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WATER, SANITATION, AND HYGIENE PARTNERSHIPS AND LEARNING FOR SUSTAINABILITY (WASHPaLS)

Annual Report – Year 1
September 16, 2016 to September 30, 2017

TETRA TECH

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ANNUAL REPORT – YEAR 1
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DISCLAIMER
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ACRONYMS AND ABBREVIATIONS

CKM	Communications and Knowledge Management
CLTS	Community Led Total Sanitation
DPD	Deputy Project Director
EOI	Expression of Interest
ES	Engagement Strategy
FHI 360	Family Health International
GESI	Gender Equality and Social Inclusion
GHP	Global Handwashing Partnership
GMP	Grants Management Plan
HBC	Hygiene Behavior Change
ICT	Information and Communications Technology
IE	Impact Evaluation
IYC	Infants and Young Children
IYCF	Infant and Young Child Feeding
LA	Learning Agenda
M&E	Monitoring and Evaluation
MBS	Market Based Sanitation
OD	Open Defecation
ODF	Open Defecation Free
PD	Project Director
Q	Quarter
REOI	Request for Expressions of Interest
RWG	Research Working Group
SBCS	Senior Behavior Change Specialist
STTA	Short-Term Technical Assistance
SWA	Sanitation and Water for All
SWWW	Stockholm World Water Week
TO	Task Order
TOCO	Task Order Contracting Officer

TOCOR	Task Order Contracting Officer's Representative
UNC	University of North Carolina
USAID	United States Agency for International Development
USG	United States Government
WASH	Water Supply, Sanitation and Hygiene
WASHPaLS	Water, Sanitation and Hygiene Partnerships and Learning for Sustainability
WSSCC	Water Supply and Sanitation Collaborative Council

PREFACE

The Water, Sanitation and Hygiene Partnerships and Learning for Sustainability (WASHPaLS) project is a 5-year task order awarded to Tetra Tech on 16 September 2016 under USAID's Water and Development Indefinite Delivery Indefinite Quantity Contract (WADI). Tetra Tech implements the project in collaboration with several non-governmental organizations and small-business partners—Aquaya Institute, Family Health International (FHI 360), FSG, and Iris Group—that contribute expertise in state-of-the-art WASH programming and research. Distinguished academics, practitioners, and policy makers from across the WASH sector regularly provide expert perspectives to the project through an internal research working group and an external WASHPaLS Advisory Board.

WASHPaLS supports the Agency's goal of reducing morbidity and mortality in children under five as part of the Ending Preventable Child and Maternal Deaths initiative by ensuring USAID programming employs high-impact, evidence-based environmental health and WASH interventions. The project identifies and shares best practices for achieving sustainability, scale, and health impact by generating evidence to support the reduction of open defecation and movement of communities up the sanitation ladder while also focusing on novel approaches for reducing feces exposure to infants and young children (IYC). Specifically, the project:

1. Offers USAID missions and technical bureaus ready access to thought leaders and analytical expertise across a wide range of WASH themes in response to their needs (Component 1);
2. Generates evidence through implementation research to increase the sector's understanding of and approaches to sustainable WASH services, the effectiveness of behavioral and market-oriented approaches to sanitation, and measures to disrupt pathways of fecal exposure to infants and young children (Component 2); and
3. Administers a small grants program on hygiene behavior change (Component 3); and
4. Engages and partners with national and global stakeholders to promote the use and application of WASHPaLS-generated evidence and global best practices by practitioners and policy makers, tapping into broad coalitions and dynamic partnerships (Component 4).

1.0 INTRODUCTION

The WASHPaLS Year 1 Annual Report covers the period from task order award on September 16, 2016 to September 30, 2017. It presents the project's major achievements, notable challenges, and adherence to the schedule of activities outlined in the Year 1 Annual Work Plan.

Section 2 summarizes the key Year 1 accomplishments under each of the four Components as well as project management. Section 3 then discusses progress under each Component in more detail. Section 4 presents achievements and challenges incorporating aspects of gender equality and social inclusion (GESI) across project activities. Section 5 provides a comparison of annual achievements vs. Year 1 targets for each of the performance indicators included in the approved Monitoring & Evaluation Plan. Project Management is discussed in Section 6, and an analysis of the Year 1 burn rate compared to the original budget projection is provided in Section 7. Appendix 1 summarizes the status of all key activities included in the Year 1 Work Plan, and Appendix 2 lists the deliverables and reports submitted in Year 1.

Pursuant to section F.5 of the WASHPaLS Task Order (TO) and with the consent of the WASHPaLS Task Order Contracting Officer's Representative (TOCOR), (1) this report incorporates material that would otherwise be included in the fourth quarterly report, and (2) the discussion under Component 4 serves as the Year 1 Annual Partnerships Report, a yearly deliverable required in WASHPaLS contract.

2.0 YEAR 1 HIGHLIGHTS

The following is a summary of noteworthy process or milestone achievements in the first year of the WASHPaLS Project, covering the period from September 16, 2016 to September 30, 2017.

Project Management

- Rapid start-up: following the post-award meeting in October 2016, WASHPaLS on-boarded or recruited key personnel, established internal procedures, communications with USAID and external partners and held a team-wide planning session to develop the Year 1 Work Plan.
- Submitted other initial Year 1 project deliverables on schedule in Quarters 1 and 2, including: Monitoring and Evaluation (M&E) Plan, Quality Assurance/Quality Control (QA/QC) Plan, and Branding Implementation Plan and Marking Plan.
- Constituted the WASHPaLS Advisory Board, developed Terms of Reference for the Board, and held three official meetings, as well as numerous consultations with individual members on technical issues related to project implementation.
- Established a collaborative working relationship with the USAID technical leads through bi-weekly project meetings to discuss overall progress and periodic technical meetings to discuss direction of Component 2 and 3 activities. WASHPaLS distributes summary notes.
- Prepared a draft Engagement Strategy to define a knowledge generation and dissemination process for how the project will interact with and ultimately influence national and global stakeholders.

Component 1 – Technical Assistance to USAID

- Prepared a Component 1 response protocol and financial reporting template that is captured in a comprehensive *Component 1 Technical Assistance Manual,* and developed other internal project management documents, such as an *Organizational Conflict of Interest Risk Mitigation Plan.*

- Designed marketing collateral to promote WASHPaLS' services to USAID operating units.
- Received the first Component 1 request from E3 Bureau to support completion of the USAID Cambodia/NOURISH project impact evaluation.

Component 2 – Implementation Research

- Produced initial and revised versions of the desk reviews for Task 2.1.1 (CLTS) and Task 2.2.1 (MBS), a final version of the review for Task 2.3.1 (safe play spaces), and an initial version of the ICT landscape assessment under Task 2.1.3.
- Developed initial versions of research questions for the three research streams based on findings of the desk review.
- Attended Stockholm World Water Week (SWWW), convening a closed technical session titled "Research Priorities for Reaching Universal Sanitation" to share findings from the CLTS and MBS desk reviews and solicit feedback from sector thought leaders on the proposed research questions.

Component 3 – Small Grants Program

- Finalized the Grants Management Plan (GMP).
- Launched the Grants Program with issuance of a two-tiered Request For Applications that generated 334 Expressions of Interest (EOIs) from 24 countries; eight organizations were invited to submit full applications and three have been selected for award.

Component 4 - Partnerships

- Fielded a two-person consultant team to perform a governance assessment of the Sanitation and Water for All (SWA) global partnership; completed first draft of a report detailing the governance challenges facing the SWA.
- Participated in quarterly meetings with representatives of each of USAID's centrally-funded water/WASH projects.

3.0 ACHIEVEMENT BY COMPONENT

This section presents a discussion of achievements by Component. Three overarching areas of the project are mentioned first: establishing the Advisory Board (Board), refining an Engagement Strategy, and developing a Learning Agenda.

Advisory Board. The WASHPaLS TO requires the establishment of an Advisory Board to provide external perspectives from and networking opportunities with recognized sector thought leaders and peer organizations. In October 2016, WASHPaLS held an initial meeting with potential Board members, identified in consultation with USAID, at a side session at the University of North Carolina's (UNC) Water Institute Water and Health Conference. All invitees to the UNC meeting accepted the invitation and the Board was constituted in November 2016 with the following seven members: Clarissa Brocklehurst (Independent), Martin Gambrill (World Bank), Michael Gnilo (UNICEF), Eddy Perez (University of Colorado, Boulder), Jan Willem Rosenboom (Bill and Melinda Gates Foundation), Darren Saywell (formerly, Plan International), and Carolien Van der Voorden (WSSCC). Darren Saywell and Martin Gambrill have since resigned from the Board; Mr. Saywell in July and Mr. Gambrill in September. WASHPaLS and USAID are working to identify replacement candidates.

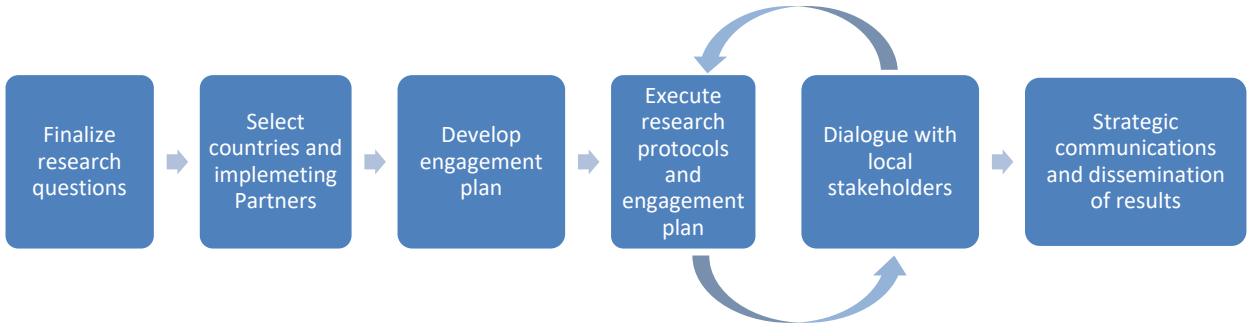
The Terms of Reference for Board membership were finalized in early Q2, incorporating inputs from Board members and USAID. The first official Board meeting was convened on December 16, 2016 (via teleconference), and quarterly meetings were held in May 2017 (via teleconference) and August 2017 (in person) at SWWW. Most members have attended each of the quarterly meetings and remained highly engaged throughout the year via informal consultations with WASHPaLS staff on specific implementation topics. Board members have presented WASHPaLS opportunities for representation and influence (e.g., participation at the UNICEF-sponsored CLTS conference in the Philippines). The Board has proven to be an invaluable source of reflection and technical feedback as Component 2 research has taken shape.

Engagement Strategy. WASHPaLS is a project that generates knowledge outputs in partnership with other projects, organizations, and individuals, and promotes the dissemination and use of the evidence generated to maximize its utility and influence on policy and practice both within collaborating country contexts and globally. Engagement[1] is central to the success of WASHPaLS, seeking to ensure that knowledge generated by the project is responsive to the needs of target end users (e.g., governments, donors and practitioners) and that this evidence has the greatest chance of being taken up by those groups to inform current and future WASH programming and ultimately better development outcomes.

In Q3 WASHPaLS submitted a draft Engagement Strategy (ES) that articulates the project's understanding of and processes necessary to ensure proper engagement; it presents a structured approach for WASHPaLS to constructively involve and interact with local stakeholders, missions and the global community of practice across project components. WASHPaLS received USAID's feedback in Q4 and expects to submit a revised version on the ES in Q1 of Year 2.

A major element of the ES is the rationale and process for developing country-specific engagement plans to support Component implementation research. Engagement for implementation research activities will focus on missions, host country national and sub-national governments, and the partner projects and/or institutions with which WASHPaLS will collaborate. These in-country stakeholders will play a central role in supporting the dissemination and scale-up of learning within the national systems. County Engagement Plans (Figure 1) will be developed in Year 2 as part and parcel of the implementation research planning for field activities. These plans are deliberate in their intention to get WASHPaLS staff, missions, and local partners to take engagement seriously at the outset of implementation research and to make sure that it remains a hallmark of our approach throughout the field research.

FIGURE 1: DEVELOPMENT OF COUNTRY-SPECIFIC ENGAGEMENT PLANS



Learning Agenda. The WASHPaLS Learning Agenda (LA) refers to the set of inter-related research questions for which the project seeks to generate evidence, answers, and actionable findings, and the

[1] A deliberate processes that facilitates a regular exchange of ideas between the project and end-users of the project's knowledge outputs with the intention of maximizing alignment between the two. This may include one-off consultations at the start or end of an activity or, more frequently, a longer-term process of interaction before, during and after implementation research. It is a means of achieving influence and uptake.

processes that will be followed to do so. Rather than a top-down, preconceived roadmap of the types of questions the project would engage with, the LA has evolved in response to findings from the Component 2 desk reviews, observations from the Advisory Board and feedback from multiple stakeholder consultations organized throughout the year. WASHPaLS began developing the Learning Agenda in Q4 in parallel to the ongoing refinement of the Component 2 research questions and related intervention protocols. We anticipate finalizing the Learning Agenda early in Year 2.

COMPONENT 1: SHORT-TERM TECHNICAL ASSISTANCE TO USAID

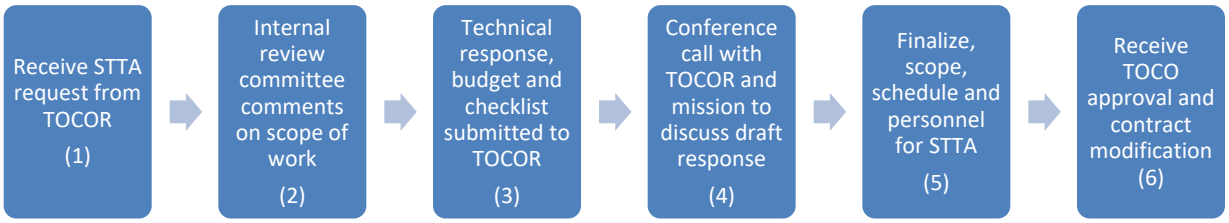
WASHPaLS offers USAID missions and technical bureaus access to international experts to provide short-term technical assistance (STTA) on a range of WASH themes. STTA provided under Component 1 is entirely demand driven and requires operating units to buy-into the mechanism. WASHPaLS can accommodate up to $15 million in buy-ins over the life of the project.

Marketing STTA Services to Missions. The TOCOR and USAID Water Office staff take the lead in marketing the capabilities of the WASHPaLS technical assistance facility within the Agency. WASHPaLS developed marketing collateral and communications materials to support this effort. In Q1, WASHPaLS designed a two-page fact sheet describing the technical assistance services available to USAID operating units, and in Q2, prepared a poster for display at the USAID WASH Officers Training Workshop in South Africa.

STTA Response Protocol. In Q2, WASHPaLS developed a standardized protocol for responding to STTA requests that is consistent with the field support approval process in Section H.15 of the TO (Figure 2). In February, Tetra Tech met with USAID to clarify key items of the approval process. The response protocol, together with a set of standardized reporting materials, style guides and templates to be used for all technical assistance assignments, was assembled into a comprehensive *Component 1 Technical Assistance Manual*.

Also in Q2, WASHPaLS finalized an internal *Organizational Conflict of Interest Risk Mitigation Plan* to ensure that technical assistance assignments implemented under Component 1 provide neither Tetra Tech nor our WASHPaLS subcontract partners an unfair competitive advantage on future USAID procurements, nor impact our ability to provide unbiased support to USAID on the current assignment. Though not a TO deliverable, USAID reviewed the document and provided valuable feedback that was incorporated in the final version.

FIGURE 2: COMPONENT 1 STTA RESPONSE PROTOCOL



Summary of STTA Assignments. WASHPaLS received one request for technical assistance in Year 1 (Table 1).

NOURISH Impact Evaluation. In August 2017, WASHPaLS received a $1.1 million request from the E3/Office of Water to support completion of the impact evaluation (IE) for the USAID/Cambodia NOURISH project. The IE was designed by the ongoing E3 Analytics and Evaluation Project (implemented by Tetra Tech MSI) that ends in September 2018. The IE will test how effective integrating

sanitation and hygiene interventions along with nutrition services is in improving child linear growth, as well as whether this integrated approach is more effective than stand-alone nutrition or sanitation/ hygiene interventions. In Q4, WASHPaLS staff met with the Tetra Tech MSI implementation team to discuss the current proposal, timeline and budget for the IE. WASHPaLS will respond to the STTA request in Q1 of Year 2. The anticipated period of performance is August 2018 to November 2020, i.e., the bulk of the work, which includes undertaking program fidelity monitoring, endline data collection, and data analysis tasks, will be completed in Year 3 of WASHPaLS.

TABLE 1: YEAR 1 WORK ORDERS

Work Order Name	Requesting Operating Unit	Budget	Implementation Dates	Status
NOURISH IE	E3	$1.1 million	August 2018-November 2020	WASHPaLS is preparing technical response and Budget

COMPONENT 2: IMPLEMENTATION RESEARCH

WASHPaLS employs implementation research to investigate, understand, and provide evidence-based guidance to increase the effectiveness of established and emerging programmatic approaches to improving sanitation and hygiene behaviors at scale. Component 2 is divided into three research tasks:

1. Task 2.1: Examination and analysis of Community-Led Total Sanitation (CLTS), including a dedicated Information and Communication Technology (ICT) activity (Subtask 2.1.3);
2. Task 2.2: Exploration of market-based sanitation (MBS); and
3. Task 2.3: Testing of approaches to improve hygienic environments ("safe play spaces") for Infants and Young Children (IYC).

Work on each of the research streams is advancing in two parts: an initial literature or desk review to identify current gaps in the evidence base (this has been a major focus of Year 1 activities), followed by a field-based implementation research phase that seeks to fill some of the identified gaps (to begin in earnest in Year 2). Year 1 progress under each of the Tasks is presented below.

Internal Research Working Group. WASHPaLS recognizes that there are significant programmatic linkages among the three research streams, as well as with the behavior change grants of Component 3. To this end, in Q1, WASHPaLS consolidated an internal Research Working Group (RWG) to help the project (1) coordinate research agendas and ensure learning across all research streams and (2) maintain quality assurance/quality control of the work outputs of Component 2. The RWG consists of the Deputy Project Director (DPD), the research leads of Tasks 2.1, 2.2, and 2.3, and three Research Advisors—Drs. Joe Brown, Mimi Jenkins and Francis Ngure. Beginning in Q2, the RWG met quarterly, supporting research activities by reviewing drafts of the desk reviews and discussing the emerging research questions. The RWG forum proved effective for identifying and discussing opportunities to share and integrate research across the three streams. Beginning in Year 2, the Senior Gender Advisor from the Iris Group will join the RWG to better integrate GESI themes into the research activities.

In addition to the RWG and the Advisory Board, technical direction from USAID was highly influential in shaping the trajectory of Component 2 over Year 1. USAID Technical Leads provided extensive feedback to drafts and they have been routinely consulted as the priority research questions and potential host countries/partners for the implementation phase began to emerge in Q4.

Mendeley Database. In Q1 WASHPaLS committed to using the Mendeley software platform to create an electronic repository of the literature consulted during the literature/desk review phase of the research. Mendeley is commonly used in academic circles to build customized, indexed, and searchable libraries of peer review and grey literature. Nearly 2,800 references related to CLTS, MBS, and safe play spaces are now contained in the database, including some 2,000 full-text PDFs. The library serves as a master source for all WASHPaLS research teams and continues to be updated weekly as new literature becomes available. The library has been shared with the USAID-funded WASH CKM project that is now updating a mirror version of the database with additional WASH sector references. Together with CKM, we are developing a plan for more public rollout of the resource in Year 2.

Task 2.1: Assess Mechanisms for the Achievement of Open Defecation Free Nations

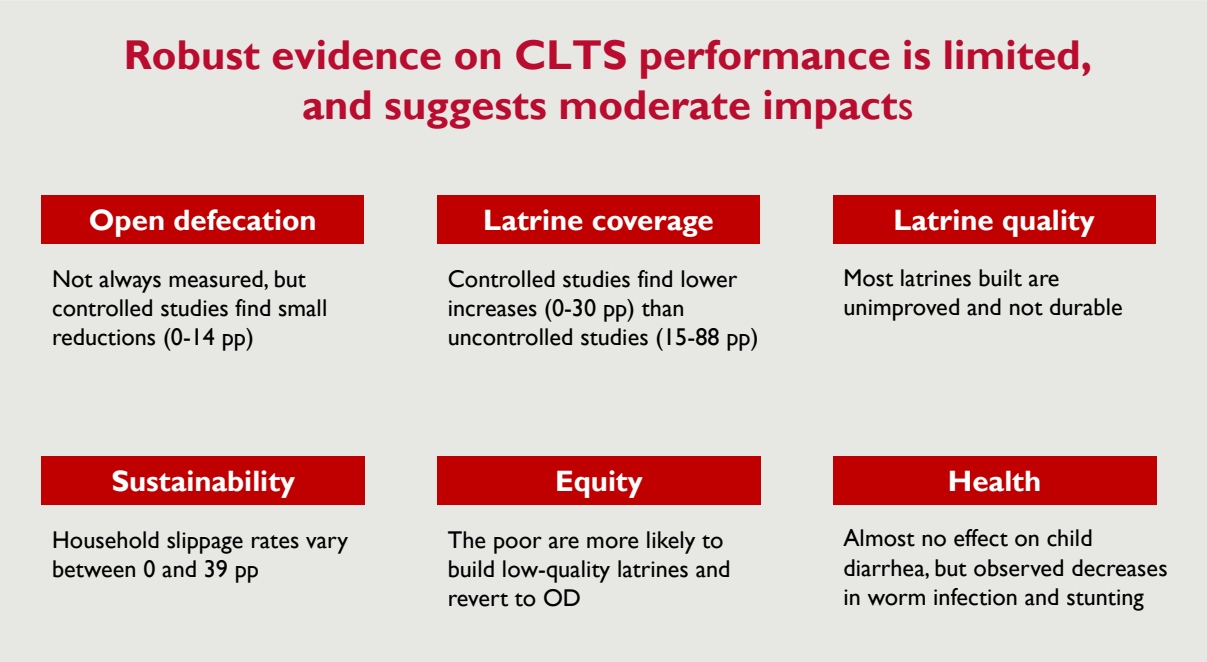
Under Task 2.1, WASHPaLS is undertaking a thorough examination and testing of Community Led Total Sanitation (CLTS). This work is led by the Aquaya Institute with the support of Dr. Joe Brown as Research Advisor.

CLTS Desk Review (Subtask 2.1.1). The first draft of the desk review was submitted for review on June 21, 2017, and a revised version incorporating USAID feedback was submitted on October 2, 2017. The final version is expected in Q1 of Year 2. The desk review combined a survey and review of over 1,600 articles with roughly two dozen key informant interviews. The review focused on independent verification of CLTS program outputs and an analysis of multiple performance parameters and included a national sanitation policy inventory from over 25 countries. Highlights and key takeaways from the review are summarized in Figure 3 and Box 1.

Findings of the desk review were presented at two WASHPaLS events held during Stockholm World Water Week (SWWW): (1) the third convening of the WASHPaLS Advisory Board and (2) a WASHPaLS-sponsored invitation only meeting of practitioners, government officials, and researchers. For the latter event, WASHPaLS paid for the attendance of four individuals from sub-Saharan Africa (a national ministry official from Zambia, a local government implementer from Uganda, and an NGO implementer and World Bank representative from Kenya), as well as an independent consultant in rural sanitation with deep experience evaluating CLTS programs.

Based on the findings from the desk review, the Task 2.1 team began preparing follow-on documents to disseminate findings to academic, practitioner and government audiences, including a Learning Brief, a manuscript for submission to a peer-reviewed academic journal, and materials to support a webinar.

FIGURE 3: SUMMARY OF EVIDENCE ON THE IMPACTS OF CLTS (pp= percentage points)



CLTS Implementation Research (Subtask 2.1.2). In parallel with the completion of the Desk Review and in consultation with the RWG and USAID, the Task 2.1 team began developing field research concepts for CLTS implementation research. The Task 2.1 team presented a set of experimental, quasi-experimental, and non-experimental designs on CLTS at the WASHPaLS Year 2 work planning meeting in early August (which included all members of the RWG and USAID). Further vetting during public consultations at SWWW and refinement through discussions with USAID and the Advisory Board yielded a provisional go-ahead for two questions:

1. ***CLTS + Subsidy***
   - Can carefully targeted subsidies complement CLTS implementation and improve CLTS outcomes (e.g., latrine coverage, latrine quality, equity, sustainability)?
   - How do variations in subsidy eligibility criterion and size of subsidy bear upon outcomes?
2. ***The CLTS "Performance Envelope"***
   - What explanatory factors are associated with CLTS performance? Are there specific variables that can predict CLTS via readily available proxies? (Quantitative)
   - Why are CLTS programs successful or not? (Qualitative)

Study designs, budgets, and locations for field research will be finalized by early Q2 of Year 2.

Box 1: Analytical highlights of the CLTS desk review

There is insufficient reliable information on CLTS performance with respect to Open Defecation (OD) reduction and latrine adoption. Internal performance monitoring by implementing NGOs and governmental institutions must continue, but should be complemented more frequently by independent data collection and analysis. Making official verification and certification protocols as independent, efficient, and cost-effective as possible should be a priority. Without reliable information, it is impossible to draw conclusions about the best ways to employ and adapt CLTS to maximize its effectiveness.

The behavior change brought about by the best of the CLTS deployments, even when short of the installation of hygienic latrines, may be sufficient to improve health; however, further research is needed. An important area of CLTS-related public health research moving forward is to determine whether unimproved latrines—which are overwhelmingly the ones installed as a result of CLTS programs—are sufficient to achieve and sustain health gains. At the moment there is a single high-quality health study of CLTS in Mali that provides a first encouraging hint that the approach can address child growth faltering. In an effort to replicate these results elsewhere, attention should be paid to answering the question of whether rudimentary pits can be kept clean and fly-free enough to achieve (and sustain) those health gains.

CLTS works, but not necessarily for everyone, everywhere, or all the time. There is some reason to believe that the most disadvantaged within a given community do not benefit from CLTS as much as others, particularly those with the most limited financial means (as they are the least able to invest in durable latrines), but even on this question, the evidence is mixed. Although not fixed, CLTS appears to have a performance envelope. The limits on CLTS potential appear to include situations where open defecation is already low, full toilet subsidies have already been offered, soils are challenging for excavation, and social cohesion is poor. Still, a careful examination of the contours of this envelope is very much worth pursuing.

CLTS can be integrated with other measures and that integration can be done in a careful way that avoids "contaminating" the collective action process. Arguments that CLTS must function as a stand-alone intervention are unconvincing. The goals of CLTS may be limited to community achievement of ODF status, but the broader public health and development objective should be to drive communities up the sanitation ladder. Efforts must be made to help communities gain access to products, services, and information (often accomplished through market-based approaches) and increasing communities' ability to purchase those products and services (including via carefully designed and timed of subsidies to the poorest households).

CLTS is clearly less costly than programs that provide full subsidy of hardware, but its cost is in the same range with market-based approaches or targeted subsidies. Recent CLTS cost estimates must be considered carefully, but to help governments and major funders decide how to allocate resources among behavioral, supply-side, and pro-poor measures. Along with sequencing and integrating CLTS with other interventions, it also needs to be targeted toward where it can be cost-effective. It is not a blanket approach for everywhere. Well-executed Sanitation marketing and OBA subsidy programs deliver improved latrine unit costs that are in the same range as those of CLTS for each household targeted.

Information and Communications Technology (ICT) to Aid the Effectiveness of CLTS Implementation (Subtask 2.1.3). The first draft of the Task 2.1.3 ICT landscape assessment intended in-part to provide insights into the process of developing a lasting ICT solution tailored to the needs of CLTS implementers, governments, and communities was submitted on July 31, 2017. Findings of the study cast doubt on the long-term viability and demand for an ICT decision support tool to assist in CLTS deployment as described in the TO. WASHPaLS has begun to re-shape the scope of the activity away from solution development and/or optimization activities, to a more research focused activity to examine the scaled implementation of a mature ICT deployment in support of national-level CLTS program in Zambia. A decision on the ultimate direction of this sub-Task will be made in consultation with USAID in Q1 of Year 2.

Task 2.2: The State of Sanitation Marketing

Task 2.2 focuses on understanding the opportunities and challenges associated with approaches to MBS for delivering universal access to improved sanitation, using a "market ecosystems"-based perspective to investigate the local and national scale market factors that enable (or dissuade) supply and demand of sanitation products and services applied to specific country contexts. This work is led by FSG with support of Dr. Mimi Jenkins as Research Advisor.

MBS Desk Review (Subtask 2.2.1). Year 1 focused on preparing the desk review. During Q2, a search methodology was developed to build a repository of literature on MBS for survey by the team resulting in collation of over 1,400 documents. Over the course of Q2 and Q3, approximate 600 documents including peer-reviewed articles and grey literature related to MBS were filtered and reviewed for insights, which were synthesized in an auxiliary literature survey document. In addition, 23 documents deemed important for understanding the state of MBS practice but not captured by the systematic search methodology were consulted.

In parallel with the literature survey, the study team identified 1,253 WASH grants that incorporated elements of MBS and through a systematic filtering process developed in consultation with the Research Advisor and DPD, arrived at a list of 107 MBS interventions. Applying a selection criteria (Box 2) and in consultations with experts, 13 interventions were finalized for in-depth research to understand the approaches and practices adopted by MBS interventions to deliver sanitation solutions at scale. Over the course of Q2 and Q3, the Task 2.2 research team reviewed key project and secondary literature from these interventions as well as conducted interviews with key informants including implementation staff and funders.

Box 2: Case Study selection criteria for the MBS review

The quality of literature on MBS is varied and the insights fragmented with limited in depth studies or published papers in academic literature. As a result, the MBS desk review relied much more on grey literature and reporting documents from MBS implementers, the quality of which is highly variable. Defining an appropriate scale criteria for the case studies proved challenging. The team eventually settled on an inclusion criteria of at least 10,000 toilets or households (50,000 individuals) and added supplementary criteria such as interventions with significant lessons or implemented in challenging contexts. We found that often, sanitation specific outputs and budgets are consolidated with other components of large WASH programs. In cases where data was not available, ambiguous or not conclusive, interventions were excluded from research even if they may have attained scale.

The first component of the review focused on the findings from the literature review was submitted in draft to USAID on July 11, 2017. This draft was then enhanced with findings from the in-depth review of the 13 case studies and a broader analytical "Framework" document and submitted on October 6, 2017. Key findings from the MBS review are presented in Box 3.

Highlights from the draft Desk Review and proposed research questions were presented at the WASHPaLS side session at SWWW. Subsequently, a full presentation of the draft Task 2.2.1 Desk Review comprising the framework, findings, guidance, and proposed Year 2 implementation research questions were presented to USAID and Jan Willem Rosenboom and Danielle Pedi from the Bill & Melinda Gates Foundation on September 27, 2017, in Seattle, Washington.

Box 3: Key findings from the draft Task 2.2.1 Desk Review

1. Sanitation enterprise viability is a function of both business model and entrepreneurial acumen.
   - Rural sanitation is rarely viable as a standalone, full-time venture; it is more often viable as a product/service offering within a broader business.
   - Target market, product design, and delivery model (i.e., organization of various supply chain components to provide a cost-efficient way of delivering the product to the customer) determine and depend on the skills, capabilities, and other business lines of existing entrepreneurs.
2. Sanitation enterprise sustainability must incorporate the costs of subsidized public goods.
   - Market research, product design, setup and management of demand activators, etc., are often donor-funded.
   - Donor or government-funded sales incentives, business development support, and other features must be factored into enterprises' cost structures to properly project commercial performance once donor support ends.
3. Market-based sanitation functions within a broader business environment and context.
   - Creating favorable conditions (e.g., market rules, public goods) is within the scope of governments and large donors, but beyond the capability of a single enterprise.
   - The operating context determines the performance envelope for MBS and generally cannot be altered by an enterprise or a single 3-5 year intervention; MBS should be complemented by non-market-based approaches for demand activation.

MBS Implementation Research (Subtask 2.2.2). A number of potential research questions were presented and discussed at the WASHPaLS annual work planning meeting in August 2017 (Figure 4).

From this broad list, two questions were shortlisted and further refined in the weeks leading up to SWWW. These focused on 1) understanding the factors the influence that long-term viability of sanitation entrepreneurs and 2) understanding the effect various market rules may have on increasing toilet sales. Inputs from SWWW and other consultations resulted in broad agreement of research designs for each by the end of September (Table 2).

FIGURE 4: POTENTIAL RESEARCH QUESTIONS EMANATING FROM THE MBS DESK REVIEW

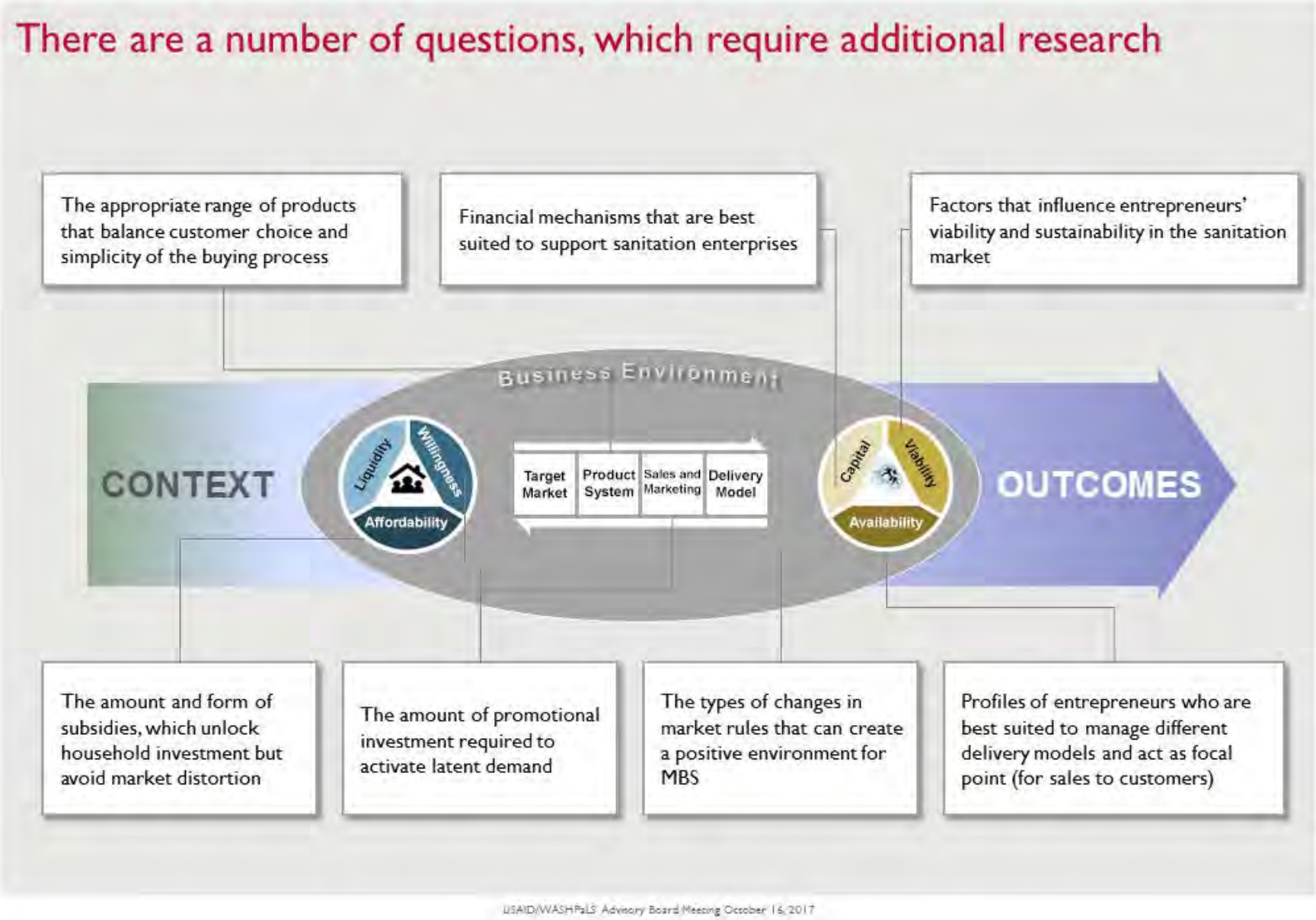


Table 2. Proposed Research Questions for MBS

Topic	Central question	Broad Design	Outcome
VIABILITY OF SANITATION ENTERPRISES	How can enterprises be made viable and their sustainability ensured after ongoing public goods investments are removed when donors exit the market? How do choices of entrepreneur, product system, and delivery model impact the sanitation enterprise viability?	- Retrospective analyses of 3 mature MBS programs with respect to enterprise performance and entrepreneurial profiles across a range of business performance levels, from those who exited the market to those "positive deviants" who have stayed and thrived. - Prospective analyses with additional performance parameters tracked across one mature and two nascent MBS programs (in Sub-Saharan Africa) over 6-12 months. Participating entrepreneurs to be provided with "light-touch" ideas and best practices based on earlier desk research and retrospective analyses.	Results will be analyzed to identify 1) the profile of entrepreneurs who are best suited to act as customer-facing sales focal points and 2) what factors most impact viability.
CHANGES IN MARKET RULES	To what extent can legislative and/or regulatory actions impact toilet sales and health outcomes? How do any novel benefits compare to costs to the government?	Build economic models for a particular market to conduct cost-benefit analysis of • policies that support entrepreneurs directly (e.g., tax holidays for sanitation enterprises); • reduced tariffs/taxes on toilet prices and consequent change in toilet sales; • penalties such as denial of a service or imposition of a surcharge on higher-income households without toilets	The objective of this design is to quantify the cost-benefit of various policy options

Task 2.3: Effectiveness of Improved Hygiene Environments for Infants & Young Children

This task seeks to answer two key questions: 1) *To what degree are behavior change programs and technologies intended to improve hygienic environments for children effective at reducing microbial ingestion of feces and associated pathogens?* and *2) What interventions or combination of interventions (both behavior change programs and new technologies) result in the greatest impacts on nutritional outcomes?* The WASHPaLS TO stipulates the design and execution of a field experiment to answer these questions, preceded by a literature review on the subject of risks to IYC health from fecal contamination in home environments, with particular attention to historically under-emphasized disease transmission pathways. This work is led by FHI 360 with the support for Francis Ngure as Research Advisor.

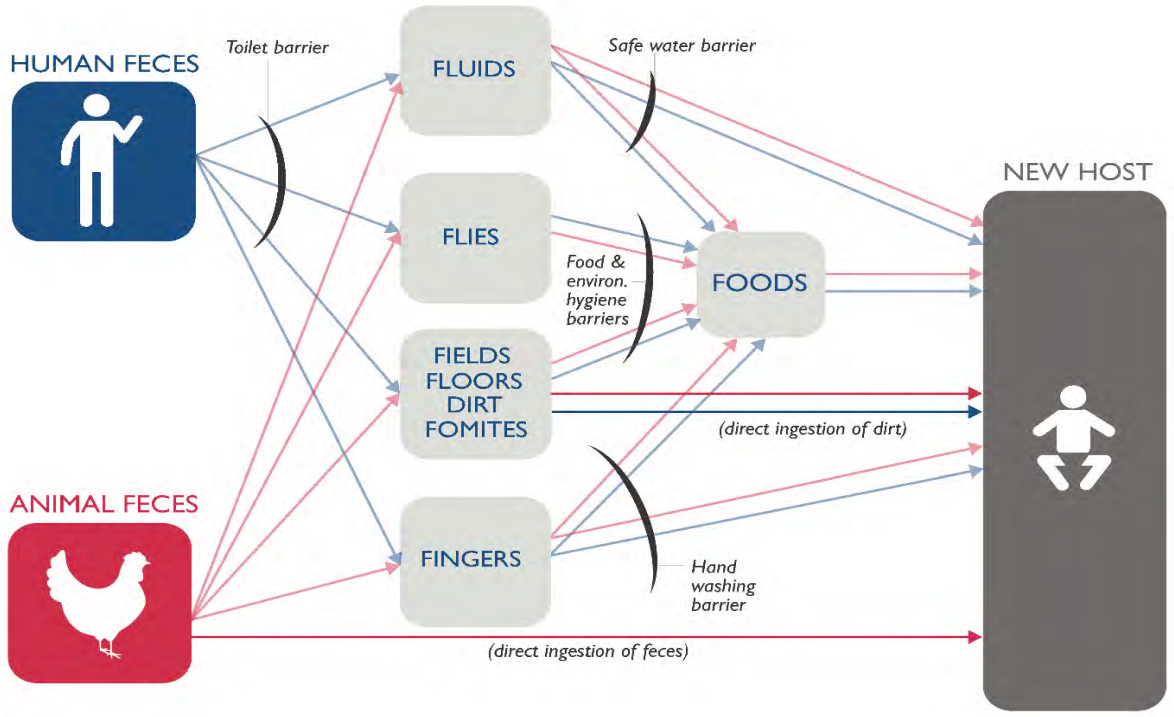
Safe Play Spaces Literature Review (Subtask 2.1.3). In Year 1, the team completed the literature review that included a survey of some 180 documents. It was submitted in draft on March 22, 2017, and approved in early October 2017, following revisions to incorporate USAID comments.

A re-examination of Wagner and Lanoix's "F-diagram" served as a backdrop for the safe play spaces literature review, the key findings from which are summarized below.

- The relative magnitudes of transmission pathways of enteric microbes in IYC are not well defined and are highly context-specific, making it difficult to conclude which pathways represent the highest risk.

- Animal excreta in the domestic environment is a neglected source of pathogens. Risks from uncontained animal feces are abundant and constitute an important reservoir of zoonotic pathogens and non-commensal fecal microbes to the domestic environment, water supply sources, and unclean hands.
- Direct ingestion of fecally contaminated soil and/or animal feces is a critical and under-emphasized pathway for exposure of fecal pathogens by IYC. Figure 5 presents a modified F-diagram that accounts for animal waste risk and direct ingestion by IYC.
- Evidence of WASH interventions reducing diarrhea and growth faltering among under five-year old children is mixed, and is stronger for particular categories of WASH interventions than for others. The additive or synergistic effects of different WASH interventions on child health are complex and still not well understood.

FIGURE 5: MODIFIED F-DIAGRAM THAT ACCOUNTS FOR ANIMAL WASTE RISK AND DIRECT INGESTION BY IYC



Findings from the review and discussions with practitioners and academics working in the field confirmed an increasing recognition of the imperative to prevent fecal contamination of the domestic environment and associated ingestion of soil and animal feces by IYC. Ongoing interventions that seek to disrupt under-emphasized pathways from these under-emphasized pathogen reservoirs are numerous and include: finished flooring; improved animal husbandry practices, such as corralling and other means to separate IYC and animals; play mats for immobile infants; and a play mat/playpen combination for crawling and mobile infants.

Our review confirmed that evidence on playpen/play space interventions preventing fecal ingestion or improve child health is limited (though the upcoming SHINE results are expected fill some of this evidence gap). A small number of implementing organizations have conducted formative research and

executed interventions to address poultry feces through modified animal husbandry practices, but data are not generally available on the effectiveness of these approaches.

WASHPaLS presented preliminary findings of the literature review at the Spring and Fall Practitioners Meetings of the CORE Group, a group comprised of over 100 member organizations working to end preventable maternal, newborn and child deaths around the world. An abstract to present the literature review was also accepted as part of a panel on Neglected Disease Pathways at the October 2017 UNC Water and Health Conference.

Safe Play Spaces Implementation Research (Subtask 2.3.2). In anticipation of the field experiment for Year 2, beginning in Q4 the Task 2.3 team worked to identify existing WASH-nutrition projects with which to collaborate. Working closely with USAID, WASHPaLS communicated with possible implementing partners in Malawi and Ethiopia to explore the feasibility of collaboration. In addition, in consultation with USAID and the RWG, the team developed four briefs to present the possible interventions and experimental designs, including those focusing on biological plausibility (via observations of child care behaviors as well as analysis of pathogen exposures). Pending the release of findings from the SHINE and WASH Benefits research trials and site visits to potential host countries in Q1 of Year 2, WASHPaLS will move forward with arrangements and designs in Q1/Q2 of Year 2.

COMPONENT 3: SMALL GRANTS PROGRAM ON HYGIENE BEHAVIOR CHANGE

Through the $1.5 million Grants under Contract program, WASHPaLS will award at least 10 grants over the life of project to investigate the effectiveness of existing and innovative approaches to improve and sustain WASH-related healthy behaviors. Findings from these grant activities will contribute to the evidence base around effective behavior change programming, contributing to the project's learning agenda, and supporting achievement of the EPCMD goal.

Grants Management Plan. In Year 1, WASHPaLS drafted a Grants Management Plan (GMP) and submitted a final version that was approved by USAID on March 1, 2017. The GMP outlines the steps WASHPaLS will follow to develop and ensure a competitive, transparent, and compliant process for soliciting grant applications and establishes the process for technical evaluation, selection of grantees, and management during grant implementation.

WASHPaLS launches first solicitation. After consultation with USAID, WASHPaLS decided on a two-tiered application process to evaluate and award grants focused on innovative approaches to trigger and sustain hygiene behavior related to either habit formation or gender equality and social inclusion (GESI). The first tier consisted of issuing a Request for Expressions of Interest (REOI) through which eligible organizations were invited to submit a short concept note describing their idea or innovation. Applicants whose concepts demonstrated the most promise to contribute to the project's objectives were then invited to submit a fully developed application (second tier).

WASHPaLS issued the REOI in early June and received 334 responses from 24 countries, of which 173 focused on habit formation, 75 on GESI, 33 were unspecified, and three addressed both technical areas. EOIs were received from a diverse pool of US- and non-US applicants ranging from local community organizations to large, well-known international NGOs. The Review and Evaluation Committee (REC) comprised of representatives from the project and USAID reviewed the 284 EOIs that passed the initial screening and invited eight organizations to submit full-applications. Five tier-two applications focused on habit formation and three on GESI. In Q4, the REC reviewed the full-applications and selected three for award—two focused on habit formation and one on GESI (Table 3). Negotiations are under way and awards are expected in Q1 of Year 2.

TABLE 3: YEAR 1 GRANTS SELECTED FOR AWARD

GRANTEE NAME	ACTIVITY TITLE	COUNTRY	BUDGET	EST. PERIOD OF PERFORMANCE	STATUS
Splash	WASH-in-Schools Hygiene Nudges	Ethiopia USAID Mission concurrence received	$99,865	December 2017-May 2019 (16 months)	Pre-award survey and negotiations in process
iDE	Expanding women's role in Nepal's sanitation value chain	Nepal USAID Mission concurrence received	$99,798	December 2017-November 2018 (12 months)	Pre-award survey and negotiations in process
Icddr,b	mHealth Messaging: An Innovative Approach to Promote Improved Caregiver and Child Hygiene Practices in Bangladesh	Bangladesh USAID Mission concurrence received	$285,946	January 2018-June 2019 (18 months)	Pre-award survey and negotiations in process
TOTAL ESTIMATED BUDGET: $485,609					

In September, the Grants Specialist began performing remote pre-award surveys on each organization by reviewing its policies and procedures and requesting information from previous donors on their prior performance. The findings will allow WASHPaLS to better understand each organization's financial and administrative capacity to manage USAID funds, confirm the appropriate method of funding, and determine the degree of support and oversight that will be necessary to ensure proper accountability of funds and successful technical implementation.

COMPONENT 4: PARTICIPATION IN STRATEGIC PARTNERSHIPS

The following provides a summary WASHPaLS' involvement in and support to partnerships and various fora during the reporting period. These global and national-level partnerships may present opportunities for active engagement with local systems and international networks beneficial for promoting uptake of the project's learning. This section serves as the project's 2017 Annual Partnerships Report.

Sanitation and Water for All. In Q3, the E3 Bureau asked WASHPaLS to support USAID's contribution to the global Sanitation and Water for All (SWA) partnership by preparing a governance assessment of the SWA. WASHPaLS hired two highly qualified consultants, one who had previously worked with the SWA and is familiar with its governance structure and another with an extensive background in the area of governance. By reviewing relevant partnership documents, interviewing more than 20 key stakeholders, and investigating governance models of partnerships similar to SWA, the consultants were tasked with identifying the challenges facing SWA and preparing options and recommendations for improving its governance structure.

In mid-June, the Project Director (PD) participated in a kick-off meeting with the consultants, USAID and SWA members, and shortly thereafter, the consultants traveled to Budapest to attend the SWA

Steering Committee Meeting and met with the SWA Governance and Finance Working Group. In August, the consultants traveled to Stockholm during SWWW to interview several key stakeholders, both within and outside the SWA, to understand their perceptions on the current state of the governance structure and their recommendations for improvements. In early October, the consultants submitted a report detailing the governance challenges facing the SWA, which is currently being reviewed by USAID and SWA members. A second report, scheduled to be drafted in November, will present recommendations and options to improve the current SWA governance structure. They will present this report at the December SWA steering committee meeting in Maputo, Mozambique.

Global Handwashing Partnership (GHP). Task 2.3 team members actively participate in GHP and serve on its Steering Committee. In Year 1, they provided assistance to GHP on behalf of WASHPaLS in several areas: technical review of GHP documents, including the nudges brief, handwashing in the SDGs advocacy paper, and hygiene in healthcare facilities fact sheet; helped develop the concept note for the GHP's panel on Advocacy to Action accepted at October 2017 UNC Conference; and supported the GHP's strategy to identify new partners and the hiring of a new secretariat.

BabyWASH Coalition and Clean Fed and Nurtured Community of Practice. The WASHPaLS Senior Behavior Change Specialist (SBCS) serves on the Steering Committees of the BabyWASH Coalition and the Clean, Fed and Nurtured Community of Practice. These two groups bring together key stakeholders aiming to integrate WASH into maternal, newborn and child health, early childhood development and nutrition, to have a more profound impact on child health outcomes in the first 1,000 days of life. WASHPaLS participation through FHI 360 assures knowledge generated by the project is shared with leading professionals across these sectors. The SBCS contributed to the development of Implementation Guidelines for the BabyWASH Community of Practice.

In Q4, the SBCS helped organize and deliver a session convened by the Clean, Fed & Nurtured Community of Practice at the CORE Group Global Health Practitioner 2017 Fall Conference in Baltimore, MD. The session, entitled "New Frontiers in Infant and Young Child Feeding," included selected findings from the Task 2.3 safe play spaces literature review as well as highlights from the recently released Essential WASH Action Resource Pack.

USAID/CKM project. The DPD and Aquaya staff supporting Task 2.1.1 met on several occasions with the CKM staff to discuss integrating WASHPaLS Mendeley libraries with those maintained by CKM for embedding into public CKM resources. Additionally, WASHPaLS staff met with CKM to discuss developing the WASHPaLS microsite on the *globalwaters.org* platform, which is anticipated in Year 2.

Participation at SWWW. In Q4, the PD and DPD attended SWWW. WASHPaLS convened a invitation-only technical session called "Research Priorities for Reaching Universal Sanitation" to 1) share findings of Tasks 2.1 and 2.2 desk reviews; 2) solicit feedback from participants on the identified evidence gaps and resulting research questions; 3) identify country opportunities for implementation research; and 4) develop working relationships and partnerships for both the research itself and broader dissemination of the research findings. WASHPaLS developed an invitee list with input from the Advisory Board and USAID; 21 participants, plus project staff, attended the event, the feedback from which has been used to finalize the Component 2 research priorities. WASHPaLS sponsored the participation of five individuals: Umar Masereka, District Health Inspector, Mbarara District Local Government, Uganda; Selenia Matimelo, Principal Community Development Officer, Zambian Ministry of Local Government and Housing; Lewnida Sara, Operations Analyst, World Bank; Catherine Mwango, Executive Director of KWAHO; and Andy Robinson, Independent Consultant.

While at SWWW, WASHPaLS also hosted a quarterly meeting of the Advisory Board that focused on a discussion of findings of the Task 2.1 desk review and participated in the WSSCC session on "Reaching Scale with Equity" to present its grants program.

Additional outreach and representation activities in Year 1 include the following:

- In Q2, the DPD participated as an invited panelist on a World Water Day panel discussion sponsored by the Millennium Challenge Corporation (MCC) on evidence gaps in water and wastewater programming, entitled *MCC's Water Investment: Data Driving Decisions*.
- In Q3, at the invitation of the CLTS Hub and UNICEF, the DPD participated in a CLTS workshop in Tagaytay (outside of Manila), Philippines. The event focused on supporting the least able in sanitation and hygiene improvement. The workshop was attended by the originators of the CLTS concept as well as selected key donors, evaluators, and practitioners of CLTS. This was an excellent opportunity for the DPD to gain feedback on CLTS knowledge gaps as understood by key players in the CLTS community, as well as to perform a set of key informant interviews.
- In Q3, led by USAID, and in collaboration with the Bill & Melinda Gates Foundation, Plan, PSI, UNC, UNICEF, and WaterAid, the WASHPaLS team submitted a revised abstract for a side session at the UNC Water and Health Conference in October 2017. The proposed session will feature desk review findings from WASHPaLS Component 2 as well as those from a Plan/UNICEF/WaterAid/UNC sanitation research consortium. An abstract to present the task 2.3 literature review also was accepted as part of a panel on Neglected Disease Pathways at the UNC Water and Health Meeting.
- WASHPaLS attended three quarterly meetings of the USAID centrally-funded water mechanisms, which serve as an opportunity to learn about each project's objectives and activities and identify opportunities for collaborating. WASHPaLS hosted the June 27 meeting, providing a summary of progress to date and presenting the Engagement Strategy.

4.0 GENDER CONSIDERATIONS

The Iris Group leads WASHPaLS' efforts to integrate gender equality and social inclusion (GESI) considerations across project components, with a particular focus on the work streams in Components 2 and 3. During Year 1, GESI work consisted of the following:

- **Cross cutting:** Initial review and integration of gender in the M&E Plan; ad-hoc technical support to WASHPaLS team on GESI, as requested;
- **Component 2**: reviewed and provided feedback on drafts of the three literature reviews (CLTS, MBS, safe play spaces) and ongoing engagement with research leads from each stream to integrate GESI considerations and approaches into research questions;
- **Component 3**: integration of GESI approaches into the Year 1 grants solicitation, including: inclusion of GESI language and scoring criteria in REOIs and application selection criteria; a GESI specialist from Iris Group participated on the grants review committee. GESI was one of two focus areas for the first grant solicitation and 78 of the 334 EOIs received had a GESI focus. To advance to the finalist pool, GESI applications needed to propose an innovative approach doing more than targeting women, the poor, or other marginalized populations solely as beneficiaries, but rather seeking to transform gender relations or actively address the context and dynamics of exclusion. Three finalists emerged from the GESI pool: Promoting gender-integrated CLTS (Nigeria); Expanding women's role in the sanitation value chain (Nepal); Using mobile technology to reach marginalized women with live-saving behavioral interventions (Mozambique).

To more systematically and thoroughly consider GESI in WASHPaLS interventions going forward, in Year 2, the Iris Group will develop a project-wide gender integration plan to ensure that, to the extent that is reasonable, implementation research interventions and other project activities more deliberately integrate gender, are socially inclusive, and consider end users and resulting health and development outcomes.

5.0 MONITORING, EVALUATION & LEARNING

Following approval of the M&E Plan, WASHPaLS developed a data management system for tracking performance and management indicators using Google Sheets, Google Forms, and Google Drive, consistent with the performance indicator reference sheets in the approved M&E Plan. Tables 4 and 5 summarize achievements on the performance and management indicators, respectively, recognizing that targets established for Year 1, while project activities were still being defined, are tentative. Below we provide the detail on the indicators that had a non-zero target for Year 1.

Cross-Cutting Indicators

Indicator C5: WASHPaLS met the target with two workshops or events at which research methods, preliminary results and findings are presented. They were:

- a presentation of neglected pathways of the f-Diagram / Safe Play Spaces and other Interventions to Break Pathways, related to Sub Task 2.3.1, at the CORE Group Meeting on April 20, 2017;
- a presentation on preliminary results from the Task 2.1 Desk Review and technical discussion organized by WASHPaLS at SWWW on August 31, 2017.

Component 1 – Technical Assistance to USAID

WASHPaLS did not undertake any short-term technical assistance assignments in Year 1. The only request was received on August 21, 2017, with activity expected to begin in Q4 of Year 2.

- Indicators 1.1 (*three technical assistance assignments and technical reports produced by the WASHPaLS team*) and Indicator 1.2 (*Level of mission satisfaction with the responsiveness and quality of WASHPaLS Technical Assistance*) were not measured in Year 1.
- Management Indicator M2 *(Number of USAID missions supported by WASHPaLS)* will be relevant in Year 2 as field work begins on the grants, implementation research and STTA assignments.

Component 2 – Implementation Research

Field activities will begin in Year 2.

- No results were expected or reported under Indicator 2.1 *(Number of local partners actively participating in research activities designed and implemented by WASHPaLS)*.
- Indicator 2.2 (*one peer-reviewed scientific publications resulting from USG support to research and implementation programs*), WASHPaLS did not produce the manuscript for the peer-reviewed publication, but will do so early in Year 2.

Component 3 – Small Grants Program

The grants process was initiated in Year 1, but no awards were made. WASHPaLS is preparing to award three grants resulting from the Year 1 solicitation process.

- Indicator 3.1(two *grants awarded to behavior change innovation*) was not met; however, the project is on track to meet LOP targets for this indicator.
- Management Indicator M3 (*Number of grant applications submitted in response to public solicitations),* we register the 334 EOIs received and eight full applications.

Component 4 – Partnerships

Indicator 4.1, *Number of partnerships established or supported,* include support to the SWA governance restructuring effort and technical assistance to Global Handwashing Partnership (GHP).

Management Indicators (not captured above)

- Management indicator M4. WASHPaLS produced eight communications materials to share information and learning, including several fact sheets, research briefs, and posters;
- Management indicator M5, the WASHPaLS team consulted with the WASHPaLS Advisory Board 25 times in Year 1, including 21 consultations with individual board members.

Based on Year 1 experience, we propose the following changes to the M&E Plan (to be discussed with USAID):

1) *Remove Performance Indicator C4*, Number of training and capacity building activities conducted with USG assistance that are designed to promote the participation of women (GNDR-9). Since the project is not specifically designed to implement trainings, the inclusion of this indicator with a target of eight trainings over the life of the project is not appropriate. Any trainings implemented under the project, including those designed to promote the participation of women, will be captured under Management Indicator M1, Number of people trained through WASHPaLS Activities or under Indicators 1.1 and 1.2 should the trainings emanate from STTA. GESI related activities will be captured by reporting across all indicators and the impact will be reported in narrative form.
2) *Merge Management Indicators M4*, Number of communications materials developed to share information and learning, and M6, Number of publications produced with WASHPaLS support. The materials tracked under M4 will be disaggregated by type and include a range of grey literature such as fact sheets, news articles, strategy documents, etc. As Performance Indicator 2.1 will capture peer-reviewed publications, a separate category for other publications is redundant.

TABLE 4: PERFORMANCE INDICATORS RESULTS

N°	Performance Indicator	Baseline	Target (Year 1)	Result Q1 Y1	Result Q2 Y1	Result Q3 Y1	Result Q4 Y1	Annual Result (Year 1)	Variance	LOP Target
Cross-Cutting										
C1	Number of missions, implementing partners, local governments and donors applying WASHPaLS approaches/tools (Custom) [OUTCOME	**0**	0	0	0	0	0	**0**	**0**	11
C2	Number of policies, laws, agreements, action plans, regulations, strategies, or investment agreements (public or private) influenced by WASHPaLS (Custom) [OUTCOME]	**0**	0	0	0	0	0	**0**	**0**	6
C3	Number of people with increased knowledge of WASH approaches/tools through exposure to WASHPaLS events, communications materials and products (Custom) [OUTCOME]	**0**	TBD	0	0	0	0	**0**	**0**	TBD
C4	Number of training and capacity building activities conducted with USG assistance that are designed to promote the participation of women (GNDR-9) [OUTPUT]	**0**	0	0	0	0	0	**0**	**0**	8
C5	Number of workshops/events at which research methods, preliminary results and findings are presented (Custom) [OUTPUT]	**0**	2	0	0	1	1	**2**	**0**	30
Component 1: Provide Short-Term Technical Assistance to Missions										
1.1	Number of technical assistance assignments and technical reports produced by WASHPaLS team (Custom) [OUTPUT]	**0**	3	0	0	0	0	**0**	**-3**	20
1.2	Level of mission satisfaction with the responsiveness and quality of WASHPaLS Technical Assistance (Custom) [OUTPUT]	**N/A**	7	N/A	N/A	N/A	N/A	N/A	0	8.5
Component 2: Develop and Test New and Innovative Approaches and Tools for Implementation of Interventions										
2.1	Number of local partners actively participating in research activities designed and implemented by WASHPaLS (Custom) [OUTPUT]	**0**	0	0	0	0	0	**0**	**0**	28
2.2	Number of peer-reviewed scientific publications resulting from USG support to research and implementation programs (STIR-12) [OUTPUT]	**0**	1	0	0	0	0	**0**	**-1**	4
Component 3: Small Grants Program on Hygiene Behavior Change										
3.1	Number of grants awarded to behavior change innovators (Custom) [OUTPUT]	**0**	2	0	0	0	0	**0**	**-2**	10
Component 4: Support USAID's Participation in Strategic Partnerships										
4.1	Number of partnerships established or supported (Custom) [OUTPUT]	**0**	4	0	0	1	0	**2**	**-3**	24

TABLE 5: MANAGEMENT INDICATORS RESULTS

N°	Management Indicator	Baseline	Result Q1 Y1	Result Q2 Y1	Result Q3 Y1	Result Q4 Y1	Annual Result	LOP Results
M1	Number of people trained through WASHPaLS Activities	0	0	0	0	0	0	0
M2	Number of USAID missions supported by WASHPaLS	0	0	0	0	0	0	0
M3	Number of grant applications submitted in response to public solicitations	0	0	0	334	0	334	334
M4	Number of communications materials developed to share information and learning	0	2	1	0	7	10	10
M5	Number of formal consultations with Advisory Board	0	4	8	5	8	25	25
M6	Number of publications produced with WASHPaLS support	0	0	0	0	0	0	0

6.0 PROJECT MANAGEMENT

Project management highlights from Year 1 include the following:

- In October, WASHPaLS participated in the post-award meeting with the USAID TOCO, TOCOR, and key WASH technical staff. The meeting focused on TO review, how it will be managed by USAID and the structure of reporting relationships. Observations and clarifications on the TO were recorded and captured in Modification 1 to the TO that was issued in Q1.
- The project delivered all Year 1 deliverables on time (see Appendix 2). Foundational Q1 and Q2 project management deliverables included: Year 1 Work Plan, Monitoring and Evaluation (M&E) Plan, Quality Assurance/Quality Control (QA/QC) Plan, and Branding Implementation Plan and Marking Plan.
- In Year 1, WASHPaLS established a collaborative working relationship with the USAID technical leads through bi-weekly project meetings with USAID, attended in-person and by teleconference, to discuss overall progress and routine technical meetings to discuss direction of Component 2 and 3 activities. The regular interaction between senior project managers and USAID has allowed space for critical review and adaptive management when needed. WASHPaLS provides summary notes to all participants after each meeting.
- The PD became full-time on the project at the end of Q2 and moved to Washington, DC in August. He is based in Tetra Tech's Arlington, Virginia office with the Operations and Finance Manager, who was hired in November 2017. The DPD relocated to Lisbon, Portugal in August 2017 and will work remotely, returning to Washington, DC as necessary. The SBCS and the WASH Specialist are based in Washington, DC and Antananarivo, Madagascar, respectively.
- WASHPaLS hosted its 2018 work planning session in early August at the Tetra Tech offices in Arlington, Virginia. The meeting was attended by WASHPaLS full and part-time staff, the US-based Research Advisors and representatives from USAID. The first draft of the FY18 Work Plan was submitted on August 25, 2017, and WASHPaLS submitted a second draft responding to USAID's feedback on September 29, 2017.

7.0 BUDGET

Table 6 compares the budget estimate provided in the Year 1 Work Plan with the actual Year 1 expenditures. The projected Year 1 budget was approximately $4.63 million, of which $2.3 million were anticipated Component 1 technical assistance requests/buy-ins ($2.0 million) and Component 3 grants implementation ($300,000). Both projections proved inaccurate as WASHPaLS did not receive any Component 1 assignments and did not award grants under Component 3. WASHPaLS spent approximately 60% of the remaining roughly $2.3 million. Underspending is attributable to needing more time to complete the Component 2 desk reviews was forecast in the work plan. The majority of the remaining budget from Year 1 will be available in Year 2 and beyond as we begin implementing Component 2 research activities.

TABLE 6: YEAR 1 BUDGET PROJECTIONS VS. ACTUALS

Category	Year One	
	Projections	Actuals
Personnel	$ 289,050	$223,446
Fringe Benefits	$ 106,052	$87,119
Travel	$ 76,539	$31,295
Equipment	$ 5,270	$0
Supplies	$ 5,230	$2,224
Contractual	$ 1,415,157	$757,995
Other Direct Costs	$ 50,764	$31,175
Component 1: Technical Assistance	$ 2,000,000	$0
Component 3: Grants Under Contract	$ 300,000	$0
Total Direct Charges	**$ 4,248,063**	**$1,133,254**
Overhead	$ 162,375	$107,988
G&A	$ 93,416	$62,208
Total Indirect Charges	**$ 255,792**	**$170,196**
Fixed Fee	$ 132,231	$78,207
Grants under Contract (GUCs) Fixed Fee	$ 3,000	$0
Totals	**$ 4,639,086**	**$1,381,657**

APPENDIX 1: STATUS OF PLANNED YEAR 1 ACTIVITIES

Year 1 Planned Activities	Status
Mobilization and start-up	
• Attend post-award meeting with USAID • Hold Strategy workshop with USAID and partners • Prepare and submit Year 1 Work Plan • Prepare and submit M&E and QA/QC Plans	**Completed** • Attended post-award meeting with USAID, held Year 1 strategy workshop with USAID and implementing partners; received approval for Year 1 Work Plan, M&E Plan and QA/QC Plan
WASHPaLS Advisory Board	
• Finalize Advisory Board TOR and membership • Convene quarterly Board meetings • Engage individual members on an ad hoc basis • Convene in-person gatherings of full group at an international gathering	**Completed** • Consolidated the seven member Advisory Board • Developed TOR, convened quarterly meetings (except for Q2 meeting), engaged members on a regular basis and held in-person meeting at SWWW
Component 1: Provide Short-Term Technical Assistance to Missions	
• Prepare promotional products to market WASHPaLS • Develop Technical Assistance Response Protocol • Mission consultations • Respond to Mission STTA requests	**Completed** • Prepared promotional products (fact sheets and poster) to market WASHPaLS services; developed Component 1 Technical Assistance Manual; in process of responding to Q4 request to support the NOURISH IE
Component 2: Develop and Test New and Innovative Approaches and Tools for Implementation of Interventions	
• Develop WASHPaLS Learning Agenda • Develop WASHPaLS Engagement Strategy	**In progress** • A draft of the Engagement Strategy submitted in Q2 with USAID feedback received in Q3. Document will be finalized in Year 2 Q1 • Documentation of the Learning Agenda is postponed until early Year 2 until after the C2 research questions are finalized and countries chosen.

Year 1 Planned Activities	Status
Task 2.1: Assess Mechanisms for the Delivery of Sanitation Services at Scale – focus on behaviors (primarily, but not limited to CLTS)	
2.1.1: CLTS desk review	
• Develop SOW for literature review, including analytical and synthesis objectives • Consolidate Mendeley libraries, extract relevant literature from existing knowledge management hubs • Perform literature review and associated analysis / synthesis; Conduct key informant interviews • Draft report • Solicit Research Working Group, Advisory Board, and TOCOR feedback • Finalize desk review	**Nearly complete** • Developed Mendeley library • Submitted initial and final draft of desk review • Upon receiving USAID approval will prepare journal manuscript, learning brief, and host webinar in Q1 of Year 2
2.1.2: Implementation Research on CLTS	
• Scoping trips to study countries (up to three) • Finalize research questions and countries for research • Further develop and refine research design and protocols • Prepare ethics approvals as needed	**In progress** • Began developing and refining research questions based on the findings of the desk review; • Research questions vetted internally with the RWG and externally with the Advisory Board and with stakeholders at SWWW; • Short-list of countries selected • Implementation research to begin in Year 2 Q2
2.1.3: ICT to Aid the effectiveness of CLTS Implementation	
• Landscape assessment of existing CLTS ICT solutions • Develop a concept note to clearly define "vision" for the ICT solution • Assessment of user needs and technical capacities in three research countries, initial meetings with end-users • Socialization of vision for the CLTS tool through the Advisory Board and other platforms • Identify potential host organizations • Develop participatory development process and protocols for Year 2 in coordination with potential host organizations	**In progress** • Submitted draft landscape assessment • Vision for direction of Task 2.1.3 evolving based on the findings from the landscape assessment. Moving away from development of an ICT solution for CLTS. • Exploring idea to further evaluate and possibly customize new features of an ICT tool currently implemented by Akros for CLTS implementation in Zambia
Task 2.2: Assess Mechanisms for the Delivery of Sanitation Services at Scale	
2.2.1: MBS desk review	
• Develop SOW for literature review, including analytical and synthesis objectives • Perform literature review and associated analysis / synthesis • Identify MBS programs for case study in desk review • Conduct key informant interviews for global analysis and individual case studies • Draft report, secure internal Research Working Group, Advisory Board, and TOCOR feedback • Finalize desk review	**In progress** • Literature review conducted, including key informant interviews. Case studies identified and written up. • Submitted draft of desk review; will finalize in Year 2, Q1

Year 1 Planned Activities	Status
2.2.2: Implementation Research on MBS	
• Select MBS programs for deep dive study, in consultation with the Research Working Group, the Advisory Board, and TOCOR (with scoping trips to countries) • Further develop and refine research design and protocols • Prepare ethics approvals as needed	**In progress** • Began developing and refining research questions • Research questions vetted with the Research Committee and externally with the Advisory Board and with stakeholders at SWWW • Short-list of countries selected • Implementation research will begin in Year 2 Q2
Task 2.3: Effectiveness of Improved Hygiene Environments for Babies and Young Children	
2.3.1 Literature Review	
• Consolidate and review literature • Produce learning brief that summarizes the findings of the lit review	**Nearly complete** • Literature review finalized and approved • Learning brief will be submitted Year 2 Q2
2.3.2 Field-based research	
• Development of the experimental design, including preliminary identification of interventions and existing USAID programs onto which the interventions can be "piggybacked" • Liaise with USAID and implementing partners for country and site selection; Country visit(s) to potential implementing partners and sites • Conduct pre-test of survey instrument and deployment of behavioral and product-based interventions, refine experimental design accordingly • Apply for and obtain ethical approval for protocol in US and host country	**In progress** • Development of experimental design in process; • Collaborating with USAID to select research country
Component 3: Small Grants Program on Hygiene Behavior Change	
• Prepare and submit Draft Grants Management Plan for Approval • Develop SOW for GUC expert review panel • Identify and finalize priority research topics • Release first Request for Applications (round 1) • Receipt, convene panel, review, and award of grant applications • Round 1 grantees begin implementation	**Completed/in progress** • Grants Management Plan developed and approved; released first solicitation and selected three grants to award • Performing pre-award survey and beginning to negotiate with three organizations; grants will be awarded in Year 2 Q1
Component 4: Support USAID's Participation in Strategic Partnerships	
• Attend kick-off meeting with CKM • Convene kick-off meetings with other USAID global water/WASH projects • Organize kick-off meeting with GHP and Rotary International • Participate at strategic meetings convened by USAID • Attend UNC Water Institute Water and Health conference • Attend Stockholm World Water Week	**Completed/in progress** • Attended kick-off meeting with CKM project; attended quarterly meetings of USAID centrally-funded water mechanisms • Attended UNC Water Institute Water and Health Conference and Stockholm World Water Week • Supported SWA Global Partnership with governance assessment

APPENDIX 2: SUMMARY OF YEAR 1 DELIVERABLES AND REPORTS

Deliverable	Date Approved	Notes
Year 1 (FY 17) Annual Work Plan	February 6, 2017	Contract deliverable
Year 2 (FY 18) Annual Work Plan	Pending	2nd draft submitted Q4
Quarterly technical and financial reports for Q1, Q2 and Q3 (Q4 was incorporated into this annual report)	Q1, Q2 and Q3	Contract deliverable
Quarterly Accruals Reports	Q1, Q2, Q3 and Q4	Contract requirement
Monitoring and Evaluation (M&E) Plan	February 14, 2017	Contract deliverable
Quality Assurance/Quality Control (QA/QC) Plan	March 1, 2017	Contract deliverable
Branding Implementation Plan and Marking Plan	January 12, 2017	Contract deliverable
Organizational Conflict of Interest Risk Mitigation Plan	N/A	Not a contract deliverable; USAID reviewed the plan and provided feedback that was incorporated in the final version.
Engagement Strategy	Pending	Not a contract deliverable; Draft submitted in Q3; revised draft will be submitted in Year 2 Q1
Component 1 Technical Assistance Manual	N/A	Not a contract deliverable; internal WASHPaLS team document that outlines protocol for responding to Component 1 STTA requests.
MOU or other documentation formally establishing the WASHPaLS Advisory Board	January 19, 2017	Contract Derivable; Terms of Reference for Advisory Board
CLTS Desk Review; Subtask 2.1.1	Pending	Contract Derivable; First draft submitted in Q3; anticipate review will be finalized in Year 2 Q1
Desk review of ICT tools and approaches for CLTS	Pending	Project report; first draft submitted in Q4; anticipate review will be finalized in Year 2 Q1
MBS Desk review; Subtask 2.2.1	Pending	Contract Derivable; First draft submitted in Q4; anticipate review will be finalized in Year 2 Q1

Deliverable	Date Approved	Notes
Safe Play Spaces Literature Review; Subtask 2.3.1	October 11, 2017	Project Report; Final draft submitted in Q4
Grants Management Plan	March 1, 2017	
Annual standalone report summarizing partnership activities, results and achievements	Pending	Included as part of this Annual Report
SWA Governance Key Findings Progress Report	Pending	Consultancy report; shared with USAID and Patrick Moriarty for feedback; anticipate report will be finalized in Year 2 Q1

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