting institution systems, and capacities in developing countries that enable them to confront development challenges effectively.” The IDIQ states that the proposed contract “will enable USAID Missions to implement and manage water and sanitation programs that embrace a broad range of policy, legal, regulatory, and institutional reform efforts. These reforms will anchor the long-term transformation of the water and sanitation sector, leading to sustainable service provision on an equitable basis.” The services to be provided by awardees also include supporting innovation, organizing seminars and workshops, and conducting sustainability analyses of USAID water and sanitation sector programs. This IDIQ and the other strategic plans demonstrate that USAID plans to continue its support of the WASH sector.

Conclusion: The WASHplus mechanism has operated within a context of evolution at USAID. USAID will expect these interventions to be consistent with the strategies that it has recently developed, and closely coordinated with the other WASH activities of USAID. The evaluation team concludes that future investments and programming should reflect this evolution.

3.2. Benefits of WASHplus as a Core Mechanism for Missions

USAID Missions decide whether or not to use the services of a central mechanism such as WASHplus, and the mechanism is expected to respond to requests from Missions without the mandate to approach them directly. Interviewees have voiced their opinions on the benefits and challenges of using a centrally managed mechanism in general, and WASHplus specifically. Findings from the interviews and financial data provided by WASHplus helped to determine the involvement of USAID Missions and their financial contributions (refer to Annex 6 for obligated fund and expenditures).

Finding 1: The WASHplus mechanism offers some significant benefits

- The WASHplus mechanism is perceived to be easy and fast: Many respondents believed that the WASHplus mechanism was both easier and faster than using other mechanisms available to USAID Missions undertaking WASH programming. Missions variously referred to WASHplus as “a quick way to access program funds,” a “learning project while designing something larger,” and a way to put “less burden on the mission.” It was also used by at least one Mission (in Kenya) to make very strategic use of a small amount of funding.
- WASHplus offers other opportunities to Missions: In some cases, Missions were attracted to the WASHplus mechanism because of the particular partners involved. Many respondents acknowledged that the WASHplus mechanism is expensive, but as one respondent said, it was “worth it to work with partners we felt were qualified.” Some respondents referred to the fact that WASHplus could help Missions that do not have WASH experience. One interviewee said, “For people who [do not] have a WASH background who need to do a WASH activity, WASHplus is great.”

Finding 2: There are numerous challenges related to the current WASHplus mechanism

- Despite the benefits that are available to Mission staff through advice and technical assistance provided by WASHplus, it was evident from numerous interviews that there is a growing interest within Missions in undertaking WASH programming directly. One respondent described the WASHplus centrally managed mechanism as a “middleman.” Several USAID respondents referred to the new USAID Forward strategy, which they felt meant that, in the future, they would “work directly with NGOs and [the] government” and not with WASHplus. As stated by another respondent, the introduction of new strategies such as USAID Forward could mean that “as Missions give funds directly to NGOs, the role of WASHplus will be smaller.”
- Mission staff members need access to WASH expertise, particularly around working with governments (Ministries of Health, Water, and Education). This expertise is important as Missions will be implementing larger WASH projects in the future. The capacity of

mission-level staff to design and support WASH programming is uneven. There are very few Missions with dedicated WASH staff, and Missions were acknowledged by a respondent within the USAID itself to be “weak” when it comes to WASH. Capacity in Africa, in particular, is lacking, which is a systematic problem. As one respondent said, “One week of WASH training won’t fix this.” Cross-country learning was also acknowledged to be difficult because being absent from their posts is difficult for people. USAID staff expressed frustration that they would “never be a global player without stronger WASH people.”

- Short time frame: Several respondents commented on the short time frame (5 years), and the problems it posed for Missions. This short time frame is particularly problematic as the current WASHplus project lost an entire year at the beginning due to the suspension of the original lead contractor just after start-up. Several respondents pointed out that to start something with WASHplus when it only had 1 or 2 years left to run was not practical, or that it had been hard to have an impact in the short time frame. The evaluation team was also told that, in some cases, valuable time was lost in extended negotiation with the Missions about approaches and work plans.
- Loss of control using WASHplus mechanism: Several Missions commented that WASHplus was “too far away,” and that they did not like the indirect communication with implementing partners. Several respondents commented on the fact that they “lost control” when they used the WASHplus mechanism.
- Limited sharing of WASHplus materials with colleagues: As noted in the knowledge management section (see Section 3.6), USAID mission staff often appreciated the material made available to them by WASHplus, but they seem to rarely pass it on to local colleagues. This observation was noted in particular in francophone countries as limited WASHplus material is available in French.
- Misunderstanding of the role of WASHplus mechanism: Among some respondents in Missions, there seemed to be a misunderstanding of the role of a Washington-based mechanism. Some appeared to be under the impression that working with WASHplus would keep them “on the radar of USAID in Washington,” with one respondent saying that it “allows them to have interaction with Washington.” Another respondent said they wanted a mechanism that could “lobby for funding for [their country] within the USAID system.”
- Lack of demand from USAID Missions: An important indicator of the perceived benefits to Missions of the WASHplus project is the small number of Missions that have actually used the mechanism (eight to date) Out of a total of 109 Missions globally, 30 were targeted as MCH priority countries by the Global Health Bureau and as the focus for WASHplus. While all of these Missions could not have been expected to buy into the mechanism, the original ambition of the program suggests that more than eight were expected to use it. WASHplus is expected to reach about 44 percent of its (admittedly

high) budget ceiling due to low Mission buy-in. Of concern is the fact that there seems to be reluctance on the part of some USAID staff in Washington to recommend WASHplus as a mechanism to Missions. Lack of confidence in WASHplus seems to have resulted in a type of vicious cycle, whereby WASHplus is not recommended to Missions, so few Missions use WASHplus, resulting in a narrow scope of experience that further undermines the credibility of the program. There was an acknowledgment of this in some of the interviews; one USAID interviewee said that “we never really bought in ourselves” to WASHplus.

Review of Financial Data

WASHplus has worked at the global level and in eight country programs to date: Bangladesh, Benin, Kenya, Liberia, Madagascar, Mali, Uganda, and Zambia (refer to Annex 2 for country profiles). These country programs have included activities in a range of geographic areas (e.g., rural, urban and peri-urban) and subsectors (see Annex 3 for detailed profiles of each country program). Table 2 summarizes the main WASHplus activities by country.

Table 2: Summary of WASHplus activities by country

Country and start and end dates	Main partners	Expenditures to May 31, 2014	Obligated budget	Main activities
Zambia 9/2011– 9/2015	FHI360 CARE	\$10,001,968	\$13,690,448	WASH in schools Hygiene education Behavior change Menstrual hygiene management
Liberia 9/2012– 10/2012	FHI360	\$110,739	\$127,260	Assessment of IWASH program
Bangladesh 9/2012– 5/2014	FHI360 Winrock Water Aid	\$1,277,589	\$4,863,058	Water supply, including techno innovations Improved sanitation in challenging terrain Improved local and community governance WASH-Nutrition Integration IAP-including consumer segmentation and WTP study
Mali 4/2013– 4/2015	CARE FHI360	\$515,810	\$2,500,000	WASH-Nutrition
Kenya 9/2011– 9/2014	FHI360	\$1,822,032	\$2,160,522	WASH-HIV Community-led total sanitation IAP

Country and start and end dates	Main partners	Expenditures to May 31, 2014	Obligated budget	Main activities
Madagascar 8/2011– 11/2013	FHI360 CARE Winrock Water Aid	\$1,148,665	\$1,158,000	Sanitation Fecal sludge management
Benin 10/2012– 10/2015	FHI360	\$286,905	\$750,000	Urban Hygiene Improvement Program
Uganda 12/2012– 11/2014	FHI360	\$269,364	\$500,000	Strengthening district competencies to budget, manage, and implement WASH (CLTS, school/ MHM, rainwater harvesting) WASH-HIV WASH-Nutrition

WASHplus in the context of USAID investments in WASH

Finding 3: Obligated funds are currently just over a third of the \$100 million WASHplus ceiling, which, though high, constitutes a small fraction of USAID funding to WASH. Some WASHplus country programs are not close to using their obligated budget.

USAID is investing in WASH with an average budget allocation of \$318 million a year between 2003 and 2011 (see table 3). WASHplus has channeled expenditures of approximately \$23 million in the first 3 and a half years of its operation, an average of \$6.5 million a year, which is equivalent to 2 percent of average annual USAID investment in the WASH sector over the last 9 years. Even at its highest expenditure year so far, with slightly over \$10.7 million channeled through WASHplus in Year 3 of the project, the program only accounted for 3.4 percent of the average annual USAID expenditures on WASH (see Annex 6 for WASHplus obligated funds and expenditure).

Table 3: USAID budget allocations for the water sector by thematic area (USAID Water and Development Strategy, 2013–2018)

USAID Budget Allocations for the Water Sector by Thematic Area Fiscal Years 2003 2011 (Millions of Dollars)										
USAID Budget Allocations for the Water Sector by Theme (\$ Millions)	2003	2004	2005	2006	2007	2008	2009	2010	2011	Ave. 2003-2011
Drinking Water Supply, Sanitation & Hygiene (WSSH)	159.80	239.80	216.93	265.00	213.22	389.92	493.01	520.41	360.05	318
Water Resources Management (WRM)	105.70	82.50	60.73	56.00	27.41	58.58	41.24	47.20	67.19	61
Water Productivity (WP)	115.60	68.40	45.35	22.50	17.39	38.91	45.30	53.11	109.30	57
Disaster Risk Reduction	20.60	10.00	6.76	5.84	5.65	2.20	50.55	21.45	21.82	16
Grand Totals	401.70	400.70	329.77	349.34	263.67	489.61	630.11	642.17	558.36	452

The WASHplus program has a budget ceiling of \$100 million over the 5 years of its duration. The total funds obligated to date have been \$36,547,543, just over one third of the \$100 million

ceiling for the program. As of May 31, 2014, 44 months through the 60-month duration, \$23,848,704, (about 65 percent) of these obligated funds had been spent (see Annex 6 for detailed budget figures). Partners with the largest expenditures are FHI360 (64 percent), CARE (24 percent), and WaterAid (5 percent). CARE primarily operates in Zambia and Mali, and WaterAid in Bangladesh. The expenditure figure for FHI360 includes field-based operations and core program costs (figure 3).

While many countries are on track or close to completion, several are behind in their budget utilization, including Bangladesh, Benin, and Mali, (figure 1). This is most likely due to later start-up in many countries, with funding and activities not starting until the second or third year. This delay was in part due to the suspension of the original lead contractor just after start-up, and the transfer of the assets of this contractor to FHI360, who took over leadership of the program. As can be seen in figure 2, in Year 1, other than WASHplus core spending, only Madagascar utilized any of its budget, and in Year 2, only slightly more than half of the expenditures were in the field.

Figure 1: Obligated funds spent as of May 2014

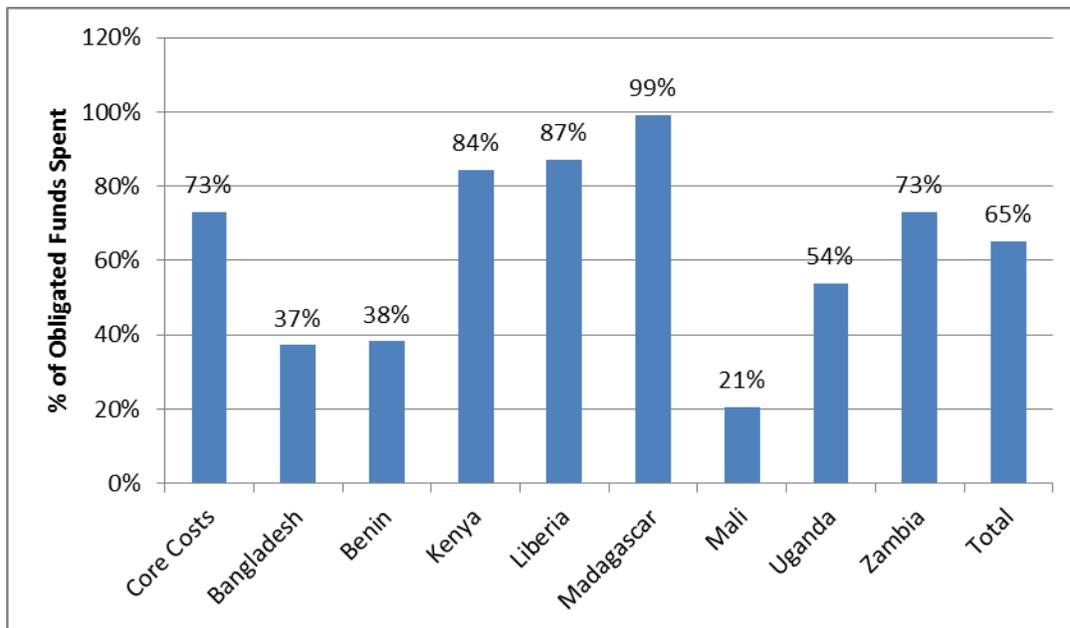


Figure 2. Expenditures by country as percent of annual total

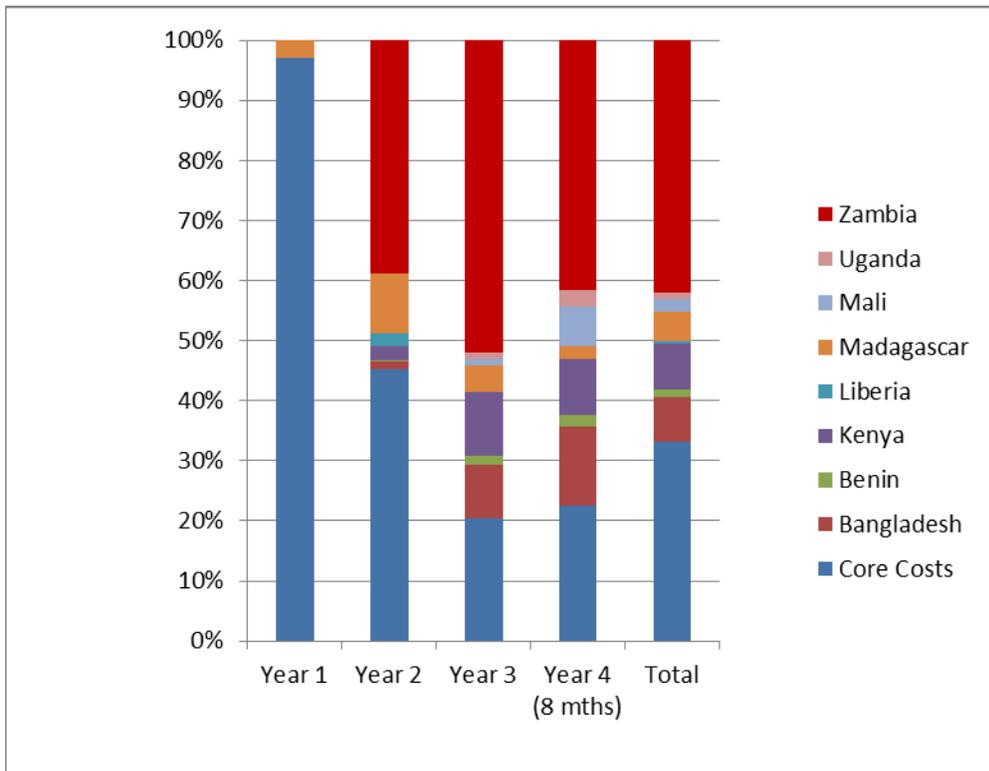
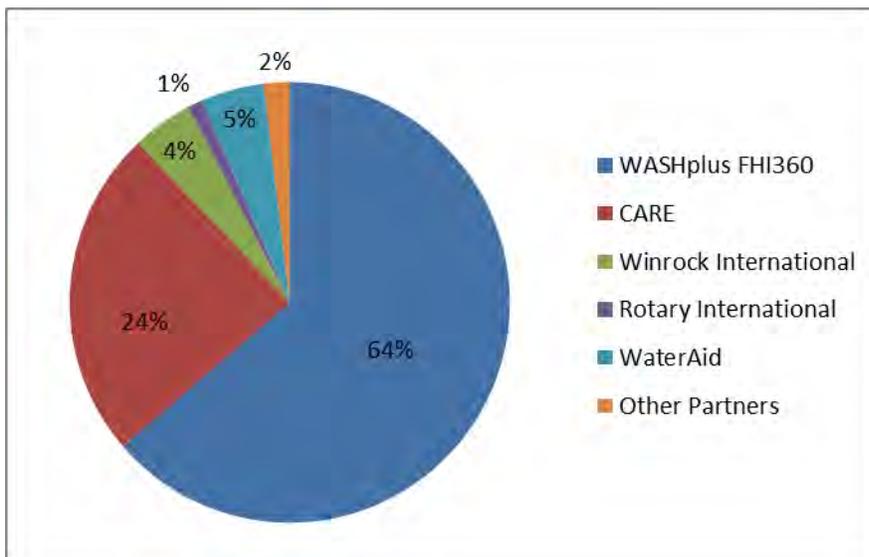


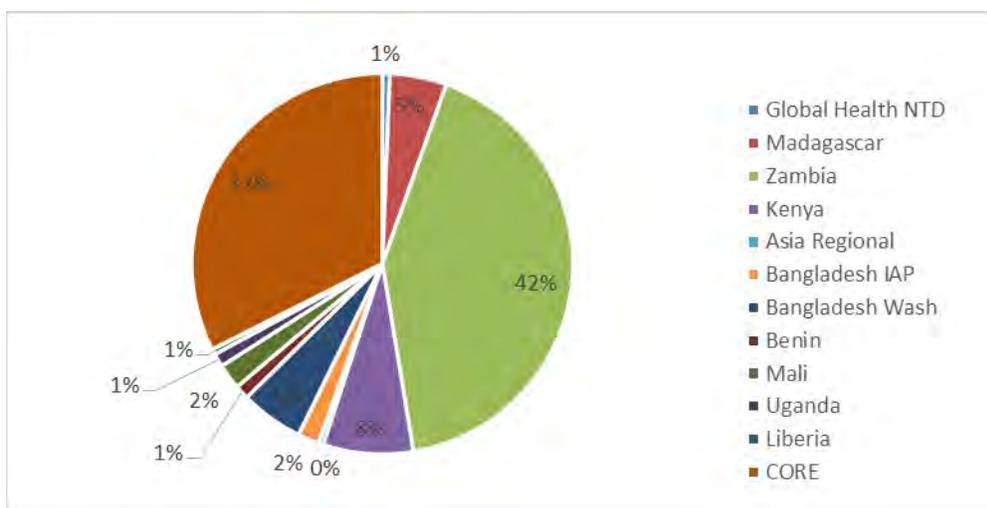
Figure 3. Expenditures by partner



Finding 4: Countries with a significant service delivery component account for a large portion of expenditures.

Zambia and Bangladesh, the two countries with large service delivery components, account for 49 percent of total expenditures to date. Other countries and global expenditures account for 19 percent of the total, and core costs account for 32 percent of the total (figure 4). The relatively low expenditure at country level has resulted in the core program budget (which includes global leadership, integration, and innovation activities, as well as partnership contributions) costs constituting a significant proportion of project costs; 32 percent to date and a projected 30 percent once all obligated funds are spent.

Figure 4. Expenditures by country (to May 31 2014)



USAID Missions decide whether or not to use the services of a central mechanism such as WASHplus, and the mechanism is expected to respond to requests from Missions without the mandate to approach them directly. The evaluation team’s analysis reveals that as a result of the requests it received, WASHplus became a combination of two different approaches: service delivery at scale, largely by NGOs in two countries (i.e., Zambia, Bangladesh), and a variety of smaller-scale interventions in others. This analysis raises questions as to whether or not such a combination is consistent with the original ambition of the program as expressed in the strategic objectives: “moving beyond basic service delivery through NGO projects, WASHplus uses innovative approaches to expand the access and use of WASH services, such as the development of innovative approaches for WASH financing; building the capacity of the local private sector for the provision of WASH products and services; and institutional strengthening, especially at the lowest levels of governance.”

Conclusion: Some WASHplus country programs are behind in utilizing their budget. Countries with large service delivery use a great portion of the WASHplus expenditures compared with other small-scale programs. WASHplus accounts for a small portion of USAID expenditures on WASH, but its strategic objectives, set by USAID, were ambitious. It appears that the demand-driven model used has not been consistent with these objectives, particularly with the objective of “moving beyond basic service delivery through non-governmental organization (NGO) projects.”

The benefits and challenges of the WASHplus central mechanism, combined with the evolving strategies within USAID and the ongoing commitment of the agency to WASH, suggest that as Missions are looking at larger WASH projects, they will be less likely to use a centrally managed mechanism for projects that include service delivery, and will work directly with local NGOs and national and local governments. Moreover, it is also evident that the need for advice, training, and technical assistance will be greater, particularly for projects that aim to work through national governments, local governments, and local implementing agencies.

3.3. Impact at Country Level

To have an understanding of the approaches used by WASHplus to achieve increased coverage of high-impact WASH interventions, including leveraging resources, engaging other partners such as the private sector, and developing evidence to guide improved programming, the evaluation team investigated:

- Quality of service delivery and impact on national policy and capacity, and
- Engagement with the private sector.

Quality of service delivery and impact on national policy and capacity

Finding 5: WASHplus has successfully undertaken service delivery in its country programs with programming designed to positively impact the lives of the poor.

The evaluation team focused primarily on two types of impact⁶ at the country level: *quality of service delivery* and *impact on policy and capacity*. From the interviews, the evaluation team gathered many positive responses about the quality and impact of WASHplus in the countries where the mechanism was utilized. For example, the Community Connector program in Uganda to integrate WASH and nutrition was positively reviewed by all interviewees in the country and described by all as “very successful.” In Kenya, one respondent said, “Small, doable actions have been well taken by the sector” and that the work on HIV/AIDs has been “critical.” Another respondent stated that the Kenya “HIV/AIDS handbook and guidelines developed by this project belong to the government of Kenya and are integrated in its policies.” In another country, respondents shared with the evaluation team that the WASHplus project had made a state governor “change his way of thinking.” A respondent in Madagascar spoke of having the “ability to innovate” through WASHplus. Another spoke of Madagascar as being the “ideal scenario,” saying that “the sector was dynamic, the Mission was dynamic, and there was strong support.” Respondents also told the team that the cook stove program has been effective in Bangladesh. One respondent said, “The consumer segmentation study has impacted manufacturers and distributors to offer options that are more desired by consumers.” Many respondents singled out specific members of the WASHplus team and spoke enthusiastically of the excellent support and advice they had received.

In terms of the effectiveness of service delivery provided through WASHplus, interviewees generally stated that programming approaches are of high quality. Most of the service delivery

⁶ Despite the use of the term “impact” in the SOW, the evaluation team clarified with USAID that the assignment was not a conventional impact evaluation.

under WASHplus was provided in the two countries with major implementation components: Zambia and Bangladesh. Competent implementing partners were used in both countries.

Finding 6: The WASHplus mechanism could have been used to place a stronger emphasis on government capacity and leadership.

The influence of WASHplus on government policy and capacity does not appear to have been significant in all program countries. In some countries, interventions were small or at pilot scale, and respondents commented that they felt it would take some time before the policy implications became apparent.

In the case of Zambia, the evaluation team learned that the Schools Promoting Learning Achievement through Sanitation and Hygiene (SPLASH) program had an influence on government, particularly in terms of including WASH in schools as an indicator in government monitoring. However, there were still calls for government leadership in the sector to be further fostered, and for capacity for the future to be built. As one respondent explained, “existing government structures should be used” and “the ministry should give direction.” The USAID Mission in Zambia ending the project 1 year early certainly limited the potential influence of WASHplus in institutionalizing WASH in schools within the Ministry of Education, as the final year was designed to be a year of consolidation and building of district government capacity.

The feedback from respondents indicated that, in general, the quality of the implementation in Zambia was good, however, there was an apparent difference of opinion over approach between the implementing agencies and the Mission in Zambia. The initial design of the project in Zambia called for strengthening and sub-granting of funds to the District Education Boards to allow them to lead on school WASH facility construction. However, the priority of the Mission was to achieve progress in terms of beneficiary numbers. In response to the Mission’s request, FHI360 and CARE contracted directly with local artisans in the initial stages and only later developed a “hybrid” approach that included direct service delivery and the sub-granting of funds to the District Education Boards to facilitate the planned capacity building, leadership role, service delivery, and strengthening of operation and maintenance systems.

The evaluation team interviewed district-level government staff in several countries, and the findings suggested that WASHplus had effectively provided implementation support, but had not necessarily been able to significantly increase government capacity. One respondent within a district government stated that “there has been no planning for long-term sustainability—too short and no real exit strategy.”

The emphasis on beneficiary numbers, which emanated from the USAID Mission, seems to have undermined the building of government capacity. One respondent explained that “beneficiary

numbers are the primary numbers that USAID count and report rather than, for example, the number of district school WASH systems functioning in a sustainable way.”

Finding 7: WASHplus was not designed, and has not been used, to help Missions to build skills for taking a government-to-government approach in the future.

WASHplus has not been used to help Missions acquire skills to build government capacity.

Engagement with the private sector

Finding 8: Despite some attempts, PPPs and other forms of private-sector involvement have not evolved into a significant feature of the WASHplus program to date.

Changes in program implementation or misalignment between services provided by selected companies from the private sector and the WASHplus project requirements did not lead to major accomplishments in terms of establishing PPPs. For example, an initiative with Unilever on WASH and newborn health in Kenya was initially to be implemented through WASHplus, but USAID decided instead to make it part of its flagship child health project. Likewise, potential opportunities to partner with Procter & Gamble and Medentech were initially promising, but fell through mainly because of a lack of compatibility between what technical inputs the company had to offer and what WASHplus projects required. In Zambia, Medentech’s Flogenic technology was designed to work with piped water systems rather than the borehole systems used by WASHplus. In Benin, it was found that chlorine levels in water were not the issue as they were originally thought to be, so technical assistance from the private sector was no longer required.

There has been some success with small-scale private sector engagement. WASHplus has had successful engagement with the private sector in the IAP program in Bangladesh, particularly with regard to using the private sector to build latrine slabs in the country. Other successes include the development of public-private ventures to develop community WASH blocks in Madagascar, the training of local artisans such as masons in some countries, and working with a local company in Zambia to produce menstrual hygiene management kits for distribution to schools.

WASHplus continues its programmatic partnership with the global Public Private Partnership for Handwashing (PPPHW) by participating on the steering committee and providing technical assistance.

Conclusion:

WASHplus is seen as a program that has had a significant impact and implemented effective service delivery in the countries where it works. However, the WASHplus mechanism has not been used to place significant emphasis on building government capacity and leadership. More could be achieved in terms of building the capacity of the local private sector for provision of WASH products and services and to develop new PPPs, as called for in the strategic objectives.

3.4. Integrated Programming

The evaluation team looked into the effectiveness of WASHplus activity integration in WASH with other activities, including nutrition, HIV/AIDS and education. The team also evaluated the effectiveness of WASHplus activities in IAP.

Finding 9: WASHplus has successfully incorporated integrated programming, has made many related resources available, and has undertaken innovative country-level integrated programming.

The evaluation team found that WASHplus has successfully been a leader in developing integrated programming, for example, WASH in Schools, WASH and nutrition, and WASH and HIV-AIDS. WASHplus and its predecessor, the Hygiene Improvement Project (HIP), took an early lead in the area of integration, while other entities such as the World Bank, UNICEF, and groups within USAID are also engaged in such initiatives. As of the time of this evaluation, integration initiatives have become of interest sector-wide. This observation is particularly relevant in the case of WASH and nutrition. During the 2 years that it has taken to develop a joint document with UNICEF, USAID, and WHO on WASH and nutrition, other actors, including within USAID, have embraced and developed many of the ideas. As one respondent said, “The problem is that now [the WASHplus supported document] is no longer as new and interesting as when they started . . . the challenge is to make sure they contribute something new.”

The WASHplus website provides a range of resources related to the integration of WASH with sectors such as HIV/AIDs and nutrition. These include reports, toolkits, recorded webinars, and training manuals developed over the past 4 years. These resources offer the opportunity to learn about activities in WASHplus country programs, and to use materials for learning and/or teaching, etc.

The work of WASHplus in WASH and HIV/AIDS integration was particularly appreciated. One respondent said, “WASHplus has been a leader and has influenced the country at national level.” However, the same respondent also said that WASHplus “could have done better at knowledge management and dissemination” on the subject of HIV/AIDS and WASH integration. Another

respondent commented on the fact that a focus on HIV/AIDS and WASH integration is particularly important, as it “targets people who have been marginalized,” but the respondent also commented that scaling up is needed. In this interviewee’s opinion, much more training of local-level staff is required, particularly government staff.

Respondents shared that structural problems (outside of the control of WASHplus) within development agencies (including USAID) have also contributed to difficulties in developing integrated programming at the country level. For example, respondents told the evaluation team that integration was sometimes seen as a “new cost” often added after programming had already started and work plans were developed. As one respondent said of other USAID staff, “They are convinced, but their annual plan has been approved.” Another mentioned, “It is hard to integrate with other sectors unless it was initially planned and budgeted.” Clearly, the existence of silos within development agencies is still an obstacle to integrated programming.

As mentioned in the SOW, the evaluation team had to determine where integrated programming provided added benefits that are not observed in independent programming. Because the team was not performing an impact evaluation, they and USAID agreed that this question could not be addressed empirically. However, several of the interview protocols posed the question to interviewees, all of whom confirmed that, in their opinion, integrated programming yields greater benefits for beneficiaries, but these responses did not seem to be directly related to the specific experience of WASHplus.

Conclusion:

WASHplus has energetically embraced integrated programming, has made many related resources available, and has undertaken innovative country-level integrated programming. Integrated programming is becoming an accepted approach, both within USAID and within other agencies. Nonetheless, understanding the institutional obstacles to making integrated programs work are not yet well understood.

Finding 10: The IAP component of WASHplus has had a significant reach in IAP globally, and success in applying lessons from behavior change programming in the WASH sector. However, WASHplus was unable to achieve significant country reach with IAP.

The IAP project in Bangladesh has had some significant successes. Globally, the IAP component has had significant reach in IAP promotion and thought leadership activities, including the facilitation of working groups, technical committees, and workshops. However, because of a number of challenges related to IAP being linked to USAID’s energy rather than health programming, the IAP component has not been able to achieve the country reach foreseen at the outset of WASHplus.

Although it was envisioned that IAP would be less than 20 percent of WASHplus efforts, the integration of both WASH and IAP with other sectors was originally a significant component of the WASHplus program, and was reflected in two of the four goals of the program:

- Reduce diarrheal diseases and acute respiratory infections.
- Integrate WASH and IAP interventions into education, HIV/AIDS, maternal and child health, and nutrition programs.

However, there were a number of challenges in realizing these goals. WASHplus staff indicated that:

- USAID informed WASHplus that they could not ask Missions to provide health funds for IAP programming. “IAP funds had to come from the energy/climate offices; accordingly, the project in collaboration with USAID readjusted expectations.”
- WASHplus has to rely on USAID to make overtures to Missions and the staff stated, “Our USAID Environmental Health partners did not often have the necessary contacts with or access to mission energy offices.”

Consequently, in the Year 3 Workplan, WASHplus informed USAID that activities related to IAP integration would no longer be a significant focus of the program. The Workplan states: “In Year Three, IAP integration will not be a major WASHplus effort; rather we will be open to opportunities and respond as feasible. WASHplus remains attentive to opportunities to promote IAP improvements alongside WASH program activities when appropriate, including identifying practices that outreach workers (agriculture, community health, WASH) can promote alongside WASH practices during household visits to limit exposure to IAP. We will look for additional opportunities to leverage resources in countries, such as the development and training of small-scale entrepreneurs who will market products (e.g., point-of-use water treatment, soap, stoves, and sanitation products) and the development of credit and financing strategies that would be relevant for both areas.”

Despite these issues, some important activities were undertaken. WASHplus staff informed the evaluation team that “The activities that have been funded have been primarily research. This was not the way the project was originally envisioned, but the way it has played out based on available funding and accompanying scopes.” Out of the \$1.5 million target for IAP core funds, the total expenditure, as of June 2014, was \$1,161,500. WASHplus staff, however, shared that the full \$1.5 million will be utilized by the end of the program. IAP programming also includes \$386,200 from the Asia Regional Bureau and \$476,858 from the Bangladesh Mission for IAP activities in that country (refer to Annex 2 for Bangladesh IAP activity profile).

The work in Bangladesh was the primary IAP country activity (aside from a study of cook stoves in Kenya). FHI360 and Winrock, funded by WASHplus, worked in partnership with the Global Alliance for Clean Cookstoves (GACC) on IAP in Bangladesh.

The main activity in the Bangladesh IAP program was a consumer study of needs, preferences, and willingness to pay, along with a controlled cooking stove testing study resulting in a detailed report and a technical brief. A market strategy and consumer segmentation study are currently ongoing.

Interviewees spoke positively of the program in Bangladesh, noting that the study along with other interactions and advocacy work has led to the engagement of the Government of Bangladesh (GoB) in promotion of improved cook stoves (ICS) and developing a country action plan (CAP) for ICS. WASHplus provided in-line edits to and comments on the CAP draft, at the GoB's request.

The mechanism has also resulted in businesses offering a wider range of ICS to consumers. One respondent said, "Now there [is] a wider variety of improved stoves available, including designs from other countries. . . . Some manufacturers have modified their stoves and the government is promoting better stoves." Interviewees shared that the World Bank has also been influenced by the study and now promotes a wider choice and range of cook stoves.

While country-level activities have been limited, WASHplus IAP activities on a global scale have been successful. For example, WASHplus was engaged in a number of global activities to support the IAP sector, including support to the GACC in advocacy; creating a working group and community of practice; and supporting numerous other knowledge sharing activities such as working groups, technical committees, workshops, and webinars.

Although the interviewees did not consider the links with WASH essential, they did note that there were some significant benefits, particularly related to the behavioral change communication experience in the WASH sector. A presentation by a WASHplus specialist on behavioral change was noted by one respondent as being particularly useful: "[The specialist] gave an excellent presentation that helped to integrate [behavioral] change lessons from the WASH sector [into the IAP context]." WASHplus co-presented a webinar with TRAction in May 2014 titled "Behavior Change Approaches to Enable Uptake and Use of Clean Stoves and Fuels: Lessons From the Field on What Works, What Doesn't and What's Next?" This webinar focussed particularly on lessons from TRAction projects, but there are plans to have an IAP webinar focussed on WASHplus closer to the end of the program.

3.5. Project Management

As stated in their annual work plans, the WASHplus management strategy cuts across all strategic objectives. This strategy aims to strengthen in-country activities and increase sustainability over the long term as activity plans are agreed upon with the USAID and funding

becomes available. The evaluation team assessed the management successes and challenges in implementing WASHplus.

Finding 11: WASHplus is well managed and the staff is highly responsive.

Of the respondents in country offices who were asked about the timeliness of fund transfer, 80 percent said that it had been acceptable. Many respondents commented on the quality of communication with the WASHplus team and their prompt responses to e-mails at all times. Despite this, some respondents commented on the challenges with communication given that Missions are not expected to communicate with implementing partners directly, but must do it through WASHplus, which seemed to be particularly challenging for countries with a significant time zone difference. Of the 14 respondents who answered the question about whether technical assistance has been available when needed, 13 replied that it had, as one respondent confirmed, “There has never been a time when I needed support that was not there.”

Finding 12: WASHplus has faced constraints due to the complicated contractual structure, involving multiple partners and multiple bureaucracies.

Several respondents commented on the problem of multiple layers of bureaucracy. The combination of bureaucracy within the USAID, FHI360, and the implementing partners has slowed down processes and led to complications in some cases. For example, in one project country, procurement of motorcycles took 6 months. Also, delays in approval of the work plan by the USAID Mission in Uganda led to a delay in start-up of 1 year. Even though 75 percent of respondents stated that aspects of the partnership structure had supported success, more than 85 percent of respondents commented that the contractual structure had contributed to the challenges.

While 88 percent of respondents (15 out of 17) stated that the reporting requirements were appropriate, there was some confusion about reporting structures given the complex structure and multiple actors in some countries. One respondent in a Mission simply said, “I do not really know what the reporting structure is.” The responsibilities of different actors were not always well defined, and at least one respondent referred to WASHplus engagement as “micro-managing” and said that “it was confusing to help colleagues in the field navigate.”

Finding 13: WASHplus is perceived to have not demonstrated flexibility with regard to staff assignments and the use of experts, and to lack the innovation required to optimize usefulness to the USAID.

Some respondents commented on what one termed a lack of “nimbleness” on the part of the WASHplus team. The evaluation team heard similar quotes, such as “They were never agile.” There were also comments about their “conservative response” to requests to take on tasks, and another respondents said they do not have the “fluidity of staff that is needed,” and “good staff

are over committed, and they don't bring in experts when they need them.” With respect to requests to take on tasks, there were comments on FHI360's preference to work using its existing staff and its reluctance to take on consultants when specific skills or more capacity was needed. Respondents commented on the need for a better relationship, much more tightly integrated with USAID, in the future.

Conclusion: WASHplus staff has been highly responsive to country offices, with good communication quality and promptness as indicated in the interview responses. Because of its contractual structure, WASHplus has also faced some constraints. These constraints have led the delay in start-ups of some activities. Interview responses also suggest that the structure and responsibilities through this centrally funded mechanism are often not clear.

3.6. Global Leadership and Knowledge Management

The evaluation team was requested to assess whether WASHplus activities to date have demonstrated or contributed to thought leadership in the sector.

Global leadership

Finding 14: Interview responses suggest that WASHplus has not had a high enough profile to have significant influence at the global level.

There are indications that WASHplus is leading in terms of innovation in certain areas, such as HIV/AIDS integration and the development of new latrine designs for difficult terrain. The accomplishments listed in the Years 1–3 Annual Reports are indicative of WASHplus's efforts to have an influence at the global level. For example, at the end of its first year, WASHplus had engaged in meetings, planned and led discussions, and conducted webinars, including presenting at the Water, Engineering and Development Centre (WEDC) conference in the United Kingdom on “Combining Sanitation and Hand Washing Promotion: An Example from Amhara, Ethiopia” (refer to Annex 7 for more details of WASHplus engagement in global activities). Global partners interviewed during this evaluation were aware of what WASHplus was doing and were appreciative of some of the global work. The PPP for Hand Washing (PPPHW) was particularly well regarded. A summary of achievements in the global leadership arena are listed in Annex 8.

However, findings from interviews suggest that WASHplus has neither a high enough profile, nor an adequately strategic approach to have a significant influence at the global level. One interviewee stated: “[WASHplus] missed opportunities to engage, for instance, with Africa Water Week or AfricaSan. They could have had a higher profile.” WASHplus seems to have struggled to get the right balance between implementation and global policy advocacy. One respondent said they have had little policy influence and were “mostly disappointingly absent” as

they worked in so few countries. In general, there were calls for USAID to do more in the WASH sector. One respondent said, “In terms of the ability to influence, there is a huge missed opportunity in terms of how the U.S. could use its political capital and convening power.”

WASHplus helped support the inclusion of a hand-washing indicator in both the Multi-Indicator Cluster Surveys (MICS) and the Demographic and Health Surveys (DHS). WASHplus contributed at the global level when the USAID asked WASHplus to assist them in engaging in the global discussions around Post-2015 targets for hygiene. One respondent stated that “[WASHplus] pulled together top experts into the Hygiene Working Group and commissioned a background report. . . . They were pragmatic but also visionary, for instance, getting menstrual hygiene management onto the agenda.” Another respondent suggested that there are indications that the WASHplus inputs to the Post-2015 debate were not entirely strategic, saying that they “have a good understanding of the practical challenges associated with improving hygiene on the ground,” but that they were “less effective in translating this into concrete proposals for monitoring progress at national and global levels.”

Knowledge management

Finding 15: Certain aspects of WASHplus knowledge management are highly valued by users, in particular the “WASHplus Weekly.”

In general, anglophone respondents, in particular those based in the offices of global agencies or expatriate staff in U.S. Missions, were highly appreciative of the work WASHplus does to disseminate the latest research on WASH. In particular, the “WASHplus Weekly” briefings were found to be valuable and were mentioned by many of the respondents who answered the question about use of knowledge management resources. However, respondents who were program-country government staff, local staff in U.S. Missions in-country, or the staff of local implementing agencies, were less likely to say that they had used WASHplus knowledge management resources. Only half of respondents in these categories said they had. Francophone respondents almost universally said they did not use them. The reason given by one respondent was that there are very few French resource materials available through washplus.org, an issue that is discussed in the next section.

Finding 16: The reach of WASHplus knowledge management has been uneven.

Although some resources are highly regarded, such as the “WASHplus Weekly,” the utility of others, especially at the field-level, has been limited. Several respondents commented on the mismatch between the knowledge management resources WASHplus offered and the needs of the broad WASH sector. One respondent stated there is an “uptake gap” in the sector that is due to a “westernized understanding of how knowledge is transferred.” Other respondents observed that although materials made available by WASHplus on recent research are useful and highly

accessible to a certain audience, they do not serve the needs of others. For example, district-level government staff are unlikely to want to read full journal articles, and also unlikely to have internet access that would allow them to download the resources. Respondents also mentioned not transferring WASHplus knowledge resources to their local partners because they were not suitable for this audience.

The evaluation team found a lack of evidence of systematic cross-country learning. WASHplus has arranged for some country-level project stakeholders to attend regional or global conferences, including AfricaSan, WEDC, and the UNC Water and Health Conference. Of the 13 respondents who were questioned about this aspect, only four said that they had been able to share experiences and information with other countries through WASHplus (seven said no and two gave ambivalent answers).

Webinars

Finding 17: Webinars for which attendance data are available show they attracted more than 500 participants, and that between 14 and 28 percent of attendees have been from developing countries.

WASHplus developed seven webinars with an average of two webinars per year. These seven webinars attracted more than 500 attendees and more than 2,500 later online viewers. All but one of these webinars was hosted in partnership with other programs. The number of participants per webinar ranged from 43 to 132, and the number viewing after the event has been significant (table 4).

Table 4. WASHplus webinars

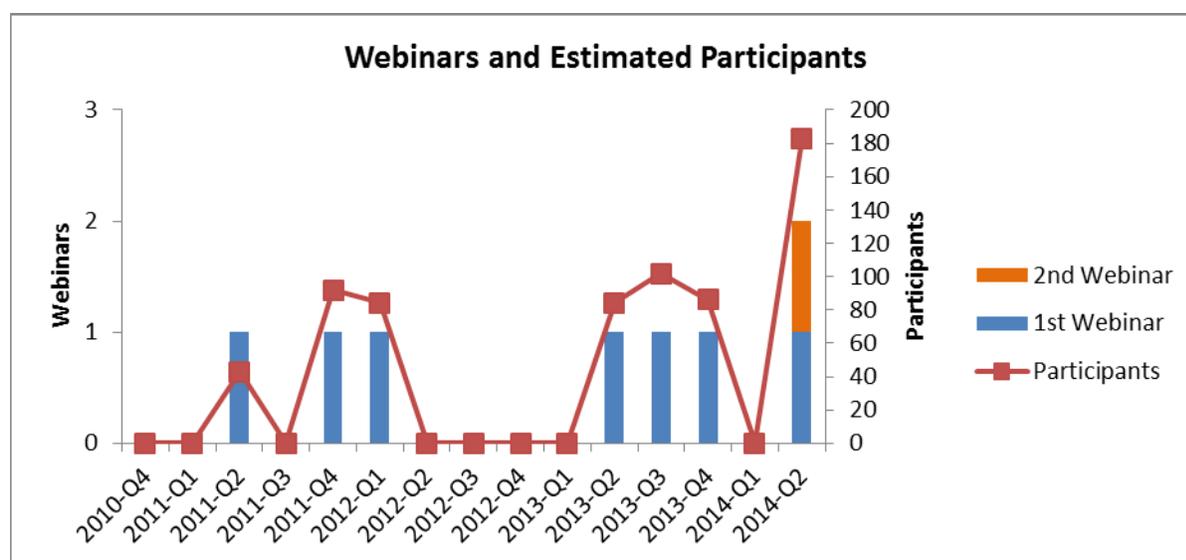
Webinar name	Date	Presenters	Number of participants	Number of developing country participants	Number of YouTube or Slideshare views as of 7/7/2014
Lessons Learned from Working at Scale; WASHplus only event	June 23, 2011	Julia Rosenbaum, WASHplus; Sarah Fry, WASHplus	43	12 (28%)	1,165

Webinar name	Date	Presenters	Number of participants	Number of developing country participants	Number of YouTube or Slideshare views as of 7/7/2014
Leading with Sustainability—Laying the Groundwork for Sustainable Services; joint WASHplus/WASH Advocates/Global Water Challenge event	Dec. 15, 2011	Braimah Apambire, Conrad N. Hilton Foundation; Andy Narracott, WSUP; Harold Lockwood, Aguaconsult	92	N/A	1,073
Inclusive WASH: WASH and HIV Integration; hosted by WaterAid Australia, with participation by WASHplus	January 16–17, 2012	Presenters and facilitators: Julia Rosenbaum, WASHplus; Lucina Schmich, Burnet Institute	N/A	N/A	N/A
Environmental Enteropathy and WASH; joint WASHplus/TOPS/USAID WASH and Nutrition community event	Sept. 11, 2013	Laura Smith, Cornell University; Helen Petach, USAID	102	N/A	N/A
WASH Sustainability Index Tool; joint USAID/Rotary International H2O Alliance/ WASHplus event	Nov. 21, 2013	Harold Lockwood, Ryan Schweitzer, Aquaconsult; Helen Petach, USAID	86	N/A	157
Behavior Change Approaches to Enable Uptake and Use of Clean Stoves and Fuels: Lessons From the Field on What Works, What Doesn't and What's Next?; joint WASHplus/ TRAction event	May 7, 2014	Marc Jeuland, Duke University; Theresa Beltramo, Impact Carbon; Allen Namagembe, PATH	51	7 (14%)	111
WASH, Nutrition and Early Childhood Development: New Evidence in ECD and Findings from the Field; joint WASHplus/USAID WASH and Nutrition Community event	June 25, 2014	Helen Petach, USAID; Jennifer Orgle, CARE; Maureen Black, University of Maryland	132	34 (26%)	109

WASHplus team members commented that they were “quite thrilled” with the levels of participation from developing countries given the challenges that connectivity and time differences pose.

The webinars started relatively early in the program, during the third quarter (figure 5). No webinars were conducted for a full year from the second quarter of 2012 to the first quarter of 2013. Since then, they have become more frequent. WASHplus staff informed the evaluation team that this gap was due to the complexity of finding and working with partners. The WASHplus team expects an increased number of webinars as projects come to an end and more lessons learned become available for sharing.

Figure 5. Webinars and estimated participants



Social media

Finding 18: There is a considerable volume of English content on the WASHplus website and Twitter, but limited content in French even though three of the seven country programs are francophone.

The WASHplus project website—washplus.org—is a key part of the knowledge management function of the project. The website is well populated with current content and appropriate and useful resources, related directly to the program and external information. The “What’s New” and “Latest Updates” sections are current and give information about the latest research, reports, and conferences in a number of appropriate areas, including IAP, sanitation, WASH, and nutrition.

WASHplus has a strong presence on Twitter; the account has 1,504 followers and achieved 76,700 retweets in 1 week in January 2014. This suggests that WASHplus is using Twitter as an excellent way to promote and disseminate information. Some of the WASHplus materials disseminated that month via Twitter included a review of hand washing literature, policy implications for improved cook stove programs, and a focus on WASH and nutrition. It is unclear how much of the Twitter activity is by users in developing countries. WASHplus also has a Facebook account, but it does not seem to be used well, having just 46 “likes.”

Data on total hits on the website are unavailable. The visits to the WASHplus blogs or news sites for the program in Year 3 were: Sanitation Updates, 180,000; IAP Updates, 87,700; Urban Health Updates, 67,100; Household Drinking Water Quality, 81,000.⁷

None of the WASHplus website pages are offered in French by WASHplus. However, the website provides users with the option to have web content translated into 70 languages by Google Translate, a free online language translation service that instantly translates text and web pages. Aside from country pages for Madagascar and Benin in which reports originally drafted in French are available, the quality of the French translation through Google Translate is questionable due to the limitations of a machine translation. Other language materials are produced by WASHplus, but are not currently posted on the website.

Conclusion: The number of attendees at the webinars suggests there is a strong interest in presentations organized by WASHplus, and webinars could be both more frequent and scheduled more systematically, without gaps. The availability of recorded webinars online seems to be an effective way to attract a greater audience from developing countries. The WASHplus website and Twitter are used effectively to communicate information. However, although three of the seven countries participating in WASHplus are francophone, the evaluation team found limited material available through the website in French.

USAID seeks to take a leadership role in the sectors in which it engages. There is considerable opportunity to be the voice of the United States on specific policy issues relating to WASH, in particular those around sanitation and hygiene and the role of governments (especially the leadership of Ministries of Health). Opportunities exist to bring the learning from WASHplus country programming to global attention. Although WASHplus has been somewhat active at the global level, it could have higher profile.

⁷ “WASHplus Year 3 Annual Report,” October 2013

4. LESSONS LEARNED FOR THE FUTURE

As defined in the SOW, the evaluation gathered successes, shortcomings, and lessons learned from project interventions to date to inform future WASH investments and activities of USAID. The lessons learned are as follows:

- To be relevant, a centrally funded mechanism needs to have some influence on other USAID WASH investments—not just the funding that flows through the mechanism itself. This could be achieved through knowledge management, capacity building, and the development of innovations.
- In the future, if a demand-driven approach is used, it would benefit from more widespread promotion to Missions, and for country-level project requests to be in line with the intended scale, goal, and strategy of the program. It is important to develop approaches that allow the learning and innovations from country-level activities to be widely adopted among a large number of USAID Missions.
- Future investments and programming should reflect that USAID support to WASH will continue in the future. USAID will expect these interventions to be consistent with the strategies that USAID has recently developed, and closely coordinated with the other WASH activities of USAID. Given USAID’s new strategies and the evolution of development thinking, there is a need to develop approaches that foster government leadership, build government capacity, work with the private sector at scale, and increase the ability of U.S. Missions to work directly with the host government.
- In the future, it will be important to provide Missions with advice and support necessary to work more effectively with national governments and local partners to respond to the imperative articulated in the USAID Forward strategy.
- There is considerable opportunity to be the voice of the United States on specific policy issues relating to WASH, in particular those around sanitation and hygiene and the role of government, especially the leadership of Ministries of Health.
- Future knowledge management could focus on resources relating to working with and through governments on water, sanitation, and hygiene, which would address the specific needs of the Ministries of Health to deliver on their mandate with respect to sanitation and hygiene.

5. RECOMMENDATIONS

The WASHplus program is scheduled to come to an end by September 2015, approximately 1 year from the time of this evaluation. This short time remaining on the current project makes it unrealistic to recommend dramatic changes, and the team's understanding has been that the main purpose of this evaluation is to make recommendations to inform future environmental health investments by USAID (contained in a separate document). However, there are some changes and interventions that the evaluation team believes would be practical and achievable during the final year of the program:

- The last year should have a strong focus on building country-level capacity and mechanisms to ensure sustainability of the interventions in the country programs. When possible, emphasis should be given to supporting existing institutions, especially national and local governments, to build upon WASHplus success once WASHplus support comes to an end.
- Should USAID allow for an extension of six to 12 months (which the evaluation team deems advisable), the additional time period should be used to allow for further country-level capacity development and support to government agencies where necessary. This extension would also give some additional time for countries where there were start-up delays or low budget utilization to meet their goals.
- Knowledge management activities, especially webinars, should be ramped-up to disseminate the learning from WASHplus, and make a wider group of stakeholders aware of recent evidence and best practices in WASH. Knowledge management products and webinars should be available in both English and French, and should be targeted to a variety of audiences, including a larger proportion of in-country stakeholders.
- The final knowledge management activities and products should focus not only on the successes, but on the constraints and challenges faced by the WASH sector and experienced through WASHplus activities. A thorough examination of the challenging aspects of activities such as achieving integration within development agencies, communicating the need for behavior change, and engaging with the private sector would and identifying mitigation strategies to these challenges, would be an excellent way of identifying additional available resources to other programs both within USAID and externally.
- WASHplus should develop a proposed future research agenda for USAID, based on the needs identified and lessons learned through its activities.

Annex 1: Evaluation of the WASHplus: Supportive Environments for Healthy Communities Project Cooperative Agreement No. AID-OAA-A-10-00040 - Statement of Work

I. USAID WASHplus Evaluation

Activity: Conduct an evaluation of the WASHplus project to determine the effectiveness of the project, recommend revisions or adjustments to the work plan and program design, as necessary, and inform the design of future Environmental Health activities.

II. Performance Period: May 1–August 31, 2014

III. Funding Source: USAID/GH/MCH

IV. Objectives and Purpose of the Assignment

The USAID Global Health Bureau’s Office of Health, Infectious Disease, and Nutrition (HIDN), Maternal and Child Health Division, requests technical assistance to carry out an evaluation of the WASHplus Project, HIDN’s flagship environmental health activity. The evaluation findings will be used to inform implementation of the project in Year 5, to inform design of future environmental health activities, and to ensure alignment with the new USAID Water and Development Strategy.

The primary objectives of this evaluation are to:

1. Assess whether WASHplus is achieving its objectives and planned outputs as stated in the WASHplus agreement and project description, and in approved implementation plans. The performance review should evaluate successes, shortcomings, impact, and lessons learned from project interventions to date.
2. Make recommendations to improve implementation of the current project and to inform future environmental health investments. Include recommendations for strategic interventions post-2015 to both enhance the Agency’s Water and Development Strategy and to work toward ending preventable child and maternal deaths.

Project Title: WASHplus: Supportive Environments for Healthy Communities

Cooperative Agreement No. OAA-A-10-00040

Start and End Dates: October 1, 2010 to September 30, 2015

This evaluation will assess the portfolio of projects funded through the WASHplus activity. The primary audiences for this evaluation include the USAID AOR, the Environmental Health team, USAID MCH and Water Office staff, and WASHplus.

V. Background

The WASHplus Cooperative Agreement is housed in the Bureau for Global Health's Office of Health, Infectious Diseases and Nutrition (GH/HIDN), Maternal and Child Health Division. This is an evaluation of a 5-year activity focused on the implementation and scale-up of proven environmental health interventions to prevent morbidity and mortality from infectious diseases, primarily in young children, but also among vulnerable adult populations. The WASHplus Cooperative Agreement commenced in October 2010 and ends in September 2015.

The strategic objectives of the WASHplus activity are:

- SO1: Increase the availability and use of water supply, sanitation and hygiene (WASH) and indoor air pollution (IAP) interventions
- SO2: Develop and implement WASH/IAP integration strategies
- SO3: Support USAID's participation in strategic partnerships
- SO4: Develop and test new and innovative approaches and tools

1. Increase the availability and use of proven, high impact WASH and IAP interventions

The project aims to achieve measurable improvement in the prevention of diarrhea through increased access to a water supply and sanitation, and improved hygiene practices, including hand-washing with soap, treatment and safe storage of water, safe disposal of feces, and food hygiene. The project also aims to prevent negative health impacts from IAP by improving indoor air quality in rural and urban households still reliant on biomass fuels and basic stoves to meet their energy needs for cooking and heating. Moving beyond basic service delivery through NGO projects, WASHplus uses innovative approaches to expand access and use of WASH services, such as development of innovative approaches for WASH financing; building the capacity of the local private sector for provision of WASH products and services; and institutional strengthening, especially at lowest levels of governance.

2. Develop and implement WASH integration strategies

The project aims to achieve improved health outcomes by integrating WASH programs with other health and non-health activities. Primary focal areas are integration of WASH in education, HIV/AIDS, nutrition, food security, and neglected tropical diseases.

3. Support USAID's participation in strategic partnerships

WASHplus supports USAID's participation in strategic partnerships with other donors and cooperating agencies as a vehicle for increasing the quality and the scale of program activities. At the global level, a key factor in enhancing USAID's leadership role and maximizing its contribution to the sector is identifying and pursuing the most effective platforms and partnerships, e.g., for scaling up sanitation. WASHplus will support USAID's existing partnerships and explore the development of new public private partnerships (PPPs).

4. Develop and test new and innovative approaches and tools

Problems that remain in the WASH/IAP sectors include technical efficacy, affordability and financing, behavior change strategies for continued use, and sustainable models to reach scale.

These challenges call for innovations in technology, tools, and approaches. WASHplus will focus on developing or adapting promising technologies and approaches developed elsewhere for WASH and IAP implementation.

Cross-cutting initiatives that are developed across all the strategic objectives include knowledge management (KM) and monitoring and evaluation (M&E). The KM program will build knowledge platforms for information exchange, capacity building, and networking. These issues should be considered in all aspects of the strategic objectives.

The activities described above are designed to ultimately achieve significant public health impact. By design, approximately 80 percent of WASHplus efforts have focused on increased availability and use of WASH interventions, with no more than 20 percent dedicated to IAP. As a secondary focal area, IAP interventions have a limit of \$1.5 million of core investment.

VI. Evaluation Questions

The evaluation team is expected to perform an evaluation of the USAID WASHplus A activity reviewing performance from October 1, 2010 to May 1, 2014. The evaluation should pose and answer the following questions using the broader categories as a framework for inquiry. A subset of countries may be specified for some categories of evaluation.

Country impact:

1. To what extent, in what ways, and with what challenges has WASHplus acted to provide increased WASH access using high-impact interventions at local, national, and global levels? What do we know about how well the methods used to increase coverage worked? What can we expect to know by end of the project? Are there additional or alternative actions that can be undertaken to better inform this question during the time remaining?

Specifically, what approaches to achieving increased coverage were used by the project, such as leveraging resources, engaging other partners—including the private sector—targeting the underserved, collaborating with USAID bilateral programs, developing evidence to guide improved programming, contributing to post-MDG process, facilitating access to financing and technical assistance, etc.?

Integrated programming:

2. Has the WASHplus activity been effective at integrating WASH with other activities, including health and non-health initiatives such as nutrition and IAP? What new approaches have been developed, tested, documented, or disseminated? Does this integrated programming provide added benefits that are not observed for independent programming?

Use knowledge from stand-alone WASH programs as a comparison for the integrated WASH programs. Consider the specific ways that these programs have been accomplished that could inform future USAID programming. Consider the extent to

which WASHplus is effectively documenting successes and challenges in these approaches. Is there any carryover effect to other organizations to integrate programming that could be a result of WASHplus integrated programming?

Benefits of the WASHplus as a core mechanism for Missions:

3. What is the usefulness of a Washington-based core mechanism for USAID Missions? Did the project meet their needs and provide useful technical support through the core mechanism? If so, which needs? In what areas were needs not met? How has WASHplus been used to support USAID/W’s role as a technical advisor to the Missions?

Determine the involvement and financial contribution (data provided by WASHplus) of USAID field Missions to the core mechanism, and the reasons for presence or absence of field support and participation in core-funded projects. Include interviews for two Missions that did not decide to use the core WASHplus mechanism.

Project management:

4. What have been management successes and challenges in implementing WASHplus? What factors [within USAID, within AED/FHI360 and partners, and within the Agreement] have supported or inhibited success? What changes should be implemented for the remainder of WASHplus and what lessons are there for the future?

Global leadership (including public private partnerships and knowledge management):

5. Have the WASHplus activities demonstrated or contributed to “thought leadership” in the sector, and how? Specifically, what forums has WASHplus led or participated in (conferences, workshops, meetings, processes), what written and oral (e.g. webinars, website, social media) resources have they developed or planned, or are in progress? What is the influence of the knowledge management activities?

Use quantitative measures as appropriate, such as the number of visits to the Web pages, reach of social media efforts, and qualitative measures (including the results from the annual WASHplus KM surveys) to determine the quality and uptake of these resources.

VII. Methodology

The evaluators should consider a range of possible methods and approaches for collecting and analyzing the information that is required to assess the evaluation objectives. Data collection methodologies will be discussed with, and approved by, the USAID Environmental Health Team prior to the start of the assessment.

Document review

- USAID/W will provide the team with background documents such as work plans, strategies, reports, and technical products. The evaluation team will review these documents in preparation for the initial team planning meeting.

Initial planning meeting

- A 1-day team planning meeting will be held in Washington, DC. before the evaluation begins. This meeting will allow USAID to present the team with the background, purpose, expectations, and agenda of the assignment. In addition, the team will:
 - review and finalize the timeline and work plan,
 - develop data collection methods, instruments, tools and guidelines; consolidate into an evaluation framework
 - review and clarify any logistical and administrative procedures for the assignment, and
 - develop a preliminary draft outline of the team’s report.

Data gathering activities: interviews and focus groups

- The evaluation team will conduct a thorough review of the WASHplus activity projects, which will include conducting in-person and phone interviews. From this information, the team will analyze their findings.
- The evaluation team will make appointments and conduct phone interviews of persons named in Section XIII.

Data analysis and report preparation

The evaluation team will:

- Use thorough data analysis techniques, such as thematic qualitative analysis.
- Use additional tools, as necessary, to determine how the WASHplus activity has contributed to thought and other leadership in the sector.
- Analyze the raw qualitative and quantitative data collected. Ensure the data validity and reliability. Determine whether the WASHplus project was useful to the Missions.
- Discuss key findings and recommendations with WASHplus and USAID staff.
- Prepare a draft report, obtain comments from USAID, and create a final report and presentation.

The final report will include an executive summary, purpose, background, main evaluation questions, methodology, findings, conclusions, recommendations, and lessons learned.

VIII. Team Composition, Skills and Level of Effort

The team should be comprised of two members with the following characteristics:

- Expertise in program evaluation
- Master’s degree or higher level of education in a relevant technical area (e.g., environmental health, engineering, public health)
- Knowledge, skills, and experience with USAID contracting and reporting requirements; policies and initiatives; tools; and results frameworks
- Advanced written and oral communication skills
- Experience working in developing countries
- Experience working in the international donor environment, especially with other development agencies (e.g. UN agencies, WHO, or other USG agency)

- Strong quantitative and qualitative analytical skills

Team organization

A team leader will be designated with responsibility for the overall organization of the work as well as the overarching management and administration aspects of the SOW. The team leader will: (i) facilitate preparation of the executive summary and the full report; (ii) ensure that the draft and final products are prepared in accordance with the scope of work; and (iii) ensure that the required revisions for the final report are incorporated.

Both members of the team will work together on all aspects of the evaluation, including preparation, interviews, and drafting the final report.

Level of Effort for each team member:

Task	Team members	Estimated LOE (days)
Background reading	Team Leader	3
	Specialist	3
Planning meeting	Team Leader	1
	Specialist	1
Interviews/meetings (D.C.)	Team Leader	11
	Specialist	11
Analysis/drafting report	Team Leader	11
	Specialist	11
Debriefings with USAID and presentation	Team Leader	1
	Specialist	1
Report finalization	Team Leader	4
TOTAL LOEs	Team Leader	31 days est.
	Specialist	27 days est.

IX. Logistics

No work should begin on the Evaluation until the work plan is approved by the WASHplus AOR. The USAID/GH/MCH Team point of contact will be responsible for the following technical and logistical support:

- Provide background documents
- Provide contact information for list of interviewees in Section XII

The Evaluation Team will be responsible for the following technical and logistical support:

- Arrange the schedule of interviews with grantees and partners
- Provide support and editing services for the preparation of the final versions of the deliverables

X. Deliverables and Products

1. Planning Meeting and Evaluation Framework:

The consultant team will prepare an evaluation framework that includes methodology for evaluation activities, timeframe of those activities, roles and responsibilities of team members, and data analysis plan. The initial framework will be delivered and discussed during the planning meeting.

Evaluators will participate in a 1-day team planning meeting in Washington at the beginning of the project as stated in Section VII.

2. Data Collection Tools (including interviews):

Team will prepare and deliver questionnaires for key interviews and templates for data collection. These data collection tools will be reviewed and approved by the USAID AOR for WASHplus prior to the team's interviews. Team members will conduct interviews in accordance with the guidelines set forth in Section VII, and the tools and methods established during the planning meeting.

3. USAID/W Debriefing and Presentation

The team will present the major findings to two different groups through a presentation at the conclusion of the interviews and analysis: (i) to USAID/W; and (ii) to both USAID/W and WASHplus audiences. This debriefing will include a discussion of past achievements and issues, as well as any recommendations the team has for future programming.

4. Draft Report:

A complete draft report, not to exceed 30 pages (not including annexes) that will include a clear executive summary, will be submitted to USAID/W no later than 2 weeks after the end of interviews. This report will include a summary of findings, including feedback on performance and implementation, recommendations, analysis of all work plans and sub-awards, and recommendations for improved implementation. USAID/W will have 2 weeks to provide comments and suggestions to the evaluator that will be addressed in the final report.

5. Final Report:

After comments have been provided to the team, the final executive summary and full report will be prepared by incorporating the comments received from the review of the draft. The team will submit the final but unedited report for USAID approval no later than 1 week after USAID has provided comments on the draft.

The contractors will submit the final edited report to the Development Evaluation Clearinghouse (DEC) within 90 days after USAID has approved the evaluation. The final report will be no more than 30 pages, not including annexes. A suggested outline would include:

- Executive Summary (3–4 pages)
- Evaluation Purpose and Questions

- Project Background
- Methods and Limitations
- Findings, Conclusions, Recommendations (main body of the report; findings are empirical facts and should not rely only on opinion; conclusions synthesize and interpret findings; recommendations are based on findings and conclusions) – present graphical formats to demonstrate the evidence that supports conclusions and recommendations.
- Annexes (including Statement of Work, Evaluation Instruments and data, “Statements of differences” regarding significant unresolved difference of opinion, disclosure of conflicts of interest forms, etc.)

All data sets collected by USAID or one of the Agency’s contractors or grantees for the purposes of an evaluation must be uploaded and stored in a central database. The data should be organized and fully documented for use by those not fully familiar with the project or the evaluation. Until this database is established, data can be submitted to DevelopmentData@usaid.gov

XI. Relationships and Responsibilities

USAID Point of Contact:
 Merri Weinger, Environmental Health Team Leader
 USAID/GH/HIDN/MCH
 Ronald Reagan Building 3.7.26
 1300 Pennsylvania Ave, N.W.
 Washington, DC 20523-3700
 Telephone: 202-712-5102
 Email: mweinger@usaid.gov

Other technical contact:
 Helen Petach, Ph.D.
 USAID/GH/HIDN/MCH
 Ronald Reagan Building 3.7.63
 Telephone: 202-712-1414
 Email: hpetach@usaid.gov

XII. Cost and Time Estimate

Our current estimate is \$100,000 and 2 months of effort. These costs include the full LOE as described earlier in the document.

XIII. USAID and Grant or Contract Contact Persons for Interviews

The expectation is that an *appropriate subset* of these interviews will take place. To be approved prior to the completion of interviews.

Organization
WASHplus
WASHplus Country-level staff
Zambia partners
Kenya partners
Mali partners
Uganda partners
Winrock
PLAN
CARE
USAID/Madagascar
USAID/Bangladesh
USAID/Zambia
USAID/Uganda
USAID/Kenya
USAID/W MCH
USAID/W Water Office
WSP
UNICEF
WHO
UNC
Columbia University
Emory University
GACC
WASH Advocates
JMP Hygiene Task Force

XIV. List of Documents and References

WASHplus: Years 1, 2, 3, and 4 Work Plans and Budget

WASHplus: Years 1, 2, and 3 Annual Reports

WASHplus: Project Quarterly Reports for Year 4 (1st quarter)

Country-specific quarterly reports

WASHplus communication products (e.g., Quarterly Partner Updates, WASHplus News,

WASHplus Weeklies, WASHplus customer survey results)

www.washplus.org

WASHplus products:

MHM Toolkit

WASH Friendly Schools Training (revised)
WASH and Nutrition Trainings
Bangladesh Sanitation Options job aids
IAP/HAP article in PLOS (not found)
Inclusive San Job Aids
Country NACS input

USAID Water and Development Strategy

Annex 2. Country Profiles

Bangladesh

Program Name(s)	WASHplus Bangladesh WASH activity	
Core Partner	FHI360	
Start Date:	February, 2013	
End Date:	May 31, 2015	
Budget (Obligated funds):	Approved work plan \$6,000,000 Obligated \$4,000,000	
Collaborating Partners:	WaterAid, DPHE (Department of Health and Engineering), USAID FTF partners SPRING and Shikha, ICDDR,B, iDE	
Description of Key Activities:	<p><u>In work plan</u></p> <ul style="list-style-type: none"> • WASHplus will implement or rehabilitate appropriate and reliable water technologies. • Implement the CLTS approach; explore the feasibility of launching a hand-washing device. • Design a comprehensive behavior change strategy. • Strengthen the capacity of community members (leaders, youth club members, WASH volunteers). • Training of local government institutions, strengthen programs within FTF, stove trial study. • Promote innovation and engage local institutions. 	<p><u>Delivered in reports</u></p> <ul style="list-style-type: none"> • Deep tube wells installed w/ some additional rehabilitation • One new water supply technology adapted (this language follows indicators) • Community ignition in process (1,206 communities thru May 2014). • Comprehensive BC strategy designed, translated in Bangla and disseminated. • Local implementing NGOs and government trained in BC approaches for WASH, refresher trainings provided • Schoolteachers trained in WASH including MHM to accompany hardware inputs (348). • Local government capacity strengthened, focus on O&M, planning, budgeting, representation • New, upgraded, and renovated household latrines. (new = 3939, renovated/upgraded = 2775, provided to poorest of the poor - 283)

	<ul style="list-style-type: none"> WASHplus will explore the feasibility of launching a hand-washing device. 	<p>(reported in May 2014).</p> <ul style="list-style-type: none"> Technical support and training to USAID implementing partners to integrate WASH into nutrition (SPRING Project assessment showed statistically significant differences in presence of at least 2 HW stations and observed HW practices)
Integrated Programming:	<p><u>In work plan</u></p> <p>WASH-Sanitation (including inclusive sanitation), WASH-Schools (including MHM), WASH-Nutrition, WASH-Hygiene.</p>	<p><u>Delivered in reports</u></p> <p>CLTSplus (plus focuses on high coverage, low quality latrines)</p> <p>SDAs for upgrading leaky latrines, HW)</p> <p>Sanitation Marketing linkages w CLTS</p> <p>WASH-School (including MHM)</p>
Other:	Total Beneficiary Target: 272,530 (Work plan)	

Bangladesh

Program Name(s)	WASHplus Bangladesh IAP activity	
Core Partner	FHI360 and Winrock	
Start Date:	September 2012	
End Date:	Officially extended through May 2014, again extended through Dec 14	
Budget (Obligated funds):	<p>\$476,823 *</p> <p>Originally budgeted at \$863,182 through a combination of field support (\$476,823) and Asia Bureau (\$386,359) funds.</p> <p>*The IN COUNTRY work was completed using just field support funds plus a supplemental \$72,604 grant from the United States Office of the Secretary of State, Global Partnership Initiative (S/GPI) for local capacity building and testing of the performance of improved stoves in the field.</p> <p>*Regional funds were then approved in Nov 2013 for reprogramming to disseminate the Bangladesh Consumer Preference methodology and findings (originally budgeted in the \$863,182) and carry out a revised/ improved version of the Consumer Preference Study in Nepal, with development and extensive dissemination of a Consumer Preference Toolkit.</p>	
Collaborating Partners:	International Development Enterprises, Berkeley Air, Aprovecho, in coordination with key stakeholders including USAID Implementing partner CCEB; Global Alliance for Clean Cookstoves (funding iDE contract), SNV	
Description of Key Activities:	<p><u>In work plan</u></p> <ul style="list-style-type: none"> • Consumer Preference and Willingness to Pay study • Kitchen Performance Tests (KPTs) • Marketing and behavior change strategy developed and disseminated • Local institutions trained in research methods and stove testing 	<p><u>Delivered in reports</u></p> <ul style="list-style-type: none"> • Consumer Preference and Willingness to Pay study • Kitchen Performance Tests (KPTs) • Local implementing NGOs and other institutions trained in qualitative and quantitative consumer research and stove testing. • Marketing and Behavior Change Strategy

	<ul style="list-style-type: none"> • Dissemination of findings through Asia region 	<ul style="list-style-type: none"> • Dissemination at US and global fora
Integrated Programming:	<p><u>In work plan</u></p> <p>WASH-Sanitation (including inclusive sanitation), WASH-Schools (including MHM), WASH-Nutrition, WASH-Hygiene.</p>	<p><u>Delivered in reports</u></p> <p>CLTSplus (plus focuses on high coverage, low quality latrines)</p> <p>SDAs (for upgrading leaky latrines, HW)</p> <p>Sanitation Marketing linkages with CLTS</p> <p>WASH-School (including MHM).</p>
Other:	Total Beneficiary Target: 272,530 (Work plan)	

Benin

Program Name(s)	WASHplus Benin	
Core Partner	FHI360	
Start Date:	October 2012	
End Date:	October 2015	
Budget:	750,000	
Collaborating Partners:	UNICEF, Government of Benin, MOH, ABMS	
Description of Key Activities	<p><u>In work plan</u></p> <ul style="list-style-type: none"> • Design, carryout, and analyze baseline survey. • Design and conduct innovative multi-media BC program in target neighborhood. • Design and carry out social marketing of WASH products and services • Partner with UNICEF and others for advocacy and increased investment in urban WASH • Support MOH in developing Urban WASH Strategy 	<p><u>Delivered in reports</u></p> <ul style="list-style-type: none"> • Conducted baseline survey. • Contracted ABMS/PSI to carry out neighborhood pilot program: • Carried out a situational analysis of 2 pilot neighborhoods • Hired 1 advocacy and 1 social mobilization specialist, hired and trained community health workers • Conducted 4 day inclusive Strategic Workshop to develop details of pilot BC/SocMar program • Supported MOH is development of TORs for urban strategy development consultant • Elaborated MOU with the municipality of Cotonou in support of program activities • Recruited expert facilitator to design and conduct multi-stakeholder urban WASH planning workshop (FY15) • Established partnership with UNICEF to conduct joint Call to Action event once national urban WASH strategy is done (FY15)
Integrated Programming	<p><u>In work plan</u></p> <p>N/A</p>	<p><u>Delivered in reports</u></p>
Other:		

Kenya

Program Name(s)	WASHplus Kenya	
Core Partner	FHI 360	
Start Date:	January, 2010 (WASHplus efforts started July 2012)	
End Date:	September, 2014	
Budget:	\$2,160,522	
Collaborating Partners:	MOH, APHIAplus projects and their partners, CDC partners Other collaborating partners include: WSP, World Vision, PSI	
Description of Key Activities:	<p><u>In work plan</u></p> <ul style="list-style-type: none"> • Conduct baseline survey. • Train community health extension workers in districts where the baseline was conducted. • Provide technical assistance to partner organizations to implement WASH-HIV in other parts of the country • Assist MOH with CLTS activities in 1 district 	<p><u>Delivered in reports</u></p> <ul style="list-style-type: none"> • Completed WASH baseline survey. • Built capacity of CHEWs and CHWs on WASH and HIV integration to support outreach and WASH improvement. • Trained over 650 NGO and government trainers. • Supported USAID and CDC implementing partners to train CHEWs and CHWs across the country. • Finalized and disseminated WASH-HIV Integration materials. Provided technical support to MOH to develop a National WASH training module for community health workers. • Innovated CLTSplus to include inclusive sanitation; now part of government policy; trained over 600 government CHWs and natural leaders; developed supporting job aids. • Assisted MOH with CLTS+ activities in Naivasha subcounty • Trained third-party verifiers • Supported government to identify most effective sanitation marketing options/promising practices.
Integrated Programming	<u>In work plan</u> WASH-HIV	<u>Delivered in reports</u> WASH-HIV
Other:	Introduced inclusive sanitation that was adopted by the GOK CLTS program.	

Madagascar

Program Name(s)	WASHplus Madagascar	
Core Partner	FHI 360	
Start Date:	2010	
End Date:	November 2013	
Budget:	\$1,158,000	
Collaborating Partners:	Practica, WSUP	
Description of Key Activities:	<p style="text-align: center;"><u>In work plans</u></p> <ul style="list-style-type: none"> • Conduct assessment implementation, governance, and basic financial management training in WASH sector for future selected NGOs. • Conduct capacity building in project implementation of the WASH-Everywhere community approach to increase the effectiveness and efficiency of the selected NGOs in the project's SOW. • Urban project in collaboration with WSUP 	<p style="text-align: center;"><u>Delivered in reports</u></p> <ul style="list-style-type: none"> • Monitoring of documentation activities. • Capturing lessons learned, best practices, and success stories from other USAID funded WASH programs.
Other:	PRACTICA fecal sludge management pilot in Ambositra was funded with innovation funds from SO4.	

Mali

Program Name(s)	WASHplus Mali	
Core Partner	CARE, FHI360	
Start Date:	April 2013 (six month delay due to civil unrest in the north of the country)	
End Date:	April 2015 (25 months)	
Budget:	3,000,000 (Promised by USAID/Mali) 2,500,000 (Actually obligated by USAID/Mali)	
Implementing Partners:	CARE Mali	
Description of Key Activities:	<p><u>In work plans</u></p> <ul style="list-style-type: none"> • Understand private sector engagement and identify priority opportunities to increase their engagement. • Train CLTS animators. • Implement and follow up CLTS in 18 communes. • Implement the behavior change component with CLTS mobilization. • Promote Improved WASH and nutrition practices. • Use multi-media and national awareness raising opportunities. • Lead coordination in WASH/nutrition at district levels 	<p><u>Delivered in reports</u></p> <ul style="list-style-type: none"> • WASHplus-developed intervention strategies and project management tools. • Drafted baseline protocol. • Established or revitalized WASH committees in villages. • Continue CLTS triggering in remaining villages. • Nutrition demonstrations • Support community volunteers to screen infants for malnutrition • Developed Small doable actins for WASH/nutrition.
Other:	Beneficiary (Work plan): 187,000 women and 60,000 children	

Uganda

Program Name(s)	WASHplus Uganda	
Core Partner	FHI360	
Start Date:	December 1, 2012	
End Date:	Approx. August 31, 2014 (extended to Oct/Nov 2012)	
Budget:	\$500,000	
Implementing Partners:	USAID Implementing Partners STAR SW, SPRING, Community Connector and District Governments of Kabale, Kisoro and Kanungu (SW Uganda)	
Description of Key Activities:	<p><u>In work plan</u></p> <ul style="list-style-type: none"> • Support USAID Implementing Partners to integrate WASH into HIV and nutrition activities • Determine available small doable actions and feasible local solutions. • Support implementation of USAID WASH Grants (up to \$1.5 million for districts) by providing technical support to SDS Project (tasked with disbursing grants) and 3 districts to plan, budget and implement WASH ‘menu’ of options. 	<p><u>Delivered in reports</u></p> <ul style="list-style-type: none"> • Supported implementation of USAID WASH Grants (up to \$1.5 million for districts) by providing technical support to SDS Project (tasked with disbursing grants) and 3 districts to plan, budget and implement WASH ‘menu’ of options. • Developed budgeting tool for district planning of WASH. • District and IP capacity building on WASH integration. Workshops on budgeting, monitoring and indicators, O&M, local governance, WASH into nutrition, WASH into HIV, WASH Friendly Schools including MHM. • Led collaborative process to plan integration of HIV, Nutrition • Small doable actions and job aids including innovations for water supply (DIY rainwater catchment), nutrition/food hygiene.
Integrated Programming	<p><u>In work plan</u></p> <p>WASH-HIV, WASH-Nutrition</p>	<p><u>Delivered in reports</u></p> <p>WASH-HIV, WASH-Nutrition</p>

Zambia

Program Name(s)	SPLASH	
Core Partner	FHI360, CARE	
Start Date:	2011	
End Date:	2015	
Budget:	13,690,448	
Collaborating Partners:	(Listed in order of importance) Ministry of Education Science, Vocational Training and Early Education, UNICEF, Ministry of Local Government and Housing, Emory University. WaterAid made a contribution early in the project.	
Description of Key Activities:	<p><u>In work plan</u></p> <ul style="list-style-type: none"> • Improve drinking water and sanitation facilities rehabilitated and installed in schools using a service-delivery framework (Boreholes, latrines, trainings). • Rehabilitated or new latrines with washrooms for senior girls and urinals for boys. • Rehabilitated or new water supplies. • Permanent hand-washing stations. • Develop or adapt a national school hygiene education program that includes: <ul style="list-style-type: none"> ○ School-program guidance documents for school leaders ○ Educational materials for classrooms, offices (e.g. posters) ○ Lesson inserts for teachers on folding WASH themes into curriculum ○ Student materials (booklets, etc.) that reinforce the USAID's reading outcomes 	<p><u>Delivered in reports</u></p> <p>Corrected Achievements as of March 2014</p> <ul style="list-style-type: none"> • 334/443 water points rehabilitated or constructed • 1,318/3,995 new latrines constructed • 173,122/250,000 people gaining access to improved drinking water • 62,089/144,000 people gaining access to improved sanitation facilities • 44/270 schools with MHM facilities • 61/370 schools with handwashing facilities • 379/1,014 teachers trained in WASH • 172/370 schools with established WASH clubs and trained peer educators • 45/30 school administrators/officials trained in WASH
Integrated Programming:	<p><u>In initial 5-year proposal</u></p> <p>WASH-Schools</p>	<p><u>Delivered in reports</u></p> <p>WASH in Schools</p>
Other:	Beneficiary (Work Plan): 741 schools	

Annex 3: Summary of Accomplishments by Country

(Information provided by WASHplus)

Countries	Characteristics of geographic area where project operates	Accomplishments to date (depending on the status of program activities and planning as of August 2014)
Bangladesh	Program operates in an area of 266,000 households and targets some sub-districts and villages in that geography	<ul style="list-style-type: none"> • # of people gaining access to improved drinking water source = 13,900 • # of people gaining access to improved sanitation facilities = 5,400 (number of people getting off open defecation still to be accounted for) • # of communities certified as ODF as a result of USG assistance = 282 • # of households with installed hand washing device/station = 13,900
Benin	Targeting population of two peri-urban districts in Cotonou with about 25000 households	# of households heads/main child caretakers reached = 10,000
Kenya	Mainly a TA and training program, with some specific pilot activities in two community units	Kenya was funded incrementally and therefore did not have targets <ul style="list-style-type: none"> • 650 public health officials/NGO workers in 26/47 counties trained in WASH-HIV integration • 8,029 volunteer community health workers trained in WASH-HIV integration and inclusive sanitation • Around 1.6 million Kenyans reached with inclusive sanitation messages • WASHplus staff triggered 100 villages in pilot sites • 25 villages ODF certified (# of people stopping open defecation still to be accounted for)
Madagascar	Program operated in secondary cities	<ul style="list-style-type: none"> • # of people gaining access to improved drinking water source = 19,420 • # of people gaining access to improved sanitation facilities = 11,225 • Two WASH blocks improved/rehabilitated in high-transient areas with an average of 12,000 users per month
Zambia (to date as of Sept. 2015)	Operates in Eastern Province targeting 60% of elementary schools in the area, with water points	<ul style="list-style-type: none"> • # of people gaining access to improved drinking water source = 173,122 • # of people gaining access to improved sanitation facilities = 62,089

	used by surrounding villages	<ul style="list-style-type: none"> • Interventions in 375 schools in four districts • Constructed 110 boreholes • Rehabilitated 265 water points • Constructed 1,243 latrine compartments for male and females students and school staff • Constructed 88 wash rooms for senior girls • Constructed 285 permanent handwashing facilities • Installed/constructed 203 drinking water facilities • trained 622 teachers in hygiene, 100 teachers in borehole drilling supervision, 78 artisans and 46 pump menders • formed 291 WASH committees (at the community level) and 106 (school) WASH clubs • supported 291 existing PTAs and • ignited 250 schools in SLTS- School led total sanitation
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Annex 4. List of Documents Reviewed

Document type	Title of documentation	Status	Date received
	USAID Forward Report – 2013	Received	6/3/2014
	USAID Water Strategy Report	Received	6/3/2014
	WASHplus M&E Plan	Received	6/13/2014
Annual work plans			
Core Work Plans	Revised WASHplus Year 1 Work Plan (2/11/2011)	Received	5/30/14
	Revised WASHplus Year 2 Work Plan – Activity Table (11/14/2011)	Received	5/30/14
	Revised WASHplus Year 2 Work Plan – Narrative (11/14/2011)	Received	5/30/14
	Revised WASHplus Year 3 Work Plan – Activity Table (December 2012)	Received	5/30/14
	Revised WASHplus Year 3 Work Plan – Narrative (December 2012)	Received	5/30/14
	Revised WASHplus Year 4 Work Plan – Narrative (January 2014)	Received	5/30/14
	Revised WASHplus Year 4 Work Plan – Activity Table (01/14/2014)	Received	5/30/14
	List of Products for WASHplus Year 4 Work Plan Draft (01/14/2014)	Received	5/30/14
Country Work Plans	Kenya: WASHplus Final Work Plan FY14	Received	5/30/14
	Kenya: WASHplus Final Work Plan FY13	Received	6/13/14
	Bangladesh: WASHplus Work Plan (12/07/2012)	Received	5/30/14
	Bangladesh: WASHplus IAP Final Work Plan (10/24/2012)	Received	5/30/14
	Bangladesh: Year 1 Implementation Plan (7/29/2013)	Received	5/30/14
	Bangladesh: Year 2, 3 Implementation Plan (9/16/2013)	Received	5/30/14
	Benin: WASHplus Final Work Plan (11/20/2012)	Received	5/30/14
	Benin: WASHplus Year 2 Final Work Plan FY14	Received	5/30/14
	Madagascar: WASHplus Work Plan 2013	Received	5/30/14
	Madagascar: WASHplus Revised Work Plan (11/18/2011)	Received	5/30/14
	Mali: WASHplus Work Plan – Final (9/27/2012)	Received	6/13/14
	Uganda: WASHplus District Work Plan – Kabale	Received	5/30/14
	Uganda: WASHplus District Work Plan – Kanungu	Received	5/30/14
	Uganda: WASHplus District Work Plan – Kisoro	Received	5/30/14
Uganda: Final District Menu of Options	Received	5/30/14	

	Uganda: Bullet Points for Discussion with USAID (8/14/2013)	Received	5/30/14
	Uganda: Procedures and TA Required for WASH Grant Items (2/12/2014)	Received	5/30/14
	Uganda: WASHplus Revised Work Plan (2/15/2013)	Received	5/30/14
	Uganda: Summary of WASHplus Trainings and Meetings (June 2013 – May 2014)	Received	5/30/14
	Uganda: WASHplus – Brief Summary	Received	5/30/14
	Uganda: Revised Work Plan	Received	5/30/14
	Zambia: SPLASH Revised Program Plan (4/10/2012)	Received	5/30/14
	Zambia: SPLASH Year 2 Final Work Plan (1/4/2013)	Received	5/30/14
	Zambia: SPLASH Year 3 Work Plan	Received	5/30/14
	Kenya: WASHplus Final Work Plan (September 2013)	Received	5/30/14
Quarterly reports			
Core WASHplus Quarterly	WASHplus Project Y1Q1 Quarterly Report	Received	5/30/14
	WASHplus Project Y1Q2 Quarterly Report – Final	Received	5/30/14
	WASHplus Project Y1Q3 Quarterly Report	Received	5/30/14
	WASHplus Project Y2Q1 Quarterly Report	Received	5/30/14
	WASHplus Project Y2Q2 Quarterly Report – Final	Received	5/30/14
	WASHplus Project Y2Q3 Quarterly Report	Received	5/30/14
	WASHplus Project Y3Q1 Report	Received	5/30/14
	WASHplus Project Y3Q2	Received	5/30/14
	WASHplus Project Y3Q3 Quarterly Report	Received	5/30/14
	WASHplus Y3Q4 Report – Supplement	Received	5/30/14
	WASHplus Project Y4Q1 Report	Received	5/30/14
	WASHplus Project Y4Q2	Received	5/30/14
Country Quarterly Reports	Bangladesh: WASHplus IAP Q1 Jan–Mar 2013 Final	Received	5/30/14
	Bangladesh: WASHplus Quarterly Report April–June 8/22/2013	Received	5/30/14
	Bangladesh: WASHplus Quarterly Report Y1 July–Sept 2013	Received	5/30/14
	Bangladesh: WASHplus Y2 Q2 Narrative Report – Finale	Received	5/30/14
	Bangladesh WASHplus Quarterly Report – Oct–Dec 2013 Q1	Received	6/13/2014
	Benin: Q1 FY14 Report 1/28/2014	Received	5/30/14
	Benin: Q1 Y1 Final Report	Received	5/30/14

	Benin: Q2 FY14 Final Report	Received	5/30/14
	Benin: Q2 Yr1 Final Report	Received	5/30/14
	Benin: Q3 Y1 Final Report 7/19/2013	Received	5/30/14
	Benin: Q4 FY13 Final Report 10/30/2013	Received	5/30/14
	Kenya: FS 1.4 WASH FY12 Q1 Final	Received	5/30/14
	Kenya: HIP Milestones April 2010 – Final	Received	5/30/14
	Kenya: WASH 2 nd Quarterly Report FY2011	Received	5/30/14
	Kenya:WASH-HIV Integration Update Nov–Dec 2012	Received	5/30/14
	Kenya: WASH-HIV Integration Update Sept–Oct 2012	Received	5/30/14
	Kenya: WASH-HIV Integration Update Jan–Feb 2012	Received	5/30/14
	Kenya: WASH-HIV Integration Update July–August 2012	Received	5/30/14
	Kenya: WASH-HIV Integration Update March–April 2012	Received	5/30/14
	Kenya: WASH-HIV Integration Update Nov–Dec 2011	Received	5/30/14
	Kenya: WASH-HIV Integration Update Sept–Oct 2011	Received	5/30/14
	Kenya: WASHplus 3 rd Quarterly Final 2013	Received	5/30/14
	Kenya: Program Update July–August 2013 – Final	Received	5/30/14
	Kenya: WASHplus Update March–April 2013 – Final	Received	5/30/14
	Kenya: WASHplus Update May–June 2013 – Final	Received	5/30/14
	Kenya: WASHplus Update Nov–Dec 2013 – Final	Received	5/30/14
	Madagascar: Quarter 1 Report FY2012	Received	5/30/14
	Madagascar: Quarter 2 FY2012 Final	Received	5/30/14
	Madagascar: Quarter 3 FY2012	Received	5/30/14
	Madagascar: WASHplus FY2013 Q1 Report	Received	5/30/14

	Madagascar: WASHplus Quarter 4 Progress Report FY12	Received	5/30/14
	Madagascar: WASHplus FY13 Q3 Report – Edited	Received	5/30/14
	Madagascar: WASHplus FY14 Q1 Report	Received	5/30/14
	Madagascar: WASHplus Q2 Report – Final	Received	5/30/14
	Madagascar: WASHplus Q4 Report – Final SC Approved	Received	5/30/14
	Mali: ENG Quarterly Activity Report (April–June 2013)	Received	5/30/14
	Mali: Quarterly Report Jan–March 2014 – 4.30.2014	Received	5/30/14
	Mali: Quarterly Report Oct–Dec 2013	Received	5/30/14
	Mali: WASHplus Annual Activity Report Oct 2013	Received	5/30/14
	Uganda: Quarterly Report – Jul–Sept 2013	Received	6/13/14
	Uganda: WASHplus Y3 Q4 – Oct–Dec 2013	Received	6/13/14
	Zambia: SPLASH FY12 Report July–Sep 2012 – Final	Received	5/30/14
	Zambia: SPLASH FY13 Q3 Report 7/29/13 – Final	Received	5/30/14
	Zambia: SPLASH FY13 Q4 Report – Final	Received	5/30/14
	Zambia: SPLASH FY13 Q2 Report Jan–Mar 2013 – Final	Received	5/30/14
	Zambia: SPLASH FY14 Q2 Report – Final	Received	5/30/14
	Zambia: SPLASH FY14 Q1 Report	Received	5/30/14
	Zambia: SPLASH Q1 Report Oct–Dec 2012 – Final	Received	5/30/14
USAID annual work plan budgets			
Core Budgets	WASHplus Year 2 Budget 11/16/11	Received	5/30/14
	WASHplus Year 3 Core Budget Proposal 10/25/12	Received	5/30/14
	Year 1 Work Plan Budget Version 3 Revised 05/12/2011	Received	5/30/14
	Year 4 Work Plan Budget Revised Final 01/15/2014	Received	5/30/14
Country Budgets	Bangladesh: WASH Year 4 Work Plan Budget 9/17/2013	Received	5/30/14
	Bangladesh: WASHplus Budget 12/07/2012	Received	5/30/14

	Benin: Budget Proposal (revised) 11/10/2012	Received	5/30/14
	Benin: Y2 FY14 Budget – Final	Received	5/30/14
	Uganda: Budgeting for District WASH – Tool	Received	5/30/14
	Uganda: Final FY14 Uganda Integration Budget 02/19/2014	Received	5/30/14
	Uganda: Kabale WASH Budget (revised)	Received	5/30/14
	Uganda: Kanungu WASH Budget (revised)	Received	5/30/14
	Uganda: Kisoro WASH Work Plan 2013	Received	5/30/14
	Zambia: SPLASH 5 Year Budget – External	Received	5/30/14
	Zambia: SPLASH Budget Year 2 – External	Received	5/30/14
	Zambia: SPLASH Year3 Budget 2/24/2014	Received	5/30/14
	Madagascar: WASHplus Year 2 Final Budget 11/18/2011	Received	5/30/14
USAID WASHplus annual reports			
	USAID: WASHplus Project Annual Report Yr 3	Received	5/30/14
	USAID: WASHplus Project Annual Report Yr 2	Received	5/30/14
	USAID: WASHplus Project Annual Report Yr 1	Received	5/30/14

Annex 5. Interview Protocols

Category	WASHplus staff in DC
Interviewer(s)	
Form Number	
Interview Date	
Time begins	
Time ends	
Name of Interviewee	
Title/Position	
Country	

1. Can you tell us about your role within the WASHplus mechanism?
2. From your perspective, who is WASHplus designed to serve?
3. In your opinion, has WASHplus met the expectations of the people it was designed to serve? Can you explain your responses?
4. In your opinion, does a Washington-based mechanism yield benefits that would not be realized if such a mechanism did not exist?
5. In your opinion, do you think the benefits provided by the WASHplus mechanism have been in line with the costs?
6. In your opinion, what factors have contributed to management success and management challenges in terms of:
 - a. Partnership structure?
 - b. Contractual structure?
 - c. USAID context?
7. In your opinion, to support WASH programming, should USAID continue using a centralized Washington-based mechanism?
8. Are there any improvements you would propose for future mechanisms to support USAID WASH programming?

Category	WASHplus staff in country
Form Number	
Interview Date	
Time begins	
Time ends	
Name	
Phone number	
Email	
Country	
Interviewed by	

1. Can you tell us a little about your role in the WASHplus mechanism?
2. In what ways has WASHplus supported the WASH projects you have worked on?
 - a. Which of these has had the greatest impact?
 - b. Are there other components of WASHplus support you would like to have?
 - c. Are there components of WASHplus support you think were not worthwhile?
 - d. If WASHplus were not there, how would you access the kind of support you have mentioned?
3. Please tell us about your interaction with other local implementing partners and resource partners.
4. Have you had experience with the work of WASHplus to develop programming that is integrated with or coordinated with programming in other sectors, such as HIV AIDS, nutrition, or education? If yes, please tell us about your experience.
 - a. In your experience on the WASHplus supported project you worked on, did this kind of programming provide benefits? Drawbacks? Please explain.
 - b. In your experience, has this WASHplus-supported programming influenced other organizations (not associated with WASHplus) to carry out similar integrated or coordinated programming?
 - c. If yes, can you give examples?
5. What has your experience been of the WASHplus:
 - a. Partnership structure?
 - b. Contractual structure?
 - c. USAID context?
6. In your opinion, have you had adequate management support from the WASHplus in Washington?
 - a. Have funds been transferred in a timely manner?
 - b. Have the reporting requirements been appropriate?
 - c. Has technical assistance been available when needed?
 - d. Have communications been smooth and effective?
 - e. Have you been able to share experiences and information with other countries through WASHplus?

- f. What other issues related to management have you encountered?
 - g. Would you recommend any improvements for the future?
7. Have you used WASHplus knowledge resources? (documents, the website, newsletters, weekly briefings, presentations at conferences etc.)? If yes, please provide specific examples.
- a. How did you use these knowledge resources?
 - b. In your opinion, do the WASHplus knowledge resources meet your needs?
 - c. Do they meet the needs of colleagues outside WASHplus in the country where you work?
8. In your opinion, has WASHplus in general had an influence on thinking in the WASH sector in the country where you work?
- a. Please explain your responses: _____
 - b. Please give an example of something WASHplus has done that has, in your opinion, been influential in sector thinking in the country where you work.
9. In your opinion, what would be the best way for USAID to support WASH programming in the future?

Category	Global Partners
Form Number	
Interview Date	
Time begins	
Time ends	
Name	
Phone number	
Email	
Country	
Interviewed by	

1. Please tell us a little about your interactions with the WASHplus mechanism.
2. Have you been exposed to WASHplus knowledge resources? (documents, the website, newsletters, weekly briefings, presentations at conferences etc.)? If yes, please provide specific examples.
 - a. How did you use these knowledge resources?
 - b. Do the WASHplus knowledge resources meet your needs?
 - c. In your opinion, have WASHplus knowledge resources had an influence on the WASH sector in the countries where you work or globally?
 - d. If yes, please give an example
3. Do you have any experience with the work of WASHplus to develop programming that is integrated with or coordinated with programming in other sectors, such as HIV/AIDS, nutrition, or education? If yes, please tell us about your experience.
 - a. In your opinion, does this kind of programming contribute to improved outcomes for beneficiaries?
 - b. Please explain:_____
 - c. In your experience, has this kind of WASHplus-supported programming influenced other organizations (not associated with WASHplus) to carry out similar integrated or coordinated programming?
 - d. If yes, can you give examples?
4. In your opinion, has WASHplus had an influence on thinking in the WASH sector globally or in the country where you work?

Please give an example of something WASHplus has done that has, in your opinion, been influential in sector thinking in the country where you work.

5. In your opinion, what benefits has USAID provided to the sector via WASHplus?
 - a. What things would you like to have seen USAID do to support the WASH sector?
 - b. What other interventions do you think WASHplus could have undertaken?

Category	Government Representatives
Form Number	
Interview Date	
Time begins	
Time ends	
Name	
Phone number	
Email	
Country	
Interviewed by	

1. Please tell us a little about your interactions with the WASHplus mechanism. *(if necessary, prompt with reminders about the nature of the WASHplus programming in the country)*
2. Thinking about the WASHplus project(s) in your country, in what ways has WASHplus supported the projects?
 - a. Which of these has had the greatest impact?
 - b. Are there other components of WASHplus support you would like to have?
 - c. Are there components of WASHplus support you think were not worthwhile?
3. In terms of the support you received through WASHplus in your country:
 - a. Have funds been transferred in a timely manner?
 - b. Have the reporting requirements been appropriate?
 - c. Has technical assistance been available when needed?
 - d. Have communications been smooth and effective?
 - e. Have you been able to share experiences and information with other countries through WASHplus?
4. Have you been exposed to WASHplus knowledge resources? (documents, the website, newsletters, weekly briefings, presentations at conferences etc.)? If yes, please provide specific examples.
 - a. How did you use these knowledge resources?
 - b. In your opinion, do the WASHplus knowledge resources meet your needs?
5. In your opinion, has WASHplus had an influence on thinking in the WASH sector in the country where you work?
 - a. Please explain.
 - b. Please give an example of something WASHplus has done that has, in your opinion, been influential in sector thinking in the country where you work.
6. Do you have any experience with the work of WASHplus to develop programming that is integrated with or coordinated with programming in other sectors, such as HIV/AIDS, nutrition, or education? If yes, please tell us about your experience.
 - a. In your opinion, does this kind of programming contribute to improved outcomes for beneficiaries?

- b. Please explain:_____
 - c. In your experience, has this kind of programming supported by the WASHplus mechanism influenced other organizations to carry out similar integrated or coordinated programming?
 - d. If yes, can you give examples?
7. What, in your opinion, what are the benefits of having WASHplus support?
- a. What could be improved?

Category	USAID in Missions (where WASHplus mechanism was not used)
Form Number	
Interview Date	
Time begins	
Time ends	
Name	
Phone number	
Email	
Country	
Interviewed by	

1. Please tell us a little about your experience with the WASHplus mechanism.
2. How did you hear about WASHplus?
 - a. What made you decide not to use this mechanism?
3. I'd like to ask you about costs. (*clarify: approximate, relative costs, exact costs*)
 - a. How do you think the costs of *support interventions* (such as technical advice, training) provided through the WASHplus mechanism would compare to other projects carried out by your Mission?
 - b. How would the *cost per beneficiary* for WASH projects undertaken through the WASHplus mechanism compare to other WASH projects carried out by your Mission?
4. Have you used WASHplus knowledge resources? (documents, the website, newsletters, weekly briefings, presentations at conferences etc.)? If yes, please provide specific examples.
 - a. How did you use these knowledge resources?
 - b. Do the WASHplus knowledge resources meet your needs?
 - c. In your opinion, have WASHplus knowledge resources had an influence on the WASH sector in the countries where USAID works?
 - d. If yes, please give an example
5. In your opinion, has WASHplus had an influence on thinking in the WASH sector?
 - a. Please explain your responses:
 - b. Please give an example of something WASHplus has done that has, in your opinion, been influential in sector thinking.
6. In your opinion, what are the advantages and disadvantages of a Washington-based mechanism to support USAID's work in WASH?
 - a. Advantages:_____
 - b. Disadvantages:_____
7. Do you think USAID should continue to use a Washington-based mechanism?
 - a. Why?
 - b. Are there any improvements you would propose for a future mechanism?

Category	USAID in Missions (where WASHplus mechanism has been used)
Form Number	
Interview Date	
Time begins	
Time ends	
Name	
Phone number	
Email	
Country	
Interviewed by	

1. Please tell us a little about your experience of the projects you have worked on which were carried out through the WASHplus mechanism.
2. How did you hear about WASHplus?
 - a. What made you decide to use this mechanism?
3. In your opinion, did the organizations working with WASHplus in the country where you work have adequate access to resources such as:
 - a. Timely finance?
 - b. Knowledge?
 - c. Exchange of information with other WASHplus countries?
 - d. In your opinion, did they receive adequate management support?
4. In your experience, has this kind of programming supported by the WASHplus mechanism influenced other organizations (not associated with WASHplus) to carry out similar integrated or coordinated programming?
 - a. If yes, can you give examples?
5. In your opinion, are there management changes that should be made for future mechanisms used by USAID to support WASH programming?
6. I'd like to ask you about costs. (*clarify: approximate, relative costs, exact costs*)
 - a. How do the costs of *support interventions* (such as technical advice, training) provided through the WASHplus mechanism compare to other projects carried out by your Mission?
 - b. How does the *cost per beneficiary* for WASH projects undertaken through the WASHplus mechanism compare to other WASH projects carried out by your Mission?
7. Have you used WASHplus knowledge resources? (documents, the website, newsletters, weekly briefings, presentations at conferences etc.)? If yes, please provide specific examples.
 - a. How did you use these knowledge resources?
 - b. Do the WASHplus knowledge resources meet your needs?

- c. In your opinion, have WASHplus knowledge resources had an influence on the WASH sector in the country where you work?
 - d. If yes, please give an example
8. In your opinion, has WASHplus had an influence on thinking in the WASH sector in the country where you work?
 - a. Please explain your responses: _____
 - b. Please give an example of something WASHplus has done that has, in your opinion, been influential in sector thinking in the country where you work.
9. In your opinion, what have been the advantages and disadvantages of a Washington-based mechanism to support USAID's work in WASH?
 - a. Advantages:_____
 - b. Disadvantages:_____
 - c. Are there other components of WASHplus support you would like to have?
 - d. Are there components of WASHplus support you think were not worthwhile?
10. Did WASHplus meet your expectations?
11. Do you think USAID should continue to use a Washington-based mechanism?
 - a. Why?
 - b. Are there any improvements you would propose for a future mechanism?
12. Do you have any experience with the work of WASHplus to develop programming that is integrated with or coordinated with programming in other sectors, such as HIV/AIDS, nutrition, or education? If yes, please tell us about your experience.
13. In your opinion, does this kind of programming contribute to improved outcomes for beneficiaries?

Category	USAID in DC
Form Number	
Interview Date	
Time begins	
Time ends	
Name	
Phone number	
Email	
Country	
Interviewed by	

1. Please tell us a little about your interactions with the WASHplus mechanism.
2. How does WASHplus fit into the context of the other work you do at USAID?
3. In your opinion, how well aligned is WASHplus with USAID's other policies and strategies (Water Strategy, Nutrition Strategy etc.)?
4. Have you been exposed to WASHplus knowledge resources? (documents, the website, newsletters, weekly briefings, presentations at conferences etc.)? If yes, please provide specific examples.
 - a. How did you use these knowledge resources?
 - b. Do the WASHplus knowledge resources meet your needs?
 - c. In your opinion, have WASHplus knowledge resources had an influence on the WASH sector in the countries where you work or globally?
 - d. If yes, please give an example
5. Do you have any experience with the work of WASHplus to develop programming that is integrated with or coordinated with programming in other sectors, such as HIV/AIDS, nutrition, or education? If yes, please tell us about your experience.
 - a. In your opinion, does this kind of programming contribute to improved outcomes for beneficiaries?
 - b. Please explain: _____
 - c. In your experience, has this kind of WASHplus-supported programming influenced other organizations (not associated with WASHplus) to carry out similar integrated or coordinated programming?
 - d. If yes, can you give examples?
6. In your opinion, has WASHplus had an influence on thinking in the WASH sector globally or in the countries where you work?
 - a. Please give an example of something WASHplus has done that has, in your opinion, been influential in sector thinking in the country where you work.
7. In your opinion, what have been the advantages and disadvantages of a Washington-based mechanism to support USAID's work in WASH?
 - a. Advantages: _____
 - b. Disadvantages: _____

- c. Are there other components of WASHplus support you think should be included?
 - d. Are there components of WASHplus support you think were not worthwhile?
- 8. Has WASHplus met your expectations?
- 9. Do you think USAID should continue to use a Washington-based mechanism to support WASH programming?
 - a. Why?
 - b. Are there any improvements you would propose for a future mechanism?

Category	Local implementing partners
Form Number	
Interview Date	
Time begins	
Time ends	
Name	
Phone number	
Email	
Country	
Interviewed by	

1. Please tell us a little about your interactions with the WASHplus mechanism.
2. In what ways has WASHplus supported the WASH projects you have worked on?
 - a. Which of these has had the greatest impact?
 - b. Are there other components of WASHplus support you would like to have?
 - c. Are there components of WASHplus support you think were not worthwhile?
 - d. If WASHplus were not there, how would you access the kind of support you have mentioned?
3. Has being an implementing partner in WASHplus met your expectations?
 - a. Why?

If the local implementing partner has a financial relationship with WASHplus ask the following questions.

4. In your opinion, have you had adequate management support from the WASHplus staff in-country?
 - a. Have funds been transferred in a timely manner?
 - b. Have the reporting requirements been appropriate?
 - c. Has technical assistance been available when needed?
 - d. Have communications been smooth and effective?
 - e. Have you been able to share experiences and information with other countries through WASHplus?
 - f. What other issues related to management have you encountered?
 - g. Would you recommend any improvements for the future?
5. Have you been exposed to WASHplus knowledge resources? (documents, the website, newsletters, weekly briefings, presentations at conferences etc)? If yes, please provide specific examples.
 - a. If yes, how did you use these knowledge resources?
 - b. Do the WASHplus knowledge resources meet your needs?
 - c. In your opinion, have WASHplus knowledge resources had an influence on the WASH sector in the country where you work?
 - d. If yes, please give an example

6. Have you had any experience with the work of WASHplus to develop programming that is integrated with or coordinated with programming in other sectors, such as HIV/AIDS, nutrition, or education? If yes, please tell us about your experience.
 - a. In your opinion, does this kind of programming contribute to improved outcomes for beneficiaries?

Annex 6. WASHplus Budget by Country (obligated funds vs. actual expenses to date)

Description	Total Obligations Vs Total Expenditures by Source Funds												Totals
	Core Obligated Funds	Global Health NTD / Core Obligated Funds	Madagascar / Field Obligated Funds	Zambia / Field Obligated Funds	Kenya / Field Obligated Funds	Bangladesh / Regional Obligated Funds	Bangladesh / Field IAP Obligated Funds	Bangladesh / Wash Obligated Funds	Benin/ Field Obligated Funds	Mali / Field Obligated Funds	Uganda / Field Obligated Funds	Liberia / Field Obligated Funds	
WASHplus FHI360	1,578,274		63,202										1,641,476
CARE	175,464												175,464
Winrock International	250,039												250,039
Rotary International	22,077												22,077
Other Partners	87,393												87,393
Subtotal Year 1 - 10/01/10 - 09/30/11	2,113,248	0	63,202	0	0	0	0	0	0	0	0	0	2,176,449
WASHplus FHI360	1,593,373		284,102	1,270,898	115,648	693	41,333		15,757			95,644	3,417,449
CARE	157,767			620,183									777,950
Winrock International	162,793		67,394			49	19,172						249,408
Rotary International	201,624												201,624
Other Partners	118,261		144,179	26,586									289,026
Subtotal Year 2 - 10/01/11 - 09/30/12	2,233,819	0	495,676	1,917,667	115,648	742	60,505	0	15,757	0	0	95,644	4,935,457
WASHplus FHI360	1,634,290	109,268	359,460	2,543,010	1,152,507	95,940	131,078	115,698	152,900	5,966	103,700	8,249	6,412,066
CARE	217,266	8,593		2,951,795				584		116,634			3,294,872
Winrock International	91,901		137,575				131,607						361,082
Rotary International	76,651												76,651
WaterAid				46,445			408,954	68,681					524,080
Other Partners	54,055		(35,972)	49,026									67,109
Subtotal Year 3 - 10/01/12 - 09/30/13	2,074,163	117,860	461,063	5,590,277	1,152,507	95,940	671,639	184,964	152,900	122,600	103,700	8,249	10,735,861
WASHplus FHI360	1,193,946	23,935	90,396	1,365,997	553,877	1,017	29,564	114,739	110,704	54,132	165,664	6,846	3,710,818
CARE	72,327	10,403		1,099,965				6,948		339,078			1,528,721
Winrock International	72,770		38,328				90,228		7,544				208,870
Rotary International	(40,506)												(40,506)
WaterAid				33,068			(419,373)	970,937					584,633
Other Partners	13,407			(5,006)									8,401
Subtotal Year 4 - 10/01/13 - 09/30/14	1,311,944	34,338	128,725	2,494,025	553,877	1,017	(299,581)	1,092,625	118,248	393,210	165,664	6,846	6,000,937
Total Cumulative Costs Thru 05.31.14	7,733,173	152,199	1,148,665	10,001,968	1,822,032	97,699	432,562	1,277,589	286,905	515,810	269,364	110,739	23,848,704
Total Obligations Remaining Balances	2,064,782	847,801	9,335	3,688,480	338,490	288,501	44,296	2,722,411	463,095	1,984,190	230,636	16,521	12,698,539
% of obligated budget spent as of 05/31/14	79%	15%	99%	73%	84%	25%	91%	32%	38%	21%	54%	87%	65%

Annex 7. WASHplus Engagement in Global Activities

Document searched	Collaboration summary	Collaboration type
<p>Year One Annual report</p>	<p>WASHplus team, USAID, resource partners, and other organizations gathered to develop a vision for the implementation of the project.</p>	<p>Meeting</p>
	<p>WASHplus held its first webinar on June 23 on “Lessons Learned from Working at Scale for Better Hygiene and Sanitation Practices” (presented by Julia Rosenbaum)</p>	<p>Webinar</p>
	<p>KM activities for year one included developing a communication strategy with input from the WASHplus team, USAID, and resource partner SecondMuse and IRC</p>	<p>Communication strategy input</p>
	<p>WASHplus participated in the January meeting of the Sanitation Working Group and presented lessons learned on HIP’s Ethiopia experience of jointly promoting sanitation and hand washing.</p>	<p>Meeting</p>
	<p>Meetings and discussions were held (at various times) with staff from USAID/Washington, USAID/Ethiopia, and the World Bank’s Water and Sanitation Program (WSP) headquarters, as well as with regional and Ethiopia staff to explore the potential for collaborative activities within the new Total Sanitation/Sanitation Marketing (TSSM) program in Ethiopia—a follow-up to HIP/WSP collaboration in Amhara, Ethiopia.</p>	<p>Meeting</p>
	<p>Other outreach efforts included preliminary planning discussions with USAID/Global Health Bureau staff regarding the possibility of technical assistance or training for USAID Missions in WASH programming (possibilities might include non-Global Water for Sustainability [GLOWS] countries</p>	<p>Planning discussion</p>
	<p>WASHplus held a series of discussions with USAID staff on incorporating IAP within Healthy Households programming, including how to best promote IAP in an integrated context and simultaneous promotion of IAP along with point-of-use treatment, sanitation, and hand washing</p>	<p>Discussions</p>

Document searched	Collaboration summary	Collaboration type
	Additional activities included meeting with USAID's Office of HIV/AIDS to explore opportunities to integrate WASH into various fora	Meeting
	Over the course of the year WASHplus collaborated with the USAID-funded FANTA 2 (Food and Nutrition Technical Assistance) project on a number of activities to integrate WASH and nutrition	Collaboration
	WASHplus continued its active participation in conferences and workshops that provided opportunities for involvement in integration discussions and planning, such as World Bank's Water Week, World Water Week held in Stockholm, and the Handwashing for Newborn Survival Workshop, held in June as part of a USAID/Maternal and Child Health Integrated Program and Unilever-Lifebuoy public-private alliance to reduce neonatal mortality through improved hand washing practices of birth attendants and mothers.	Conferences and workshops
	WASHplus also participates in the WASH and health integration meetings led by Defeating Diarrhea. Finally, PATH used a WASH-HIV case study from Uganda (conducted under HIP) in the recently released publication, "Join Up. Scale Up," http://www.defeatdd.org/join-up-scale-up .	Meeting
	WASH in Schools Call to Action. Ms. Fry attended the second annual WASH in Schools Call to Action partners meeting in New York in December. The purpose of the meeting was for the working groups to provide updates on their 2010 work and to develop a work plan for 2011	Meeting
	Public-Private Partnership for Handwashing. WASHplus continued to represent USAID within the PPPHW and provided technical support on behalf of USAID, specifically reactivating the Behavior Change and M&E working groups, helping to plan and participating in Steering Committee and Behavior Change working group meetings held in June, and planning the PPPHW-led session at AfricaSan	Meeting
	Participated in the Engineers in Technical and Humanitarian Opportunities of Service conference held in Kirkland, Washington in January	Conference

Document searched	Collaboration summary	Collaboration type
	Co-presented household water treatment and safe storage indicators for a webinar with the International Network on Household Water Treatment and Safe Storage in April	Webinar
	Represented WASHplus at the National Institutes of Health Indoor Air Pollution conference in Washington, DC, in May. During the conference, Ms. Derby participated in the Women’s Empowerment Working Group, and provided inputs to NIH on research questions central to women’s empowerment along with suggestions on how other health research or implementation activities can impact women’s empowerment. WASHplus also provided support to NIH in the form of direct conference costs.	Conference
	Attended the annual Global Health Council Conference in June and presented a paper, “Community-Led WASH Innovations Improve Behaviors, Reduce Diarrheal Disease, and Strengthen Health Systems in Amhara, Ethiopia.”	Conference
	Presented a peer-reviewed paper at the 35 th WEDC conference in the United Kingdom in July on “Combining Sanitation and Hand Washing Promotion: An Example from Amhara, Ethiopia.”	Conference
	WASHplus collaborated with resource partner Practica to perform a feasibility study of various technical options for hygienic sludge removal at two sites in Madagascar.	Collaboration
Year Two Annual Report	This year WASHplus participated in several webinars to disseminate research/lessons learned and collaborate with its partners. Senior Behavior Change Specialist Julia Rosenbaum worked with WaterAid/Australia to jointly facilitate a webinar on “HIV, AIDS and AIDS” in January 2012. The webinar was part of a broader series on inclusive WASH. Resources and recordings are available at: http://www.inclusivewash.org.au/hiv-aids-chronic-illness .	Webinars

Document searched	Collaboration summary	Collaboration type
	In addition, the project cosponsored a webinar with WASH Advocacy Initiative and Global Water Challenge on December 15, 2011, on “Leading with Sustainability—Laying the Groundwork for Sustainable Services,”	Webinars
	Finally, on July 17, Global Public-Private Partnership for Handwashing (PPPHW) with support from WASHplus, hosted a webinar onto share highlights from the Handwashing Think Tank held with UNICEF in June in New York City	Webinars
	In addition to providing M&E support to the country program in Zambia, WASHplus coordinated activities and meetings of a the Hygiene Working Group for Post-2105 Global Monitoring working under the Joint Monitoring Programme to propose goals, targets, and indicators for the post 2015 Sustainable Development Goals agenda.	Meeting
	WASHplus also participated in the WASH Monitoring Exchange meetings for the WASH sector and in the M&E Technical Workshop of the Global Alliance for Clean Cookstoves (GACC)	Meeting
	WASHplus engaged in numerous meetings throughout the year with current and potential partners such as: microfinance and VSLAs, the Support Fund for Sanitation/FAA as well as with RAN’Eau, JICA, UNICEF, NGO Brother Saint Gabriel, USAID, and the World Wildlife Fund.	Meetings
	Ms. Rosenbaum prepared and delivered a webinar presentation and 2-week online dialogue on WASH-HIV integration for WaterAid/Australia’s Inclusive Sanitation web series.	Webinar
	WASHplus shared its technical expertise and programming experience in a wide variety of global venues focusing on WASH and IAP topics. Ms. Derby and Ms. Rosenbaum represented WASHplus at the Global Alliance for Clean Cookstoves partners’ meeting in Washington, DC	Meeting
	Providing behavior change input to the National Institutes of Health’s Indoor Air Quality Writing Workshop in October 2011	Workshop

Document searched	Collaboration summary	Collaboration type
	Participating in a TRAction Technical Advisory Group Meeting to review research of three grantees on the acquisition and correct use of improved cookstoves to reduce indoor air pollution, and also a TRAction Project Launch	Meeting
Year Three Annual Report	Organizing a panel session on environmental enteropathy at the CORE annual meeting, which included a presentation on WASH. WASHplus also presented on WASH, nutrition, and ECD integration in a different session at the same meeting.	Meeting
	WASHplus continued planning activities for a Household Air Pollution workshop/meeting exploring data and evidence gaps on ICS adoption and correct and consistent use.	Workshop/Meeting
	WASHplus staff participated in panel discussions and made presentations at the following fora this year: University of North Carolina's Policy, Science and Innovation conference, Water and Sanitation Rotarian Action Group World Water Summit V, Latinosan 2013, IRC Symposium on Monitoring Sustainability of WASH Services, Colorado WASH symposium, WASH Sustainability Forum, 36th WEDC International Conference, and Integrating WASH and Freshwater Conservation.	Conference/Symposiums

Annex 8. WASHplus Global Leadership contributions as identified in Annual Reports

Leadership arena	Verifiable activities
Integration	WASH-nutrition
	WASH & NACS
	Clean Fed & Nurtured Initiative
	WASH in schools
	WASH-HIV
	Inclusive sanitation
	MHM
Joint Monitoring Program (JMP)	Support of the inclusion of a hand washing indicator in both the MICS and demographic and health surveys (DHS) (http://wsp.org/sites/wsp.org/files/publications/Post-2015-WASH-Targets-Factsheet.pdf)
Sanitation	Inclusive sanitation (http://www.inclusivewash.org.au/hiv-aids-chronic-illness)
	Role at international fora



Addendum: WASHplus Response to Evaluation Report November 24, 2014

WASHplus appreciates the evaluation team's effort. However, the WASHplus team finds that the evaluation report does not accurately reflect its work in several key domains. We submit this document as an official response of record and have limited comments only to the most serious concerns.

Methodological limitations

- **The lack of time and resources available to travel to any country where WASHplus works limited understanding and accurate conclusions as to how the project functions within countries.** For example, the comment that WASHplus' approach is "service delivery at scale, largely by NGOs," does not capture the project's systematic focus on working within existing systems to build capacity and enhance sustainability, especially within district and local government entities.
- **The report makes generalizations based on a single informant's view without further substantiation.** For example, the comment "There has been no real planning for long term sustainability—too short and no real exit strategy" is left unanalyzed and does not reference existing sustainability plans and exit strategies captured within country program plans or recognize that funding may have changed. Comments were taken at face value, without the confirmation necessary to avoid subjective bias and to assure sound findings.

Inaccurate characterizations

- The stated limitation "descriptions of some of the project objectives and results were vague, making it difficult to set coherent criteria to evaluate project outcomes," **does not recognize that country programs in Bangladesh, Benin, Mali and Zambia have Mission approved M & E plans/logical frameworks or results frameworks, all of which specify indicators and targets for approved indicators.** WASHplus reports accomplishments annually against these targets.
- **Certain findings and conclusions lacked appropriate contextualization as to how global USAID projects function, notably, field support and Missions' role in establishing specific scopes of work.** For example, the evaluation team selectively focused on "impact on national policy" and "engaging the private sector" as criteria to assess country level work, without referencing whether Missions requested, prioritized or specified these outcomes within approved work scopes and plans.
- **Global leadership findings confound the roles of USAID and a global project.** WASHplus only engages in global policy work with and on behalf of USAID. For example, USAID requested WASHplus to play a global policy advocacy role to promote including hygiene within the post 2015 agenda. The report cites a single respondent saying inputs "were not entirely strategic...[and were] less effective at translating [their understanding of hygiene improvement] into concrete proposals for monitoring progress at the national and global level." The evaluators failed to note that WASHplus recommendations for indicators are included in the post-2015 WASH document prepared and circulated globally by the Water Supply and Sanitation Collaborative Council.
- **The review of Knowledge Management was limited to selected global level products and activities.** Critiques did not benchmark WASHplus against similar global USAID projects and did not encompass the breadth of KM work being done within WASHplus countries at multiple stakeholder levels.