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WASH III EVALUATION

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EXECUTIVE SUMMARY

The WASH III midterm evaluation represents the third evaluation undertaken of the WASH program since its inception in 1980, as the Water Decade of the 80s began. Like its predecessors, this evaluation found that WASH III management needs to be given very high marks (Chapter 3.) Persons interviewed within and outside of AID consistently maintained that WASH was responding effectively to its needs: whether by providing timely and quality technical assistance to missions and bureaus, or by providing what was said, several times, to be outstanding leadership to the global community of WS/S professionals.

WASH III is, clearly, well managed at both the S&T/Health supervisory and WASH levels. The Project is on track according its original purpose (Chapter 1), and according to its WASH III contract scope-of-work (Chapter 2.) It is, moreover, as flexible as it needs to be, in order to respond to newly emerging directions in water supply and sanitation, as AID's programming, prompted by massive rural to urban population shifts throughout the developing world, begins to change its focus from a rural to a peri-urban and urban one.

WASH III's 24.6 million dollar earmark, brings AID's investment in Water and Sanitation for Health (WASH) to 54.8 million dollars. Yet in spite of this significant sum, the Agency continues to be without an effective health policy in the area of water and sanitation. Moreover, at its most senior levels, AID appears to be favoring a policy tack which depreciates the importance of water and sanitation for health. In so doing, the Agency seems to contradict the importance it gave to the founding of WASH when the program was established a decade ago, as well as seems to contradict the importance it currently is giving to the link between health and the environment. The WASH III evaluation team shares the concern expressed by the WASH II evaluators over the declining importance being given to water and sanitation for the Agency's health strategy, and to its omission from its child survival efforts (Chapter 4.)

The foregoing suggests a final concluding point. As the chapter on recommendations indicates (Chapter 5), the team did feel that there were some program areas which might be improved upon. But it is important to stress, that the more serious problems, such as the lack of policy guidance and collaboration between and among contractors, cannot be addressed by WASH, or by AID's project officers. While these latter can and must contribute to the discussion, the decisions are for senior management only.

It was the team's sense that the issue of policy guidance is an urgent one, and needs to be addressed immediately. In so doing AID has the opportunity to, once again, provide the global community of major donors with vitally needed leadership in an area of policy that is lagging behind.

EVALUATION METHODOLOGY

This evaluation was carried out by Medical Care Development International under the provisions of an IQC contract. The contract provided a total of 22 person days for the evaluation: 17 days for the social scientist; 5 for the engineer, a retired AID foreign service officer. In addition, two direct hire ANE Bureau employees joined the team on a part-time basis: one a health officer; the other an animal husbandry/agricultural expert.

The evaluation scope-of-work was broken down into 52 specific tasks and placed in a priority order by three working groups: by the evaluation team, by WASH staff; and by USAID project-related officers (the Division Chief and the Cognizant Technical Officer.) The results were compared and selections made on the basis of consensus (3 of 3), and majority (2 of 3) opinions relative to each of the specified tasks. Selected tasks were then assigned to the following categories: (1) Project Purpose; (2) Project Performance; (3) WASH management of Project and (4) AID Management Issues. Each selected task was also associated with individuals within and outside of USAID, who the team believed would be capable of discussing the issues relative to that particular task, and who were available for consultation. (v. Appendix I: Persons Contacted.) These were interviewed: either in person in the Washington area, or by telephone in the case of USAID missions and international organizations.

Given the shared belief of team members that it was essential to question as many users of WASH services as possible, a decision was made to telephone appropriate persons in the USAID missions and in other WS/S related organizations worldwide. Questionnaires were also designed for AID bureaus and individuals (v. appendices.)

An important part of the evaluation exercise was done towards the end of the interviews and readings, when the team exchanged impressions about conclusions and recommendations and proceeded to discuss them in order to reach a consensus -- or not -- as each case turned out to be.

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INTRODUCTION

The WASH program within USAID dates from 1980. The motivating forces behind its conception and implementation were two: 1) the large number of requests from AID missions for technical assistance in water and sanitation, and 2) in response to the United Nations' proclamation of the International Drinking Water Supply and Sanitation Decade, which called for concerted efforts to be made in water and sanitation by governments and major donors during the 1980s, in order to increase the number of people with access to adequate water and sanitation facilities. Since technical assistance was perceived as a pressing need, the WASH project was devised as a more efficient system of delivering such assistance.

The initial four year WASH I contract was awarded to Camp Dresser and McKee (CDM), at a \$13 million dollar core funding level, as were the subsequent WASH II (\$17.2 million) and III (\$24.6 million) contracts.

Utilizing a rapid response model for addressing USAID mission and bureau requests (a capability which was facilitated by a USAID procurement policy environment which allowed for a rapid response policy to function effectively) WASH soon gained the reputation of being able to respond rapidly to requests from missions for technical assistance in water and sanitation. However during the time that the WASH II contract was coming to a close, the Agency's Procurement Office, at the insistence of the Comptroller's Office, added additional contract requirements in order to better account for PIO/T requests approved for contract amendments. These new requirements increased WASH's response time from approximately two to six-eight weeks. The new procurement policies ended WASH's ability to respond rapidly to mission and bureau requests when a buy-in was the funding mechanism: i.e., bilateral buy-ins where those negatively affected.

While two evaluations were allocated for each of the WASH contracts (mid and final), only one was done for WASH I and II: both of them at the midterm. Both evaluations gave the project very high marks, an opinion that was shared by most informants contacted during the course of this WASH III midterm evaluation.

An overarching concern of the WASH II evaluation was the declining importance of WS&S for the Agency's health strategy, and its omission from USAID's child survival program.

Over the course of the past evaluations numerous recommendations were made, most of them of a supportive nature. The WASH I recommendations suggested placing stronger and additional emphasis on the "softer" aspects of water and sanitation programming, i.e., health education, behavior modification, including bringing about the greater utilization of women in project planning, operations and maintenance, and in urban and peri-urban efforts. The

principal recommendations of the WASH II final evaluation vaguely suggested the need for a total program strategy which would guide the contractor along these lines in allocating WASH resources (its Technical Assistance) into Agency priority areas determined by sector.

The emphasis of the WASH III contract, as indicated by task response, suggests strongly that many of these Agency concerns are being addressed. Since the beginning of the WASH III contract (to August 2, 1990), WASH has responded to a total of 171 task requests, numerous of which address concerns about finance and cost recovery, peri-urban and urban water and sanitation needs, and environmental protection, including solid waste disposal.

CHAPTER ONE: WASH PURPOSE ANALYSIS

The logical framework of the WASH III Project Paper describes the project purpose as follows:

"In conjunction with host country projects, to establish (or improve) effective, replicative, self-sustaining water supply and sanitation systems in child survival and other USAID-assisted programs during the life of the project."

Put another way, the purpose of the WASH program is to provide technical assistance to the USAID missions and bureaus in the water and sanitation sector, and to be the institutional memory of that experience.

However, both statements-of-purpose fail to convey those aspects of the WASH program which have developed over the years as lessons were learned and implemented; resulting in an understanding of that purpose greater than what was originally conceived in the design of WASH I. This is a common feature of many successful programs, whether in the public or private sectors, or whether in a for-profit or non-profit context.

From the beginning, the linkage of water to health was clear and unquestioned, and in this followed a tradition of countless centuries in which the relationship was accepted as self-evident. Early on in the design phase, it was understood that the reason why AID was about to set out on a massive investment was to improve the health of beneficiary populations: especially its youngest children, i.e., Child Survival. But in the context of implementing WASH, a central lesson was learned, namely, the importance of developing responsible host country institutions in all aspects of the provision of adequate water and sanitation systems, and the corresponding development of the human resources needed to manage, administer and maintain them. This is, of course, Institutional Development and Human Resource Development (ID/HRD), which are generally regarded as the indispensable keys for sustaining the program in an indefinite future.

In 1979, when it was becoming apparent that USAID was facing a rapidly expanding portfolio of water and sanitation activities, the Agency developed a WASH program model which combined what was regarded to be the best elements of contracting methods: IQC, purchase orders and university grants. In 1982 mission and bureau buy-ins were added as a shared funding mechanism.

The model worked easily in the beginning of WASH I, as procurement contracting was simple (but inadequate from an accounting point of view) and the response time a short one -- something which changed significantly during the WASH II contract, when the Comptroller's office insisted that the accounting for contract amendments be tightened up. This was an Agency-wide decision, and had nothing to

do with any accounting weakness in the WASH program.

Since the beginning, engineers have played a major role in the program's design and administration. Some appear to have seen the WASH program as a replacement for AID's office of Engineering and Community Water Supply Division housed within the Office of Health. USAID's engineering office was phased out as the WASH I contract came to an end in 1984.

Given the context of the WASH project (USAID) and the sensitivity of many AID middle management staff (many of whom are former Peace Corps Volunteers) to the social consequences of interventions from sources external to intervention sites, an important element within AID came to press for the recruitment of social scientists, and this impacted early on in WASH's history. For example, the WASH deputy director, nine years with the program, is a social geographer and was originally hired as a social scientist; other full time staff were also social scientists, and appropriate social scientists were used in consulting roles frequently.

With respect to purpose, then, WASH began to expand its purpose to include the notion that water and sanitation systems needed to be built and maintained in a way that was appropriate not only to the physical conditions of the place, but in conformity to social conditions; and that the successful maintenance of water and sanitation systems was, at least, as much a task for social scientists and educators as it was for engineers.

CHAPTER TWO: OUTPUT ANALYSIS

According to the WASH III logical framework, the outputs are considered to be the following:

- o water supply and sanitation institutions
- o water supply and sanitation facilities
- o water supply and sanitation technologies
- o personnel recruitment and placement
- o management and systematic administration

The WASH III contract scope-of-work is more specific, but does not quantify the outputs. It lists the following:

- o design and redesign of projects;
- o analyses of critical problems and recommendations of their solutions;
- o evaluations of AID-financed WS/S for health projects;
- o assessments of national WS/S for health sectors;
- o analyses of regional and sub-regional trends and long-range strategic issues;
- o information sharing among USAID personnel and their counterparts;
- o knowledge sharing with projects and international centers;
- o training for WS/S for health professionals.

As WASH III got underway, it was expected that water and sanitation projects, or components of projects, would be improved (according to the PP) "in selected countries" through buy-ins. Core S&T/Health funds were used to get projects going. Buy-ins followed. As WASH learned about the financial capability of different missions to buy-in to WASH services (or not -- whichever the case was) negotiations proceeded accordingly. WASH insisted on buy-ins from missions where funds were available, such as Egypt and El Salvador, and used its core S&T/Health funding to provide services to missions which didn't have funds (e.g., the African countries of Swaziland and Tanzania.)

While the team understood the need to conform to fiscal and political realities, it was nevertheless felt that WASH and AID needed to see that S&T core funding be used extensively to augment the resources of those countries with the greatest water and sanitation needs regardless of their ability to pay.

Also included in the SOW was a series of general training programs, and the introduction of new water supply and sanitation technologies. An essential responsibility was backstopping, with technical assistance, over one billion dollars worth of water and sanitation "investments" made in WS/S since the beginning of the WASH program.

WASH III outputs were analyzed by categorizing the 171 different tasks undertaken during the past 22 months into seven categories: Operations and Maintenance (O&M), Health, ID/HRD, Engineering, Financial Management, Community Participation, Information, and Administration & Coordination (Table 1.)

91 tasks were undertaken during FY 89: (only one task was canceled; 7 were considered to be initial steps for other tasks.) 80 tasks were initiated during the first ten months of FY 90 (to August 6, 1990.)

TABLE 1: WASH III Task Components During FY 1989 and FY 1990
(10 months)

<u>Task Category</u>	<u>Pers-Days</u>	<u>%</u>	<u>\$ Used</u> (000s)	<u>\$ Approved</u> (000s)
O&M	767	13.4	462.0	650.0
Health	825	14.4	455.0	578.0
ID/HRD	1,284	22.4	854.0	1,147.0
Engineering	836	14.6	505.0	600.0
Financial	662	11.5	397.0	597.0
Comm. Partic.	420	7.3	228.0	339.0
<u>Information</u>	<u>942</u>	<u>16.4</u>	<u>483.0</u>	<u>606.0</u>
TOTALS	5,736	100.0	3,384.0	4,517.0

As the data of Table 1 indicate, and the corresponding Graph 1 illustrates, the tasks run the full range of development activities. They include technical assistance for all aspects of water supply and sanitation (WS/S) project management, including water system designs, their operation and maintenance (O&M) and what WASH believes to be the essentially related institutional and human resource development (ID/HRD). Embedded in the tasks is social science research assistance in a wide range of fields which include economic benefits, women-in-development issues, the design of strategies for health, education, information management, training programs, and social marketing, the latter in its most comprehensive sense, i.e., the marketing and promotion of WS/S projects.

In terms of effort measured in person-days, Table 1 shows that the provision of engineering technical assistance for the design and implementation of water and sanitation projects ranks third

¹ The percentages of Table 1 and Graph 1 are not identical because they were calculated at different dates: the graph as of 30 June; the table about 5 weeks later.

GRAPH 1: WASH III ASSISTANCE BY TYPE OF WORK
(ITD Expenditures as of 30 June 1990)

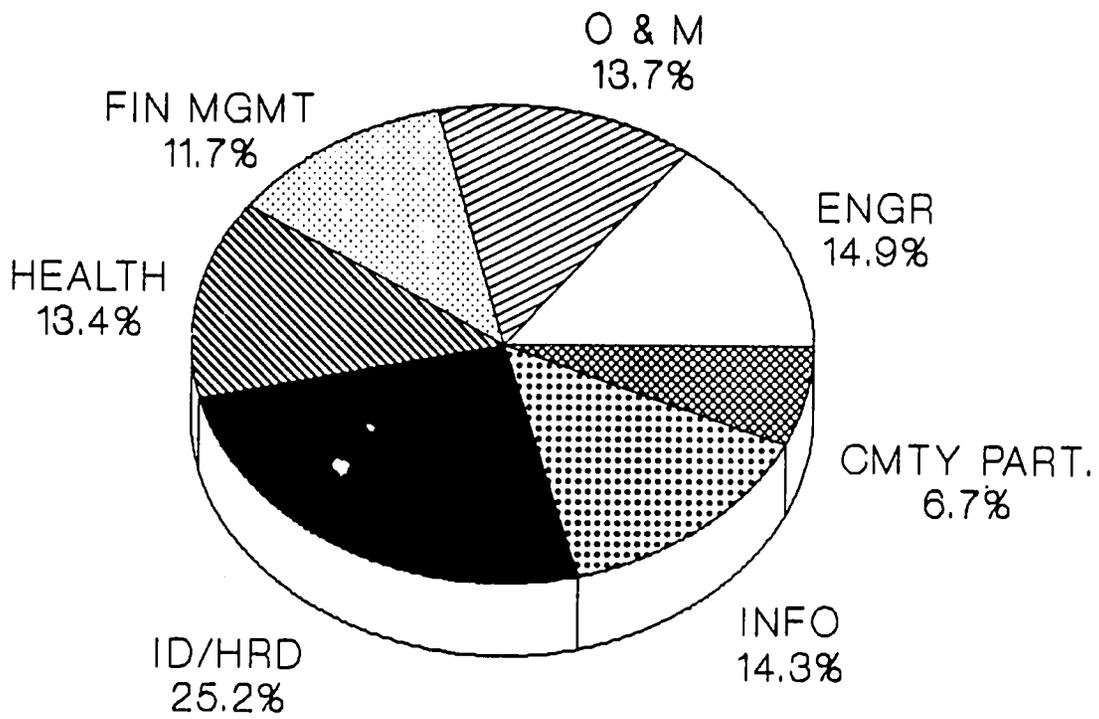


TABLE 2: TELEPHONE SURVEY OF SELECTED USAID MISSIONS

USAID III MIDTERM EVALUATION
TELEPHONE SURVEY CJ
SELECTED USAID MISSIONS

Type of services used	Belize	Bolivia	Rhodes Ecuador	Ecuador	Egypt	El Salvador	Guatemala	Haiti	Honduras	Jamaica	Oman	Peru	Sri Lanka	Togo	Tunisia	Yemen	Zaire	Average
	TA, Eval	TA	TA	PID, PP, TA, Eval			Eval	PP, TA, Eval	Research, TA	TA, Implement		Eval	TA, Eval		TA, Eval			
1. Timeliness of response	5	4	4	5		5	4	5	N/A	5		5						4.7
2. Appropriateness of response	5	4	5	5		4	4	5	N/A	4		5			5	5		4.6
3. Prof/tech. capabilities of consultants	5	4	5	5		4	4	5	N/A	5		5			5	5		4.6
4. Quality of output/product	4	5	4	5		5	4	5	5	5		4			4	5		4.6
5. Relations with host country nationals	5	5	4	4			4	5	N/A	4		4			4	5		4.5
6. Cost recovery	N/A	N/A	5	N/A			5	5	5	4		5	N/A	N/A		5		4.7
7. Institutional development	4	3	N/A	5			N/A	3	N/A	3		4	N/A		5			4.5
8. Human resources development	4	5	N/A	N/A			5	4	N/A	3		4	N/A		5			4.7
9. Scope of services offered	5	4	5	5		4	5	4	4	4		4		4	N/A			4.1
10. Collaboration/relations with missions	5	5	5	5		5	5	5	5	5		5		5	5	5		4.9
11. Collaboration/relations with NGOs	5	5	5	4		4	4	5	5	4		5		5	5	5		4.7
12. Compared with others (NGOs, TA, Contractors)																		4.9
13. Timeliness of response	5	4	4	5		5	3	5	N/A	4		3						4.3
14. Appropriateness of response	4	N/A	5	5		4	3	5	N/A	4		3				5		4.4
15. Prof/tech. capabilities of consultants	4	4	5	5		4	N/A	5	N/A	5		3			5	5		4.4
16. Quality of output/product	4	3	4	5		5	N/A	5	4	4		3		5	4	5		4.3
17. Relating and working with NGOs	5	4	4	5		4	4	5	N/A	4		4		4	4	5		4.3
18. Project planning and design	4	3	N/A	4		5	N/A	4	4	4		4		5	5			4.3
19. Project implementation	4	4	N/A	N/A		5	N/A	4	4	4		N/A						4.5
20. Project evaluation	5	4	N/A	4		5	5	4	4	4		N/A						4.8
21. Engineering/hardware	5	5	N/A	4		4	5	5	5	N/A		4			5			4.3
22. MEd	4	3	N/A	4			5	5	5	4		N/A			5			4.6
23. O&M	5	5	N/A	N/A			4	5	4	N/A		N/A			N/A			4.9
24. MIB	4	3	3	5			4	5	3	4		N/A		4	N/A	3		3.9
25. Dissemination of information	5	5	4	4			N/A	4	4	3		N/A			N/A			4.7
26. Managing field teams	5	5	5	4		5	N/A	4	5	4		5			5			4.5
27. Technology transfer	4	N/A	5	4			N/A	4	4	4		5						4.6
28. Guidelines for:												N/A			N/A			4.2
29. Training																		
30. Assessments		5	N/A	5														
31. Evaluation	5	4		5				4	4							4		4.4
MISSION SCORES	4.6	4.3	4.5	4.7		4.3	4.4	4.6	4.5	4.0		4.3		4.5	4.7			4.5
																		4.8

100

in a field of eight: 14.6 percent of WASH's total task effort of 5,736 person days, as opposed to ID/HRD with 22.4 percent, and O&M with 13.4 percent. This represents a significant change over the life of the project.

The above data contrast dramatically with the data from WASH I, during which time engineering tasks held the number one spot, and required a corresponding number of person-days. Such a situation was regarded as normal for a program which was held by many at that time to be, fundamentally, AID's new engineering division for water supply and sanitation.

That the focus of WASH has changed over the years from an engineering task concentration to one which emphasizes the need for the kind of tasks which foster sustainability of water supply and sanitation systems is not surprising. Probably the most significant lesson learned by the development community worldwide is that the hardware needs of development become colossal wastes of financial and human resources if their operation, maintenance and proper usage are not built in to their designs and implementation for the several levels at which they will be managed, administered and utilized, namely at the ministerial, regional and community levels.

Hand pumps which do not pump, for example, are not simply broken water pumps, but serve as negative symbols which continually call peoples' attention to their poverty and their failure to move beyond it. Given the importance of confidence for any step in the development of the human animal and the communities they live in, it is important that negative symbols be kept to a minimum if they cannot be completely eliminated. In whatever form and at whatever level, "success stories" do, indeed, build morale and drive the dedicated to greater endeavors and accomplishments; failures work in the reverse.

It is well known in the management sciences that the public recognition of success is the fundamental requirement for significant progress in any area of employee productivity. An a fortiori case can be made for the argument in the case of Third World public service officials, and for people of poor communities and neighborhoods.

WASH needs to persuade USAID missions of the importance of appropriate award programs for LDCs, at both the employee and community volunteer levels. (Of course, these need to be implemented by LDC institutions: both private and public ones.) Award programs have as their aim the public recognition of contributions made by individuals, institutions, and communities to the operations and maintenance of water and sanitation systems. This is done in order to increase the level of an employee's and/or citizen's sense of dedication and satisfaction, both of which, management science has learned, are essential for

significantly increasing employee productivity in a wide range of manufacturing and commercial environments. So important has this aspect of personnel management become for increasing productivity in European and Asian Basin companies, that some management science consulting firms are dedicating themselves exclusively to assessing employee satisfaction-dedication levels, in order to address those problems which impact negatively on employee dedication and job satisfaction.

Given the dramatic change in WASH's level of effort in institutional and human resource development and in operations and maintenance since the WASH I, one needs to conclude that WASH III has learned significant development lessons, including the importance for O&M of increasing employee satisfaction and dedication levels at the institution and community levels. These efforts will, surely, make water and sanitation efforts more sustainable, and will result in a significant improvement in WS/S systems operations and maintenance. WASH should further explore the possible uses of employee dedication/satisfaction analyses for bettering the operations and maintenance aspects of LDC water supply and sanitation institutions.

CHAPTER THREE: WASH PROJECT MANAGEMENT

The quality of any service or product ultimately depends on the satisfaction and utility which the end-user has obtained from it. It is generally assumed that when a significant number of people are satisfied with a firm's service, then the management activities of that firm must also be good. In a recent (August 15, 1990) review of the S&T portfolio by the three regional bureau technical offices, the CDM WASH program was ranked third in a field of 26.

3.1 Method For This Evaluation

The basic method used during the evaluation was to ask about what were determined to be significant management categories. The complete list of management activities/categories about which opinions were asked are listed on Table 2 (Telephone Survey of Selected USAID Missions.) Those categories include the following:

- o Timeliness and appropriateness of WASH's response to requests for assistance;
- o Professional capabilities of consultants used;
- o Quality of the task output;
- o Ability to relate to and work with host country nationals;
- o Project sustainability in terms of cost recovery, ID/HRD, and O&M;
- o Scope of services offered;
- o Relationships with mission and host country officials;
- o Other IQC and TA contractors;
- o Sensitivity to WID issues;
- o Management of its field operations;
- o The effectiveness of its technology transfer methods;
- o The competency of WASH core staff;

Management opinions were also requested of AID/W Regional Bureaus (Bureau Views of WASH Operations: Appendix 2); of selected international WS/S and health related organizations (Appendix 3); and via questions to S&T/Health (Questionnaire 1); WASH (Questionnaire 2), and to the missions (Questionnaire 3 -- tallied in Table 2.)

As a perusal of Table 2 and the questionnaire recaps indicate (appendices 2 and 3), the clear majority of responses by end-users to inquiries relative to Camp Dresser and McKee's management of the WASH project, was consistently on the high side. Table 2 points this out. On a scale of 1 to 5 (with 5 being the top rating) the range of services provided by WASH to the USAID missions were rated at average levels ranging from a low of 3.8 for cost recovery, to a high of 4.9 for engineering/hardware and collaboration/relations-with-mission

categories. The majority of respondents representing their missions rated WASH at an average of 4.5: from a low of 4.0 (Jamaica), to a high of 4.7 (Ecuador and Tunisia).

Of 31 management categories, WASH was rated at 4.5 and above in 15 categories (48.4 percent); at 4.0 and above in 25 categories (80.6 percent); and at 100 percent above the 3.8 level. With few exceptions the ratings of AID/W persons were at the 5.0 level.

Contract Scope-of-Work

After roughly 23 months into the WASH III contract, WASH has filled requests for all technical areas indicated in the contract SOW. According to the level of effort specified in WASH's contract SOW, one needs to conclude that, in general, WASH is on target. The data for specific areas shows that it is ahead in some areas and lagging in others, as Table 3 shows.

Table 3 Technical Assistance Provided by WASH III

<u>TA Requested by SOW</u>	<u>% Estimated by SOW</u>	<u>% To Date</u>
Public Health/Comm.Participation	15%	21.7%
ID/HDR	25%	22.4%
Engineering (includes O&M)	35%	28.0%
Financial Management	15%	11.5%
Information Services	10%	16.4%
	-----	-----
	100. %	100. %
	=====	=====

3.2 Findings:

3.2.1 Topical Areas Assigned to WASH Core Staff

As shown on the WASH organizational chart (Appendix 4), the following topical areas of responsibility are assigned to specific staff members in the Washington office:

- a) Environmental Health (Environment)
- b) Institutional and Human Resources Development
- c) Engineering
- d) Technology Transfer
- e) Operation and Maintenance (O&M)
- f) Community Participation
- g) Hygiene Education
- h) Financial/Management Systems
- i) Information Management

Due to time limitations and the absence of some staff, interviews were held only with those staff persons who were readily available. However, information was obtained on the responsibilities of other positions, and these are described below.

3.2.2 Environment: In keeping with the emerging interest in AID on the subject of the environment, WASH III was authorized to undertake technical assistance projects in solid waste management and environmental protection, in the context of AID's general effort to confront the broader issues of environmental degradation and the depletion of natural resources. Accordingly, WASH was recently requested to perform environmental assessments in solid and industrial wastes in Ecuador and in El Salvador. These activities represent a departure from the more traditional WS&S tasks and their linkages to conventional health issues that have been the mainstay of WASH. They demonstrate the project's ability to respond to the shifting interests and needs of AID which finds itself facing new challenges in a world of rapid change.

3.2.3 Engineering: From the very beginning, the philosophy of the WASH project was to provide technical assistance to host country governments in the developing world. The WASH project was not created to directly implement AID sponsored projects. Its purpose is to, rather, provide assistance to USAID field missions and host country agencies in identifying, planning, implementing, and evaluating WS&S Programs and projects.

Another aspect of WASH's engineering activities is that over its ten-year life it has experienced a significant decline in the number of requests coming in from field Mission for strictly engineering tasks. During the early years of WASH I, engineering tasks represented most of WASH's total tasks. During WASH II the number of engineering tasks decreased significantly. During these first 22 months of WASH III, they have come to represent approximately 35 percent of the total tasks (Table 3.)

However, these percentages do not give a completely accurate picture of the decline in the actual volume of strictly engineering activities as they include a great amount of non-engineering assistance such as institutional development and human resources development.

With respect to the contract, the SOW combines engineering and operations and maintenance (O&M). During the evaluation team's analysis of the tasks, however, O&M was considered as a category apart from engineering. In the context of that distinction O&M tasks were calculated at 13.4 percent of the total person-days used to undertake the tasks requested by USAID missions and bureaus, against 14.6 percent for engineering tasks (v. Table 1.)

3.2.4 Technology Transfer

The WASH conception of technology is broad. It includes not simply hardware and the appropriate information explaining the use, operation and maintenance of the hardware (the software), but what WASH terms the problem-oriented feature of its broad definition -- namely the combination of hardware and software in identifying and solving problems that have technical solutions.

WASH continues to get requests for information on a few state-of-the-art engineering topics such as desalination, rainwater harvesting, surface water treatment, pump and drilling rig selection, latrine design, and for the design and conduct of information workshops associated with these. WASH has also assisted in making a comparative study between solar, wind and diesel powered pumps and handpumps in Botswana. However, it needs to be stressed that technology transfer for WASH also includes the softer aspects of the problem, such as how to establish documentation centers.

The conduct of information workshops is known to be especially significant for the technology transfer of the full range of WS/S related subjects, as workshops are the principal means by which information of all sorts is conveyed generally, including to LDC persons charged with water and sanitation responsibilities. Especially when dealing with lower level para-professionals, workshop trainers and trainer-of-trainers should be those with the shortest social distance from targeted workshop participants.

This implies that local/in-country professionals or para-professionals be selected, whenever possible, as the means whereby new technology is transferred to the people of developing nations. In the exercise of this teaching function, local trainers and consultants build up their combined fund of knowledge, becoming the repository of technical knowledge and experience for their country and region. They also build up their confidence in their ability to master new technologies, and confidence in the institutions they represent. The importance of confidence building for successful development in any profession and at any level cannot be overstated.

In the course of gathering data on the extent to which WASH II recommendations were complied with by WASH III, it was indicated that while efforts were being made to recruit and utilize greater numbers of qualified indigenous professionals and para-professionals by WASH, more still needs to be done. WASH needs to make a greater effort to identify indigenous professionals and para-professionals for its training and technical assignments in LDCs.

3.2.5 Institutional and Human Resource Development (ID/HRD)

The current state of ID/HRD at WASH is an outgrowth of its ten year experience in providing technical assistance in the WS/S sector. While WASH acknowledges that keeping pace with engineering technology is a fundamental expectation of its market, it also makes the point that "... failures in water supply and sanitation tend to be less with technology than with people and institutions" (WASH Catalog: II-1.) Such a situation is well known. In countless examples the breakdown of water and sanitation service can be usually traced to the failure of individuals and/or institutions to do their job.

True to that knowledge, the WASH ID/HRD program focuses its efforts on two principal tasks: 1) to develop and/or enhance critical facets of an institution's work directly associated with the provision of water and sanitation systems, and 2) to teach/train those people who work in and with the institutions mentioned in the first task.

The first task refers to the management, financing, staffing, design work, system operation and system maintenance aspects of the institution's functions; the second to the appropriate training of the individuals which will carry out the functions of the institutions. ID/HRD, then, focuses on public and/or private institutions of the water and sanitation sector, and on the short and long term training of the people who make up those institutions.

There is another aspect of institutional development which is beyond the purview of the WASH ID/HRD program, but which has a high potential for contributing to the effort to improve the operations and maintenance aspects of many water and sanitation institutions in numerous communities. For want of agreed upon terms, these can be called traditional and/or de facto social institutions, to distinguish them from formal or de jure (legally established) social institutions, such as a utility company, firefighters, police, etc. They are familiar to WASH and utilized in WASH Community Participation efforts as indicated in the WASH literature on that subject. It is clear from that literature that many marketing efforts are carried on by WASH in order to develop a sense of the proper and increased use, payment for, and maintenance of WS/S facilities. In the WASH literature de facto social institutions are referred to by the terms "community leaders," and "existing structures."

Many such de facto social institutions can be quite invisible to the outsider who has not learned how to see them. Established by tradition, these social institutions have a social life of their own. Depending on the community, many can be of great assistance to a wide range of programs designed to benefit communities. Many potentially good programs have had a difficult time being

successful because they either did not know these social institutions existed, or regarded them as insignificant for the needs of a project. One such de facto social institution is midwives -- one of the most important in rural areas. Others are native curers, groups of community elders, cofradias, church/mosque/temple institutions, schools and their teachers, plantations and planters, physicians, money lenders: and in some places even organized criminals, etc. Obviously, each needs to be worked with in different ways, and some cannot be worked with at all.

The importance of specific social institutions for WS/S interventions will vary from community to community and from culture to culture. While they are generally important in rural areas, some will also be found to be significant for peri-urban and urban areas, especially in those sections/neighborhoods where makeshift dwellings without water and sanitation shelter hundreds of thousands. The relevance of social institutions for a planned WS/S intervention needs to be determined in each case. But as WASH well knows for Community Development, these groups cannot be ignored in the general scheme of things, but need to be considered for their relevance not only to Community Development efforts, but for their real or potential relationships to those institutions and persons which fall within the purview of WASH's ID/HRD program, and for their relevance as one more element in the on-going effort to achieve the sustainability of WS/S institutions. WASH should seek ways to utilize its experience with social institutions in community development to its work in ID/HRD.

3.2.6 Operation & Maintenance

WASH has made some solid contributions in O&M. It has developed guidelines which are helpful in both planning and evaluating O&M systems. As has been indicated, WASH has shifted its focus from the "hardware" side of O&M to that concerning the human and socio-cultural elements in order to increase the efficiency and productivity of O&M workers in operating and managing WS/S systems, and in maintaining them. Doing so is part and parcel of its ID/HRD activities. There is the realization that institutional and human resources development activities must be carefully planned as an integral part of all WS&S projects and that they be finely tuned to reflect and respond to the special conditions that exist in the field.

These conditions are, frequently, very difficult ones -- even in developed countries. In the best of situations, day-after-day operations management is, generally a thankless and tedious activity, where worker dissatisfaction runs high and motivation low. Both factors have a drastic and negative affect on worker productivity in all areas of production and service, but

especially on what is regarded by many to be the most important: the maintenance of WS/S facilities -- certainly one of the aspects of WS/S activity that is said to be most neglected in LDCs. Based on management science literature which shows that worker productivity increases relative to levels of satisfaction with job performance, the positive impact of ID/HRD on operations management and maintenance is probably very high. However, as the literature reviewed during the evaluation did not specify the effects of ID/HRD activity for O&M, it should be examined in a rapid assessment format between facilities where ID/HRD programs have been implemented and in those facilities where they have not been.

3.2.7 Community Participation

Given the WASH experience in rural areas, the Project is keenly aware of the importance of involving local communities in the management of local WS/S systems. The literature on the issue which it has produced treats community participation as the single most important feature for successful water interventions. In a real sense securing the participation of a community is marketing of WS/S products at its best, as its intended outcome is the increased and proper use of WS/S systems in order that the quality of life of those communities be raised. Countless examples of poorly maintained and/or broken rural water systems worldwide attest, that without community participation, community water interventions fail consistently. Not only are capital costs unable to be recovered, but even user fees are unable to be collected. WASH sees solutions for community participation in terms of realistic long-term combination of on-going health education, and ID/HRD, a term which includes a wide range of interests. According to WASH thinking, successful community participation requires many elements, most of them "soft" rather than "hard" elements. These include the successful recruitment of community members; community organizing; successful negotiations with authorities by community members; training; health education; fee schedules/cost recovery; operations and maintenance.

WASH is making sound theoretical contributions to the area of community participation studies. One paper cautions against an indiscriminating acceptance of data from willingness to pay studies: namely that how people respond to a questionnaires about willingness-to-pay, is no clear indication of what people will or will not pay for. A striking worldwide example of this can be seen in thousands of the worst slum neighborhoods of LDC cities, where potable water costs, in coin or in-kind, represent a significant expense: against costs that are insignificant for many households with piped water.

3.2.8 Hygiene Education

As indicated in the preceding section, WASH needs to be given high marks regarding its sensitivity to the need for appropriate health education. Just prior to the start of this evaluation exercise, WASH hired a physician trained in epidemiology and environmental health issues, including water and sanitation. His task includes working on health education issues with all WASH technical staff. In this he works closely with the WASH social anthropologist. But as indicated above, WASH has a comprehensive view of health education. In the WASH scheme of things, health education does not take place in a vacuum. As such, it includes all of those aspects described under Community Participation.

S&T/Health has a centrally funded Health Communication project (HEALTHCOM) whose expertise is in the field of health education. The project includes the use of numerous communication methods, including radio. Its specific interventions, however, do not include water and sanitation, although the technical capabilities of its technical staff is believed capable of providing it as such, and not only in relation to oral rehydration therapy (ORT) which has been a major thrust of HEALTHCOM. In the course of the interviews, several expressed the need for HEALTHCOM and WASH to collaborate on this. Without that hook-up, duplication of effort cannot be avoided, as health education is a fundamental requirement of WASH efforts to modify that water-use related human behavior which is detrimental for health maintenance. The issue of collaboration will be treated more fully in the chapter on AID management, as WASH (and other centrally funded projects) is helpless to bring it about under its mandate. The collaboration of centrally funded projects can only be brought about if AID management forces the issue.

3.2.9 Program Sustainability

It has been known for many years that program sustainability requires an essential tripod of technical assistance in the fields of cost recovery, institutional and human resource development, and community participation. The latter is probably true of urban as well as rural and peri-urban projects where it does occur in varying degrees of success. However, the definition of "community participation" in urban contexts has not yet been well thought out. It probably needs to include private firms in both formal and informal sectors (v. discussion below under Private Sector). Long experience in the search for sustainability indicates that each leg of the Technical Assistance tripod is difficult to achieve: it is much more difficult as a tripod. One reason is that in-depth efforts at

developing the TA tripod are relatively new, and researchers inexperienced.

With respect to cost recovery, the WASH materials on willingness-to-pay is excellent and insightful. The issue of cost recovery is being addressed by WASH by its economist. A soon to be published paper (M. Yacoub: Community Self-Financing of Water Supply and Sanitation: Promises and Pitfalls) warns that "willingness-to-pay" must not be understood to mean "ability-to-pay," something which appears to be the impression which some members of the development community have gotten. WASH's leadership in this difficult area of sustainability is noteworthy.

The position of AID, World Bank and other major donors, all agree that to the greatest extent possible, WS/S costs need to be borne by those who use the services. If not from them, then they need to come either from taxes or other revenues. Paying for such services, even by those easily able to pay for them, is not a popular notion in many communities where the idea is dominant that water is a God-given "right."

A well known phenomenon in many urban and peri-urban slum neighborhoods of the Third World is the "poorest-of-the-poor" paying seemingly prohibitive amounts for potable water within the context of the informal economy. The cost of such water (sold in buckets and 5 gallon jerry cans) is many times more costly than paid for municipal piped water.

WASH senior staff are involved in brainstorming the preceding and other aspects of the cost issue, including cost recovery. It does this from different professional points of view proper to engineers, financial analysts, economists, and other social scientists -- especially at the peri-urban and urban levels which AID is rapidly moving into. These discussions include cost recovery issues such as sliding fee scales, coupon systems, and the use of investment earnings for partial subsidies. WASH needs to continue its efforts in these areas.

3.2.10 Private Sector Initiatives

WASH is an AID project managed by Camp Dresser and McKee International, a large private sector engineering firm. As such it is knowledgeable of private sector initiatives at that level. Moreover, the record of lessons learned by WASH about the private sector in the recently printed Lessons Learned book (1990) also indicates that WASH has a good understanding of the private sector in LDC contexts. This understanding of the Third World private sector provides WASH with an important opportunity to lead the WS/S community and motivate it to increase its efforts in the search for solutions to a wide range of problems

about cost recovery, sustainability, appropriate engineering technology, etc., both in the formal and informal sector of LDC national economies relative to WS/S problems. As we know, the informal sector is not simply comprised of street market vendors and other micro level entrepreneurs. It also includes builders, some of whom drill wells, build small makeshift dams, channel stream and river water, etc.

Given the intense competition for scant resources, LDC city markets are buyer's markets in a multitude of market sectors. Depending on the city, of course, there is, frequently a great range of high quality services, including those informal sector services described above, which are directly related to WS/S needs: but also good engineering services, including those fitting for WS/S operations and maintenance; ethnographic and survey research; financial analysis; management and community worker/volunteer training capabilities, builders/drillers, manufacturers (e.g., foundries), etc. The team was in agreement that, with exceptions (more in some countries than others) private sector nationals can provide many quality services to development projects as competently as many of the expatriates regularly used by major donors, and that this should continue to be a WASH policy to the fullest extent possible.

In other words, both the informal and formal sectors have a great need for technical assistance in the area of WS/S. Because it has attained unquestioned leadership role in WS/S, the team felt that WASH needs to undertake some innovative and bold WS/S initiatives in this important area.

As was suggested above, sustainability is a continuing search. In the course of that search the team felt that WASH also needs to explore the possibility of working more closely with the large contractors of the formal sector, especially in urban contexts, as it seems clear that with increasing rural to urban population shifts, AID will be in cities to an extent that it has not been previously.

Such initiatives, however, cannot be made by WASH. WASH needs to be invited by the missions to do this. USAID missions need to initiate the requests which will get WASH working with the appropriate private sector firms of LDCs.

It is precisely at this point that a good marketing program needs to come into the picture. In fact, consumers, in spite of very real needs, frequently are unaware of how important needs can be filled. The seller/marketer needs to go the consumer -- which in all cases mentioned begins with the USAID missions. In other words, WASH needs to add another angle to the general marketing plan implied in its Annual Work Plan: one which will help USAID missions accomplish their respective annual plans in ways that are interpreted by S&T/Health and WASH collaboratively. Again,

WASH cannot make the necessary decisions which will bring such an initiative about, beyond initiating discussions with AID/S&T/Health: and this it should do.

3.2.11 WASH Dependency on AID/S&T Management

As indicated, in many of the management areas discussed above, WASH cannot move alone. The involvement of AID/S&T/Health and the AID/CTO is essential. As the chapter on AID management will discuss, several of WASH's most pressing problems stem from management problems at the level of AID/S&T and higher. With respect to exploring closer collaboration with the private sector, discussions need to be held with top level AID management who have the authority to make the appropriate decisions, such as -- for example -- getting the AID Procurement Office to amend the WASH contract in order to better facilitate collaboration with the private and public sector, as well as with other centrally funded contractors. As the contract stands, WASH is impeded from marketing its services to several components within the development market, including UNDP, the World Bank, JICA, GTZ and other major donors: many of them private and powerful philanthropic foundations dedicated to human development.

This did not appear to any of the team members to be a good use of a technical resource which, in a real sense, is the premier game in town; and which has taken almost a decade to develop into a highly regarded and efficient operation that clearly understands that the hard and soft faces of human development activities are but the two sides of a single coin.

3.2.12 Publications

Based on an analysis of where WASH papers were published and read, and on responses to questionnaires, interviews and the team's personal observations and experiences, an impression emerged that WASH was publishing more literature than was necessary. Some of the persons interviewed maintained that much of what they receive from WASH is never read. It was emphasized by numerous respondents, that much of what WASH publishes is first rate: of the kind that has contributed to its international reputation as an outstanding WS/S organization. However, it was also said that a significant number of its publications made little contribution. Part of the problem was felt by the team to be a tendency for many major centrally funded projects to feel compelled to publish, or otherwise print, a huge quantity of materials -- almost by the pound -- in order to meet what is sometimes regarded to be a requirement of the contract. Much of it is not read by those who receive it. This, of course, needs to be avoided.

WASH is addressing this problem. A memorandum from the WASH staff person charged with the distribution of the WASH Progress Report, describes efforts being made to cut back on the number of copies sent. The number of informants/respondents who commented on this would suggest that the kind of selectivity being practiced with respect to the Progress Report, needs also to be practiced with other publications. This is also being done. WASH regularly surveys its mailing list in order to determine who does not wish to receive them. The team felt that a more concerted effort needs to be made to determine the level of unwanted publications. A relatively easy and inexpensive way to determine whether or not persons and organizations on WASH mailing lists wish to receive WASH publications, is to craft a very brief (5-7 questions) survey questionnaire asking about it. This simple and "friendly" questionnaire (i.e., will probably get a high response rate) can be piggy-backed with the next normally scheduled mailings.

In terms of new publishing initiatives which might enable WASH to make an even greater contribution to the WS/S community worldwide (especially within LDCs) the team felt that the following has merit: to periodically compile short summaries of timely articles in English, Spanish, French, Arabic, etc., from around the globe, relevant to the three central issues of WS/S project sustainability: ID/HRD, O&M and Cost Recovery.

3.2.13 Women-In-Development Issues

WASH received very high marks in its handling of WID issues. WASH takes a proactive role with the PPC/WID office and the WID mandate. Informants pointed out that unlike the staffs of other major projects, WASH staff anticipate WID concerns, build them into their projects and report voluntarily to the WID office. Apparently WASH is proud of its WID record, and gets the jump on WID requests for information by copying relevant reports directly to PPC/WID. While the relationship is informal between WID and WASH, it is functioning well. WID staff cite WASH staff as an example of good planning for women's equity in development.

WASH staff are well aware of, and committed to, the concept that women are not merely beneficiaries but project participants in the development process. One WID officer remarked that WASH is one of the only projects which truly understands and is committed to the WID mandate; their very design process always includes community organizations, which -- by definition -- are women's domains. Two PPC/WID staff remarked that they wished that all projects were as easy to work with.

3.2.14 WASH II Recommendation

The WASH II recommendations were reviewed in order to assess how WASH complied with them. Three months after the WASH II evaluation report was received, the S&T/Health/WS&S Division Chief sent a memo to the S&T/Health Director indicating actions taken by WASH to implement those recommendations. That memo is included as Appendix 5.

The evaluation team also made its own inquiries, and came up with the following: (please see list of WASH II recommendations in Appendix 5)

Recommendations for WASH

- o re: A.1, complied;
- o re: A.2, complied -- but still needed;
- o re: A.3, complied -- with the change that instead of "a primer" fact sheets were developed;
- o re: A.4, complied -- in part; more needs to be done;
- o re: A.5, complied -- committee is an unstructured one;
- o re: A.6, complied -- economist hired;
- o re: A.7, complied;
- o re: A.8, on-going efforts are being made to address issue. Problem arises because WASH cannot be "loaned out to other groups such as UNDP;
- o re: A.9, complied;
- o re: A.10, complied -- Lessons Learned book printed;
- o re: A.11, complied.

B. Recommendations for AID and WASH

- o re: B.1, Complying is difficult. Which requests are approved or not is based on S&T/Health judgement call. Another problem is that missions specifically ask for service from WASH;

- o re: B.2, efforts are being made to comply. WASH decided to bring in URC (PRICOR prime) as sub, in order to build bridge between both in Pakistan. WASH also works with Peace Corps and VBC, but not yet able to work with PRITECH, REACH and HEALTHCOM. Attempt with PRITECH failed in Uganda because USAID/Uganda did not have a water and sanitation priority; with REACH because immunizations were not seen to be directly related with water either; with HEALTHCOM because time wasn't right;
- o re: B.3, apparent disagreement. WASH has always considered behavior modification as central for the success of its mandate. This is an area in which S&T/Health should press for collaboration with HEALTHCOM;
- o re: B.4, complied -- implementation is complicated because of problems stemming from budget cutbacks for proactive tasks, new buy-in procedures and collaboration with ISPAN;
- o re: B.5, complied -- but more work needs to be done. WASH has been successful in getting certain missions (Oman, Ecuador, Tunisia) to articulate ("scope") their needs. Information received suggests that this needs to be done in many other countries, but is something which is best done on the AID to AID level, rather than the WASH to AID level. Problem appears to be one of developing a well thought out marketing strategy, which includes determining who are the most appropriate people to do it.
- o re: B.6, complied -- an initial draft was prepared; follow-on discussions are taking place in the areas of cost recovery, applied research, ID/HRD, etc.;
- o re: B.7, complied -- WASH hired a half-time person to assist in the area of behavior change.

C. Recommendations for AID (While action taken on these recommendations for AID directly impacts on WASH's management capabilities, WASH does not bear any responsibility for their implementation.)

o re: C.1 This kind of assistance is available from WASH upon request, however it appears that AID does not have the legal authority to dictate that this WASH resource be used as the recommendations suggests. It was pointed out that AID's interest in the WASH Resource Center rises and falls with personal

preferences. Other resource preferences are those of the larger engineering firms, or of the smaller specialized ones. Information received seems to indicate that to date there are no standard procedures that encourage missions to use the WASH resource center;

o re: C.2 This was done to a limited extent. Several persons interviewed felt that a WS/S strategy document for giving significant guidance on water and sanitation to S&T/Health generally, and to WASH specifically, was available but never acted upon.

o re: C.3 The recommendation refers to written planning guidance memoranda. In this there is disagreement between S&T/Health officers charged with WASH, and the evaluators. The former feel that is more important to give on-going guidance in a participatory way on regular basis, than to dictate it in writing.

o re: C.4 No information obtained for lack of time.

o re: C.5 Not having an overall WS/S strategy appears to be the rule for the major donors, rather than the exception. Only one donor, the African Development Bank, was said to have a formal WS/S strategy. This is still an issue and needs to be corrected.

CHAPTER FOUR: AID Management

4.1 New Directions in AID

As Chapter 3 clearly suggests, the project performance of WASH has been exemplary. Nevertheless, several informants questioned the relevance of WASH for current priorities and future directions of AID in water and sanitation. For reasons which were never clearly articulated, water and sanitation have taken on lower priorities for the Agency during the last five years. This trend varies by region, with LAC being the most involved in the sector, Africa less so, and ANE least. The reason why LAC puts so much of its resources in WS/S was explained by saying that the LAC Bureau simply does not follow the current, and apparently dominant, AID thinking on WS/S. ANE exceptions are Egypt and Oman which have large ESF funded water and sanitation programs. These very large WS/S projects and those of PRE/Housing consist of urban infrastructure construction, largely financed through in-country and foreign loans, both of which are guaranteed by the Agency.

During this time that water and sanitation was being downgraded, environmental health was being upgraded -- a situation which some informants saw as a striking contradiction.

Other new areas of focus include: 1) Advanced Developing Country strategies; 2) Private Sector initiatives; 3) Open Markets/Open Societies; 4) the Development Fund for Africa; Social Marketing; 5) Regulatory Functions; 6) Policy Dialogues; 7) Private Provision of Social Services/Commercialization; 8) Urbanization.

In discussing the WASH project in the context of these new AID directions, it was generally maintained that WASH has experience working in several of these areas. But since many of these are new initiatives, opinions about their performance in those areas were not conclusive. Given that WASH recently started several tasks for the commercialization of solid waste disposal activities under the Provision of Social Services competition, one needs to conclude that, at least, they were regarded as knowledgeable enough in that area for the mission to seek out WASH to assist them.

Since WS/S now receives a lower AID priority than heretofore, WASH has moved, and will be increasingly pushed, into the new directions AID has chosen. In doing so WASH and its parent organization, Camp, Dresser & McKee (which has other WS/S infrastructure capabilities not used by WASH) will probably be called upon to provide those other services, along with other qualified firms.

4.2 Management Models

How much time AID personnel dedicate to their projects, and the quality of that time, depends upon a wide variety of factors, including the number of projects s/he manages, bureau and/or mission priorities, the CTO's level of technical knowledge, his/her management capabilities and on-line management experience, the level of confidence they have developed in their own management capabilities, their personal inclinations, and -- perhaps, most important -- the level of support and approval they receive from their supervisors.

In the case of the WASH project, the best elements of an ideal situation between contractor, CTO, and Division Chief, appear to have been worked out in practice. The WASH/AID/CTO during the first two years of the WASH III period, and his Division Chief, appear to worked very well together, and are both in very close contact with the WASH staff: as they are with the staff of another major S&T/Health contract working in vector control.

The dominant management model which appears to be followed in AID's oversight of the WASH project appears to be very much in the style of a chief-executive-officer (CEO) with full executive (not administrative) responsibilities.

In the context of AID, such a management model has its pluses and minuses. On the plus side it facilitates a project staying on the AID track for want of close supervision. On the minus side the AID officers responsible for WASH are, in certain important management functions, unable to do fully what successful CEOs need to do, i.e., conform to the demands of the project in its many locations (markets) and in its many networking situations in order to enhance the service given to those markets. Given the current S&T/Health funding constraints, AID project officers are largely unable to reach out to expand appropriate networks and reinforce old and lagging ones; they are, moreover, unable to function in the essential marketing/promotion and guidance roles with its only significant market segment: the USAID missions.

4.3 Collaboration

Management science has learned long ago that any two jurisdictions (divisions, projects, offices) of the same organization must not be allowed to become so independent of each other that collaboration becomes difficult. This can happen in the best of companies, where its consequences sometimes become text book examples of poor management: e.g., the GM Pontiac Division's "Fiero fiasco" where the unwillingness of one division to collaborate with another brought to an abrupt end what the automotive industry predicted would be one of GM's all-time winners. The lack of collaboration between major projects appears also to be a problem which needs addressing within AID. It is discussed in this WASH III evaluation because the problem impacts negatively on dependent projects of which WASH is one.

S&T/Health senior management appears to have clearly understood the dangers inherent in uncoordinated projects going their own way. Determined to foster collaboration among the firms it contracted with to accomplish the tasks of its mandate around the globe, S&T called a meeting of the firms it funds (135 of them) on May 30-31, 1990.

The meeting, which was attended by 27 Cooperating Agencies and 53 AID managers, was called the Cooperative Agency Meeting. The reason for the meeting can be summarized by saying that given AID's shifting program direction overall, and the need to examine its future work in health in the light of those shifts, increased communication and coordination between and among CA's was needed. In other words collaboration was the principal issue of the agenda.

According to one participant, however, the theme of collaboration caught many of the participants by surprise, in the sense that they had never given collaboration much thought. Several contractors were said to have attributed the reason for this to a contracting system which fosters competition among contractors rather than collaboration. Another observation which came out of the Meeting was attributed to an AID officer in attendance who maintained, that as collaboration is not seriously practiced at AID by numerous AID officers, it was not realistic to expect that it should be practiced by contractors.

AID/S&T/Health did well in calling for such a meeting. If inter-office and division collaboration is not a strong tradition within AID, then it needs to be. Obviously, this will not happen overnight; it will take time to establish. The Cooperative Agency Meeting, theoretically, represents an important first step in the right direction.

But there are problems preventing collaboration which the Cooperating Agencies Meeting evidently did not touch upon, one of the most pressing being the language of contracts. The desire to maintain independence, turf protection, etc., pales in significance when compared to the importance of contract language, which is, after all, what brings contractors in line on a common cause -- which is nothing less than the motivating force of a central strategy wherein they play an essential and coordinated role.

This happens everyday in business, where sub-contracts (many of them huge) are won by firms to work on the same projects, some of the enormously complex and global. On such jobs they are required to collaborate closely with each other because, as a rule, one contract picks up where the other leaves off. Outside of the context of the contract, they are free to compete fiercely against each other: that is, indeed, part of the system. But to compete with each other on a job they have agreed to work on together in order to achieve a common end cannot be permitted, and it usually is not: and this because the language of good business contracts are carefully crafted to forbid it.

In other words, competition among S&T/Health contractors in other professional contexts outside of their S&T/Health contract, must not be allowed to impact negatively on S&T/Health's overall strategy in which the combined services of contractors dovetail into each other in a coordinated way to achieve that common end determined by the Agency. But this can only be accomplished when the legal language of the contract is so crafted that collaboration between contractors becomes a legal requirement to be fulfilled according to the provisions of the contract one of which needs to be when S&T/Health sees the need to ask for it.

The contracts officer, then, needs to pay careful attention to the wording of contracts in order that collaboration between contractors be required as a contractual obligation when the need for it arises, as it frequently will in such closely linked endeavors as those associated with S&T/Health's major centrally funded projects. It would be a pointless duplication of effort for WASH, for example, to undertake tasks requiring the expertise of primary health, vector control, immunization and health communication; as it would for these to develop a WS/S component in their programs.

4.4 Water Supply & Sanitation v. Child Survival

As was true for the WASH II evaluation team, a major problem which the WASH III evaluation team saw was the declining importance being given to WS/S. But it needs to be pointed out that this declining importance of water for health, and

specifically the declining importance of water for Child Survival, was never clearly articulated. After sifting through what was said, the result is confused: there was no consensus. What is certain is that the downgrading of water frequently had the approval of the Agency's top management. This decision to downgrade the importance of water for health has no parallel among the major donors.

On the one hand it was maintained that water for health was downgraded because carefully collected data illustrated that WS/S was not as directly linked to Child Survival as were ORT, EPI and ARI interventions. This opinion met very strong opposition. What is generally regarded as "the evidence" by traditional health professionals, (a term which includes hundreds of studies and the practices of countless cultural traditions during millennia,) overwhelmingly supports the essential link between water availability and health. On the other hand, some few studies were reported to have come up with contradictory positions.

One highly qualified medical professional maintained that he knew of not a single reputable study (defined as being "without design faults") which support opposite conclusions. Irrespective of the WASH literature, the traditional health literature agrees that water and sanitation coupled to personal hygiene (i.e., the proper use of water for health) reduces infant mortality, and the incidence of acute diarrheal diseases and malnutrition -- both of which are the immediate causes of death of many millions of children around the globe.

In spite of the overwhelming evidence in support of the essential link between water and health, the majority opinion in AID was said to be that Child Survival monies are to be used exclusively for Child Survival, and not for WS/S needs, and this because WS/S systems benefit persons over five years old. In striking contrast, we also heard an interpretation which maintained that if a community's population comprises 20 percent children, then that percentage of Child Survival funds for that community can be used to meet the water and sanitation needs of those children. These are the kind of contrasting statements which prompt us to use the word "confused" with respect to the water policy situation at AID.

Informants were even divided on whether AID/S&T/Health's primary responsibility was to obtain policy guidance before presuming to give it, or give it out of the fund of knowledge which exists within the Bureau and its funded projects, including WASH, in order that a comprehensive policy might be developed. Obviously both are required if a well thought-out and flexible policy is to be developed for the next years, which are clearly going to be years of major transition.

De facto, if not formally (as indicated, AID does have an outdated --1982 -- formal water for health policy) AID does not have a viable water for health policy, and in this shares that dubious distinction with all other major donors except one: the African Development Bank. Clearly a water policy for health is badly needed in AID and should be developed as soon as possible; and WASH should play a role in developing that policy. If at all possible, this policy should be developed in close collaboration with other major donors who also lack a water for health policy: and it should be developed with a strong bent towards health.

4.5 Marketing and Promotion

As briefly discussed above, the management model used by Division Chief and the CTO who has worked under him during WASH III (and before), closely resembles a chief-executive-officer (CEO), i.e., executives with full responsibility to see that the total needs of the organization are met. There are a many variations of the CEO model, and this because a CEO - having become such after many years as a manager -- usually has a great degree of freedom in shaping his/her management style as s/he sees fit. But according to management science studies, some generalities apply, principal among them being the need to really stay on top of (master) the marketing plan of the organization and its connection to sales strategies. Products and/or services must be sold. There can be no other bottom line where sales are the lifeline of an organization. But that, of course, is a problem with WASH and all funded programs, even for-profit ones, which are guaranteed their income without sales.

But in spite of not having a normal business incentive to sell, WASH has done quite well in "selling" its services to USAID missions and central bureaus. According to WASH's annual plan for FY 1990 a record number of requests came in from the missions during FY 1989. This indicates, of course, a high demand for a quality product which over the years has succeeded in "selling itself," as there is little indication that WASH has developed an explicit marketing strategy to meet the WS/S needs of its market segments -- the missions and bureaus. Market research skills are evident in WASH's report distribution process; and a marketing strategy is implied in WASH's annual plan. However it should be made more explicit for all market components, e.g., the missions, and through the missions the respective private sectors assisted by those missions which are involved in water and sanitation.

This is an especially important problem to address in AID and the USAID missions, given what is widely believed to be resistance of AID officers to what is held to be the "hard sell" practices of contractors needing to sell their services through

buy-ins. The attitude, of course, is a lamentable one for citizens of a country which has become great by selling its quality wares successfully.

All three AID team members agreed that in spite of exceptions, USAID mission staff are easily offended ("put-off") by representatives of major contractors who come calling with strong buy-in sales pitches for the services they have been contracted to provide. However they also held that AID employees are not put-off when colleagues from AID come for the same purpose. "AID people can talk to AID people more easily than contractors can talk to AID people." If that is the social reality of the situation then AID, clearly, needs to conform to it. In addition to the reasons given above for the need for AID project managers to spend more time in the field, this is another. AID project managers must spend more time in the field.

CHAPTER FIVE: CONCLUSIONS & RECOMMENDATIONS

The major and most immediate conclusion which the foregoing materials suggests, is that under the leadership of the S&T/Health AID officers assigned to the oversight of the WASH Project, Camp, Dresser & McKee's WASH Project once again needs to be given top marks for its work. As past evaluations have found, WASH has consistently stayed on track according to the requirements of its contract with the AID/S&T Health Office. It has followed evaluation recommendations; it has worked effectively not only with its immediate AID supervisors, but with AID bureaus and missions, and with a large network of international organizations, among whom WASH's contribution to the fund of knowledge about WS/S, and its leadership in that arena, is unquestioned.

This evaluation has indicated that there are problem areas, and recommendations are made to address them. However it needs to be pointed out that the most serious problems which need to be addressed cannot be addressed by WASH, or by AID's WASH project officers. They need to be addressed by AID's senior management.

Two sets of recommendations are made; those for WASH to consider; and those for AID. The page number following the recommendation places it in its proper discussion context.

1. Recommendations for WASH

1.1 To the extent that it can influence AID task approval decisions, WASH needs to continue to push for S&T core funding being used extensively to augment the resources of those countries with the greatest water and sanitation needs regardless of their ability to pay. (Page 7)

1.2 WASH needs to encourage USAID missions to fund and implement programs which will publicly recognize contributions made by individuals (at all levels) and communities to the operations and maintenance of water and sanitation systems. (Pages 11-12)

1.3 WASH should explore the possible uses of employee dedication/satisfaction analyses for bettering the operations and maintenance aspects of LDC water supply and sanitation institutions. (Pages 11-12)

1.4 As many nationals can provide many quality services to development projects as competently as many of the expatriates regularly used by major donors, WASH needs to continue its

efforts to identify and make greater use of indigenous and/or national professionals and para-professionals for its training and technical assignments in those countries. (Pages 16 and 22)

1.5 WASH should seek ways to utilize its experience with social institutions in community development to its work in ID/HRD. (Page 17)

1.6 WASH should undertake a rapid assessment study to determine the effects of ID/HRD activity for O&M. The study should examine the quality of operations and maintenance in facilities where ID/HRD programs have been implemented and in those where they have not been. (Pages 18-19)

1.7 Given the great difficulty of finding solutions to the cost recovery and system sustainability issues, WASH needs to continue its efforts in brainstorming these issues on a regular basis in its home office, in collaboration with other contractors and WS/S international agencies experiencing similar problems, and with WS/S beneficiaries in the field. (Pages 20-21)

1.8 WASH needs to begin to develop a marketing strategy for reaching out to the missions, and through the missions to the private sector. This marketing plan needs to include the roles to be played by WASH and AID officers. (Pages 22 and 33)

1.9 WASH should periodically compile short summaries of timely articles in English, Spanish, French, Arabic, etc., from around the globe, relevant to the three central issues of WS/S project sustainability: ID/HRD, O&M and Cost Recovery. (Page 24)

2. Recommendations for AID

2.1 AID/S&T needs to advise missions that WASH is able to provide Technical assistance to the Private Sector of their respective countries, and that WASH needs their invitation to proceed. (Page 22)

2.2 The AID Procurement Office needs to reexamine its crafting of contract language in order that collaboration between S&T/Health contractors be required as a contractual obligation when the need for it arises. (Page 31)

2.3 AID/PPC, with the input of AID/S&T/Health, needs to draft a water policy for health as soon as possible. In the drafting of that policy, WASH should play a role. If at all possible, this policy should be developed in close collaboration with other

major donors who also lack a water for health policy: and it should be developed with a strong bent towards health.
(Pages 31-33)

2.4 AID/S&T/Health needs to provide AID project managers of WASH significantly more travel opportunities to the field and to WASH's international network. (Pages 29, 33 and 34)

APPENDIX 1: PERSONS INTERVIEWED

Austin, John	USAID/S&T/Health
Campbell, Dan	WASH
Clay, Robert	USAID/S&T/Health
Dean, Stephen A	USAID/Procurement
Delgado, Hernan	INCAP (Guatemala)
de Rooy, Carol	UNICEF
Eckerson, Dave	USAID/Haiti
Flores, Carlos	USAID/Honduras
Flynn, John	AID/W
Grayson, Abraham	AID/W
Hafner, Craig	WASH (Deputy Director)
Hammam, Sonia	AID/W
Hartenberger, Paul	USAID/Bolivia
Hoff, Nancy	USAID/Tunisia
Horwitz, Abraham	PAHO
Hurtado, Juan Jose	International Red Cross & Red Crescent
League Hurtado, Elena	Consultant for USAID/Guatemala, WHO, PAHO,
Jones-Patron, Kate	USAID/Ecuador
Jordon, Michael	AID/W
Kler, J.	AID/W
Long, A. Dennis	USAID/S&T/Health,
Mathur, Brijeshwar	VITA
Mattson, Rick	WASH
McAndrew, Tona	USAID/Jamaica
Merritt, Gary	USAID/Africa Bureau
Norem, Rosalie	AID/W
Otterstetter, H.	PAHO
Paterson, Glenn	Appropriate Technology, International
Perry, Edward	Appropriate Technology, International
Pielemeier, Nancy	AID/W
Randlov, Allen	AID/W
Roark, Phil	WASH
Rosensweig, Fred	WASH
Sanders-Smith Melani	Pragma Corporation
Schieck, Frederick	USAID/LAC
Thomas, John	USAID/Africa Bureau
Turner, J. Ellis	WASH (Director)
Van Dusen, Ann	USAID/S&T/Health
Warner, Dennis	WHO
Wilson, John	AID/W
Yacoub, May	WASH
Zarata, Alfredo	USAID/Guatemala

APPENDIX 2: AID/W BUREAUS VIEWS OF WASH OPERATIONS

Personal or telephone interviews were held with representatives of the major line and staff Bureaus in AID/W. Individuals were selected on the basis of their familiarity with WASH project operations. As would be expected, each individual's depth and breadth of knowledge on the project reflected the frequency, scope and time frame of the services provided by WASH.

Nine persons were contacted. In each case, respondents were asked some broad questions such as the relevancy of the WASH project to the Bureau as well as specific questions about the types of services requested and the quality of services provided.

While each respondent stated that the respective Bureau had received WASH services, one respondent felt that the WASH project was becoming irrelevant due to the lack of WS&S projects in the Missions covered by the Bureau. All respondents gave high ratings to WASH for services provided. The range of services included feasibility studies, sector assessments, PID and PP preparation, TA in project implementation, project evaluations and the dissemination of information and publications.

The Bureaus in AID/W actively monitor requests for WASH services from field Missions. The frequency of requests from outside of the agency (i.e. PVO's and regional and international agencies) is very limited. Among the non-AID agencies mentioned were the Peace Corps, Africare and the World Vision. The relatively small number of requests coming from outside sources, in large part, may be explained by the fact that many, if not most, outside agencies contact the WASH project directly or through the CTO in S&T/Health.

When asked if the respondents found WASH and S&T/Health responsive to their needs, all respondents gave both WASH and S&T/Health very high marks. In rating the quality of services provided in the area of technical engineering, WASH again received top marks. However, while one respondent stated that WASH services in this area was more expensive than those provided through IQC's and other contractual arrangements, the WASH contract was awarded on a competitive basis.

In the so-called "software" area (i.e. institutional and human resources development, health education and community participation), WASH received average to better than average ratings. One respondent noted that there are other contractors who can provide services in the area of institutional development.

Regarding the outlook for using WASH services in the future, most respondents were uncertain about the level of activity they would require or thought that the level would remain about the

same as at the present time. The ANE Bureau respondents foresaw a declining use except to respond to the needs for providing services to big capital projects in Egypt and Oman.

As a whole, the WASH project is held in high regard by AID/W Bureau staff. Importantly, there exists a collegial relationship between Bureau staff and the WASH project staff which is a very positive reflection of the outstanding professional and personal qualifications of the core WASH staff. WASH continues to provide superior services in the traditional "hardware" area and does a creditable job in most "software" areas. However, some of the respondents identified areas where WASH should make improvements. It is therefore incumbent upon S&T/Health, in collaboration with WASH, to review and analyze the distribution and concentration of effort being applied to the various substantive areas included in WASH's scope of work.

APPENDIX 3: WASH COLLABORATION WITH INTERNATIONAL ORGANIZATIONS

Telephone interviews were conducted with representatives of the following international organizations:

- a) IRC
- b) INCAP
- c) IDRC
- d) UNICEF
- e) International Red Cross/ Red Crescent League
- f) PAHO
- g) WHO
- h) VITA
- i) IBRD

All of the above listed organizations maintain contacts with WASH. The frequency and substance of these contacts vary from office to office. They range from informal conversations and meetings, interchange of information to formal conferences and symposia.

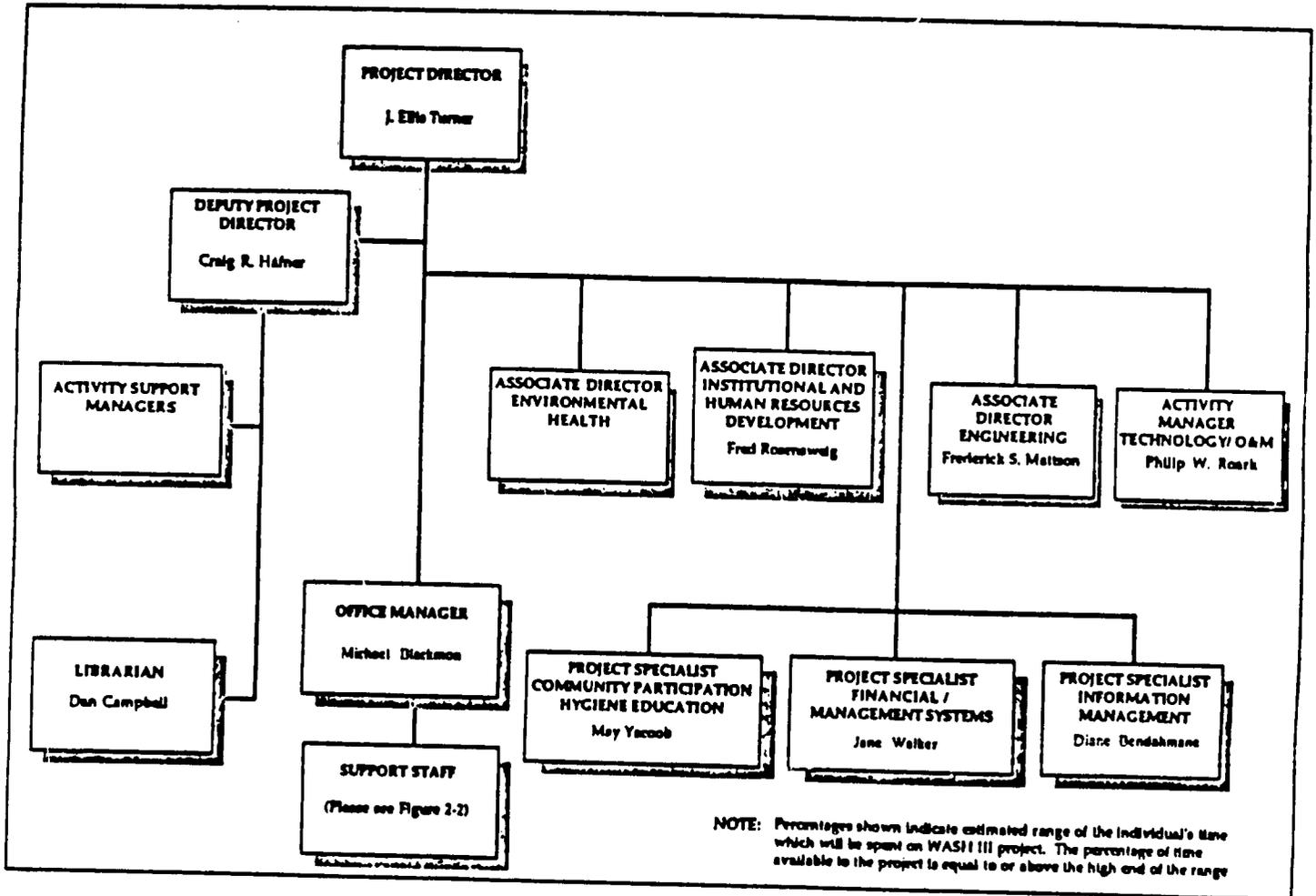
The WASH project and its staff is widely known and respected in the international WS&S community. Where contacts have been frequent, solid collegial relationship that further facilitate the interchange of ideas and information have developed. AID staff have had fewer opportunities to participate in major WS&S sector conferences and gatherings. While there are many bureaucratic reasons that tend to limit AID participation in these international events, the end result is that AID loses the opportunity to play a leading role in this sector.

Historically, AID has been a major player in the WS&S sector over a period approaching five decades. Many individuals who represent international organizations still expect AID to continue to play an influential role. One of the ways suggested is for AID to co-fund initiatives sponsored by international groups. Examples were cited where the GTZ and the Swedish government have provided funding support for such activities.

WASH has been involved in several joint activities with international offices. It is working with UNICEF on health education in Nigeria and in water and sanitation in Belize. WASH continues to collaborate closely with PAHO in planning for the biennial Inter-American Sanitary Engineering (AIDIS) Congress. This is by far the most important event within the WS&S community in this hemisphere. VITA includes news of WASH activities in its broadcasts over the VOA.

While WASH publications are widely distributed and appreciated in the WS&S community, some respondents saw a need for WASH to be more selective about what it publishes in the future. Those who receive WASH's annual work plan found it to be very useful to get and early reading on the scope and direction of WASH's activities for the coming year.

APPENDIX 4: WASH III ORGANIZATIONAL CHART



APPENDIX 5: J.H. Austin Memo re: Plans to Implement WASH II Recommendations

AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON D C 20523

June 1, 1988

MEMORANDUM

TO: S&T/H, Kenneth J. Bart, M.D.
FROM: S&T/H/CD, John H. Austin *JH*
SUBJECT: Plans to Implement the Recommendations of the WASH II Evaluation

The WASH II evaluation was carried out between October and December 1987. The final report was submitted on February 29, 1988. A briefing was held for S&T/H by the Team Leader Jim Kelly on April 11, 1988.

The Summary of Recommendations is given in Annex A. The forms for the A.I.D. Evaluation Summary are given in Annex B.

The following discussion examines each of the recommendations.

RECOMMENDATIONS FOR WASH

1. WASH should make a greater effort to sensitize clients on the importance of O&M.

WASH is making an effort to emphasize the importance of O&M, particularly in upcoming activities with the African Development Bank, Atlanta University, and in project papers for A.I.D. (El Salvador, Bolivia, and Malawi).

It should be noted that it is only within the last few years that the multilateral development banks have taken an interest in the O&M aspects of their capital development projects. WASH's successful efforts in O&M have been recognized by the banks, particularly The World Bank. The World Bank has asked WASH staff to participate in its O&M programs and technical missions.

WASH can do just so much on their own. Assistance is needed from A.I.D. to reinforce the need to address O&M at the PID and PP stage-especially where WASH is not involved. A.I.D. should ensure that more S&T/H and mission level staff are available for the development of projects.

2. WASH should involve more LDC trainers and consultants in its workshops and technical assistance activities.

We agree that this is a worthwhile endeavor and we will continue to actively seek LDC consultants as WASH III is implemented. However, we caution against expanding the roster without attention to the quality and experience of proposed consultants.

3. WASH should develop a primer on core topics to be used in WASH workshops -- so that opportunities for sensitizing trainees are not overlooked.

The occasions where missions request human resource development assistance are most often to assist an existing mission funded project. The contractor or host country staff are generally technically competent. Where WASH services are requested they generally relate to institutional or human resource development assistance.

Primers of the type mentioned above are available. WASH, through its information resource center, provides these materials.

4. WASH should explore the feasibility of conducting training design workshops on a regional basis (e.g., Francophone Coastal West Africa).

This is not a task for WASH, but rather for collaboration between the Regional Bureaus and S&T/H, with WASH implementing the effort. WASH has assisted the Near East Bureau in such an effort. WASH has received requests from the multilateral community for this type of assistance, as well as from CARE.

WASH continues to try to influence workshop designs through direct participation with PVOs, multi- and bi-laterals. Regional workshops need further study on feasibility. This is something that should be discussed by the Health Sector Council.

5. WASH should establish a small screening committee to provide a multidisciplinary review of proposed activities and ensure follow-up on health-focused recommendations which emerge from WASH field trips and reports.

The WASH Project Director now announces new activities and the proposed activity manager at weekly staff meetings. This gives staff an opportunity to comment on, or arrange follow-on meetings that will ensure multi-disciplinary inputs into each activity. Overall responsibility for getting needed inputs and ensuring follow-up rests with the activity manager. S&T/H staff as well as regional bureau staff are involved on an as needed basis. The system has been satisfactory in the past but should improve with the new procedures in the future.

6. In its financial management work, WASH should move from methodological studies to application at the sector and project level in selected countries.

The problem of application to the sector and project level rests not with WASH, but with S&T/H and the missions. More frequent interaction of direct hire staff with mission staff will assist in incorporating this in mission activities.

WASH III will continue to seek missions that are interested in the institutional development work that is required to improve financial and cost management.

7. Given their importance, the WASH guidelines for financial management assessment and design should be field tested at an early date.

Field testing is dependent on the interest and permission of a mission. WASH has an approved activity to fund field testing of financial management and cost management guidelines. Sri Lanka has been contacted as a possible site. Availability of funds to carry this out is the limiting factor.

8. WASH should consider collaborating with the World Bank and UNDP on pilot applications of various approaches to improve cost recovery and system sustainability through better financial management. Activities could include experimenting with micro-computer based billing and accounting systems for urban areas and innovative cost recovery methods for rural areas.

We are actively pursuing our on-going and proposed collaboration with the World Bank and UNICEF in the cost recovery area, particularly in field studies of willingness to pay for water and sanitation services. In addition, WASH is developing a primer on strategies for cost recovery and tariff design.

A.I.D. missions are not actively pursuing efforts in computer based billing and accounting systems. Thus, until requests come from missions, it is not possible for WASH to work in these areas, other than its collaboration with the multilateral agencies.

9. WASH should design procedures for obtaining feedback on the impact of its activities to help in designing follow-up interventions.

WASH has instituted an in-house debriefing procedure to ensure that activity managers are aware of opportunities for follow-up activities. Additional methods for obtaining feedback from USAID missions is also needed and will be institutionalized for WASH III.

10. WASH should develop a lessons learned summary at an early date for use in drafting an overall A.I.D. and WASH strategy.

WASH has an on-going and substantial activity designed to capture our lessons learned. This has been underway since the fall 1987.

11. WASH management should become more involved in individual staff priority-setting.

The new Project Director, Ellis Turner, is instituting procedures to monitor work load more closely and provide input to individual priorities.

RECOMMENDATIONS FOR A.I.D. AND WASH

1. A.I.D. and WASH should exercise greater restraint in responding to requests for routine engineering assistance which can be met by IQC firms.

Recent actions have been taken on this matter as indicated in an exchange of memos between OFDA and S&T/H. A.I.D. differs with the evaluation team on this point.

2. A.I.D. should assist WASH in coordinating with PRICOR, on collaborative operation research, and with PRITECH, REACH, and VBC.

S&T/H, WASH and these other projects are developing a plan for obtaining better collaboration with each other and with other centrally funded projects and are currently promoting joint field activities (i.e., Bolivia).

3. A.I.D. and WASH should continue to give high priority to the full range of skills needed to improve WS&S systems-- especially those related to effecting behavioral change in third world settings.

This is fundamental to the WASH strategy. It has been and will continue to be a basic aspect of WASH III.

4. A.I.D. and WASH need to develop clearer criteria for choosing WASH initiatives.

The existing criteria will be reviewed and discussed with the regional bureaus through the Health Sector Council as well as with other WASH clients. These criteria will be ready for application in the start up phase of WASH III.

5. WASH's development impact could be increased by A.I.D. and WASH stimulating more requests for WASH assistance at the sector level in carefully selected LDC's.

S&T/H and WASH are pursuing this strategy with the Regional Bureaus of A.I.D., as well as with the multilaterals. This is a topic which should be discussed by the Health Sector Council.

6. WASH needs a carefully crafted A.I.D. and WASH strategy for networking and collaboration which gives guidance on three levels: how WASH can be helpful in developing countries, with international organizations, and within the U.S. community. This process would be greatly assisted by more direct involvement of A.I.D. direct hires with representatives of other donor agencies.

A document has been drafted by Gene McJunkin. This will serve as input to a finalized version over the next few months.

7. A.I.D. should amend WASH's contract to permit the recruiting of an additional community participation/hygiene specialist to assist WASH in designing and carrying out behavioral change strategies.

This will be handled in WASH III.

A.I.D.

1. A.I.D. should establish procedures to insure that full advantage is taken of the WASH Resource Center during the review of all A.I.D. financed WS&S activities.

This should be discussed by the Health Sector Council and then passed on to the regional bureaus, FVA, PPC etc. This type of assistance is available from WASH, if requested.

2. Senior S&T staff should be involved in developing WASH strategy and objectives.

As their time and interest permits, they do.

3. A.I.D. should prepare annual "planning guidance memoranda" for WASH as called for in the A.I.D./CDM contract.

This has been done throughout WASH II during the annual planning process in a series of meetings and workshops. The evaluation team prefers a written document from A.I.D. There is a difference of opinion in process; one of an interactive exchange versus a documented prescription.

4. A.I.D. should eliminate the "fifty-a-year" requirement on WASH consultants and work out a more realistic formula for consultant roster enrichment.

Done in WASH III.

5. A.I.D. needs to develop an overall strategy for WASH as well as guidance for the contractor on how WASH energies should be allocated in the pursuit of A.I.D. goals in water and sanitation.

This has been done in the management of WASH II. Again, it is a matter of process on how it is done. The evaluation team wants a precise prescription on paper. The process used is one of frequent discussion and constructive interaction to meet A.I.D. goals.

QUESTIONNAIRE 1: FOR AID/S&T HEALTH

HOW WOULD YOU RATE WASH MANAGEMENT IN THE FOLLOWING AREAS?

(Rate from 1 to 5; 5 is tops)

- a) Understanding of project goal, purpose, and outputs (tasks) in the context of AID's needs;
- b) Capability of implementing the project;
- c) Ability to provide appropriate, timely and quality responses;
- d) Determination of priorities (distribution and concentration of effort);
- e) Selection, briefing, and utilization of core staff;
- f) Selection, briefing, and utilization of consultants;
- g) Management of consultants in the field;
- h) Communications with S&T/Health;
- i) Communications with international organizations;
- j) Communications with PVOs;
- k) Tracking of tasks performed;
- l) Providing institutional memory;

QUESTIONNAIRE 2: QUESTIONS FOR WASH

HOW WOULD YOU RATE AID'S MANAGEMENT OF THE WASH PROJECT IN THE FOLLOWING AREAS?

(Rate from 1 to 5; 5 is tops)

- a) Policy guidance;
- b) Implementation of strategy design;
- c) Determination of priorities (distribution/concentration of efforts);
- d) Preparation of tasks;
- e) Monitoring of tasks;
- f) Providing ongoing evaluation and feedback on WASH performance, indicating areas of strengths and weaknesses;
- g) Access to, availability, and responsiveness of S&T/Health CTO;
- h) In backstopping (through the missions) how do WASH tasks and consultants rate in the field with regard to:
 - i responsiveness
 - ii timeliness
 - iii adequacy

QUESTIONNAIRE 3: FOR THE MISSIONS

NOTE: If question is not applicable, use NA.

If answer is unknown, use UNK.

Numerical ratings: 1 is weakest and 5 is strongest

1. What types of services have you asked for and received from WASH? (Check or name applicable services)

PID preparation ___ PP
preparation ___ TA ___ Evaluation ___ Others ___

2. In each case, how well has WASH performed in terms of: (Rate from 1 to 5)

- a) Timeliness of response ___
- b) Appropriateness of response ___
- c) Professional/technical capabilities of WASH consultants ___
- d) Quality of output/product ___
- e) Ability to relate to and work with host country nationals ___
- f) Project sustainability in terms of cost recovery ___
- g) Project sustainability in terms of institutional development ___
- h) Project sustainability in terms of human resources development ___

3. In your experience with WASH services, what stands out as their strong points? weak points? (Rate from 1 to 5)

- a) Fast response ___
- b) Scope of services offered ___
- c) Timeliness of services provided ___
- d) Quality of services provided ___
- e) Collaboration/relationship with Mission ___
- f) Collaboration/relationship with host country nationals (HCN) ___

4. How does WASH compare with other IQC and TA contractors in terms of: (Rate from 1 to 5)

- a) Timeliness of response ___
- b) Appropriateness of response ___
- c) Professional/technical capabilities of consultants ___
- d) Quality of output/product ___
- e) Ability to relate to and work with host country nationals ___

5. Including core staff and consultants, how would you rate WASH in providing services in the following areas: (Rate from 1 to 5)

QUESTIONNAIRE 3: FOR THE MISSIONS (cont.)

- a) Project planning and design____
- b) Project implementation____
- c) Project evaluation____
- d) Engineering/hardware____
- e) Community and leadership development (human resource development)____
- f) Institutional development____
- g) Health education____
- h) Operation and maintenance____
- i) Involvement of and benefits to women____
- j) Dissemination of information

6. How successfully/well does WASH manage its people in the field? (rate from 1 to 5)

7. How successful is WASH in transferring technology to host country institutions? (rate from 1 to 5)

8. Rate appropriate WASH guidelines or methodologies you have used in the following subject areas? (Rate appropriate items)

Workshops__Training__Evaluation__Workshops__

Others (name and rate _____)

9. What changes would you recommend in WASH's scope of work in the future? (Give brief description)

QUESTIONNAIRE 4: FOR THE REGIONAL BUREAUS

1. Is WASH relevant to your operations? Y/N If yes, in what way?
2. Has the Bureau use WASH services (including WASH documents, field reports, guidelines, manuals, etc.) Y/N If yes, what services have you used?
 - o PID preparation
 - o PP "
 - o TA in project implementation
 - o Project evaluation
 - o Publications
3. Have you received and referred inquiries/requests from within AID/W or missions to WASH? Y/N
4. Have you received and referred inquiries from outside AID to WASH? Y/N
5. Do you deal directly with WASH or through S&T/Health? Why?
6. Is S&T/Health/WS&S responsive to your needs? Y/N
7. Is WASH responsive to your needs? Y/N Please rate. (1 to 5)
8. How do you rate WASH the following WASH services? (1 to 5)
 - o Engineering/hardware competence
 - o Institutional development
 - o Human resources development
 - o Health education
 - o Community participation
9. In the future, do you feel that WASH, with its present scope of services and structure, will be used more or less by the Bureau and missions?
10. At present, which do you prefer to call on to provide TA in the WS/S area? WASH, IQCs, or PVOs?

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(Note: These materials were consulted/reviewed by the team as they felt the need. No one member read all the materials.)

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