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# WASH SUSTAINABILITY INDEX TOOL (SIT)

COMPARATIVE ANALYSIS  
FINAL REPORT

JULY 2015

This publication was produced for review by the United States Agency for International Development. It was prepared by Tetra Tech.

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## **DISCLAIMER**

The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

# TABLE OF CONTENTS

<b>LIST OF TABLES</b> .....	<b>II</b>
<b>LIST OF FIGURES</b> .....	<b>II</b>
<b>ACRONYMS AND ABBREVIATIONS</b> .....	<b>III</b>
<b>EXECUTIVE SUMMARY</b> .....	<b>V</b>
<b>1.0 INTRODUCTION</b> .....	<b>1</b>
1.1 OBJECTIVE .....	1
1.2 OVERVIEW .....	1
1.3 RELEVENCE OF THE SIT WITHIN USAID WASH POLICY .....	2
1.4 METHODOLOGY .....	3
<b>2.0 SIT HISTORY</b> .....	<b>6</b>
2.1 DESIGN AND INITIAL USAID/RI APPLICATION (2009–2012) .....	6
2.2 SIT APPLICATIONS (2013–2015).....	8
2.3 EVOLUTION OF THE SIT BEYOND USAID .....	9
<b>3.0 FINDINGS</b> .....	<b>10</b>
3.1 PHASES AND DURATION TO ADMINISTER THE SIT .....	10
3.2 TRENDS.....	11
3.3 QUALITATIVE VALUE OF THE RECOMMENDATIONS PROVIDED .....	13
3.4 USE OF SIT RESULTS.....	14
3.4.1 COST .....	16
3.4.2 VALUE ADD.....	18
<b>4.0 DISCUSSION</b> .....	<b>20</b>
<b>5.0 CONCLUSION AND RECOMMENDATIONS</b> .....	<b>23</b>
5.1 CONCLUSION .....	23
5.2 RECOMMENDATIONS.....	23
<b>REFERENCES</b> .....	<b>26</b>
<b>ANNEXES</b> .....	<b>27</b>
ANNEX 1: SIT INTERVENTION CATEGORY AND TYPE .....	27
ANNEX 2: SURVEY TEMPLATE .....	28
ANNEX 3: NARRATIVE SUMMARY OF ONLINE SURVEY RESULTS .....	40
ANNEX 4: SEMI-STRUCTURED INTERVIEW TEMPLATE .....	50
ANNEX 5: KENYA MANAGEMENT MEMO.....	53
ANNEX 6: LIST OF KEY OUTPUTS FOR SIT APPLICATIONS .....	54

# LIST OF TABLES

Table 1: Roles of Survey Respondents, By Category ..... 4

Table 2: Factors Driving the Duration and Complexity of Four SIT Applications..... 11

Table 3: Comparison of Four SIT Applications ..... 12

Table 4: Summary of SIT Recommendations per Country and by Service Level ..... 13

Table 5: Elements that Drive Successful Implementation of Each Phase ..... 22

# LIST OF FIGURES

Figure 1. Example of a Spider Graph from the USAID/RI Application in Ghana ..... 7

Figure 2: Suggested Timeline for SIT Implementation ..... 10

Figure 3: Dissemination Mechanisms Utilized by Respondents (8 Respondents) ..... 15

Figure 4: Key Stakeholders with Whom Outputs Were Shared (8 Respondents) ..... 16

Figure 5: Unit Cost of SIT Household Surveys and Focus Group Discussions per Country ..... 17

Figure 6: Cost Drivers of Four SIT Applications..... 18

Figure 7: Value of the SIT as a Tool to Assess the Likely Sustainability of WASH Services (16 Respondents)..... 19

# ACRONYMS AND ABBREVIATIONS

CHP	Community Hand Pump
CLTSH	Community-led Total Sanitation and Hygiene
CRS	Community Reticulated System
CRSI	Catholic Relief Services
DAI	Development Alternatives, Inc.
DGIS	Dutch Ministry of Foreign Affairs
ENT	WASH Entrepreneur
FIU	Florida International University
GLOWS	Global Water for Sustainability (USAID Project)
GPS	Global Positioning System
GWI	Global Water Initiative
HHS	Household Sanitation
HWP	Hygiene and Handwashing Promotion
HWT	Household Water Treatment
ICT	Information and Communications Technology
IHP	Institutional Hand Pump
IIED	International Institute for Environment and Development
INS	Institutional Sanitation
IRC (Netherlands)	Dutch NGO
iWASH	Tanzania Integrated Water Sanitation and Hygiene (USAID Project)
IWRM	Integrated Water Resource Management
LOE	Level of Effort
OFDA	Office of Foreign Disaster Assistance (USAID)
RI	Rotary International
RiPPLE	Research-inspired Policy and Practice Learning in Ethiopia and the Nile Region
RFP	Request for Proposal

RWH	Rainwater Harvesting
SCT	Sustainability Check Tool
SDG	Sustainable Development Goal
SIT	Sustainability Index Tool
SPO	Spring Water System
STS	Septage Treatment System
SWM	Solid Waste Management
TWB-MRB	Transboundary Water for Biodiversity and Human Health in the Mara River Basin (USAID Project)
UNICEF	United Nations Children’s Fund
USAID	United States Agency for International Development
UWS	Utility Water System
WASH	Water, Sanitation, and Hygiene
WPS	Water Pan System
WSP	Water Source Protection/Capture
WWT	Wastewater Treatment

# EXECUTIVE SUMMARY

As a component of the Water II Indefinite Quantity Contract Quick Response Task Order, Work Order 006: Water, Sanitation, and Hygiene (WASH) Sector Status and Trends, USAID contracted Tetra Tech to conduct a comparative analysis of the WASH Sustainability Index Tool (SIT) guided by two primary research questions: 1) How has the application of the SIT evolved over time?; and 2) What lessons learned from each application can inform future USAID programming? Tetra Tech examined the use of the SIT in nine countries—Burkina Faso, Dominican Republic, Ethiopia, Ghana, Kenya, Liberia, Niger, Philippines, and Tanzania—from 2012 to 2015 using information gathered from a desk review, an online survey open to persons with firsthand experience using the tool, and semi-structured interviews with seven key informants, including multiple USAID staff.

The SIT is an analysis framework developed by USAID in 2012 to assess the likelihood that water and sanitation services and the adoption of healthy hygiene behaviors are sustained in communities having benefited from multi-year assistance projects. The tool utilizes numerous indicators to feed into a composite scoring system to evaluate the relative influence of several factors associated with long-term sustainability of WASH services in five categories: Institutional, Management, Financial, Environmental and Technical. The SIT is applied at three administrative levels of analysis (service provision, decentralized, and national) and can be used to assess the risk factors to and drivers of sustainability for 17 distinctive household and community WASH intervention types.

The SIT effectively strikes the balance between comprehensiveness and flexibility. The tool has evolved over time in response to user feedback around the need to produce operational recommendations in formats that are easily communicated to a variety of stakeholder audiences. The complexity of the tool continues to evolve as witnessed in recent USAID-funded applications that linked indicators and scoring criteria to service ladders. Peer organizations have spun off new tools based on the SIT analysis framework, which are being integrated into national monitoring systems.

The most recurrent types of recommendations from the nine SIT assessments relate to building institutional capacity to support WASH service delivery, improving alignment and coordination of WASH stakeholders, and strengthening monitoring systems. Broadly speaking, these are areas USAID should consider more closely when designing future investments.

While the tool aligns well with USAID's public commitment to measuring sustainability, results from the SIT have been consistently underexploited because of lack of ownership, concern for misinterpretation of results, and underutilization of country coordinating mechanisms. Recommendations from the seven USAID country assessments have rarely been acted upon or disseminated to a wider group of government stakeholders. Mission staff's limited involvement in SIT applications inhibits the ability for the process to draw in other donors and development partners in a way that generates wide interest in the results. These trends undermine the value of the SIT and decrease the potential impact of using the instrument.

Application of the SIT takes between two and six months, often requiring management consultants and local data collection teams. Applying the tool costs between \$15,000 and \$155,000, depending on the scale and scope of the assessment, whether household level surveys are included, and the choice of data collection methods. Re-applying the SIT in the same location(s) over many years is expected to increase the tool's value for money, potentially reducing costs by between 30 and 50 percent. We conclude that USAID should continue to socialize the tool and encourage wider uptake across the Agency. Seven recommendations are offered to enhance the effectiveness of future applications and optimize USAID's investment in the tool.



# 1.0 INTRODUCTION

## 1.1 OBJECTIVE

As a component of the Water II Indefinite Quantity Contract Quick Response Task Order, Work Order 006: Water, Sanitation, and Hygiene (WASH) Sector Status and Trends, the United States Agency for International Development (USAID) contracted Tetra Tech to conduct a comparative analysis of various applications of the Sustainability Index Tool (SIT) since its genesis in 2012. Two primary research questions were used to direct this analysis:

- (1) How has the application of the SIT evolved over time?
- (2) What lessons learned from each application can inform future USAID programming?

Tetra Tech examined the use of the SIT in nine countries—Burkina Faso, Dominican Republic, Ethiopia, Ghana, Kenya, Liberia, Niger, Philippines, and Tanzania—across four application periods from 2012 to 2015 to gain a better understanding of the usefulness of the tool and inform USAID on future applications.

## 1.2 OVERVIEW

The SIT was developed in 2012 as part of the International H2O Collaboration between USAID and Rotary International (RI) that aims to jointly implement sustainable WASH projects in the developing world. Designed by the UK-based consulting firm Aguaconsult Ltd. (henceforth Aguaconsult), the SIT was created to assess the likelihood that water and sanitation services and the adoption of healthy hygiene behaviors are sustained in communities that benefited from interventions financed by the Collaboration. The current version of the tool utilizes a composite scoring system to evaluate the relative influence of several factors associated with long-term sustainability of WASH services in five categories: Institutional, Management, Financial, Environmental, and Technical.<sup>1</sup> These are assessed at three administrative levels of analysis: service provision, decentralized (e.g., county, district, or region), and national, across 17 distinctive household and community WASH intervention types. Examples of interventions include community reticulated systems, spring water systems, household sanitation, promotion of hygiene and handwashing with soap, and community-led total sanitation and hygiene (CLTSH, see Annex 1 for a complete list of interventions included in the SIT framework). The tool was initially implemented on a pilot basis in three countries—Dominican Republic, Ghana, and the Philippines—as part of the International H2O Collaboration’s external review of the sustainability of its projects, but has since been applied in six additional countries to assess projects funded by USAID and other donors.

The SIT attempts to articulate the often ambiguous concept of sustainability as measurable benchmarks.<sup>2</sup> It offers a framework through which to evaluate whether the conditions needed for sustainable WASH

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<sup>1</sup> The Dutch WASH Alliance uses a similar Financial, Institutional, Environmental, Technical, and Social (FIETS) framework. The SIT continues to use the term “management” instead of “social” for the fifth pillar although the concepts are similar.

<sup>2</sup> The SIT is one in a number of tools developed to measure sustainability in the WASH sector. In 2014 as part of the Triple-S Project, Aguaconsult and IRC WASH published a mapping study of the most prominent sustainability tools used in the sector. The SIT is included as part of this analysis.  
[http://www.waterservicesthatlast.org/media/publications/mapping\\_of\\_wash\\_sustainability\\_tools](http://www.waterservicesthatlast.org/media/publications/mapping_of_wash_sustainability_tools).

service delivery and behavior change are present in communities where significant donor investments have occurred. However, rather than measure project performance or evaluate impact, the SIT was developed to broadly assess whether critical conditions required for sustainability exist, including conditions that may or may not be related to the project’s interventions, or be within the implementing partner’s manageable interest. In addition to providing a measure of likely sustainability of a particular set of interventions, the outcomes of a SIT application are intended to contribute to a broader sector dialogue and inform the planning and decision-making processes of donors, governments, development partners, and other stakeholders. Aguaconsult recommends applying the SIT to the same project sites at three-, five-, and ten-year intervals in order to understand sustainability trends over time.

Since the initial USAID/RI three-country application, the SIT has continued to evolve and be used by USAID and peer organizations in the sector.<sup>3</sup> At the time of this report, USAID has applied the SIT in four additional countries, of which two assessments are ongoing.<sup>4</sup> The tool was used by Catholic Relief Services (CRSI) in two countries in West Africa and has been adapted by three other organizations in Ethiopia (UNICEF, RiPPLE, and IRC Netherlands). Moreover, the USAID-funded Global Water for Sustainability (GLOWS) Project created a Water Resources Management Sustainability Index Tool (WRM SIT) modeled after and drawing from experience using the WASH SIT to assess the likely sustainability of water resources management programs. The WRM SIT was applied in Georgia and Tanzania in 2014.

### **1.3 RELEVANCE OF THE SIT WITHIN USAID WASH POLICY**

Sustainability has been a cornerstone of USAID’s work over its 50-year existence and remains a core principle of U.S. global development policy. USAID’s Project Design Guidance requires that a mandatory Sustainability Analysis be performed when designing new procurements to define the degree of sustainability that is considered essential for the project’s success, to reference the sustainability objectives of the project or project components, and to indicate how the project intends to meet these objectives.

Building in sustainability from the start is identified as an Operational Principle of the USAID 2013–2018 Water and Development Strategy. Through this strategy USAID has committed to “seek investments in longer-term monitoring and evaluation of its water activities in order to assess sustainability beyond the typical USAID program cycle and to enable reasonable support to issues that arise subsequent to post-completion of project implementation.” Similarly, the Implementation Field Guide for the Water and Development Strategy instructs operating units across the Agency to undertake investigations that can detect changes in contextual factors influencing the implementation of the strategy, including the likelihood of sustained WASH services developed or extended as a result of USAID investments.

USAID’s commitment to sustainability echoes a similar trend within the global WASH community. Donors, implementers, and governments in many countries are moving beyond quantifying WASH gains in terms of access to infrastructure to a more comprehensive service delivery approach paired with a commitment to measuring sustainability beyond the project life cycle. The Dutch Ministry of Foreign Affairs (DGIS) has developed three instruments related to sustainability: a clause, a check, and a compact. The sustainability clause holds implementers accountable for the continued functionality of the

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<sup>3</sup> The ten countries where the SIT or variations of the SIT have been applied include: Ghana, Dominican Republic, Philippines, Kenya, Tanzania (both WASH and WRM), Niger, Burkina Faso, Ethiopia (multiple iterations), Georgia (WRM), and Liberia.

<sup>4</sup> Tetra Tech is involved in an application of the SIT in Liberia and Ethiopia.

infrastructure they install for an agreed time after the project’s conclusion. For example, sustainability clauses in DGIS ongoing funding arrangements with UNICEF, the Water Supply and Sanitation Collaborative Council (WSSCC), Aqua4All, and UN Habitat require these organizations to guarantee the sustainability of the investments for as long as ten years.<sup>5</sup> As part of this contractual obligation, DGIS requires its implementing partners to carry out periodic “sustainability checks” to assess the functionality and sustainability of the investments and also help determine if finances are sufficient to cover the life-cycle costs of the system. More recently, to increase accountability of national governments to long-term sustainability, UNICEF, with funding from DGIS, has implemented a “sustainability compact” with nine countries in West Africa. The compact is a signed agreement between the implementing agency and the government of the recipient country stipulating the roles and responsibilities of both parties to secure the sustainability of services during the life of the project and beyond.<sup>6</sup> The compact is the logical follow-on to the sustainability clause, as it recognizes that the onus for maintaining sustainability is more appropriately seen as a shared responsibility between the implementing partner and the host government. Each of these instruments has the intention to elevate the importance of sustainability and encourage all parties involved to consider sustainability from the outset; however, donor ability to enforce these commitments remains to be seen. A 2015 desk review on experiences using these mechanisms by Dutch nongovernmental organization IRC Netherlands finds that “commitments made through sustainability instruments are not enforceable ... and the instruments risk being perceived as ‘tick-box’ exercises.”<sup>7</sup> This suggests that the true utility of the tools to date has been in creating spaces for dialogue between donors, implementers, and governments about the challenge of sustainability, which has raised awareness of and mutual commitment to addressing the issue in their individual spheres of influence.

While USAID (or their implementing partners) may not be in a position to sign long-term commitments to ensure sustainable services, the policy agenda outlined in the Water and Development Strategy necessitates the creation of objective frameworks to measure sustainability. The SIT is one such tool.

Looking ahead, the framework for sustainability analysis within the SIT aligns with the post-2015 Sustainable Development Goals (SDGs) for the WASH sector that are expected to be ratified by the U.N. General Assembly in September 2015. Specifically, the SDGs focus on water quality, water resource protection, achieving universal access, and a commitment to improving service levels—all aspects of sustainability reflected in the SIT framework. Ratification of the SDGs may require USAID to reassess the current Agency-wide system of reporting WASH investments that focuses entirely on numeric outputs. The SIT, and similar sustainability measurement tools, offer a framework to assess the enabling environment required for lasting service delivery in a way that is more aligned with the SDGs and eventually could be incorporated into national monitoring systems.

## 1.4 METHODOLOGY

The methodology used for the comparative analysis responded to two primary research questions and accompanying sub-questions, namely:

- 1) How has the administration of the SIT evolved over time?
  - i. What patterns or trends exist between each application of the tool?

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<sup>5</sup> Aguaconsult, *Experiences with Sustainability Instruments: Clauses, Checks, and Compacts for Sustaining WASH Services*, IRC Netherlands, March 2015.

<sup>6</sup> Under the compact, governments commit to tackling structural sector issues and providing long-term financing to cover life-cycle costs, while UNICEF is committed to supporting governments through long-term capacity building and support.

<sup>7</sup> Aguaconsult, 2015.

- ii. What different outputs have been developed under each application of the tool?
  - iii. What has been done with the outputs from each application of the tool?
- 2) What lessons learned from each application can inform future USAID programming?
- i. What was the total cost of each application, for USAID and partners?
  - ii. What was the qualitative value of the recommendations provided?

The analysis team began by conducting a desk review of all written materials produced during WASH SIT assessments in nine countries as well as documents from other non-USAID-funded experiences using similar tools that were influenced by the SIT.<sup>8</sup> Documents were obtained from publicly available sources, Aguaconsult, SIT implementing partners, and USAID. The types of material reviewed included scopes of work, contracts, budgets, final reports, and related knowledge products. Specifically, the team critically analyzed and reviewed the final outputs of each application to gain insight into the how the data collection process, types of outputs, and recommendations have evolved since 2012. We also carefully reviewed reports documenting experiences using sustainability tools and sustainability frameworks in the wider WASH sector. A report from a USAID WASH Sector Status and Trends assessment in Indonesia that included a comparison of the SIT to another tool developed by the implementing contractor was also reviewed, although not used in this study because of the atypical way the tool was applied.

Next, we conducted a rapid response web survey with key stakeholders involved in using the SIT in seven countries funded by USAID from 2012 to 2015 (including ongoing applications in Ethiopia and Liberia) to gain a better understanding of best practices, achievements, and limitations of the tool.<sup>9</sup> Survey participants were identified through the desk review in addition to individual recommendations from key SIT implementers and USAID.

The web-based survey using Google Forms was open to 54 stakeholders for nine days (June 8–June 17, 2015) and had a 33 percent response rate (18/54). Table 1 lists the self-identified roles of the 18 respondents. The low response rate may be a result of the short window the survey was open for completion. Error messages came back from four addresses, and the current contact information for these respondents was not available. We requested that 11 USAID respondents to participate in the survey; four contributed, but only three self-identified as a donor.<sup>11</sup> The survey consisted of 41 multiple choice, open-ended, rating scale and dichotomous questions, and the survey was divided into five sections: General Questions (9); Planning and Design (8); Implementation, Analysis, and Report Writing (8); Post-Report Writing and Dissemination (11); and Additional Questions (5). The survey was administered and completed in English. The survey template is provided in Annex 2 and

**Table 1: Roles of Survey Respondents, By Category**

Role	Number of Respondents
Donor	3
Country Lead	1 <sup>10</sup>
SIT Implementer	8
Project Implementer	6
<b>Total</b>	<b>18</b>

a narrative summary of the survey results is provided in Annex 3.

Data analysis was completed using Microsoft Excel and Google Forms for both qualitative and quantitative questions; thematic coding was done for the open-ended questions where appropriate.

<sup>8</sup> Burkina Faso, Dominican Republic, Ethiopia, Ghana, Kenya, Liberia, Niger, the Philippines, and Tanzania.

<sup>9</sup> Dominican Republic, Ethiopia, Ghana, Kenya, Liberia, the Philippines, and Tanzania.

<sup>10</sup> Only one County Lead responded to the survey, but a second participated in the semi-structured interview.

<sup>11</sup> We believe that the fourth respondent from USAID self-identified as a project implementer.

Cleaning and coding of the data was completed, and several responses were marked as “blank” as they were invalid. It should be noted that survey results were based on self-reported data. Several of the respondents were no longer working for the organization that was involved with the SIT, thus they were unable to answer all of the questions. In addition, the SIT application in Ethiopia and Liberia was ongoing at the time of the survey and those three respondents provided responses only to sections through Phase 2.

Results from the online survey were triangulated and expanded upon during in-depth, semi-structured telephone interviews with the key SIT implementers identified for each of the application periods. In addition, the team interviewed several USAID staff involved with the development of the SIT and a representative from CRSI who applied the SIT to a non-USAID-funded project in West Africa but who was not included in the web survey. Seven of ten people invited to partake in the interviews participated. The list of interview questions is provided in Annex 4. The findings, results, and analysis from the survey responses and interviews form the basis of this report.

# 2.0 SIT HISTORY

## 2.1 DESIGN AND INITIAL USAID/RI APPLICATION (2009–2012)

The collaboration between RI and USAID was formerly announced in 2009 to form a strategic partnership to carry out WASH projects in three countries: Dominican Republic, Ghana, and the Philippines. Three years after the launch, the organizations jointly carried out a strategic assessment of the partnership, including an evaluation of the program’s effectiveness in delivering sustainable services. USAID contracted Aguaconsult to create and administer the Sustainability Check Tool, later called the Sustainability Index Tool, or SIT, for this purpose.

As requested by USAID and RI, the Sustainability Check Tool was originally designed to be applied immediately following project closeout to assess the likelihood of long-term sustained use of WASH infrastructure and services and adoption of hygiene behaviors based on four known “factors” associated with long-term sustainability: Institutional, Management, Financial, and Technical.<sup>12</sup> The indicators and methodology used for the tool drew on the tested UNICEF “Sustainability Check” methodology applied in Mozambique, as well as other thinking emerging in the sector at that time. Aguaconsult worked with the initial framework provided in the RI Request for Proposal to select indicators according to internationally recognized principles and standards for WASH services, a literature review of monitoring and evaluation indicators, and research by the Sustainable Services at Scale (Triple-S) Initiative of IRC Netherlands.<sup>13</sup>

In addition to assessing the physical condition and functionality of infrastructure, the SIT was designed to quantify largely qualitative information using composite indicators through a multi-tiered framework including data collection and analysis at different institutional or administrative levels. The tool was structured to incorporate data from multiple units of analysis (national government, decentralized government

### THE FIVE STEPS FOR APPLYING THE SIT

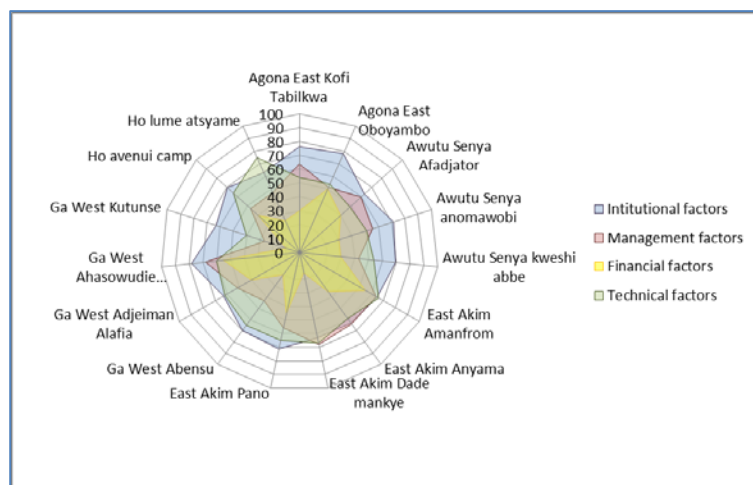
1. Identify the project interventions under assessment
2. Sort the indicators and associated questions
3. Develop customized surveys and question packs
4. Collect data and determine scores
5. Aggregate scores

[i.e., district or regional], service provider, and household) recognizing that factors for sustainability include a blend of appropriate practices and policies. The generic indicators and associated questions included in the SIT framework require customization and contextualization prior to each application. This is best done by a team of local WASH experts to incorporate national standards and implementation guidelines and decide on the scoring criteria for each indicator and the contributing weight of each sustainability factor (expressed in percentage) toward the overall sustainability index score. Household sampling frameworks are designed to produce statistically significant results using the minimum number of representative household surveys per intervention type. Data collection at all other levels through semi-

<sup>12</sup> The four factors included in the initial SIT can be traced to a 2004 World Bank report entitled *Assessing Sustainability in Rural Water Supply: The Role of Follow-up Support to Communities* (Lockwood, Bakalian, Wakeman) that included a literature review to investigate post-construction sustainability factors and analytical approaches to measuring sustainability.

<sup>13</sup> Additional information can be found on the Triple-S (Sustainable Services at Scale) website: <http://www.waterservicesthatlast.org/>.

**Figure 1. Example of a Spider Graph from the USAID/RI Application in Ghana**



plots as shown in Figure 1.

In this first USAID/RI application, Aguaconsult piloted the tool in the Dominican Republic, Ghana, and the Philippines in partnership with USAID missions, project implementers (NGOs), local organizations hired for data collection, government representatives, and local Rotary Clubs, to a varying degree in each country. Eight intervention types were included as part of the initial application. Key outputs included a Sustainability Check Report for each country, in addition to feedback sessions for local stakeholders in the Philippines and Ghana to share and discuss the findings. At the request of RI, the findings from the Dominican Republic were not shared widely with local stakeholders.

A 2013 internal stocktaking exercise of the USAID/RI SIT pilot resulted in the expansion of the tool to include a fifth factor, Environment, as part of the assessment framework and the addition of 6 more intervention types, for a total of 14.<sup>15</sup> Aguaconsult added new indicators under each factor, and digitized and streamlined the tool into a more user-friendly design. In addition, Aguaconsult developed a step-by-step how-to guide for the tool’s application (both a long version with videos and a short, or “lite,” version of the guide).<sup>16</sup> This guide, along with modifiable templates and other guidance documents, was made public through the USAID/WASHplus website in November 2013 and complemented by a webinar. USAID/WASHplus only began tracking resource download statistics in January 2015, so it is impossible to determine how many times the SIT resources were downloaded between November 2013 and December 2014. According to WASHplus, the full suite of documents has been downloaded four times and the small version once between January and July 2015.

structured interviews and document reviews should be inclusive. The tool’s framework measured the four sustainability factors across three administrative levels (national, decentralized, and service providers) for eight WASH intervention types.<sup>14</sup> Once collected, this data is coded and analyzed in spreadsheets to produce composite indicator scores to provide an overall sustainability index per intervention. Indicators with low scores can be interpreted as risk factors to sustainability, while indicators having high scores can be considered drivers of sustainability. Scores were originally visualized using bar charts and spider

<sup>14</sup> Community reticulated system, community hand pump, institutional sanitation, hygiene and handwashing promotion, wastewater treatment, utility water system, solid waste management, and septage treatment system.

<sup>15</sup> Intervention categories added as a result of the evaluation included: institutional water supply, water pan system, rainwater harvesting, water source protection/capture, and household sanitation.

<sup>16</sup> For more information please refer to [www.washplus.org/rotary-usaid](http://www.washplus.org/rotary-usaid) to download the complete version- and the limited version- WASH Sustainability Index Tool.

## 2.2 SIT APPLICATIONS (2013–2015)

Since the initial USAID/RI application, USAID and CRSI have applied the SIT in four additional countries—Kenya, Tanzania, Burkina Faso, and Niger—and at the time of preparing this report they were in the process of applying the tool in Liberia and Ethiopia. Below is a brief overview of three subsequent applications included in this analysis, highlighting the different purpose, components, and outputs of each.

**GLOWS Application (2013):** The SIT was applied post-project for both the Transboundary Water for Biodiversity and Human Health in the Mara River Basin (TWB-MRB) Project, implemented from 2005–2012 in Kenya and Tanzania, and the Tanzania Integrated Water Sanitation and Hygiene (iWASH) Project, implemented from 2010–2015 (interventions assessed included those completed before October 2013). Both projects were funded by USAID through the Global Water for Sustainability (GLOWS) mechanism under the leadership of Florida International University (FIU). FIU’s objective for the SIT was to understand the relative *impacts* of programs and to have a way to understand and plan future work. FIU subcontracted Aguaconsult to administer the SIT in both counties, and the tool was implemented in partnership with two local subcontractors (for data collection), project implementers, and government representatives. The respective USAID missions were not involved in the application, although the final results were shared with them. Seven water and sanitation intervention types were included as part of this SIT application.<sup>17</sup> Key outputs included a long (103 pages) and short (69 pages) version of the final report, in addition to two four-page management memos. The management memos were developed for FIU to highlight the most critical findings of the SIT, putting these into context for follow-up action by the main stakeholders of the TWB-MRB in Kenya and iWASH in Tanzania, including USAID, national and local governments, and other development partners operating in Kenya and Tanzania. The evaluation team was unable to determine if these memos were actually shared with anyone beyond FIU and USAID.

**CRSI Application (2014):** The Howard G. Buffet Foundation through the Global Water Initiative (GWI) commissioned CRSI to design and conduct an SIT application to assess the sustainability potential of community water points constructed by GWI in two of five focus countries in West Africa: Burkina Faso and Niger. CRSI implemented the SIT internally, under the leadership and technical direction of the CRSI Regional WASH Advisor for West Africa, with only limited support from a local consultant to assist with data collection. CRSI relied on the publically available SIT guidance documents on the WASHplus website to learn how to adapt and apply the tool. Aguaconsult provided limited informal direction by email. CRSI conducted focus groups discussion (FGDs) instead of household surveys due to time and budget constraints. This was feasible because the application focused entirely on community-managed water supply interventions by which the participants in the FGD acted as the service provider. CRSI used a cloud-based mobile data collection platform (iFormBuilder), recorded the global positioning system (GPS) coordinates, and took photos of each water point. CRSI produced a final report that was shared with the donor. Aguaconsult subsequently incorporated the findings into a policy brief along with another analysis of sustainability in three countries in East Africa using a separate assessment methodology.<sup>18</sup>

**USAID Water II Application (2014–2015):** Tetra Tech, through a subcontract to Aguaconsult, is currently applying the SIT to examine USAID-funded projects in Ethiopia and Liberia. Aguaconsult is leading the effort in partnership with a local subcontractor responsible for data collection, the implementing organizations, government officials, and USAID personnel. The application in Ethiopia

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<sup>17</sup> Hygiene and hand washing promotion (HWP) was carried out alongside the majority of hardware interventions, so HWP was not considered as a standalone intervention.

<sup>18</sup> See policy brief here: <http://www.aguaconsult.co.uk/assets/GWI-Policy-Brief-Sustainable-water-services.pdf>



focuses on four typical WASH interventions: CLTSH, community hand pumps (CHPs), institutional sanitation in schools (INS), and springs with on-spot distribution systems (SPOs).<sup>19</sup> In addition to the methodology used in the previous applications, the functionality and effectiveness of the WASH services provided was considered as part of the SIT analysis. Service levels for each intervention type were assessed in different ways: stroke tests and questions to gauge household satisfaction for CHP; sanitary inspections for SPOs; visual inspections of actual conditions and comparison to national standards (including gender considerations) for INS; and inspections of open defecation zones and toilets for CLTSH.

The application in Liberia applies the tool to three intervention types: CHP, institutional hand pump (IHP), and WASH entrepreneur (ENT). (The latter was developed uniquely for this application.) Data collected for the Liberia SIT was paired with a detailed technical inspection of each water point, to include a sanitary survey, water quality testing for fecal coliforms, and pump tests to determine discharge and identify leaks. This battery of tests was conducted on a similar number of water points within and outside of the project's intervention zones. Outputs from both Liberia and Ethiopia will include a final report and management memos, all of which were in draft form at the time of writing this report.

## 2.3 EVOLUTION OF THE SIT BEYOND USAID

While not included as part of this analysis, it is important to mention that the framework of the SIT has been adapted and changed to fit country-specific contexts by several other agencies: UNICEF in partnership with RiPPLE and LeMonde in Ethiopia, and Development Alternatives, Inc. (DAI) for a USAID-funded Country WASH Sector Status and Trends assessment in Indonesia. As noted earlier, FIU adopted the SIT framework to evaluate a USAID-funded Integrated Water Resource Management (IWRM) project in Georgia and Tanzania.

Concurrent with preparation of this report, IRC Netherlands, as part of its work with the ONEWASH program in Ethiopia, is using many components of the SIT analysis framework to develop a similar instrument called a Sustainability Check. IRC Netherlands has adapted the tool so that there are fewer indicators per intervention and has proposed to use composite indicators, consisting of multiple sub-indicators. They have created scenarios to describe incremental steps related to the performance on the indicator, to which scores are attached from 0 (worst case) to 100 (best case). Actions are aligned to each micro-scenario to assist user groups to address the findings. The Sustainability Check is being proposed for use as a monitoring tool during multiple stages of the project cycle rather than as post-project implementation measurement as has been done by the USAID applications.

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<sup>19</sup> Aguaconsult also has adapted, but not applied, the SIT for use in assessing the sustainability of WASH interventions implemented through emergency response or humanitarian assistance.

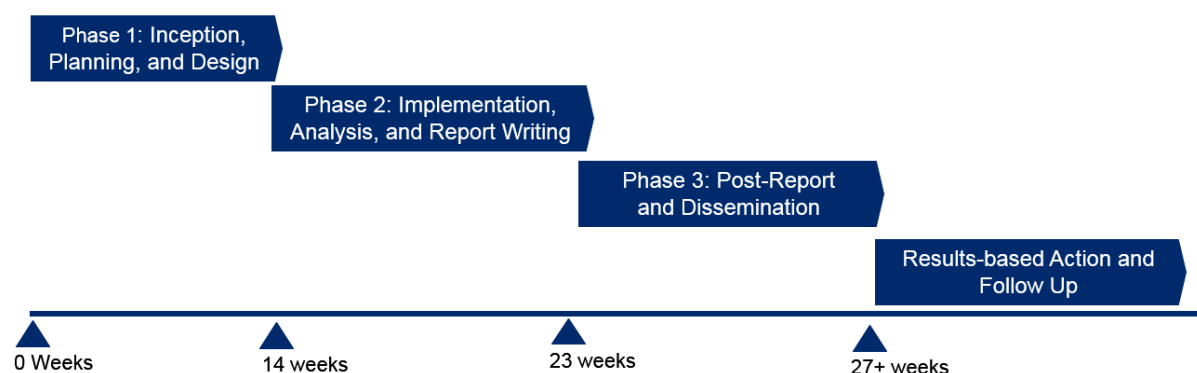
# 3.0 FINDINGS

## 3.1 PHASES AND DURATION TO ADMINISTER THE SIT

Results from the desk review, online survey, and semi-structured interviews confirm that the SIT has evolved in response to the needs of the user and/or client driving each application. For the purpose of data capture and analysis, we divided each SIT application into three phases: 1) Inception, Planning, and Design; 2) Implementation, Analysis, and Report Writing; and 3) Post-Report and Dissemination. Phase 1 includes defining the interventions, methodology, and sampling strategy; contextualizing the framework; developing survey packs and training enumerators; and pilot testing and modifying questions and scoring. Phase 2 activities include mobilization; data collection; data analysis, weighting, and scoring; and reporting. Phase 3 consists of presenting and sharing results with sector stakeholders and using the findings to inform future programming or advocate for program and other policy- and/or program-related activities.

According to Aguaconsult, Phase 1 can take up to 14 weeks, Phase 2 can take up to 9 weeks and Phase 3 can take up to 4 weeks, with the total time required to implement the SIT from between five and six months. As shown in Figure 2, results-based action using findings from the SIT should ideally continue well beyond the period of active implementation.

**Figure 2: Suggested Timeline for SIT Implementation**



It should be noted that the time required to address and implement the actions identified for follow up, based on the findings and recommendations of the SIT, is largely dependent on the donor and could extend well beyond this timeframe. Based on survey results, even though more than half of respondents (58 percent) were unfamiliar with the SIT prior to their involvement in the application, the majority felt adequately prepared to take part in Phase 1 and Phase 2 activities (83 percent and 62 percent, respectively). The majority of respondents also felt that the number of days allocated for Phase 1 and Phase 2 activities was adequate (73 percent and 62 percent, respectively). The timeline for an SIT application is influenced by numerous factors: a clear scope of work that accurately outlines client expectations; the number and type of interventions to be considered; availability and accuracy of data about the interventions; clarity on the geographical scope and scale of the interventions; level of participation by key stakeholders (especially missions); capacity of in-country WASH experts to adapt the framework; use of ICT tools for data collection; and experience and capacity of enumeration firms. Table 2 highlights the specific factors driving the complexity and amount of time required to apply the SIT.

**Table 2: Factors Driving the Duration and Complexity of Four SIT Applications**

Application Period	Country	Intervention Types <sup>20</sup>	Areas	Enumeration Areas <sup>21</sup>	HH Surveys <sup>22</sup>	Time Required
USAID/RI H2O Collaboration (2009–2012)	Dominican Republic	5 (CRS, CHP, HWT, INS, HWP)	3 regions	19	500	5–6 months
	Philippines	6 (CRS, UWS, HWP, WWT, SWM, STS)	2 regions (2 municipalities, 3 districts)	9	200	
	Ghana	4 (CRS, CHP, HWP, INS)	4 regions (5 districts)	17	346	
GLOWS (2013)	Tanzania	6 (CRS, CHP, WSP, HHS, INS, RWH)	2 regions (4 districts)	32	636	5–6 months
	Kenya	4 (CRS, WPS, RWH, INS)	1 county (2 divisions)	15	453	
CRSI (2014)	Burkina Faso	1 (CHP)	N/A	27	N/A	2 months
	Niger	1 (CHP)	N/A	12	N/A	
Water II (2014–2015)	Ethiopia	4 (CHP, WSP, CLTSH, INS)	4 regions (12 woredas)	36	1080	5–6 months
	Liberia	3 (CHP, IHP, ENT <sup>23</sup> )	3 counties (6 districts)	32	N/A	5–6 months

CHP: Community Hand Pump; CLTSH: Community-Led Total Sanitation and Hygiene; CRS: Community Reticulated System; HHS: Household Sanitation; HWP: Hygiene and Handwashing Promotion; HWT: Household Water Treatment; INS: Institutional Sanitation; RWH: Rainwater Harvesting; STS: Septage Treatment System; SWM: Solid Waste Management; UWS: Utility Water System; WSP: Water Source Protection/Capture; WWT: Wastewater Treatment;

## 3.2 TRENDS

Several respondents mentioned that the SIT application was the first time they had ever participated in an evaluation focused on sustainability (versus a performance or impact evaluation). Many commented favorably on the tool’s unique design and flexibility to measure sustainability in an objective, quantifiable, and comparative manner across a large number of typical WASH interventions.

While common elements of the SIT were used across all applications (i.e., use of the general framework, indicators, and scoring methodology), each application differed to varying degrees in the areas of country operating environment, budget allocation, and needs of the client/donor. Table 3 provides a summary of the key elements of each SIT application between 2012 and 2015. As noted above, the initial USAID/RI three-country application included only four sustainability factors as part of the framework, whereas the current version includes five (Environmental has since been added). As expected, the types and number of interventions vary across the different applications according to the nature of the programs being evaluated and the focus points of the SIT design. For example the initial USAID/RI application assessed water, sanitation, and hygiene interventions; the GLOWS application assessed only water and sanitation interventions; and the CRSI application assessed only water interventions. Community hand pumps,

<sup>20</sup> See Annex 1 for full list of intervention categories and types.

<sup>21</sup> The number of communities included in the sampling frame where HH surveys or FDGs were conducted.

<sup>22</sup> CRS did not conduct HH surveys; rather, they used FDGs to collect the data from each of the enumeration areas.

<sup>23</sup> The ENT and CLTSH interventions were first developed for the Liberian context.

community reticulated systems, and hygiene and handwashing promotion have been the most commonly evaluated intervention types to date. The adaptability of the SIT is perhaps best demonstrated by the 2015 Liberia application that created analysis frameworks for two new intervention types (CLTSH and ENT) and augmented the SIT analysis with technical inspections of water points, including water quality testing and pump tests.

External firms manage the SIT process for the three USAID-funded applications, and each of these used local subcontractors to lead the Phase 2 activities. Both the CRSI application and the recent application in Liberia used FGDs to collect data at the service provider level without conducting household surveys as was done for the other three SIT applications. In the case of CRSI, this was done because of budget and time limitations, and in Liberia because of travel restrictions stemming from the Ebola outbreak. The types of interventions included in their analysis (community water interventions) allowed for the use of FGDs to collect the necessary community-level data (versus sanitation and/or hygiene interventions, which require data to be gathered at the household level). Using FGDs allowed CRSI to include approximately 85 percent of the water points under the project in the analysis.

Applications in Ghana, GLOWS, and CRSI used information and communications technology (ICT) tools such as the FLOW software package, iFormBuilder, and tablet computers to collect and manage data. Using such tools shortened the time for Phase 2 by eliminating the need for paper forms and manual data entry. CRSI also collected GPS coordinates and took photos at each water point location.

Outputs generated for each application also varied. The initial USAID/RI application and the CRSI study produced detailed final reports ranging from 44 to 80 pages, whereas management memos (four-page summary documents) were produced for the GLOWS application in addition to lengthy final reports. Management memos are also being prepared as outputs from the ongoing studies in Ethiopia and Liberia. All SIT reports were written in English, it was noted that French language reports may have been more appropriate for the CRSI application.

**Table 3: Comparison of Four SIT Applications**

	<b>USAID/RI H2O Collaboration</b>	<b>GLOWS</b>	<b>CRSI</b>	<b>WATER II</b>
<b>Years</b>	2009–2012	2013	2014	2014–2015
<b>Funder(s)</b>	USAID & RI	USAID	Howard G. Buffett Foundation	USAID
<b>SIT Implementer</b>	Aguaconsult with local NGOs for data collection	Aguaconsult with local NGOs for data collection	CRSI	Tetra Tech/ Aguaconsult with local NGOs for data collection
<b>Number of Countries</b>	3	2	2	2
<b>Factors</b>	4	5	5	5
<b>Intervention Types</b>	8	7	1	6
<b>Data Collection Methods</b>	HH surveys	HH surveys	FGD	HH surveys and FGD
<b>Outputs</b>	Country report for each country	Report and management memos	Report and policy brief	County report and management memo for each country
<b>Average Cost per Country (US\$)</b>	\$44,333	\$55,500	\$15,650	\$146,000
<b>Total Cost per Application (US\$)</b>	\$133,000	\$111,000	\$31,300	\$292,000

### 3.3 QUALITATIVE VALUE OF THE RECOMMENDATIONS PROVIDED

For each intervention assessed, the SIT produces composite indicator scores to provide an overall indication of sustainability per the five factors. Indicators with low scores can be interpreted as risk factors to sustainability, while indicators having high scores can be considered drivers of sustainability. The interpretative value of an overall score is less than the individual factor scores. Recommendations from the SIT assessments as captured in the full reports were provided in a variety of formats. Some were categorized by type of intervention or service level and others by operational and strategic categories, making it difficult to summarize and compare between application and countries. Many of the reports offer too many recommendations and at times some are repetitive. Recommendations are not prioritized or time sequenced (i.e., short-term/long-term), making it difficult to identify which are the more important or time sensitive. Only in a few instances is a particular audience identified as the target for the recommendations.

**Table 4: Summary of SIT Recommendations per Country and By Service Level**

COUNTRY	RECOMMENDATION/SERVICE LEVEL						
	Strengthen monitoring systems, including uptake of ICT	Build institutional capacity to support WASH service delivery, including attention to gender	Strengthen alignment and coordination between WASH stakeholders	Improve financial management and cost recovery, consider life-cycle costs	Increase effectiveness of sanitation and hygiene interventions	Explore microfinance and private sector service delivery models	Engage in advocacy or policy reform related to improved WASH services
Dominican Republic	○	●◆			○	○	■
Ethiopia		◆●	■●◆	◆●	◆	◆	○
Ghana	●	◆	●◆	○			
Kenya	●	■●◆	■●		○◆	○	●
Liberia	■●	■●◆				●	■
Niger/ Burkina Faso	◆○			◆	○		○
Philippines			◆	◆			
Tanzania	■	●	●◆	●	○◆		■○

■ National ● Decentralized ◆ Service ○ No level specified

Table 4 groups the majority of recommendations from the nine SIT country applications into seven broad categories and attempts to classify to which service level the recommendations pertain. While keeping in

mind that the intervention types being assessed varied widely from one country to another, such a comparison is useful for identifying the areas projects have tended to have higher risks of sustainability (assuming recommendations were made to address risk) and showing how data collected through the different SIT applications may be used to inform future USIAD programming and decisions. Generally speaking, the most recurrent type of recommendation relates to building institutional capacity to support WASH service delivery, particularly at the district or regional levels. Recommendations related to strengthening alignment and coordination of WASH stakeholders and suggestions to strengthen monitoring systems were also common. Many recommendations, however, do not clearly specify a target service level, though this trend has reduced in more recent applications. Recommendations were most frequently proposed at the service provider (n=17) and decentralized (n=16) levels. Three of the reports (Ghana, Philippines, and Niger/Burkina Faso) do not include any recommendations explicitly targeted at the national level. Recommendations from the application in Niger and Burkina Faso were well developed but would have been more useful (or actionable) if made more concise and targeted to specific audiences from each of the two countries. The format of the recommendations in the draft Liberia report was the easiest to digest: recommendations were divided into national, decentralized, and service level with three to four recommendations provided for each. Recommendations are highly operational with a summary title, followed by a short explanation.

Contrary to the full reports, the style of the Kenya and Tanzania management memos developed for the GLOWS application offer concise “potential actions” that are clearly categorized and in direct response to the findings of the SIT. In Kenya, recommendations are targeted at three groups: government, donors, and implementers. Most of the suggested actions target more than one of these groups. In Tanzania, potential actions for each of five major findings are presented under two categories: strategic and operational. The Kenya Management Memo is provided in Annex 5 with full details.

### **3.4 USE OF SIT RESULTS**

Each SIT application generated a variety of knowledge products including a final report and a variation of management memos, PowerPoint presentations, or learning briefs both for internal and external circulation (see Annex 6). An early criticism of the tool was that results, such as the composite indicator scores, were difficult to interpret and not linked to clear recommendations for action for implementers, donors, or governments. Subsequent iterations have addressed this through the inclusion of management memos (similar to the UNICEF experience in Mozambique), which present potential actions related to major findings. Actions are presented as either strategic or operational, in the case of Tanzania, or by target audience, as in the case of Kenya.

When asked about the outputs from the SIT, three of eight respondents (self-identifying either as SIT implementers or donors) stated that the format of their SIT-specific output(s) was not appropriate for the intended users. While the question did not specify who the intended users were, the interviews suggested that implementers saw the client (USAID, FIU, or GWI) as the intended users while donors saw governments as the target audience for the reports. In either case, the relatively negative response rate to this question, and similar feedback provided by interviewees, suggests the report formats (content, length, and language) have not been user friendly for some key stakeholders groups. This perspective was confirmed by multiple key informant interviews, specifically in reference to the final report format and content of the report shared with the donor, client, and/or project implementers. However, the management memos for Tanzania and Kenya may have never been shared beyond the project implementer and the mission, so the majority of survey respondents were not aware of this alternative format. Alternative suggestions provided by respondents included infographic summaries, shorter reports, and dashboards of the findings.

The degree to which the results and findings of the SIT have been used can be seen in Figure 3. Responses from the online survey reveal a general underutilization of results beyond the stakeholders immediately involved in the application. While in some cases, findings have been used to feed back into local discussions (the case with the CRSI application), the general trend is for SIT results to be shared exclusively with the donor and results to not be released to the wider development community. In only half of the cases (four) were results shared with sector stakeholders, and in no instances were they incorporated into action planning at the district or national government level. In at least one instance, results from the SIT were considered by USAID when designing a new investment in the same country. Multiple respondents from USAID mentioned results from the SIT being used to stimulate high-level discussions within the Agency. Surprisingly, all respondents self-reporting as SIT or project implementers reported not approaching their WASH programming differently based on the findings and results from SIT.

**Figure 3: Dissemination Mechanisms Utilized by Respondents (8 Respondents)**

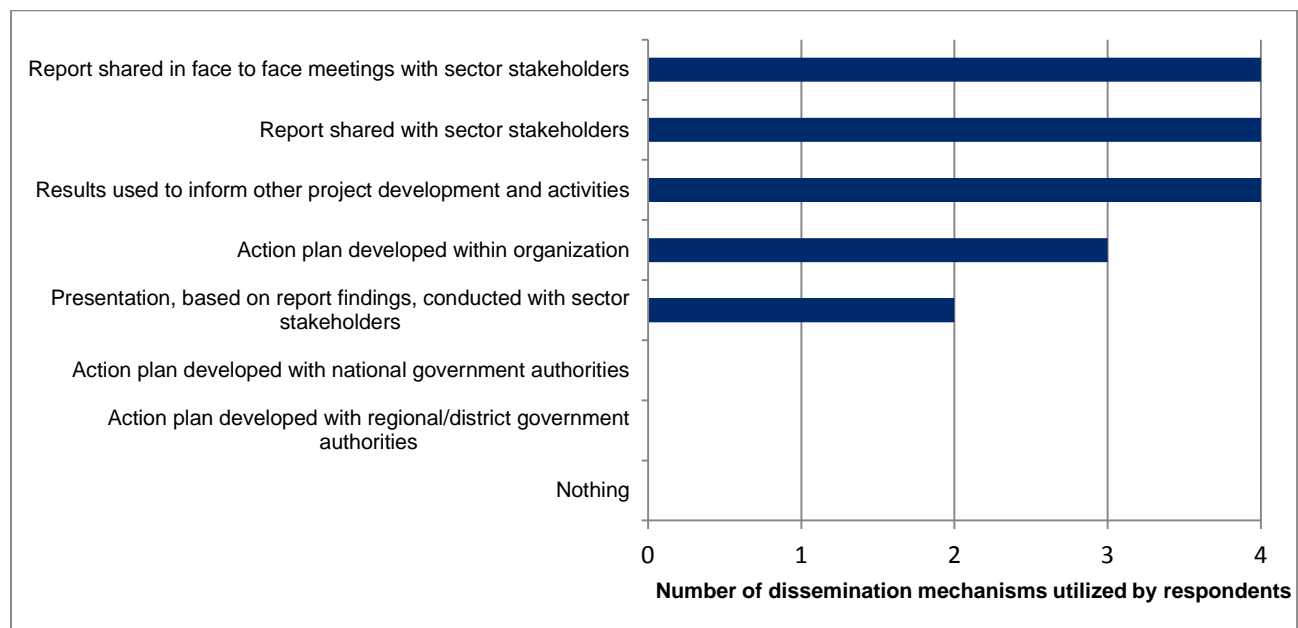
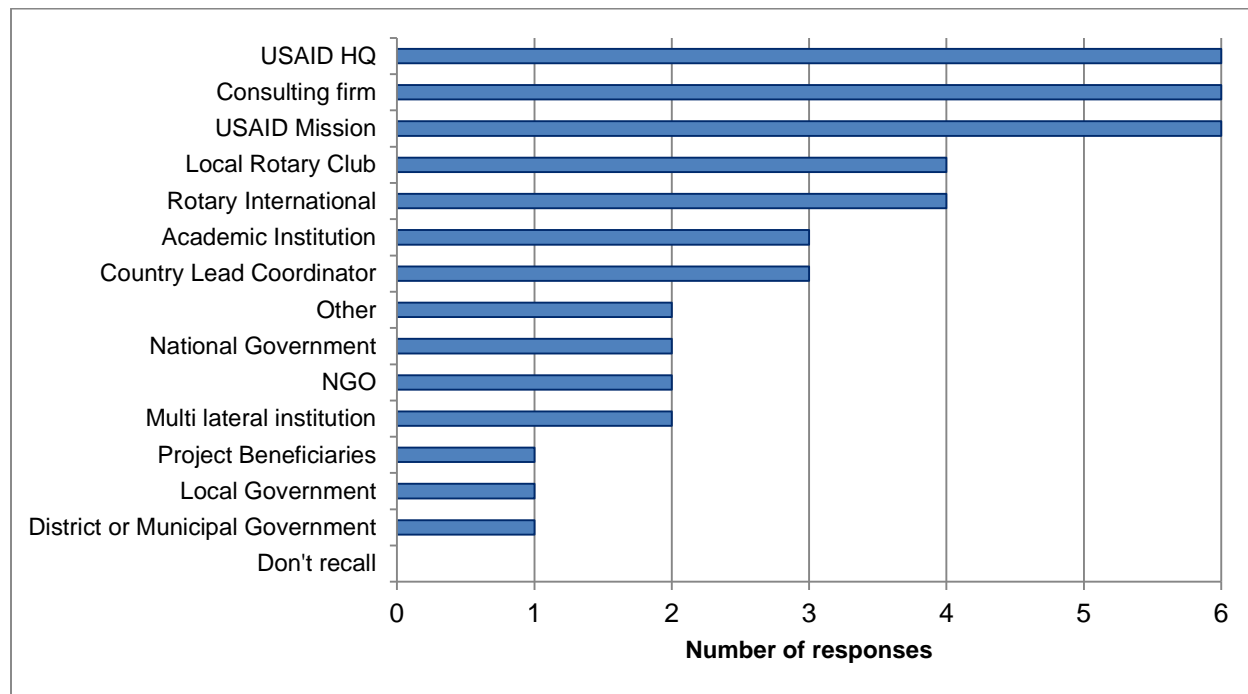


Figure 4 indicates that SIT outputs were shared primarily with the project implementers, USAID missions, and headquarter staff, whereas local, district, or municipal government officials and project beneficiaries were rarely privy to the results. In at least one application, the SIT was used without input or consultation with the local missions. Unsurprisingly, the results from this application were never shared with local stakeholders. It should be noted that the responsibility for dissemination of results and follow up on the recommendations was not included as a contractual obligations for either the SIT implementer (i.e., Aguaconsult or Tetra Tech) or the project implementer for any of the USAID-financed SIT applications. It was largely up to USAID to determine how to use, disseminate, and apply the findings. However, under more recent applications, Aguaconsult and Tetra Tech have strongly encouraged USAID missions to consider sector-level dissemination of results as a key step in the whole SIT process. A dissemination meeting took place in Liberia in early July 2015 to the National WASH Promotion Committee, WASH Cluster Coordination Meeting.

Multiple respondents suggested a hesitancy by USAID and implementing partners to share what may be interpreted as “failures” to the wider WASH community. While understandable on some levels, this perception indicates a fundamental misunderstanding of the purpose of the SIT to assess the likelihood of long-term sustained use of WASH infrastructure and services (understood as risk factors or drivers of sustainability), rather than making a judgment of the effectiveness of the project itself or the actions of the

implementing partners and USAID. Many of the indicators measured by the SIT may represent conditions outside the sphere of control of the implementers and donor. Indeed some projects to which the SIT has been applied have not had the scope, budget, or sufficient implementation period to expect high scores across all five factor areas.

**Figure 4: Key Stakeholders with Whom Outputs Were Shared (8 Respondents)**



To date, the SIT has not been applied a second time in any country. Four implementing organizations stated their intention to re-apply the SIT at one or more of the three-, five-, and ten-year intervals recommended by Aguaconsult. One organization stated it would conduct a second application at Year 3, two indicated they would do so at Year 5, and one proposed to re-apply the SIT at all three intervals post-implementation. Four implementing organizations reported having no intention to conduct the SIT in the future; two of these mentioned lack of funding as the reason. No respondent indicated lack of time, limited capacity, and limited interest as reasons to not conduct the SIT again. This suggests broad interest and capacity to re-applying the tool to the same project multiple times, yet the lack of unrestricted non-U.S. Government resources available to the implementers after the closure of a project is perhaps the primary obstacle to doing so.

### 3.4.1 COST

The diversity of intervention types and data collection methods used to gather the information necessary to apply the SIT framework makes it difficult to accurately compare costs across different applications and countries. The average per county cost of applying the SIT for USAID-funded applications ranged from US\$44,300 to US\$146,000 as seen in Table 3. The lone CRSI application was much less costly, with an average of US\$15,650 per country, for reasons explained below. In all cases, we estimate that applying the SIT costs less than three percent of the total value invested in the project being assessed.

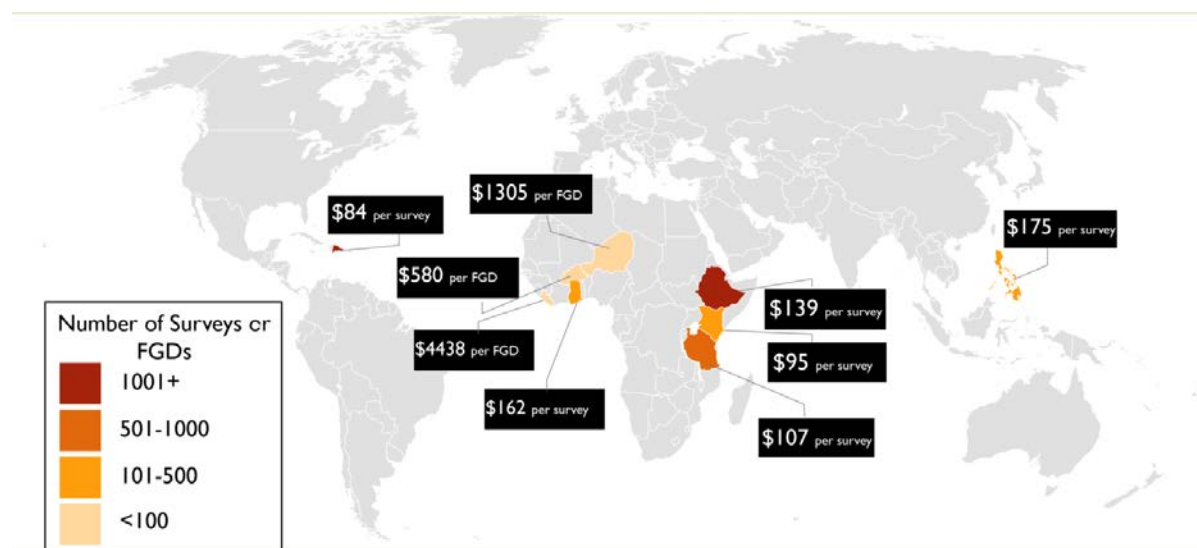
Calculating the per-unit cost of data collection at the lowest level used in each application yields interesting results.<sup>24</sup> The unit cost for a household survey ranged from US\$84 in the Dominican Republic

<sup>24</sup> Total cost divided by the number of HH surveys or FGD discussions undertaken.

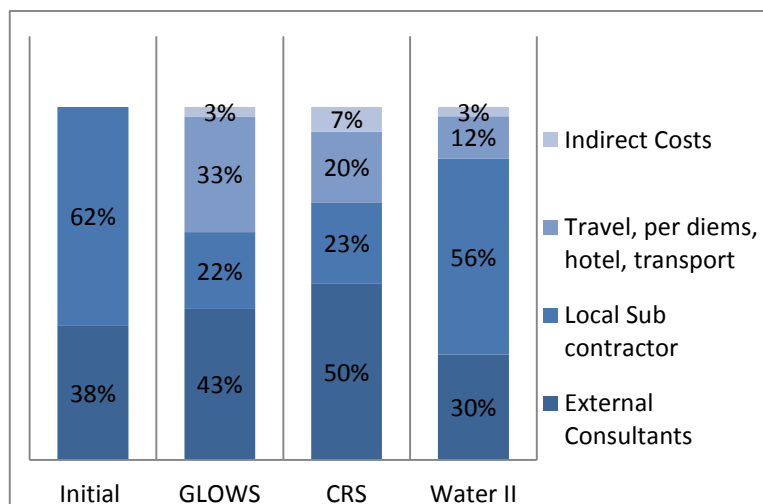


to US\$175 in the Philippines, with an average cost of US\$127 (see Figure 5). If the same calculation method is applied to the CRSI study, the unit cost was US\$943 per FGD. The average unit costs of the FGD in Liberia is US\$4,338. The elevated costs in Liberia are better understood when compared against the theoretical cost of undertaking 30 household (HH) surveys per community, on average, as suggested in the SIT methodology. When converted to an equivalent HH figure (division by 30), the costs in Liberia are in line with other applications of the SIT at the community level, at around US\$146 per survey. Team composition required to carry out FGDs at the community level is not necessarily less costly than that required to carry out HH surveys—a higher level of qualification and skill (and therefore cost) is required to convene and successfully execute an FGD than a HH survey, so the savings on enumerator expenses are potentially less significant. The associated direct costs (transport to and from communities and time required) were also similar. Costs were also driven by the extensive technical assistance needed to develop frameworks for two new intervention types and the added time spent in each community to carry out the pump tests and water quality analysis. While useful on some levels, a straight comparison of average unit costs of HH surveys or FGDs across countries does not consider the heterogeneity of the different applications in terms of the number of interventions assessed or the remoteness and geographic dispersion of the communities. The unit cost analysis also does not capture the costs to gather information from other sources (primarily through semi-structured interviews at all three levels), which can take a substantial amount of time and effort. In Ethiopia, for instance, the team conducted 137 key informant interviews in addition to the 1,080 HH surveys. The CRSI application was by far the least expensive due to the single intervention type (community water supply) and the use of FGDs to generate community-level data, rather than household surveys. The exclusion of household surveys obviated the need to hire large numbers of enumerators for HH data collection. Contextualization of the framework was doable “in-house” because of the expertise (and availability) of the Regional WASH Specialist (loaded level of effort [LOE] costs were not made available to the team). Of the countries that used household surveys, the three countries in East Africa have similar per household costs (approximately US\$114) to assess between four to six interventions, which appears more cost-competitive than the assessment in Ghana with a per survey cost of US\$162 for four applications.

**Figure 5: Unit Cost of SIT Household Surveys and Focus Group Discussions per Country**



**Figure 6: Cost Drivers of Four SIT Applications**



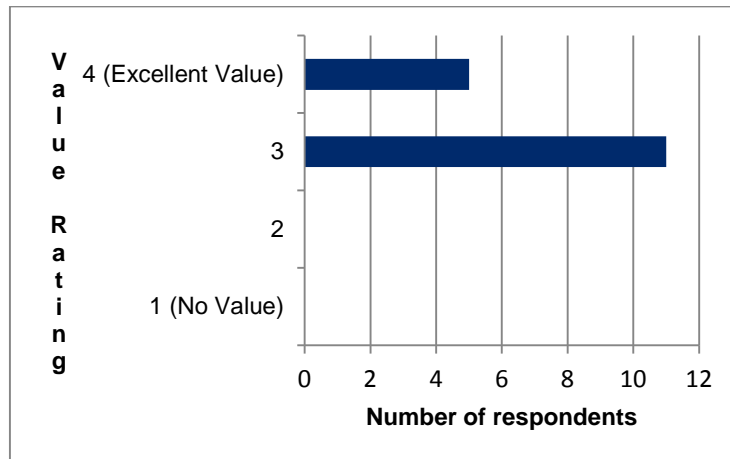
Costs were driven by a number of factors including the type of interventions, the need for household-level data collection, geographical scope of the project being assessed, and the need for external management of the application. An analysis of the available budgets reveal the key drivers of cost can be grouped into four categories: 1) external consultants (including LOE for designing the SIT and tailoring the questions to fit local context, managing the data collection process, and producing final deliverables); 2) local subcontractors for data collection (including LOE for survey managers, enumerators,

drivers, and materials); 3) fees for travel, per diems, hotel, and transport; and 4) indirect costs (NICRA, etc.). The budget for the USAID/RI SIT application was not broken down in the same way as the others, so costs were allocated into only two categories based on the line items provided. Figure 6 lists the four cost categories by application. A number of respondents noted that re-applying the SIT in the same location(s) over many years would increase the tool’s value for money. Repeated applications using a framework that has been adapted to the local context would likely significantly reduce the need to hire specialized external consultants in addition to the local subcontractors, potentially reducing costs by between 30 and 50 percent.

### 3.4.2 VALUE ADD

All survey respondents to this question (100 percent) rated the value of the SIT to assess the likely sustainability of WASH services as good to excellent (see Figure 7). However, caution should be taken when interpreting the results, as 63 percent of the respondents (all having self-identified as “project implementers” and “SIT implementers”) also stated that they are not doing anything differently based on results of the SIT. Thus, while SIT users find the tool to be comprehensive and flexible (can be adapted and/or analyzed for user-specific purposes) and perceived effective to accurately reflect the likelihood of sustainability, there is a discrepancy between the *perceived* value and the *actual* value of the SIT findings, from the perspective that if the results have not been used, the actual value of the tool is negligible. For example, respondents to the online survey listed many potential uses of the SIT results, such as “Can be used for advocacy purposes,” “Can act as a driver of change,” “Help to expand opportunities for users to engage with other sector stakeholders,” and “Could potentially help to fund capacity building at local government level and support programs over the long term.” However, evidence to support actual follow-up actions related to any of these catalytic uses of the results appeared to be weak or non-existent in all of the applications considered.

**Figure 7: Value of the SIT as a Tool to Assess the Likely Sustainability of WASH Services (16 Respondents)**



Thus, due to the fact that very few of the respondents could comment on what, if any, action was taken based on the findings and results from the relevant SIT application, there was very little data available to substantiate the value added from the SIT. Furthermore, the results of the SIT have never been validated or “hypothesis-tested” for accuracy because a second application has not been done at the same location to document if the evolution of the WASH services followed the trajectory predicted by the SIT.

# 4.0 DISCUSSION

Respondents involved in four SIT applications unanimously viewed the tool as an effective means to measure the likelihood of sustainability for a WASH intervention. The SIT effectively strikes the balance between offering a comprehensive framework of analysis while maintaining the flexibility to be adapted to numerous WASH interventions across a variety of contexts. It has proven adaptable to changing donor or implementer expectations for applying the tool. The framework has evolved over time and increased in complexity in response to user feedback and perceived weaknesses particularly around the need to produce operational recommendations. In Ethiopia, some continuous variable questions have been added to household surveys to provide context beyond binary yes-no to responses. Indeed, the framework's inherent adaptability coupled with the availability of comprehensive how-to guides in the public domain is a defining quality of the tool.

No two SIT applications have been alike. Tailoring the questionnaires and scoring criteria to the respective national and local contexts is a critical aspect of the SIT process. Respondents recognized this to be an onerous task requiring high levels of technical expertise to understand the local context and utilize the tool effectively. The recent trend to add complementary types of analysis (pump tests) and continuous variable questions suggests this trend is likely to continue. While the push to capture more rich meaningful data is positive, this may require increased resources to capture and analyze data. Respondents involved with a few of the more recent applications suggested some data is not being fully analyzed and exploited in the reports. All of USAID's applications have required a high level of external technical assistance, while CRSI was able to apply the tool successfully "in-house" with minimal amount of external assistance. While the scale of the CRSI application was much smaller and arguably less complex than the others, the CRSI experience indicates the effectiveness of the publicly available tools created as part of the USAID/RI SIT evaluation to teach WASH professionals through self-study how to effectively apply the tool.

USAID mission staff's limited involvement in developing the framework in three applications inhibited the ability for the process to draw in other donors and development partners in a way that generated wide interest in the results. Limited participation from donors and the wider sector stakeholders in the early stages of a SIT application create a vicious cycle where the full value of the SIT results cannot be realized. If USAID were to be more engaged in the development of the framework and drew in other donors and development partners into the process, there would likely be broader buy-in into the final results. More than one respondent from USAID cited a general lack of ownership for the tool among key WASH stakeholders within the Agency.

Table 5 summarizes the critical elements that effect the successful implementation of each phase of the SIT application. There is a clear need to strengthen Phase 3 activities, particularly how to effectively disseminate and operationalize SIT recommendations. Respondents indicated the need for shorter reports and management memos compared to long, detailed reports. Alternative formats suggested were infographic reports and dissemination workshops. Results from the SIT could be better utilized to drive decision-making processes. Given the high quality and amount of data collected through the SIT, respondents felt that there was an opportunity for donors, such as USAID, to better use results to influence key stakeholders and sector actors to address identified gaps given their wider sphere of influence (compared to project implementers). It would be worthwhile to determine prior to implementing the SIT how the results can be effectively used and by whom. However, the latter may continue to be a challenge due to the hesitancy of stakeholders to share "failures" in the findings, potentially lessening the effectiveness of the SIT tool.

The SIT uses WASH project interventions as the framework for analysis, but the SIT is not just about the project. It is really about the enabling environment, but there is often confusion around this. For example, in Ethiopia the government officials viewed the SIT process in relation to the specific USAID investment, which made it difficult to gather certain data from key stakeholders at the different service levels. Enumerators also need to understand that the survey goes beyond capturing data only about project output and outcomes. This is especially hard for bigger teams (enumerators) to mitigate because they have a “script” to follow.

The cost of applying the SIT appears to be reasonable compared to similar sustainability analysis methodologies. For example, a recent report from IRC Netherlands finds that the costs for carrying out the sustainability checks mandated by DGIS are approximately €50,000–60,000 (or US\$55,000–65,000) per country per year.<sup>25</sup> Historical costs for applying the SIT have been well under three percent of USAID’s total investment in the project being assessed.<sup>26</sup> Examples from CRSI and in Liberia indicate the cost and time required to administer the SIT could be minimized if FGDs were used instead of HH surveys. Using FGDs, the data collection process was completed in four to five weeks.

Due to the high cost and time inputs needed to adapt the tool to the local context, value for money can be increased by applying the tool multiple times in the same area. Beyond the availability of funding, the effectiveness of repeated applications does rely on a certain institutional continuity and there being a repository of data and frameworks within USAID (or somewhere else) to be drawn upon in subsequent iterations. Although a few years dated in some cases, results from SIT applications remain valuable and should be used as conversation starters when designing new procurements or when engaging governments to advocate for the adoption of service delivery frameworks.

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<sup>25</sup> Aguaconsult, 2015.

<sup>26</sup> In the 2011 Evaluation Policy USAID committed to devoting approximately 3 percent of total program dollars, on average, to external performance and impact evaluation. While the SIT does not fit squarely into either of these categories, this benchmark can be used to evaluate the reasonableness of the historical cost of applying the tool.

**Table 5: Elements that Drive Successful Implementation of Each Phase**

SIT Phase	Critical Elements Underlying Successful Application of the SIT
Phase 1: Planning and Design	<ul style="list-style-type: none"> <li>• <b>Well-defined Scope of Work:</b> Clear objectives and scope of work for the application (donors should be aware of the strengths and limitations of the SIT and apply the tool appropriately).</li> <li>• <b>Data Availability:</b> Availability of good data about the interventions and program being assessed (particularly intervention types, location, and other information about communities). The willingness of project implementers to provide information is key.</li> <li>• <b>Contextualisation:</b> Perhaps the most important step. Sufficient time must be allocated to adapt the tool to the local context. Using a multi-disciplinary team of local experts is strongly recommended.</li> </ul>
Phase 2: Implementation, Analysis, and Report Writing	<ul style="list-style-type: none"> <li>• <b>Survey Delivery:</b> Striking a balance between gathering necessary information and using the opportunity to ask about how needs and demands of respondents are being met, and what respondent's role is in relation to intervention(s) at all levels; the apparent lack of flow and relevance of certain questions in the SIT framework can cause problems for some participants.</li> <li>• <b>Use of ICT:</b> Cloud-based mobile data platforms (e.g., iFormBuilder and FLOW) cut down on time and resources required for data collection and analysis.</li> <li>• <b>Team Size:</b> The size of team and number of enumerators are key cost drivers (timeline and cost), and fewer and smaller teams have been suggested for SIT implementation.</li> </ul>
Phase 3: Post-Report and Dissemination	<ul style="list-style-type: none"> <li>• <b>Dissemination Process:</b> Identify feedback mechanisms within countries to disseminate findings while the SIT assessment is in its planning stages.</li> <li>• <b>Data Validation and Use:</b> Inclusion of explicit scope for validation of results with local stakeholders.</li> <li>• <b>Report Format:</b> Key outputs should be presented in a format that is appropriate for the specific target audience (including layout, content, and language) with clear takeaways and action items. Management memos from the GLOWS applications are effective.</li> <li>• <b>Dissemination Plan:</b> When designing the SOW, USAID operating units should clearly identify how and with whom results will be shared (identifying specific target audiences, including high-level stakeholders and project beneficiaries, and targeting the output formats appropriately).</li> </ul>

# 5.0 CONCLUSION AND RECOMMENDATIONS

## 5.1 CONCLUSION

In summary, the SIT is seen as a useful tool that allows for a comprehensive snapshot of the key challenges and bottlenecks for sustaining a range of WASH interventions. As one respondent stated, “The nuts and bolts of the tool are great ... it is the best thinking around measuring sustainability.” The SIT offers a tested framework to support USAID’s commitment to measure sustainability of its WASH investments and is consistent with the expected global engagement through the SDGs to support WASH services. The SIT framework has proven to be a valuable contribution to a larger ongoing sector dialogue around measuring sustainability. One of the intangible outcomes of the SIT appears to be that going through the process nudges stakeholders, including USAID, to think differently. This is likely having an effect beyond the quantifiable results cited in this report.

Application of the SIT takes between two and six months and costs between US\$15,000 and US\$155,000, depending on the scale and scope of the assessment, whether household surveys are included, and the choice of data collection methods (household surveys vs. focus groups). It can be adapted to the user-specific context with publically available material and minimal external support, depending on the scale and scope of the application.

The tool continues to be socialized in the global sector as demonstrated by the ongoing trickle of downloads more than 12 months after any attempt to publicize it. The recent adaptation of the SIT framework by USAID peer organizations clearly demonstrates its valuable contribution to the sector both in its current form and in the framework’s adaptability to apply to a variety of contexts or emerging purposes. Modified versions of the SIT are being developed in Ethiopia to regularly measure sustainability across the sector. These tools have fewer indicators and use a scoring system that produces specific recommendations for the user(s) based on the score generated from the indicators. This approach is markedly different from the project-oriented approach of USAID SIT applications.

However, while users stated they were very likely to use the SIT to assess the likely sustainability of WASH services linked to, or supported by, interventions implemented under a specific project, the majority of users to date have not taken any action based on the findings from the SIT. The SIT has yet to be applied a second time in any country. Reasons for inaction after SIT applications include lack of financial means for implementing partners to initiate activities once a project closes. Seeking an engagement from a wider audience through inclusion of the relevant stakeholders in the inception, planning, and dissemination phases is likely to lead to broader use of findings in both government and practitioner circles, thereby adding substantially more value to the investment.

## 5.2 RECOMMENDATIONS

We believe the SIT currently offers good value to USAID and the broader sector. It has the potential to offer even greater value in the future. We propose the following recommendations to enhance the effectiveness of future applications and optimize USAID’s investment in the tool:

1. **Validate findings of the SIT through repeated applications:** USAID should consider making a commitment to repeat the SIT application at three and five years post-implementation in a handful of

countries, preferably those where an initial SIT application has already been completed. Repeating the analysis would determine if WASH services evolved according to the projection in the initial SIT, and would provide a clear picture of how the enabling environment for sustainability has changed over time. Countries could be chosen based on priority in the Water and Development Strategy or recent investments such as during the International H2O Collaboration. Data from SIT applications should be archived in a global repository, possibly accessible through the WaterPoint website, to establish a data set that can be used to identify common recommendations and trends across countries, recognizing that context will be a significant determining factor.

2. **Choose a sustainability tool that is fit for purpose:** The SIT is not designed to be a panacea or one-size-fits-all approach to measuring sustainability. USAID operating units should recognize the SIT as only one in a suite of tools to evaluate sustainability in the WASH sector. Understanding the strengths and limitations of the tool are important to maximize its effectiveness. For instance, other tools may be more appropriate (and less costly) ways to assess the enabling environment for WASH services at the national or district levels prior to designing a procurement. The one-page summaries included in the annex of the Triple-S Mapping of Water, Sanitation, and Hygiene Sustainability Tools report provide a useful summary of other sustainability tools used in the sector. It should be noted, however, that these tools may not be in the public domain or have comprehensive guides to allow them to be easily used or contextualized.
3. **Dedicate resources to measure sustainability:** Applying the SIT (or any other longitudinal measurement and analysis approach) requires sustained long-term investment. Per the commitment within the Water and Development Strategy, USAID should identify budget line items across operating units to finance SIT applications (or other sustainability checks) in priority countries. In missions with substantial WASH investments, the Program Office should be aware of the SIT as a means to fulfill the requirements of Agency's Evaluation Policy.
4. **Disseminate results:** The value of the SIT is directly correlated to what is done with the results. As a matter of principle, results from SIT applications should be shared with local stakeholders, particularly influential government officials at the national and decentralized (regional, district) levels. Many recommendations stemming from SIT applications are outside the scope or influence for project implementers and need to be addressed by donors through policy reform. USAID missions should take responsibility and leadership to ensure a minimum level of knowledge dissemination following every future application, including building such requirements into contracts when appropriate to ensure this occurs. SIT results could be disseminated at annual Join Sector Reviews or through other high-level donor coordination forums. The use of management memos should be continued and made available through Sanitation and Water for All (SWA) and other similar coordination processes. Results of an SIT application have the potential to be a conversation starter or catalyst for change, particularly in countries where USAID is highly active in the WASH sector. However, care should be taken to present the results in context, so findings are not misinterpreted as a judgement of the success or failure of a project, rather seen as a measuring stick to evaluate the systemic challenges faced by all WASH sector stakeholders. Key stakeholders should be identified and engaged early in the SIT process to encourage interest in and accurate interpretation of the results.
5. **Seize opportunities for alignment with country monitoring frameworks:** As seen in the most recent applications in Liberia and Ethiopia, indicators and questions used in the SIT framework can be aligned to capture national indicators and WASH service levels. As the SIT continues to evolve and be repeated multiple times at larger scales in the same country, results could eventually feed into country monitoring processes and macro-level sector planning, budgeting, and advocacy efforts being promoted by SWA.



6. **Generate ownership for the SIT within operating units outside of Washington:** USAID missions and regional bureaus should be engaged at the outset of any SIT application and take responsibility for using results from the SIT application to effectively contribute to country-level policy discussions. Ideally, the SIT should be applied in countries where a USAID mission has a full-time WASH advisor or technical backstop. Countries lacking a dedicated WASH advisor will require high levels of assistance from Regional or DC-based operating units. SIT champions are needed in missions to manage a SIT application and remain accountable for using SIT results to drive decision-making at different levels. USAID should consider providing training to staff from high-priority missions to understand the SIT, why it is useful, how to utilize it, and what resources are available to support an application, within a wider training on USAID’s approach to sustainability per the Water and Development Strategy.
7. **Catalyze a wider discussion on the Agency’s approach to designing for and measuring sustainability of WASH investments:** Using results and experience to date from applying the SIT, USAID should more clearly define an internal approach to sustainability from an operational and measurement perspective in relation to Water and Development Strategy. Traditional approaches to procurement do not lend themselves well to measuring the long-term sustainability of WASH interventions in a cost-effective manner. USAID should determine how the SIT fits into its wider strategy for monitoring sustainability of its investments.

# REFERENCES

Aguaconsult, *Experiences with Sustainability Instruments: Clauses, Checks and Compacts for Sustaining WASH Services*, IRC Netherlands, March 2015.

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USAID, *USAID Evaluation Policy*, 2011.

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USAID, *Water and Development Strategy Implementation Field Guide*, 2014.

World Bank, *Assessing Sustainability in Rural Water Supply: The Role of Follow-up Support to Communities*, 2004.

# ANNEXES

## ANNEX 1: SIT INTERVENTION CATEGORY AND TYPE

	Intervention Category	Intervention Type
1	WT (Water)	CRS – community reticulated system
2	WT	CHP – community hand pump
3	WT	UWS – utility water system
4	WT	IWS – institutional water supply
5	WT	WPS – water pan system
6	WT	RWH – rainwater harvesting
7	WT	SPO – spring water system
8	WT	WSP – water source protection/capture
9	SN (Sanitation)	CLTSH – community-led total sanitation and hygiene
10	SN	HHS- household sanitation
11	SN	INS – institutional sanitation
12	SN	WWT – wastewater treatment
13	SN	STS – septage treatment system
14	SN	SWM – solid waste management
15	Cross cutting	ENT – WASH entrepreneur
16	Hygiene	HWP – hygiene and handwashing promotion
17	Hygiene	HWT – household water treatment

## ANNEX 2: SURVEY TEMPLATE

### Sustainability Index Tool (SIT) Stakeholder Survey

We're conducting research on the USAID/Rotary Sustainability Index Tool (SIT). Given your role with the SIT we'd like your input into this research and would appreciate your response to the following survey questions. This will help us to gain a better understanding of best practices, achievements, and limitations of the SIT in order to inform users on future applications. The survey should take approximately 10 minutes and your responses will be kept confidential. Thank you very much for your time.

*\* Required*

#### General Questions

**1. Please select which country you were involved in with the SIT. You may select more than one. \***

*Check all that apply.*

- Dominica Republic*
  - Ethiopia*
  - Ghana*
  - Kenya*
  - Philippines*
  - Tanzania*
  - Other:*
- .....

**2. Please select the category for which you best identify with for your role with the SIT. \***

*Mark only one oval.*

- Donor (agency that provided funds for the WASH program/project)*
- Country Lead Coordinator (person responsible for managing the country-specific SIT implementation process)*
- SIT Implementer (lead agency responsible for managing all or a portion of the SIT, including planning, design, implementation, analysis, report writing and dissemination)*

*Project implementer (organization that worked with a grant manager or donor to implement the WASH program/project on which the SIT was undertaken)*

*Other:*

**3. Please list your job title or position held during the SIT application. \***

.....

**4. Please list the name of the agency you were affiliated with during the SIT application. \***

.....

**5. Please select each Phase that you were involved with the SIT. You may select more than one. \***

*Check all that apply.*

- Planning and Design Phase (these activities include initiating landscaping; defining the methodology and sampling strategy; using and contextualizing the framework; developing survey packs and training enumerators; and pilot testing and modifying questions and scoring)
- Implementation, Analysis and Report Writing Phase (these activities include mobilization; data collection; data analysis, weighting and scoring; and reporting)
- Post Report and Dissemination Phase (these activities include presenting and sharing results with sector stakeholders; developing action items; use of the SIT findings to inform future programming; use of the SIT to advocate for program and or WASH specific investments and other policy and/or program related activities)
- Other

**6. Please select all of the key stakeholders you interacted with during the SIT application. \***

*Check all that apply.*

- USAID HQ
- USAID Mission Rotary
- International Local Rotary
- Multi-lateral Institution
- Consulting firm
- Country Lead Coordinator
- Academic Institution
- NGO
- National Government
- District or Municipal Government
- Local Government
- Project
- Beneficiaries
- Don't recall
- Other: .....

**7. Were there other key stakeholders that should have been involved? \***

*Mark only one oval.*

- Y
- N

**8. If yes, please list the key stakeholders that should have been involved.**

.....

.....

.....

.....

.....

## Planning and Design Phase

This section refers only to the planning and design activities for the SIT. These activities include initiating and landscaping; defining the methodology and sampling strategy; using and contextualizing the framework; developing survey packs and training enumerators; and pilot testing and modifying questions and scoring.

**9. Were you involved with the planning and design activities for the SIT application? \***

*Mark only one oval.*

- Yes
- No *Skip to question 17.*

## Planning and Design Phase Continued

**10. Were you familiar with the SIT prior to involvement in planning and design activities? \***

*Mark only one oval.*

- Y
- N

**11. Did you feel you were adequately prepared to take part in the planning and design activities for the SIT? \***

*Mark only one oval.*

- |    | 1                     | 2                     | 3                     |     |
|----|-----------------------|-----------------------|-----------------------|-----|
| No | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | Yes |

**12. If no, please list below additional resources that would help you to be adequately prepared for the planning and design of the SIT.**

.....

.....

.....

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.....

**13. Were the number of days allocated for your participation in the planning and design stage adequate? \***

*Mark only one oval.*

- Y
- N

**14. If no, why not?**

.....

.....

.....

.....

.....

**15. How many days were required for planning and design of the SIT? \***

*Mark only one oval.*

- 1-3 days
- 4-5 days
- 6-8 days
- 9-10 days
- 11 days or more
- Don't recall

**16. Were there any constraints in the planning and design of your SIT application which may have impacted the quality of the exercise? Please select all that apply. \***

*Check all that apply.*

- Time
- Lack of funding to cover all costs
- Staff availability
- Training resources
- Appropriateness of the SIT as applied to the project context
- Willingness of key stakeholders to participate
- None
- Other:

## **Implementation, Analysis and Report Writing Phase**

This section refers ONLY to the implementation, analysis and report writing activities for theSIT. These activities include mobilization; data collection; data analysis, weighting and scoring; and report writing.



17. Were you involved with the implementation, analysis and/or report writing activities for the SIT application? \*

Mark only one oval.

- Yes
- No Skip to question 24.

Implementation, Analysis and Report Writing PhaseContinued

18. Did you feel you were adequately prepared to take part in the implementation, analysis and/or report writing activities? \*

Mark only one oval.

	1	2	3	
No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Yes

19. If no, please list below additional resources that would help you to be adequately prepared for the implementation, design and analysis of the SIT.

.....

.....

.....

.....

.....

20. Approximately how many days did you participate in the implementation, analysis and reporting writing for the SIT application? \*

Mark only one oval.

- 21 days or less (3 weeks)
- 22-28 days (4 weeks)
- 29-35 days (5 weeks)
- 36-42 days (6 weeks)
- 43-49 days (7 weeks)
- 50-56 days (8 weeks)
- 57 days or more (9 weeks or more)
- Don't recall

21. Were the number of days allocated for your participation in the implementation, analysis and reporting writing stage adequate? \*

Mark only one oval.

- Y
- N

22. If no, why not?

.....

.....

.....

.....

.....

23. Were there any constraints in the implementation, analysis and/or report writing of your SIT application which may have impacted the quality of the exercise? Please select all that apply. \*

Check all that apply.

- Time
- Lack of funding to cover
- all costs Staff availability
- Training resources
- Appropriateness of the SIT as applied to the project context
- Willingness of key stakeholders to participate
- None
- Other

### Dissemination and Post Report Follow Up

This section refers ONLY to the dissemination and post reporting activities for the SIT. These activities include presenting and sharing results with sector stakeholders; developing action items; use of the SIT findings to inform future programming; use of the SIT to advocate for program and or WASH specific investments and other policy and/or program related activities.

24. Were you involved in disseminating or post reporting activities for the SIT application? \*

Mark only one oval.

- Yes
- No
- Not applicable

## Dissemination and Post Report Follow Up Continued

### 25. Which outputs did you read, review or use as part of any dissemination or postreporting activities for the SIT application? Please check all that apply. \*

Outputs include any documents that review, share or state the findings and recommendations from the SIT.

*Check all that apply.*

- Initial SIT Application - Sustainability Check of WASH Activities - Executive Summary of Findings
- Initial SIT Application - Sustainability Check of WASH Activities and Partnership Alliance Evaluation - Feedback workshop
- Initial SIT Application - Applying the Sustainability Check Tool: lessons learnt from a three country evaluation
- Initial SIT Application - Strategic Partnership and learning review micro level analysis (31 pages)
- Initial SIT Application - Strategic Partnership and learning review micro level analysis (6 pages)
- Initial SIT Application - Sustainability Check of WASH Interventions: global findings and lessons learned (10 pages)
- Initial SIT Application -Sustainability Check of WASH activities: global findings and lessons learned (15 pages)
- Philippines Country Report (2012) - Sustainability Check of WASH Activities (54 pages)
- Philippines Country Report (2013) - Sustainability Check of WASH Activities (44 pages)
- Ghana Country Report (2012) - Sustainability Check of WASH Activities (65 pages)
- Ghana Country Report (2013) - Sustainability Check of WASH Activities (62 pages)
- Dominican Republic Country Report (2012) - Sustainability Check of WASH Activities (80 pages)
- Dominican Republic Country Report (2013) - Sustainability Check of WASH Activities (72 pages)
- GLOWS - WASH Sustainability Index Tool Assessment of activities under the TWB-MRB and iWASH Projects Report (103 pages)
- GLOWS - WASH Sustainability Index Tool Assessment of activities under the TWB-MRB and iWASH Projects Report (69 pages)
- Sustainability Index Tool Application USAID – GLOWS: Management Memo Kenya
- Sustainability Index Tool Application USAID – GLOWS: Management Memo Tanzania
- WASH Sustainability Index Tool Assessment of activities under the TWB-MRB and iWASH Project: Feedback Workshop for TWB-MRB and iWASH
- Other:

**26. Who were the outputs shared with? Please check all that apply. \***

*Check all that apply.*

- USAID HQ
- USAID Mission
- Rotary International
- Local Rotary Club
- Multilateral institution
- Consulting firm
- Country Lead Coordinator
- Academic Institution
- NGO
- National Government
- District or Municipal Government
- Local Government
- Project Beneficiaries\
- Don't recall
- Other:  
.....

**27. Were the outputs user-friendly and easy to review and understand? \***

*Mark only one oval.*

- Y
- N

**28. Was the format of the output(s) appropriate for the intended users? \***

*Mark only one oval.*

- Y  
 N

**29. If no, what format would be more appropriate to share the results and findings from the SIT?**

.....  
.....  
.....  
.....

**30. What was done by you or your organization with the findings and results from the SIT captured in the above outputs? If other actions were taken please select Other and include a brief description. \***

*Check all that apply.*

- Report shared with sector stakeholders  
 Report shared in face to face meetings with sector stakeholders  
 Presentation, based on report findings, conducted with sector stakeholders  
 Action plan developed within organization  
 Action plan developed with national government authorities  
 Action plan developed with regional/district government authorities  
 Second SIT conducted (or to be conducted) at Year 3  
 Results used to inform other project development and activities  
 Nothing  
 Other: .....

**31. Is your agency doing anything different than it was before for WASH programming, based on the findings and results from SIT? \***

*Mark only one oval.*

- Y  
 N

**32. If yes, please list below what these changes are.**

.....  
.....  
.....

.....

33. It is recommended that a 'lite' version of the SIT be implemented at 3, 5 and 10 years following implementation. Does your organization intend to conduct the SIT at each or all of these intervals? You may select more than one. \*

*Check all that apply.*

- Year 3
- Year 5
- Year 10
- No

34. If no, what are the reasons for not undertaking the SIT at any or all of these intervals?

*Mark only one oval.*

- Time Funding
- Limited Capacity
- Limited Interest
- Other:

## Additional Questions

35. How would you rate the value of the SIT as a tool to assess the likely sustainability of WASH services? \*

*Mark only one oval.*

	1	2	3	4	
No value	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Excellent value

36. Please explain your rating of the value of the SIT as a tool to assess the likely sustainability of WASH services. \*

.....

.....

.....

.....

.....

**37. How likely are you to use the SIT as an approach to assess the likely sustainability of WASH services linked to, or supported by, interventions implemented under a specific project? \***

*Mark only one oval.*

1            2            3            4

Not at all                    Definitely

**38. Have you received feedback from other stakeholders in response to the SIT that you would like to share? If yes, please provide details below.**

.....  
.....  
.....  
.....  
.....

**39. If you have any other additional feedback, insight or comments to share please do so in the space below.**

.....  
.....  
.....  
.....

## ANNEX 3: NARRATIVE SUMMARY OF ONLINE SURVEY RESULTS

### A3-1 INTRODUCTION

As a component of the *WATER II IQC Quick Response Task Order, Work Order 006: WASH Sector Status and Trends*, Tetra Tech is conducting a comparative analysis of the USAID/Rotary Sustainability Index Tool (SIT). USAID engaged Tetra Tech to examine the applications of the SIT in eight countries over four different application periods to gain a better understanding of the usefulness of the tool and inform USAID on future applications.<sup>27</sup> As part of the comparative analysis a rapid response web survey was conducted with key SIT stakeholders from six countries over three application periods (CRS was not included in the web survey) to gain a better understanding of best practices, achievements, and limitations of the SIT.<sup>28</sup> The survey responses were also used to inform the interview questions to be administered with a small sample of key SIT stakeholders as part of the comparative analysis.

### A3-2 METHODOLOGY

The web based survey using Google Forms was open to respondents for nine days (June 8–June 17) and had a 33 percent response rate (18/54). The survey consisted of 41 multiple choice, open ended, rating scale and dichotomous questions, and was divided into five sections: General Questions (9); Phase 1 - Planning and Design (8); Phase 2 - Implementation, Analysis, and Report Writing (8); Phase 3 - Post Report Writing and Dissemination (11) and Additional Questions (5). The survey was administered and completed in English. The complete survey can be found in Annex 2. Survey participants were identified through a desk review of key documents, in addition to individual recommendations from key SIT implementers and selected based on their role and level of involvement with the SIT. A summary of respondents and associated roles can be found in the General Questions results section below. The analysis was completed using Excel and Google Forms for both qualitative and quantitative questions; thematic coding was done for the open-ended questions where appropriate. Cleaning and coding of the data was completed and several responses were marked as ‘blank’ as they were invalid.

It should be noted that survey results are based on self-reported data and several of the respondents were no longer working for the organization that was involved with the SIT thus they were unable to answer all of the questions. In addition, the SIT application in Ethiopia was ongoing at the time of the survey and application respondents (3) provided responses only to sections through Phase 2. Thus the total number of respondents indicated for each of the survey questions, and sections, as the denominator differed for the questions. The results and discussion from the survey are included below.

### A3-3 RESULTS

#### General Questions

For this section there were a total of 18 respondents from the three SIT applications: Initial SIT (6), GLOWS (6) and Ethiopia (2), and respondents that were involved with more than one application (4). Respondents self-identified as being from the following categories: Donor (3), SIT Implementer (8), Country Lead (1) and Project Implementer (6). See Figure A1 for a detailed breakdown.

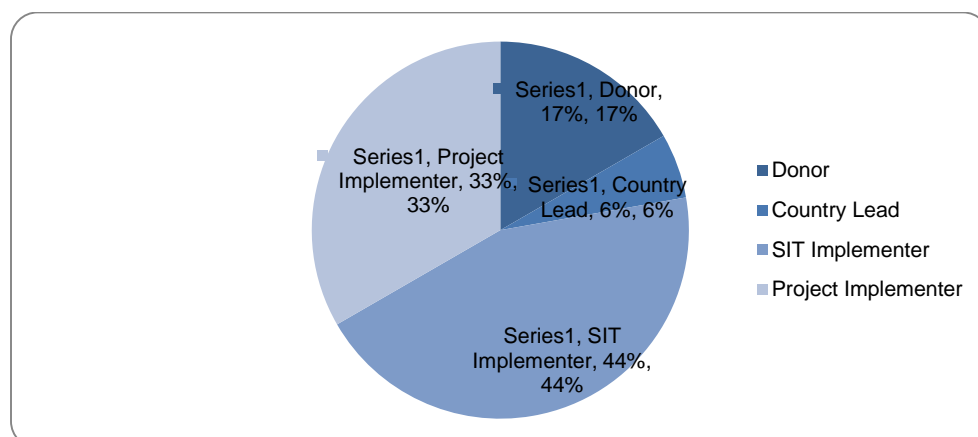
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<sup>27</sup> These countries include Ghana, Dominican Republic, Philippines, Kenya, Tanzania, Niger, Burkina Faso and Ethiopia.

<sup>28</sup> These countries include Ghana, Dominican Republic, Philippines, Kenya, Tanzania and Ethiopia.



**Figure A1: Category Self-Identified by Respondents for Role with SIT (n=18)**

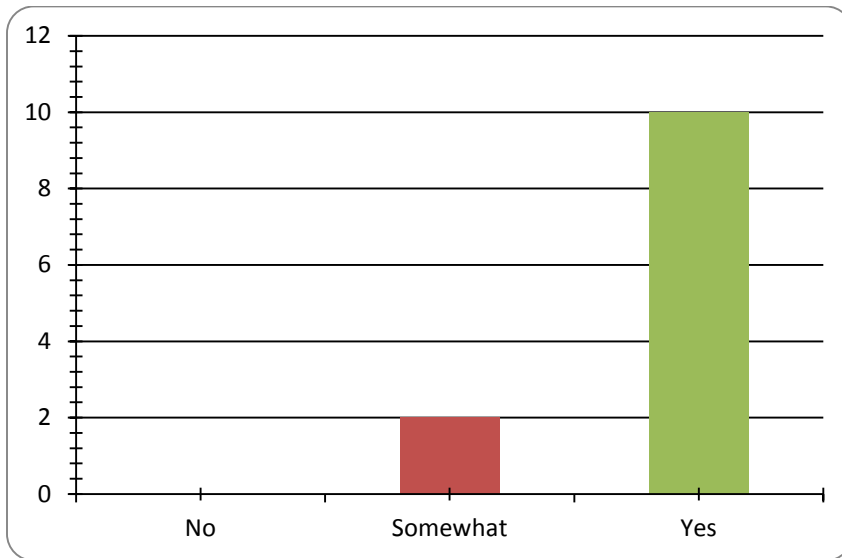


For each application respondents interacted with, on average, 6 different groups of stakeholders and this ranged from 2 to 13 groups of stakeholders. Only 17 percent of respondents stated that other stakeholders should have been involved while 83 percent stated that no other stakeholders should have been involved. The respondents that indicated other stakeholders should have been included SIT implementers (1) and Project Implementers (2), suggesting that the Department of Health and Local Water Service Providers were missing from the application of the SIT. In addition, one respondent noted that the level of stakeholder engagement was largely dependent on donor requirements (USAID or FIU) and their facilitation of engaging with the different stakeholders’ f, especially during the planning phase. For example, one respondent noted that applications in both Ghana and Ethiopia had a high level of stakeholder engagement, during the inception phase and existing relationships with the SIT implementers and in-country sector stakeholders, whereas in Tanzania and Kenya engagement with key stakeholders was low and the donor (FIU) requested that the SIT implementers not engage with USAID missions during the assessment. One respondent noted that greater engagement of sector level groups during the planning phase in the development of the evaluation frameworks may improve the overall utility of the SIT by ensuring participation in the process and getting buy-in from the inception of the activity. This may be of interest as neither of the donor respondents indicated that additional stakeholders should have been involved; however this contradicts findings from the project implementers and SIT implementers, suggesting that this may be an area for further discussion, particularly during the inception and planning phase for the SIT. It was also noted that the level of engagement was dependent on the applicability of the SIT to the broader WASH sector (and thus level of interest) and the existence of stakeholder sharing platforms within the country.

### **Phase 1 – Planning and Design**

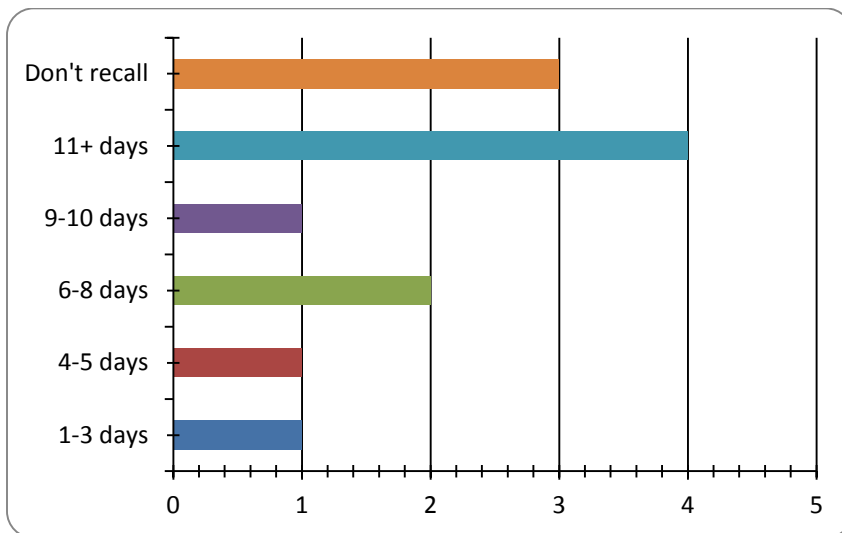
Of the 18 survey respondents, 12 indicated they were involved with the Planning and Design phase of the application (33 percent of the Project Implementer respondents and 66 percent of the Donor respondents were involved in the Planning and Design Phase). Fewer than half of respondents (42 percent) were familiar with the SIT prior to their involvement in this phase and 58 percent were not familiar with the SIT prior to their involvement with Phase 1. However, the majority of respondents (83 percent) felt adequately prepared to take part in the Planning and Design Phase. See Figure A2 for full results.

**Figure A2: No. of Respondents Who Felt Adequately Prepared to Take Part in the Phase1 Activities (n=12)**



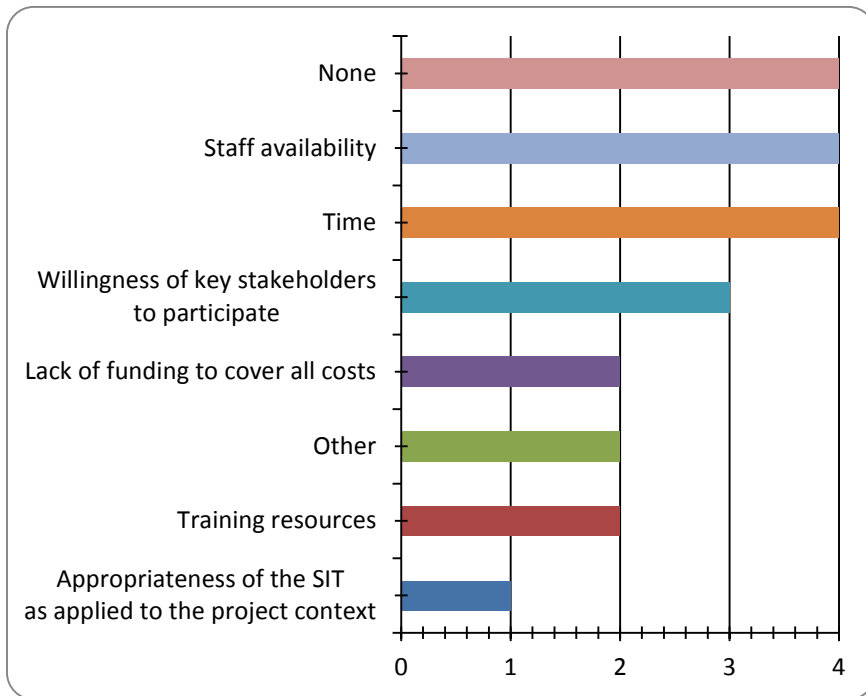
The majority of respondents (73 percent) also felt that the number of days allocated for the planning and design phase activities was adequate, while 27percent felt that the number of days was inadequate (3 of 11). Of these three respondents, time was the key limiting factor. Specifically, two respondents noted that more time was required for the contextualization and training of the enumerators and that a lack of capacity of in-country WASH experts and the scale and number of firms involved slowed down process. As can be seen in Figure A3 the number of days required varied for Phase 1 activities ranged from 1-3 days up to 11 or more days.

**Figure A3: No. of Days Required for Planning and Design of the SIT (n=12)**



In addition, as can be seen in Figure A4, the top constraints in the planning and design Phase of the SIT application were staff availability and time, as well as 'none' from the same number of respondents. This was followed by the willingness of key stakeholders to participate, then by training resources, lack of funding and other. It should be noted that there was no clear association with the type of agency and the type of key constraints identified by the 12 respondents. It should also be noted that the number of days selected for this Phase is dependent on the role of the respondent; the SIT guideline document suggests a total of 14 weeks for this Phase.

**Figure A4: Key Constraints in the Planning and Design of the SIT Application Which May Have Impacted the Quality of the Exercise (n=12)**

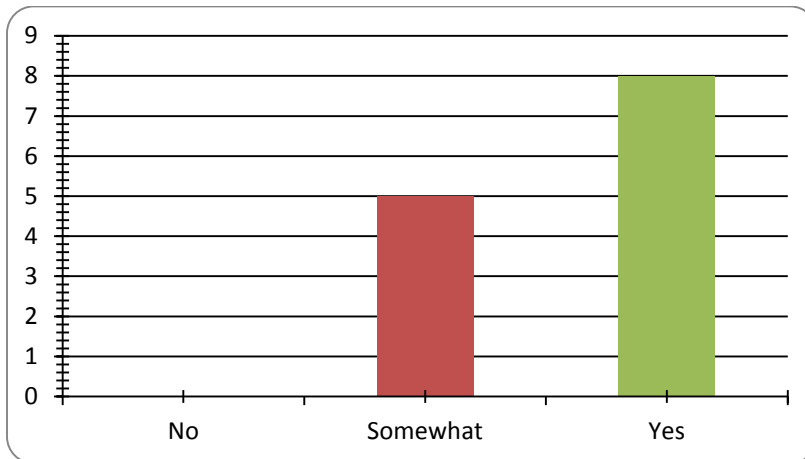


**Phase 2 - Implementation, Analysis, and Report Writing**

Of the 18 survey respondents, 13 indicated they were involved with the Implementation, Analysis and Report Writing phase of the application (50 percent) of the Project Implementer respondents and 33 percent of the Donor respondents were involved in this phase which should be noted when reviewing these results). The majority of respondents (62 percent) felt adequately prepared to take part in this phase, although this was 21 percent less than those who felt prepared to take part in the Planning and Design Phase.<sup>29</sup> One respondent who felt ‘somewhat’ prepared noted that more training and time for the exercise was needed. See Figure A5 for full results.

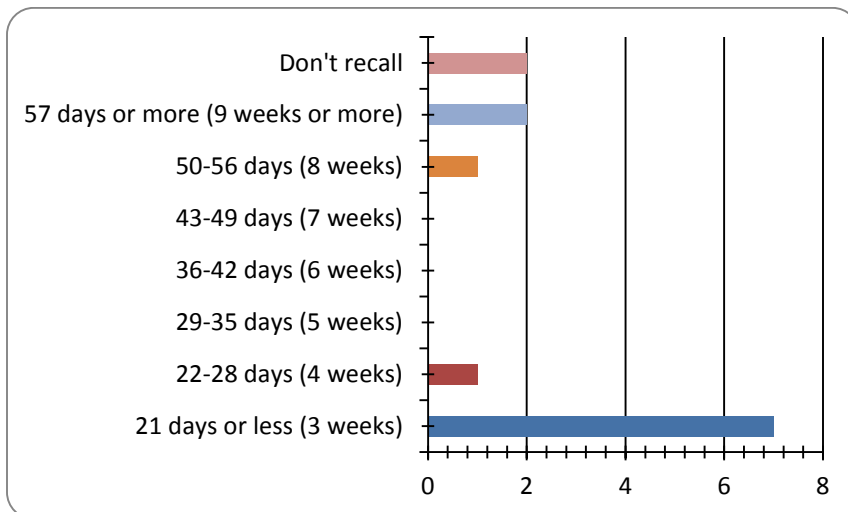
<sup>29</sup> Need to be careful of interpretation due to the different agencies responding.

**Figure A5: No. of Respondents Who Felt Adequately Prepared to Take Part in the Phase 2 Activities (n=13)**



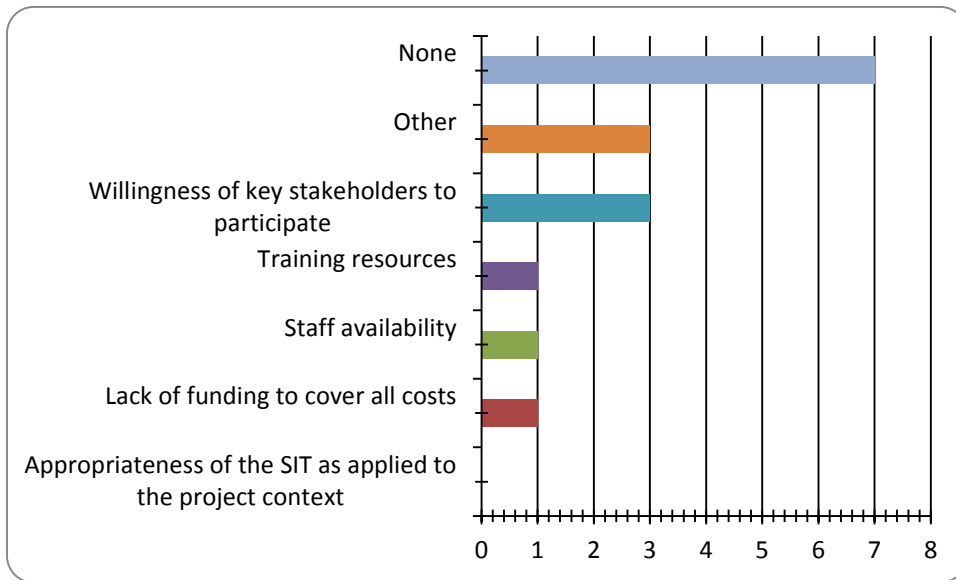
The majority of respondents (62 percent) also felt that the number of days allocated for the Implementation, Analysis and Report Writing phase activities was adequate, while 38 percent felt that the number of days was inadequate (5 of 13). All five of these respondents indicated time as the key limiting factor. As can be seen in Figure A6 the number of days required varied for Phase 2 activities and ranged from less than 3 weeks to 9 weeks or more. The 54 percent of respondents that reported this phase required less than three weeks were from all three applications, with the respondents indicating 8-9 weeks or more (23 percent) were primarily from the Initial SIT application. This is something that will be looked into further during the in-depth interviews in regards to the timing of each phase of the application changing over time.

**Figure A6: No. of Days Required for the Implementation, Analysis, and Report Writing of the SIT (n=13)**



In addition, the top constraints in the Implementation, Analysis and Report Writing phase of the SIT application were none, followed by the willingness of key stakeholders to participate, then by training resources, lack of funding and staff availability. Three respondents also indicated that there were other constraints but did not elaborate on their answers. See Figure A7 for full results.

**Figure A7: Key Constraints in the Implementation, Analysis and Report Writing of the SIT Application Which May Have Impacted the Quality of the Exercise (n=13)**



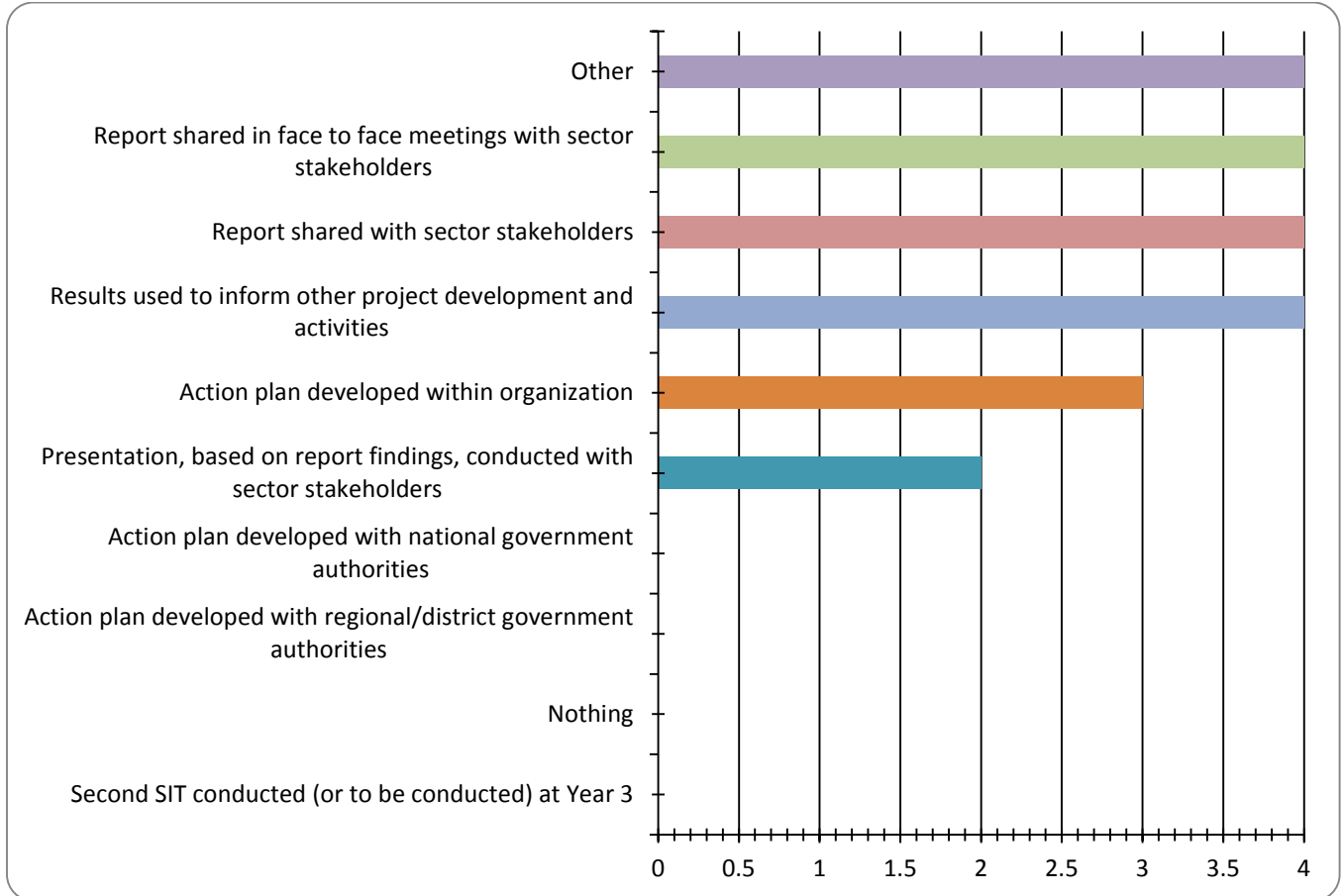
### Phase 3 – Dissemination and Post Report Follow Up

Of the 18 survey respondents, eight indicated they were involved with the Dissemination and Post-Report Follow Up phase of the application and three indicated that this was not applicable (likely the three respondents from the Ethiopia application since none of the organizations had yet to reach this phase). The eight respondents involved in this phase included respondents from each of the SIT categories (Project Implementer, SIT Implementer, Donor and Country Lead Coordinator). All eight respondents read, reviewed or used the outputs as part of any dissemination and/or post reporting activities. For the reports that had both a long and a short version, the shorter version was more likely to be read and as was noted by one respondent the use of management memos was adopted after feedback that the long reports were not being read, although 100 percent of respondents stated that the outputs were user-friendly and easy to review and understand. As outlined in Figure A8 these outputs were shared primarily with the consulting firms and USAID Missions and Headquarter staff, and sparingly with local, district or municipal government officials and project beneficiaries. Again, as was noted previously, there was mention that some stakeholders were not included in the planning and design phase that should have been and that the level of engagement of the stakeholders in the planning and design phase is dependent on a number of country-specific factors and is important for the adoption and buy-in of the SIT. The level of engagement and type of stakeholders involved may have implications for how the tool is used post SIT implementation and this may also affect the dissemination process. Additional information will be sought during the interviews.

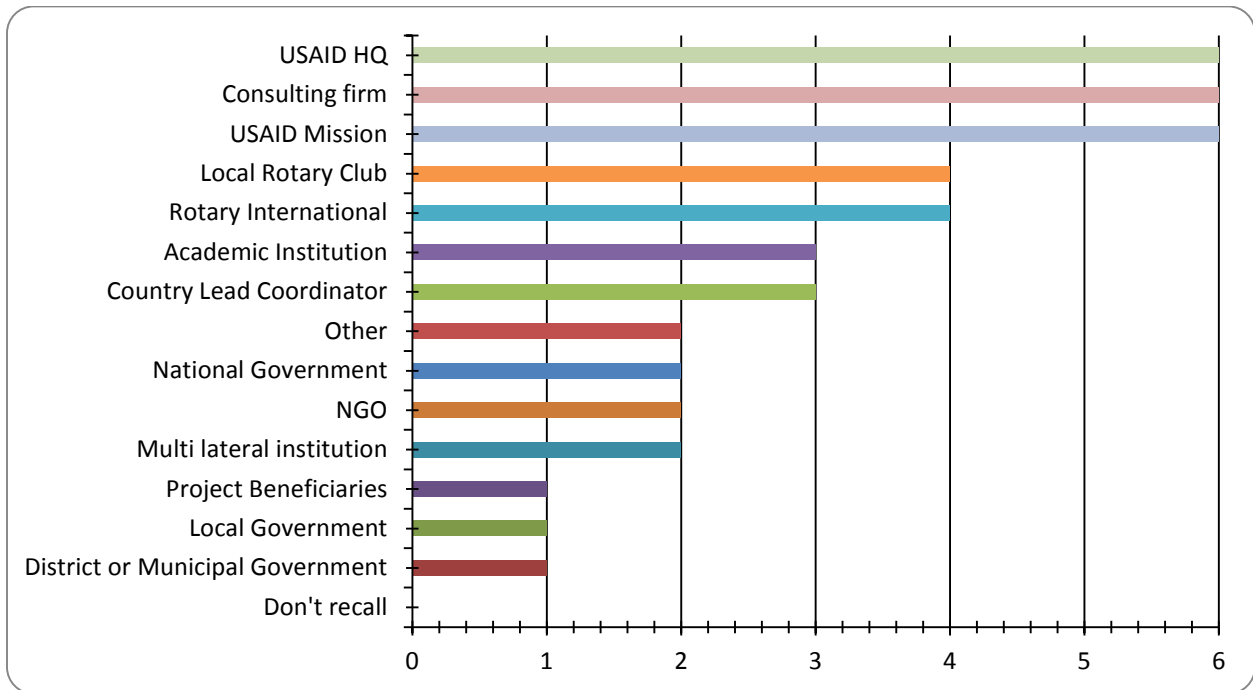
In addition, 63 percent of respondents for this phase stated that the format of the output(s) was appropriate for the intended users and 37 percent of respondents stated that the outputs(s) was not appropriate for the intended users. As can be seen in Figure A8 respondents primarily shared the findings and results from the SIT with sector stakeholders and used the results to inform other project development activities and to develop an action plan within the organization, but did not use them to develop an action plan with local or national government entities. Of the three respondents that stated the format was not appropriate for the intended users, the following formats were suggested as alternatives: management memos (3), infographic summary (1), short report (1), exit survey (1) and validation workshop (1). One respondent commented that there was an attempt to convene a broad range of stakeholders for a dissemination workshop but that there was a lack of support from USAID Missions and Headquarters to do so primarily due to their

hesitancy to reveal ‘failures’ in the findings, potentially lessening the effectiveness of the SIT tool. This will need to be followed up on in the interviews. The format of the output(s) may also have influenced who they were shared with and this will need to be followed up on during the interviews as well.

**Figure A8: What Was Done by Organizations with the Findings and Results from the SIT Captured in the Outputs Produced (n=8)**



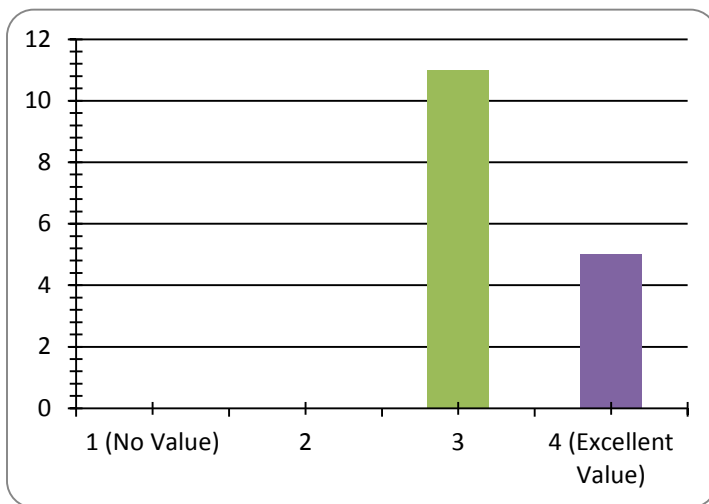
**Figure A9: Key Stakeholders that Outputs Were Shared With (n=8)**



**Additional Questions**

There were a total of 16 respondents from the three SIT applications for this last survey section. All respondents (100 percent) rated the value of the SIT as good to excellent value as a tool to assess the likely sustainability of WASH services. Respondents also provided detailed explanations for their rating of the value of the SIT, including the challenges associated with the tool. See Table A1 for explanation details.

**Figure A10: Value of the SIT as a Tool to Assess the Likely Sustainability of WASH Services (n=16)**



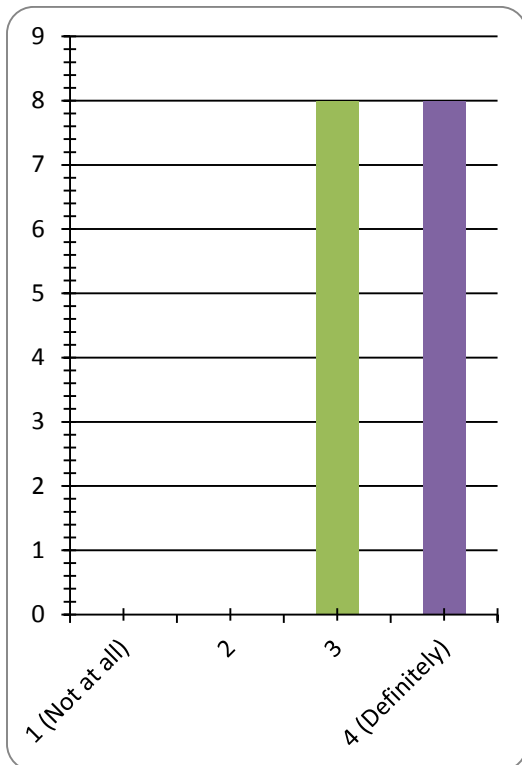
**Table A1: Explanations of Ratings of the Value of the SIT as a Tool to Assess the Likely Sustainability of WASH Services (n=16)**

<b>Rating explanations</b>	<b>No. of respondents that mentioned rating explanation</b>
<b>Value added</b>	
Comprehensive	5
Flexible	3
Accurately reflect situation in the at all levels (can be used for donors and higher-level sector strategy and also used for project implementers, including service providers, and local/district government)	3
Useful for ensuring sustainability at local level/for project beneficiaries	2
Useful for advocacy purposes	1
Provides rapid assessment of main sector challenges	1
Driver of change (has been adopted by external organizations in multiple countries)	1
<b>Challenges</b>	
Too long and too much content and respondents suffer from this	1
Users need to be well trained on the SIT for it to be useful	1
Final report and documentation should be shared with all key stakeholders, including those at the local level (only going to be useful if part of the larger sector and adopted more widely)	2
More information required for accuracy/consistency across applications	1

Of the 16 respondents, 89 percent stated that they were very likely or would definitely use the SIT as a tool to assess the sustainability of WASH services, as can be seen in Figure A11 below. However, caution should be taken when interpreting these results as while the majority of respondents stated they are likely to use the SIT to assess sustainability of WASH services under specific projects, approximately 63 percent (5 of 8) of those that responded stated they are not doing anything differently based on results of the SIT. This is something that should be monitored and reviewed in the context of the findings from this report to



**Figure A11: Likelihood of Using the SIT as an Approach to Assess the Likely Sustainability of WASH Services Linked To, or Supported By, Interventions Implemented Under a Specific Project (n=16)**



Of the 18 respondents for this question, 22 percent of respondents shared feedback that they had received from other stakeholders in response to the SIT, which can be seen in detail in Table 2 below. 28 percent of respondents stated that they had not received additional feedback from stakeholders in response to the SIT and 50 percent did not respond to this question.

**Table A7: Feedback from Other Stakeholders in Response to the SIT (n=4)**

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Project still maintained three years after completion, which the SIT may have contributed to

Stakeholders provide mixed reviews: some confirm that it is too complex with too much information is required but others have adopted it (such as CRS and UNICEF)

(From GLOWS respondent) "The SIT report condensed her decade of experience and knowledge of the WASH sector , highlighting the key issues facing the sector and the challenges linked to the development of the sector over time"

It can be a challenge to use the SIT to meet donor needs at a higher/strategic sector level and also to be operational

Government feedback generally positive (but may be linked to possible project funding) and project beneficiaries are often fatigued by NGO-related surveys however still make themselves available to provide information

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## **ANNEX 4: SEMI-STRUCTURED INTERVIEW TEMPLATE**

### **Sustainability Index Tool Interview Questions**

*Semi-structured key informant interviews with key SIT stakeholders*

#### **I. Demographic Information**

- 1. Date of Interview:**
- 2. Interviewer Name:**
- 3. Interviewee Name:**
- 4. Company/organization:**
- 5. SIT application period:**
- 6. Country of SIT application:**
- 7. Role:**

#### **II. Trends and Changes between Applications**

- 8. What was the catalyst or motivation behind the implementation of the SIT for your application?**
- 9. Given your experience with the application of the SIT in X country/s what were the key inputs required for each Phase (if an external agency would like to implement the SIT, for example):**
  - a. Planning and Design**
  - b. Implementation, Analysis and Report Writing**
  - c. Dissemination and Post Report Follow Up**
- 10. Reflecting on your application of the SIT were there missing inputs, or elements, that should have been included?**
- 11. \*What was the total cost of the SIT for your application? Try to draw out costs for different phases, scale of project etc. Ask if can share any of these documents if they are available.**
- 12. What were the key outputs produced for your SIT application?**
- 13. What was done with the key outputs for your SIT application?**
- 14. If any follow up activities were undertaken, do you feel that the full potential of the SIT was utilized? If no, what would you like to have seen done differently or in addition to what was done?**

15. **\*For CRS: Has CRS used the SIT in any other projects? What is the perceived value added from your perspective? If no, why not?**

16. **\*For those participants who were involved in more than one application: Were there any changes in the content, and/or administration, of the tool between your first and second application of the SIT? If yes, what were these** (such as administration, cost, time, content etc.)?

17. **\*For those participants who were involved in more than one application: Were there any changes in the content, and/or administration, of the tool in the different countries? If yes, what were these?**

### III. Value Added

18. **What value do you feel the SIT offered, if any** (adapt for the respondent as necessary):

- a. **The donor (USAID and/or Rotary)**
- b. **The national government**
- c. **The regional/district government?**
- d. **The project implementer**
- e. **the WASH sector**

19. **What do you feel were the key limitation or constraints of the SIT for your application?**

20. **\*For those participants who were involved in more than one application: Have any of these limitations or constraints been addressed in follow up applications of the SIT?**

21. **What were the key strengths of the SIT for your application?**

22. **How has the SIT added value to the WASH sector or for the client for your application?**

23. **Do you believe the tool could be used effectively at a national level, or is it more applicable at a regional/district or local level? And is it best suited for a program or project level** (what scale is it geared towards)?

24. **What would the implications be if rolled out nationally** (if possible)?

### IV. Lessons Learned and Reflections

25. **Do you have suggestions and/or ideas about how the SIT might be applied differently in future applications?**

- 26. How does the SIT complement existing national monitoring systems, or how does the SIT add value to the user/s existing monitoring systems?**
  
- 27. Are there other tools you're aware of or are using to monitor the sustainability of WASH services in your project or program areas? If yes, what is your perspective about how the SIT compares to these?**
  
- 28. USAID, in follow up to the initial launch of the Water and Development Strategy, is working to enhance and to streamline the sustainability of its WASH interventions through its missions. What role do you see the SIT having in supporting USAID's initiatives as part of its sustainability initiatives?**
  
- 29. Have you received any feedback or comments from (*INSERT DONOR/CLIENT*) that you worked with in regards to the use of this tool?**
  
- 30. Based on your experience to date with the SIT, for it to be effectively adopted by external agencies (non Aguaconsult) what are the variables that need to be accounted for (in terms of cost, time, perceived/actual benefits etc.)?**
  
- 31. Anything else to add?**

## **ANNEX 5: KENYA MANAGEMENT MEMO**

# SUSTAINABILITY INDEX TOOL APPLICATION USAID – GLOWS

MANAGEMENT MEMO | KENYA



## INTRODUCTION

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The *Trans-boundary Water for Biodiversity and Human Health in the Mara River Basin* (TWB-MRB) was a project financed by United States Agency for International Development (USAID) and implemented by the Global Water for Sustainability (GLOWS) consortium under the leadership of Florida International University (FIU). As part of its commitment to understanding the impact of its work and improving the likely sustainability of future interventions, FIU commissioned an external review of its WASH interventions<sup>1</sup> using the Sustainability Index Tool (SIT), developed by Aguaconsult for USAID and Rotary International from 2011 to 2012<sup>2</sup>.

The objective of the SIT is to enable a quantitative assessment of the **likely sustainability of the services provided by WASH interventions** that are implemented under a project or program. The SIT relies on a range of criterion grouped under five sustainability 'factors', namely: institutional, management, financial, technical and environmental. The SIT is structured to incorporate data from multiple administrative levels, recognizing that factors for sustainability include practices and policies at the household and service provider level (e.g. utilities, local private sector operators, community management committees), as well as the enabling environment at the decentralized and national levels.

This management memo is based on the results of the SIT as applied to the Kenyan portion of the TWB-MRB project. A separate management memo addresses the results from Tanzania. The SIT was applied in Kenya over a two-month period between October 2013 and December 2013 to the TWB-MRB project. Data was collected using household surveys, key-informant interviews, and sector policy and regulatory document review. A total of fifteen communities were visited, conducting 24 district/county level surveys, 24 service provider surveys and 453 household surveys. The survey results and analysis are included in a separate report.

## PURPOSE OF MANAGEMENT MEMO

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This document is targeted towards the main stakeholders of the TWB-MRB in Kenya and is intended to highlight the most critical findings of the SIT, putting these into context for follow-up action by USAID, national and local government and other development partners operating in Kenya. The detailed inputs and metrics feeding this management memo are available in the main report.



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<sup>1</sup> The external assessment was carried out by a consortium led by Aguaconsult ([www.aguaconsult.co.uk](http://www.aguaconsult.co.uk))

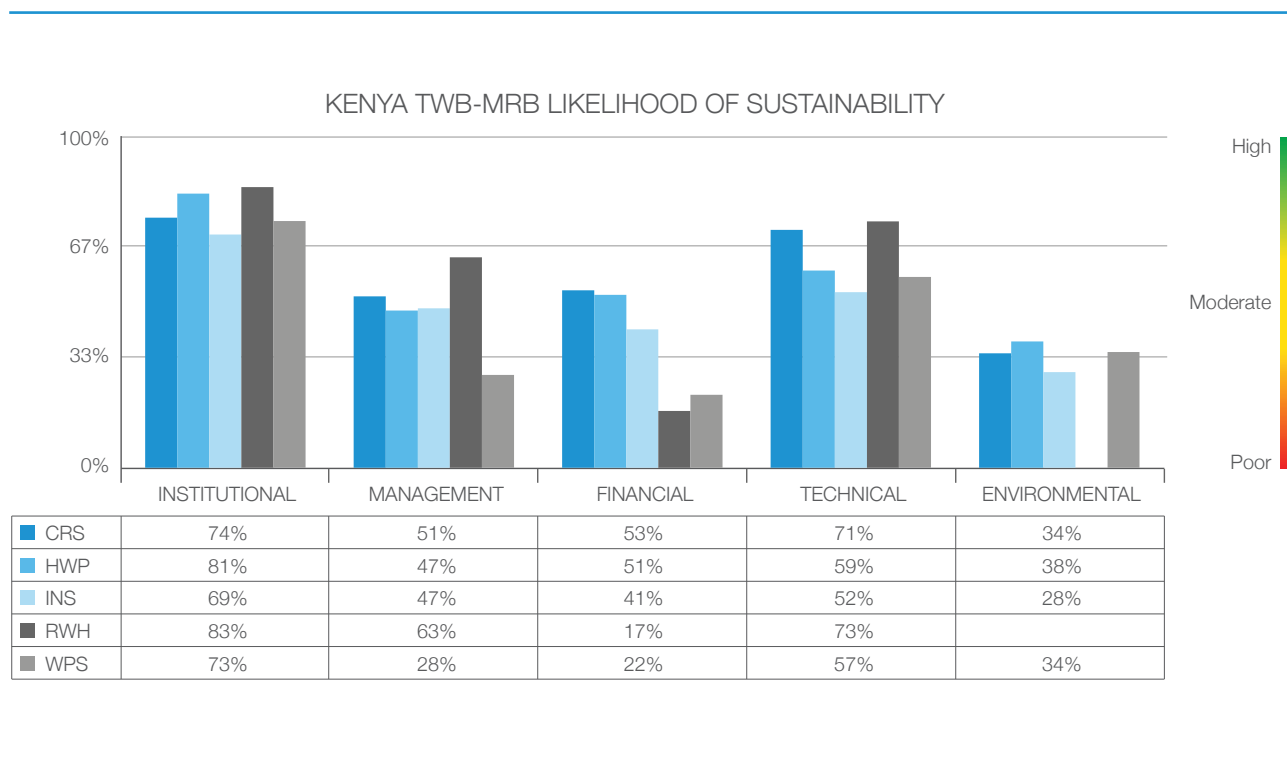
<sup>2</sup> More information on the WASH Sustainability Index Tool can be found at <http://www.washplus.org/rotary-usaid>

## KEY FINDINGS AND RECOMMENDED ACTION POINTS

The SIT analysis looks at many detailed aspects of likely sustainability across specific WASH interventions in five factor areas. For TWB-MRB, five intervention types were examined separately: (1) community reticulated water systems (CRS),

(2) hand washing promotion (HWP), (3) institutional sanitation (INS), (4) rainwater harvesting (RWH), and (5) water pan systems (WPS).

In order to identify areas of weakness and of good practice to inform future programming, the results have been aggregated and assessed against a traffic light system as shown in figure 1. These findings flag seven areas of strategic importance that should be addressed in order to mitigate against known barriers to sustainability, as detailed below.



**Figure 1: Sustainability factor scores** (institutional, management, financial, technical, and environmental) for each of the intervention types found in the Kenyan portion of the Trans-boundary Water for Biodiversity and Human Health in the Mara River Basin (TWB-MRB) Project

**In summary these are:**

- Nationally, the Government of Kenya has largely established policies and regulations that support sustainability, but limited coordination of efforts reduces the overall Institutional score;
- Between the national and decentralized levels, there is a lack of clarity about institutional roles and mandates. This is reflected in lower scores for Management as opposed to Institutional factors;
- Low support to and operational capacity at the county/district level was the prime contributor to the low management scores;
- Ad hoc monitoring, follow up and support is limited by the supply of resources (human, financial) and is not responsive to need;
- Demand for institutional sanitation and hygienic upkeep is low, as are the resources dedicated to their operation, generating the lowest scores across all sustainability factors;
- Fundamental accounting and financial management are limited even where tariffs are collected by local service providers;
- Limited attention or resources are committed to environmental protection around water sources or institutional sanitation facilities.



Each of these areas is described in more detail based on the SIT data analysis in the table below along with potential realizable actions. The stakeholder or stakeholders who should be involved in each potential action are listed in bold. It is hoped that the qualitative findings and metrics provided through the application of the SIT will enable relevant program management and USAID Mission staff to engage in sector dialogue and push for changes at both the national enabling environment and local level.

## KEY FINDINGS

### KEY FINDING 1:

**Nationally, the Government of Kenya has largely established policies and regulations that support sustainability, but limited coordination of efforts reduces the overall Institutional score.**

The desk review and surveys consistently found that national policies on WASH are quite strong. Data showed this in particular for handwashing and hygiene promotion. In addition, notable efforts were identified in establishing a national database of water supply assets that are showing success.

However, data found two significant weaknesses in policy and practice: (1) there is limited strength in the primary WASH sector coordinating body in government and (2) a significant weakness in policy and practice regarding the management of fecal sludge.

## POTENTIAL ACTION

### Donors:

Ensure that all implementers support governmental efforts to establish a national database of water supply assets.

### Donors/Implementers:

Provide support to strengthen inter-ministerial coordination at the national and decentralized level and establish a practice of integrated WASH efforts including engineering, hygiene behaviors, public health, and environmental protection.

### Government/Donors/Implementers:

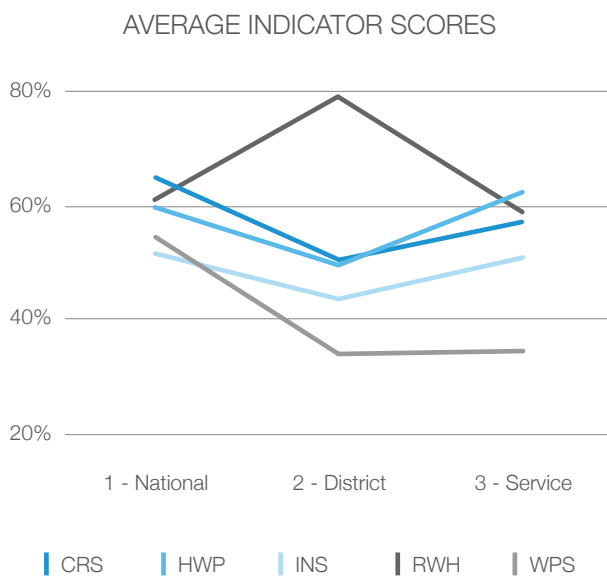
Support the legitimization of fecal sludge haulers and encourage the creation of environmentally sensitive disposal and treatment locations.

**KEY FINDING 2**

**Between the national and decentralized levels, there is a lack of clarity about institutional roles and mandates. This is reflected in lower values for Management as opposed to Institutional factors.**

Survey data clearly show that there is considerable confusion about the roles of different entities with regard to water supply and sanitation services. In addition, data uncovered a general lack of awareness among service providers and institutions about who is responsible for long-term operations and maintenance.

The SIT found that the indicator scores at the decentralized or “district” level were, on average the lowest of all three administrative levels.



Average indicator scores by intervention type and administrative level.

**Donors/Implementers:**

Support the national government as it clarifies the institutional arrangements and functions as described in the Constitution. The SIT review indicates that a particular focus should be on clarifying the role of Water Service Boards.

**Government/Donors/Implementers:**

Include program elements that support documentation and dissemination of national policies and the division of roles and responsibilities, with the objective of informing stakeholders and the general public.

**Government/Donors/Implementers:**

Open the dialogue between national and decentralized levels about the scale, reliability and frequency of budget disbursements to service authorities.

**Donors/Implementers:**

Support ministries’ ability to realize the resources necessary for sustainable service delivery. Data suggest that this begins with promoting life-cycle cost assessments and county level human resources self-assessments.

## KEY FINDINGS

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### KEY FINDING 3:

**Low support to and operational capacity at the county/district level was the prime contributor to the low management scores.**

Data shows limited support to decentralized authorities in all intervention categories, but found this to be particularly acute for institutional sanitation.

Local water supply management committees were found to be present and active with representative membership but were also found to operate unexpectedly weakly for WPS.

Survey data highlighted that intermittent monitoring of investments and behaviors occurs but follow up is less successful.

Financial resources are not fully available at the decentralized level to support water supply and acutely absent for institutional sanitation facilities.

## POTENTIAL ACTION

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### Government/Donors/Implementers:

Emphasize training and support elements in projects and programs that build the capacity of local government and make resources more available to the relevant county government offices, with a particular focus on mitigating the risks and challenges of institutional sanitation.

### Government/Donors/Implementers:

Support the Ministry of Health to form county sanitation and hygiene coordinating committees. Under devolution, the county is the local service authority and is positioned to monitor and report on hygiene and sanitation (school sanitation as well as general sanitation) in their jurisdiction.

### Government/Donors/Implementers:

Work with all management committees to raise their overall level of professionalism by establishing performance norms similar to those required of bankable loans.

### Government/Donors/Implementers:

Establish within local government offices the principles and practices of asset management.

### Government:

Balance the attention paid by decentralized service authorities between water supply and institutional sanitation.

## KEY FINDINGS

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### KEY FINDING 4:

**Ad hoc monitoring, follow up and support is limited by the supply of resources (human, financial) and is not responsive to need.**

Data found that relatively well-managed water supply systems still result in a low rate of sustained operation of CRS and poor hygienic conditions at institutional sanitation facilities.

Data clearly indicate that decentralized authorities are severely constrained in fulfilling their mandate for support, oversight, and integration of WASH interventions across national line ministries.

## POTENTIAL ACTION

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### Government/Donors/Implementers:

Build the ability and capacity of decentralized authorities to provide follow up monitoring and technical support to local service providers, focused on translating management into sustainable and hygienic operation.

### Government/Donors/Implementers:

Help county governments develop and use monitoring platforms. These are foundational elements of needs prioritization and decision-making.

### Government/Donors:

Work across all stakeholders and implementers to ensure that monitoring activities feed into an integrated water resource management framework.

## KEY FINDINGS

### KEY FINDING 5:

**Demand for institutional sanitation and hygiene upkeep is low, as are the resources dedicated to their operation, generating the lowest scores across all sustainability factors.**

Data identified that despite knowing their responsibility, neither school and clinic administrators nor government are allocating resources towards the costs of maintaining sanitation facilities and ensuring hygiene services.

Institutional decision-makers are prioritizing other needs (which may also be legitimate) even though there is a clear gap in maintaining existing facilities. Data uncovered that demand in the community for these services was comparatively low.

## POTENTIAL ACTION

### Government/Donors/Implementers:

Apply demand generation approaches such as sanitation marketing to improve and prioritize institutional and household sanitation. Such approaches should emphasize positive hygiene behavior change and lead to an increase in demand for sanitation services within households and institutions (i.e. schools, clinics) within the community. Specific approaches include community and/or school led total sanitation as adopted by the national government. Unfortunately, surveyed communities did not generate findings on the local success or weaknesses of the national program.

### Government:

If resources remain limited, decentralized authorities should give focused attention to improving the services at schools and health clinic.

### Government:

In conjunction, firewalled sanitation and hygiene funding from government should be made available to schools in addition to their core finances.

## KEY FINDINGS

### KEY FINDING 6:

**Fundamental accounting and financial management are limited even where tariffs are collected by local service providers.**

Data clearly identified a particular weakness among direct service providers in basic accounting skills. Water supply tariff collections are an established practice and support funding is available from governmental authorities. However survey data found that tariffs were frequently inconsistent with national norms.

Households demonstrate willingness to pay for hygiene products and their availability is widespread, however the national level commits very limited resources to their promotion.

## POTENTIAL ACTION

### Government/Donors/Implementers:

Build support capacity at the decentralized and service provider level to apply a standard financial management package to community management that is consistent with requirements of banking operations in the WASH sector.

### Government/Donors/Implementers:

Establish processes by which tariffs and financial management processes align with life-cycle costs of water supply and sanitation technologies. This will likely require addressing cultural resistance to high tariffs which more adequately reflect the true cost of services. Therefore educational campaigns and social marketing principals should be incorporated into project plans.

### Government/Donors/Implementers:

Identify ways that decentralized authorities can either directly support the unbranded promotion of hygiene products or remove business obstacles to their availability through the private sector.

## KEY FINDINGS

### KEY FINDING 7:

**Limited attention or resources are committed to environmental protection around water sources or institutional sanitation facilities.**

Document review and surveys clearly concluded that national guidelines and community practices do not support a linkage between WASH infrastructure and environmental protection resulting in a lack of integrated water resource planning.

Data found specifically that nearly no attention is given to environmental concerns of institutional sanitation facilities.

## POTENTIAL ACTION

### Government/Donors/Implementers:

The concepts embedded in Water Safety Plans and localized sanitary surveys should become adopted across sectors at the national level. Support should be provided to establish the capacity and capability to use these tools as part of integrated WASH and environmental planning at the decentralized level.

### Donor:

Remedy the gap highlighted here as the Water and Development Strategy is entirely developed within an integrated water management framework.

### Government/Donors/Implementers:

Minimal environmental standards need to be developed and a mechanism of enforcement established related to institutional sanitation facilities.

## NEXT STEPS

The objective of the WASH Sustainability Index Tool is to provide a holistic look at the likely sustainability of the services which are provided by the interventions (both hardware and software) that have been implemented under the TWB-MRB project in Kenya. The data were derived from stakeholders at all administrative levels in Kenya and clearly highlight the weaknesses and strengths with regard to the sustainability of the WASH services provided by the TWB-MRB interventions.

The key findings listed in this document and the main report should be utilized by USAID/Kenya and its implementing partners to inform future program and project design in coordination with other WASH stakeholders. We recommend that these findings are widely disseminated and used as the basis for a dialogue with national and local governments.



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## ANNEX 6: LIST OF KEY OUTPUTS FOR SIT APPLICATIONS

Application Period	Output	Publication Date	Format
USAID/RI SIT- 2012–2013	Sustainability Check of WASH Activities - Philippines Country Report (external)	Jan. 2013	44 pages
	Sustainability Check of WASH Activities - Philippines Country Report	Jul. 2012	54 pages
	Sustainability Check of WASH Activities - Ghana Country Report (external)	Jan. 2013	62 pages
	Sustainability Check of WASH Activities - Ghana Country Report	Jul. 2012	65 pages
	Sustainability Check of WASH Activities - Dominican Republic Country Report (external)	Jan. 2013	72 pages
	Sustainability Check of WASH Activities - Dominican Republic Country Report	Jul. 2012	80 pages
	Sustainability Check of WASH Activities & Alliance Evaluation - Debriefing Meeting	Jul. 2012	98 slides
	Sustainability Check of WASH Activities - Executive Summary of Findings		2 pages
	Sustainability Check of WASH Activities and Partnership Alliance Evaluation - Feedback workshop	Jun. 2012	23 slides
	Applying the Sustainability Check Tool: Lessons Learned from a Three-Country Evaluation	Jul. 2012	11 pages
	Strategic Partnership and Learning Review Micro-Level Analysis (external)	Jan. 2013	31 pages
	Strategic Partnership and Learning Review Micro-Level Analysis	Aug. 2012	6 pages
	Sustainability Check of WASH Interventions: Global Findings and Lessons Learned		10 pages
	Sustainability Check of WASH activities: Global Findings and Lessons Learned	Jul. 2012	15 pages
GLOWS - 2013	WASH Sustainability Index Tool Assessment of Activities under the TWB-MRB and iWASH Projects Report	Mar. 2014	103 pages
	WASH Sustainability Index Tool Assessment of Activities under the TWB-MRB and iWASH Projects Report	Mar. 2014	69 pages (shortened version of above)
	Sustainability Index Tool Application USAID – GLOWS: Management Memo Kenya	Mar. 2013	9 pages
	Sustainability Index Tool Application USAID – GLOWS: Management Memo Tanzania	Mar. 2013	9 pages
	WASH Sustainability Index Tool Assessment of Activities under the TWB-MRB and iWASH Projects: Feedback Workshop for TWB-MRB and iWASH	Mar. 2014	
	GLOWS - Enumerator Training for ERMIS	Oct. 2013	

Application Period	Output	Publication Date	Format
	GLOWS - Survey Manager Training for ERMIS	Oct. 2013	
CRS - 2013–2014	Sustainability Index of Rural Water Services: Burkina Faso and Niger	Aug. 2014	61 pages
	GWJ Sustainability Assessment - Policy Brief	Nov. 2014	9 pages
Water II, Ethiopia - 2015	Final outputs pending		



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