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USAID TRANSFORM WASH ACTIVITY

MONITORING, EVALUATION, AND LEARNING PLAN

MAY 2022

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COVER PHOTO: Chiùre Water Supply System. Courtesy of AIAS, IP.

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ACRONYMS AND ABBREVIATIONS

AFORAMO	Associação de Fornecedores Privados de Água (Association of Water Suppliers of Mozambique)
AIAS	Administração de Infra-estruturas de Água e Saneamento (Water and Sanitation Infrastructure Administration)
AMELP	Activity Monitoring, Evaluation, and Learning Plan
AURA	Autoridade Reguladora de Águas (Water Regulatory Authority)
BA	Baseline Analysis
BC	Behavior Change
C	Component
CBO	Community-Based Organization
CFPAS	Centro de Formação Profissional de Água e Saneamento
CLA	Collaborating, Learning, and Adapting
CLTS	Community-Led Total Sanitation
COP	Chief of Party
COR	USAID Contracting Officer's Representative
CORAGEM	USAID Community Radios Assistance for Greater Empowerment of Mozambican Institutions Project
CSO	Civil Society Organization
DAF	Director of Administration and Finance
DDL	Development Data Library
DEC	Development Experience Clearinghouse
DMF	Delegated Management Framework
DNAAS	Direcção Nacional de Abastecimento de Água e Saneamento (National Directorate of Water and Sanitation)
DP	Development Partner
DPM	Deputy Project Manager
DPOP	Provincial Directorate of Public Works
DQA	Data Quality Assessment
EKN	Embassy of the Kingdom of Netherlands
EMB	Engaging Men and Boys
EMMP	Environmental Mitigation and Monitoring Plan
ER	Expected Result
FBS	Financing and Business Specialist
FIPAG	Water Supply Asset and Investment Fund
FPA	Fornecedor Privado de Água (Private Water Provider)
GAS	Water and Sanitation Group
GIS	Geographic Information System
GIYI	Gender Integration and Youth Inclusion
GP	Guiding Principle
GPS	Global Positioning System
GRM	Government of the Republic of Mozambique
GUC	Grants under Contract
GYS	Gender and Youth Specialist
IBM-WASH	Integrated Behavioral Model for Water, Sanitation, and Hygiene
IDP	Internally Displaced Person
IEE	Initial Environmental Examination
IFC	International Finance Corporation

IRD	International Relief and Development
ITT	Indicator Tracking Tool
KP	Key Personnel
LBA	Landscape Baseline Assessment
LOA	Life of Activity
LOE	Level of Effort
LOGOS	Local Governance Strengthening Project
LSC	Local Steering Committee
MEL	Monitoring, Evaluation, and Learning
MHM	Menstrual Hygiene Management
MMEMS	Mozambique Monitoring and Evaluation Mechanism and Services
MOPHRH	Ministério de Obras Públicas, Habitação e Recursos Hídricos (Ministry of Public Works, Housing, and Water Resources)
NDA	Non-Disclosure Agreement
NGO	Nongovernmental Organization
OCAT	Organizational Capacity Assessment Tool
P&R	Pause and Reflect
PAD	Project Appraisal Document
PAR	Pause and Reflect
PEC	Community Participation and Education
PHAST	Participatory Hygiene and Sanitation Transformation
PII	Personal Identification Information
PIRS	Performance Indicator Reference Sheets
PLGP	Planning and Local Governance Project
PM	Project Manager
PMT	Project Management Team
PO	Private Operator
PPP	Public-Private Partnership
PRAVIDA	Programa de Água para a Vida
PRONASAR	Programa Nacional de Água e Saneamento Rural (National Rural Water Supply and Sanitation Program)
PS	Private Sector
PSAA	Pequeno Sistema de Abastecimento de Água
PSE	Private Sector Engagement
RFP	Request for Proposal
RGC	Rural Growth Center
RSTWS	Rural and Small Towns Water Security Project
S&H	Sanitation and Hygiene
SAA	Sistema de Abastecimento de Água (Social Action Analysis)
SBC	Social Behavior Change
SCI	Save the Children International
SDPI	District Planning and Infrastructure Services
SDSMAS	District Service of Health and Social Affairs
SINAS	Sistema de Informação Nacional de Água e Saneamento (National Water and Sanitation Information System)
SME	Small and Medium-Sized Enterprises
SMT	Senior Management Team
SOP	Standard Operating Procedures
SOW	Scopes of Work
SPI	Provincial Infrastructure Services

STA	Senior Technical Advisor
STS	Small Town Sanitation Activity
STTA	Short-Term Technical Assistance
TA	Technical Assistance
TN	Transform Nutrition Activity
TOC	Theory of Change
TTL	Task Team Lead
UPWARD	Uplifting Women’s Participation in Water-Related Decision-Making
USAID	United States Agency for International Development
USG	United States Government
USHA	USAID Uganda Sanitation for Health Activity
WASH	Water, Sanitation and Hygiene
WASH-FIN	UAID Water, Sanitation, and Hygiene Finance Program
WASHPaLS	USAID Water, Sanitation, and Hygiene Partnership and Learning for Sustainability Project
WB	World Bank
WGS	Water, Sanitation, and Hygiene Governance Specialist
WSP	Water Safety Plan

I.0 INTRODUCTION

I.1 TRANSFORM WASH OVERVIEW

The USAID Transform WASH Activity aims to support the development of the Mozambican water, sanitation, and hygiene (WASH) sector at national and sub-national levels by supporting the Government of the Republic of Mozambique (GRM) with improved WASH governance, access to WASH services, behavior change and gender equality in small towns, rural growth centers and peri-urban settlements. The program supports USAID/Mozambique’s WASH Project Appraisal Document (M-WASH PAD) main goal of achieving “improved well-being of communities, especially women and girls” through:

- Strengthening policy implementation and institutional capacity to deliver WASH services;
- Increasing and sustaining availability of water infrastructure and services;
- Improving access to financing and business environments for the private sector in the WASH service delivery chain;
- Accelerating the uptake and maintenance of key water and hygiene behaviors among households and institutions; and
- Increasing women’s leadership within the sector, and enhanced decision-making power within the household, for WASH products and services.

The above results will be accomplished through the Activity’s four main components: 1) Policy implementation and institutional capacity of the GRM to deliver WASH services strengthened; 2) Government and private water providers technical, financial, and management capacity strengthened; 3) Access to water and sanitation financing and business environment for the private sector improved; and 4) Uptake and maintenance of key water and hygiene behaviors among households and institutions accelerated. USAID Transform WASH will geographically cover three provinces, Cabo Delgado, Nampula and Zambézia, and will also provide capacity building to key subsector central level institutions. The program summary is provided in Table I, below.

TABLE I: TRANSFORM WASH PROGRAM SUMMARY

Geographic coverage	Small towns and rural growth centers to be defined in Cabo-Delgado, Nampula and Zambézia Provinces, Mozambique
Primary GRM national counterparts	Administração de Infraestruturas de Água e Saneamento (AIAS, Water Infrastructure and Sanitation Administration), Direcção Nacional de Abastecimento de Água e Saneamento (DNAAS, National Directorate of Water and Sanitation), Autoridade Reguladora de Águas (AURA, Water Regulatory Authority), and Fundo de Investimento e Património de Abastecimento de Água (FIPAG, Water Supply Asset and Investment Fund)
Program overall goal	Increase the use and sustainable management of safe water and sanitation services in small towns, rural growth centers, and peri-urban areas
Duration	5 years
Starting date	March 2, 2022
Total budget	USD 18,620,679
Project Implementation Consortium	Tetra Tech (prime) with WaterAid, CARE, and Iris Group

Per contract Section F.5.7, this Monitoring, Evaluation and Learning (MEL) Plan, in accordance with ADS 201.3.4.10, measures and tracks progress toward the anticipated outcomes and expected results outlined in the contract and the interventions defined in the work plans.

I.2 PURPOSE OF THE ACTIVITY MONITORING, EVALUATION, AND EVALUATION PLAN

This Activity Monitoring, Evaluation, and Learning Plan (AMELP) outlines Monitoring, Evaluation, and Learning (MEL) implementation for the USAID/Mozambique Transform Water, Sanitation, and Hygiene Activity (Transform WASH). The purpose of the MEL Plan is to guide the activity's MEL throughout the project and report progress on performance and ensure that Transform WASH generates sound qualitative and quantitative data for reporting. The MEL Plan helps guide an adaptive management approach to implementation and integrates the activity's guiding principles.

The AMELP will identify collaborative approaches to measure long-term, sustainable changes and outcomes and outputs in the WASH sector in Mozambique. Throughout the learning cycle and the life of the Activity (LOA), Transform WASH will engage with a wide range of stakeholders, including, external partners, partners internal to USAID's sphere of influence (other USAID research and learning activities and bilateral Mission-based activities), and individual thought leaders and sector champions. Transform WASH will have a monitoring, evaluation, and learning (MEL) system with a strong emphasis on collaborating, learning, and adapting (CLA).

The Transform WASH AMELP has a five-fold purpose:

1. Present the Activity's theory of change and results framework.
2. Define output and outcome-level performance indicators at each level of the results framework.
3. Outline a strategy to systematically collect, evaluate, validate, and archive performance data to effectively monitor and report Activity performance.
4. Present the quality assurance/quality control plan.
5. Define data management responsibilities for producing, handling, monitoring, and reporting data and information.

The AMELP is a living document. Transform WASH will revise and adapt the Plan, as needed, over the course of the Activity and in accordance with the work plan. Transform WASH will routinely consult with the USAID Contracting Officer's Representative (COR) and other relevant USAID stakeholders to adjust annual targets, disaggregation, and further refine the means of verification. This collaborative and participatory approach to the development of the Plan will 1) ensure transparency and consensus of anticipated results, 2) foster ownership, 3) develop a shared vision of both immediate and long-term success, and 4) provide space for stakeholders and staff to discuss the roles and responsibilities needed to meet and perhaps exceed anticipated results. The AMELP will evolve throughout the LOA so that the development hypothesis and associated indicators remain relevant to any changes in context and/or understanding through learning.

Transform WASH will update the MEL Plan when required to remain aligned with implementation adaptations and integrate the findings from annual-pause-and reflect sessions, other learning and industry events, and relevant local research.

I.3 THEORY OF CHANGE

As noted in the Transform WASH contract, Mozambique continues to lag behind in access to safe water and sanitation services due to weak governance and institutional capacity, insufficient public sector investments, inadequate operation and maintenance of water systems, poor hygiene practices and

gender inequality. The Transform WASH activity's main objective is to achieve increased use and sustainable management of safe water and sanitation services in small towns, rural growth-centers and peri-urban areas. Achievement of this objective will contribute to the overall Mission's M-WASH PAD goal of improving the well-being of target communities, especially among women and girls. To achieve this objective, the Activity will strengthen WASH sector governance through participatory dialogue with GRM counterparts coupled with a focus on capacity building to strengthen local systems, expand availability of water and sanitation services by catalyzing domestic private sector resources to complement public sector investments, and accelerate adoption of key WASH behaviors that not only lead to improved health outcomes, but also address sustainability by ensuring that investments in physical infrastructure are used and maintained.

Transform WASH will build on past USAID WASH Activities and other donor-funded and academic efforts to deliver and facilitate uptake of new learning that contributes to sustainably and safely managed water supply and sanitation services and hygiene, including clean environments in households and communities. The proposed interventions are grounded in the development hypothesis and are focused squarely on the parallel “if” statements described below:

The Transform WASH Theory of Change (TOC) hypothesizes that:

IF USAID Mozambique strengthens WASH sector capacity to make and implement policy, expands availability of water and sanitation services and products, and increases adoption of key WASH behaviors,

THEN increased and improved use and sustainable management of water and sanitation services, increased demand for WASH services, and improved hygiene behaviors will be achieved.

Figure 1 summarizes the Transform WASH TOC and Figure 2 is the Transform WASH Results Framework, which identifies the major interventions that the activity will undertake to catalyze the project's desired outcomes.

FIGURE I: TRANSFORM WASH THEORY OF CHANGE

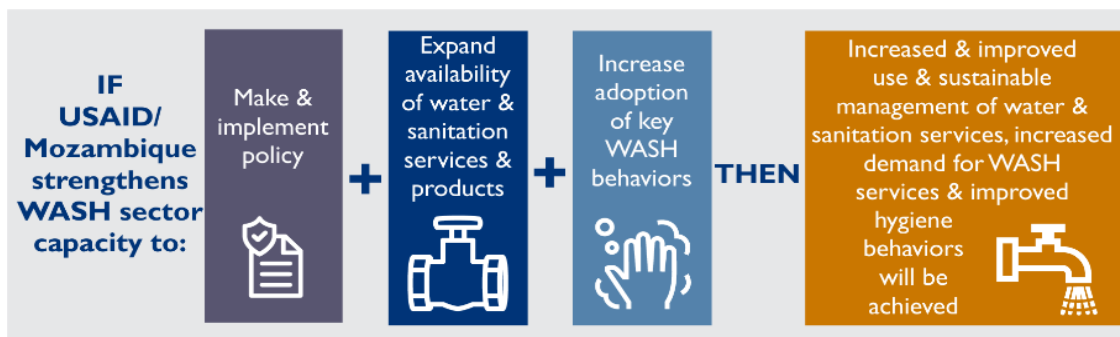
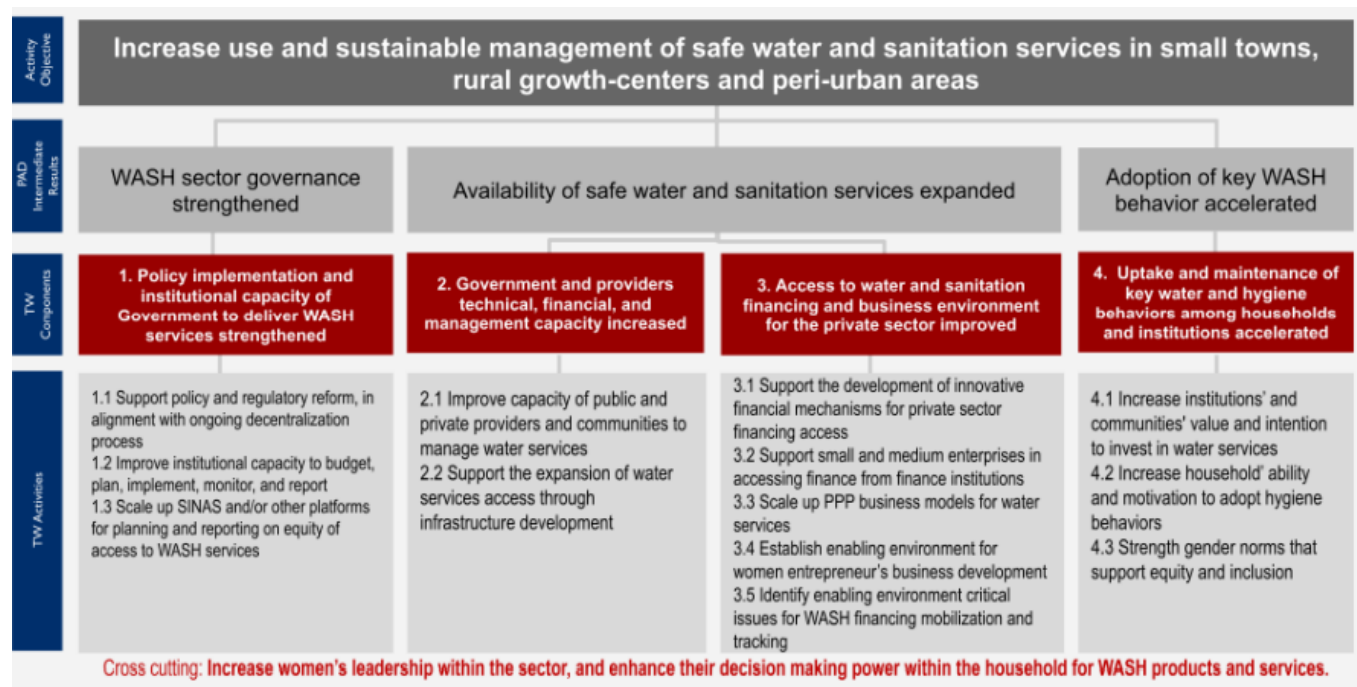


FIGURE 2: TRANSFORM WASH RESULTS FRAMEWORK



In undertaking Transform WASH, the team will work under the following general assumptions. Additional assumptions are outlined for each indicator subsequently.

- AIAS is Transform WASH's primary partner at the national level, including its regional delegations based in Quelimane, Nampula, and Pemba. AIAS will be a primary recipient of capacity building support under Transform WASH
- Transform WASH will directly support the National Directorate of Water and Sanitation (DNAAS) and Water Regulatory Authority (AURA) at the national level, focused on policy and regulatory reform engagements delivered in partnership with these organizations, as defined in Component I.
- Transform WASH will indirectly support the Water Supply Asset and Investment Fund (FIPAG) via its direct engagements with FPAs in the geographies ultimately selected in the Baseline Analysis (BA).
- Transform WASH will support AIAS in the procurement of operators for the systems in towns where USAID will rehabilitate or build water supply infrastructure.
- Transform WASH's counterparts at the national, district, and local level will dedicate requisite time and personnel to collaborate and coordinate with the project to achieve its stated objectives.
- \$10–14 million of infrastructure investment will be completed by another project in accordance with Transform WASH recommendations, and construction will be completed in time for the impacts to be realized and measured within the Transform WASH project lifespan.
- Selections of towns to receive infrastructure will consider the level of engagement and receptiveness to Transform WASH's approach and goals, and will target towns that are not otherwise identified to receive infrastructure support under other planned donor investments, such as those funded by the World Bank's Rural and Small Towns Water Security Project.
- To maximize impact and ensure complementarity, Transform WASH will coordinate and collaborate with other USAID-funded projects including Local Governance Strengthening Project (LOGOS), Transform Nutrition, and Small Towns Sanitation (STS), as well as with other donors active in the target provinces. In some cases, the final scope of other projects may justify adjustment to indicators

or targets (notably adjustment to sanitation related targets in light of the Small Towns Sanitation project which is in its early stages)

- Security conditions stabilize or improve relative to conditions existing at contract start.
- Transform WASH will leverage available data collected by the GRM and other partners, provided that it is determined to be of acceptability quality. The activity will only collect data directly where no other data of acceptable quality is known to exist and as needed, to define activity-specific indicator baselines and track progress against indicators.
- Transform WASH will structure its data collection (primary and secondary) relating to rural water supply such that it is of optimal utility to the National Rural Water Supply and Sanitation Program (PRONASAR) and its efforts to optimally target its investments in new systems.

2.0 MONITORING PLAN

2.1 PERFORMANCE MONITORING

Transform WASH identified 23 performance indicators to measure outputs and outcomes across components so that the Activity team, USAID, and partners can track progress toward targets and anticipated results. Of these indicators, 18 are Outcome level and 7 are Output level indicators. 16 indicators are custom and 9 are standard. Refinements to the number and definition of the custom indicators will be undertaken during participatory work planning, in concert with USAID and GRM counterparts, and will be finalized after final selection of target small towns/districts and considering data availability, cost limitations, or other factors arising during the baseline analysis and counterpart engagement.

Performance monitoring indicators play a prominent role in Transform WASH's CLA approach and provide several ways to monitor the application of learning and use of analytical tools generated by the Activity's interventions. The performance indicators will allow the Activity team to collect data over successive years to validate the assumptions, inputs, intermediate outputs, and outcomes built into the TOC. This focus will improve coordination and effective programming among stakeholder investments and actions based on a relevant and credible evidence base that evolves through continued practice, research, sharing, and learning.

To ensure data availability for CLA, Transform WASH will report on performance indicators quarterly, biannually and/or annually as appropriate. Annex 1 presents a summary table of all indicators and Annex 3 contains PIRS for each indicator. The PIRS include definitions, justifications of utility, means of verification, data sources, and collection methodologies to establish sound data management procedures for tracking and reporting on each performance indicator.

Transform WASH will disaggregate all people-related measures by sex (male/female), age, and other categories such as wealth, (dis)ability, geographic location, as feasible and relevant. Transform WASH has selected data collection methodologies that are thorough yet efficient and cost-effective. The team will monitor several indicators using National Statistics Institute (INE) publications, Transform WASH activity records or secondary data from partners of district or provincial government units, private sector partners, and grantees.

The Tetra Tech home office MEL team will implement an internal Data Quality Assessment (DQA) in Year 2 to review the Transform WASH MEL tools and data collection processes and provide recommendations for strengthening data quality. They will then conduct a second internal DQA in Year 4 to review data and documentation prior to submitting the figures for the activity's final report.

Transform WASH will also provide support to any DQA performed by USAID or the MEL (Monitoring, Evaluation and Learning Activity).

In order to ensure an appropriate data flow, a comprehensive data flow diagram will be developed, and project team and stakeholders trained on its implementation at the beginning of the project. An ITT (Indicator Tracking Tool) will be developed and used to track the progress against the output indicators and inform timely and evidence-based decision-making. Data to feed the ITT will be collected routinely through the data collection methods defined in the PIRS. The updated ITT will be presented in quarterly review meetings with participation of the key stakeholders, where actions will be agreed to continuously improve project performance toward indicator targets. Risks related to data quality issues will be addressed through the achievement of the following data quality attributes: valid representation of performance, integrity of data free from manipulation, precision of data, reliability of data, and timeliness of data collection and reporting. Internal DQA will be conducted to identify possible data quality issues and recommendations for improvement. Project staff and partners will be trained on the project MEL plan, data flow chart and data collection tools, which will enable them to provide high quality data and achieve the data expected quality attributes.

Partners from the Government of Mozambique will be integrated in every stage of project implementation and monitoring for purpose of engagement, synergy and appropriateness. Once the MEL system is set up, Government staff will be fully informed for a better understanding of the expected outputs and outcomes as well as indicators by component. Government staff will be attending the quarterly review meetings where progress against indicators will be discussed, and actions agreed to keep the project in track. They will also participate in the regular data collection and routine monitoring.

How indicators will be aligned/respond to the Mozambique Country Strategy

The GRM National Strategy for Development (2015-2035), and “Action Plan for the Implementation of the Sustainable Development Goals (SDGs) in the Water Supply and Sanitation Sector 2015-2030” reflect the GRM’s focus on improving the water and sanitation sectors in Mozambique towards universal coverage in water, sanitation and hygiene. Mozambique has policies and regulations in place to guide implementation of activities and procedures towards improved access to safely managed water and sanitation, but some inconsistencies and overlaps, gaps in capacity of the WASH agencies, lack of prioritization for WASH funding, and lack of enabling environment for full participation of the private sector limit its ability to reach its goals, making it even more important for USAID to seek private sector driven solutions where feasible. Transform WASH indicators will be critical to track and assess progress against the IR 3.2 of the Country Strategy (Sustainable Management and use of Water and Sanitation Services for Targeted Populations Increased). They will help to gather evidence of changes/improvements in better planning, mobilization of resources and provision of WASH services in Mozambique, as well as WASH sector governance and adoption of adequate WASH behavior by community members.

Table 2. List of Indicators by Component

Indicator	Expected Result(s)
Component 1: Policy Implementation and Institutional Capacity of the Government of Mozambique to Deliver WASH Services Strengthened	
1) Number of water and sanitation sector institutions strengthened to manage water resources or improve water supply and sanitation services as a result of USG assistance (HL.8.3-3) (Outcome, Annual)	ER 1, ER 2, ER 7, ER 8, ER 11
2) Change in women's perception of their role or participation in local structures for accessing WASH services (Custom) (Outcome, Annual)	ER 6

Indicator	Expected Result(s)
3) Number of women in WASH decision-making bodies at various levels (Custom) (Outcome, Biannual)	ER 6
4) Number of laws, policies, regulations, strategies, or standards addressing WASH services formally proposed, adopted, implemented, or strengthened as supported by USG assistance (Custom) (Output/Outcome, Quarterly)	ER 3, ER 4, ER 5
5) Number of WASH PPPs, including private investment mobilization, developed as a result of USG assistance (Custom) (Output, Quarter)	ER 5, ER 17, ER 18
6) Number of focus provinces that have improved utilization of national sector monitoring systems (Custom) (Output, Annual)	ER 9
Component 2: Government and Private Water Provider Technical, Financial, and Management Capacity Strengthened	
7) Number of people gaining access to basic drinking water services as a result of USG assistance (HL.8.1-1) (Outcome, Quarterly)	ER 15
8) Number of people receiving improved service quality from an existing basic drinking or safely managed water service as a result of USG assistance (HL.8.1-3) (Outcome, Quarterly)	ER 10
9) Percentage change in operating ratio (revenue divided by operational costs) of water service providers (Custom) (Outcome, Annual)	ER 11, ER 12, ER 13, ER17
10) Number of large- and small-scale water-related female-led enterprises receiving USG support (Custom) (Output, Quarterly)	ER 13
11) Number of districts that have incorporated community-led service provider accountability mechanisms into standard monitoring and evaluation process (Custom) (Output, Annual)	ER 14
12) Percent of citizens who have an improved perception of WASH service delivery (Custom) (Outcome, Annual)	ER 14
13) Percentage increase of women with position and responsibility for managing water at community, local, and/or national levels in formal and informal institutions (Custom) (Outcome, Annual) *	ER 13, ER14
Component 3: Access to Water and Sanitation Financing and Business Environment for the Private Sector Improved	
14) National water fund with public and private funding windows established (Custom) (Output, Annual) *	ER 16, ER 17
15) Number of mechanisms in place to track WASH expenditures by sub-sector (Custom) (Output, Annual) *	ER 20
16) Value of new funding mobilized to the water and sanitation sectors as a result of USG assistance (HL.8.4-1) (Outcome, Annual) *	ER 16, ER 17, ER18, ER 19
Component 4: Uptake and Maintenance of Key Water and Hygiene Behaviors among Households and Institutions Accelerated	
17) Percentage of households with soap and water at a handwashing station commonly used by family members (HL.8.2-5) (Outcome, Annual) *	ER 21
18) Percentage of households in target areas practicing correct use of recommended household water treatment technologies (HL.8.2-6) (Outcome, Annual)	ER 21
19) Percent of women (age 15-49) who report that they usually participate in decisions about large household purchases (disaggregated by married/unmarried) * (Custom) (Outcome, Annual)	ER 21, ER 22, ER 23
20) Number of people (sex disaggregated) with increased knowledge of hygiene/menstrual hygiene management approaches through exposure to USG-supported events, communications materials, and product * (Custom) (Outcome, Annual) [NOTE – This indicator may be considered for removal due to STS]	ER 24
21) Percent reduction in time women spend collecting water (Custom) (Outcome, Annual)	ER 22

Indicator	Expected Result(s)
22) Percent of USG-assisted organizations with improved performance (CBLD-9) (Outcome, Annual)	ER 11, ER 12
23) Number of people using climate information or implementing risk-reducing actions to improve resilience to climate change as supported by USG assistance (EG.II-6) (Outcome, Annual)	ER 3, ER 15

2.2 BENEFICIARY FEEDBACK PLAN

Transform WASH will facilitate engagement of provincial and district level WASH stakeholders including representation from civil society and local governments to ensure accountability. Water service providers will be accountable for providing regular updates on technical and financial performance metrics, and meeting at regular intervals to be conducted by the contracting government departments, to gather and incorporate feedback from customers. This will also happen at the planning and implementation stages for new or rehabilitated infrastructure, to gather community inputs on locations, technologies, and coordinate land use permissions, and local labor incorporation.

Local representative bodies should have the mandate to collect feedback from citizens through informal face-to-face contacts and local councils’ meetings. The Activity will explore the right levels for this accountability mechanism in light of ongoing institutional re-alignment towards decentralization process. At the district level, there are water commissions in the district local councils as a result of the state's bodies local law (Law 8/2003). The new decentralization law establishes district assemblies to be elected in 2024, which will extinguish or reduce the decision-making value of advisory councils and may give rise to District WASH Regulatory Committees. Aiming to ensure an informed participation of the citizens, they will be informed about the project goal, plans and expected results at the beginning of the project. Efforts will be made to ensure a good participation of women and youth through the accountability system. Feedback will be shared with the project and service providers for appropriate timely action. A Beneficiary Feedback Standard Operating Procedure (SOP) will be developed, and committees will be trained to implement it.

3.0 EVALUATION PLAN

3.1 BASELINE ANALYSIS AND TARGET SETTING

Several indicators require baseline analysis (BA) during Year I to track and measure change as a result of United States Government (USG) assistance, to be done through annual capacity building assessments and an annual community WASH survey. Tetra Tech will consult with other USAID projects and available government data to attain any available secondary data.

For the BA, Transform WASH is engaging a local firm, which is required by its SOW to incorporate a research team, to conduct a community WASH survey to inform indicators on access to basic and improved water services as well as household hygiene behaviors, such as handwashing with soap and use of water treatment technologies.

Upon completion of the baseline analysis, quarterly, biannual, annual and life of activity targets will be finalized for each indicator. Transform WASH will review the targets annually with USAID to determine if they are realistic and will propose adjustments as needed.

3.2 ANNUAL CAPACITY BUILDING ASSESSMENTS

Transform WASH will use an institutional capacity assessment tool tailored to the capacity needs of each institution, according to the duration of support and capacity level and goals. The team will tailor tools to each of the following groups:

- AIAS, DNAAS, and AURA at the national level
- Target provincial entities including AIAS and AURA delegations, the Provincial Directorates of Public Works (DPOPs), and the Provincial Infrastructure Services (SPI)
- The District Planning and Infrastructure Services (SDPI) and Municipalities, where applicable, in the target districts

During startup, Transform WASH will design the tool to effectively assess capacity within specific areas, including specific factors around female opportunity, leadership, and participation. Transform WASH will work with the counterpart institutions to discuss goals and how the assessment framework links to organizational performance improvement and informs identification of Transform WASH assistance priorities. The WASH Governance Specialist will lead the annual assessments in concert with each institution's leadership. The team will use the results to monitor performance and identify each institution's capacity areas requiring the greatest focus (e.g., budgeting, planning, implementation, monitoring, and reporting) during the subsequent period. The results will also support monitoring of progress toward the Transform WASH Sustainability Plan and Exit Strategy.

3.3 ANNUAL COMMUNITY WASH SURVEY

The following six Transform WASH performance indicators require a WASH survey of community members:

- 12) Percent of citizens who have an improved perception of WASH service delivery (Custom) (Outcome, Annual)
- 17) Percentage of households with soap and water at a handwashing station commonly used by family members (HL.8.2-5) (Outcome, Annual)
- 18) Percentage of households in target areas practicing correct use of recommended household water treatment technologies (HL.8.2-6) (Outcome, Annual)

- 219) Percent of women (age 15-49) who report that they usually participate in decisions about large household purchases (disaggregated by married/unmarried) * (Custom) (Outcome, Annual)
- 20) Number of people (sex disaggregated) with increased knowledge of hygiene/menstrual hygiene management approaches through exposure to USG-supported events, communications materials, and product * (Custom) (Outcome, Annual)
- 21) Percent reduction in time women spend collecting water (Custom) (Outcome, Annual)

A reputable Mozambican data collection firm with WASH experience conduct with the baseline survey via a random sample of a statistically significant number of households in each target district. Other arrangements may be made for annual in-between surveys including use of project and utility staff to reduce cost and develop local capacity.

The surveys will include specific modules for men and for women, with men and women interviewed separately so that women can provide authentic responses to sensitive questions. The team will ensure that other best practices for gender-intentional survey data collection will also be used to optimize data quality. Households with only one adult will still be eligible for the survey. Questions about perception of WASH service delivery as well as status of WASH practices (household use of soap and water at handwashing stations and household water treatment technologies) will be asked in both modules. The firm will collect data from both men and women about decision-making and knowledge of sanitation and hygiene, with questions worded for the appropriate audience.

3.4 MID-TERM PERFORMANCE REVIEW

During Year 3, Transform WASH will conduct an internal mid-term performance review. The review will take on a developmental, learning-focused approach in assessing the current strengths and weaknesses in Transform WASH's implementation, focusing on the effectiveness and efficiency of service delivery and prospects of long-term sustainability. In addition, the Transform WASH team will use this mid-term review as a time to pause, reflect and discuss: (1) how the activity has influenced events or conditions to emerge; (2) what mid-term results indicate about activity progress; (3) whether there are inequalities in service delivery concerning gender, youth, and marginalized groups; (4) how the greater context is affecting or reacting to the activity; and (5) how different perspectives have influenced activity implementation. To this end, the team will employ a Learning Diary in which to document significant implementation events, outcomes, after-action review notes, and beneficiary and stakeholder feedback for easy access.

Transform WASH create a performance review/evaluation framework informed by the data and information captured from preceding pause-and-reflect sessions and in the Learning Diary to guide further learning and activity improvement. Data collected through pause-and-reflect sessions can be used to establish a baseline and comparison for future performance reviews and learning sessions. Transform WASH will select a sampling of beneficiaries and stakeholders who will be interviewed or participate in focus group discussions to gain insight on how specific interventions have affected their communities (positive impact, negative impact, no impact) and follow up on intervention progress. The team will collect qualitative data to identify if any impact identified has been felt by all members of the community or specific groups. Focus groups discussions will be conducted with local beneficiaries who participated in activity interventions. Key informant interviews with women, youth, and other potential marginalized groups will help the team to understand if and how the interventions addressed inequalities faced by each group. This performance review will be implemented to identify key systemic aspects that affect the outcome of activities. Additionally, the Transform WASH team will fully support any external evaluation implemented by USAID or

3.5 ENDLINE EVALUATION

The evaluation purpose is to assess the overall project impact and changes as result of United States

Government (USG) assistance, as well as its effectiveness and efficiency. The evaluation will also assess the performance during implementation period, identify key lessons learned for the ending project and future assistances. The evaluation will be conducted by an external consultant or subcontractor and will follow the same approach and methodology applied in the baseline survey.

A dissemination plan will be implemented to reach project stakeholders including citizens, and evaluation findings will be shared (at minimum) in a learning workshop, as well as through a summary of findings. Evaluation questions will include relevance, effectiveness, efficiency, sustainability, and lessons learned. The final evaluation report will be submitted to USAID and national Government Institutions for accountability purposes. The report will also provide information on the effectiveness of sector policies and approaches implemented through the program, how they influence the sector (based in the evidence) to adopt / institutionalize the program best practices / lessons learned, including for future USAID implementers.

4.0 COLLABORATING, LEARNING, AND ADAPTING (CLA) PLAN

To ensure that the Transform WASH team focuses on approaches and interventions that are getting results and eliminates those that are not, we will collaborate with counterparts at national, provincial, and district levels, as well as with operators and beneficiaries, to discuss qualitative feedback and quantitative results to learn what is and what is not effective. These findings will guide the team to adapt approaches as necessary to maximize impact as well as sustainability.

Throughout interventions across districts, technical staff will invite feedback from participants on beneficial aspects of interventions and aspects that were not impactful. The team will hold after-action reviews for key interventions. Any interventions with feedback indicating that an intervention is not effective will be escalated to discussion with the COP in case immediate revision is required.

At the start of Quarter 4 in each program year, the Transform WASH team will begin the annual CLA activities. The Transform WASH MEL/CLA Manager will work with each component team to gather key qualitative feedback from partners and beneficiaries related to the component, specifically:

- **Component 1. Policy implementation and institutional capacity of the Government of Mozambique to deliver WASH services strengthened:** Transform WASH will conduct informal discussions with members of WASH decision-making bodies at various levels (AIAS, DNAAS, AURA, DPOP, SPIE, SDPI) to gain insight into how the policies and regulations revised with USG support impact them. The team will also hold discussions with government officials to better understand the roadblocks to policies that the Transform WASH team and officials jointly want to advance, as well as enabling factors that could be employed. When identifying leaders, Transform WASH will seek a 50/50 gender balance in interviewees, or close to this proportion.
- **Component 2. Government and private water provider technical, financial, and management capacity strengthened:** Transform WASH will use multiple methods to obtain feedback on Transform WASH's capacity building approach. This will include monitoring entities that received capacity building support to observe changes implemented, gathering feedback following capacity building activities (AIAS Embedded Technical Advisor and Capacity Building Coordinators), and conducting an annual focus group with leaders from private partners and youth and female entrepreneurs to discuss broad challenges and areas where entities have successfully gained capacity and improved their work as a result of USG support. It will be important to compare the qualitative feedback to the quantitative results of the capacity assessment tools. The team will work with individual service providers to examine changes in operational and financial performance to measure Indicator 10 related to operating ratio.
- **Component 3. Access to water and sanitation financing and business environment for the private sector improved:** Transform WASH will determine questions regarding success of funding mobilization efforts and mechanisms for financial management related to the Component 3 TOC. The team will design and implement surveys and focus group sessions with key stakeholders from private sector entities, including women and girls with roles as private sector operators or involved in other businesses within the water supply chain, to gain insight into improvements in business performance and access to finance as well as perceptions on the business-enabling environment.
- **Component 4. Uptake and maintenance of key water and hygiene behaviors among households and institutions accelerated:** The Transform WASH MEL/CLA Manager will collaborate with the Gender and Youth Specialist and the Social Behavior Change (SBC) Specialist,

with support from Iris Group and CARE, organize focus group sessions with community members in selected target towns and districts across the three provinces within each province and district representation. Separate group sessions will be held for men, women, male youth, and female youth to ensure that groups are able to express their thoughts freely. The discussions will seek to gather feedback on their perceptions of interventions and what is changing and not changing as a result of USG assistance, and why. The team will separate focus groups by gender in order to ensure women have an opportunity to voice their opinions and to assess differences in views of men and women around gender norms, how campaigns were received, and household health and well-being. Based on the input from these discussions, SBC team will brainstorm necessary adaptations and present these suggestions at the pause-and-reflect session for input from the team.

Once the team has collaborated with relevant partners and beneficiaries to discuss the approaches, successes, and weaknesses under each component; gathered participant feedback from workshops; and held after-action review discussions for each activity workshop, seminar, or information session, the team will convene an annual pause-and-reflect session. The session will be made up of implementation partners, USAID, and representatives from provincial and district governments with the goal of revising the Transform WASH implementation approach for the next year’s work plan. Participants will discuss findings derived from indicator data, surveys, and focus group discussions to refine the approaches and priorities for the upcoming year’s work plan and re-examine the overall situation model, TOCs, and results chains.

During annual pause-and-reflect sessions, the project will discuss and refine with USAID and GRM counterparts potential learning questions to focus on in the coming years. These may include questions such as: What is the impact of women’s engagement in WASH services delivery and decision making? What are the factors associated with e low women engagement in WASH services delivery? What are the water and hygiene behaviors, attitudes and practices of the targeted households? and What conditions are necessary to increase private sector engagement in the WASH sector in Mozambique?

In the last year of the activity, the team will continue with the annual CLA methods, but in lieu of a pause-and-reflect session to inform the annual work plan, the team will hold a learning workshop with key representatives from partners and beneficiary groups. The workshop will review life of activity progress and impacts, identify the primary challenges encountered, and document lessons learned for future USAID implementers. The team will integrate the final lessons learned into the final report to be posted on the Development Experience Clearinghouse for public benefit.

Type of learning event	Learning method/approach	Schedule
Annual pause-and-reflect session	Meeting with project staff, implementing partners, USAID, Representatives from provincial and district Government to revise the TW implementation approach and progress to inform the next year’s work plan.	Y2, Y3 and Y4
Learning and Lessons learned Workshop	Meeting with project staff, implementing partners, representatives of GRM partners to review LOA impact, identify challenges and document lessons learned.	Y5
Monitoring Data analysis	Meeting with project staff and implementing partners to review monitoring data and progress against indicators to inform timely decisions.	Twice every year

5.0 DATA MANAGEMENT PLAN

The data management plan presents the key steps and requirements for efficient and compliant data management throughout the LOA. The plan consists of the following elements: data collection, data reporting, and data storage and security.

5.1 DATA COLLECTION

Transform WASH will collect and track performance monitoring data in close collaboration with partners. Upon approval of the AMELP, the Tetra Tech home office (HO) MEL Specialist will assist in developing data collection tools, configuring organized and secure storage solutions, and documenting clear standard operating procedures to ensure that Activity staff can collect and manage performance data through best practice approaches. Transform WASH will incorporate data collection requirements in subcontractor contracts and provide comprehensive guidance on data collection and reporting requirements. To ensure quality and consistency, the team will collect data on a quarterly and annual basis as per the frequency defined in the PIRS, using standardized forms and questionnaires developed by the MEL/CLA Manager with support from the Transform WASH technical team. When primary data must be collected for routine performance reporting, Transform WASH will use an electronic data collection and management software to develop and manage electronic data collection forms. The forms will include required fields, skips, and ranges to improve data quality standardization and open-ended fields to capture qualitative data and upload of supplemental documentation as appropriate. The methods of data collection for all indicators are specified in the PIRS.

The forms will include required fields, skips, and ranges to improve data quality standardization and open-ended fields to capture qualitative data and upload of backup documentation as appropriate. In addition to the electronic data collection forms, the team also will use paper-based forms as appropriate to collect performance data. Detailed guidelines for indicator-specific data collection methods are provided in the PIRS (Annex 3). The team will share the list of performance indicators and respective PIRS with the implementing partners to guide and coordinate quality data collection. To ensure the relevance and consistency of data collected, the Transform WASH staff, subcontractors and grantees will apply standardized data collection tools including sign-in sheet/registration form, client satisfaction survey, and post-event forms. All instruments will be developed as text versions in English and will be translated into Portuguese or other languages as necessary.

5.2 DATA REPORTING

Transform WASH quarterly and annual progress reports will include reporting on targets achieved according to the indicators and planned targets defined in the AMELP, as well as suggestions, if any, for adjustments to the implementation plan and strategy. If there have been problems, delays, or adverse conditions impacting timely implementation progress, the reports will include a description of the situation and actions taken or contemplated to resolve the situation and mitigate impacts on the Activity. The MEL section of the progress reports will include:

- A brief description of implemented MEL-related tasks (e.g., trainings, data collection, internal Data Quality Assessments (DQAs) and findings);
- Updated indicator table(s) showing quantitative results achieved (targets vs. actuals);
- Description of progress against performance indicators, targets and any deviations;
- Description of actions taken or contemplated to adjust or address deviations;
- Discussion of data limitations, reporting challenges, and Activity performance; AND

- Transform WASH will also report Activity indicator results into USAID’s Development Information System (DIS) for review and approval of the COR.

Data quality assurance procedures

The MEL system is designed to produce data that reflects the five key data quality attributes: valid representation of performance, integrity of data free from manipulation, precision of data, reliability of data, and timeliness of data collection and reporting. The MEL/CLA Manager will also conduct informal data quality checks and observational field visits at least once in a quarter during the project implementation period and will share recommendations for improvements with the technical teams. The home office MEL Specialist will conduct data quality audits in year 2 and year 4. The results of the DQA will be used to improve reporting of the data for the rest of the project. The program and its subcontractors will use mobile data collection, with skip logic as appropriate, to reduce errors in transcription and processing of the data. The program will also verify and validate the data collected by the MEL system through systematic review of the collected data to compare values across time and location to flag outliers.

Approach for data analysis and use

Output data will be collected and used to track the progress against each output indicator through the ITT (Indicator tracking tool). To ensure the use of data for evidence-based decision-making, data from the ITT will be analyzed and converted into a dashboard that will be presented and discussed with project management and implementation staff during the project monthly and quarterly review meetings.

5.3 DATA STORAGE AND SECURITY

Transform WASH will use Egnyte, a cloud-based file storage application, to store the Activity data and to limit access. A benefit of the Egnyte platform is that access to folders is easily manipulated to limit or grant access. This ensures that Transform WASH staff who are not working with data will not have access and that partners will have ready access through an emailed link to the data they require. Access may be restricted to “read-only” and can be rescinded at any time. This will significantly reduce the risk of loss of control; compromised data; unauthorized disclosure, acquisition, or access; or other kinds of a data breach. As noted above, the Transform WASH team will use electronic data collection tools whenever possible for data collection and ensure datasets are securely stored on Egnyte. The team will save all datasets and trackers for performance monitoring or surveys as .csv or open-format text files to ensure Transform WASH is able to contribute to USAID’s Development Data Library (DDL) within 30 days of being reported to USAID.

Transform WASH also will enforce strict data privacy and security protocols for personally identifiable information (PII) to adhere to the ethical principles governing the collection of data on human subjects. This includes the following:

- All quantitative and qualitative data will be obtained by lawful and fair means, beginning with a proper consent script notifying participants of their essential rights (e.g., whom to contact if they have questions, whether or not they will be compensated, and the option to decline to participate without fear of retribution). The Activity will obtain and document locally appropriate consent, preferably in writing.
- Transform WASH will obtain all appropriate non-disclosure agreements (NDAs) and data releases as an integral part of data privacy and security. The NDAs will be kept on file for individuals with access to proprietary and confidential information (e.g., consultants or survey enumerators).
- In addition to collecting NDAs, Transform WASH will obtain necessary data releases (verbally or in writing) from individuals when using their image or likeness or an attributable quote. Further, when

a data collection exercise such as a focus group discussion or key informant interview is planned to be recorded, Transform WASH staff will seek acknowledgment and acquiescence for recording from the participants. The Transform WASH team also will inform participants how attribution will be made (e.g., by name, by job title, by sex, or by location).

- The Transform WASH team will save all data files containing PII on Tetra Tech’s secure cloud-based storage space (Egnyte). Saving local versions of files on flash drives or laptops will not be permitted.
- Wherever possible, the Transform WASH team will ensure that the individuals whom the data describe remain anonymous. The Activity will not share any data files containing PII with partners or USAID until PII and other sensitive data are removed, encrypted, masked, anonymized, or aggregated. This includes submissions to the Development Exchange Clearinghouse (DEC) and Development Data Library (DDL), as appropriate.
- Transform WASH only will share copies of data files, not originals. Transform WASH will place these into a folder created specifically for sharing so that the end-user (partner or USAID) has one-time access to a de-identified copy and no access to the original.

5.4. CHANGE LOG

Table 2. Updates of the changes resulted from MEL plan revisions

AMELP Version Number	Date	Drafted / Updated By	Approved On	Description of change
Version I	May 3, 2022	<ul style="list-style-type: none"> • Ivan Muthombene, (Transform WASH MEL Consultant) • Mines Miguel (Transform WASH MEL Specialist) • Erin Stone (Tetra Tech home office MEL Specialist) • Corrie Kramer (Transform WASH Project Manager) • Pedro Simone (Transform WASH COP) 	TBD	<ul style="list-style-type: none"> • N/A (first version)

6.0 MANAGEMENT OF THE PERFORMANCE MONITORING SYSTEM

Table 1 provides an overview of the MEL roles and responsibilities for Transform WASH staff. Table 2 provides the schedule for conducting MEL activities.

TABLE 2: SUMMARY OF MONITORING AND EVALUATION ROLES AND RESPONSIBILITIES

Mel Role	Responsibilities
MEL/CLA Manager	<ul style="list-style-type: none"> ● Maintain the Transform WASH information database and system, including standardized data collection forms. ● Maintain up-to-date hard and electronic files of all performance monitoring data and supporting documentation. ● Draft and submit MEL sections of quarterly, annual, and final reports to the COP/DCOP for submission to USAID. ● Submit datasets to the DDL as appropriate. ● Conduct analyses as necessary to inform Activity learning with support from the technical team. ● Conduct Data Quality Assessments ● Contribute to quarterly and annual results reviews. ● Share internal evaluation findings and support with facilitation of review and feedback sessions at annual P&R sessions as needed. ● Work with the COP and technical staff to ensure that MEL data are informing Transform WASH management and decision making. ● Report performance indicator results to USAID’s DIS system. ● Lead the implementation of the Beneficiaries Feedback Plan
Technical Staff	<ul style="list-style-type: none"> ● Provide technical expertise with design of data collection tools for tracking performance data and anticipated results. ● Collect and submit data and supporting documentation (photos, global positioning system [GPS] coordinates, sign-in sheets, reports, trackers etc.) for activities for which they are responsible. ● Provide recommendations to the DPM/OFM on any needed changes to the AMELP or MEL processes, such as revisions to data collection forms, methods, indicators, or targets. ● Participate in learning events (regular results reviews; annual P&R sessions) intended to facilitate learning from Activity data. ● Incorporate findings from learning events into future interventions and work plans.
COP	<ul style="list-style-type: none"> ● Ensure that Transform WASH interventions contribute to indicator targets and anticipated results, are gender-responsive; that MEL data and findings are used to inform planning and decision making; and that staff is meeting their MEL responsibilities in a timely manner. ● Review AMELP revisions, survey reports, and annual reporting of indicators and DQA reports. ● Facilitate regular review meetings, annual P&R sessions learning forums with support from the technical team.
Implementing Partners	<ul style="list-style-type: none"> ● Consult with the PM/DPM to gain consensus on how Transform WASH interventions will contribute to indicators and objectives. ● Collect and submit data and data documentation (photos, GPS coordinates, agendas,

Mel Role	Responsibilities
	<p>sign-in sheets, reports, etc.) using MS Forms.</p> <ul style="list-style-type: none"> ● Participate in forums (regular results reviews; annual P&R sessions) intended to facilitate learning from Activity data and research.
<p>Home Office MEL Specialist</p>	<ul style="list-style-type: none"> ● Build the capacity of all Activity staff, partners and consultants executing and reporting monitoring and evaluation approaches, practices, and tools. ● Support the development/revisions of the AMELP to ensure compliance with USAID requirements. ● Develop/review tools and procedures for data collection to ensure adherence to PIRS requirements and identify best practices for data quality. ● Conduct internal DQAs in Y2 and Y4 to check the quality of data being collected and submitted to USAID.

TABLE 3: SCHEDULE FOR TRANSFORM WASH MEL ACTIVITIES

Tasks	FY 22		FY 23				FY 24				FY 25				FY 26				FY 27		Responsible Party	
	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2		
Prepare Final AMELP and submit for USAID approval																						MEL/CLA Manager, HO MEL Specialist, COP, PM
Baseline Analysis																						MEL/CLA Manager, HO MEL Specialist, COP, PM,
Develop data collection tools, Standard Operation Procedures (SOPs), checklists/trackers, and reporting templates																						MEL/CLA Manager, HO MEL Specialist
Set-up MEL System and train staff/partners																						MEL/CLA Manager, HO MEL Specialist
Develop Learning Agenda																						MEL/CLA Manager, HO MEL Specialist, COP, PM
Develop beneficiary feedback mechanism and train water committees on accountability																						MEL/CLA Manager, HO MEL Specialist
Draft MEL Section of Quarterly Report																						MEL/CLA Manager
Report KPI results into DIS																						MEL/CLA Manager, HO MEL Specialist, COP
Support development of success stories																						MEL/CLA Manager, Technical staff
Draft MEL Section of Annual Report																						MEL/CLA Manager
Revise AMELP as needed																						MEL/CLA Manager, HO MEL Specialist, COP, PM
Draft MEL Section of Final Report																						MEL/CLA Manager
Conduct internal DQA																						HO MEL Specialist or Consultant
Annual Review and Pause and Reflect session																						MEL/CLA Manager, COP, Technical Staff,
Regular Activity data collection																						ALL

ANNEX I: PERFORMANCE INDICATOR SUMMARY TABLE

The indicator table below provides targets across the three provinces and districts/small towns, along with their type, frequency, source, baseline estimates, and life-of-activity targets. This list contains standard, custom, and gender-sensitive indicators. Subsequent refinements to the number and definition of these baselines and draft indicators will be based on finalization of the BA and discussions with USAID and GRM counterparts, notably during participatory work planning and pause-and-reflect sessions.

TABLE 4: INDICATOR SELECTION AND DESIGN

Indicator (Type, Frequency)	Expected Result(s)	Data Source	Baseline Value	Target	Assumptions	Comments
* Illustrative indicator from RFP						
Component I: Policy Implementation and Institutional Capacity of the Government of Mozambique to Deliver WASH Services Strengthened						
1) Number of water and sanitation sector institutions strengthened to manage water resources or improve water supply and sanitation services as a result of USG assistance (HL.8.3-3) (Outcome, Annually) * ¹	ER 1, ER 2, ER 7, ER 8, ER 11	Organizational Capacity Assessment Tool (OCAT)	0	20	National and sub-national level water and sanitation sector institutions continue to be engaged and open to receive USG assistance to improve water supply and sanitation service.	The project will target the following institutions: <ul style="list-style-type: none"> • Central: DNAAS, AIAS, and AURA • Provincial: DPOP, SPI; AIAS; and AURA Delegations • District: SDPI (15 towns/districts); and Municipalities (Potential 4)
2) Change in women's perception of their role or participation in local structures for accessing WASH services (Custom) (Outcome, Annual) *	ER 6	Survey of WASH Roles reports	TBD (By September 2023)	50% over BL	Perception is currently low, so there is space for improvement up to 50%.	The project will: <ul style="list-style-type: none"> • Incentivize local governments to involve community-based organizations and users in planning and regular performance assessment of water services • Provide capacity to women to actively participate in WASH decision-making platforms

¹ Indicator 1 (HL 8.3-3) responds to minimum expected results under Component 1 and Component 3.

Indicator (Type, Frequency) * Illustrative indicator from RFP	Expected Result(s)	Data Source	Baseline Value	Target	Assumptions	Comments
3) Percent of members of WASH decision-making bodies who are women (Custom) (Outcome, Biannual) *	ER 6	Secondary data from concerned institutions	25%	40%	<ul style="list-style-type: none"> The sector will develop and implement a gender strategy which empowers women and promotes equity Women want increased engagement in WASH sector decision-making and leadership Women trained are integrated the WASH sector, which in turn can create more interest in women in the decisions of this sector. 	<p>The project will promote women's engagement in WASH and provide opportunities for women-targeted capacity building in technical and management aspects, considering the following layers of decision-makings within institutions:</p> <ul style="list-style-type: none"> Central (AIAS, DNAAS and AURA): three levels of management (Directorate, Departments and Section or equivalent) Provincial (DPOP, SPI, AIAS and AURA Delegation): two levels of management (water department and sections or equivalent). District: one level of management (water section + water regulation commissions management)
4) Number of laws, policies, regulations, strategies, or standards addressing WASH services formally proposed, adopted, implemented, or strengthened as supported by USG assistance (Custom) (Output/Outcome, Quarterly) *	ER 3, ER 4, ER 5	Copies of the documents (laws, policies, regulations and strategies); Feedback from Key informants/ Stakeholders; and reports on their implementation	0	20	<ul style="list-style-type: none"> The sector is eager to develop tools and implement reforms and improvements. Roles and responsibilities of each WASH actor become clearer. Need exists for reforms or improvements, especially at local levels. 	The project interventions will include support for policy and regulatory reform as well as implementation, in alignment with ongoing decentralization process, at national, provincial, and district levels.

Indicator (Type, Frequency) * Illustrative indicator from RFP	Expected Result(s)	Data Source	Baseline Value	Target	Assumptions	Comments
5) Number of WASH PPPs, including private investment mobilization, developed as a result of USG assistance (Custom) (Output, Quarterly) ^{*2}	ER 5, ER 17, ER 18	Documentation of partnership (copies of the concession contracts, lease contracts, investment reports, financing agreements and others).	0	54	<ul style="list-style-type: none"> The government embarks in creation of the small towns water fund and donors are willing to contribute. Enabling environment for private investment exists in targeted provinces. Security conditions stabilize or improve. 	<p>The project will support the implementation of:</p> <ul style="list-style-type: none"> Concession contracts that may arise from the establishment of the Small Towns Water Fund. AIAS improved lease contracts in coordination with the World Bank Review of Diploma 05/2006 and its implementation in rural growth centers piped water FPA's investment in some geographical areas of Cabo Delgado, Nampula and Zambezia Mobilization of large corporations' investments in WASH under social responsibility umbrella Domestic commercial financing mobilization
6) Number of focus small towns that have improved utilization of national sector monitoring systems (Custom) (Output, Annual)	ER 9	Assessment of town reports to DNAAS	0	3	<ul style="list-style-type: none"> Availability of government staff to be trained for regular update piped water supply performance on SINAS database Availability of resources to enable implementation 	<ul style="list-style-type: none"> The project will support the three provinces to establish and implement a regular performance monitoring system for piped water service in Small Towns and Rural Grow Centers. At least 10 Districts shall have improved their SINAS monitoring system in the three provinces.
Component 2: Government and Private Water Provider Technical, Financial, and Management Capacity Strengthened						

² Indicator 5 is a result of Component 1 and Component 3.

⁴ Indicator 8 responds to minimum expected results under Component 2 and Component 3.

Indicator (Type, Frequency) * Illustrative indicator from RFP	Expected Result(s)	Data Source	Baseline Value	Target	Assumptions	Comments
7) Number of people gaining access to basic drinking water services as a result of USG assistance (HL.8.1-1) (Outcome, Annually)	ER 15	Assessment of # of people gaining access as a result of Transform financing, PPP, SBC	0	25,000	<ul style="list-style-type: none"> Trained AIAS operators will increase the use the systems installed production capacity and establish new connections. Trained DPOP and SDPI will engage operators for currently non-functioning PRONASAR piped systems. FPA's will be interested in recovering and operating currently non-functioning PRONASAR piped systems. FPA's will be interested in investing in new piped water systems in rural growth centers. GRM will be interested in establishing the small towns water fund. Large investments projects will be interested in partnering with Transform WASH in delivering sustainable water infrastructures. 	<ul style="list-style-type: none"> It is assumed that average of 1,650 people will gain at least access to basic service as a result of Transform WASH activity capacity building. People receiving basic access to water from Transform WASH activities that are also supported by USAID's construction mechanism will not be accounted for. Transform WASH will provide capacity building to existing operators to increase technical, financial management, and business performance to improve the utilization of water supply systems installed capacity. Transform WASH will support DPOP and SDPI in engaging and monitoring performance of PRONASAR operators. Transform WASH will engage with FPA's to invest in rehabilitation or construction of water systems. Transform WASH will support the establishment of small towns water fund; and Transform WASH will engage with large investment project to fund piped water systems.
8) Number of people receiving improved service quality from an existing basic drinking or safely managed water service as a result of USG assistance (HL.8.1-3) (Outcome, Annually *)	ER 10	operators' records	0	75,000	<ul style="list-style-type: none"> The targeted towns have existing water access that can be improved The target towns have deficient functioning systems which can be improved by operators once trained The operators are willing to install consumer water meters. Tariffs approved by regulator are affordable. Regulator enforces service quality. 	<ul style="list-style-type: none"> Transform WASH will provide capacity building to existing operators to increase technical, financial management and business performance, to improve the utilization of water systems installed capacity; and Transform WASH will support the development and implementation of the regulatory framework to both AIAS and PRONASAR piped water supply service.

Indicator (Type, Frequency) * Illustrative indicator from RFP	Expected Result(s)	Data Source	Baseline Value	Target	Assumptions	Comments
9) Percentage change in operating ratio (revenue divided by operational costs) of water service providers (Custom) (Outcome, Annual) *	ER 11, ER 12, ER 13, ER17	Secondary data, operator reports	TBD (By September 2023)	20% over BL	<ul style="list-style-type: none"> The piped water systems operators are willing to improve efficiency and are willing to be capacitated to that end. The behavior change component on value for water/payment for water is well successful. 	<ul style="list-style-type: none"> The assessment of this indicator will be made through the sample of the systems benefiting from infrastructures development, institutional capacity building or targeted by the grants program. The project will support operators' capacity building and will implement social behavior change which includes value for water component.
10) Number of large- and small-scale water-related female-led enterprises receiving USG support (Custom) (Output, Quarterly)	ER 13	Training records	0	25	<ul style="list-style-type: none"> There are female-led enterprises interested in WASH business. There are women interested in starting businesses in WASH sector 	<ul style="list-style-type: none"> The project will provide capacity building to female-led enterprises in WASH aspects. The project will support incubation and capacity building of women-led enterprises.
11) Number of districts that have incorporated community-led service provider accountability mechanisms into standard monitoring and evaluation process (Custom) (Output, Annual)	ER 14	accountability reports from service providers	6	15	<ul style="list-style-type: none"> Districts' decision-makers are willing to involve the local communities in WASH decisions per decentralization framework. AURA has resources to establish and support the establishment and functioning of local accountability systems. 	<ul style="list-style-type: none"> The project will support the districts in including community councils in accountability mechanisms. The project will support AIAS, DPOP, SDPI and AURA in involving local communities in services performance monitoring and regulation.
12) Percent of citizens who have an improved perception of WASH service delivery (Custom) (Outcome, Annual)	ER 14	WASH Surveys	TBD (By September 2023)	50% over BL	<ul style="list-style-type: none"> Infrastructure and performance improvement activities result in tangible improvements to end users' service. Behavior change messages are well received and absorbed by the targeted population. The use of media such as TV and radio is common in target communities. 	<ul style="list-style-type: none"> The project will support operators to improve services, as well as communications and consumers relationships. The project will support local governments in involving local communities in WASH decisions.
13) Percentage increase of women with position and responsibility for managing water services at community, local, and/or national levels in formal and informal institutions (Custom) (Outcome, Annual) *	ER 13, ER14	Secondary data from organizations management charts	TBD (By September 2023)	30% over BL	<ul style="list-style-type: none"> The sector will develop and implement a gender strategy which empowers women and promotes equity Women are interested in WASH sector and demonstrate leadership capacity 	<p>The targeted institutions are:</p> <ul style="list-style-type: none"> AIAS operators (2 levels of managements) PRONASAR operators (2 levels of managements)
Component 3: Access to Water and Sanitation Financing and Business Environment for the Private Sector Improved						

Indicator (Type, Frequency) * Illustrative indicator from RFP	Expected Result(s)	Data Source	Baseline Value	Target	Assumptions	Comments
14) Number of national water funds with public and private funding windows established (Custom) (Output, Annual) *	ER 16, ER 17	Activity records	0	1	<ul style="list-style-type: none"> The government is willing to create and establish the water fund Donors are willing to invest 	<ul style="list-style-type: none"> The project will provide legal and technical support to the WASH sector for creation and establishment of the water fund
15) Number of mechanisms in place to track WASH expenditures by sub-sector (Custom) (Output, Annual) *	ER 20	Secondary data and activity records	0	4	<ul style="list-style-type: none"> Public and private expenditures will be made available to track how much the subsector has used and for what purpose. Institutions are interested in being capacitated to better classify expenditure 	<p>The mechanisms to be created are for tracking expenditure for:</p> <ul style="list-style-type: none"> Central Level: AIAS, DNAAS and AURA Provincial Level: DPOP and SPI District Level: SDPI and Municipalities Non-WASH Institutions: Ministries of Health; Education; and Environment Private Sector: Operators, FPA and Developer
16) Value of new funding mobilized to the water and sanitation sectors as a result of USG assistance (HL.8.4-1) (Outcome, Annual) *	ER 16, ER 17, ER 18, ER 19	MOU, transactions records, operators and FPAs investments records	\$0	\$20M	<ul style="list-style-type: none"> The government is willing to create the water fund which will improve the attractiveness of the sector for investments. There is Private Sector interested in supporting the WASH sector under social responsibility. Provincial and district governments willing to embark in innovative financing mechanisms, including from private sector. Financing institutions are interested and have competitive products for WASH sector 	<ul style="list-style-type: none"> The project will provide transaction support to sector institutions to materialize concession contracts under the small towns fund umbrella. The project will support FPA and district government in identification of investment opportunities to complement public sector initiatives. The project will engage with regional private sector for financing of WASH sector under social responsibilities. The project will engage with financial institutions to enhance mobilization of funds to WASH projects.
Component 4: Uptake and Maintenance of Key Water and Hygiene Behaviors among Households and Institutions Accelerated						
17) Percentage of households with soap and water at a handwashing station commonly used by family members (HL.8.2-5) (Outcome, Annual) *	ER 21	WASH Survey	TBD (By September 2023)	36%	Targeted households are responsive to behavior change messaging and have resources to adopt hygiene behavior change and possibly increase in soap and water use at household handwashing stations.	<ul style="list-style-type: none"> Data captured using community and household surveys to distinguish between presence of the stations and actual use behaviors. Behavior change activities will be implemented to motivate households to adopt handwash devices

Indicator (Type, Frequency) * Illustrative indicator from RFP	Expected Result(s)	Data Source	Baseline Value	Target	Assumptions	Comments
18) Percentage of households in target areas practicing correct use of recommended household water treatment technologies (HL.8.2-6) (Outcome, Annual)	ER 21	WASH Survey	TBD (By September 2023)	15%	<ul style="list-style-type: none"> Targeted households will adopt the promoted hygiene behaviors and household water treatment solutions. Water treatment technology options are available in the local market. 	<ul style="list-style-type: none"> Data captured using community and household surveys to distinguish between presence of soap facilities and household water treatment facilities. The project will implement behavior change activities which include hygiene best practices and water treatment at household level. The project will promote water technologies within the local private sector
19) Percent of women (age 15-49) who report that they usually participate in decisions about large household purchases (disaggregated by married/unmarried) * (Custom) (Outcome, Annual)	ER 21, ER 22, ER 23	WASH Survey	TBD (By September 2023)	30% over BL	<ul style="list-style-type: none"> Behavior change messages are well understood by the targeted population. Gender norms will be improved and will support equity and inclusion, which is likely to increase in women participating in large household purchase decisions. 	<ul style="list-style-type: none"> Water-specific large household purchases may include, among other items, fixed handwashing stations, water filtration devices; and household water connection fees. The project will implement behavior change activities which will address gender norms on WASH decisions at household.
20) Number of people (sex disaggregated) with increased knowledge of hygiene/menstrual hygiene management approaches through exposure to USG-supported events, communications materials, and product * (Custom) (Outcome, Annual) [NOTE – This indicator may be considered for removal due to STS]	ER 24	WASH Survey	0	100,000	<ul style="list-style-type: none"> Behavior change messages are understood by the targeted communities 	<ul style="list-style-type: none"> The project will develop and implement SBC and communication campaigns

Indicator (Type, Frequency) * Illustrative indicator from RFP	Expected Result(s)	Data Source	Baseline Value	Target	Assumptions	Comments
21) Percent reduction in time women spend collecting water (Custom) (Outcome, Annual)	ER 22	WASH Survey	0%	50%	<ul style="list-style-type: none"> Targeted communities utilize improved water supply services. The improved water supply services are affordable to the communities and consider gender issues, safety issues, and people with special needs. 	<ul style="list-style-type: none"> The project will inform USAID on AIAS systems to be considered for construction / rehabilitation / expansion. The project will support the mobilization of the government and private sector to invest in delivering of piped water systems. The project will conduct a willingness and capacity to pay for service. The project will implement behavior change activities which include mobilization to adoption of improved services and involvement of women in WASH household decisions
22) Percent of USG-assisted organizations with improved performance (CBLD-9) (Outcome, Annual)	ER 11, ER12	Secondary data and activity records	0	65%	<ul style="list-style-type: none"> Water supply service providers at the level of the 15 target districts, will continue to engage and are open to receive USG assistance to improve water supply and sanitation services and implement acquired knowledge. 	<p>The project will target the following service providers:</p> <ul style="list-style-type: none"> AIAS operators (15) PRONASAR operators (15)
23) Number of people using climate information or implementing risk-reducing actions to improve resilience to climate change as supported by USG assistance (EG.11-6) (Outcome, Annual)	ER 3, ER 15	Secondary data and activity records	0	65	<ul style="list-style-type: none"> The people from institutions responsible for infrastructure development and from service providers will adopt climate technology and management measures for continuity and quality of service under the impact of adverse climate conditions. 	<p>People from institutions responsible for infrastructure development and from service providers will be trained to build infrastructure that is resilient to the impacts of climate change and adopt management measures for continuity and quality of service under the impact of adverse climate conditions.</p> <ul style="list-style-type: none"> Institutions of infrastructure development: AIAS (3); AIAS delegations (7); DPOPH (9); SDPI (30). Service providers: municipalities (5); operators (11).

ANNEX 2: LOGICAL FRAMEWORK MATRIX

The logical framework below shows expected results and how each result is aligned with the components and tasks. Major interventions which will support each ER and indicators which will directly measure each ER are laid out.

TABLE 5: LOGICAL FRAMEWORK MATRIX

Expected Result	Priority Interventions	Corresponding Indicators
Component 1: Policy implementation and institutional capacity of the Government of Mozambique to deliver WASH services strengthened		
Activity 1.1: Support policy and regulatory reform in alignment with decentralization		
ER 1) Enhanced government capacity, coordination, and tools for ensuring sustainable WASH services delivery and water provider's performance	<ul style="list-style-type: none"> Review, adapt and implement 'improved' lease contract for PRONASAR piped systems similarly enabling operator investment in these systems and capacity of district governments built to facilitate its broad use. Support universal application of the revised lease contract model by AIAS for system renewals and newly developed systems. Use georeferenced FPA licensing tool to facilitate district governments' ability to allocate available licenses and engage in more meaningful dialogue with FIPAG on capital investment planning. Support SINAS expansions to cover piped water information regular reporting Assist DNAAS and AIAS to improve sector coordination within government and with development partners through platforms such as the <i>Grupo de Água e Saneamento</i>. 	1) Number of water and sanitation sector institutions strengthened to manage water resources or improve water supply and sanitation services as a result of USG assistance (HL.8.3-3)
ER 2) Strengthened regulatory entities (including consumer organizations) to help ensure transparency and accountability	<ul style="list-style-type: none"> Strengthen AURA capacity to: <ul style="list-style-type: none"> Exercise regulation of FPAs and PRONASAR systems via implementation of regulatory framework for the same. Regulate concession contracts under AIAS via support on key contract management milestones including first tariff review. Leverage civil society organizations such as ProConsumers through GUC to build community capacity to hold service providers accountable. 	
ER 3) Revised policies, strategies and implementation plans for ensuring sustainable WASH services and strengthened	<ul style="list-style-type: none"> Support PRONASAR Investment Optimization Strategy and Implementation Plan. Introduce tariff setting policy variations for significantly disadvantaged small towns and rural populations, and/or for system conglomerations under district-wide or multi-system lease models. Prepare policies, strategies and implementation plans to mandate and support the implementation of climate-resilient system development and management. ...Support the establishment and implementation of PRONASAR piped water service performance monitoring system 	4) Number of laws, policies, regulations, strategies, or standards addressing WASH services formally proposed, adopted, implemented, or strengthened as supported by USG assistance (Custom)

Expected Result	Priority Interventions	Corresponding Indicators
implementation of such plans	<ul style="list-style-type: none"> Support the implementation of WASH investments tracking mechanisms in non-WASH sectors (Health and Education) and local governments (provincial and district levels) 	
ER 4) Enhanced legal and regulatory frameworks to help expand and improve services provided by both the public and private sectors	<ul style="list-style-type: none"> Support the revision of the umbrella PPP legislation to address nature of water sector in its provision of a social good, resulting constrained commercial viability. Pilot and scale up a new regulatory framework for FPAs and PRONASAR systems. 	
ER 5) Clarified roles and <u>regulations</u> and increased utilization of private partners in the provision of WASH	<ul style="list-style-type: none"> Strengthen AIAS capacity to procure and manage revised lease contracts, which clarify roles of both parties. Strengthen DPOP and SDPI capacity to procure and manage revised lease contracts, which clarify roles of both parties. Strengthen AIAS capacity to manage, monitor and report performance of the first concession for small towns. Strengthen AURA capacity to regulate the performance of the first concession for small towns, including execution of periodic tariff reviews. Implement regulatory framework for FPAs and PRONASAR systems. Strengthen SDPI capacity to enforce terms of FPA leases and effectively manage PRONASAR operator contracts. Strengthen AURA capacity to oversee local license enforcement and contract management. 	<p>4) Number of laws, policies, regulations, strategies, or standards addressing WASH services formally proposed, adopted, implemented, or strengthened as supported by USG assistance (Custom)</p> <p>5) Number of WASH PPPs, including private investment mobilization, developed as a result of USG assistance (Custom)</p>
Activity 1.2: Improve institutional capacity to budget, plan, implement, monitor, and report		
ER 6) Effective sector governance and leadership, particularly on engaging women in pursuit of WASH services development and stakeholders (such as community groups, civil society organizations, and donors' entities)	<ul style="list-style-type: none"> Support AIAS, DNAAS, and AURA to implement their gender strategies, once finalized. Hold workshops and training sessions for provincial and district groups on the impact of limiting social norms on women's meaningful participation in decision-making structures and processes. Assist provincial and district authorities to develop and implement women's leadership and engagement action plans. Solicit grant applications from women's groups, CSOs/CBOs to raise awareness and train local women and community groups on sector policy reform and its implications for local stakeholder engagement. 	<p>2) Change in women's perception of their role or participation in local structures for accessing WASH services (Custom)</p> <p>3) Percent of members of WASH decision-making bodies who are women (Custom)</p>
ER 7) Strengthened WASH sector capacity through	<ul style="list-style-type: none"> Trainings developed and delivered to national, provincial and district governments by local training institution such as CFPAS through a sub-contract or GUC or through in-house resources. 	<p>1) Number of water and sanitation sector institutions strengthened to manage water</p>

Expected Result	Priority Interventions	Corresponding Indicators
<p>national training institutions</p> <p>ER 8) Increased institutional capacity of national and sub-national government institutions to <u>plan, budget, monitor, and manage</u> small town, rural, and peri-urban water services</p>	<ul style="list-style-type: none"> ● Train and coach AIAS and DNAAS in full range of Capital Investment Planning, development of budgets and internal cost estimates, executing efficient procurements, and effective contract management, including performance monitoring and reporting. ● Train and coach SPIs and DPOPs of three provinces to focus on monitoring and oversight of AIAS, PRONASAR and FIPAG systems, including use of SINAS. ● Train and coach SDPIs to focus on executing efficient procurements and effective contract management and performance monitoring/reporting using SINAS for PRONASAR systems. 	<p>resources or improve water supply and sanitation services as a result of USG assistance (HL.8.3-3)</p>
Activity 1.3: Scale up SINAS and/or other platforms for WASH service planning and reporting		
<p>ER 9) Strengthened national sector monitoring system scaled up in all focus provinces</p>	<ul style="list-style-type: none"> ● Update/develop SINAS system infrastructure to accommodate performance data for piped systems by local technology development company. ● Train SPI, DPOP and AIAS provincial Delegations staff to verify quality of performance data of AIAS and PRONASAR systems as uploaded by system operators. ● Train SDPI staff to incorporate monitoring of piped system performance into existing practices, expected to entail verification of quality of performance data of PRONASAR systems as uploaded by system operators. 	<p>6) Number of focus provinces that have improved utilization of national sector monitoring systems (Custom)</p>
Component 2: Government and private water providers technical, financial, and management capacity strengthened		
Activity 2.1: Improve capacity of public providers and communities to manage water services		
<p>ER 10) Implemented improved management approaches that address WASH needs of the small towns and rural systems</p>	<ul style="list-style-type: none"> ● Revise lease contracts implemented for AIAS systems and AIAS capacity built to effectively manage these contracts. ● Revise lease contract adapted for PRONASAR piped systems and SDPI capacity built to effectively procure and manage these contracts. ● Develop and implement a district-wide utility model. ● Multi-system lease model developed and implemented for small towns. 	<p>8) Number of people receiving improved service quality from an existing basic drinking or safely managed water service as a result of USG assistance (HL.8.1-3)</p>
<p>ER 11) Improved capacity of public and private providers and communities to manage water services</p>	<ul style="list-style-type: none"> ● AIAS capacity enhanced to effectively procure and manage revised lease contracts. ● Enhance DNAAS capacity to guide SDPIs in procurement and effective management of revised lease contracts for PRONASAR systems. ● Enhance SDPI capacity to directly procure and manage revised lease contracts for PRONASAR systems. ● AIAS private operator financial, technical and management capacity enhanced via formal trainings and individualized capacity building 	<p>1) Number of water and sanitation sector institutions strengthened to manage water resources or improve water supply and sanitation services as a result of USG assistance (HL.8.3-3)</p>

Expected Result	Priority Interventions	Corresponding Indicators
	<ul style="list-style-type: none"> FPA and PRONASAR private operator financial, technical and management capacity enhanced via formal trainings and individualized capacity building. Enhance community capacity to participate in service provider performance management and accountability. 	10) Percentage change in operating ratio (revenue divided by operational costs) of water service providers (Custom)
Activity 2.2: Strengthen capacity of private water providers		
ER 12) Improved cost recovery of water service providers in targeted small towns in Zambézia, Nampula and Cabo Delgado provinces, and others as required	<ul style="list-style-type: none"> Deliver formal trainings and individualized capacity building to FPA and PRONASAR private operators to improve cost recovery. Improve AIAS private operator capacity and cost recovery via coordination with Dutch PO75 program. 	11) Percentage change in operating ratio (revenue divided by operational costs) of water service providers (Custom)
ER 13) Increased technical, financial and management capacity of assisted water providers, with a special focus on supporting and fostering more female-led businesses	<ul style="list-style-type: none"> Capacity building for female-led businesses among FPA and PRONASAR private operators. Support female-led businesses in WASH or WASH-adjacent businesses to diversify into water service provision. 	9) Percentage change in operating ratio (revenue divided by operational costs) of water service providers (Custom) 10) Number of large- and small-scale water-related female-led enterprises receiving USG support (Custom) 13) Percentage increase of women with position and responsibility for managing water at community, local and/or national levels in formal and informal institutions (Custom)
ER 14) Improved community capacity for social mobilization, monitoring services such as system functionality, with a focus on increasing women's leadership	<ul style="list-style-type: none"> Build community capacity in partnership with the SDPIs and local CSOs/CBOs on community roles in system planning, siting, operator oversight and accountability. Support community liaison committees with strong female leadership to engage at the design stage. Issue GUC to local organizations to facilitate community engagement and interest in improving drinking water access. 	11) Number of districts which have incorporated community-led service provider accountability mechanisms into standard M&E process (Custom) 12) Percent of citizens who have an improved perception of WASH service delivery (Custom)

Expected Result	Priority Interventions	Corresponding Indicators
roles within the committees		13) Percentage increase of women with position and responsibility for managing water at community, local and/or national levels in formal and informal institutions (Custom)
Activity 2.3: Support expansion of water services access through infrastructure development		
ER 15) Increased access to safe drinking water in at least 10 small towns, through the capacity and adoption of management practices for water service delivery	<ul style="list-style-type: none"> Select 10 small towns selected for allocation of USAID infrastructure investment. Support AIAS to issue and complete a successful procurement of a capable private operators under revised lease contracts for all 10 systems. 	7) Number of people gaining access to basic drinking water services as a result of USG assistance (HL.8.1-1)
Component 3: Access to water and sanitation financing and business environment for the private sector improved		
Activity 3.1: Support set-up of the Blended Water Fund		
ER 16) Established national water fund with public and private funding windows	<ul style="list-style-type: none"> Establish operational Blended Water Fund, ready to receive and deploy a mix of public and private financing. 	14) Number of national water funds with public and private funding windows established (Custom) 16) Value of new funding mobilized to the water and sanitation sectors as a result of USG assistance (HL.8.4-1)
Activity 3.2: Support SMEs in accessing finance and develop/test innovative financing mechanisms		
ER 17) Improved financial sustainability of water service providers	<ul style="list-style-type: none"> Improve creditworthiness of 20+ WASH SMEs via individualized capacity building, resulting in improved operating ratio. Establish a revised lease model for PRONASAR operators, providing increased lease term and enabling operator investment, jointly contributing to improved commercial viability of the venture and in turn, improved financial sustainability of the operator. Establish new forms of PPPs including district-wide utility and multi-system lease models, both of which better enable private partners to achieve economies of scale and improved financial sustainability of their operations. 	5) Number of WASH PPPs, including private investment mobilization, developed as a result of USG assistance (Custom) 9) Percentage change in operating ratio (revenue divided by operational costs) of water service providers (Custom)

Expected Result	Priority Interventions	Corresponding Indicators
		16) Value of new funding mobilized to the water and sanitation sectors as a result of USG assistance (HL.8.4-1)
Activity 3.3: Scale up PPP business models for water services		
ER 18) Increased capacity of small and medium enterprises (SMEs) and public and private providers to attract different funding sources	<ul style="list-style-type: none"> • Capacity building/simplified due diligence of WASH SMEs for local commercial banks via trainings for banks and submittal of high-quality loan applications. • Creditworthiness of 20+ WASH SMEs established via individualized capacity building. • ~12 WASH SMEs supported to structure, solicit, and successfully obtain commercial finance. • Establishment of operational Blended Water Fund provides vehicle for many new types of finance to be deployed locally. • Establishment of new PPP models, enabling private sector to bring increased private finance to sector. 	<p>5) Number of WASH PPPs, including private investment mobilization, developed as a result of USG assistance (Custom)</p> <p>16) Value of new funding mobilized to the water and sanitation sectors as a result of USG assistance (HL.8.4-1)</p>
Activity 3.4: Establish enabling environment for women entrepreneur’s business development		
ER 19) Strengthened enabling environment for women entrepreneurs; business development (NOTE: not specified in the RFP)	<ul style="list-style-type: none"> • Prioritized enrollment of female-led WASH SMEs in capacity building activities. • Market sounding sessions realized with women-led WASH- or WASH-adjacent SMEs to share variety of business opportunities available within WASH sector and obtain their feedback on barriers to entry/scale. • Revised procurement documentation and processes that better incentivize women-led businesses. • Capacity building of local commercial banks to remove barriers to lending to women, such as identification of alternatives to home ownership as business collateral. 	16) Value of new funding mobilized to the water and sanitation sectors as a result of USG assistance (HL.8.4-1)
Activity 3.5: Identify enabling environment critical issues for WASH financing mobilization and tracking		
ER 20) Institutionalized public budget and expenditure tracking to WASH sector, at the national or sub-national level	<ul style="list-style-type: none"> • AIAS, DNAAS, AURA, DPOP, SPI and SDPI capacities built to budget and report on performance and spending. • Existing methodologies including TrackFin/WASH Accounts, World Bank Public Expenditure Review, and UNICEF WASH Sector review evaluated and one or combination recommended for adoption. • Publicly available portal established (potentially within SINAS) to provide public budget and spending transparency. • Community capacity built to facilitate service provider performance and public sector spending accountability. 	15) Number of mechanisms in place to track WASH expenditures by sub-sector (Custom)
Component 4: Uptake and maintenance of key water and hygiene behaviors among households and institutions accelerated		
Activity 4.1: Increase institutions’ and communities’ value and intention to invest in water services		

Expected Result	Priority Interventions	Corresponding Indicators
ER 21) Increased adoption and sustained practice of key WASH behaviors	<ul style="list-style-type: none"> ● Implement community and household level rapid rural appraisal on community values to invest in water. ● Strengthen SDPI and local CSO/NGO capacity to organize and lead water services planning and community consultations. ● Implement GUC for community awareness events and for outreach via rural radio. 	<p>17) HL.8.2 – 5 – Percentage of households with soap and water at a handwashing station commonly used by family members (Custom)</p> <p>18) Percentage of households in target areas practicing correct use of recommended household water treatment technologies (HL.8.2-6)</p> <p>19) Percent of women (age 15-49) who report that they usually participate in decisions about large household purchases (Custom)</p>
Activity 4.2: Increase household ability and motivation to adopt hygiene behaviors		
ER 22) Harmful gender norms influencing behaviors are addressed	<ul style="list-style-type: none"> ● Encourage handwashing at critical times and discourage water reuse for handwashing. ● Promote handwashing for children and engage men as facilitators. 	<p>19) Percent of women (age 15-49) who report that they usually participate in decisions about large household purchases (Custom)</p> <p>21) Percentage reduction in time women spend collecting water (Custom)</p>
Activity 4.3: Strengthen gender norms that support equity and inclusion		
ER 23) More equitable decision-making within households for WASH products and services	<ul style="list-style-type: none"> ● Engage men as community leaders and influencers to support more equitable interpretation of gender norms. ● Develop community-led solutions and action plans for men and women. 	<p>19) Percent of women (age 15-49) who report that they usually participate in decisions about large household purchases (Custom)</p>
ER 24) Improved health and well-being for households, particularly for women and girls	<ul style="list-style-type: none"> ● Broaden access to menstrual hygiene management products. ● Increase women and girl’s knowledge of menstruation and menstrual hygiene management. 	<p>20) Percent of people (sex disaggregated) with increased knowledge of hygiene/MHM approaches through exposure to USG-supported events,</p>

Expected Result	Priority Interventions	Corresponding Indicators
		communications materials, and product (Custom)

ANNEX 3: PERFORMANCE INDICATOR REFERENCE SHEETS (PIRS)

Component I: Policy Implementation and Institutional Capacity of the Government of Mozambique to Deliver WASH Services Strengthened

INDICATOR I	
Name of Indicator	Number of water and sanitation sector institutions strengthened to manage water resources or improve water supply and sanitation services as a result of USG assistance (HL.8.3-3)
Name of Result Measured	ER 1) Enhanced government capacity, coordination, and tools for ensuring sustainable WASH services delivery and water provider’s performance; ER 2) Strengthened regulatory entities (including consumer organizations) to help ensure transparency and accountability; ER 7) Strengthened WASH sector capacity through national training institutions; ER 8) Increased institutional capacity of national and sub-national government institutions to plan, budget, monitor, and manage small town, rural, and peri-urban water services; ER 11) Improved capacity of public and private providers and communities to manage water services.
DESCRIPTION	
Indicator Definition:	<p>This indicator will measure the number of water sector institutions that demonstrate an improvement in governance based on an activity-specific institutional assessment index. The index can be activity-specific but must follow guidelines below and must be able to set a baseline against which improvement is measured. Changes must result through USG assistance and meet targets set at the beginning of the activity.</p> <p>Institutions under this indicator may include: Local, provincial, or national government ministries; Regulators; Civil society organizations which conduct activities in support of government policy-making & implementation.</p> <p>A single institution may only be counted once in a single reporting year, regardless of the amount of improvement achieved. An institution may be counted again in subsequent years if further improvements are made.</p> <p>Improvements will be measured using an activity-specific institutional assessment index.</p> <p>The index will measure outcome-based changes, where the following categories can be considered for possible inclusion in the index:</p> <p>Human resources; monitoring systems; financial management (budget execution, ability to pass an annual audit); project planning and management of implementation; enforcement of policies (watershed protection, allocation systems, performance monitoring, regulation systems); equity (tariff setting, poor inclusive policy, gender mainstreaming policy); and accountability to stakeholders.</p> <p>Activity MEL plans must include information about the institutional assessment index being used, including the indicators and measurement methods. This should also be documented in the Indicator Analysis section of the PPR.</p>

	<p>Note: Service providers (for example utilities or water point committees) cannot be counted towards this indicator.</p> <p>The Activity will assess government institutions using an adapted Organizational Capacity Assessment Tool (OCAT) which scores indexes from 0-5 in the areas of governance, coordination, planning, procurement, project management, project performance monitoring, contracting, contract management, service performance monitoring, regulation, administration, finance and human resources.</p> <p>The computation formula for this indicator progress is: = Sum (targeted institutions which observed increase in one or more OCAT assessment indexes)</p>
Unit of Measure:	Number of institutions
Data Type	Integer: number of institutions strengthened.
Data Disaggregation	Institution Scale: national, regional, local (e.g., provincial directorate, district services)
Rationale for Indicator	This indicator will be important to measure improvement on governance in the project-supported institutions. It will be used to report against the performance of activities across the achievement of Development Result 1 (Strengthen Sector Governance and Financing) of the USAID Water and Development Plan.
PLAN FOR DATA COLLECTION	
Data Source:	Transform WASH progress reports and assessment reports on systems and procedures implementation within the targeted institutions.
Method of Data Collection	Review of Transform WASH progress reports and institutional performance reports
Reporting Frequency	Annually
Responsible	MEL Specialist - (WASH Governance Specialist)
TARGETS AND BASELINE	
Baseline	0
Overall Targets	20
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

INDICATOR 2	
Name of Indicator:	Change in women's perception of their role or participation in local structures for accessing WASH services (Custom) (Outcome, Annual)
Name of Result Measured	ER 6) Effective sector governance and leadership, particularly on engaging women in pursuit of WASH services development and stakeholders (such as community groups, civil society organizations, and donors' entities)
DESCRIPTION	
Indicator Definition:	<p>This indicator measures what women think of their own participation in local structures for accessing WASH services.</p> <p>WASH services include Local WASH committees, district and provincial councils.</p> <p>"Women's perception of their role or participation" can be defined as women's self-reported assessment of their level of involvement in local structures and level of influence on decisions made by the local structures.</p> <p>This indicator will target women to define their perception of visibility in decisions of local water governance structures.</p> <p>The computation formula for this indicator progress is:</p> <p>= (Number of women who respond yes, for the question "do you consider your participation in water supply management is important?") / (Total number of women surveyed) *100%</p>
Unit of Measure:	Percentage increase over baseline
Data Type	Percentage
Data Disaggregation	Geographic
Rationale for Indicator	The indicator is important to assess increase in the awareness of women about their participation in local structures to actively promote investment in WASH to improve health outcomes do women. Progress against this indicator will be used as evidence to inform women engagement strategies.
PLAN FOR DATA COLLECTION	
Data Source:	WASH Roles Interviews
Method of Data Collection	Interviews through a semi-structured questionnaire
Reporting Frequency	Annual
Responsible	MEL Specialist - (GY Specialist & SBC Specialist)
TARGETS AND BASELINE	
Baseline	TBD (by September 30, 2023)
Overall Target	50%
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

INDICATOR 3	
Name of Indicator:	Percent of members of WASH decision-making bodies who are women (Custom) (Outcome, Biannual)
Name of Result Measured	ER 6) Effective sector governance and leadership, particularly on engaging women in pursuit of WASH services development and stakeholders (such as community groups, civil society organizations, and donors' entities)
DESCRIPTION	
Indicator Definition:	<p>This indicator will measure the percentage of members of WASH decision making bodies who are women (total number of women in decision making bodies/total number of all members of decision-making bodies).</p> <p>Decision-making bodies are defined as a group of people that is empowered by law to make decisions, approve or disapprove within the project-supported institutions. Levels can include operational level, Medium and Senior (Top leaders level).</p> <p>The computation formula for this indicator progress is:</p> $= \frac{\text{(Number of women in decision making bodies in targeted institutions)}}{\text{(Total number of management positions in targeted institutions)}} * 100\%$ <p>The decision-making bodies and the respective management levels to be considered are as follow:</p> <ul style="list-style-type: none"> • Central: (AIAS, DNAAS and AURA): three levels of management (directorate, departments and section or equivalent) • Provincial: (DPOP, SPI, AIAS and AURA delegation): two levels of management (water department and sections or equivalent). • District: one level of management (water section + water regulation commissions management)
Unit of Measure:	Percentage of members
Data Type	percentage
Data Disaggregation	Central, provincial and local levels and by province
Rationale for Indicator	Indicator will be important to track the proportion of women in WASH sector decision-making roles and assess women's and girls' empowerment and participation in local decision-making processes as well in business development related to WASH services delivery.
PLAN FOR DATA COLLECTION	
Data Source:	Secondary data: Organograms of the project supported institutions
Method of Data Collection	Review of institutions management personnel data disaggregated by sex.
Reporting Frequency	Biannual
Responsible	MEL Specialist – (WASH Governance Specialist)
TARGETS AND BASELINE	
Baseline	25%

Overall Target	40%
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

INDICATOR 4	
Name of Indicator:	Number of laws, policies, regulations, strategies, or standards addressing WASH services formally proposed, adopted, implemented, or strengthened as supported by USG assistance
Name of Result Measured	ER 3) Revised policies, strategies and implementation plans for ensuring sustainable WASH services and strengthened implementation of such plans ER 4) Enhanced legal and regulatory frameworks to help expand and improve services provided by both the public and private sectors ER 5) Clarified roles and regulations and increased utilization of private partners in the provision of WASH
DESCRIPTION	
Indicator Definition:	Laws, policies, regulations, strategies or standards includes all aspects of the legal framework in Mozambique, including at province level (Cabo Delgado, Nampula and Zambezia), Memorandum of Understanding and other legally valid agreements. Adopted and implemented means that the referenced laws, policies, regulations, strategies have been fully executed by the respective local, provincial, or national administrative body. Strengthened refers to an improved ability to address WASH services by USG assistance. The computation formula for this indicator progress is: =Sum: (laws, strategies and standards approved, adopted, implemented or strengthened)
Unit of Measure:	Number of laws
Data Type	Integer
Data Disaggregation	Sector, Location
Rationale for Indicator	The project interventions will include support for policy and regulatory reform, in alignment with ongoing decentralization process. Thus, it is important to track the progress against that and inform decisions.
PLAN FOR DATA COLLECTION	
Data Source:	Transform WASH progress reports
Method of Data Collection	Review of Transform WASH progress reports
Reporting Frequency	Quarterly
Responsible	MEL Specialist – (WASH Governance Specialist)
TARGETS AND BASELINE	
Baseline	0
Overall Target	20
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

INDICATOR 5	
Name of Indicator:	Number of WASH PPPs, including private investment mobilization, developed as a result of USG assistance
Name of Result Measured	ER 5) Clarified roles and regulations and increased utilization of private partners in the provision of WASH ER 17) Improved financial sustainability of water service providers ER 18) Increased capacity of small and medium enterprises (SMEs) and public and private providers to attract different funding sources
DESCRIPTION	
Indicator Definition:	<p>WASH Public-private partnerships (PPPs) shall be any formalized agreement or contractual relationship between a water and sanitation sector institution or service provider and a private sector firm with the purpose of expanding, maintaining, or improving the water and sanitation services. Such PPPs may include, but are not limited to: partnerships between the government department or utility/service provider and investor in accordance with Mozambican laws governing PPPs, lease contracts, business-to-business contracts, partnerships between wastewater service providers and private sector, etc.</p> <p>Private investment mobilization will mean the process of raising resources including financial resources from private institutions to increase investment in WASH services delivery.</p> <p>The computation formula for this indicator progress is: = Sum: (WASH PPPs + WASH private investment projects) supported</p> <p>The following WASH PPPs will be considered:</p> <ul style="list-style-type: none"> ● Concession contracts that may arise from the establishment of the Small Towns Water Fund. ● AIAS improved lease contracts in coordination with the World Bank <p>The following WASH private investments will be considered:</p> <ul style="list-style-type: none"> ● FPAs investment in some geographical areas of Cabo Delgado, Nampula and Zambezia ● Mobilization of large corporations' investments in WASH under social responsibility umbrella ● Domestic commercial financing mobilization
Unit of Measure:	Number of partnerships
Data Type	Integer
Data Disaggregation	Location (city/district, province)
Rationale for Indicator	PPPs represent an important opportunity to attract financing as well as achieving efficiencies in the services. Active private sector participation is critical to achieve project objectives.
PLAN FOR DATA COLLECTION	
Data Source:	AIAS, Provincial Governments, District Government performance annual reports and Transform WASH quarter reports
Method of Data Collection	Review of partnership documentations and investment projects supported

Reporting Frequency	Quarterly
Responsible	MEL Specialist – (WASH Governance Specialist)
TARGETS AND BASELINE	
Baseline	0
Overall Target	54
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

INDICATOR 6	
Name of Indicator:	Number of focus provinces that have improved utilization of national sector monitoring systems
Name of Result Measured	ER 9) Strengthened national sector monitoring system scaled up in all focus provinces, specifically for piped water
DESCRIPTION	
Indicator Definition:	<p>Focus provinces will be considered the high-level administrative divisions targeted by the project, namely Cabo Delgado, Nampula and Zambézia. A province will count toward this indicator if it improves utilization of improved piped water monitoring system, desirable reporting to the SINAS database.</p> <p>SINAS is an information management system designed to cover the entire water sector (rural and urban water and sanitation, as well as water resources management and water resources development). It is intended to improve sector performance by informing strategic / policy decisions e.g., answering questions such as: How far is sanitation behind and why? Is policy working? What are the sector trends?; providing information that leads to better operational level decisions e.g. prioritizing the construction/rehabilitation of boreholes and directs funding where most needed and addresses best equity concerns; Building credibility – increasing confidence in the sector by better and more transparent information; Increasing accountability – by connecting planning, budgeting, resource allocation and results and, Bringing sector coherence – by helping the transition of the sector from a collection of unlinked projects to a sector that is coherent and responsible.</p> <p>The computation formula for this indicator progress is: = Sum: (Targeted provinces with improved utilization of national piped water monitoring systems)</p>
Unit of Measure:	Number of provinces
Data Type	Integer
Data Disaggregation	Province
Rationale for Indicator	The use of SINAS is important to ensure proper water information management, accessibility, reliability and credibility. The vision for SINAS is that it functions as a single, integrated sector-wide mechanism that is the first port of call for information on the water sector. The mission of SINAS is to create a robust institutional network of information that seeks to identify, analyze, disseminate, use and store data and information for management, planning, policy formulation and decision-making
PLAN FOR DATA COLLECTION	
Data Source:	Subsector annual performance report and SINAS database
Method of Data Collection	Review of the subsector reports and review of SINAS database reporting on AIAS and PRONASAR piped water performance indicators.
Reporting Frequency	Annual
Responsible	MEL Specialist – (WASH Governance Specialist)
TARGETS AND BASELINE	
Baseline	0
Overall Target	3
DATA QUALITY ISSUES	

Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

Component 2: Government and Private Water Provider Technical, Financial, and Management Capacity Strengthened

INDICATOR 7	
Name of Indicator:	Number of people gaining access to basic drinking water services as a result of USG assistance (HL.8.1-1)
Name of Result Measured	ER 15) Increased access to safe drinking water in at least 10 small towns, through the capacity and adoption of management practices for water service delivery
DESCRIPTION	
Indicator Definition:	<p>Basic drinking water service, according to the Joint Monitoring Programme (JMP), is defined as improved source or delivery points that by nature of their construction or through active intervention are protected from outside contamination, in particular from outside contamination with fecal matter, and where collection time is no more than 30 minutes for a roundtrip including queuing. Access must be measured from the beneficiary’s place of residence, and does not include access at a day school, health facility or place of work.</p> <p>Drinking water sources meeting these criteria include: piped drinking water supply on premises; public tap/standpost; tube well/borehole; protected dug well; protected spring; rainwater; and/or bottled water (when another basic service is used for hand washing, cooking or other basic personal hygiene purposes).</p> <p>All other services are considered to be “unimproved”, including unprotected dug well, unprotected spring, cart with small tank/drum, tanker truck, surface water (river, dam, lake, pond, stream, canal, irrigation channel), and bottled water (unless basic services are being used for hand washing, cooking and other basic personal hygiene purposes).</p> <p>The following criteria must be met for persons counted as gaining access to basic drinking water services as a result of USG assistance:</p> <ol style="list-style-type: none"> 1. The total collection time must be 30 minutes or less for a round trip (including wait time) [500 meters will be considered equivalent to 30 minutes round trip travel time for the purposes of this Activity]. Given this definition, the number of people considered to have “gained access” to a basic service will be limited by the physical distance to the service from beneficiaries’ dwellings, the amount of time typically spent queuing at the service, and the production capacity of the service. 2. The service must be able to consistently (i.e., year-round) produce 20 liters per day for each person counted as “gaining access.” This amount is considered the daily minimum required to effectively meet a person’s drinking, sanitation, and hygiene needs. 3. The service is either newly established or was rehabilitated from a non-functional state within the reporting fiscal year as a result of USG assistance.

	<p>4. Persons counting toward the indicator must not have previously had similar “access” to basic drinking water services, prior to the establishment or rehabilitation of the USG-supported basic service.</p> <p>This indicator will be calculated based on a) estimates of the total number of structures within 500 meters of a water kiosk/tap/standpipe, and b) utility or construction records of household connections (which have ‘safely managed’ access and previous taps and should be removed from this indicator calculation). In order to provide 20 L/per/day the maximum number of counted individuals per tap is 300.</p> <p><i>Method of Calculation:</i></p> <p>(Total number of structures within city area that are within 500 meters of a water kiosk, but without a direct piped connection or yard tap, and not previously counted in a prior year) X 5 (average number of persons per household))</p>
Unit of Measure:	Number of people
Data Type	Integer
Data Disaggregation	Sex (Female, Male) Residence (Rural, Urban)
Rationale for Indicator	Indicator will be important useful for program management, funding allocations and tracking, and reporting towards USAID’s Water and Development Strategy objectives.
PLAN FOR DATA COLLECTION	
Data Source:	Secondary data will be collected from operators and FPAs performance reports. People gaining access to basic drinking water as a result of Transform WASH that are also supported by USAID’s construction mechanism will not be accounted for.
Method of Data Collection	Review of the records from reports from the water supply system operator and FPAs
Reporting Frequency	Annually
Responsible	MEL Specialist – (FB Specialist)
TARGETS AND BASELINE	
Baseline	0
Overall Target	25,000
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

INDICATOR 8	
Name of Indicator:	9) Number of people receiving improved service quality from an existing basic drinking or safely managed water service as a result of USG assistance (HL.8.1-3)
Name of Result Measured	ER 10) Implemented improved management approaches that address WASH needs of the small towns and rural systems
DESCRIPTION	
Indicator Definition:	<p>A person is counted for this indicator when their current primary drinking water service qualifies as a “basic” or “safely managed” but the quality of “service” they receive is further “improved” as a result of USG assistance in terms of its ease of accessibility, reliability, water quality and/or affordability. Access must be measured from the beneficiary’s place of residence, and does not include access at a day school, health facility, or place of work.</p> <p>Specifically, “improved service quality” is defined as being achieved if: The accessibility measure, time taken to collect water from a basic or safely managed service, is further reduced to less than the minimum requirements for a basic water service or safely managed water service; and/or Reliability of supply improves such that the person’s main service is available regularly or more frequently, i.e., there is no regular rationing of supply or regular seasonal failure of their improved service; and/or,</p> <p>Water quality improvements are made that would be reasonably expected to result in long term improvements to the fecal, biological or chemical contamination of a drinking water sources (e.g., construction of water treatment systems, support to service provider to consistently chlorinate water, implementation of a water safety plan); and/or,</p> <p>Affordability of their basic or safely managed drinking water services improves such that the average price they pay for water is no higher than two times the average water tariff for piped water into the dwelling in their country (where applicable).</p> <p>Water supply operator records document the number of households connected to the water supply system and track new household connections. The number of people benefiting will be counted by multiplying number of households with benefits (connected) by the average people per household. The operators will be evaluated according to service key performance indicators that includes:</p> <ul style="list-style-type: none"> ● Non-revenue water (NRW); ● Daily supply time (hour/day); ● Average distribution frequency (day/week); ● Revenues collection efficiency rate; ● Operation ratio; and ● Average response time to consumers complaints. <p>The computation formula for this indicator progress is calculated for each water supply system and does not include beneficiaries counted under Indicator 7</p> <p>= if (NRW decreases OR daily supply time increases OR average distribution frequency increases OR revenue collection efficiency rate increases OR operation ratio increases OR average response tie to consumer complaints decreases, then Sum (households receiving water from the system) x 5 (average household size)</p>

	<p>The new people who receive better quality drinking water service to be considered are:</p> <ul style="list-style-type: none"> • From operators supported by Transform WASH • From infrastructure resulting from supported PPPs • From infrastructure resulting from supported private investment • From infrastructure resulting from supported domestic financing mobilization.
Unit of Measure:	Number of people
Data Type	Integer
Data Disaggregation	Sex (Female, Male) Residence (Rural, Urban)
Rationale for Indicator	Useful for program management; funding allocations; and reporting towards USAID’s Water and Development Strategy objectives

PLAN FOR DATA COLLECTION

Data Source:	<p>Upon completion of construction, rehabilitation, or upgrading of water services, data must be collected by USAID staff, implementing partners, or a third-party evaluator. USAID staff, implementing partners, or a third-party evaluator must reasonably demonstrate the linkage between USG assistance and new services provided in order to attribute results to this indicator. Acceptable method(s) by which data for this indicator should be collected are:</p> <p>Program records and observations of water supply systems constructed/renovated.</p> <p>Water quality testing must be used to confirm results related to improvements in water quality upon completion of the intervention. These data sources require that a baseline must be established among potential beneficiaries before the start of activity implementation to measure current “time to collect,” and type of existing “main drinking water services” through an initial household survey, using a representative sample of households, conducted by the implementing partner or a third party. Water quality improvements require baseline testing of water quality.</p> <p>Service quality improvement information will be defined as:</p> <p>Accessibility: the total time to collect water from the service</p> <p>Reliability: the number of days within each quarter that the service was operational</p> <p>Affordability: price per volume of water sold.</p> <p>Quality: the chemical, physical, and/or biological characteristics of water.</p> <p>This indicator can be difficult and time consuming to measure accurately and requires robust data quality assurance on the part of USAID.</p> <p>Note: The same beneficiaries cannot be counted against this indicator and indicator HL.8.1-1 or HL.8.1-2 within the same year of reporting.</p> <p>Program records of water supply systems constructed/renovated by the USAID contracted engineering firm/construction contractor will inform households connected and water quality and records from water operators will inform the improved services and household connections.</p>
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	Program records of water supply systems constructed/renovated by the USAID contracted engineering firm/construction contractor will inform households connected and water quality and records from water operators will inform the improved services and household connections.
Method of Data Collection	Review of secondary data from water supply systems operators' performance reports. Records from water operators reported to the SINAS system will be reviewed as part of this program. Daily water production rates and water quality results will be recorded from secondary data collected from water supply operators.
Reporting Frequency	Annual
Responsible	MEL Specialist – (WASH Governance Specialist)
TARGETS AND BASELINE	
Baseline	0
Overall Target	75,000
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

INDICATOR 9	
Name of Indicator:	9) Percentage change in operating ratio (revenue divided by operational costs) of water service providers
Name of Result Measured	ER 11) Improved capacity of public and private providers and communities to manage water services ER 12) Improved cost recovery of water service providers in targeted small towns in Zambézia, Nampula and Cabo Delgado provinces, and others as required ER 13) Increased technical, financial and management capacity of assisted water providers, with a special focus on supporting and fostering more female-led businesses ER 17) Improved financial sustainability of water service providers
DESCRIPTION	
Indicator Definition:	The operating ratio compares operating expenses to net sales. It's a common metric used to determine how efficient the company is at keeping operating costs low while also earning revenue or making sales. Operating Ratio Formula = (Net Sales / Operating Expenses) * 100% The source of data of this indicator will be the sample of the systems benefiting from infrastructures development, institutional capacity building or targeted by the grants program in the targeted provinces
Unit of Measure:	Percentage change
Data Type	Percentage
Data Disaggregation	By Province and district.
Rationale for Indicator	Indicator will be important to measure outcomes of project efforts to develop and test sustainable business and management models, to improve efficiency, profitability and ability to expand services of the private sector.
PLAN FOR DATA COLLECTION	
Data Source:	Secondary data from operators: Operators reports to the contracting agency or to the regulator
Method of Data Collection	Use of operating ratio formula: Operating Ratio Formula = (Net Sales / Operating Expenses)* 100
Reporting Frequency	Annual
Responsible	MEL Specialist – (FB Specialist)
TARGETS AND BASELINE	
Baseline	TBD (By September 2023)
Overall Target	20%
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4

Responsible for DQA	HO MEL Specialist
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INDICATOR 10	
Name of Indicator:	Number of large- and small-scale water-related female-led enterprises receiving USG support
Name of Result Measured	ER 13) Increased technical, financial and management capacity of assisted water providers, with a special focus on supporting and fostering more female-led businesses
DESCRIPTION	
Indicator Definition:	<p>The Mozambique Minister of Industry and trade determine that a small enterprise is generally one with 5 to 49 Employees, and annual turnover between MZN 1.200.000.00 – MZN 14.700.000.00 and a large enterprise is one with more than 100 employees (FTE) and with an annual turnover of more than 29.970.000.00.</p> <p>This indicator Includes enterprises (as defined above) receiving assistance, including business development services, infrastructure development, directly or through a USG-supported value chain or supply chain for USAID program purposes, include the entrepreneur and any unpaid family workers.</p> <p>To qualify an enterprise as Female-led enterprise, should consider one of the following three criteria:</p> <p>Ownership test: To qualify, one or more women must have 51 percent ownership and is unconditional and direct.</p> <p>Managed test: The woman must hold the highest officer position, manage it on a full-time basis, and devote full-time to the business concern during the normal working hours of the business concern in the same or similar line of business.</p> <p>Controlled test: The management and daily business operations of the concern must be controlled by one or more women. Control means that both the long-term decision making and the day-to-day management and administration of the business operations must be conducted by one or more women.</p> <p>The computation formula for this indicator progress is:</p> <p>= Sum: (enterprises owned or managed by women and supported by the project)</p>
Unit of Measure:	Number of enterprises
Data Type	Integer
Data Disaggregation	Level (Small and large-scale)
Rationale for Indicator	Provides a basic measure of the scale of USG efforts to expand access to women-led enterprise services among the poor and otherwise disadvantaged. This will be used to demonstrate gender and financial inclusion and depth of access to finance.
PLAN FOR DATA COLLECTION	
Data Source:	Activity records, Spot-check reports
Method of Data Collection	Review of activity records, Spot-checks
Reporting Frequency	Quarterly
Responsible	MEL Specialist – (FB Specialist & GY Specialist)
TARGETS AND BASELINE	
Baseline Timeframe	0
Overall Target	25

DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

INDICATOR 11	
Name of Indicator:	Number of districts that have incorporated community-led service provider accountability mechanisms into standard monitoring and evaluation process
Name of Result Measured	ER 14) Improved community capacity for social mobilization, monitoring services such as system functionality, with a focus on increasing women's leadership roles within the committees
DESCRIPTION	
Indicator Definition:	<p>Community-led accountability mechanisms will include local or district level water committees with representation from civil society and local government, and to which the water service provider would be accountable including providing regular updates on technical and financial performance metrics, and meeting at regular intervals to gather and incorporate feedback from customers. The committees are also considered a consultative board in the definition of tariffs, mediation and defense of the interests of consumers and participation in the monitoring of the quality of service provided by the WSS operator.</p> <p>Three key dimensions should be included:</p> <ul style="list-style-type: none"> a) Information sharing: customers have to be informed about the water service providers plans (locations, technologies etc.), in a simple and friendly manner, ideally in local or most used language. b) Participation: customers' inputs have to be taken into account and influence decision making by the service providers. Customers' participation should be effective in every stage of the project cycle, including planning, implementation, monitoring & evaluation and closeout, in line with the following requirements: participations need to be transparent, voluntary, respectful, relevant, inclusive, supported by training, and safe and sensitive to risk. c) Feedback mechanisms: there should be multiple channels whereby citizens can provide feedback or complaints to the service providers. <p>Districts have district local councils that should include WASH commissions. The district planning process monitors the indicators for the water systems and their inclusion of local WASH structure inputs from community feedback. These local WASH commissions should have a feedback mechanism to the district government.</p> <p>The computation formula for this indicator progress is: = Sum: (districts that have local WASH structure and a district water commission with a feedback mechanism)</p>
Unit of Measure:	Number of districts
Data Type	Integer
Data Disaggregation	Province
Rationale for Indicator	A community-led accountability mechanism is crucial to ensure that the project is reaching the correct beneficiaries with the most appropriate interventions. It plays a key role for integration of beneficiary's points of views during the project life cycle as well as enables appropriation of project interventions and outcomes by the citizens, which is essential for the project success. Thus, it is important to track.

PLAN FOR DATA COLLECTION	
Data Source:	Activity records documenting the community discussions and feedback for project development and revisions, third-party data provided by the district and provincial government (depending on monitoring authority).
Method of Data Collection	Review of activity records, review of water operator performance reports that include redress of complaints, and feedback databases and action trackers
Reporting Frequency	Annual
Responsible	MEL Specialist – (SBC Specialist and WASH Governance Specialist)
TARGETS AND BASELINE	
Baseline	6
Overall Target	15
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

INDICATOR 12	
Name of Indicator:	I2) Percent of citizens who report a high level of satisfaction with WASH service delivery
Name of Result Measured	ER 14) Improved community capacity for social mobilization, monitoring services such as system functionality, with a focus on increasing women’s leadership roles within the committees
DESCRIPTION	
Indicator Definition:	The indicator will gather customer’s feedback to assess their satisfaction with the quality of WASH services delivery. The computation formula for this indicator progress is: = (Number of people who respond high (4 or 5) to the perception survey question “what is your level of satisfaction with your current level of water service / Total number of survey respondents) *100%
Unit of Measure:	Percent of citizens
Data Type	Percentage
Data Disaggregation	Sex, Province
Rationale for Indicator	Through the ER 15, the projects expect to increase access to safe drinking water in at least 10 small towns, through the capacity and adoption of management practices for water service delivery. Indicator will be important to assess consumers’ perception of quality of service delivery, which is critical.
PLAN FOR DATA COLLECTION	
Data Source:	WASH Annual Survey report
Method of Data Collection	Household WASH survey
Reporting Frequency	Annual
Responsible	MEL Specialist – (SBC Specialist)
TARGETS AND BASELINE	
Baseline	TBD (By September 2023)
Target	50%
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	MEL Specialist

INDICATOR 13	
Name of Indicator:	Percentage increase of women with position and responsibility for managing water at community, local, and/or national levels in formal and informal institutions
Name of Result Measured	ER 13) Increased technical, financial and management capacity of assisted water providers, with a special focus on supporting and fostering more female-led businesses ER 14) Improved community capacity for social mobilization, monitoring services such as system functionality, with a focus on increasing women’s leadership roles within the committees
DESCRIPTION	
Indicator Definition:	Position and responsibility for managing water includes: Managing public stand pipes, Being part of Government teams in the water supply chain from AIAS, DNAAS, AURA at central, provincial and district levels, Being members of the local water regulation committees, being part of a decision making body in a WASH provider firm. The computation formula for this indicator progress is: = (Number of women in management position in formal and informal institutions supported / Total number of management positions in formal and informal institutions) (Number of women in management position in formal and informal institutions supported at baseline / Total number of management positions in formal and informal institutions supported at baseline) *100% The data source for this indicator will be from number of staff, gender The organization to be consider for this indicator are: <ul style="list-style-type: none"> ● AIAS operators ● PRONASAR operators
Unit of Measure:	Percentage of increase
Data Type	Percentage
Data Disaggregation	Provincial and District levels Formal and informal institutions
Rationale for Indicator	The indicator is relevant to measure women empowerment and engagement into WASH services provision.
PLAN FOR DATA COLLECTION	
Data Source:	Secondary data
Method of Data Collection	Review of secondary data from formal and informal organization reports and ground surveys
Reporting Frequency	Annual
Responsible	MEL Specialist – (GY Specialist, Governance Specialist, and SBC Specialist)
TARGETS AND BASELINE	

Baseline	TBD (By September 2023)
Overall Target	30% over baseline
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

Component 3: Access to Water and Sanitation Financing and Business Environment for the Private Sector Improved

INDICATOR 14	
Name of Indicator:	Number of national water funds with public and private funding windows established
Name of Result Measured	ER 16) Established national water fund with public and private funding windows ER 17) Improved financial sustainability of water service providers
DESCRIPTION	
Indicator Definition:	National Water Fund is a mechanism aimed at enhancing the capacity of the subsector to mobilize financing for infrastructure development and maintenance costs, including mobilization of private finance. The computation formula for this indicator progress is: = Sum: (Water funds established)
Unit of Measure:	Number of funds
Data Type	Integer
Data Disaggregation	None
Rationale for Indicator	The WASH subsector has been relying on government and donors financing to invest in infrastructure to expand and maintain services; however, the trend shows that there is a financing gap requiring innovative financing mechanisms, including from private sector, and the fund is a mechanism that can facilitate private financing mobilization and enhance subsector financing coherence
PLAN FOR DATA COLLECTION	
Data Source:	Government Gazette and other publications
Method of Data Collection	Decree of the Fund creation and management board official appointment
Reporting Frequency	Annual
Responsible	MEL Specialist – (FB Specialist)
TARGETS AND BASELINE	
Baseline	0
Overall Target	1
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

INDICATOR 15	
Name of Indicator:	Number of newly established mechanisms in place to track WASH expenditures by sub-sector
Name of Result Measured	ER 20) Institutionalized public budget and expenditure tracking to WASH sector, at the national or sub-national level
DESCRIPTION	
Indicator Definition:	<p>Mechanism to track WASH expenditures are intended to be updated, on an annual basis and review public and private expenditures in the WASH sector using classified accounts to track how much subsector used and for what purpose. This is normally done by an external consulting / auditing company.</p> <p>The computation formula for this indicator progress is: = Sum: (Mechanism established to track WASH expenditures)</p> <p>For this indicator the following assessments will be reviewed to determine the mechanisms:</p> <ul style="list-style-type: none"> • Central level: Education sector WASH expenditure desegregated data; Health sector WASH expenditure desegregated data; Environment WASH expenditure desegregated data. • Provincial level: DPOP and SPI WASH desegregated data • District level: SDPI and Municipalities WASH desegregated data • Private sector: Operators, FPA and developers expenditure data.
Unit of Measure:	Number of mechanisms
Data Type	Integer
Data Disaggregation	None
Rationale for Indicator	Indicator is important to understand if resource flows to the sector are increasing or decreasing and in which areas
PLAN FOR DATA COLLECTION	
Data Source:	Project reports
Method of Data Collection	Review of project reports
Reporting Frequency	Annual
Responsible	MEL Specialist – (FB Specialist)
TARGETS AND BASELINE	
Baseline	0
Overall Target	4
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

INDICATOR 16

Name of Indicator:	Value of new funding mobilized to the water and sanitation sectors as a result of USG assistance (HL.8.4-1)
Name of Result Measured	ER 16) Established national water fund with public and private funding windows ER 17) Improved financial sustainability of water service providers ER 18) Increased capacity of small and medium enterprises (SMEs) and public and private providers to attract different funding sources ER 19) Strengthened enabling environment for women entrepreneurs; business development

DESCRIPTION

Indicator Definition:	<p>This indicator will measure the total value (USD) of new funding mobilized to expand or improve water or sanitation services or implement water resource management activities. Funding must be allocated to the relevant ministry in government, disbursed by organizations, or paid by individuals in order to count as mobilized.</p> <p>Funding under this indicator may include:</p> <ul style="list-style-type: none"> ● Domestic public resources (budget allocations, taxes) ● Domestic public financing (bond issuance) ● User payments (tariffs, purchase of goods or services) ● Private/commercial financing (such as via a commercial bank or microfinance institution) ● Private financing through public-private partnerships (PPPs) or Global Development Alliances (GDAs) ● Development partner or donor funds leverage <p>This funding must be applied towards the water and sanitation sector including:</p> <ul style="list-style-type: none"> ● Capital investment projects for the new construction, replacement, rehabilitation or improvement of WASH infrastructure ● Operation and maintenance of existing WASH infrastructure ● New WASH product development and marketing ● Expansion capital for small businesses providing water and sanitation products or services ● Government social behavior change campaigns ● Water resource management activities <p>Funding counted towards this indicator must be new funding, that would not be available to the sector without USG assistance. USG assistance leading to mobilization of funding may include:</p> <ul style="list-style-type: none"> ● Development of financial proposals, pipelines and financial products ● Structuring and implementation of PPPs or GDAs ● Creation of development credit guarantees ● Capacity improvements that enhance credit worthiness of service providers or small businesses <p>Mobilized finance reported under this indicator should be disaggregated as domestic or international.</p> <p>Domestic finance is investment which originated within the country in which it is implemented (e.g., national government funds to support implementation of a project within that country) and international finance is cross-border finance (e.g., a private company based in one country contributing funds for a project in</p>
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	<p>a different country). Note: Cost savings, such as reduced water loss resulting from leak repair, should not be counted towards this indicator</p> <p>The computation formula for this indicator progress is:</p> <p>=Sum: (amount of funds mobilized for WASH infrastructure in targeted geographic areas)</p> <p>This indicator will be monitored through following documents:</p> <ul style="list-style-type: none"> • Donors' leveraged financing for WASH investments financing agreement. • Transition closure documents of supported PPPs • Private sector mobilized financing for WASH investments records • Leveraged public financing for WASH investments
Unit of Measure:	Value (USD)
Data Type	Currency
Data Disaggregation	Funding Source: Domestic Funding Source: International Funding Type: Public Funding Type: Donor Funding Type: Private Sector: Water Sector: Sanitation Sector: Water Supply and Sanitation; and Water Resources Management
Rationale for Indicator	This indicator is used for reporting performance of activities across multiple OUs that support the achievement of Development Result 1 (Strengthen Sector Governance and Financing) of the USAID Water and Development Plan. These data will be used to assess progress towards achieving this development result and will be reported in USAID's annual Water Sector Report to Congress and other key stakeholders
PLAN FOR DATA COLLECTION	
Data Source:	<p>At minimum, data sources must demonstrate that new funding was mobilized and that USG activities resulted in this mobilization.</p> <p>Potential data sources for measurement of this indicator include:</p> <ul style="list-style-type: none"> • project documentation to demonstrate outcomes of USG-funded activities • documentation of loans made by commercial banks or microfinance institutions • documentation of funds leveraged through GDAs or PPPs • national or sub-national budget information showing an increase in allocations and disbursements for water
Method of Data Collection	Activity records, review of finance reports
Reporting Frequency	Annual
Responsible	MEL Specialist – (FB Specialist)
TARGETS AND BASELINE	
Baseline	\$0
Target	\$20 Million

DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

Component 4: Uptake and Maintenance of Key Water and Hygiene Behaviors

INDICATOR 17	
Name of Indicator:	Percentage of households that report having soap and water at a handwashing station commonly used by family members (HL.8.2-5)
Name of Result Measured	ER 21) Increased adoption and sustained practice of key WASH behaviors
DESCRIPTION	
Indicator Definition:	<p>A handwashing station is a location where household members go to wash their hands. In some instances, these are fixed locations where handwashing devices are built in and are permanently placed. But they may also be movable devices that may be placed in a convenient spot for family members to use.</p> <p>A “commonly used” handwashing station, including water and soap, is one that can be readily observed by the enumerator during the household visit, and where study participants indicate that family members generally wash their hands.</p> <p>Numerator: Sample-weighted number of households that report having soap and water at the commonly used handwashing station.</p> <p>Denominator: Sample-weighted total number of households surveyed.</p> <p>The computation formula for this indicator progress is: = (Number of people who respond “water and soap” to the survey question “What do household members usually use to wash their hands after using their toilet and before meals”/ (Number of households surveyed) *100%</p>
Unit of Measure:	Percentage of households
Data Type	Percentage
Data Disaggregation	Male or female led
Rationale for Indicator	Useful for program management, funding allocations, and tracking.
PLAN FOR DATA COLLECTION	
Data Source:	<p>Acceptable methods for data collection include:</p> <p>Multiple Indicator Cluster Surveys (MICS) (Round 4 and later) conducted by UNICEF (http://mics.unicef.org/tools) - Questionnaire of baseline survey Demographic and Health Surveys (DHS) Macro (http://www.measuredhs.com/countries/)</p> <p>Household surveys, which may be conducted by USAID, contractors, grantees, or a third-party evaluator during USG-funded interventions.</p> <p>A baseline needs to be established for each project reporting on this indicator during the first year for which data is collected for this indicator will vary for each operating unit. Since this is an indicator that both DHS and MICS collect, published data obtained through these surveys may also be used, if applicable, in target areas for USG programs.</p>

Method of Data Collection	Household Survey
Reporting Frequency	Annual
Responsible	MEL Specialist – (SBC Specialist)
TARGETS AND BASELINE	
Baseline	TBD (By September 2023)
Overall Target	36%
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Annual
Responsible for DQA	MEL Specialist

INDICATOR 18

Name of Indicator:	Percentage of households in target areas practicing correct use of recommended household water treatment technologies (HL.8.2-6)
Name of Result Measured	ER 21) Increased adoption and sustained practice of key WASH behaviors
DESCRIPTION	
Indicator Definition:	<p>Households will be counted for this indicator if they are observed correctly practicing at least one form of evidence-based household water treatment (HWT). HWT is also known as point of use, or POU, treatment, and comprises all methods with a peer-reviewed evidence base shown to improve the microbiological quality of the water to WHO standards of <1 CFU fecal coliforms/100 ml sample.</p> <p>Specific HWT technologies that are considered correct for this indicator include (alone or in combination to reach <1 CFU/100 ml):</p> <ul style="list-style-type: none"> ● Chlorination (chemical disinfection) ● Flocculant/Disinfectant (physio-chemical disinfection) ● Filtration (physical removal) ● Solar disinfection (UV/heat disinfection) ● Boiling (disinfection via heat). <p>Correct practice of an HWT technology does not count towards indicators 8.1-1 (Number of people gaining access to a basic drinking water source), or 8.1-3 (Number of people receiving improved service quality from an existing basic or safely managed drinking water service). This indicator is focused on improving the quality of existing drinking water.</p> <p>Limitations</p> <p>HWT is not universally effectively against all classes of waterborne pathogens (e.g., free chlorination is ineffective against Cryptosporidium), and requires substantial education and behavior change to ensure correct and consistent use.</p> <p>Respondents will answer questions related to their water source and treatment methods and then be asked to demonstrate correct use. The computation formula for this indicator progress is:</p> <p>= Number of households surveyed using correct treatment to their drinking water in response to the survey questions “What treatment is made to the water used for drinking?” / Number of households surveyed who indicated drinking water from a non-protected water source in response to the question “What is the main source for water supply used for drinking by members of the household?” *100</p>
Unit of Measure:	Percentage of households
Data Type	Percentage
Data Disaggregation	Technology type (CT+, Filter+, SODIS+, BOIL+) Residence (Rural, Urban)
Rationale for Indicator	Useful for program management, program performance evaluations, funding allocations and tracking.

PLAN FOR DATA COLLECTION

Data Source:	<p>Annual Survey monitoring methods to assess ‘correct use’ of HWT are objective and rely on household-level observations of the reported technology/ies and water storage container, and are based on ‘WHO’s Toolkit for Monitoring and Evaluating Household Water Treatment and Safe Storage’ (http://www.who.int/household_water/resources/toolkit_monitoring_evaluating/en/). Households are considered to be correctly practicing water treatment technologies if the following conditions are met for at least one of the following treatment options:</p> <p>Chlorination or Flocculant/Disinfectant using chlorine: the enumerator observes the presence of chlorine bottle/tablets or flocculant sachets in the home, as well as the presence of a safe storage container. Alternatively, the enumerator may test for free chlorine residual and must obtain positive results (i.e., free residual chlorine > 0 ppm). The results of free chlorine residual testing should be included in the annual Environmental Mitigation and Monitoring Plan (EMMP) (code correct users as CT+).</p> <p>Filtration: the enumerator observes an intact filter and is able to verify that either water is in the upper compartment to be filtered, or that water has been through the filter and can be dispensed from the filter’s tap. If water is collected from the filter after treatment, the enumerator must also observe a safe water storage container (code correct users as Filter +).</p> <p>Solar disinfection: the enumerator observes intact and sealable bottles, either in the home or where they are exposed to the sunlight; study participants must self-report that bottles are exposed to the sun for at least six hours per day on sunny days and up to two days on cloudy days. If treated water is collected separately, the enumerator must also observe a safe water storage container (code correct users as SODIS+).</p> <p>Boiling: the enumerator observes the presence of boiled water, a fuel source, and a safe water storage container; study participants must also report that boiling occurred until water comes to a rolling boil (code correct users as BOIL+).</p> <p>Numerator: Number of households correctly practicing CT+ or SODIS+ or Filter+ or BOIL +</p> <p>Denominator: Total number of households visited</p>
Method of Data Collection	Household Survey
Reporting Frequency	Annual
Responsible	MEL Specialist - (SBC Specialist)
TARGETS AND BASELINE	
Baseline	TBD (By September 2023)
Target	15%
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

INDICATOR 19	
Name of Indicator:	Percent of women (age 15-49) who report that they usually participate in decisions about large household purchases (disaggregated by married/unmarried)
Name of Result Measured	ER 21) Increased adoption and sustained practice of key WASH behaviors ER 22) Harmful gender norms influencing behaviors are addressed ER 23) More equitable decision-making within households for WASH products and services
DESCRIPTION	
Indicator Definition:	This indicator is measuring women involvement in decision making regarding household water related purchases. Water-specific large household purchases may include, among other items, water catchment tank, fixed handwashing stations, water filtration devices and home boreholes. The computation formula for this indicator progress is: = (Number of women who responded “yes” to the survey question: “do you usually participate in the household decisions about water and sanitation infrastructures?”) / (Number of women surveyed) *100%
Unit of Measure:	Percent of women
Data Type	Percent
Data Disaggregation	Marriage status (married/unmarried)
Rationale for Indicator	Indicator aims to measure women’s involvement in WASH investment decision making
PLAN FOR DATA COLLECTION	
Data Source:	WASH survey report
Method of Data Collection	WASH Survey
Reporting Frequency	Annual
Responsible	MEL Specialist – (GY Specialist & SBC Specialist)
TARGETS AND BASELINE	
Baseline	TBD (By September 2023)
Overall Target	30% over baseline
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

INDICATOR 20	
Name of Indicator:	Number of people (sex disaggregated) with increased knowledge of hygiene/menstrual hygiene management approaches through exposure to USG-supported events, communications materials, and product
Name of Result Measured	ER 24) Improved health and well-being for households, particularly for women and girls
DESCRIPTION	
Indicator Definition:	<p>Hygiene/menstrual hygiene management approaches will include:</p> <p>Knowledge of the key hand washing moments (before, during, and after preparing food, before and after eating food, before and after caring for someone at home who is sick with vomiting or diarrhea, before and after treating a cut or wound, after using the toilet, after changing diapers or cleaning up a child who has used the toilet, after blowing your nose, coughing, or sneezing, after touching an animal, animal feed, or animal waste, after handling pet food or pet treats);</p> <p>Adequate hand washing</p> <p>No open defecation</p> <p>Menstrual Hygiene Management (women and girls’ abilities to manage their periods with safety and dignity)</p> <p>The annual household survey will include ten questions that will test respondents’ knowledge of hand hygiene, menstrual hygiene health, and open defecation.</p> <p>The computation formula for this indicator progress is:</p> <p>= average increase (respondents that respond correctly to 10 knowledge questions about hygiene/menstrual hygiene management</p>
Unit of Measure:	Number of people
Data Type	Integer
Data Disaggregation	Sex, age
Rationale for Indicator	Indicator is important to assess adoption of improved hygiene/menstrual hygiene management approaches by citizens through USG support.
PLAN FOR DATA COLLECTION	
Data Source:	Population WASH survey
Method of Data Collection	Population WASH survey
Reporting Frequency	Annual
Responsible	MEL Specialist – (SBC Specialist)
TARGETS AND BASELINE	
Baseline	0
Overall Target	100,000

DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

INDICATOR 21	
Name of Indicator:	Percent reduction in time women spend collecting water
Name of Result Measured	ER 22) Harmful gender norms influencing behaviors are addressed
DESCRIPTION	
Indicator Definition:	<p>The time that a woman spends collecting water will be counted as between the moment she leaves home until the moment she returns home from the water source. The indicator will measure the reduction in the time spent after project implementation.</p> <p>The computation formula for this indicator progress is: = Mean ((Average time women report spending time collecting water at baseline - Average time women report spending time collecting water) / (Average time women report spending time collecting water at baseline)) *100%</p>
Unit of Measure:	Percent reduction
Data Type	Percent
Data Disaggregation	Location
Rationale for Indicator	The project will work to reduce time women spend to collect water through construction or rehabilitation of water sources.
PLAN FOR DATA COLLECTION	
Data Source:	WASH Household Survey
Method of Data Collection	Household Survey
Reporting Frequency	Annual
Responsible	MEL Specialist – (SBC Specialist)
TARGETS AND BASELINE	
Baseline	0%
Overall Target	50%
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

INDICATOR 22	
Name of Indicator:	Percent of USG-assisted organizations with improved performance (CBLD-9)
Name of Result Measured	ER 11) Improved capacity of public and private providers and communities to manage water services. ER 12) Improved cost recovery of water service providers in targeted small towns and rural grow centers in, Cabo Delgado, Nampula and Zambézia Provinces, and others as appropriate.
DESCRIPTION	
Indicator Definition:	<p>This indicator measures whether USG-funded capacity development efforts have led to improved organizational performance in organizations receiving organizational capacity development support.</p> <p>Key concepts: Capacity is the ability of people, organizations and society as a whole to manage their affairs successfully. Capacity development is the process of unleashing, strengthening and maintaining such capacity. Capacity is a form of potential; it is not visible until it is used. Therefore, performance is the key consideration in determining whether capacity has changed. Organizations with improved performance will have undergone a deliberate process undertaken to improve execution of organizational mandates to deliver results for the stakeholders it seeks to serve.</p> <p>Indicator Formula: This indicator should only be used when conditions (a) and (b), as described below, are met. Targets should be set, and results should be reported using this formula for the overall indicator and each of the disaggregates:</p> <ul style="list-style-type: none"> ● Numerator = number of organizations with improved performance ● Denominator = number of USG-assisted organizations receiving organizational capacity development support <p>Targets for both the numerator and denominator should be set for the aggregate; they do not need to be set for the disaggregates. Results should be reported for both numerator and denominator for the aggregate and disaggregate types.</p> <p>Denominator calculations for the process of organizational capacity development: Organizations should only be counted in the denominator if they have undergone an intentional and demand-driven performance improvement process detailed in points (a) and (b) below.</p> <ol style="list-style-type: none"> a. The activity theory of change, award documents, work plan, or other relevant documentation reflects that resources (human, financial, and/or other) were allocated for organizational capacity development. b. An organization demonstrates that it has undergone and documented a process of performance improvement, including the following four steps: <ol style="list-style-type: none"> i. Obtaining input from the supported organization and/or any other relevant stakeholders to define desired performance improvement priorities, ii. Analyzing and assessing performance gaps (the difference between desired performance and actual performance), iii. Selecting and implementing performance improvement solutions (or the development interventions), and

	<p>iv. Using a performance improvement metric for which the organization will monitor and measure changes in performance.</p> <p>Numerator calculations for organizational performance improvement: Organizations should only be counted in the numerator if they are eligible to be counted in the denominator and have additionally demonstrated measurable improved performance. In addition to meeting conditions (a) and (b) above, organizations must meet the following condition:</p> <p>Organizations should only be counted in the numerator if they are eligible to be counted in the denominator and have additionally demonstrated measurable improved performance. In addition to meeting conditions (a) and (b) above, organizations must meet the following condition:</p> <p>C. An organization demonstrates that its performance on a key performance metric has improved. Selecting Measurement Approaches: USAID Operating Units (OUs) and/or implementing partners should select a measurement approach that captures performance, not latent capacity. This approach should measure organizational performance results, not activity implementation. Performance improvement takes time, so simply implementing planned capacity development support does not imply improved performance.</p> <p>This indicator should only be used when conditions (a) and (b), as described below, are met. Targets should be set and results should be reported using this formula for the overall indicator and each of the disaggregates:</p> <ul style="list-style-type: none"> ● Numerator = number of organizations with improved performance ● Denominator = number of USG-assisted organizations receiving organizational capacity development support <p>The computation formula for this indicator progress is:</p> <p>= (Number of operators with increased performance indicators + Number of government institutions with increased performance) / Total number of organizations supported by the Activity</p> <p>The operators will be evaluated according to service key performance indicators that includes:</p> <ul style="list-style-type: none"> ● Non-revenue water; ● Daily supply time (hour/day); ● Average distribution frequency (day/week); ● Revenues collection efficiency rate; ● Operation ratio; and ● Average response time to consumers complaints. <p>These performance indicators were approved by the government.</p>
Unit of Measure:	Percent reduction or increase
Data Type	Percent
Data Disaggregation	Per province, AIAS operators and PRONASAR operators.
Rationale for Indicator	The project will work to improve the capacity of public and private providers and communities to manage water services.
PLAN FOR DATA COLLECTION	

Data Source:	<p>Implementing partners that have been allocated USG funding to work with local organizations to strengthen their organizational capacity for increased performance.</p> <p>The project will collect data directly from operators' performance report through the SINAS database or AIAS records and the OCAT will be used for government institutions.</p>
Method of Data Collection	Number of private sector firms (excluding cooperatives) with improved performance
Reporting Frequency	Annually
Responsible	MEL Specialist – (Governance Specialist & FB Specialist)
TARGETS AND BASELINE	
Baseline	0%
Overall Target	65%
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

INDICATOR 23

Name of Indicator:	Number of people using climate information or implementing risk-reducing actions to improve resilience to climate change as supported by USG assistance (EG.II-6)
Name of Result Measured	ER 3) Revised policies, strategies and implementation plans for ensuring sustainable WASH services and strengthened implementation of such plans; ER 15) Increased access to safe drinking water in at least 10 small towns, through the capacity and adoption of management practices for water service delivery.

DESCRIPTION

Indicator Definition:	<p>Climate information is important in the identification, assessment, and management of climate risks to improve resilience. Climate information may include, but is not limited to:</p> <ol style="list-style-type: none"> 1. Data such as monitored weather or climate projections (e.g., anticipated temperature, precipitation and sea level rise under future scenarios), and 2. The outputs of climate impact assessments, for example, the consequences of increased temperatures on crops, changes in stream flow due to precipitation shifts, or the number of people likely to be affected by future storm surges. <p>Any adjustment or new approach to the management of resources or implementation of actions that responds to climate change risks and increases resilience should be considered under this indicator.</p> <p>Examples of risk-reducing actions may include, but are not limited to:</p> <ul style="list-style-type: none"> ● In the agriculture sector, actions may include changing the exposure or sensitivity of crops, better soil management, changing grazing practices, applying new technologies like improved seeds or irrigation methods, diversifying into different income-generating activities, using crops that are less susceptible to drought, salt and variability, or any other practices or actions that aim to increase predictability or productivity of agriculture under anticipated climate variability and change. ● In the water sector, actions may aim to improve water quality, supply, and efficient use under anticipated climate variability and change. ● In the health sector, actions may aim to prevent or control disease incidence and outcomes under anticipated climate variability and change outcomes. ● In Disaster Risk Reduction, actions may aim to reduce the negative impacts of extreme events associated with climate variability and change. ● In urban areas, actions may aim to improve the resilience of urban areas, populations, and infrastructure under anticipated climate variability and change. <p>Reporting under this indicator is not limited to the above sectors. Any individuals using climate information or implementing actions that respond to climate change risks and increase resilience with USG support should be considered under this indicator.</p> <p>The computation formula for this indicator progress is:</p>
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	<ul style="list-style-type: none"> Sum of individuals using climate information and implementing risk-reducing actions and design and management of piped water systems, desegregate by sex. <p>This indicator measures individuals (only the ones directly involved in designing and managing piped water systems) using climate information and implementing risk-reducing actions. Individuals taking these actions will create resilient piped water systems that will ensure continued service to the communities.</p>
Unit of Measure:	Number of people
Data Type	Integer
Data Disaggregation	Sex (Female, Male)
Rationale for Indicator	The project will measure individuals, within key institutions and operators, using climate information and implementing risk-reducing actions.
PLAN FOR DATA COLLECTION	
Data Source:	Data will be collected through reports from institutions that develop construction projects for piped water supply systems, from people who have had training or information about climate change and who have used this knowledge in designing and managing piped water systems that are resilient to the impacts of climate changes and the operators' records of measures to reduce the risks of climate change impacts. This will include operational planning for the use of climate data in operator contracts and proposals.
Method of Data Collection	Review of operator contract sections addressing climate data planning as part of water systems operations.
Reporting Frequency	Annually
Responsible	MEL Specialist – (SBC Specialist)
TARGETS AND BASELINE	
Baseline	0
Overall Target	65
DATA QUALITY ISSUES	
Data Quality Assessments Frequency	Year 2 and Year 4
Responsible for DQA	HO MEL Specialist

ANNEX 4: TRANSFORM WASH INDICATORS AND TARGETS

Transform WASH Indicators	LOP Target	FY 22		FY 23				FY 24				FY 25				FY 26				FY 27	
		Q 3	Q 4	Q 1	Q 2	Q 3	Q4	Q1	Q2	Q 3	Q4	Q 1	Q 2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
1) Number of water and sanitation sector institutions strengthened to manage water resources or improve water supply and sanitation services as a result of USG assistance (HL.8.3-3) (Outcome, Annually)	20		0				4				12				20				20		20
2) Change in women's perception of their role or participation in local structures for accessing WASH services (Custom) (Outcome, Annually)	+50%		0				5%				15%				30%				50%		50%
3) Percent of members of WASH decision-making bodies who are women (Custom) (Outcome, Biannual) *	40%		0				5%				15%				30%				40%		40%
4) Number of laws, policies, regulations, strategies, or standards addressing WASH services formally proposed, adopted, implemented, or strengthened as supported by USG assistance (Custom) (Output/Outcome, Quarter)	20		0				0				5				15				20		20
5) Number of WASH PPPs, including private investment mobilization, developed as a result of USG assistance (Custom) (Output, Quarter)	54		0				6				20				40				50		54
6) Number of focus provinces that have improved utilization of national sector monitoring systems (Custom) (Output, Annual)	3		0				1				2				3				3		3
7) Number of people gaining access to basic drinking water services as a result of USG assistance (HL.8.1-1) (Outcome, Quarter)	25K		0				0				5K				10K				25K		25K
8) Number of people receiving improved service quality from an existing basic drinking or safely managed water service as a result of USG assistance (HL.8.1-3) (Outcome, Annual)	75K		0				0				25K				50K				75K		75K
9) Percentage change in operating ratio (revenue divided by operational costs) of water service providers (Custom) (Outcome, Annual) *	20%		0				0				5%				10%				15%		20%
10) Number of large- and small-scale water-related female-led enterprises receiving USG support (Custom) (Output, Quarterly)	25		0				2				12				17				22		25
11) Number of districts that have incorporated community-led service provider accountability mechanisms into standard monitoring and evaluation process (Custom) (Output, Annual)	15		0				0				5				10				15		15
12) Percent of citizens who have an improved perception of WASH service delivery (Custom) (Outcome, Annual)	+50%		0				0				20%				40%				50%		50%

Transform WASH Indicators	LOP Target	FY 22		FY 23				FY 24				FY 25				FY 26				FY 27	
		Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2
13) Percentage increase of women with position and responsibility for managing water services at community, local, and/or national levels in formal and informal institutions (Custom) (Outcome, Annual)	+30%		0				5%				10%				20%				25%		30%
14) Number of national water funds with public and private funding windows established (Custom) (Output, Annual)	1		0				0				0				1				1		1
15) Number of mechanisms in place to track WASH expenditures by sub-sector (Custom) (Output, Annual)	4		0				0				1				3				4		4
16) Value of new funding mobilized to the water and sanitation sectors as a result of USG assistance (HL.8.4-1) (Outcome, Annual)	\$20M		0				0				\$5M				\$10M				\$18M		\$20M
17) Percentage of households with soap and water at a handwashing station commonly used by family members (HL.8.2-5) (Outcome, Annual)	36%		0				0				10%				20%				30%		36%
18) Percentage of households in target areas practicing correct use of recommended household water treatment technologies (HL.8.2-6) (Outcome, Annual)	+15%		0				0				5%				10%				15%		15%
19) Percent of women (age 15-49) who report that they usually participate in decisions about large household purchases (disaggregated by married/unmarried) * (Custom) (Outcome, Annual)	30%		0				0				10%				20%				30%		30%
20) Number of people (sex disaggregated) with increased knowledge of hygiene/menstrual hygiene management approaches through exposure to USG-supported events, communications materials, and product * (Custom) (Outcome, Annual)	100K		0				0				30K				60K				90K		100K
21) Percent reduction in time women spend collecting water (Custom) (Outcome, Annual)	50%		0				0				15%				30%				45%		50%
22) Percent of USG-assisted organizations with improved performance (CBLD-9) (Outcome, Annual)	65%		0				0				20%				40%				60%		65%
23) Number of people using climate information or implementing risk-reducing actions to improve resilience to climate change as supported by USG assistance (EG.11-6) (Outcome, Annual)	65		0				16				46				62				65		65

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