



Global Sanitation Fund (GSF): Mid Term Evaluation

Synthesis Note for Tranche 1: Madagascar, Nepal, Senegal, Malawi, India, Cambodia and Uganda

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Acronyms

CBO	Community Based Organisation
CLTS	Community Led Total Sanitation
CPM	Country Programme Monitor
CPP	Country Programme Plan
DAC	Development Assistance Committee
EA	Executing Agency
GSF	Global Sanitation Fund
HH	Household
JMP	Joint Monitoring Programme
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MTE	Mid-Term Evaluation
NGO	Non-Governmental Organisation
OD	Open Defecation
ODF	Open Defecation Free
PCM	Programme Coordinating Mechanism
PIP	Performance Improvement Plan
SG	Sub grantees
UNICEF	United Nations Children’s Fund
UNOPS	United Nations Office for Project Services
USD	US Dollars
WASH	Water, Sanitation and Hygiene
WSSCC	Water Supply & Sanitation Collaborative Council

Executive Summary

Introduction

The GSF was initiated by the Water Supply and Sanitation Collaborative Council (WSSCC) in 2008 as a mechanism to inject finance into countries with a high need for improved sanitation. Country programmes are currently operational in 13 countries in Africa and Asia and are usually provided with an initial USD \$5 million over 5 years to address the problem of inadequate sanitation and hygiene.

In 2013, the GSF commissioned a Mid-term Evaluation of its 10 country programmes. The MTE is being undertaken by IOD PARC, an independent consultancy firm, selected through a competitive bidding process.

IOD PARC has completed and finalised 7 MTE country reports. This is the first synthesis report and covers the first 7 country studies of the Mid Term Evaluation. A second/final global synthesis report will be written after the completion of all 10 country studies. For more details, please refer to the independent country MTE reports.

Methodology

The evaluation approach has evolved over time and the main questions, both formative and summative, were developed by the MTE team in collaboration with the WSSCC/GSF staff and the GSF advisory committee¹.

Structure of the report

The executive summary of the report presents a snapshot of the successes as well as challenges related to the GSF delivery mechanism. The main body of this document presents a summary of the findings of the country studies which were focused on the following questions:

- What is the quality of the Country Plan/Strategy?
- How effective have the institutional arrangements been in delivering these?
- What results have been delivered?
- What learning has taken place and how should it influence future work?

Limitations of the synthesis report:

The first synthesis report is not looking at the cost effectiveness of GSF as an overall mechanism. The inquiry process for this part of the MTE will start in September 2015² and will feed into the final global report which is due in May 2016.

Key Findings

What has worked well?

- a) **All of the country programmes have delivered Open Defecation Free (ODF) communities using behavioural approaches focused primarily on creating demand.** All of these could be considered 'at scale'. Overall, there has also been an increase in the number of people with access to improved toilets, though numbers and percentage of achievement against this target is low.

¹ The inception report, outline methodology and agreed revisions can be provided by WSSCC on request

² GSF is currently undertaking a Value for Money consultancy. The study findings will be used as a data input to the proposed cost-effectiveness analysis.

- b) **The GSF delivery model has been tested and shown to be viable using different organisational configurations.** The programme has Executing Agencies who are private companies, NGOs, National Governments and UN Agencies. The different structures, systems and cultures of these organisations impact on how GSF works in each country but this flexibility of model allows GSF to take a contingent approach to ensuring it has context relevant institutional arrangements.
- c) In general **GSF is perceived to have contributed to increased levels of national ownership in addressing sanitation** and to have helped strengthen relevant institutions. The nature of this ownership and strengthening is different in each context depending on how sanitation is addressed in each country and the configuration of the GSF delivery model.

What has not worked well?

- d) GSF results framework has four outcome areas- outcome 1, People achieve better hygiene outcomes through changed sanitation behaviours; outcome 2- capacity is created for the sustainable spread of improved sanitation and hygiene; outcome 3- existing and new government and support agencies put more resources into sanitation and hygiene work; and outcome 4- successful and innovative approaches in sanitation and hygiene are identified, proved and spread. **In none of the 7 countries has GSF, at the mid-term point, managed to deliver its full strategy or effectively report results in all of its outcome areas.** All of the programmes have been delayed and results have taken longer to deliver than expected.
- e) **There has been limited focus on sustainability both at a service delivery and institutional level.** In particular there has been virtually no work on Sanitation Marketing in any country.
- f) There have been **challenges associated with delivering equitable services in particular addressing the needs of women, the elderly, marginalised groups and the disabled.**
- g) **There has been little systematic lesson learning or capacity development focused on the sustainability of improved services.** Where work has been undertaken in these areas it has been piecemeal or outsourced to external providers so limiting the knowledge development of internal stakeholders

Overall Analysis of Key Findings

- a) GSF has delivered significant results under outcome 1, primarily using methods drawn and adapted from Community Led Total Sanitation (CLTS). At a country level the GSF model has led to **the identification of a sufficient number of Sub Grantees who either already have capability or have been able to develop sufficient understanding and skill in CLTS to deliver it effectively in a broad range of settings.** Communities have been effectively triggered and there is a relatively strong conversion rate to ODF³. Sub Grantees as local organisations seem well equipped to adapt the standard CLTS methodology to local contextual settings.
- b) The GSF model is both structured and flexible. **It can be seen to be most effective when the roles and responsibilities of the different actors are well defined, understood**

³ The current conversion rate based on the December 2014 annual report figures is 53%, but there are severe methodological limitations to this figure and a more in-depth analysis might be useful in the future

and accepted by key stakeholders. How roles are performed by different institutional actors varies but **their ability to learn and to adapt to the role is central to their effectiveness not the nature of their organisation.** The model involves a number of different layers and it is not clear at this stage as to the cost effectiveness⁴ of all of these, however, the model seems to work best when the responsibility for delivery is ‘closest to the ground’. All of the Executing Agencies and Sub Grantees have had to develop their capability to effectively deliver the programme and all have faced challenges. In particular the operation of the model needs to take into account the need for effective planning, financial management and reporting and not just technical expertise. **The Country Programme Monitors have in general provided good oversight and possibly could be further utilised, for example, in more systematic results verification.** Most of them have a management consultancy as well as auditing basis and are able to report in a timely manner and recruit new staff quickly if required.

- c) **National Ownership and commitment seems to be optimised when: the CPP is aligned with the national strategy; there is involvement from the government, either as the EA or as part of the Programme Coordinating Mechanism (PCM); and, if possible, when the PCM is an existing national coordination mechanism.** One advantage of the Government being the EA is that it seems to lower the possibility of perceived or actual competition between the EA and other sanitation actors which can hinder sector wide coordination. **The GSF, in trying to implement at scale, has developed the capacity of existing and new providers in the sector,** in particular at sub grantee level. Due to limitations in the performance framework these improvements have not been effectively captured.
- d) **Country Programme Plans (CPPs) have been overly ambitious** and in particular have not realistically taken into account the time required to set up the systems, structures and processes to deliver at a country level. The UN has a level of bureaucracy and contractual approaches which are different to those of other organisations. These, as well as the systems and capabilities of the country level GSF actors, need to be taken into account in CPP planning and projections. The MTE team are not able to assess whether the broader institutional structure of the GSF - delivered by WSSCC and hosted by UNOPS - is cost effective and efficient or whether any alternative approach to delivering a Global Fund would be feasible or desirable.
- e) **The CPPs have not developed a clear theory of change taking into account the political economy of how change happens in each country and looking at how the different GSF outcome areas fit together or might be effectively sequenced.** There has also been significant and understandable pressure for results which has further hindered a more integrated approach. CLTS provides quick and measurable results and **the identification of ‘golden indicators’ in outcome area 1 to ensure funders see a return on investments made, is a contributing factor to a lack of progress in the other 3 outcome areas.** The results framework is also weak in general but especially in **outcome areas 2, 3 and 4 where results are not reported in any systematic way. Indicators are too activity focused and ‘targets’ do not give any indication of whether relevant capacity is being strengthened or the enabling environment improved.** Counting the number of people trained or the number of learning reports written does not help the programme understand whether it has influenced meaningful change.
- f) **The GSF operational model is imbalanced and this has limited its focus on sustainability for the following reasons:**
- Recognising that previous attempts to improve sanitation had focused on supply and had failed because of insufficient focus on demand; GSF as it is currently being delivered, has

⁴ WSSCC has commissioned a Value for Money Study for the GSF in 2015 – the results will be available in late 2015

swung too far towards a demand focus. CLTS as a methodology to achieve ODF communities through increasing demand has been well formulated and explained, requires limited financial resources and also leads to measurable changes relatively quickly. **It does not address supply side issues as effectively and approaches that do try to do this such as Sanitation Marketing are not well understood in GSF at all levels** and few if any country level actors have experience and knowledge in how to implement. There seems to be an assumption that Sanitation Marketing is purely a ‘supply side’ method yet ‘best practice’ approaches stresses that it combines supply and demand as it usually incorporates CLTS triggering processes.

- **Sustainability is likely to require a broader intervention focus which looks at total sanitation systems and not just on ODF communities and toilet construction.** At present GSF does not address issues such as water supply, or solid waste management.
 - The GSF results framework does also not encourage **EAs or Sub grantees to assess or track the enabling environment or their own capability.** Without a clear framework and reporting requirements as to the necessary conditions – such as policy, political will and leadership, capacity, finance – for sustainable improvement there is limited reporting to this end.
- g) The programme delivery model is primarily based on CLTS which focuses on community level intervention. **An assumption seems to have been that because of this community based approach there will be equitable service delivery. This assumption has not held true** and CLTS as a participative approach often works within rather than challenges existing power relations. There has been limited disaggregated data or tracking of marginalised groups and no clear analysis or planning to understand and meet their needs. This is a serious omission and needs to be addressed at a global level as well as in country.
- h) **The limited results framework and push for immediate results in outcome 1 have meant that learning and capacity development have not been a central element of the GSF programmes.** The MTE team do believe **learning is happening though it is not being effectively captured and is ad hoc rather than planned.** A learning strategy needs to identify what the knowledge gaps are and how filling these will influence performance and the achievement of outcomes. **Learning ‘outputs’ should also not be confined to formal research, externally undertaken studies, or ‘marketing’ case studies; routine learning processes should include regular documented internal review sessions** which focus on reflecting on improving performance and include areas which haven’t worked as well as successes.

Comparative Analysis

At the mid-term stage it is difficult to directly compare performance across programmes. They have developed at different rates, are being implemented within different contexts and through a diverse set of implementing agencies. Nevertheless, the MTE team have identified a number of key factors and issues which impact on performance:

- **The capacity of EAs is hugely variable and their approach to their role is heavily influenced by their own culture, strategy, systems and structures.** They will bring different strengths and weaknesses. At present the MTE team would not wish to be definitive about making correlations between institutional background and effectiveness yet at this stage it seems that private sector EAs (India, Madagascar, Senegal) are able to adapt quickly and have effective project management skills. They may struggle initially to gain government and sector-wide approval as new ‘competitive’ entrants to the sector. Their effectiveness seems to depend on how well they engage and involve government and other stakeholders in planning. The experience with UN-Habitat in Nepal seems to suggest that UN agencies are able to bring better sector coordination. UN and government processes (Uganda) are in general quite slow

and change, such as recruitment, takes longer. Having government as the EA clearly provides a national commitment though this needs to be matched at sub-national level and may vary depending on the levels of decentralisation. INGOs such as Plan (in Cambodia and Malawi) bring sector knowledge and cross-country experience. However, a key challenge is ensuring the programme, if a small proportion of in-country activities for the INGO, isn't 'subsumed'. On the other hand if it is a large proportion, it is important that the INGO has the capability to expand and manage the programme.

- **EA and Sub Grantee capacity changes over time but the ability to change varies.** Current monitoring systems are not providing sufficient management information by themselves to generate change. Specific assessments of capability through performance reviews seems to provide an effective push, though the ability to adapt seems to be most dependent on effective leadership and timely support from WSSCC project officers. **A 'crisis' may eventually be seen as useful impetus for change.** The Madagascar and Uganda programmes are good examples where formal challenging reviews have made a positive impact on performance.
- **GSF programmes are generating demand through a CLTS approach which is relatively low-cost. It is important though to be clear whether ODF is a stepping stone towards improved sanitation or an end in itself.** This seems to be different in different countries and is also not clear in the proposed new SDG 6. **In Cambodia, India and areas of Nepal there are clear aspirations (often institutionally imposed) for improved and even pour flush toilets; in this context unimproved toilets are not attractive or acceptable and therefore CLTS has limitations as a lead methodology.** The lack of sanitation marketing knowledge (which combines supply and demand focused approaches) and limited engagement with the private sector is limiting GSF's ability to systematically go beyond ODF and focus on sustainably climbing the sanitation ladder developing a more holistic and systemic approach. **In countries where aspirations are more limited (Uganda and Madagascar) there seems to be proportionately higher levels of demand creation and it is easier to create a CLTS based national 'sanitation' movement.** There are questions though as to whether this approach is sustainable and whether it is feasible to take these results further and how this should be done.
- **The involvement and creation of PCMs is a useful tool for institutional strengthening but it is important their role includes stakeholder advocacy.** This isn't happening in all countries but is easier when it is built around existing mechanisms. For instance, in India, Senegal and Madagascar, the PCM's role with regard to advocacy needs further strengthening. PCMs vary but key factors underpinning their success are: personal and positional credibility; continuity of involvement and a view they are appropriately resourced and valued.
- **The Role of the CPM has taken time to develop and the capabilities and potential of the organisations that fill the role is often misinterpreted and underestimated.** Because the organisations often have financial expertise there is an expectation that they are auditors. Most of them though are management consultants who understand institutional change and can recruit technical sanitation expertise quite easily. They are well placed to undertake independent verification and GSF should consider whether expanding their role further would be helpful.

Recommendations

1. **GSF needs to further develop its intervention model and rethink its explicit focus/discourse on being a 'behaviour change' programme.** Behaviour change is an important element of improving sanitation outcomes but it is not sufficient. The MTE team

suggest a review of other approaches which focus on sustainability and the successful integration of demand, supply and finance within different contexts and environments.

2. **GSF needs to further strengthen its CPP development and review process.** This should include the following steps:
 - **Develop a light touch model for Political Economy Analysis (PEA).** This should focus on the drivers and barriers for change and the motivations and points of entry for key stakeholders;
 - Use the PEA as the basis to **develop country level theories of change.**
 - **Regular review of the CPP document in order to keep it a dynamic guiding document.**
3. **GSF should strengthen its Advisory Committee.** In particular it needs to **increase the level of expert input in Sanitation Marketing and bring in additional expertise on gender, equity and inclusion.**
4. **GSF needs to review and overhaul its performance management system and processes.** In particular GSF should:
 - **Revise and simplify the Results framework.** A clear set of outputs are required that focus on service delivery, strengthening the enabling environment and improved GSF capability to deliver;
 - **The number of indicators should be reduced and a clearer standard set of data collection tools and frameworks designed;**
 - **Internal learning processes and templates need to be designed and implemented.** These should be undertaken in a regular systematised way with externally sourced 'learning' being focused on key research issues and evaluations.
5. **GSF should commission and undertake an analysis into equity and inclusion for sanitation.** The resultant 'product' should feed into the GSF performance framework.

1. Introduction

This Mid-Term Evaluation (MTE) aims to assess the Global Sanitation Fund at a country level and also its progress as a global mechanism. The evaluation is now split into two batches, the first of 7 countries and the second of 3. It is both summative, in needing to independently assess results achieved so far; and formative in that it aims to provide analysis, feedback and recommendations to guide the GSF in maximising the impact it has over the whole funding cycle.

This report builds on an initial summary synthesis note from the findings from the first 4 country studies first presented in April 2014 (Madagascar, Senegal, Malawi and Nepal) and then updated in November 2014 to include data from the India, Cambodia and Uganda country studies. Conclusions are drawn from these for GSF as a whole and a series of recommendations made for moving forward. A separate detailed document has also been produced which focuses on recommendations for the GSF Monitoring and Evaluation system. The MTE studies for batch 2 countries – Ethiopia, Tanzania and Nigeria – are likely to be undertaken between October 2015 and February 2016. Following the completion of these studies, a final global MTE report will be completed covering all ten countries, an analysis of cost effectiveness and a review of the GSF overall as a global financing mechanism.

The main focus of the MTE at a country level is to address the following overarching questions:

- What is the quality of the Country Plans/Strategies?
- How effective have the institutional arrangements been in delivering these?
- What results have been delivered?
- What learning has taken place and how should it influence future work?

2. Findings

Quality of the Country Programme Plans

There are some clear patterns that emerge when reviewing the Country Programme Plans (CPP) and the MTE team found important issues for the programme to address in going forward.

The CPP proposals in general provide an effective analysis of the need for intervention, though some additional elements would be helpful. An assessment of what GSF's niche will be in relation to other external actors would provide a clearer picture as to the intended role of GSF and how it fits within the sector. In particular it would be useful to include summaries of what other key actors in the WASH sector, for example WSP, UNICEF, PLAN and WaterAid are doing and how this aligns or contrasts with GSFs programme. A 'light touch' political economy analysis would also add value as it would assess how change happens in the country and identify the motivations of key players and the drivers and resisters of systemic change. By exploring, for example, the levels of decentralisation, this analysis would help the CPP more clearly identify and articulate appropriate entry points and understand more clearly the likely sequencing of interventions.

It also needs to be recognised that CPPs are written at a particular point in time, and give a snapshot of the existing situation and a projection of the future. Situations do change and five years is quite a long time period. The EA Annual reports do often provide an update of the context, though if CPPs are to be considered as the Executing Agencies de facto 'Terms of Reference' then they need to be updated to reflect changes occurring within the lifetime of the programme.

Multi-stakeholder consultation in developing the proposals for the most part has been perceived as good, though sometimes it is hard to see how the consultation has informed programme design. There are some examples of good practice such as in India where the consultation processes are well documented and it is possible to identify what advice or opinions given have been acted upon and which have not (and to a degree why). There is, in general, a high degree of government ownership in the CPP development process and most other sector actors are involved. CPPs in general are seen as having more 'traction' when they are seen as government documents that build on existing MDG commitments. This is important given WSSCC's foundation as a network organisation whose perceived added value includes the ability to bring together multiple players from civil society, the bilateral and multilateral donor community, governments and the private sector.

A standard GSF template informs the CPP but getting the balance between consistencies across GSF programmes whilst clearly responding to the unique characteristics of each country setting is challenging. Overall the MTE team think there is a tendency for the CPPs to follow too much of a predetermined 'blueprint' of what the programme should be, rather than focusing on what is needed in the context outlined or what has been learnt.

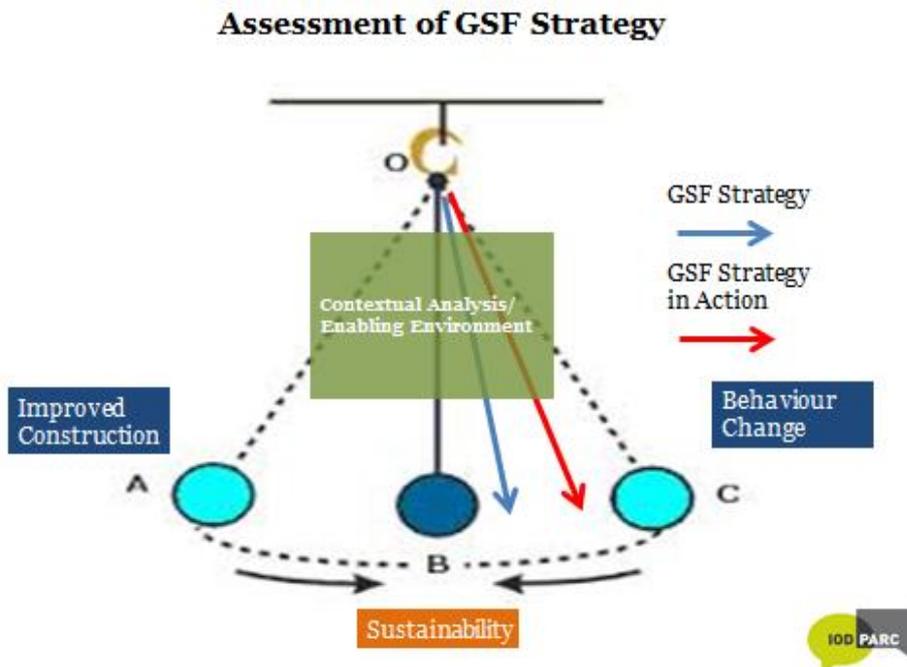
The starting assumption in the GSF model is that CPPs should be based on a demand driven approach. This builds on the commonly held view that the primary cause of ineffective sanitation programmes in the past has been the lack of community involvement and insufficient emphasis on behaviour change. The CPPs reflect this and give a clear steer in that direction. The MTE team though have a number of concerns in the way the plans have developed:

- a) Methods and resources for achieving behaviour change and increased demand still need to be matched with resources, methods and process that lead to the construction and use of sustainable toilets. This combination will also be different in different contexts.
- b) The strategy needs eventually to balance; so although there is an initial need to redress the programmatic errors in the past, the degree of focus on behaviour change compared to effective construction needs to get to a sustainable equilibrium.

- c) The strategies 'in action' are even more focused on achieving behaviour change targets through CLTS interventions, leading to less effort in other key areas such as Sanitation Marketing, capacity building and facilitating the creation of an enabling environment.

Figure 1 below provides a graphical illustration of this. Point A shows where sanitation programmes were traditionally and point C shows how the pendulum has swung to balance this out. The MTE team feel the focus of the CPPs should be clearly focused on plotting a path towards B.

Figure 1: MTE team's assessment of the GSF model



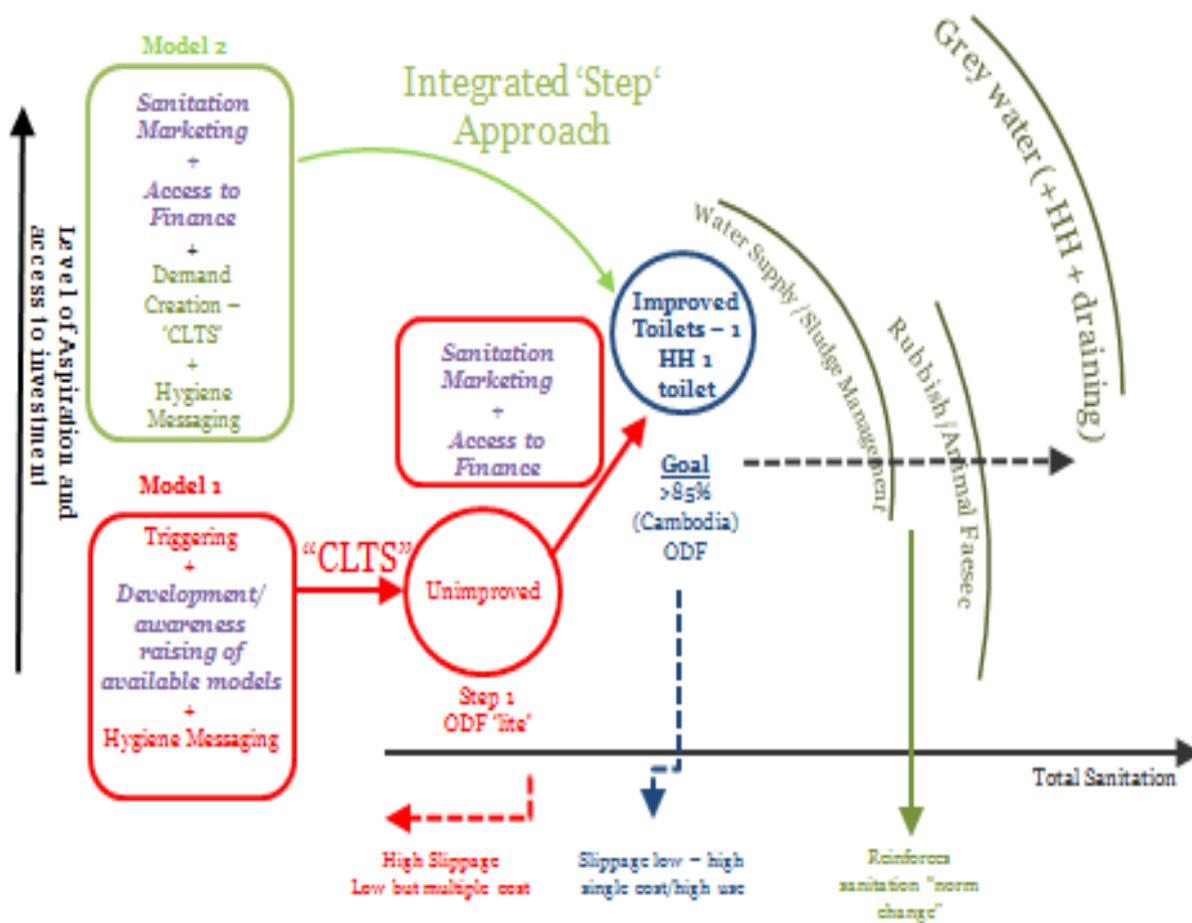
The MTE team suggest two basic working models which illustrate how GSF might look to operate in different contexts. These are illustrated in Figure 2 below. Model 1 is the traditional CLTS driven model and Model 2 is an integrated 'step' model by which households go straight to improved toilets.

The main difference concerns the appropriateness of CLTS as the 'foreground' intervention in areas where there are high levels of aspiration for improved toilets and sufficient finance is available. In this model, sanitation marketing is the leading 'intervention' model and CLTS triggering is only done once appropriate cost effective technology/latrines models have been designed, capacity built and finance aligned. The 'gap' between triggering and construction may also be longer with different levels of support/supervision required to ensure 'demand' is maintained.

These working models are of course theoretical and perhaps a continuum between the two is more realistic in practice. Across the 7 countries there were certainly examples in India, Cambodia and Nepal where the context analysis would suggest more of a shift to model 2. In Figure 2 the interventions in purple illustrate where in general GSF seems to be weaker in clarifying exactly what it is going to do and why. A key issue across the programme is that there is a very limited common understanding of what 'Sanitation Marketing' is as a methodology, how you do it and how it should be costed.

A further question revolves around the limits of GSF’s mandate in particular about the boundaries of their interventions. The CPPs are clearly oriented towards a primary mandate on focusing on developing and supporting processes that facilitate the construction of household latrines. Hygiene was also central but of secondary importance. In terms of improving sanitation outcomes, the MTE team feel that a more holistic approach should be considered, in particular to more explicitly address issues of water supply, handwashing/hygiene, safe water storage, handling, school/institutional WASH and faecal sludge management, again as illustrated in figure 2.

Figure 2: Possible GSF Implementation Models⁵



The CPPs do in general align with WSSCC’s principles. The main exception to this is gender where there are serious gaps in all of the proposals. There appears to be an assumption that because most of the programmes have CLTS as the main intervention tool that programmes are ‘people centred and community driven’. The MTE team do not feel that this assumption necessarily holds true, in particular as it seems that in a number of the GSF programmes it is the most poor in villages that are least able to build latrines and these often include widows, the elderly and the disabled. A more explicit analysis and plan to address vulnerable groups is required to correct this.

⁵ These models have been developed from an initial suggestion made in the Cambodia report

In general there is a clear set of objectives and results frameworks which align with the global GSF framework. However, most CPPs are initially focused on ‘getting movement’ by rolling out CLTS programmes which aim to get communities to achieve ODF status. The other interventions are much less well defined and the changes which they are trying to influence are not consistently clear. For example the indicator ‘number of people trained’ does not provide a framework for effective capacity development; number of learning products or outputs does not help direct programme design systematically identify what lessons need to be learnt, or who needs to be influenced by ‘learning’ and the effect that learning might have. As there are no explicit theories of change within the CPPs it is hard to see how all the component parts fit together

There are few examples of explicit risk or exit strategies within the CPP documentation. The India EA proposal does explicitly address how the programme should exit within the expected time period but most others CPPs are largely silent on this; similarly the identification of programme risks and how these could be mitigated could be more strongly thought through and articulated.

Table 1: Synthesis of quality of plan scoring⁶

	Madagascar	Malawi	Nepal	Senegal	India	Cambodia	Uganda
Is there a clear evidenced based assessment of the need for GSF intervention and the national context including regional variation?	4	3	3	3	2	3	3
Is there a clear explanation of the institutional setting and the current role of government and other key actors?	3	2	3	4	3	Under first three years of CRSHIP 1 Possibly by the end of CRSHIP 2?	3
Is there clear evidence of multi-stakeholder consultation and analysis?	4	1	3	3	3	2	3
Is there clear alignment with the principles and mandate of GSF and WSSCC?	3	2	3	3	2	2	3
Is there a clear set of objectives which outlines what the programme is trying to achieve?	3	3	3	3	2	2	2
Is there a Country results framework which is consistent with the global GSF framework?	3	2	3	3	3	2	1
Is there a clear strategy or theory of change as to how these objectives will be achieved including scale-up?	2	1	2	1	3	But improving	2
Is there a proposed exit plan/vision for long term engagement or withdrawal?	2	1	2	2	4	1	2
Are there risk assessments and risk management strategies included in the plan?	2	1	2	2	3	2	3

⁶ The Country assessments include a number of scored criteria within a number of the main areas. A 4 point scoring system has been used where 1 illustrates an aspect is not satisfactory and 4 means it is exemplary. For ease of presentation, these have been colour coded using a ‘traffic light’ system where 1 is red, 2 is amber, 3 is light green and 4 is dark green. A table of scores across all 7 countries has been included in each relevant section.

Implementation Arrangements

PCM

The PCM is seen as an important component in GSF which adds value but there is still work to be done on clarifying its role. The PCM concept can provide an excellent ‘vehicle’ for: facilitating a consultative process of programme design; providing the EA with technical and strategic advice; and advocating for the programme to government and other actors. At present the weakest or least clearly defined set of tasks relates to advocacy. The key issues concerning the PCM role are:

- Getting the balance of its overview/oversight role right and ensuring it remains strategic;
- Recognising that the role shifts as the EA becomes more confident in its role and the programme moves beyond just CLTS;
- Keeping the engagement of all PCM members so it is still seen as credible and inclusive within the sector.

It seems that if the GSF programme can use an existing national body or network to undertake the PCM role then this helps in terms of establishing and keeping credibility and neutrality, though this may lead to potential conflicts of interests, if for example, you have sub grantees who are part of the PCM mechanism/organisation and therefore might be seen to influence procurement decisions.

Refining the PCM Terms of Reference is not likely to be sufficient to clarify the role; it is suggested more work is done on a more constant ‘role negotiation’ process between the EA and the PCM and the Geneva based Project Officer to clearly identify priorities, manage relationships and optimise the support being given.

Table 2: Synthesis of PCM scoring

	Madagascar	Malawi	Nepal	Senegal	India	Cambodia	Uganda
What is the quality of PCM engagement in implementation (regularity of meetings, clear evidence of contribution to national initiatives/strategy?)			NSHCC NCB				
Is PCM engagement at the planned level (as outlined in their TORs)?							
Is it positively influencing implementation?			NSHCC NCB				

Executing Agency

The EA proposals to implement the programme are adequate, though they also reflect the lack of a ‘theory of change’ within the CPPs. They are heavily activity and output based. Slow EA disbursement to sub grantees has been a major issue across most of the country programmes. The reasons for this seem to be a combination of over optimistic planning (by both GSF globally and EAs) in terms of expected timeframes for contractual agreements and sub grantee identification, capacity and contracting. There are also examples where lack of EA staffing in certain areas has slowed implementation processes down. Most programmes though are catching up in this area now and disbursing effectively.

The choice of EA is significant in relation to their institutional structure, strategy and culture and how this shapes the GSF country programme and the speed of disbursement. The requirement to report

to a body outside of the country (e.g. Madagascar, Nepal) for some budgetary approvals slows disbursement down; the institutional home of the EA impacts on its links to government and how it manages sub grantees; and the strategic significance of the GSF fund in relation to the rest of the EA's activities may affect how it prioritises. GSF has four 'models' in the first seven countries: private sector EAs (India, Madagascar, Senegal); INGO (Cambodia, Malawi); UN agency (Nepal) and Government (Uganda). It is perhaps a little early to make any definitive judgements as to the respective merit of each of the models; however at this stage the MTE team are confident that all of these different models can work. One concern the MTE team do have, when the EA role is being fulfilled by NGOs or by government, is the potential difficulties in recruiting and retaining qualified and competent staff at all levels. Terms and conditions and the speed of recruitment processes appear to be issues. The MTE team also feel that regardless of the EA model, the GSF country programmes require a Programme Manager of an international standard, though this role may be filled by a national member of staff.

The EA management and technical capacity is important and should not be seen as fixed. Where EAs have not performed, it has often been because they have not been sufficiently well staffed. Gaps in M&E and grant management have affected performance. The global GSF team need to ensure capacity is continually reviewed. One of the 'successes' in managing EA performance can be seen in Madagascar where a review followed by a Performance Improvement Plan (PIP) saw major changes and big improvements in performance. These processes are vitally important to the success of GSF and the MTE team suggest that simple standard capacity assessment tools and processes are developed and 'baseline' assessments done for all EAs. These can then be used as the basis for annual performance reviews. It is important to recognise that whoever fulfils the roles of EA, they do need to 'grow' into the role. Having a clear timetable and set of expectations, for example clear M&E and communications strategies within the first year, might help speed up and shape that growth.

The EAs have been feeling the pressure to deliver 'results'. Because of how results have been 'defined' and limitations in the results framework, this has led to a focus on delivering and managing processes that lead to ODF communities. At present EAs are not delivering the whole set of GSF outcomes. Activities are almost exclusively based around CLTS and there is limited work in other areas in the early stage of programme implementation. Work on learning is often not prioritised and though there are some good examples that illustrates some learning is taking place, there is a lack of a systematic approach to identifying, capturing and sharing what is working or not working and why. There is a tendency also for learning to be seen as 'document generation' and for it to be subcontracted out to research institutes or consultancies. The MTE team would like to see more thought put into developing internal and routine programme action learning initiatives where there is guided internal reflection and knowledge generation undertaken by Sub Grantees. The EA's routine reporting is improving but could be more consistent, comprehensive and give a greater sense of programme challenges, approaches to overcoming these and learning which is coming out of the programme.

Table 3: Synthesis of Executive Agency scoring

	Madagascar	Malawi	Nepal	Senegal	India	Cambodia	Uganda
Does the EA proposal reflect the CPP – are the outcomes and outputs and activities fully aligned?							N/A
Is the EA disbursing funds to Sub Grantees against the planned disbursement targets?							Year 1 and 2 Year 3
Is the EA carrying out management and oversight functions as planned?							
Is the EA reporting to GSF as planned on schedule and with sufficient detail?							
Did the EA prepare an M&E plan (see M&E Guidelines)?				Not scored			

	Madagascar	Malawi	Nepal	Senegal	India	Cambodia	Uganda
Is there a baseline survey which reports on the requisite indicators?	Yellow	Green	Yellow	Yellow	Yellow	Green	Red
Does the EA take sufficient notice of the wider reporting of the Sub grantees to promote learning within the GSF programme in country, with other stakeholders and beyond?	Green	Yellow	Yellow	Yellow	Green	Yellow	Yellow
Does the EA run active learning sessions within the GSF country programme and beyond?	Green	Yellow	Green	Green	Green	Yellow	Yellow

Sub Grantees

The existence of a sufficient number of sub grantees to deliver sanitation interventions is a key underpinning assumption of GSF. The MTE feels in general that sufficient capability does exist in most countries though that capability needs to be further developed and adapted to perform adequately.

Some of the more significant gaps are managerial rather than technical and in particular revolve around effective monitoring and reporting. Most sub grantees are delivering CLTS in most countries. Although there may be variations in quality, they do seem to be able to deliver this element of the programme; however, there is no shared understanding of what sanitation marketing is throughout the programme and because it is not being undertaken in any widespread manner it is difficult to know to what degree sub grantees will be able (or be expected to) implement this element of the programme.

Table 4: Synthesis of Sub Grantee scoring

	Madagascar	Malawi	Nepal	Senegal	India	Cambodia	Uganda
Are there sufficient numbers of sub grantees with relevant capacity bidding for each round of funding?	Yellow	Yellow	Green	Green	Round 1	Numbers	Green
					Round 2	Capacity variable	
Are sub grantees disbursing funds against planned disbursement targets?	Green	Green	Green	Yellow	Green	Yellow	Green
Are sub grantees reporting as required?	Not available	Yellow	Yellow	Not available	Yellow	Yellow	Yellow

CPM

The Country Programme Monitors have been doing a very good job. The MTE team think that GSF should consider expanding their role; in particular expanding their mandate to include more systematic monitoring and verification and also ensuring the EA addresses gaps or issues that have been identified. It would also be helpful if they had a clearer, more formal relationship with the EA. This would enable more effective communication.

Table 5: Synthesis of CPM scoring

	Madagascar	Malawi	Nepal	Senegal	India	Cambodia	Uganda
Has the CPM Carried out checks as required?	Green	Green	Green	Green	Green	Green	Green

Has the CPM Carried out financial diligence as required?							
Has the CPM reported as required?							
Is there production of accurate Cost Data?							

Global Arrangements

As well as country visits the MTE team have also undertaken a series of 15 semi-structured interviews with GSF staff and other external global sector actors. Some findings in this section are drawn from these interviews.

GSF actors at a country level are still not clear as to the role Geneva based staff should be playing and would like systems and processes to be more oriented to their delivery needs rather than to UN procurement/management requirements. There is obviously a need to balance accountability and efficiency but the MTE does feel that a review where all parties work together on this might be helpful. The MTE team is aware that work on this is already in progress.

There is further work to be done in Geneva in getting the three strategic arms of WSSCC working together more effectively to optimise the GSF. The ‘three legged stool’ strategy⁷ where GSF provided evidence for learning and communication and advocacy and built on the strong network of WASH is seen as central to GSF’s added value and ability to make a contribution to the sector. WSSCC staff themselves acknowledge that there is not sufficient integration as yet. GSF needs to be clear as to the value add of the various inputs into the process of delivering GSF and the contribution all WSSCC departments can make.

It is important to note that among external actors there is not universal agreement that GSF should a) be within the UN family of organisations or b) whether WSSCC (and UNOPS) are the best host. To those outside of the UN system, UNOPS procurement and recruitment processes seem slow and cumbersome accepting that compared to other UN bodies they may be relatively efficient.

Quality of Delivery

In most countries the quality of triggering is good and often viewed as best practice. The good examples are where CLTS standard processes are adapted to local contexts and there is sufficient preparatory work and follow up undertaken. It is important that facilitators are seen as respected, credible professionals for communities to buy in to the process. Quality does vary but a group facilitation based approach to triggering seems to be able to mitigate against any negative impacts. It also helps support the professional development of new facilitators who can learn from those who are more experienced. The examples where triggering is not seen as successful seem to occur when shame and disgust are used as motivating factors. In general the post –triggering process seems less well understood or consistent; though the public marking of key stages, in particular declarations of ODF, in locally specific ways, seems to be undertaken across all countries and be seen as important.

Basic latrines throughout the programme are, in some cases, of insufficient quality to survive normal seasonal conditions and other pressures e.g. termites. Understanding the motivations of local people with regard to latrine design is important as is clarity on the use of ‘temporary’ latrines or inappropriate designs given local biophysical, social cultural and poverty levels. A clear, systematic approach to sanitation marketing should address this and ensure more effort and resource is put into developing and testing new models in different environments. At present the MTE team think that a lack of a coherent approach in sanitation marketing, which is understood and shared is the major weakness overall in the GSF programme.

⁷ This was outlined in an interview with Jon Lane the former Executive Director of WSSCC

The MTE team also think it is important for GSF to clarify that sustainable sanitation requires improved latrines. At present, progress in this area is still way behind the expected results 'trajectories'. More clearly developing working models as to how this will be done both at the 'delivery end' (such as in the model 1 and model 2 examples given in figure 2) but also focusing on the institutional development and alignment required to ensure that appropriate financial and technical resources can be accessed at scale should be central. GSF needs to redesign the results framework around a theory of change which allows the capacity of relevant actors in a number of key dimensions to be effectively tracked; and innovation processes in design to be monitored to enable the tracking, testing, and replication and scale up of new models. India and Nepal are good examples where more integrated programming is already underway and they may be a good place to start in thinking through new ways of assessing progress in this area.

Results

In none of the 7 countries has GSF, at the mid-term point, managed to deliver its full strategy or effectively report results in all of its outcome areas. To a degree it can be argued that this is because of the underlying but un-documented theory of change which prioritises an initial focus on triggering and achieving ODF. In the 7 countries in Tranche 1, the programmes are delivering the results in outcome area 1⁸ that they are reporting on. Delivery though, is still problematic as there are clear cases of slippage and at present these are not being effectively tracked. Because results are being reported on cumulatively, communities or households who slip back to OD are just being absorbed into the numbers of those with positive progress.

Figure 3 below aims to present results in the output areas in outcome 1 where there is some comparability across the 7 countries. The GSF monitoring framework allows country programmes to select the indicators which are seen as most appropriate to the country context from a given set. There are also differences in definition (what is ODF, what counts as an improved latrine) and unit of analysis (e.g. person, household, community and village). As such Figure 3 presents percentage progress against expected 5 year target, so showing trajectory rather than comparable figures. Annex 1 includes the data set on which this graph is based.

Targets are not comparable though there is a range of expected results. Over five years the number of people who are expected to have access to improved toilets in each country ranges in general from 80,000 to 2,000,000⁹ with the average¹⁰ being around 1,040,000. The number of communities who are expected to declare ODF ranges from 1,200 to 12,000 with the median average being around 10,000¹¹

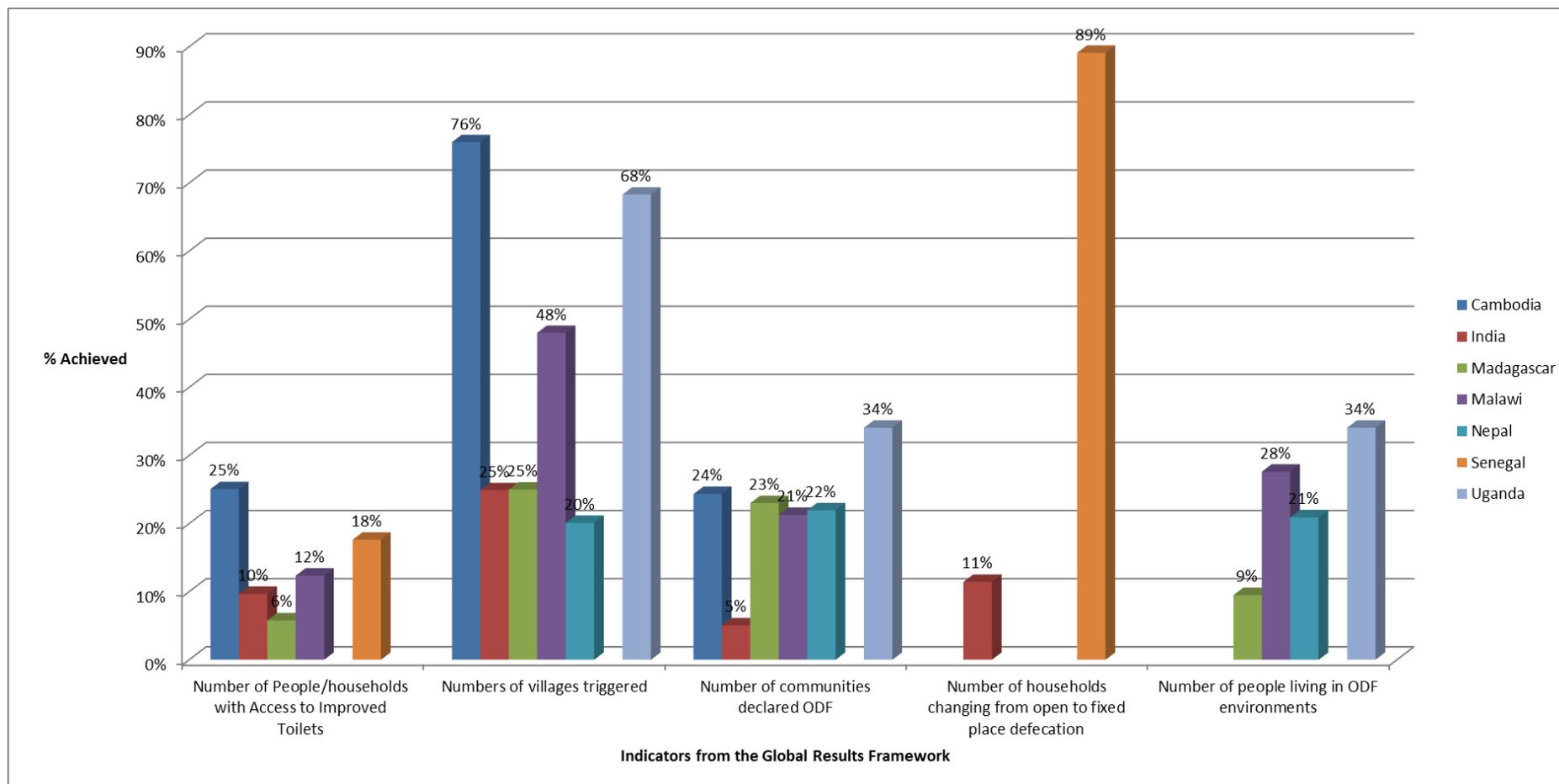
⁸ People (in project areas) construct and use more effective sanitation facilities

⁹ Madagascar is much higher targeting 2,000,000 million and Senegal much lower targeting 9,246 households (approximately 74,000 people)

¹⁰ This should be seen as a rough estimate as 'pure calculation' is difficult because of definitions and differences in community size calculations.

¹¹ Cambodia is the lowest at 1,200 and Madagascar the highest at 12,000.

Figure 3: Summary of Outcome 1 results showing % progress against 5 year targets^{12 13}



¹² All of the figures used are based on the latest internal reports (EA reports – either annual or biannual) provided to the MTE team up to the dates of the evaluation visits. In general these are for the first three years of the programme, though most programmes did not deliver results in their first year as this involved project start-up.

¹³ There are some anomalies in figures – any doubts the MTE have for comparison purposes means figures haven't been included. For example, in Nepal the access to improved toilets is reported at 39% and it is unclear if this is from baseline (so starting at approximately 20%) and whether it is using JMP definition. Similarly, in Uganda the number of constructed toilets is reported at 60% but these are not consistently of improved status (though some may be). The Senegal achievements against target for number of households changing from open to fixed place defecation is correct but please note the target value was considerably lower than comparable ones set in other countries.

The results illustrate how in general results are behind schedule in most areas, though levels of triggering are in general more on track than number of villages achieving ODF or number of people with access to improved sanitation. It is important to re-emphasise that this is against target so this is progress against a projected figure. Most country programmes have taken into account that not all triggered villages will go on to become ODF in a set time period and that constructing improved toilets is harder than unimproved (fixed place defecation).

It is not possible to aggregate or compare figures across other outcome areas as the output indicators vary across countries as countries adapt the global GSF results framework and have country specific/contextualised outputs with indicators. There is also extremely limited data collection in these areas.

In terms of what the MTE team have seen in outcomes 2, 3 and 4 regarding quality, it is difficult to make a clear judgment. Because training is measured by the number of attendees it is difficult to assess how well it was delivered, the training methodologies used and its impact on attitudes, knowledge/skills and behaviour. The team can also not assess whether the right people have been trained. The India programme in undertaking capacity building assessments of Communication and Capacity Development Units took a much more holistic approach to assessment focusing on broader organisational capabilities such as management and organisational structure and effectiveness. There is a wealth of knowledge in this area which GSF should tap into to enable the institutional capabilities required to deliver effective total sanitation are identified, appropriate interventions identified and then progress tracked.

Effectiveness of Monitoring and Evaluation

Monitoring and Evaluation is improving but the MTE team have concerns about the overall results framework and in particular how it is being operationalised. The focus on a set of 'golden indicators' has pushed the programme towards a focus on ODF and even though there are issues over standardisation of definitions and units of analysis, M&E is still stronger in those areas than in the other outcome areas.

The M&E system is very output and activity focused and at present there is limited monitoring of progress in those areas which may lead to scale up or progress up the sanitation ladder. In particular, as stated in the previous section there is no capacity framework assessment tool or any way of tracking institutional changes, such as policy and capacity, that are required for scale.

The MTE team think the framework needs a complete revision, to ensure that progress towards improved sanitation is effectively tracked and that there are no perverse incentives, for example, to increase triggering activity, or over generating improved capacity for sustainable scale up. This should be done in a collaborative way to ensure the thinking and logic is fully understood and shared. The MTE team has written an accompanying addendum document to this report which outlines initial suggestions as to how the M&E system could be enhanced and simplified.

There is still some variation in how EA's report against the results framework. A revised approach would provide a good opportunity to develop one single approach where financial monitoring and results reporting are done in a consistent way which maximises the opportunity for analysis and aggregation. The monitoring work book used, for example, by the India programme is a good basis for this but needs further refinement.

At present there are two approaches to setting baselines, and tracking results within the GSF. The first approach is based on externally commissioned questionnaire surveys. This often gives, if done well, data on the status of sanitation in a geographical area that may be used to ascertain the contribution of GSF. The second is through collection of data at intervention sites by the internal GSF team (Sub Grantees and Executive Agency) and routinely tracking changes that occur. This could be used to attribute direct changes to GSF interventions as usually in a defined area GSF is the only sanitation programme. Unfortunately both these approaches whilst good at internal validity and

results validation do not provide good evidence around external validity which is essential if successful approaches are to be scaled up.

There is still considerable work to be done on measuring and assessing costs and value for money at both a country and global level. To do this in a meaningful way is conceptually difficult and the MTE will be addressing this as part of the final synthesis report for all 10 counties. In particular it will be important to look at what appropriate cost levels are and how ‘software’ and organisational costs are apportioned. It may be that a ‘good’ unit cost is not the lowest cost, so the team will attempt to focus on what the cost should be of sustainable sanitation rather than lowest cost latrine construction.

Table 6: Synthesis of Monitoring and Evaluation scoring

	Madagascar	Malawi	Nepal	Senegal	India	Cambodia	Uganda
Is the M&E plan designed to generate the information needed for effective management of the programme?					Global		
					Local		
How well was the baseline designed to generate the information needed for effective management of the programme?					Objectives 2 and 3		
					Objective 1		
Is it serving the purpose? How has the Baseline been used to design and manage the programme?							
What is the quality and reliability of the data generated in Sub Grantee reports?							
What is the quality and reliability of the data generated in EA reports?							
To what extent is the CPM contributing to strong and robust data collection, verification and use?							
Use of M&E Data for Management							
Overall Assessment of M&E							

3. Review of Country Recommendations

All country reports have made a series of recommendations to help ensure that GSF optimises its results at a country level. These are of course country specific; however there are some common themes and areas across all seven countries.

Country Plans/ Theory of Change

4 of the reports have recommendations around updating the country plan or theory of change. The India report advocates that the CPP is updated to reflect progress so far and the 'plan in action' going forward, drawing from the MTE, Outcome survey and annual reports so far. The plan should also review and revise budget allocations between components and consider adding new components in if necessary. In Madagascar, the recommendation is more broad and concerns the need for GSF to develop a coherent Theory of Change with a clear set of interim outcomes that map across all four objectives with a clear outline of what is to be done at different levels of intervention and the need to review whether both the approach and language of 'institutional triggering' is the right approach for Madagascar.

The Uganda country report also highlights the need for a review of the basic structure of the Uganda CPP and to 're-centre' it around sustainability which will produce an agreed theory of change that outlines the systemic change required for Uganda to reach its goal of sustainable universal access. The recommendation for Malawi suggests a greater contextual analysis and the strengthening of the evidence base for sanitation in Malawi as the report on which the current GSF Malawi CPP was prepared is from 2009. During the last 5 years, significant changes have taken place in the development context in Malawi; in the decentralisation of development decision making, as well as the range of actors involved in the sanitation sector. Updating the contextual evidence with a greater attention to moving up the sanitation ladder i.e. beyond a simple ODF approach will provide a greater understanding of the challenges and opportunities in Malawi.

Oversight/Clarity of Role

Two of the country reports contain recommendations around improved clarity and oversight in programmes. In the case of Cambodia, this is to agree a formal oversight mechanism, whereas in Madagascar, this is around clarifying roles and lines of communication between the EA, PCM and CPM.

Enhancing Delivery/Results

All of the 7 country reports have recommendations around enhancing delivery and results. Most of these focus on the need to move beyond outcome area 1 and to start delivering more broadly on improved sanitation. An increased understanding and utilisation of the sanitation marketing component suggested in all of the programme documents is also common.

In Madagascar, it is suggested that GSF needs to move quickly to a programmatic approach which focusses on the achievement of all four outcome areas, in particular: building the capacity of local authorities at communes and above; developing a plan in collaboration with other sector actors for the development of sanitation markets and microfinance opportunities to enable rural communities especially the poor, to move up the sanitation ladder. In India, there are a number of recommendations around improving delivery. These include: to more explicitly work with institutions lacking in capacity that influence the successful achievement of sanitation outcomes; the EA to develop a 'sanitation marketing strategy' including clear conceptual and operational definitions and a review of current methodologies relevant to the India context; to enhance the performance of Sub Grantees by creating a simple assessment framework to monitor Sub Grantee performance and capability in key areas.

Role of GSF Actors

Role of the PCM

There are 3 country reports which include recommendations about the role of the PCM; in the case of India, the recommendation is that the PCM is 'rebooted' to ensure that contributions amongst members are even and to draft a short set of guidelines which clarify the role and expectations and can act as an 'induction' when representatives from member organisations change. In all 3 of the countries with recommendations regarding the PCM (India, Senegal, Madagascar), there is a recommendation that the PCM should play an increased advocacy role.

Role of the EA

Three of the reports contain recommendations regarding the EA; in the case of Malawi, this is to ensure the EA works more closely with the GSF Secretariat and the sub-grantees, with possible advice from the CPM, on how to facilitate stronger and quicker financial reporting from the sub-grantees. In the case of Uganda, however, the recommendation relates more to capacity building with the recommendation that GSF undertakes a Capacity Assessments of the EA as staffing issues have impacted on its ability to deliver effectively. The recommendation for India relates to ensuring the long-term strength of the EA and suggests that the EA should undertake a light-touch 'succession planning' exercise.

Role of the CPM

3 of the reports contain recommendations regarding the role of the CPM. In India, this is regarding the expansion of the CPM and for it to play an increased role that would assist the programme, and in Uganda for a larger role in verification. In Malawi the recommendation is for the TORs for the CPM to be reviewed to ensure clearer lines of responsibility. The Malawi report also recommends the CPM provides support to the EA to ensure that recruitment and SG procurement processes are run effectively and in a timely manner.

Sub Grantees

4 of the country reports have recommendations with regards to the sub-grantees. For Cambodia, these are around improved planning and reflection on what works/does not work, in Madagascar around increased engagement and partnership working and in Uganda and Malawi for the sub-grantees to undergo capacity assessments

Social Inclusion

6 of the 7¹⁴ country reports contain recommendations pertaining to issues around social inclusion. In the case of India, Cambodia and Uganda, the recommendations suggest a clearer focus on approaches for how specific marginalised groups (such as women, the poorest and disabled) will be addressed effectively by the programme, with the Uganda report specifically recommending the writing of an explicit gender strategy.

In the case of Nepal, Madagascar and Senegal, the recommendations highlight that a strong contextual understanding and analysis must underpin programmes in order to effectively address issues of social inclusion. In the case of Nepal, the report highlights the need for the programme to develop a better contextual understanding relating to the specific challenges facing different areas and different groups of marginalised people. There needs to be a more detailed assessment of poverty status and the location of poor either before or during the triggering process which could help identify at an early stage households who may require support from the community. Similarly in Senegal, the

¹⁴ All apart from Malawi

recommendations call for greater analysis of the different needs and support needed by different, especially traditionally excluded groups and the need to recognise the heterogeneity of these groups.

The recommendations in the Madagascar report are the most detailed with regards to issues of social inclusion and gender and stipulate the need for a poverty analysis to be undertaken; which would take into account the diverse poverty status and gender roles within communities and how this affects the ability of people to change (and maintain over time) their behaviour. This would embed a clearly focussed poverty and gender approach to the identification and choice of interventions (some of which would have a specific equity dimension) and outline how GSF is addressing equity issues and reaching the most marginalised or 'poorest of the poor'. This is a critical element in adopting the 'no subsidy approach' to CLTS and ensuring support to the poorest and most marginalised, whose 'hold on the sanitation ladder' is more tenuous.

Learning

5 of the 7¹⁵ country reports contain recommendations pertaining to learning. In the case of Cambodia, the recommendation is to work both through the learning framework and more broadly to develop a clear set of formal analytical case studies on the implementation of sanitation in Cambodia. In the case of the other 6 country reports, the recommendations are around embedding learning more systematically in programmes. The MTE team do believe that EAs and sub grantees are reflecting and learning but that this learning is not being sufficiently well documented. For Madagascar, the recommendation applies across the GSF programmes as it states that the GSF in Geneva needs to take the lead in supporting a learning environment through encouraging learning opportunities and stimulating exchange, whereas the recommendation for Nepal is more country focused; to generate, manage and communicate a credible body of evidence from the GSF Nepal to capture innovation and learning (including what does and what does not work and why) to support its value addition and contribution towards scaled up total sanitation in Nepal. In the case of Malawi, the recommendation on learning focuses on developing the learning from the programme to facilitate advocacy for sanitation based on robust evidence and having a clear learning and communication strategy to enable effective communication of this evidence.

Of the country reports, both Uganda and Cambodia suggest specific research to be undertaken; for Cambodia, the recommendations suggest a research project to examine, through use of appropriate roll out processes (and linkages with wider programmes e.g. social protection CARD) the inter-linkages / causal links between health and sanitation. In the Uganda report, the recommendations suggest the commissioning of a Financial Tracking Study to provide a comprehensive understanding of financial flows within the project, between various institutional levels and develop cost norms for expenditure across different budget lines.

Monitoring and Evaluation

All 7 of the country reports have recommendations on the M&E of programmes. 3 of these are around the standardisation or shared definition of terms and concepts for measurement such as clarifying the ODF declaration process (India), developing clear definitions of basic and improved latrines and consistency in using them (Uganda) and greater clarity on what constitutes improved latrines and to ensure that monitoring of latrines includes issues of roofs (rain protection), slabs and tight fitting drop-hole covers (Malawi). 5 of the reports include recommendations regarding the formulation or amendments of indicators; ensuring that indicators are fit for purpose, for example in measuring changes in capacity. Other recommendations across the country reports pertaining to M&E include building capacity of sub-grantees (Cambodia and Malawi), setting up GPS technology for data collection (India, Uganda) and moving from a focus on quantitative 'numbers of' and activity data for capacity building (number of people trained), to include qualitative and outcome level data that

¹⁵ Apart from India and Uganda

demonstrates results in changes to knowledge, attitudes and behaviours at different institutional levels (Madagascar)

Exit Strategy

4¹⁶ of the country reports contain recommendations regarding an exit strategy for the programme. For example, in Madagascar, this is for the creation of a robust exit strategy to take a longer term approach to achieve sustainability and longer term impact, for example, through effectively linking and embedding the programme into the government's strategy and structures. In Nepal, the recommendation is that as the GSF Nepal programme expands across the Terai it will be important for GSF Nepal to have a plan to work with the District authorities to start to develop an appropriate investment plan (not for GSF funding) for the urban/peri-urban areas.

Coordination/Partnership

2 of the reports have recommendations around improved partnership/coordination. In the case of Uganda, this is that the programme should encourage further NGO partnerships at District level, and similarly in Senegal to develop and strengthen links and strategies to involve the state at the field level.

Finance

There are 3 country reports which make recommendations about financial issues; in the case of Uganda this is to clarify the funding modality and the institutional agreements that underpin it, whereas in the case of Senegal, the recommendation is more around allocation of resources, e.g. to include in the budget lines decentralised state services, but also to allocate more resources to activities other than CLTS (sludge drains, micro finance). For Malawi, the recommendation is around the financial sustainability of the programme, that the GSF develops the enabling conditions to support appropriate financing and management of sanitation by Malawi institutions in order to foster moves to longer term sustainability.

¹⁶ Madagascar, Senegal, Nepal, Malawi

4. Recommendations for GSF

The following recommendations are suggested for the programme as a whole and are intended to assist GSF in developing new country programmes as well as strengthening the existing programmes.

- 1. GSF needs to further develop its intervention model and rethink its explicit focus/discourse on being a ‘behaviour change’ programme.** Behaviour change is an important element of improving sanitation outcomes but it is not sufficient. The GSF programme may not fund or build toilets but these still need to be constructed and be of sufficient quality to be sustainable. In particular the MTE team suggest a review of possible examples of ‘best practice’ which focus on sustainability and the successful integration of demand, supply and finance within different contexts and environments. It is suggested that GSF staff – and project officers specifically – lead a process of writing a formal paper on this with support from the advisory committee.
- 2. GSF needs to further strengthen its CPP development and review process.** This should include the following steps:
 - **Develop a light touch model for Political Economy Analysis (PEA).** This should focus on the drivers and barriers for change and the motivations and points of entry for key stakeholders;
 - Use the PEA as the basis to **develop country level theories of change.** These frameworks should map out how desired outcomes will be achieved and how different interventions are combined to reach intermediate milestones towards systemic changes in sanitation.
 - **Regular review of the CPP document in order to keep it a dynamic guiding document.**
- 3. GSF should strengthen its Advisory Committee.** In particular it needs to **increase the level of expert input in Sanitation Marketing**, as there is limited knowledge of it in GSF, **and bring in additional expertise on gender, equity and inclusion.**
- 4. GSF needs to review and overhaul its performance management system and processes** The MTE team have written a more detailed accompanying document which provides more detail on this recommendation but it should involve a series of different but related aspects:
 - **Revise and simplify the Results framework.** A clear set of outputs are required that focus on service delivery, strengthening the enabling environment and improved GSF capability to deliver;
 - **The number of indicators should be reduced and a clearer standard set of data collection tools and frameworks designed.** These should include an ‘on-site’ data collection tool¹⁷; an enabling environment assessment tool and capability assessment tools for the EA, PCM and Sub Grantees;
 - **Internal learning processes and templates need to be designed and implemented.** These should be undertaken in a regular systematised way with externally sourced ‘learning’ being focused on key research issues and evaluations.
- 5. GSF should commission and undertake an analysis into equity and inclusion for sanitation.** This should be done by a combined team of external experts and internal staff as

¹⁷The MTE team strongly recommend this should be based on excel software as it is easily available

WSSCC needs to build up its capacity in this area. The resultant 'product' should feed into the GSF performance framework.

Annex 1: Tabulated Summary of Results¹⁸

Indicator	Cambodia			India (2012-13)			Madagascar to 2013)			Malawi (CPP target)			Nepal			Senegal			Uganda		
	Target (5 years)	Result (year 3)	% achieved	Target (5 years)	MTE Result	% achieved	Target (5 years)	MTE Result	% achieved	Target (5 years)	MTE Result	% achieved	Target (5 years)	MTE Result	% achieved	Target (5 years)	MTE Result	% achieved	Target (5 years)	MTE Result	% achieved
Number of People/households with Access to Improved Toilets	800,000	200,527	25%	1,200,000	116,159	10%	2,000,000	115,860	6%	810,000	100,003	12%	994,013	392,133	39%	9,246	1,629	18%			
Number of Improved Toilets Constructed by Communities in Target Areas	160,000	40,906	26%	1,200,000	116,159	10%													245,473	147,115	60%
Numbers of villages triggered	2,000	1,520	76%	10,000	2,490	25%	20,000	5,078	25%	3,600	1,721	48%	10,870	2,186	20%				5,827	3,980	68%
Number of communities declared ODF	1,200	292	24%	10,000	505	5%	12,000	2,769	23%	3,600	766	21%	10,870	2,385	22%				5,827	1,985	34%
Number of households changing from open to fixed place defecation				1,500,000	171,560	11%				1,053,000	599,463	57%				15,129	13,480	89%			
Number of people living in ODF environments							3,500,000	332,280	9%	1,000,000	276,142	28%	1,863,934	389,721	21%				3,496,200	1,191,000	34%
Number of people washing hands with soap							1,000,000	576,498	58%				931,967	224,131	24%	24,619	24,114	98%	550,030	240,792	44%
Number of people reached by messages on hand washing with soap							5,000,000	1,374,173	27%	1,035,000	574,050	55%	1,863,934	468,190	25%						

¹⁸ Note all figures in Senegal are for households; other figures are for people. Figures in red shouldn't be seen as comparable as for Nepal it is unclear what baseline was and so whether figure quoted reflects GSF performance; for Uganda toilets constructed may or may not have been of JMP improved status.