MID-TERM REVIEW OF WATER SUPPLY AND SANITATION COLLABORATIVE COUNCIL'S MEDIUM-TERM STRATEGIC PLAN, 2012-16

Part I - Final Report
September, 2016

Executive Summary

I.   Introduction

WSSCC is a global multi-stakeholder partnership and membership organisation with partnerships in more than 20 countries and members in more than 150 countries. It stands upon 25 years of extensive experience in water, sanitation and hygiene issues at community, national, regional and international levels. With the global target for sanitation continuing to be unmet as the MDG period drew to a close, sanitation was clearly recognised as a national priority in WSSCC's priority countries in the last decade. Programming efforts seeking to address regional disparities in sanitation and hygiene found greater resonance among organisations at global and national levels.   Behaviour change was commonly identified as a key challenge to realising improved sanitation outcomes in these countries, with CLTS as the predominantly recommended national strategy for promoting behaviour change in sanitation and hygiene. With the major sector gap in the last decade relating to increasing resources for practical action, sector advocacy placed a strong emphasis on actions to mobilise resources from national government and donor constituencies. In addition, sector advocacy revolved broadly around the inclusion of WASH goals into the SDGs and to bring the *right to water and sanitation* into the debate along with equity and non-discrimination considerations. Increasing sector learning and knowledge based on programmatic experiences was also a desired outcome and priority in the sector. WSSCC's strategies through GSF and SLTF programmes in this MTSP responded to this broader sector context seeking to address accelerate progress against MDG targets in sanitation and hygiene and recognition at the close of the MDGs that inequalities are an important obstacle to the achievement of global development goals.

During 2015, the WSSCC commissioned a Mid-Term Review of its MTSP 2012-16 to assess its progress against intended results in the MTSP. The MTR was designed to contribute to organisational learning as well as to meet the accountability requirements of WSSCC's Steering Committee and donors. The MTR mainly considered strategies and activities undertaken during the period 2012-2014 for assessment of WSSCC's performance against its MTSP, but the biennial work plan for the period 2015-16 was also reviewed to examine any directional shifts in WSSCC's strategies. Timelines for the review (including document reviews, stakeholder interviews and analysis) extended until February 2016, effectively covering aspects of work planned and undertaken during the entire MTSP period. The MTR employed the OECD-DAC framework and criteria for the evaluation. Formative methods of evaluation were used where necessary, including articulating an organisational theory of change. Particular attention was given to areas where learning and its application seemed to be most valuable. The key findings from the evaluation are summarised below.

II.   WSSCC's strategy during the MTSP, 2012-16

The scope and focus of the MTSP 2012-16 concentrates its energy and resources on equitable sanitation and hygiene for the poor and neglected people in Africa and Asia, particularly in countries with the highest sanitation and hygiene needs and where it is possible to make a useful impact. WSSCC seeks to address the gaps in sanitation and hygiene access from the demand side – through its Global Sanitation Fund – by targeting behaviour change among communities through "*collaborative, demand-led approaches to achieve results at scale*". Through the Sanitation Leadership Trust Fund, WSSCC's MTSP

mandates it to focus on the supply-side, pursuing strategies on knowledge creation and dissemination and targeted advocacy, with the broader aims of raising awareness, influencing policy agendas and mobilising stakeholder commitments necessary for realising improved outcomes in sanitation and hygiene with an emphasis on those who are left behind.

III. Global Sanitation Fund

Currently, GSF has on-going programmes in 13 countries in Africa and Asia; six countries were added during this MTSP period and there are three GSF pipeline countries where CPPs are in various stages of development. WSSCC management indicate that there is a high level of interest among other countries to be included in the GSF, and frequent requests are made to begin GSF support in new countries.

Based on data reported, the programme demonstrates positive results on its primary outcome of achievement of ODF communities and increased "Access and Use" of sanitation facilities and improved hygiene practices. GSF's progress against its primary outcome of access and use can also be inferred through the strength of its monitoring systems and evidence on sustainability of reported results. GSF commissioned an assessment of its M&E approaches in 2015 as part of its system of continuous improvement. The assessment points out the need to improve existing monitoring, verification and reporting systems so as to enhance the accuracy and reliability of results reported by country programmes. GSF also undertook a sustainability assessment of select country programmes which indicates the existence of slippage in GSF-supported areas, thereby raising questions around the sustainability of results achieved. While these issues plague WASH investments in general, GSF needs to make improvements to track slippage and promote sustainability.

GSF contributions to the MTSP outcome area of "Equity" cannot be clearly established at the close of the MTSP as GSF-supported country programmes do not explicitly target these vulnerable groups nor do they track related indicators. More could be done to collect disaggregated data and track inequities in sanitation, in order to improve planning and implementation towards achieving equitable outcomes.

GSF's effectiveness in operationalising its learning and knowledge management strategy is demonstrated by the cross-country learning exchanges and in its efforts to build technical capacities of its national partners to deliver CLTS strategies. It is also evident in commissioned independent evaluations on a number of programme design elements, learning from which is expected to improve future programming. However, the knowledge component within GSF has not yet realised its potential to add value to the sector. WSSCC has not fully harvested lessons and evidence emerging from GSF programme implementation in spite of identifying key themes for knowledge building in its 2012 Learning Guidelines for purposes of advancing sector knowledge and using the evidence for advocacy towards better policies or practice.

Findings from the GSF Value for Money assessment indicate that the programme demonstrates improved cost-efficiencies in achieving its key outcome of ODF conversion – moving triggered communities to ODF status to the extent that fixed place defecation or basic sanitation is achieved. This is an encouraging finding that could allay wider concerns around the efficiencies and effectiveness of GSF. The study also notes that GSF's cost efficiencies reduce if the intervention seeks to shift

communities from fixed-place defecation or basic sanitation to improved sanitation as per JMP guidelines. As access to improved sanitation is noted to be an enabling factor for sustainability of outcomes, more clarified understanding of sustainability and the role of improved sanitation in this is necessary.

WSSCC's management response to major findings from the GSF's MTE was shared with the MTR team recently and published, along with the MTE synthesis report, on WSSCC's website in June 2016. In this response, WSSCC acknowledges the programme challenges outlined above and notes that active steps are underway to address the above challenges through the GSF 2016 work plan.

IV. Sanitation Leadership Trust Fund

Knowledge and Learning
The MTR finds positive contributions from WSSCC in generating new evidence, debate and recognition particularly around sanitation and hygiene issues focused on women and marginalised groups. Research studies commissioned by the WSSCC during this MTSP are filling evidence gaps within WASH literature and are used in sector-wide advocacy processes, particularly relevant in the post-2015 context with its focus on equity and inclusion in WASH. There is mixed evidence on other activities undertaken through this strategic component.

Progress on a Community of Practice in promoting knowledge sharing among sector professionals is modest to date. In addition to building partner capacities in CLTS strategies, WSSCC – through its equity and inclusion programme – invests in building stakeholder capacities on MHM. It is not possible at this point to assess how effective WSSCC has been in building capacity in MHM, but given the modest scale and piecemeal nature of activities that have been undertaken during this MTSP, the overall impact is unlikely to be significant.

The MTR finds that synergies between departments from knowledge and learning standpoint can be strengthened as evidenced in the insufficient prioritisation of Knowledge and Involvement outcomes (Outcomes 3 & 4) within the GSF programme.

Advocacy and Influence
WSSCC's diverse efforts in advocacy and communications suggest that WSSCC's advocacy role has the potential for contributing to wider SDGs. At the global level, WSSCC's support to sector communications historically and also in the SDG context are found to be valuable. Its advocacy response and contributions in the area of sanitation and menstrual hygiene in particular are well-recognised. At the regional level, WSSCC's financial/technical support to platforms such as AfricaSan and SacoSan and its contributions alongside other actors to regional dialogue on equity, with an emphasis on gender (MHM) and marginalised groups, are well-recognised. Its support, along with WaterAid in West Africa, to increase media coverage of WASH issues in the region through the WASH Journalist Network is well-acknowledged. But sustainability of the latter initiative in the absence of continued programme support is less clear.

The gains and influence at regional levels do not necessarily translate to national levels. The MTR finds that WSSCC's efforts in national advocacy processes are more fragmented, with contributions deriving from varied sources, including activities undertaken by WSSCC's three departments and National Coordinators. There is mixed evidence around specific initiatives – for example, the WASH Ambassador programme did not scale or yield positive results in bringing about policy influence as anticipated. An integrated approach through knowledge generation, evidence-based policy advocacy & capacity-building appears to be at the core of WSSCC's work in the area of equity and inclusion and MHM. This integrated approach is apparent through the UN-Women programme, which provides evidence of strong, laudable efforts in terms of in-country activities undertaken towards advancing the right to sanitation for women and girls, with a particular focus on menstrual hygiene. While elements of this knowledge-based advocacy approach has been valued by some stakeholders (e.g. research outputs filling evidence gaps in sector and generated evidence is relevant to policy), it is difficult to assess whether or to what extent this approach has been effective because WSSCC did not develop a detailed strategy during the MTSP period that articulates the desired results.

V. Memberships and National Coordinators

Membership and NCs are identified as central to achievement of MTSP outcomes in translating WSSCC's global and regional advocacy to the country level. However, the membership strategy has not been integrated into programming as intended in the MTSP. A delayed start to the NC initiative meant this could not anchor any aspect of SLTF/GSF programming until 2015-16. In-country activities are taking place through the NC constituency, which plays an important role advancing WSSCC's agenda and priorities at a national-level. While it is hard to evaluate WSSCC's contributions through this constituency because activities are undertaken in conjunction with other WASH actors, meaningful assessment is made more difficult by the lack of a strong results framework or attention to documenting examples of change. WSSCC's financial allocations to NCs to carry out their work and the types of activities pursued through this constituency do not reflect a high strategic orientation by WSSCC towards engagement at a national level, particularly through the NC initiative.

VI. Governance and Management

WSSCC committed itself in the MTSP to results-based management, which embraces the alignment of budgets, organisational structure and staffing, as well as activities and outputs, to the achievement of intended outcomes and uses knowledge from monitoring and evaluation in new rounds of planning and other decision-making. WSSCC plans strategically on a 5-year cycle. Work plans are tailored more precisely to the volume of funding anticipated, but annual reports do not clarify how interventions in these plans are formulated or how budgets are allocated to planned interventions by departments. The evaluators were not able to document a systematic approach to project identification and work planning, such as through use of problem analysis, theory of change and M&E information. Risk identification and assessment is an essential element in planning, and could be better incorporated in the planning frameworks.

M&E frameworks are now part of overall planning but are not yet sufficiently operationalised with the result that, among other things, data in SLTF are not collected routinely on outputs or outcomes in a consistent manner. This is understandable because WSSCC as an organisation only began to apply M&E

systematically after 2014. This early work should provide strong foundations for further development. Since 2015-16, WSSCC has begun to incorporate more rigorous review of performance and results into its programme cycle – both at the organisation level and below. The momentum for this needs to be maintained. WSSCC's semi-annual reports show distinct improvement in the last 12 months in terms of results orientation, with the M&E unit providing technical guidance and promoting a culture of reporting against results.

WSSCC's experiences to date suggest that inefficiencies have affected its performance in certain areas during the MTSP. These are primarily evidenced through time delays in carrying forward planned activities and programmatic underspend. Although the staff has now increased substantially, staffing constraints in some departments are frequently cited to have affected the performance of operating divisions at various times in the MTSP. The MTR also finds certain structural challenges within the Secretariat, including functional overlaps, role of the knowledge and research functions, location of the M&E unit and implementers of "advocacy" programming synergies across departments.

The MTSP also intended synergies between GSF and WSSCC's other departments of NKM and A&C on aspects of systematic lesson learning and knowledge sharing, and advocacy for improved stakeholder commitments for sanitation and hygiene. There is limited evidence to be found on this front. This issue also came up strongly through the staff survey conducted for the MTR. Staff survey responses indicate a climate in WSSCC where most staff are committed to the success of the organisation, but perceive significant problems in the way it is managed, particularly with respect to internal communications and incentives for collaboration. The fact that they are prepared to speak out about both the positive and negative aspects of the organisation, as they perceive them, is encouraging.

From a governance standpoint, the membership constituencies are cited as a strength. However, the manner in which they function contributes to a number of governance problems including: (1) lack of risk oversight, (2) insufficient exercise of performance and financial accountability. Governance structures and processes have not kept pace with the growth and evolution of the organisation, and a fundamental review is overdue.

The UNOPS hosting arrangement appears to have improved significantly during the MTSP, although deficits were identified in the areas of support for human resource and risk management.

VII.   Recommendations (in order of appearance under Chapter 3)
1. The new strategy should include a map of what an integrated RBM system would look like in WSSCC, with clear resourced strategies for ensuring all the key components are in place with realistic timelines and with appropriate prioritisation.

2. WSSCC should undertake a participatory and iterative exercise to produce a Theory of Change that determines the linkages between desired outcomes at various levels and strategies to achieve them. Following this, WSSCC should prepare and follow a common set of definitions for key indicators against defined results at the organisational level. Some of these in turn could be proposed as indicators to be used across the sector.

3. A set of learning questions, mostly deriving from the Theory of Change, but also including cross-cutting themes such as equity, relevance and coherence, should be developed to prioritise and steer M&E, and complementary research, throughout the strategy period. Every indicator in the new results framework should be accompanied by a clear plan for mobilising data collection and analysis.

4. Some outcomes in WSSCC's Theory of Change will be better reflected through qualitative indicators. Data collection and analysis for some of these indicators will require case study approaches which need appropriate skills and resources.

5. Internal results-focused review should be institutionalised at different levels and across all programmes throughout the organisation.

6. WSSCC's evaluation strategy should be reviewed particularly in the light of absorptive capacity and balance across the portfolio of work. A systematic approach to using evidence from independent evaluations (especially programme evaluations) for planning and designing or course correcting ongoing programmes needs to be internalised.

7. WSSCC should continue its efforts to strengthen and streamline results reporting through more explicit reference to indicators.

8. WSSCC should work with the NCs, GSF's PCM partners, EAs and SGs in the countries where progress is particularly lagging to review the CPPs' context, articulate assumptions and a country-specific Theory of Change. This exercise helps to strengthen the strategic analysis behind the GSF programme in the country and will also have implications for the NC's SEP. The review should then result in an adjustment of approaches, targets and milestones, where necessary in order to hasten progress.   This approach will simultaneously allow WSSCC to better anticipate and respond to enabling or inhibiting factors to advance progress.

9. The above review should include an analysis of capacities of the GSF Secretariat and country partners to ensure the assumptions and envisaged results are more realistic.

10. WSSCC should implement the recommendations emerging from the recent evaluation of GSF's M&E framework as an important step in the right direction towards generating the evidence base necessary for learning and strategic management.

11. WSSCC must establish the results that it is envisaging in terms of equity and inclusion, include appropriate indicators within the GSF Results Framework and revise the CPP guidelines to include equity and non-discrimination as key components. This requires that WSSCC engages its GSF partners to develop clear protocols for identification of vulnerable groups in areas of

operation and clarifying approaches, strategies and activities to bring about envisaged results and operationalisation of its results framework.

12. In existing countries of operation, WSSCC focus must be on harvesting knowledge and lessons around the programme's impact on vulnerable groups.

13. WSSCC should focus learning efforts towards pressing sector issues relating to sustainability and equity in particular and those first identified in the 2012 Learning Guidelines.

14. Sector knowledge, policy and practice can also benefit tremendously from an understanding of key drivers and inhibitors for adoption of behavior change interventions. Programmes such as GSF play an important role in expanding this knowledge base and to this end, WSSCC can channel knowledge efforts towards synthesising design elements that are contributing to programme results.

15. Given that GSF-supported country programmes have helped build technical capacities on CLTS of a significant number of local organisations, WSSCC could also seek out evidence on enhancement and re-use of knowledge by these organisations/individuals even in areas outside of GSF operations. WSSCC's contributions towards advancing sector goals can be better contextualised and demonstrated through such evidence.

16. WSSCC and GSF management should develop advocacy strategies and plans associated with their knowledge efforts. These plans could be integrated with the National Coordinators' SEPs, and need to include activities for building or enhancing the capacities of GSF partners in advocacy for better policies and practice. This may involve revisions to the GSF staffing to ensure that adequate attention can be placed on supporting country advocacy, without losing focus on the provision of high quality grants management.

17. WSSCC needs to define desired results and develop an advocacy strategy around equity, non-discrimination and MHM outcomes, which could be pursued at national levels through GSF and NCs' efforts and strategic partnerships like with UN Women and at global and regional decision-making spaces through the efforts of the Secretariat and strategic partners.

18. WSSCC needs to define clear targets and indicators for its advocacy efforts on equity, non-discrimination and MHM and track progress towards these targets at national, regional and global levels.

19. If WSSCC believes it is uniquely positioned to undertake MHM capacity building on a wider scale, it should develop a clear strategy with a contextual analysis of what gaps in supply WSSCC is attempting to fill and relate this to its existing capacities and limitations. It would then have to be appropriately resourced to operationalise this strategy.

20. WSSCC could establish a knowledge platform integrated closely to its GSF and gender, equity and inclusion programming, allowing WSSCC to create a niche based on its own thematic experiences and expertise, while delivering a higher, public-good function. The knowledge platform is a tool to help WSSCC operationalise and achieve strategies for knowledge building and dissemination. It could also help serve advocacy and capacity building outcomes around equity, inclusion, gender, MHM and GSF learning priorities identified in the 2012 Learning Guidelines. This approach would mean that WSSCC is better positioned to drive the agenda, content and resources and circumvent challenges it has experienced during this MTSP to rally the sector around joint ownership of such a platform. Clearly, it would also mean that WSSCC assumes greater accountability for the results achieved. Results could be defined, for monitoring purposes, in terms of usage and participation.

21. WSSCC should review how it might bolster its national presence for purposes of more effective national-level influencing, achieving advocacy, knowledge building and capacity building results around equity, inclusion, gender, MHM, and scaling up of GSF approaches. Three options might be considered:
    a) Consider having one strategic programme in the country, involving GSF and its infrastructure and NCs and their partnerships.
    b) bolster the resources and capacities of the NC constituency such that their overall national engagement is more closely aligned with WSSCC's work and advocacy messaging. Contributions from this constituency should be clearly seen as elevating the in-country visibility and added value of WSSCC.
    c) Given the limited resources and the small size of the Secretariat, scale back current programmatic ambitions and instead focus on a few, high priority countries, where it can undertake deeper policy engagement, support local systems and demonstrate local responsiveness and accountability.

22. WSSCC needs to infuse substantive rigor, time and resources during the planning and design phase of its country-based programmes in order to prevent time delays and cost over/under spend at the time of implementation and in turn generate improved efficiencies and value for money from WSSCC's input of financial and technical resources into programme activities. This might also necessitate reflection on and revisions to existing incentive structures of in-country partners during the formative phase.

23. WSSCC needs to develop a better understanding of SLTF's programme and operational costs (particularly travel, office and UNOPS costs) so it can clarify if programme actions are efficient and costs are being kept to the minimum.

24. WSSCC can consider benchmarking WSSCC's costs and services against other agencies receiving similar services from UNOPS in order to get better clarity on programme efficiencies.

25. As GSF programme support direct implementation and hence more invested in improving sustainability, better alignment of country programmes strategies and costs to sustainability monitoring and achievement of sustainable outcomes will allow the programme to demonstrate improved value for money. The VfM study has provided an understanding of unit costs for achieving sustainable outcomes which in turn enables identification of ways and means to undertake cost-effective actions that contribute towards sustainability.

26. To have a more complete view of the value for money underpinning WSSCC's programmes, WSSCC could also monitor programme results in relation to how much investments from government and other non-state actors were leveraged by these programmes. Strengthening the monitoring systems around these activities is necessary to capture and clarify the value for money underpinning these inputs.

27. GSF needs to keep abreast of strategies to increase sustainability including learning from other agencies' practices, pursue actions that are adapted to local context and commit appropriate resources that enable these actions to be successful in practice. To this end, GSF can explore optimal ways to engage its local partners, including NC constituencies and government mechanisms, to operationalise these strategies.

28. GSF needs to harvest and document lessons from its practice that expand sector understanding of sustainability challenges and drivers.

29. WSSCC must continue to actively engage government partners to institutionalise some of WSSCC's key knowledge and advocacy messages into national policies, technical guidelines, manuals and regulations. This is an important way to demonstrate the uptake of WSSCC's knowledge and advocacy issues and in turn their likely sustainability.

30. WSSCC need to address the functional overlaps and mismatches head-on in the new strategy and put in place mechanisms that enable the organisation to be more responsive to changes in function. This should include an in-depth review of the current structure, specifically the interaction and functional overlaps amongst the three programme departments: GSF, NKM and A&C. The purpose of this review would be to ensure that the organisation, its structure and mechanisms are fit for purpose, cost-efficient and strongly capable to achieve the outcomes that will be agreed in the new strategic plan. The review should involve a high degree of staff participation. WSSCC need to develop a risk management strategy in line with its new strategic plan. The risk register and risk management plan that would be central parts of the strategy, should be regularly reviewed by WSSCC management and the WSSCC Steering Committee as part of their governance function.

31. The work of the Task Team set up to explore other services UNOPS could offer WSSCC, including support for staff management and development and risk management needs to be accelerated.

32. There is an urgent need for a fundamental review of WSSCC's governance structure.

33. Even as WSSCC continues on its current and modest trajectory of programme expansion in existing and new countries, more importantly, it needs to channel appreciable efforts and resources into consolidating learning and systematically harvesting lessons from existing country programmes and use non-GSF learning to address existing gaps and enhance programme design and effectiveness.

34. WSSCC should develop its global and regional advocacy strategy to be aligned with the new strategic plan. The global/regional advocacy strategy needs to clearly establish how it will link to, draw from and be coordinated with national level advocacy that NCs and GSF's programme partners will undertake to ensure that global/regional political commitments are translated into real investments, appropriate policy and practice changes at the national levels. The global/regional advocacy strategy also needs to provide a framework for national level advocacy by identifying the key themes and issues that WSSCC will want to speak on, will want to mobilise networks and partnerships around, and will want to prioritise for knowledge-building, lesson-learning and capacity-building.

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Acronyms

3ie	The International Initiative for Impact Evaluation
AfDB	African Development Bank
AMCOW	African Minister's Council on Water
A&C	Advocacy and Communications (WSSCC department)
CoP	Community of Practice
CPM	Country Programme Monitor
CSO	Civil Society Organisations
DAC	OECD Development Assistance Committee
EA	Executing Agency
GLAAS	Global Analysis and Assessment of Sanitation and Drinking Water
GSF	Global Sanitation Fund (WSSCC department)
ICWG	Inter-Country Working Group
IFMR	Institute for Financial Management and Research
ILO	International Labour Organisation
JMP	Joint Monitoring Programme
M&E	Monitoring and Evaluation
MDG	Millennium Development Goals
MoU	Memorandum of Understanding
MTE	Mid Term Evaluation
MTR	Mid Term Review
MTSP	Medium Term Strategic Plan
NGO	Non-governmental Organisations
NC	National Coordinators
NKM	Networking and Knowledge Management (WSSCC department)
OECD	Organisation for Economic Cooperation and Development
OHCHR	UN Office of the High Commissioner for Human Rights
PCM	Programme Coordinating Mechanism
SC	Steering Committee
SDG	Sustainable Development Goals
SHARE	Sanitation and Hygiene Applied Research for Equity
SEP	Strategic Engagement Plan
SG	Sub-grantees
SLTF	Sanitation Leadership Trust Fund
SWA	Sanitation and Water for All
TOC	Theory of Change
ToR	Terms of Reference
UN	United Nations
UNICEF	United Nations Children's Fund
UNOPS	United Nations Office for Project Services
WASH	Water Supply, Sanitation and Hygiene
WHO	World Health Organisation
WSP	Water and Sanitation Program
WSSCC	Water Supply and Sanitation Collaborative Council

1. Introduction and Background

1.1 WSSCC: Background

WSSCC is a global multi-stakeholder partnership and membership organisation with partnerships in more than 20 countries and members in more than 150 countries. It stands upon 25 years of extensive experience in water, sanitation and hygiene issues at community, national, regional and international levels.

Recognising the universal human right to sustained water supply, sanitation and hygiene, WSSCC aims to place a people-centric approach at the core of all its development work. It perceives people and communities as catalysts of change and the basis for transformative action. WSSCC aims to inform, engage, enable and empower people and organisations to better carry out their water, sanitation and hygiene (WASH) work, particularly through financing sanitation and hygiene programmes, networking, knowledge sharing, advocacy and capacity building among key stakeholder groups. WSSCC's work specifically targets the poor, marginalised, and disadvantaged including those with disabilities, particularly in rural Sub-Saharan Africa and Asia, where the sanitation and hygiene gaps are most acute.

WSSCC plans its work strategically on a five-year basis. It sets out its mission, goals and high level work plans for a period of five years in its Medium-Term Strategic Plan (MTSP). The MTSP broadly spells out the work that WSSCC will undertake in those five years in line with its overall vision and goals, together with the amount of progressively scaled-up funding needed to carry out this work.

1.2 WSSCC's Medium-Term Strategic Plan 2012-16

The present MTSP guides WSSCC's work for the period 2012-16. It was formulated by the WSSCC Secretariat taking into consideration inputs from WSSCC's Steering Committee, its members, national coordinators, partners and donors and was approved by the Steering Committee in October 2011. It takes into account the findings and recommendations made by the 2011 external review of the previous MTSP 2008-12.

The MTSP 2012-16 concentrates its energy and resources on equitable sanitation and hygiene for the poor and neglected people in Africa and Asia, particularly in countries with highest sanitation and hygiene needs and where it is possible to make a useful impact. The work agenda emphasises long-term development rather than disaster relief, continuing most of its work in rural areas and introducing specific interventions in urban areas.

> **Box 1: WSSCC MTSP 2012-16 Outcomes**
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> The MTSP articulates its intended impact through 4 practical outcomes and 1 organisational outcome, namely:
>
> Outcome 1: Access and Use- previously unserved people gain access to and sustainably use improved sanitation and adopt safe hygienic behaviours
>
> Outcome 2: Equity- Among those who gain access, poor and marginalised people and groups are identified and preferentially supported
>
> Outcome 3: Involvement- More individuals, organisations and businesses become involved in sanitation and hygiene work
>
> Outcome 4: Knowledge and Skills- Individuals and agencies involved in sanitation and hygiene improve their knowledge and skills
>
> Outcome 5: Delivery- WSSCC is adequately resourced and effectively governed and managed to deliver outcomes 1-4

The MTSP puts forth a Results Framework stating its intended outcomes and the needed outputs with indicators and specific targets. It also indicates the means of verification and strategies to achieve the MTSP outcomes outlined in Box 1. In addition, it briefly discusses the monitoring, evaluation, audit, governance and management of the organisation. The MTSP is a broad overview of strategy guiding the direction of WSSCC's work. The specifics of each year's work plan and the budget is laid down in the Annual Plans prepared by the WSSCC Secretariat and approved by the Steering Committee after consideration of budget targets specified in the MTSP and the actual amount of money committed by donors. The WSSCC Secretariat shifted to biennial work planning and reporting during the period 2015-16.

1.3   Mid-Term Review of MTSP 2012-16: Context and Purpose

During 2015, the WSSCC commissioned a Mid-Term Review of its MTSP 2012-16 to assess its progress towards achieving intended results. The MTR is designed to contribute to organisational learning and knowledge building as well as to meet the accountability requirements of WSSCC's Steering Committee and donors. The evaluation is also designed to provide WSSCC an opportunity to assess its institutional relevance to the sector, measured by its contribution to global efforts towards sanitation and hygiene and to provide a background for charting WSSCC's future direction and funding support.

The evaluation mainly considered strategies and activities undertaken during the period 2012-2014. Biennial work plans for the period 2015-16 were also reviewed to examine any directional shifts in WSSCC's strategies that are significant to its positioning in the sector. Timelines for the review (including document reviews, stakeholder interviews and analysis) extended until February 2016, effectively covering aspects of work planned and undertaken during the entire MTSP period.[1]

The Mid-Term Review (as per its Terms of Reference) employed the Organisation for Economic Cooperation and Development's (OECD's) Development Assistance Committee (DAC) criteria[2] (see Box 2) for evaluating WSSCC's MTSP 2012-16.

The formative nature of the MTR required that a careful balance is achieved between the broad scope of the DAC criteria and the actual level of effort expended on the evaluation. This balance was achieved by focusing the evaluation on areas where learning and its application are likely to be most valuable. Prioritising the areas for assessment was also particularly important as WSSCC itself has a broad geographical scale, ambition and diversity within its programming activities.

The evaluation approach was designed to provide sufficient detail on both the breadth and depth of WSSCC's programming. It was also designed to be flexible, allowing room for adjustments or shifts in priorities, should the need arise as the evaluation moved forward.   Within the proposed evaluation

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[1] The original cut-off date for receipt of documents for desk review as per the approved MTR Inception Report was 15/7/2015. But documents were accepted up until 26 February 2016, the date on which the MTR had also closed stakeholder consultations

[2] Towards improving the quality of development co-operation and the developmental effectiveness of aid, OECD-DAC lays specific criteria for Evaluating Development Assistance. Available at: http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm, accessed: July 2015

approach, the case studies were designed to provide in-depth assessment of WSSCC's work and were identified from within areas of perceived priority. Outside the scope of the case studies, the MTR approach was intended to be broad-based and focused on strategic issues that can guide WSSCC's work going forward.

1.4 Evaluation Approach and Methodology

As an evaluation intended to be roughly midway through the MTSP 2012-16 cycle, this evaluation focused on the validity and coherence of WSSCC's theory of change (TOC)[3] and its underlying assumptions, progress in delivering the intended MTSP outputs and early outcomes, and its fitness as an organisation for achieving the intended outcomes, and their sustainability. The WSSCC TOC, both explicit and implicit in the MTSP and its Results Framework served as the basis for assessment for the MTR.

> Box 2: OECD-DAC Evaluations Criteria
>
> Relevance: measures the extent to which aid activity is suited to priorities and policies of target group, recipient and donor
>
> Effectiveness: measures extent to which aid activity attains its objectives
>
> Efficiency: measures outputs (qualitative and quantitative) in relation to inputs
>
> Impact: measures positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended
>
> Sustainability: measures whether benefits of an activity are likely to continue after donor funding has been withdrawn, environmental and financial sustainability

The MTR team recognises that WSSCC's work comprises equitable, large-scale delivery built on behaviour change, advocacy and policy influencing - areas where evidence of outcomes is often hard to attribute with certainty to the interventions of a single organisation like the WSSCC. The effort is usually undertaken in a complex environment that is influenced by external forces and other actors. The review focused on tracing progress through WSSCC's programme logic in the MTSP to date - bearing in mind underpinning assumptions - assessing the extent to which the changes observed might have been influenced by WSSCC's interventions. The review drew both on evidence already collected by WSSCC, and new evidence collected during the evaluation.

To maximise the validity of the review, and to build the evidence base for assessing the performance of WSSCC, a mixed methods approach was adopted using a range of quantitative and qualitative tools and triangulation techniques[4].

In reviewing the performance of the Global Sanitation Fund[5], the MTR team relied considerably on the programmatic assessments commissioned by WSSCC during the ongoing MTSP period, including the GSF Mid Term Evaluation (GSF-MTE), and the Value for Money review (GSF-VfM), GSF M&E diagnosis (GSF-

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[3] As articulated in the MTSP in the form of the Results Framework and Strategies. A TOC is essentially a roadmap of a change can be achieved. It is a structured articulation of programme or organisational goals (or Results) and the process of achieving the stated results.
[4] Use of multiple data sources (primary and secondary) for generating comprehensive evidence and synthesis of findings
[5] GSF is a major strategic programme of WSSCC, which focuses on community mobilisation and demand creation strategies to promote improved access to sanitation and hygiene and sustained use

M&E) and GSF Sustainability Review (GSF-SR). Other documents reviewed include GSF's strategy, planning and performance documents (CPPs, Results Framework, ACTOR, Operations Manual, M&E and Learning Guidelines, Quarterly Reporting to Dash Boards, GSF Progress Report Updates). Perspectives of key stakeholder groups including, GSF staff, SC, Donors, sector experts and counterpart organisations were sought through interviews or focus group discussions. WSSCC's Management Response to the GSF-MTE was also reviewed and included in the report.

1.4.1   Evaluation Questions and Framework

The evaluation framework that guided the MTR is presented in Annex 2. In order to assess progress and performance on both MTSP outputs and outcomes, the evaluation framework was structured as follows: (i) key evaluation criteria/sub-criteria (as identified in the Terms of Reference), (ii) key evaluation questions, and (iii) illustrative lines of inquiry and indicators (where precise and measurable indicators are available). The means of verification and suggested data sources to inform the key evaluation questions is provided in Annex 3.

1.4.2   Data Collection

Both qualitative and quantitative evidence were gathered to address the key evaluation questions, using primary and secondary data collection methods (refer Annexes 3 and 4 for data sources and means of verification):

Secondary Data Collection: The evaluation involved desk review of internal documents, including surveys conducted by WSSCC on specific programme activities (WSSCC documents that formed the basis of the desk review are included in Annex 4) and external documents including sector/policy documents/evidence from WASH evaluations to develop a broader understanding of global and regional priorities, strategies and challenges in the promotion of sanitation and hygiene during the MTSP period.

Primary Data Collection: The evaluation consulted 123 people for their perspectives on WSSCC. These consultations involved semi-structured interviews, surveys and focus group discussions with key stakeholders, both internal and external to WSSCC. Five visits were made to the WSSCC office in Geneva, including one that involved observation of a Steering Committee meeting. Field visits were conducted at select locations where WSSCC's programmes are implemented, in India, Senegal, Cameroon, and Madagascar.

1.4.3   Case Studies

To enrich evidence gathered for the evaluation framework, four in-depth case studies were conducted to gain deeper insights into WSSCC's work. Considering the broad portfolio of the work and its diverse objectives and stakeholders, the case studies consisted of samples from distinct intervention types and geographies and were representative of the work of each of WSSCC's programme departments. Findings from each study relate to the broader narrative emerging from the overall study of WSSCC's performance during the MTSP period.

> Box 3: The Case Studies included:
>
> 1. Global Sanitation Fund
> 2. UN Women Joint Programme
> 3. Regional SANs
> 4. Sanitation & Water for All Partnership

1.4.4   Data analysis

Data collected through the desk review, interviews, surveys and observation were triangulated to gain a fuller perspective on the evaluation questions, to verify and corroborate information, and compare interview narratives. This approach was used for the overall enquiry as well as for each of the case studies.

1.5   Limitations to the Evaluation

– The MTSP Results Framework did not provide a strong steer for WSSCC activities until the 2015-16 work plan, nor were activities and in particular outcomes systematically monitored or aligned with the MTSP Results Framework until then. This limitation to the evaluation design was highlighted for WSSCC during the Inception Phase. Assessment of <u>effectiveness</u> – in terms of progress against the Results Framework – was not a straightforward task. The MTR team analysed available data and retro-fitted them to elements of the MTSP and as well as to the OECD-DAC criteria more generally.

– On GSF, the MTR drew for the most part from evaluations commissioned by GSF during the MTSP period, as mentioned before. The MTR did not have the time and resources to validate the data or methodological assumptions within these studies.

– Many elements of the sanitation and hygiene reform agenda, including promotion of access at-scale and equity goals, influencing of related national policies and programmes and mobilisation of civil society and grassroots organisations, have been underway at global, regional and national levels long before the current MTSP, and have involved contributions from diverse sector actors. Even as the review attempted to establish the value-addition of WSSCC in the sector, any references to the contribution of WSSCC's advocacy have to be seen in relation of the efforts of other agencies engaged in WASH advocacy.

1.6   Report Overview

The remaining MTR report is organised into 3 Chapters:

Chapter 2 sets out the evaluation's findings with respect to WSSCC's programmatic strategies and results, engagement with membership and use of national coordinators, expenditure, results-based management, organisational structure and staffing, staff management and organisational development, hosting arrangements, governance, and funding.

Chapter 3 sets out the evaluation's conclusions and recommendations around the OECD-DAC evaluation criteria of effectiveness, efficiency, sustainability, results-based management and governance and relevance.

The Annexes referenced throughout the document are presented at the end of the report and the case studies are shared in a separate document.

2 WSSCC: Key Findings

2.1 WSSCC's Strategy

WSSCC's specific strategy for achieving the vision, goals and outcomes of the MTSP are set out in Chapter 3 of the MTSP document. Other strategic plans that appear to be guiding WSSCC's work during this MTSP period include- Country Programme Proposals for GSF (and related national-level strategies and tactics for programme implementation), Country Strategic Engagement Plans prepared by National Coordinators to guide WSSCC's engagement at a national level, Knowledge Management Strategy, Advocacy Strategy, Communications Strategy, WSSCC Fundraising Strategy and Membership Strategy. These strategies are operationalised through the Annual Work Plans and corresponding budgets at the global and national levels.

From these strategy and planning documents, and in the absence of an explicit theory of change for WSSCC's work, the MTR team inferred an implicit theory of change underpinning WSSCC's work, which links to the Results Framework set out in the MTSP. This theory of change[6] implies that WSSCC seeks to address the gaps in sanitation and hygiene access and sustained use from both the demand side by targeting behaviour change among communities through "*collaborative, demand-led approaches to achieve results at scale*", and the supply-side by strengthening the capacities and commitments of key stakeholders through "*knowledge management, learning and advocacy*".

The MTSP sets out a total budget for WSSCC of $241 million for the period 2012-16 to operationalise these strategies. The amount is distributed across 4 strategic components as shown in Table 1 below.

Table 1 WSSCC's Planned Budgets under the MTSP, 2012-16 (amounts in million dollars)

WSSCC strategic components	2012	2013	2014	2015	2016	MTSP Outcome
Community mobilisation and demand creation for sanitation and hygiene[2]	24.0	30.0	38.0	48.0	60.0	1&2
Strengthening supply-side commitments and capacities through components identified below						
— Knowledge and Learning (NKM)	6.8	7.5	8.2	8.9	9.6	4
— Advocacy and Influence (NKM, A&C)						3
Institutional development (Directorate, A&C) [3]						1, 2, 3, 5
Total WSSCC	30.8	37.5	46.2	56.9	69.6	

Source 1 WSSCC Medium Term Strategic Plan (2015-16)

Notes: 1) Component 1 is delivered through GSF and components 2, 3, and 4 are delivered through Sanitation Leadership Trust Fund
2) While GSF's main focus is strategic component 1 identified above, considerable resources are also devoted to strategies similar to components 2 and 3, but focused on GSF programmes

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[6] In order to capture a full understanding of the implicit theory of change underlying the MTSP, the MTR team attempted to represent key elements of the TOC in a schematic manner. This representation can be shared with WSSCC

3) Resources for strategic component 4 are primarily allocated from SLTF, but pertain to institutional functions, namely resource mobilisation, donor relations, membership, governance, internal and external communications. All of these organisational activities support programmatic activities pertaining to outcomes 1, 2, 3 and 4

4) This table presents the budget allocations proposed in the MTSP, actual allocations within the annual work plans have differed based on the availability of funding. This is discussed in detail in section 2.6.1

With over 75% of the organisation's budget allocations proposed in the MTSP, the strategic orientation of the organisation towards demand-side approaches, delivered by GSF, is clear. This is evident in the MTSP principles which state that "*WSSCC's work responds to the demands and needs of individuals and communities where sanitation coverage is poorest, and is designed to serve them*".

However, the MTSP also makes it clear that WSSCC will go beyond demand-side approaches to generate "*global knowledge, debate and influence*" such that more countries and development agencies are increasing their work in sanitation and hygiene. To this end, the strategic components under the Sanitation Leadership Trust Fund and the GSF are designed to address both demand and supply factors influencing access to sanitation and hygiene. In addition, the work of GSF itself is intended to have a knock-on effect on the commitments from policymakers and development agencies for sanitation and hygiene within the countries in which GSF operates.

It is also important to note here that while the MTSP recognises the structure of WSSCC as comprising of two funding mechanisms (GSF and SLTF)[7] and its operations are organised along WSSCC's three front-line departments (GSF, Advocacy & Communications, and Networking & Knowledge Management), the outcome areas in the MTSP are intended to be delivered by the organisation as a whole, along with support from Members, National Coordinators and Partners. This intent is also reflected in the presentation of programme plans, achievements and progress against MTSP outcomes in WSSCC's Annual Reports[8]. The evaluation findings have been organised along WSSCC's four main strategic components reflected in its MTSP, and undertaken through the two funding mechanisms – GSF and SLTF. The following sections compile findings against strategies broadly pursued under GSF and SLTF (irrespective of whether these were delivered by NKM or A&C or Directorate). This approach is also aimed to reflect the extent to which the intent in the MTSP to explore synergies across departments was operationalised in practice during the period leading to the Mid-Term.

2.2   Global Sanitation Fund

WSSCC's main strategy, operationalised through its Global Sanitation Fund, is to enable millions of people to access improved sanitation by fostering demand creation for sanitation through a de-centralised implementation mechanism involving a large network of field practitioners and global stakeholders. Announced in 2008, GSF aims to accelerate progress on sanitation and hygiene by boosting the amount of finance and in turn, the number of committed agencies actively promoting

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[7] According to the MTSP, 2012-16, WSSCC's financial structure to deliver the MTSP consists of two multi-donor Trust Funds within UNOPS: the Global Sanitation Fund, and the Sanitation Leadership Trust Fund which is for all of WSSCC's other programmes, Prior to this MTSP, WSSCC's financial structure comprised of three Trust Funds, which was reorganized to two Trust Funds as of January 2013

[8] These include internal annual work plans, financial reports and related narratives, external annual reports, etc.

sanitation and hygiene. The GSF is the first-of-its-kind mechanism dedicated to improving sanitation by offering an efficient and cost-effective model to help the world's poorest people to address their most basic everyday need. GSF considers sanitation as a national crisis and seeks to address it at a national scale, by establishing with government, national sanitation and hygiene improvement programmes. These introduce tools and mechanisms at village, district and national levels to support the application of Community Led Total Sanitation (CLTS) at scale. It also aims to set in motion long-term processes that address the gaps in access to sanitation and hygiene. The programme reaches 250,000 households per country on average, about 1.5 million people.

Programmatically, GSF's main focus is on demand generation strategies and behaviour change, using CLTS as a behaviour change communication approach in order to realise improved sanitation and hygiene outcomes. Community-Led Total Sanitation is "an integrated approach to achieving and sustaining open defecation free (ODF) status. It entails facilitation of community's analysis of their sanitation practices and their consequences, leading to collective action to become ODF" (Handbook on CLTS[9]). Nationally-led country programmes primarily use methods drawn and adapted from CLTS. However, the programmes are designed locally in a collaborative manner to strengthen government-led coordination and to achieve agreed sector targets. They incorporate supply-side strategies that contribute to improved sanitation and hygiene outcomes.

At a glance: GSF finance
• Committed: US$ 109 million
• Disbursed: US$ 75.56 million

In its early years, the work of the GSF was advised by an expert committee – the GSF Advisory Committee. Its members were sector specialists who serve on the Committee upon invitation by the WSSCC Executive Director. The AC advised on the technical aspects of GSF's design and delivery in-country, with a very limited role in governance, oversight and management. With the maturity of GSF country programmes over time, GSF management felt that necessary technical capacities to undertake the programme have been built within the Secretariat. This necessitated revisiting the focus and membership of the AC and in November 2015, the AC was redefined to provide advice to GSF on higher level strategic issues, including strengthening sector positioning, resourcing and future direction, scale-up of programme results, and knowledge generation as well as promoting cross-pollination across sectors.

Currently, GSF has programmes in 13 countries in Africa and Asia: Benin, Cambodia, Ethiopia, India, Kenya, Madagascar, Malawi, Nepal, Nigeria, Senegal, Tanzania, Togo and Uganda. Eleven of these countries were operational at the end of 2014. To date, the GSF has committed approximately USD 109 million to country programmes and disbursed approximately USD 75.56 million.

WSSCC is currently considering expanding the GSF programme to other countries - Lao PDR, Niger, Pakistan.

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[9] Kar, Kamal and Chambers, Robert (March 2008), 'Handbook on Community-Led Total Sanitation', IDS-Plan UK

Figure 1 GSF Country Programmes: Timelines and Finances as of Dec 2015 (amounts in million USD)
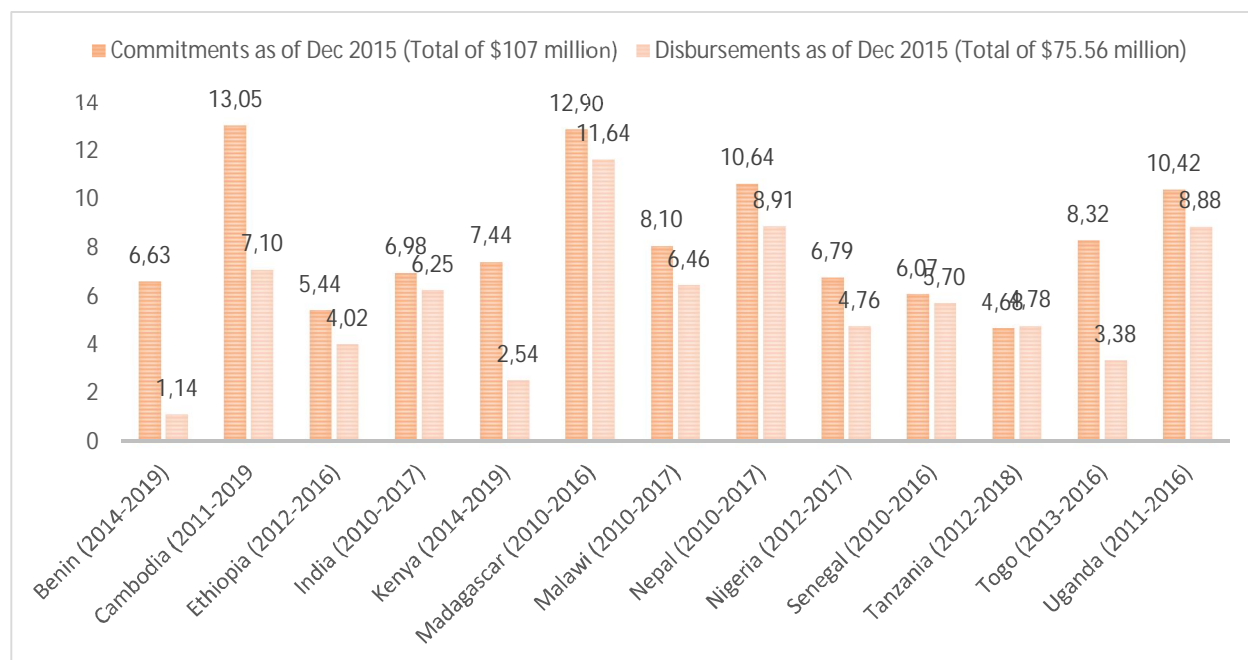
Source 2 Data provided by GSF-WSSCC

2.2.1 MTSP Outcome 1: Access and Use

Table 3 illustrates GSF's contribution towards achieving the MTSP's outcomes in the areas of behaviour change, access and use of sanitation and hygiene. As the figures indicate, GSF country programmes report positive results with regard to achievement of ODF communities and increased access and use of improved sanitation and hygiene facilities. As of December 2015, GSF has achieved 60% of the MTSP target for people with improved toilets, achieved 72% of the MTSP target for number of people in GSF-supported programme areas stopping to defecate in the open, and exceeded the MTSP target for people washing their hands with soap by almost 30%. It is however important to note that though the results reported by the GSF country programmes pertain to GSF supported programme areas, the achievements against these indicators cannot be attributed to GSF/WSSCC alone – something regularly pointed out in the annual GSF Progress Reports for the period. That said, it is also noted that the GSF intervention is one of direct implementation and is usually undertaken in areas where only GSF-supported interventions take place. As a result, the potential for attributing results achieved to the GSF intervention is likely to be higher.

At a glance: Achievements
- 60% of target for people with improved toilets
- 72% of target for number of people stopping to defecate in the open
- 30% more than target for people washing their hands with soap
- 250,000 households reached on average or 1.5 million people

Factors behind achievements:
- Quality of triggering
- Appropriate selection of in-country partners
- Ability to adapt standard CLTS methods to locally specific contexts

At a glance: Challenges
- Slippage in OD behavior
- Difficulty in tracking cases of slippage
- Over-ambitious targets and timelines to deliver on them

Contributing factors:
- Challenges in permanently changing human behaviours
- The need to trigger institutions, not just individuals
- Quality of toilet construction
- Appropriateness of toilet design to local conditions
- Ease of procuring desired or appropriate toilet designs
- Need for appropriate maintenance, including pit emptying.
- Lack of precedence similar to size and scale of GSF programmes and investments

According to the GSF Mid-Term Evaluation (GSF-MTE), a number of GSF programme activities have played an important role in the achievement of observed results on improving access to sanitation and hygiene. The quality of triggering, the appropriate selection of in-country partners, and building capacities to adapt standard CLTS methods to locally specific contexts have all been identified as positive factors contributing to these results. Findings from the GSF-MTE and GSF-Sustainability Review however suggest that GSF is facing challenges with sustainability of results: there is slippage in OD in GSF-supported programme areas, and GSF is unable to track these cases of slippage effectively. There are a number of external factors that the programme may not have anticipated or accounted for which are critical to ensuring that access gains in sanitation translate to sustained use over a period of time. This is in part because GSF was the first large-scale programme of its nature in this area of development. Some of these external factors appear to include: the challenges associated with permanently changing behaviours of humans, the need to trigger institutions as well as individuals, the quality of toilet construction, user needs, the appropriateness of toilet design to local conditions, the ease of procuring the desired or appropriate toilet designs and the importance of appropriate maintenance including pit emptying.

The GSF is exploring approaches like "institutional triggering" and the "Follow Up Mandona" (FUM) to address some of these sustainability challenges. The FUM has been introduced by the GSF in Madagascar, as an action-oriented approach to accelerate the end of open defecation after the initial CLTS triggering session. FUM involves a series of facilitated sessions with the entire community to reinforce behaviour change and collectively undertake small, immediate and do-able actions to become ODF in the shortest time possible. The efforts are in nascent stages and outcomes are yet to be realised.

Table 2 GSF'S Contribution to MTSP's Output 1(a) and 1 (b) in Outcome Area 1 (Access and Use) – GSF reported results for June and December 2015

Outcome 1: ACCESS AND USE. Tens of millions of previously unserved people in 10–25 sanitation-needy countries gain access to and sustainably use improved sanitation and adopt safe hygienic behaviours.

MTSP Output	MTSP Indicator	MTSP Target[1]	Corresponding Indicators from GSF Programme Documents	GSF Programme Target[2]	Progress as of Jun 2015	Progress as of Dec 2015	June 2015 results against MTSP targets	Dec 2015 results against MTSP targets
Output 1 (a): At least 11 million people have	Number of people (in GSF-supported programme areas) stopped defecating in	At least 15 million	Number of people (in GSF-supported programme areas) living in ODF Environment (GSF Result	36.61 million	9.9 million	1.09 million	66%	72%

stopped defecating in the open and are practising safe sanitation and hygiene[3]	the open		Indicator)				
	Number of people (in GSF-supported programme areas use improved toilets	At least 11 million	Number of people (in GSF-supported programme areas) using improved toilets (GSF Result Indicator)	22.27 million	8.2 million	6.62 million	75%	60%
	Number of people (in GSF-supported programme areas) wash their hands with soap at critical times	At least 11 million	Number of people (in GSF-supported programme areas) washing their hands with soap (GSF Result Indicator)	28.61 million	13.5 million	14 million	123%	128%
Output 1 (b): All people living in GSF-targeted areas are reached by sanitation and hygiene messages.	Number of people having heard or read messages, participated in a GSF-supported activity or been verifiable touched by the programme	At least 20 million	Number of people living in GSF targeted areas (GSF Intermediate Indicator)[#2]	Not reported on at the global level				
			Number of people reached by hygiene messages (GSF Intermediate Indicator)[#2]	Not reported on at the global level				
			Number of communities triggered (GSF Intermediate Indicator)	1,31,566	77,470	75,945	N/A	N/A
			Number of communities declared ODF (GSF Intermediate Indicator)	85,130	36,500	47,109	N/A	N/A

Source 3 GSF Progress Report – Mid Year Update 2015; Dec 2015 results data provided by WSSCC

Notes: 1) MTSP targets refers to the targets WSSCC seeks to achieve by December 2016, the end of the current MTSP

2) GSF targets correspond to the aggregated CPP targets which are based upon each of the Country Programme Proposal targets, with different end dates (2017, 2018, 2019, and 2020)

3) It is important to note here that not all MTSP indicators correspond directly to the indicators[10] tracked by GSF, limiting direct comparison between the two[11]. For purposes of reporting on progress, GSF staff indicated that GSF indicators are to be treated as the key indicator since these are tracked by the programme

4) Presently GSF does not report these numbers at the global level

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[10] GSF measures progress along 11 key indicators at the global level (aggregated across all GSF programmes at the country level)

[11] For instance, it is understood from GSF staff that "number of people stopped defecating in the open" (MTSP indicator) is not exactly the same as "number of people living in ODF environments" (GSF indicator)

5) This data needs to be read and interpreted alongside the sub-section Reporting and Verification of ODF Outcomes under section 2.2.4 (Robustness of M&E systems)

Progress against MTSP targets on access is significant but progress against GSF's own programme targets on access and use is more modest. WSSCC's management and governing board note that there was no precedence of programmes focused on sanitation behavior change at the size and scale of the GSF at the time that the programme was established. Consequently, the programme targets are now recognised internally "as an educated guess at best". There is also limited clarity on the exact timeline for achieving programme targets - country programmes do have start and end dates, but programmes in Madagascar, Nepal, Cambodia and Uganda, for example, have undergone programme expansion (in terms of area covered), while programmes in Senegal, India and Malawi have been extended (in terms of programme timelines). Country programmes have not scaled up to the extent envisioned in the Country Programme Proposals (CPP) based on results reported against programme targets and in-country disbursement rates ($75.56 million against the $109 million commitment). Nevertheless, contracts between EAs and implementing partners are being established based upon the $109 million commitments. The GSF-MTE concludes that the over-ambitious and unrealistic timelines of CPPs, rather than low capacities of delivery partners is the reason why CPPs' results and targets have not yet been delivered. This points again to the lack of precedence in the sector on designing programme interventions and investments of the size and scale of GSF.

2.2.2 MTSP Outcome 2: Equity

GSF is a financing mechanism to enable particularly poor and vulnerable groups like women, disabled, and the marginalised to access and sustainably use improved sanitation and hygiene services. WSSCC aims to ensure that all members of the communities in GSF-supported programme areas benefit from programme interventions in an equitable manner. WSSCC aspired to track the percentage of disadvantaged households and individuals changing from open to fixed-place defecation, changing from fixed-place defecation to using improved sanitation facilities, and washing their hands with soap. However, at present GSF does not collect data on these indicators which makes it difficult to make meaningful observations on GSF's contribution to WSSCC's goal of equity in sanitation and hygiene. The GSF-MTE indicates that equity considerations are not adequately factored into GSF programme delivery and country programmes do not capture data which elucidate how the programmes have addressed the specific needs of women, elderly, disabled and marginalised groups.

> At a glance: Challenges
> * GSF and country programmes do not collect data on WSSCC's and GSF's equity indicators
> * Equity considerations not adequately addressed in GSF programme delivery

Field visits undertaken by the MTR team to GSF programme areas in India provide evidence that the programmme attempts to reach geographically remote communities, low-income and socially marginalised groups in India through its country selection process and through in-country targeting of resources to areas and populations that are needier and have more potential for impact. Nevertheless, more could be done to collect disaggregated data and track inequities in sanitation, in order to improve planning and implementation towards achieving equitable outcomes.

Table 3 GSF's Reporting against MTSP's Output 2 (b) in Outcome Area 2 (Equity)

MTSP Output	MTSP Indicator	MTSP Target	Corresponding Indicators from GSF Programme Documents	GSF Programme Target
Output 2(b): In the GSF-supported programme areas, at least two vulnerable groups per country report measurable improvements in their sanitation and hygiene situation.	Percentage of people in two vulnerable groups (in GSF-supported target ODF communities per country) use improved toilets.	75%	% of disadvantaged households and individuals changing from fixed place defecation to use of improved sanitation facilities	Presently, GSF does not collect this data
	Percentage of people in two vulnerable groups (in GSF-supported target ODF communities per country) wash their hands with soap.	75%	% of disadvantaged households and individuals washing their hands with soap	Presently, GSF does not collect this data
	-	-	% of disadvantaged households and individuals changing from open to fixed place defecation	Presently, GSF does not collect this data

Outcome 2: EQUITY. Among those who gain access, poor and marginalised people and groups are identified and preferentially supported

2.2.3 Other MTSP outcomes relating to GSF

The GSF definition of success in achieving sanitation and hygiene improvements includes other indicators such as (1) increased capacities for the delivery of GSF-supported programmes, (2) sustainability of positive results achieved, and (3) increased commitments from policymakers and other agencies towards the same sanitation and hygiene goals. These find expression in the GSF Programme Results Framework and relate to MTSP Outcomes 1, 3 and 4. GSF does not effectively track results against these indicators to conclusively comment on progress at the global level.

2.2.3.1 Knowledge and Learning (corresponding to MTSP outcome 4)

In 2012, the GSF formulated 'Learning Guidelines' which states that continuous learning is essential to GSF's approach and strategies to achieve programme objectives and a wider impact. The guidelines suggest that WSSCC's wider skills and resources related to learning and knowledge management should be capitalised to support GSF's learning activities to achieve efficiency, reach and impact of the learning outputs. The guidelines very clearly identify learning themes for the GSF programmes to pursue and contribute to, including:

- Programme Structures and Financing Model
- Sustainable Sanitation & Hygiene Promotion Practices
- Partnerships and Collaboration for Sanitation and Hygiene Promotion at Scale
- Equity in Access, Use and Benefit
- Effective Monitoring of Sanitation and Hygiene Behaviour Change
- Health and Economic Impacts

At a glance: Achievements
- Formulation of Learning Guidelines
- Global learning events and peer exchanges to promote cross-country learning
- In-country delivery partners' capacities built
- Recognition of large number of local organisations with capacities to deliver CLTS in locally appropriate ways
- Programme evaluations commissioned to improve delivery and outcomes

At a glance: Challenges
- Country programmes' learning activities are fragmented, outsourced and hamper knowledge development of partners
- No tracking of capacity of relevant actors
- Limited progress on systematic lesson learning to ensure sustainability of improved services
- Lack of contribution to WASH sector evidence base for learning and advocacy
- Lack of integration among GSF, NKM and A&C to enable knowledge building and learning

GSF and its country implementing partners have been organising learning events aimed at promoting cross-country learning and peer exchanges for improved programme delivery. GSF-MTE assessed the knowledge and learning strategies of GSF and concluded that learning activities undertaken by country programmes have been fragmented, often outsourced to external agencies and have hampered knowledge development of in-country partners. The learning gaps and challenges outlined in Annex 5 suggests that during the MTSP period there is limited progress on systematic lesson learning to ensure sustainability of improved services. GSF management indicate that the programme has been directing greater attention to these areas in the past year with intent to strengthen peer exchanges between countries in the GSF portfolio. Particular emphasis will be laid on peer exchanges among government focal points, EAs and NCs such that they learn from one another and undertake joint programming. Peer exchange activities involving NCs and GSF partners are covered in section 2.4.2.

GSF's added value and contribution to the WASH sector depends upon its ability to provide the evidence base for sector learning and advocacy. However, the evaluation does not find appreciable contributions from GSF on this front, a finding also strongly echoed by several sector experts. WSSCC intends to prioritise knowledge generation from GSF in its strategies going forward, including documenting and disseminating programme experience and learnings.

It was envisaged that WSSCC's other two departments (NKM and A&C) would support GSF's efforts in these areas. However, there is scant evidence to show the three departments are sufficiently integrated from a knowledge or learning standpoint to realise improved outcomes in this area. This was also echoed in several comments by WSSCC staff and management.

During the MTSP period, GSF had commissioned a number of evaluations on various aspects of its programme design and delivery, to help identify weaknesses and facilitating factors that might ensure improvements in delivery and outcomes. Findings from these studies are expected to help strengthen components such as sustainability, equity, value for money and monitoring, which are central to its performance.

From a capacity building standpoint, the MTR notes that GSF invests considerable resources and has made notable contributions to building capacities of in-country delivery partners responsible for implementing GSF programme strategies. GSF's in-country delivery model has enabled recognition of a large number of local organisations (identified as sub-grantees or SGs to implement GSF activities) with

capacities to deliver CLTS in locally appropriate ways. These organisations possess pre-existing or newly developed understanding and skills required for adapting standard CLTS processes to local contexts. However, presently, the GSF does not effectively track capacity of relevant actors. Indicators and targets used by GSF to measure activities for capacity building (like number of people trained) are not indicative of the *strengthening* of relevant capacity.

2.2.3.2 Advocacy and Influence (corresponding to MTSP outcome 3)

One of GSF's intended outcomes is to ensure that existing and new government and support agencies put more resources into sanitation and hygiene. Advocacy efforts of GSF/WSSCC aim to leverage additional finance and human resources being dedicated to sanitation related activities. GSF's advocacy efforts also aim to ensure that government policies are applied, reviewed, improved and incorporate items demonstrated by GSF-supported programmes.

Broadly, the evaluation recognises that the work of GSF is contributing to increased financial commitments from policymakers and development agencies for sanitation and hygiene within the countries in which GSF operates. The GSF country programmes in general are perceived to "*foster a growing sense of national ownership in addressing sanitation and strengthening relevant institutions*". GSF-MTE country reports indicate substantial efforts made in this direction in a few countries like Madagascar and Uganda. GSF'S M&E diagnosis points out that GSF programmes at the country level, in general, have supported the development of nationally agreed definitions on ODF. But in general, in-country partners are found to lack technical capacities needed for policy advocacy, business development and fundraising.

Members of GSF's AC raise concerns around existing capacities in the Secretariat to undertake policy dialogue and translate on the ground success achieved by GSF programmes into strengthening GSF's country presence and negotiating for a seat at the table with policy makers. At present, most of the effective advocacy work in GSF is supported by WSSCC/GSF's senior management which is not a sufficient and sustainable model, given the size of the programme. Also, WSSCC's NCs are seen to be well connected in the policy circles with considerable influence in most countries with GSF operations. However, experts point out that there is insufficient integration among the NC and GSF constituencies. The absence of country offices, unlike other major WASH sector actors, was also cited as a factor that limits the in-country identity of the GSF. As a result, GSF's programmatic work and results are not adequately showcased amongst policy makers to generate discussion, debate and influence. Annex 6 contains examples of GSF's in-country advocacy activities.

At a glance: Achievements
- Broad contribution to increased financial commitments from governments and development agencies in GSF countries
- Fostered national ownership of need to address sanitation and strengthen relevant institutions
- Supported nationally-agreed definitions on ODF

At a glance: Challenges
- In-country partners lack capacities for policy advocacy, business development and fundraising
- Lack of capacity in WSSCC secretariat to translate GSF successes into stronger GSF country presence and influence with policy makers
- Insufficient integration among NCs and GSF constituencies for advocacy purposes

The MTSP indicates that GSF's work on this front will be bolstered by the activities undertaken within SLTF (through WSSCC departments NKM and A&C and also with support from National Coordinators). In-country activities are undertaken by other departments and NCs but there is limited evidence to suggest that potential for synergies from an advocacy standpoint have been actively explored.

2.2.4 Robustness of GSF M&E Systems

Sound monitoring, evaluation and learning systems are critical to scaling up aid-based programmes like GSF by enabling consolidation of achieved results and influencing future programme design to ensure continued funding by donors. Effective M&E and learning enables evidence-based decision-making by

At a glance: Achievements
• Defined Results Framework and comprehensive M&E plan
• Progress in setting up and improving verification systems for ODF
At a glance: Challenges
• Weaknesses of GSF mechanisms to ensure effective M&E, learning and grant process monitoring
• Lack of global and common definitions and minimum standards for GSF programmes hampers comparisons across countries and data aggregation
• Frequent weaknesses in data analysis coupled with inadequate documentation of data collection and analytic processes affects the accuracy and precision of data estimates

policy makers, organisations and programmes. It allows programmes like the GSF to learn in real time, adapt their approach and strategy to changing circumstances, and shape their advocacy. Monitoring performance on an ongoing basis helps measure progress in achieving results against programme targets. On the other hand, evaluations provide a systematic and objective assessment of a programme's contribution to the sector in general and its results for people and communities. Mobilising support (from government, donors, other stakeholders and communities) for large scale implementation of successful programmes requires generating and sharing learning based on evidence and experience from programme implementation.

Although GSF has defined a Results Framework as well as a comprehensive M&E plan with a quantitative focus on measurable outcomes, several limitations identified in the GSF's M&E diagnosis make it difficult to assess GSF's contributions to many MTSP output and outcome indicators, or even to aggregate across locations. GSF's M&E diagnosis highlights the weaknesses of the GSF mechanisms to ensure effective M&E, learning and grant process monitoring:

- low M&E capacities of EAs and SGs especially at the start of the programme, weak definition of roles and responsibilities in M&E and learning for CPM and PCM
- slow development of M&E plans and weak learning strategies
- lack of provision for community monitoring and feedback as integral part of M&E system
- lack of data management systems
- incomplete and low quality information for grant process management

2.2.4.1 Measurement of ODF Outcomes

Collective sanitation behaviour change refers to the community as a whole and its achievement of ODF status. ODF communities are often defined by the presence of criteria such as:

- Eradication of open defecation in the community;

- Household latrines which are typically hygienic, provide safe containment of faeces, offer privacy with a lid on the defecation hole and a roof to protect;
- Use of sanitation by all household members and all in the community;
- A hand-washing facility with nearby water, soap or ash, and evidence of regular use.

More stringent definition of ODF communities include: Hand-washing; Safe drinking water storage and handling; Food hygiene (elevated dish dry racks, covering of food); Grey water disposal; Solid Waste Management; Provision of institutional latrines in schools, markets and for passers-by. [12]

GSF-M&E diagnosis states that GSF lacks global and common definitions and minimum standards on ODF, improved sanitation, hand-washing, equity, slippage and sustainability. These definitions and minimum standards are substantially different from country to country, which hampers comparison of data among the GSF countries. GSF programmes at the country level, in general, have been effective in supporting the development of and adopting nationally agreed definitions on ODF, improved sanitation and hand-washing and less effective with regard to definitions on equity, slippage and sustainability. In GSF countries (such as Uganda, Nigeria, Togo and Benin), where national definitions and minimum standards on ODF, improved sanitation, hand-washing, equity, slippage and sustainability are absent, the programmes are slow in developing these definitions and minimum standards. This hampers the EA's and SG's ability to quickly establish effective monitoring and verification systems, and develop effective and timely strategies to address slippage and equity. In aligning with country definitions and guidelines, some GSF programmes at the country level support the adoption of high ODF standards which involve high percentage of community households with access to improved sanitation. This overshadows the progress made by the programmes towards eliminating open defecation. Sanitation and hygiene investments in general and not just GSF are hampered by the lack of standard definitions and consistent criteria for measuring ODF outcomes.

2.2.4.2 Reporting and Verification of ODF Outcomes

GSF's M&E diagnosis indicates that GSF programmes in all countries have made progress on setting up and improving verification systems for ODF. However, there are areas for improvement in the design and/or implementation of verification protocols. High ODF standards followed by GSF-supported country programmes, coupled with inadequate verification systems affect the accuracy of reported results with regard to number of people living in ODF environments and the number of communities that are ODF. In case of external verifications, third parties funded by the GSF programme may compromise impartiality. The M&E diagnosis questions the reliability of surveys and survey reports on account of accuracy and precision of results reported by the GSF. The quality of the surveys shows a frequent weakness in data analysis which affects the accuracy and precision of data estimates. The survey reports exhibit inadequate documentation of data collection and analytic processes, undermining the accuracy of these reports. Stakeholder consultations indicate a perception that results reported by

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[12] Definition and Criteria as stated in Cavill, Sue et.al (2015), 'Sustainability and CLTS: Taking Stock' in Frontiers of CLTS: Innovation and Insights, Issue no. 4, February 2015, CLTS Knowledge Hub, IDS.

the GSF with regard to achievement of ODF outcomes are unreliable and 'grossly exaggerated' affecting GSF's credibility as a trusted partner for sector collaboration.

WSSCC's management response to major findings from the GSF's MTE was shared with the MTR team recently. In this response, WSSCC acknowledges the programme challenges outlined above and notes that an action plan is being developed to address these challenges and related recommendations, particularly around areas such as achievement of targets, sustainability, sanitation marketing, gender and inequality, and monitoring learning and documentation. The proposed action items and timelines

GSF India case study findings

The MTR undertook an evaluative case study focused on the GSF supported India Programme (see MTR Report Part II for complete case study). This case study examines to what extent the GSF embeds some of the critical attributes contributing to scale and sustainability of WASH programming such as: appropriateness of adopted strategies to context, engagement with national and local systems and actors, value for money in programme delivery, and monitoring and evaluation for programmatic learning and sustainability. Both quantitative and qualitative data from secondary sources (like review of programmatic documents and WASH literature) and primary sources (like interviews with internal and external stakeholders) were used to inform the case study.

The case study finds that GSF's programme strategy focused on behaviour change through community mobilization and CLTS is very much in line with India's larger sector wide strategy for achieving improved sanitation outcomes and is relevant and well aligned to the country priorities and needs in rural sanitation. The GSF supported India programme has been effective in delivering this strategy to the extent that triggering efforts have been effective in bringing about a change in attitudes towards sanitation and hygiene among communities and households, but, is unable to effectively convert the triggered communities into ODF communities and sustain the ODF status. Apart from focusing on behaviour change, the GSF supported India programme needs to recognize the need to further align triggering, subsidy, follow up and effective supply as components of programme strategy. The GSF supported India programme has reached geographically remote communities, low-income and socially marginalized groups by promoting in-country targeting of resources to areas and populations that are needier and have more potential for impact. The programme has been successful in forging symbiotic partnerships with government actors and mechanisms at the sub-national (state and district) level. The GSF supported India programme is seen to be making a considerable effort in the area of learning, but not as significantly contributing to the sector at large on key issues like impact, sustainability, and programme risks. Effective monitoring of slippage is a sector-wide challenge facing governments and development partners in India and the GSF is not seen as making any substantial contribution to monitoring slippage or promoting sustainable outcomes. The GSF has done well in aligning with national definitions of ODF outcomes. However, consultations with sector experts and counterpart agencies raised concerns with regard to credibility and reliability of results reported by the GSF country programme.

for follow up on the accepted recommendations of the MTE are summarised in Annex 7.

2.3   Sanitation Leadership Trust Fund

Through its Sanitation Leadership Trust Fund (SLTF), WSSCC pursues strategies at the global, regional and national levels relating to knowledge, learning and advocacy around key challenges in sanitation and hygiene. The broader aims behind these strategies are to raise awareness, influence policy agenda and mobilise stakeholder commitments necessary for realising improved outcomes in sanitation and hygiene.

These strategies actively involve WSSCC's members, partners, and donors, as well as policymakers. They seek to enhance collaboration among sector agencies and professionals to set an agenda and create a platform for global knowledge, debate and influence around sanitation and hygiene issues. WSSCC staff lead these advocacy efforts at global and regional levels, and to a limited extent at a national level. To lead the work at the country level, WSSCC is supported by National Coordinators who serve as coalition heads, spokespersons and advocates for WASH issues.

This section lays out the MTR's findings with respect to these SLTF programme strategies, their progress and results at Mid-Term. Findings are organised along the two major strategic components of the SLTF: (1) Knowledge and Learning (corresponding to MTSP outcome 4: Knowledge) and (2) Advocacy and Influence (corresponding to MTSP outcome 3: Involvement). GSF also undertakes strategies and activities contributing to MTSP outcomes 3 and 4. These are discussed in detail under the GSF section 2.2.

2.3.1   Knowledge and Learning

Up until this MTSP, WSSCC's articulation of its role and niche within knowledge management was as an "*intermediary of sector knowledge*"[13] whose knowledge goals focused on facilitating learning for improved practice. Building on its core strengths in networking and advocacy, WSSCC achieved its knowledge goals through activities including: organising learning events, hosting sector-wide events and producing practical knowledge documents that are useful to sector practitioners and have a reputation[14] as a valuable online resource on water and sanitation issues. WSSCC's External Review 2005-10 indicated that while WSSCC has not traditionally been a "*primary knowledge producer*", the launch of GSF presented WSSCC with an opportunity to expand its knowledge management remit to include primary research and learning from GSF programmes.

The current MTSP continues to recognise networking and advocacy as WSSCC's core strengths and central to its knowledge goals. Knowledge and learning goals for this period continue to focus on "*improving the knowledge and skills of individuals and agencies working in sanitation and hygiene*". However, as a departure from the 2008 Knowledge Management strategy, the MTSP notes that these goals will be heavily "*membership oriented*" and will be achieved most notably through a Community of Practice to be established by WSSCC to promote knowledge exchange among sector professionals.

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[13] WSSCC's Knowledge Management strategy 2008-12 and WSSCC External Review 2005-10
[14] Online Sharing of Water and Sanitation Knowledge, 2012, Stockholm International Water Institute

At a glance: Achievements
- Community of Practice (CoP) established in 2012, with 5,600 members
- Three research partnerships that produced outputs recognized as contributing to sector literature, evidence base and advocacy especially on gender and non-discrimination
- Capacity building programmes which have trained in-country partners of GSF across its 13 country programmes on locally adapted CLTS and 325 practitioners in 4 countries on MHM

At a glance: Challenges
- Limited activity in the CoP and lack of engagement by stewards, WSSCC staff and members
- Insufficient integration and prioritization of GSF learning themes within WSSCC research programme run by NKM
- Lack of monitoring of results from capacity building activities beyond tracking of participant numbers

Another point of departure evident in WSSCC's annual work plans is a focus on knowledge and learning from internal programming, with aims to improve programme design and to enhance sector knowledge. Annual reports implied a greater alignment between SLTF and GSF so that WSSCC's strengths in knowledge management and advocacy effectively support GSF programming. This also implied a more holistic programme that brings together the different departments of WSSCC.

The MTSP identifies four membership-oriented, sector-wide knowledge/learning/advocacy themes for this period, namely: (1) Behaviour change at scale, (2) Equity, (3) Sanitation as a business, and (4) Effective monitoring. The thematic links to GSF programming are evident. WSSCC's NKM department was tasked with the responsibility of developing and implementing the knowledge and learning strategy for WSSCC as outlined in the MTSP.

WSSCC's annual reports imply that knowledge and learning activities were undertaken as:

1) Knowledge sharing among *sector professionals* through a Community of Practice (activities to include online discussions, thematic discussions, webinars, etc.)
2) Research (activities to include (i) outputs from grants issued for academic research (ii) scoping studies/practical research undertaken internally (iii) other evidence-based research/evaluations from internal programming)
3) Capacity building targeting *key sector stakeholders including national governments/CSOs/community workers and NGOs* (activities to include Training of Trainers, other workshops/events)
4) Knowledge sharing for *NCs/GSF delivery partners* (activities to include learning workshops)

Discussion of knowledge sharing involving NCs and GSF delivery partners is covered under sections 2.4 and 2.2.3 respectively. The progress during the MTSP on each of the remaining categories is discussed below.

2.3.1.1 Community of Practice (CoP)
The CoP is the flagship external learning and knowledge sharing product of WSSCC to engage with the sector on topical issues in sanitation and hygiene. WSSCC's neutral status within the UN system and its coordination mandate paved the way for CoP to be established within WSSCC. The initiative was intended to be membership-oriented and sector-owned, allowing practitioners to come together in a neutral space to share and learn from each other without any organisational affiliations. Key target

participants are sector experts, government bureaucrats/administrative officers for professional discussions, information and knowledge sharing.

With participation on an individual basis, the CoP started in 2011, designed by WSSCC in a consultative process engaging the sector at large, based on core principles of South-South learning and sector stewardship. CoP was designed to be guided by 6-8 stewards from different parts of the world and was to attract balanced expertise across government, the private and non-profit sector. WSSCC also encourages its own Members to participate actively in the CoP. Electronic discussions were proposed around a wide range of themes[15] including behaviour change, mobile phone technology, urban sanitation and CLTS, sustainability and menstrual hygiene management. While this selection is evidently not guided by the priority knowledge themes identified in the MTSP, it does reflect intent to promote knowledge sharing on sector themes of topical interest. The themes were selected by an interactive design that coalesced the demands of 540 practitioners who came together in 2011 at the Global Forum in Mumbai.

Based on annual reports and programme documents, activities undertaken under the CoP initiative are modest to date. Evidence on activities includes:

1) in 2012, a separate Community of Practice session was dedicated to students during the World Water's Forum held in Marseille,
2) in 2013, GSF Cambodia programme partners participated in a sanitation marketing training through WSSCC's link to CoP on this theme
3) Two major events in 2015 - a CoP meeting during the AfricaSAN Conference in Dakar, Senegal in May 2015 attended by three stewards and CoP members. Secondly, a web hosted initiative where both CoP and the global Sustainable Sanitation Alliance (SuSanA)[16] came together to host a three-week long thematic discussion in late September 2015. Each week had a separate program and was led by specialists who framed the content for debate and posed structured questions for discussion amongst participants on the topics of Programming for scale, Sustainability for behaviour change, ODF status and slippage.

A GSF CoP was initiated as a sub-group within the CoP, but had difficulty gaining traction as there was limited activity on the sub-group and was later disabled with the removal of the sub-group feature within the LinkedIn platform hosting the CoP.

An analysis of the minutes of Stewards Group meetings suggests that the CoP meetings were irregular. Over the past three years there have been empty stewards' seats. The knowledge and learning framework in 2015 highlights the limited to no participation of WSSCC staff in CoP discussions. This lack of continuous engagement by the Stewards Group and WSSCC staff suggests that adequate time was

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[15] CoP SG meeting minutes, CoP Flyer (June 2012), CoP update note from AfricaSan (2015)
[16] SuSanA is an informal network of partner organisations who share a common vision on sustainable sanitation. SuSanA came into existence in early 2007 and works as a coordination platform, working platform, sounding board, contributor to the policy dialogue on sustainable sanitation and as a "catalyst"

not invested into this initiative by its key stakeholders. This raises questions regarding the extent to which the Community of Practice was elevated by WSSCC as a sector-owned knowledge platform since its launch in 2012 and to what extent it can demonstrate progress against stated MTSP knowledge outcomes. The Programme Manager, NKM attributes the low engagement to the fact that the initiative was intended as a sector resource that "is not driven by WSSCC for years on end".

WSSCC recruited a Learning Systems Officer in May 2014 for carrying forward internal learning initiatives; activities on the CoP portal and the SuSanA partnership appear to have resulted from this. Despite revived interest, the committed time and resources[17] appear inconsistent with the ambitions for CoP to be a sector platform. Amongst staff, it is also seen as inadequate to meet the knowledge outcomes intended in the MTSP. The Programme Manager, NKM notes that rotation of stewards is likely to bring in new ideas and energy. The MTR team has not been able to speak to the stewards for their perspectives.

2.3.1.2 Research studies: Outputs

In the period prior to this MTSP, WSSCC had identified its role as providing "practical documents which are 'useful' to practitioners and 'neutral'"[18]. During this MTSP, there appears to have been a shift in strategy to forge research partnerships to generate knowledge and evidence broadly and also for the explicit purpose of using them in advocacy for policy change. This strategy finds no mention in the MTSP but emerges in the work plans. The annual reports suggest that the rationale was partly to support the research and knowledge needs emerging from GSF programming. NKM management explained that the main motivations of this shift in research strategy is not only to generate rigorous, actionable evidence on key challenges in the sanitation sector but to actively employ the evidence to influence changes in public policy and practice. Particular emphasis was laid on sector challenges such as behavior change that is difficult to ingrain and measure (hand washing) and equity questions of who is left behind and why in terms of access to sanitation and hygiene.

Three major research initiatives undertaken under this approach involved collaborations with SHARE research consortium in 2013, Centre for Policy Research (CPR-India) in year x and London School of Hygiene and Tropical Medicine (LSHTM) in 2013. These research activities are discussed below.

With handwashing practices remaining poor and difficult to ingrain in most developing countries despite potential benefits, research on the effectiveness and impacts of large-scale handwashing behavior change promotion in such country contexts gained focus in the last decade. Evidence from research is mixed – one evaluation of a community and school handwashing promotion intervention in Peru[19] in 2010 indicated that the intervention did not translate to significant health and environmental impacts but showed positive effects on handwashing knowledge and related behavior change. Another

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[17] One Learning Systems Officer whose PRA commits 20% of time allocation to the CoP in 2014 and 12% in 2015
[18] WSSCC External Review Final Report, 2005-10
[19] Galiani, Sebastian, Paul Gertler, and Alexandra Orsola-Vidal, 2012. *Promoting Handwashing Behavior: The Effect of Mass Media and Community Level Interventions*. Water and Sanitation Program

evaluation of a large-scale handwashing campaign in Vietnam in 2010 found that the promotion did increase knowledge about handwashing but its effects on handwashing behavior change were modest.[20]

WSSCC's action-research collaboration with LSHTM is situated in this broader context of furthering sector knowledge on the topic and emerged as part of its engagement with the Global Public-Private Partnership for Handwashing[21]. WSSCC's interest in the topic is also arguably because improving hygiene practices is a key outcome area of its GSF programming and one of the priorities identified in the GSF Learning Guidelines. With WSSCC as the funding and implementation partner and LSHTM as the technical partner, the collaboration aimed to design, implement and evaluate an intervention that promotes household-level community-wide behavior change in handwashing practices. The formative research and design phase began in December 2013 under the GSF Nigeria programme and implementation was planned over a 3-year period ending December 2015. However, the programme faced implementation delays on account of a time and resource intensive design phase and national elections in Nigeria. The intervention was implemented in early 2016 and outcome evaluation is scheduled for August 2016, with final results expected by end 2016.

Results from this study is expected to add to existing evidence base on the effectiveness of handwashing behavior change interventions. However, at this stage, it is unclear what its tangible benefit will be to GSF programming in future: will lessons learned be mainstreamed into CLTS handwashing interventions that are already being implemented within GSF programmes? Based on reported results, GSF country programmes have well exceeded MTSP targets for handwashing (see Table 3) although falling short of the more ambitious programme targets. This reflects positively on the effectiveness of handwashing interventions currently implemented in GSF country programmes. The utility of the results of the action research will therefore depend on significant added value to GSF programmes, demonstrated through its results and its applicability to other country contexts. Discussions on how the study results can help influence policy or programming is premature but WSSCC staff note that emerging learnings from the study have been discussed in peer exchanges among GSF country partners.

During 2013, WSSCC entered into a research partnership with the SHARE research consortium to investigate the specific impact of inadequate access to WASH facilities on women and girls in India and Bangladesh. The initiative aimed not only to raise important questions around the lack of safe and acceptable sanitation and hygiene choices for women and girls but also to influence public policies in favor of realising the right to sanitation for women and girls. The partnership resulted in four notable research projects which covered a broad range of gender and WASH issues (see Box 4). Briefing notes from these studies were shared with high level government stakeholders in India[22] and in academic

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[20] Chase, Claire and Do, Quy-Toan, 2012, *Handwashing Behavior Change at Scale: Evidence from a Randomised Evaluation in Vietnam*, The World Bank

[21] The PPPHW is a coalition of national and international organizations committed to promoting handwashing with soap on a large scale and recognize hygiene as a pillar of international development and public health

[22] In a meeting attended by senior officials from Government of India in October 2014, WSSCC circulated a draft policy note with actionable recommendations on WASH and Health based on the study results. In November 2014,

conferences[23] as part of WSSCC's advocacy efforts. In addition, the researches have also been cited by other papers on menstrual hygiene management (MHM)[24]. Research outputs from this partnership have also attracted funding from DfID for open source publication.

WSSCC's partnership with CPR-India involved research on the right to sanitation across three states of India (Kerala, Rajasthan and Uttar Pradesh) to assess the gaps in the existing legal and policy frameworks and identify the implementation challenges at the state and local level. This has resulted in research outputs during 2015-16. Findings from the research will also be used in policy advocacy in India to address relevant gaps and for operationalising the right to sanitation.

The research outputs generated from the completed studies have indeed expanded WASH sector literature and evidence base. According to the Programme Manager, NKM, policymakers were engaged from the start of the studies to ensure greater acceptance of research results and to ensure research outputs were shared through appropriate processes and channels. Research products were translated into local languages and advocacy workshops with policymakers were also held in local languages.

WSSCC's research activities during this MTSP indicate a strong focus on gender and equality themes and insufficient focus on GSF programme priorities as was intended in the MTSP. WSSCC did not embark on a comprehensive research and learning plan for the priorities outlined in the GSF Learning Guidelines. Lack of integration across programme departments on WSSCC's research agenda was acknowledged as a gap by WSSCC staff and management. In acknowledging that "applied research, and action research has been confined to policy advocacy, with the

> **Box 4: Research Outputs**
>
> Research topics from WSSCC-SHARE partnership:
>
> 1) *Coping strategies to deal with inadequate WASH facilities and related health risks*
> 2) *Sanitation vulnerabilities: Women's stresses and struggles for violence-free sanitation*
> 3) *Social and psychological impact of limited access to sanitation: The link between MHM and reproductive tract infections, and between WASH practices and pregnancy*
> 4) *WASH & Clean: A situation analysis on maternity wards in India and Bangladesh*
>
> Research outputs from WSSCC-CPR partnership:

intent purpose of promoting policy guidelines on MHM and disability", WSSCC's Executive Director noted the reasons for the same as: (1) limited resources, (2) lack of necessary research expertise, (3) prioritisation of equality and non-discrimination, (4) absence of monitoring systems in GSF to generate data that is crucial for research, (5) delays associated with management changes of GSF.

One informant indicated that the research results were 'impressive' as they produced evidence within a short period of time and filled evidence gaps. But it was also pointed out that WSSCC lacks the

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WSSCC India misson was launched where the SHARE research was presented, along with RTS study by Center for Policy Research
[23] UNC Water and Sanitation Conference, 2014
[24] Using Google scholar web platform, it was found that approximately 10 papers have cited the SHARE-WSSCC research.

"necessary research expertise" to understand the implications of research and its use and "engaging external advisors for this purpose can influence the trajectory of their own research agenda".

2.3.1.3 Capacity building for sector stakeholders

During this MTSP, WSSCC channeled considerable efforts and resources towards building capacities of sector stakeholders. The capacity building effort focused on promoting collective behavior change for sanitation and hygiene, principally CLTS approaches, mainly undertaken by GSF programme for its country partners, (see discussion under section 2.2.3) and MHM, undertaken by the NKM department. Capacity building along both these themes are also a key activity of the NC constituency, which is further discussed under section 2.4.2.

Beginning in 2012 from the behaviour change campaign of Nirmal Bharat "Great WASH" Yatra, MHM has been at the center of WSSCC's portfolio on equality and non-discrimination. WSSCC believes MHM to be an entry-point to wider development outcomes. Through its MHM portfolio, WSSCC seeks to operationalise the right to sanitation for women and girls and accelerate policies and practice in favour of equity. With the objective of engaging stakeholders in discussion and practical action around breaking the silence, managing menstruation hygienically and promoting safe reuse and disposal solutions, the MHM portfolio supports research activities and advocacy for policy change and budgetary commitments favoring MHM. In addition, a key component of WSSCC's MHM portfolio is capacity building of sector stakeholders (including civil servants, CSOs, NGOs, researchers and consultants) to integrate MHM aspects into policies and regulations governing sanitation infrastructure and to mobilise communities for collective behavior change.

Twelve MHM Training of Trainers (ToT) have taken place during 2012-15, across the regions of India (8), Senegal (2), Niger (1) and Cameroon (1), involving approximately 325 participants[25],[26]. Trainings have been facilitated by WSSCC staff and those undertaken in India were in partnership with the Government of India. Majority of trainings were undertaken in India during the Nirmal Bharat "Great WASH" Yatra held in 2012. Trainings in Niger, Cameroon and Senegal were done under the UN Women joint programme, which is discussed in further detail in a case study.

Similar to capacity building efforts under the GSF programme, the MHM programme does not effectively track capacity of relevant actors or desired outcomes and changes. Even in the UN Women joint programme which undertook the majority of the capacity building efforts on MHM during this MTSP, monitoring is limited to activity-level data (such as number of people trained) and not outcome-level data which are representative of the *strengthening* of relevant capacities. This limits any assessment of the effectiveness of these programmes in bringing about desired results.

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[25] Participant numbers for 2012 trainings in India are unknown

[26] Trainings for Master trainers are targeted at professionals including government officers with a training mandate, health service providers, health extension and community workers, teachers, policymakers, development partners, civil society, academics. In addition, WSSCC affiliated members, such as WSSCC National Coordinators and other GSF sub-grantees, practitioners that are working in health, education, and WASH with National and International NGOs, educational institutions or government.

WSSCC's other technical and advocacy contributions to MHM are discussed in section 2.3.2.

Table 4 WSSCC's Progress against MTSP Outcome 4 pertaining to Knowledge and Learning

MTSP Outcome 4: KNOWLEDGE AND SKILLS. *Individuals and agencies working in sanitation and hygiene*	
MTSP Results	Key findings
Output 4(a): WSSCC's members contribute to, and benefit from, a growing body of skills and knowledge about sanitation and hygiene	• Limited evidence of systematic engagement of members in knowledge and learning activities. NCs and CSOs are certain member categories who have been engaged in knowledge activities periodically • Majority of the knowledge outputs were targeted in supporting the advocacy efforts of WSSCC at global, regional and country level
Output 4(b): A Community of Practice on sanitation and hygiene, integrated with WSSCC's membership, and drawing on knowledge and experience generated by members and the GSF, contributes to learning on priority questions and disseminates innovative and successful ideas.	• Community of Practice platform is the flagship knowledge platform for wider sector engagement being developed and led by WSSCC • Launched in 2012, Over the past four years, the platform has grown to approximately 5600 members • Limited activity among Stewards group. There are two seats of Stewards group empty currently. • Limited activity in forum overall. In 2015 a three week webinar with another 5000 strong forum SuSanA to lead thematic discussions by lead specialists to encourage learning.
Output 4(c): Entrepreneurs and small businesses gain the skills and knowledge needed to avail themselves of sanitation technologies and products and become involved in sanitation as a business.	• No evidence under GSF or SLTF

2.3.2 Advocacy and Influence

The start of the MTSP saw changes and new trends in the WASH sector. After the International Year of Sanitation in 2008, more organisations became involved in advocacy focusing mainly on awareness campaigns. The IRC report "Scanning the 2020 Horizon" published in 2011, however, pointed out that while good progress was being reported on the MDG for greater access to safe drinking water, access to basic sanitation continued to fall behind. Discrepancies were becoming sharper in access to safe drinking water and basic sanitation between regions and within countries, between urban and rural areas. Further, there were few comprehensive overviews available of financing flows to the WASH sector and of the required costs to meet the MDGs. It was thus imperative that harmonisation and aid effectiveness rise higher on the agenda and efforts were undertaken to operationalise these in the WASH sector. In line with the accountability framework laid out in the Paris Declaration and Accra Agenda for Action, emphasis was laid on monitoring progress on commitments made by governments and holding them accountable to these commitments. It is in this context that the Global Framework for Action on Sanitation and Water Supply (GF4A) was formalised under a new name, "Sanitation and Water for All" in 2010. This was initiated by the former Executive Director of WSSCC, Jon Lane.

With the Millennium Development Goals targets on water, sanitation and hygiene unmet at the end of the MDG period, the WASH sector's global advocacy needed to revolve around the inclusion of WASH goals into the emerging Sustainable Development Goals (SDGs), and promoting the ending of open

defecation as an important priority. WSSCC and other sector stakeholders recognised a need to bring the *right to water and sanitation* into the debate along with equity and non-discrimination considerations. The SDG deliberations recognised a key lesson from the MDGs that gender and other inequalities have been an important obstacle to the achievement of global development goals. As a consequence, equity broadly and gender equality and women's empowerment more specifically were emphasised as central to the new global framework for development.

WSSCC's advocacy response to sector needs during the MTSP is guided by a strategy formulated during the previous MTSP. WSSCC staff indicated that even though these strategies (advocacy strategy from 2009 and communications strategy from 2010) predated the MTSP, they felt these were broad enough to anticipate the requirements in the MTSP. There was, as a result, no push for and no new advocacy and communication strategies to complement the MTSP. The advocacy strategy lays out the following aims:

- Supporting and scaling up the efforts in reaching the MDG target for sanitation, which is off- track, and is lagging behind the MDG target for water. WSSCC is also supporting the endeavors to keep the MDG target for water on track.
- To increase awareness on sanitation, hygiene and water supply.
- Improving the condition (context) for generating political priority for sanitation.

During the MTSP period, the aims relating to awareness and reaching the MDG target were superseded by the "political prioritisation for sanitation" aim as it coincided with the period of SDGs formulation and negotiation. During this period WSSCC advocacy work focused more closely on the inclusion of sanitation and hygiene goals into the SDGs, as well as targets and indicators to encompass the various elements of human rights to water and sanitation. WSSCC's advocacy plans expanded in the areas of equality and non-discrimination, and inclusion of gender and marginalised groups in development discourse and action.

This section reviews WSSCC's key advocacy and communications activities carried out in response to this context. WSSCC's A&C department carries the primary mandate and functions corresponding to advocacy and communications. However, advocacy and policy influencing is the driving force for all of SLTF activities including knowledge and learning. A considerable proportion of activities undertaken by the NKM department during this MTSP are towards advocacy aims. The following outline of WSSCC's advocacy response to sector needs during the MTSP

At a glance: Achievements
- Early involvement in SDG expert and political processes and contribution to successful inclusion of WASH goals and sanitation targets in the SDGs
- Recognised as 'go to' agency on MHM, gender, equity concerns in sanitation and hygiene
- Secured financial commitments to sanitation from Dutch, Swedish and Norwegian governments
- Recognised strength and expertise in communications led to communication leadership roles in global, multi-agency coalitions
- Initial engagement activities with the private sector – corporate and SMEs

At a glance: Challenges
- Absence of revised and updated advocacy and communications strategy to complement the MTSP
- Securing further financial commitments to sanitation and hygiene and the GSF from a wider range of donor governments
- Limited, non-systematic engagement with the private

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captures the activities and contributions made by both WSSCC departments – A&C and NKM.

2.3.2.1 Global Advocacy
1) UN Deputy Secretary-General's Call to Action on Sanitation/End Open Defecation Campaign

WSSCC Executive Director reached out to the Executive Office of the Secretary General (EOSG) in November 2013. Over the next twelve months the Council joined a small group of UN officials and nongovernmental organisations convened by EOSG to bring attention to the unmet MDG target on sanitation. In March 2013, the Deputy Secretary General launched his "Call to Action on Sanitation". WSSCC, acting on the request of the DSG, took the lead with EOSG to launch the "Campaign to End Open Defecation." Leadership included convening the UN Department of Public Information, UNICEF, UN Millennium Campaign, WaterAid, UN-Water, and the World Bank to jointly design the campaign, with the help of a creative agency.

> Box 5: Indicative list of related global activities:
>
> *1) Partnership with the World Toilet Organisation for the World Toilet Day in 2012 to generate awareness around WASH issues*
>
> *2) Partnership with WaterAid and Unilever in 2013 to bring out a report on the sector titled, "We Can't Wait"*
>
> *3) Participation in global WASH events, including 2012 World Water Forum, 2012-2014 World Water Weeks in Stockholm*

2) Post-2015 Debate and the SDGs

During 2013-2014, the Executive Director undertook lobbying activities on developing the post-2015 development agenda, including consultations with key UN officials such as Deputy Secretary General, special advisor to the UN Secretary General, permanent representatives and donor agencies. WSSCC also participated in global conferences relating to the post-2015 debate, including Financing for Development Conference held in Addis Ababa, Ethiopia in 2015, where WSSCC participated in a side event[27] convened by the Dutch Minister for Foreign Trade and Development Cooperation.

WSSCC's NKM Manager and Executive Director participated in stakeholder consultations on Post-2015 Monitoring of Drinking-water, Sanitation and Hygiene in 2011 and 2012. The first established the principles, criteria and processes and put in place four working groups: drinking-water, sanitation, hygiene and equity & non-discrimination for technical discussions. The second consultation reviewed and discussed a consolidated proposal for the post-2015 targets and indicators to be submitted to UN Member States in their deliberation of the post-2015 Development Agenda. WSSCC's participation in these post-2015 working groups was at two levels:

> SDG targets on water and sanitation:
>
> Target for SDG 6 on water & sanitation – *"By 2030, achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable situations"*
>
> According to WHO/UNICEF JMP, it is *"proposed to report on the progressive elimination of inequalities in access to different levels of drinking water, sanitation and hygiene services. Service level indicators correspond with human rights criteria of quality, availability, accessibility, acceptability and affordability and build directly on existing MDG indicators. Some of these indicators can be monitored immediately post-2015, while others will be developed over the short, medium, or long term".*

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[27] At the panel discussion, WSSCC discussed sanitation and hygiene delivery related to finance options through their experience in implementing GSF

- WSSCC led the communications working group (A&C Programme Manager) for Joint Monitoring Programme for Water Supply and Sanitation. This group was responsible for communicating and disseminating the process and outcomes of the consultations led by the Joint Monitoring Programme (JMP) on the post-2015 targets and indicators. WSSCC's contributions in terms of handling the communications and leading the monthly teleconferences were found to be extremely helpful by other stakeholders

- WSSCC NKM Programme Manager was a core member of the Equity and Non-discrimination group – 2011-2014 The group was responsible for equity targets and indicators for global monitoring after 2015 based on extensive consultation and analysis of progress during the MDG period. The group also negotiated with the other technical groups to ensure equity dimensions across the sanitation, hygiene and water working group proposals. WSSCC's technical inputs in particular on evidence from the ground on discrimination against women and girls on access to water and sanitation, and on areas of menstrual hygiene are well noted by external stakeholders.

3) *Equity and Non-discrimination*

WSSCC's work in sanitation and hygiene prioritise equity, *"to ensure that poor and marginalised communities have access to services and that governments adopt gender sensitive policies integrating the right to sanitation."*[28] Equity principles are embedded in WSSCC's programme implementation through the GSF as well as in WSSCC's networking, knowledge management and advocacy work. Building understanding and practical capacity in equity and inclusion, particularly around MHM and the right to sanitation and hygiene for women and girls and other marginalised groups, is a core part of WSSCC's work during this MTSP. The momentum generated by the SDGs has pushed those in and outside the sector to work collaboratively to impact the lives of women and girls positively, particularly through advocacy and policy change. WSSCC made notable contributions to these processes and sought out strategic opportunities and partnerships to promote discourses on MHM.

To advance further its advocacy for equity broadly and MHM in particular, WSSCC's key advocacy engagements with sector partners include participation in global platforms such as JMP working group deliberations and regional engagement at the SANs. Recognising the shifting landscape for WASH advocacy in the post-2015 context with its emphasis on cross-sectoral collaborations, WSSCC also explored strategic collaborations with actors outside the WASH sector, including other UN agencies and private actors. These include formal partnerships with clearly defined goals and modalities (e.g. partnerships with UN Women, SCA) and informal collaborations such those with WHO, ILO and OHCHR for collective advocacy on WASH gender and equity issues.

WSSCC's technical expertise, advocacy contributions and overall value addition in MHM is well noted and recognized by sector stakeholders. The Programme Manager, NKM became a 'go to' expert and was frequently invited to share technical inputs on sectoral and cross-sectoral discourse relating to gender and equity in WASH. Interviews with key informants indicate that WSSCC's advocacy became

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[28] Joint Programme on" Gender, Hygiene and Sanitation" Newsletter 1.

synonymous with menstrual hygiene and addressing the sanitation and hygiene needs of women and girls.

Key global activities on gender, equity and inclusion are listed below. WSSCC's regional activities and contributions on these themes are discussed in Part II of the MTR report. Engagement at the national level is primarily through the UN Women Joint Programme partnership (in Senegal, Niger and Cameroon) (discussion in Part II of the MTR report) and in India. All of these activities on MHM were led by NKM, with many involving notable input from the A&C department, including production of documents.

- WSSCC co-organised events with the UN Office of the High Commissioner for Human Rights (OHCHR), on occasion of International Women's Day in 2013 and in 2014. The day-long workshops under the title "Inspiring Change to Promote Women's Rights and Dignity" featured three case studies from WSSCC partnerships in Nepal, Senegal and India which highlighted some of the realities of women's lives and celebrated the real and positive changes they have achieved. The discussion centered around sex workers, lesbian rights and female genital mutilation. For the first time, menstrual hygiene was discussed in the UN Palais des Nations in Geneva. Eight non-WASH sector actors attended the workshop.
- WSSCC convened "Celebrating Womanhood," a high-level meeting on International Women's Day in March 2013 to share current directions in global research, policy and practice on MHM. The event took place at the United Nations Palais in Geneva and gathered a diverse set of stakeholders as well as media coverage in Agence-France Press, Euronews, Reuters and other outlets[29]. WSSCC also published and distributed the document 'Menstrual hygiene Celebrating Womanhood: How better menstrual hygiene management is the path to better health, dignity and business'.
- The publication was also promoted at the "Women Deliver" Conference held in Kuala Lumpur, Malaysia. At the conference, WSSCC held a menstrual hygiene management lab and a side event on MHM featuring panelists from OHCHR, WHO, Save the Children, WaterAid and HER project, BSR. This is the very first time MHM was featured in a WD conference—which until then focused on healthy mothers and babies to a large extent rather than women's rights in all their dimensions.
- In June 2013, WSSCC NKM PM presented at the 20th biennial meeting of the Society for Menstrual Cycle Research in New York, and noted advocate Gloria Steinem publicly acknowledged and appreciated WSSCC's symbol of women's pride and dignity – the 28-bead yellow and red menstrual bracelet. NKM PM also presented by video at the 21st conference in 2015 in Boston and is a contributing member of this advocacy group.[30]
- WSSCC NKM PM was also invited to speak with Parliamentary Select Committee in UK on WASH performance towards the MDGs and argued that an equity-centred approach in sanitation would trigger multiple health and productivity outcomes for all and participated in a technical consultation convened by USAID and Georgetown University[31]

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[29] DFID review of WSSCC in 2013
[30] End of year narrative 2013
[31] DFID Review of WSSCC in 2013

- In 2013 in SACOSAN V (Kathmandu, Nepal) WSSCC sponsored training for NGOs and raised awareness on menstrual hygiene management through a pre-conference training conducted together with noted Nepali NGO Lumanti.
- WSSCC brought the issue of MHM to the Commission on the Status of Women (CSW) which reviews member state accountability against CEDAW. Findings of the UN Women Joint Programme's research on menstrual hygiene management in Cameroon and Senegal was presented at a side event during the 59th CSW, held at the United Nations Headquarters in New York in March 2015, and again at CSW 2016.

4) The Global Poverty Project

WSSCC's engagement with GPP began in 2013 with the launch of the DSG Call to Action on Sanitation. The GPP holds Global Citizen Festivals periodically to bring together the leadership of the international development community, Heads of State, captains of ITC industry, entertainers and musicians. At GCF in New York in Sept 2014, WSSCC worked with governments of Madagascar and Nepal for the Prime Ministers to pledge public funding for sanitation. Subsequently, the ED held meetings with the Ministers and Prime Ministers of Netherlands, Sweden, and Norway at GCF events to encourage them to invest in sanitation. In April 2015, WSSCC, GPP and the Government of Netherlands worked together on a Dutch commitment to improving sanitation. This was followed by commitments in September 2015 from the governments of Sweden and Norway.

5) Private Sector Engagements

The MTSP and Annual Reports indicate intent to mobilise private players and entrepreneurs to become involved in sanitation and hygiene. There are no reliable estimates of private sector commitments to sanitation and hygiene against which WSSCC's engagement with the private sector could be assessed. At the WSSCC March 2015 Steering Committee meeting in Madagascar, 50 small businesses displayed low-cost local material improvements to sanitation and hygiene that serve villages rendered ODF through the national programme supported by GSF. In Madagascar and Cambodia, private sector representatives serve on the PCM. In 2014, WSSCC contracted Accenture AG to map the private sector landscape and identify potential partners to advance the MHM agenda. This led to the conception of a MHM knowledge hub, which is in its initial stages at the time of the evaluation. WSSCC and ADP are working together on a strategy to develop and manage this hub with interested partners.

At the end of 2014, WSSCC forged a partnership with SCA[32] aimed at jointly advocating for, raising awareness and "breaking the silence" around MHM through media and communications activities. The partnership will help extend WSSCC's MHM advocacy to North America and Europe. The initial partnership activity was anchored around the "Volvo Ocean Race" in 2014-15, where WSSCC leveraged SCA's communications platform and media reach to advocate for the importance of MHM. Informant interviews indicate that the partnership is perceived to be equal, where SCA has provided WSSCC with

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[32] A leading global hygiene and forest products company that produces sustainable personal care, tissue and timber products

its well-developed communication platforms to spread global awareness about gender issues in sanitation and hygiene. SCA notes that WSSCC provided technical and sector expertise, sharing valuable insights into the cultural practices, taboos and behaviors in menstrual hygiene within the markets that SCA is keen to expand in. The future direction of the partnership is not yet clear at the time of the evaluation. This partnership was co-led by NKM and A&C.

The Toilet Board Coalition was launched in 2015 to ensure close collaboration between private, public and non-profit players to bring together technologies, expertise, financial resources and networks to develop market-based sanitation initiatives that can be implemented at scale. WSSCC is understood to be playing a formative role in this coalition alongside other sector partners such as LSHTM, WSP, WaterAid, WSUP, ADB, World Toilet Organisation, Water and Sanitation for Africa, UNICEF, Agence Française De Développement, DFID, and other organisations. WSSCC is represented by a GSF's Programme Director and is part of the partnership council, an expert advisory group for the coalition. The evaluation has not been able to assess WSSCC's role and contribution to this partnership.

Beyond these examples, there is limited evidence of a systematic or significant engagement by WSSCC with the private sector during this MTSP.

6) *Sanitation and Water for All*

A key part of global advocacy for the WSSCC has been its involvement in the Sanitation and Water for All

SWA case study findings

WSSCC has been involved with the SWA since the days of its creation in 2009 when it was called the Global Framework for Action on Sanitation and Water Supply (GF4A). It was architected by the former Executive Director of WSSCC, Mr. Jon Lane. Stakeholders recall that the Council played a very pivotal role in getting the SWA to its current status, from its inception and through its role in more recent years, including with the WSSCC Executive Director volunteering to fill the role of the Chair on the Steering Committee in December, 2014 in the absence of the outgoing Vice-Chair and welcomed the incoming Vice-Chair, Catarina de Albuquerque. WSSCC had been a member of the SWA Steering Committee until December 2015, actively contributing to the strategic direction of the partnership. More recently, the Council has transitioned away from the Steering Committee, keeping its involvement limited to supporting the communications functions, using its instruments at the country-level to support SWA in-country processes, and keeping a finger on the pulse of SWA at the global level.

This case study finds that this seems to be a time of re-focusing priorities at WSSCC which may have contributed to a shift in perceptions of the usefulness of involvement in SWA. Most interviewees – both internal and external – indicate there appears to be a growing divergence in approach and priorities, which can be expected as organizations evolve and change. However, the impact for WSSCC of this divergence and gradual disengagement from SWA is still to be seen – external interviewees tended to see this development as a loss for SWA and a symptom of WSSCC withdrawal from some collaborations in the wider sector and recent focus on the Global Sanitation Fund. Perceptions in the sector seem to be that WSSCC has a positive contribution to make to this and other coalitions and alliances – leveraging its in-country networks, communications and advocacy expertise, historical contributions to raising the visibility of the WASH agenda, access to governments and its UN status.

alliance. As a founding member of SWA, WSSCC served on the SWA steering committee until 2014. It also hosts the communications functions for the SWA (but does not direct its work). The arrangement involved the A&C and Directorate departments. WSSCC's involvement in the SWA around the High-Level Meetings during the SDG process entailed the following activities:

- Support to national delegations with the attendance of representatives of Ministries of Health.
- Support in shaping national commitments to sanitation and linking to GSF as a viable approach
- Media outreach, particularly in countries where WSSCC works, and globally, with other SWA partners, around the High Level Meetings and at the Partnership meetings
- Encouragement of meaningful civil society engagement

Based on MTR stakeholder consultations, reviews of WSSCC's involvement with SWA are mixed. Many interviews highlighted that it was WSSCC's reputation as an organisation with extensive expertise in advocacy in the WASH sector that led to its nomination as the host of the communications function of the SWA coalition back in September 2010. While WSSCC's early contributions to the formation and direction of SWA were very widely recognised and lauded, its more recent contribution to the coalition was viewed by some interviewees in a less positive light. In particular, there was a sense among several interviewees that while WSSCC could make an important contribution to SWA, such as by bolstering its communications and advocacy capacity and by leveraging its in-country networks, this has not been the case in the last few years. According to the WSSCC's Executive Director, WSSCC's current position is one of gradual disengagement from the coalition owing to a growing divergence in overall goals and objectives between the two organisations.

The partnership is discussed in detail in the SWA case study undertaken for the MTR (see MTR Report Part II for complete case study).

2.3.2.2 Regional Advocacy

1) Regional SANS platforms

Africa conference on Sanitation and Hygiene (AfricaSAN) and South Asia conference on sanitation and Hygiene (SacoSAN) are important regional platforms to explore and deliberate on cross-cutting issues in sanitation and hygiene sector. These conferences are attended by ministers, key policy makers, development professionals, and civil society members. WSSCC has played and continues to play an

> The Kathmandu and Dhaka declarations (SACOSAN V and SACOSAN VI conference) included the following salient features
>
> 1. *Commitments to Right to Sanitation and achieve ODF and hygienic South Asia*
>
> 2. *Ensuring accessible, affordable, appropriate, environmentally safe sanitation and hygiene services.*
>
> 3. *Time sensitivity of initiating sanitation plans and importance of M&E systems to monitor the progress*
>
> 4. *Focus on a larger framework of policies, legislations, and protocols to support the RTS*
>
> 5. *Broaden the scope under equity to include service provisions to infants, children, youth, adolescent girls, women and men, people with disabilities, elderly and chronically ill*
>
> 6. *Commitment to provide adequate finance, support of decision makers and participation of stakeholders such as children, adolescents, women and elderly etc.*
>
> AfricaSAN IV (Ngor Declaration) highlighted the gaps in sanitation especially inequalities in access and use.

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important, convening role in each edition of these conferences.

Historically, WSSCC is recognised for its sector contributions in the areas of networking, knowledge management and policy advocacy. WSSCC's contributions to the regional platforms have actively leveraged these key organisational strengths. WSSCC's work in these areas seek to generate rigorous, actionable evidence on key challenges in the sanitation sector and to actively employ the evidence to influence changes in public policy and practice. Particular emphasis is laid on sector challenges such as behaviour change and equity questions of who is left behind and why in terms of access to sanitation and hygiene.

During the MTSP period, three SANS conferences in WSSCC's priority regions have been held (1) AfricaSan IV in Dakar, Senegal (May 2015) (2) SACOSAN conferences in Nepal (Oct, 2013) and Dhaka (Jan, 2016). Each of the three SANs conferences came out with declarations which indicate the political commitment from governments for improving the status of sanitation and hygiene within their countries. WSSCC's overall contributions to these SANs conferences aim to further the regional agenda in sanitation and hygiene, with particular emphasis on behavior change and equity. To this end, WSSCC has leveraged experiences from GSF and gender programming and has convened its in-country programme partners for improved and collective advocacy through these platforms. Through their work in the SANs, WSSCC, along with other development partners, have played an important role in enabling member states to assume leadership of these regional sanitation platforms, with development partners in a supporting role.

WSSCC's specific contributions within these two regional platforms are discussed in detail in the

Regional SANs case study findings

The three declarations of Kathmandu (SacoSAN V, 2013), Dhaka (SacoSAN VI, 2016) and N'gor (AfricaSAN IV, 2015) were important milestones of each of the regional sanitation conferences as they capture the political will and signal policy developments favouring sanitation and hygiene at the country level. WSSCC's financial and technical support to these regional WASH platforms has been well acknowledged by stakeholders. Their advocacy efforts on equity broadly, and in particular sanitation and hygiene issues relating to gender, disabled and marginalised groups are well noted.

The regional discourse and declarations affirm that the commitment to equity in the SDGs is shared by national governments. This also suggests that amongst African and South Asian governments, there is an open door and listening ear to WSSCC's efforts alongside other sector actors to advance political will towards achieving progress in sanitation provision and equity in national sanitation policies. However, not all regional declarations are immediately followed by concrete policy changes and budget allocations within the countries. The regional declarations are non-binding goals and aspirations, which have yet to be realised at national levels through continuous efforts to make governments accountable. A marker of success of these advocacy efforts is follow-through by national governments on their SANs declarations and demonstration of progress at a national level.

Regional SANs case study undertaken for the MTR (see MTR Report Part II for complete case study)

2) *The West Africa WASH Journalists Network*

Led by the A&C department, WSSCC partnered with WaterAid for the period 2011-13 to build a journalist network to report and write on WASH issues in the West Africa region. The 2012 Annual General Meeting of the WASH JN comprised of 13 National WASH platforms and discussed challenges and further courses of action. Workshops were conducted by WSSCC for capacity building during the course of the partnership.

An End of Phase Evaluation of the West Africa WASH Journalist Network carried out by an independent consultant and supported by WSSCC and WaterAid in 2014 found the network to be a fairly successful initiative with the network having contributed to an increase in media visibility of WASH issues in the region. According to this evaluation, prior to WASH JN 55 WASH related stories were published per month by the 6 networks and at the beginning of 2014 that had moved to at least 494 (271%) with improved quality and focus. Media houses with dedicated sections for WASH prior to WASH JN stood at 32 and moved to 69 (22% increase) by 2014. While these changes cannot be directly attributed to the initiative, they indicate the positive impact of the network.

2.3.2.3 National Advocacy

GSF is intended to play an important role in national level advocacy aimed at mobilising political commitments towards sanitation and hygiene. GSF's efforts and contributions are discussed in section 3.2.3. National Coordinators are intended to lead most of WSSCC's advocacy efforts at the national level. Progress on their work during this MTSP and their contributions are discussed in section 2.4.2. This section details the notable advocacy efforts of WSSCC departments outside of GSF.

1) *UN Women –WSSCC Joint Programme on Gender, Hygiene and Sanitation*

Menstrual Hygiene Management has been an important component of WSSCC's work in sanitation and hygiene ever since WSSCC launched a Menstrual Hygiene Management Lab at the Nirmal Bharat Yatra in

UN Women case study findings

The WSSCC - UN Women Joint Programme on Gender, Hygiene and Sanitation is an innovative partnership between two UN entities with complementary expertise in gender, sanitation and hygiene. Building on the momentum generated by the Sustainable Development Goals and the AfricaSan for equitable outcomes in sanitation and hygiene and WSSCC's contributions to these processes, the partnership pursues collective advocacy strategies to achieve its primary goal of accelerating policies and practice in favour of equity and the human right to water and sanitation for women and girls of West and Central Africa.

Research studies produced by the programme have contributed to the evidence base on menstrual hygiene practices in the region and have been instrumental in raising awareness among policymakers on the gender barriers in accessing improved sanitation and hygiene. Technical expertise of WSSCC and dissemination of knowledge on MHM and WASH, emerges as the strongest

...ularly in Niger and Cameroon, suggest that the design was perhaps ...f operating context and partner capacity for implementation. Further, ...amming broadly suggest that tackling deep-rooted and systemic ...dimensions requires a considerable investment of time and resources. ...r programme period left at the time of the evaluation, the modest ...programme objectives suggests that the design may have ...ffort needed to realise the breadth and scale of programme ambition.

At a glance: Achievements
• Consistent promotion of MHM, equity and inclusion in regional SANs
• A 271% increase in media stories of WASH issues in West Africa and 22% increase in media houses with dedicated WASH sections in part through the efforts of the West Africa WASH Journalist Network
• Establishment of partnership with UN Women to research, build capacity and promote policy change for MHM and sanitation and hygiene for women and girls in three West African countries
• Global media partnerships established to raise profile of WSSCC as thought leader

At a glance: Challenges
• SANs declarations slow to translate into national policy changes and financial commitments
• Limited take up and effect of WASH Ambassador programme
• Changes in WSSCC engagement with CSOs
• Insufficient monitoring of communications and media outreach activities makes it difficult to assess whether objectives are being met

2012. The Lab reached out to over 12000 women and girls in five Indian states, gathering menstrual hygiene practices and challenges faced in accessing clean and safe sanitation facilities and products. Armed with an improved understanding of the stigma surrounding menstruation, WSSCC expanded its portfolio in MHM by supporting research in South Asia and Africa to better understand gender issues and gaps in policies and practice relating to menstrual hygiene and expanding its advocacy efforts on the topic. Through its engagement at global and regional platforms such as the SDG or Regional SANs processes, WSSCC's advocacy has focused on improving sanitation and hygiene for women and girls.

During this MTSP, WSSCC entered into an innovative joint programme partnership with UN Women to carry forward its policy advocacy on these issues at the national level. The programme began implementation in May 2014 in three pilot countries - Cameroon,

Niger and Senegal - and has a scheduled end date of activities in May 2017. Guided by WSSCC's three-pronged approach to MHM - research, capacity-building and policy change advocacy - the programme design seeks to address cross-cutting concerns of human rights, gender and access to sanitation and hygiene. The programme design, activities and progress towards results are discussed in greater detail under the WSSCC-UN Women JP case study report (see MTR Report Part II for complete case study).

2) WASH Ambassador

The WASH Ambassador programme is a key feature mentioned in the MTSP and annual work plans as a means for advocating policy change and securing political commitments for WASH. According to the MTSP, at least 10 Ambassadors would be recruited in 10 countries. However, the program was only established in two countries: Nigeria and India, with little success. In India, the level of influence the National Coordinator had with the federal government was higher than the WASH Ambassador's. In Nigeria, though there were a lot of relevant meetings and policy dialogues in the sector that the WASH Ambassador was involved in, this engagement has not resulted in policy improvements or commitments, which are key objectives of the program.

3) Civil Society Organisations (CSO) Engagement

The MTSP and work plans consistently refer to the importance of active civil society engagement in achieving MTSP outcomes. GSF-supported country programmes have contributed substantively towards this through their support to in-country implementation partners who range from informal community groups, local CSOs, CBOs, national NGOs and international NGOs. These in-country partners derive both financial and technical benefits from their partnership with GSF, foremost of which is increased capabilities to promote behavior change in sanitation and hygiene through community mobilisation strategies. Outside of GSF, WSSCC support to CSOs during this MTSP appear to be short-term and event or activity-led, including

- technical and financial support to FANSA during SACOSAN VI for research on marginalised groups and communities which could be included in the SACOSAN VI discourse,
- joint organisation of a workshop to build capacities of CSOs at the first East Africa Civil Society Forum, in Kampala in April 2013 along with the Uganda Water and Sanitation NGO Network (Host of the event), WaterAid-East Africa, End Water Poverty, Sanitation and Water for All and ANEW
- financial support to the African Civil Society Network on Water and Sanitation (ANEW) in 2011

Based on select CSO partnership agreements and proposals shared with the MTR team, it is difficult to ascertain scale and significance of WSSCC's CSO engagement and the extent to which strategic benefits to WSSCC were part of the objectives of such partnerships. For instance, one of the partnership agreements pertains to funding support provided by WSSCC to ANEW[33] for the primary purpose of meeting ANEW's operational expenditure. There was no other evidence of a strategic purpose or plan for continued engagement between WSSCC/ANEW. While the benefits to the sector (strengthening CSO

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[33] a leading CSO for mobilising WASH civil society action in Africa

voice in WASH debates, policy formulation) are evident, there is no evidence what strategic benefits WSSCC sought or derived from its contribution towards its own MTSP Outcomes. The MTR team has not been able to gather ANEW's perspectives on the materiality or significance of this contribution to its own goals and activities.

Beyond the support through GSF and other isolated examples, the MTR finds limited evidence of a broader CSO engagement plan or of a funding plan to draw conclusive inferences about the extent, reach and significance of WSSCC's support to CSO platforms. According to the Executive Director, "WSSCC SMT took a decision in 2014 to step back and assess critically its involvement in supporting various non-state actors. This came about after concerns were raised by sector stakeholders that WSSCC may be perpetuating an NGO dependency syndrome in the WASH sector, rather than looking at ways to sustain and strengthen these organisations, and ensure they were accountable to their constituents. Also of concern was the reliance on NGOs to represent civil society, when in fact there are many other non-state actors in addition to NGOs[34]". Taking these sector concerns into view, in its preparation for Dhaka SacoSAN in Jan 2016, WSSCC worked with a WASH NGO network (FANSA) and to engage non-WASH organisations of marginalised groups.[35] This is illustrative of WSSCC's future approach towards engaging non-state actors to advance the sanitation and hygiene agenda. WSSCC's 2015-16 work plans indicate intent to strengthen CSO engagement and as a first step, to undertake a scoping study of CSO engagement in WASH to drive this initiative.

2.3.2.4   Communications/Media Outreach

The MTSP notes that WSSCC's corporate communications work is intended to support programmatic work and communications with external stakeholders. The communications strategy from October 2010 is clear in its objectives to position WSSCC as a leading voice on safe, effective, equitable, low-cost and demand-led solutions to sanitation and hygiene challenges. According to the strategy document, communications objectives are carried out through a number of activities that involve supporting advocacy activities, contributing to programme success, and facilitation of internal communications. The activities are detailed in the following sections.

The A&C department was fulfilling this mandate until 2014 primarily through outreach and communications activities including media relations, press releases.[36], sector initiatives (i.e. SWA, GLAAS, global milestone days, etc.). Internal support to programme areas in content, printing, translation, graphic design and production coordination, and to the Directorate in communications with the Steering Committee and Donors was also part of this work.

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[34] These were defined as community organizations, unions of sanitation workers, women's groups, federations of scavengers and pavement dwellers, youth groups, organized groups of transgender people, natural leaders emerging out of GSF-supported empowerment processes, and more traditional WASH coalitions led by NGOs
[35] Sanitation workers, transgender groups, scavengers, disability groups, representatives of adolescent girls, etc.
[36] at the time of new senior staff appointments, release of GSF Progress Report, launch or expanded activity of GSF in a country, announcements of partner engagement and joint activities

In 2014, after a strategic communications review to revisit WSSCC's branding and positioning in the sector, the communications mandate included positioning WSSCC and its Executive Director as thought leaders in the WASH sector. A new website with a new brand entity were launched. A new corporate messaging matrix to reflect changing sector trends was drawn up. WSSCC also set up a partnership with the UK Guardian newspaper in 2014 to enhance its sector positioning as a global though leader in WASH. WSSCC strengthened its media and communications team to undertake a multi-pronged outreach campaign and attract the attention and interest of the media including holding briefings with the media and placing opinion articles in mainstream media. These efforts have resulted in a significant increase in media coverage of WSSCC and WASH. WSSCC also established two media partnerships in 2015 – one with the Global Citizen website, and the other with the Huffington Post. Both partnerships provided a platform for WSSCC to present its editorial content to a wide, diverse audience outside of the WASH sector.

It is difficult to ascertain whether and to what extent WSSCC has been able to accomplish its new communications objective since monitoring data is not systematically gathered and no market research to establish changes in profile has been commissioned. Nevertheless, the activities are aligned to increase the profile and visibility of WSSCC's programme activities and results. A list of other communications material supported by the A&C department are presented in Annex 8.

2.3.3   Informant perspectives

Interviewees were broadly complimentary of WSSCC's contribution and role in WASH sector advocacy and communications, with many explaining that the organisations' reputation and track record in this area precedes the MTSP period. An interviewee from an international organisation commented that "WSSCC's communication and advocacy have a very strong track record and legitimacy within the WASH sector with a sanitation focus".

Interestingly, interviewees' views on what constitutes WSSCC's advocacy efforts were varied. Some interviewees discussed WSSCC's role in advocacy as relating broadly to agenda-building and thought-leadership in the WASH sector in general, and to providing guiding principles for other advocacy organisations. Interviewees variously spoke of seeing, or expecting, WSSCC advocacy role in the sector "as a source of guidance and scholarship in terms of giving a sense of policy directions that could guide other organisations' respective advocacy departments", "enhancing advocacy capacity of the sector, by working on data, messaging, stories, statistics…", and "making technical expertise available for other partners to better deliver on the issues of sanitation".

Others reflected on the 'convening power' and 'facilitation mechanisms' that WSSCC brings to the table in sector initiatives and communications, which, while not explicitly an element only of WSSCC's A&C function, was associated with this by the interviewees themselves. For example, when asked about key WSSCC contributions in A&C in the WASH sector, interviewees from international organisations mentioned "facilitating meetings, creating mailing lists, developing communications materials", "ability to bring people together, and being a membership organisation with people who care about the issues and can bring it all together", and "the ability to leverage their own capacity and the capacity of other partners to achieve the objectives". One interviewee who works independently in the WASH sector, for

instance, felt that: "When it works well, WSSCC is the best actor at using a collaborative approach, bringing international NGOs and donors together and coordinating".

People also noted WSSCC's role in sector-wide processes. For example, an interviewee from an international organisation commented: "WSSCC had a fairly significant role in facilitating the UNICEF's Joint Monitoring Programme for Water Supply and *Sanitation* (JMP) process – with meetings and mostly with the WASH Communications and Advocacy working group". We also heard about WSSCC's "participation in events like World Water Day where they enable sharing and learning". Another interviewee, working on country-level programs in Africa, told us: "With WSSCC's help, we were able to reach countries that [we are] not working in today. We were not able to capture these countries because of lack of resources but the partnership enabled us to go into these countries to capture community voices and advocate with governments for water and sanitation in these countries".

It was evident in the discussions with our key informants that often advocacy initiatives, and networking and knowledge dissemination initiatives were conflated. Interviewees' emphasis on 'convening power' and 'facilitation mechanisms' are indications of this. Moreover, when asked about WSSCC's role in advocacy in the sector, a WASH advocate working primarily in Asia said: "WSSCC is more about knowledge sharing [than about programmatic work like GSF]. WSSCC provides updated information on latest knowledge in the sector". Another, also based in Asia, explained why he thought WSSCC's advocacy role was important: "The council shares information from different countries about sanitation and hygiene improvement to [our country]." In effect, this means that for many interviewees, WSSCC's advocacy function is at least related to and at most indistinguishable from others such as thematic learning, knowledge sharing, capacity development, coordination, sector strengthening and coalition building (all listed as WSSCC areas of strength in WSSCC's 2012 *Guidelines for Assessment and Country Strategy Development*).

In spite of the broadly positive views of WSSCC's advocacy contributions to the WASH sector, there were also a few critiques of, and questions regarding, its position within the sector. One interviewee, for instance, said: "They are collaborative council, but when was the last time they convened all the partners to map out the overarching policy landscape in which we are now?". Another interviewee working primarily in Africa related the loss of strength of WSSCC as a sector 'convener' to the "crowded [WASH] field" that makes it hard for the organisation to find its niche space and role.

In addition to these issues, a few interviewees commented on the impact of UNOPS hosting of WSSCC in relation to the Council's relevance in the WASH sector. Some interviewees were confused about what it means for WSSCC to be "part of the UN system". One interviewee, for example, stated: "For WSSCC the strategy is not so clear internationally… What objective is it trying to achieve? Organisations that wear more than one hat have difficulty in this regard. WSSCC sometimes is a U.N. organisation, sometimes it is outside the system, and that makes it harder to conduct advocacy because it is not clear what you are… But it can also give you latitude and access. So fluidity can be useful." Similarly, another interviewee felt that "WSSCC is both an NGO as well as a U.N. agency. This allows the WSSCC to play a strong WASH-focused advocacy role which is not possible for an organisation within the UN framework", but it also means that "WSSCC's mandate remains unclear".

Another important issue raised regarding the relevance of WSSCC's advocacy in the WASH sector was whether advocacy should be understood as "knowledge dissemination" or as "trying to influence stakeholders", in particular policy-makers. As noted in the previous paragraphs, many interviewees conflated knowledge dissemination, convening power and messaging on WASH issues with advocacy and communications, typically highlighting that WSSCC plays an important sector-wide role in this regard. Fewer interviewees, however, noted WSSCC's role or effectiveness if advocacy is understood as influencing policy decisions directly. One interviewee raised this question explicitly, arguing that in his view, "WSSCC certainly pushed more in the 'knowledge dissemination' [than the political influence] dimension, partly likely because of the fine line by the United Nations on what they [WSSCC] can and cannot say". Another interviewee, from a donor organisation, made a broader point about the difficulties in assessing the value-added of particular organisations' advocacy efforts: While [advocacy] is important, it is very difficult to assess the value of advocacy, where it should focus, who should be doing it and what is their contribution. Given the number of advocates, if an organisation wasn't there, would it be missed?".

Table 5 WSSCC's Progress against MTSP indicators and outcomes pertaining to Advocacy and influence

MTSP Results	Key findings
MTSP Outcome 1: ACCESS AND USE. *Tens of millions of previously unserved people in 10–25 sanitation-needy*	
Output 1(e): Politicians especially Finance Ministers, and support agencies increase sanitation and hygiene investments	Cannot be ascertained. However, contributions from WSSCC are likely to come from varied sources – GSF, NCs, other SLTF activities, including support to SWA coalition. These are discussed in related sections
Output 1(f): WSSCC's ideas inspire other organisations to deliver sanitation and hygiene programmes at scale.	Cannot be ascertained
MTSP Outcome 2: EQUITY. *Among those who gain access, poor and marginalised people and groups are identified*	
Output 2(a): The sanitation goal after 2015 specifies universal access and sustainable use and equity for poor and marginalised people.	• WSSCC led the Advocacy and communications working group in the JMP consultations to identify targets and indicators for global monitoring of WASH after 2015 where their work was lauded by other partners. • WSSCC was also part of the Equity and non-discrimination working group. Equitable sanitation has been mentioned in the SDGs now. • Other lobbying efforts are discussed in Chapter 3 • Important to note that while WSSCC did contribute to these advocacy processes, achievements as against these cannot be attributed to WSSCC alone as all of these activities were undertaken jointly with a number of other WASH and non-WASH actors
Output 2(c): WSSCC's networking, knowledge management and advocacy contributes positively to reaching poor and marginalised groups.	• Advocacy materials and technical publications of significance produced (involving partnerships) during the MTSP are included in Annex 8 • Advocated continuously on equity through aspects of MHM and inclusion of marginalised groups by participating at different platforms like JMP working groups, SANS processes (SacoSAN and AfricaSAN)

	• Contributions from GSF at a national-level (discussed in section 2.2)
Output 2(d): National monitoring systems for WASH include behaviour change and effectively monitor equity.	Limited evidence. • There are strong efforts/activities through the UN Women Programme to influence governments to strengthen policies, increase budgets and improve monitoring systems, particularly around MHM issues • Contributions through NC activities towards development of ODF definitions in India are noted • Contributions from GSF programmes at the country level (particularly in Madagascar and Cambodia) towards the development of nationally agreed definitions on ODF are noted • It should also be noted here that there is no conclusive evidence on WSSCC contributions to the processes and discussions around post-2015 global monitoring of access and equity targets and indicators in WASH. As one informant put it: "WSSCC's role and ambitions in the whole monitoring architecture around SDG targets is unclear. But this is not WSSCC's core area of expertise [data gathering, aggregating and reporting] and WSSCC should not venture there - there are other organisations better positioned to do this (JMP, GLAAS, GEMI)"
MTSP Outcome 3: INVOLVEMENT. *More individuals, organisations and businesses become involved in sanitation[37]*	
Output 3(a): National and local governments actively coordinate and encourage collaboration of all actors, and implement policies and regulations that help new organisations, small businesses and entrepreneurs to become involved in sanitation and hygiene programmes.	• Activities undertaken through NC correspond to this • Not clear how support from new organisations, sanitation businesses/entrepreneurs can be measured • Limited evidence around Sanitation marketing in GSF. Notable evidence in the engagement of small entrepreneurs in the GSF-supported national programme in Madagascar
Output 3(b): Strong and credible civil society participates in and shares responsibility for accelerating work in sanitation.	• Financial support to CSOs in engaging at the regional platform to draw the civil society voices in the overall discourse on right to sanitation • Support to CSOs/NGOs through the GSF programme is noted • However an overarching CSO strategy is missing to integrate the engagement with CSOs between SLTF and GSF programme.
Output 3(c): More people and organisations outside the conventional sanitation sector become involved in sanitation and hygiene work.	• One private partnership on MHM (with SCA). Beyond the initial advocacy engagement, future partnership direction appears to evolving at the time of the evaluation • The WASH-JN appears to have contributed to an increase in media visibility of WASH issues in the region. (discussed further in related section) • Active collaboration with GPP alongside other WASH actors on advocacy around sanitation and hygiene

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[37] Some broader activities WSSCC's support and engagement to the Unclogging the Blockages conference in Uganda in 2014, where GSF knowledge and experiences were shared

Outcome 5: DELIVERY. *WSSCC is adequately resourced and effectively governed and managed to deliver*	
Output 5(c): Strengthened membership and partnerships support achievement of WSSCC's objectives	• Membership did not provide a strong steer for SLTF activities as intended in the MTSP. • Delayed start to NCs/SEPs initiatives meant this initiative could not anchor SLTF programming until 2015-16 • In-country activities are taking place. But difficult to assess contributions or value addition • Early indicators of synergies being explored between NCs and GSF • Need to revisit allocations/activities to be in line with strategic aims
Output 5(e): WSSCC's corporate communications work supports programmatic work, the communication of achievements, governance and fundraising	The communications team has been supporting the programmatic work as well as Directorate in a range of different internal/external communications activities, including launch of a new website.

2.3.4 **A** Note on Strategic Institutional Partnerships

Economic and political uncertainties are transforming the international aid and development landscape in recent years, creating funding challenges in the form of declining ODA and reprioritisation of aid agendas. Particularly for the WASH sector, uncertainties in the funding climate is exacerbated by the lack of adequate progress in sector outcomes, absence of strong evidence base around the performance and sustainability of past WASH investments and the increasingly crowded and political nature of the sector which render it difficult for organisations to establish a niche, role and value proposition necessary for sustained funding. In the face of these challenges, pursuit of WASH advocacy goals through partnerships represent not only an opportunity for collective voice and action but also a potentially efficient means of mobilising and directing resources towards high priority challenges ailing the sector. These seemingly positive attributes of collaborating through partnerships also hold strong political appeal among donor constituencies who are keen to channel scarce resources towards relevant development problems.

Historically, sector coordination, convening and collaboration through partnerships and networks have been integral components of WSSCC's work in sanitation and hygiene. Partnerships feature prominently in WSSCC's current MTSP, which recognises that strengthened partnerships will help achieve MTSP objectives in collectively seeking "..solutions to the problems that have historically hampered poor and vulnerable people from improving their sanitation and hygiene". To this end, WSSCC's programme strategies to advance the agenda on sanitation and hygiene during this MTSP have involved engagement with a range of internal and external stakeholder and partner constituencies (see Annex 9 for mapping of key stakeholders and partners).

Among these various stakeholder and partner constituencies, WSSCC's strategic institutional partnerships stand out in terms of their shared vision, approach and contributions to the global sanitation and hygiene agenda broadly and resonance with WSSCC's MTSP goals in particular. The institutional partnerships have mainly involved sector actors such as SWA, SHARE, WaterAid and SuSanA, UN development agencies such as UN Women, UN Water, WHO, OHCHR and ILO and non-

WASH actors such as GPP and SCA. This section examines the nature and *modus operandi* of some of these institutional partnerships in order to glean key insights into their relevance and effectiveness in supporting shared sanitation and hygiene goals.

Overall, the MTR finds that the goals and objectives of these partnerships are broadly aligned with WSSCC's core principles and values as outlined in the MTSP and its identification as an advocate for WASH. In general, partnership activities have aimed to bring sanitation and hygiene to the fore in global and national dialogues and to ensure continued political interest in and funding commitments to the WASH sector. The MTR finds a wide variation in partnership modalities and governance arrangements - WSSCC's formal partnerships such as those with SWA, UN Women and SCA are governed by performance and fiduciary oversight mechanisms which necessitate a certain specificity to partner activities, desired results and allocable resources. More importantly, these formalised partnerships draw on the complementary strengths of partners which could help create efficiencies by avoiding duplication and overlap in effort. They also exhibit improved accountability for results as they embed appropriate indicators and systems for monitoring and reporting. Partnerships also assume the form of informal collaborations (such as with other UN entities) which, though motivated by the perceived benefits of collaborative advocacy, lack an explicit articulation of value-added expectations for stakeholders within the partnership and lack appropriate governance structures to help ensure performance and financial accountability.

Figure 2 Mapping key stakeholders and partners on a Relevance and Influence scale
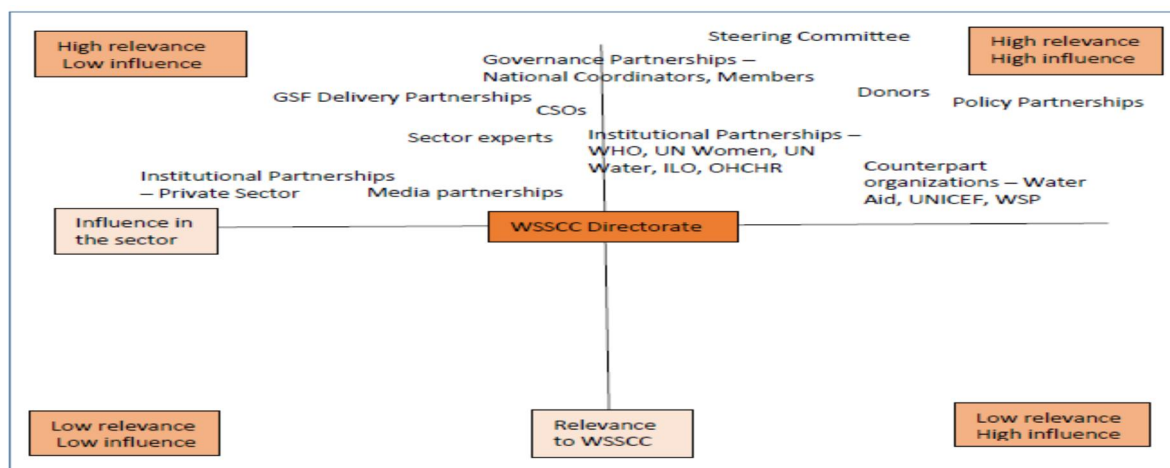
*Adapted from Access and Interest Alignment Matrix - Policy Influence Plan, 3ie

WSSCC's advocacy work and partnerships have taken a new character during this MTSP, focusing more on the UN-agency character of the WSSCC as it engaged in the high level political stakes of the UN-led SDG processes. This is evidenced in the increased emphasis on UN-led global initiatives like the UN-Deputy Secretary General Call to Action on Sanitation and Campaign to End Open Defecation, and the Joint Monitoring Program (JMP) Consultations for the Post-2015 agenda involving active collaboration with other UN entities such as WHO and UN Water. Going beyond awareness-raising campaigning during the MDGs, these collaborations reflect sector needs at the close of the MDGs which called for high level advocacy campaigning around the unmet goals in sanitation and collective engagement for

global framing of WASH agenda under the SDGs and to move this agenda forward in future years. The advocacy goals of these partnerships leading to the adoption of the SDGs focused on retaining sanitation and hygiene squarely on the global development map, and to ensure ODF and equity were firmly captured in the language of the global development goals and targets. Being part of the UN system with a hybrid UN/non-state actor identity has allowed WSSCC to actively engage in these sector collaborations for joint advocacy to encourage member states to assume increased ownership of national sanitation outcomes. External stakeholders consulted for the MTR note that WSSCC, owing to its seminal contributions to WASH advocacy, is uniquely positioned to contribute to these sector advocacy and communications initiatives that broadly aim to elevate sector visibility through contextually relevant WASH messaging.

Going beyond collaborations within the UN system and framing of SDGs, WSSCC engaged in other sector collaborations and institutional partnerships to pursue advocacy actions that are aligned with its own MTSP goals in sanitation and hygiene as well as in support of broader sector advocacy. WSSCC's collaboration with the Global Poverty Project since 2014 is focused on high visibility campaign communication strategies to catalyse development assistance and public funding for improved sanitation. It is broadly based on shared interests and goals of elevating the importance of universal access to sanitation and open defecation, with WSSCC specifically advocating for improving sanitation through behavior change and community-led approaches. The collaboration has brought added-value to the campaign – GPP is a credible and well-established advocacy and campaign initiative. Its Global Citizen Festivals and global campaigns attract leadership of the international development community, Heads of State, captains of ITC industry, entertainers and musicians, raising the visibility of key development challenges. WSSCC is an established WASH advocate that complements the visibility of GPP campaigns with evidence from programming, technical expertise in WASH as well as its own advocacy capabilities. The collaboration effectively raised pledges from donor governments of Netherlands, Sweden and Norway and public funding commitments from Madagascar and Nepal for creating open defecation free communities.

Both partners have drawn appreciable benefits through collaboration - WSSCC was able to successfully advocate for funding commitments to support its own programmatic areas of work. GPP in turn benefited from WSSCC's technical support for developing an advocacy campaign roadmap that mainstreams sanitation within GPP's advocacy agenda. In strengthening GPP's capacities for sanitation advocacy, WSSCC's own positioning and strengths as strong sector advocate was affirmed. High visibility campaigning for development assistance do hold continued relevance for the WASH sector given the scale of unmet gaps in access to sanitation. Such campaigns can be strengthened in terms of their force, influence and credibility through collaborations that effectively draw out the added-value of partners.

It was realized in the past decade that there is a need to shift from a siloed approach and leverage strengths of the various stakeholders beyond the sector to achieve the development goals laid out in the Millennium Development Goals, and more recently in the Sustainable Development Goals. The Sanitation and Water for All alliance is one such partnership in the WASH sector which reaches out to the Finance Ministers of countries in an inter-governmental setting. The MTR undertook an in-depth evaluation of this partnership, covering key elements of partnership effectiveness and sustainability,

governance and management. Our findings and conclusions on this partnership are discussed in Part II of the MTR report.

Policy advocacy on equality and non-discrimination is another integral component of WSSCC's work and partnerships. An important, illustrative partnership in this area is the WSSCC - UN Women Joint Programme on Gender, Hygiene and Sanitation which brings together two UN entities with complementary expertise in gender, sanitation and hygiene to pursue collective policy advocacy strategies for accelerating policies and practice in favor of gender and equity in sanitation and hygiene. The MTR undertook a detailed evaluation of this partnership and findings are discussed in Part II of the MTR Report.

The launch of the Sustainable Development Goals in 2015 is shifting the landscape for WASH advocacy, placing an emphasis on cross-sectoral coordination, integrated WASH messaging and collaborative advocacy to realise the benefits of sustainable and universal coverage of WASH.   As WASH and aid agendas shift, WSSCC itself, as well as other WASH entities are continually adapting their advocacy strategies, messaging, targets and partnerships to respond effectively to this context. Even as global advocacy framing of WASH and advocacy partnerships evolve and change, global advocacy and convening mechanisms aimed at catalysing ODA, political leadership and commitments at the national-level hold continued relevance for the WASH sector. With its long and pioneering history of advocacy in the sector, it is important that WSSCC continues to engage in and support these mechanisms even as it moves forward in its own strategic programming and partnerships for WASH advocacy.

That said, institutional partnerships and collaborations/coalitions for advocacy are valuable when they bring credibility, force and added-value to the advocacy actions by way of complementary partner strengths and abilities, pooled technical and financial resources and partner ability to influence targets and other audiences. They can also be considered as valuable for collaborating entities when each member is able to derive benefits through the collaboration. Having in place robust strategic planning frameworks to ensure value-added from the partnerships, partnership performance evaluation frameworks to ensure accountability for results[38] and undertaking periodic assessments of shared goals, interests and incentives are some good practices to bear in mind as WSSCC moves forward with its existing institutional partnerships and identifies newer partners to support its advocacy for the sector.

2.4   Engagement with Members and National Coordinators

2.4.1   Membership

WSSCC was founded in the 1990s by a passionate group of members and donors. Since inception, WSSCC has identified itself as a membership organisation, and members were always considered integral to the achievement of WSSCC's mission. The objectives of membership as outlined in the 2009 Membership strategy are consistent with WSSCC's broader aims relating to sector collaboration, coordination and networking.

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[38] See Bezanson, Keith A. and Isenman, Paul, *Governance of New Global Partnerships: Challenges Weakness and Lessons*, Center for Global Development Policy Paper 014, 2012

The outcome focused MTSP (2012-16) defines a key role for membership in working towards some of its five major outcome areas. However, there have been challenges in operationalising this during the MTSP. One of the primary reasons is that the external WASH sector context had considerably changed with several new actors entering the fray in an area which was pioneered by WSSCC. Internally, there was a growing focus on GSF which presented limited opportunities for membership engagement. An organisational structural decision involving elimination of the position of Membership Services Officer in mid-2012 also impacted this work and membership focus within the Secretariat. Taken together, these factors are understood to have made membership less relevant since a few years preceding the MTSP. It is understood that the membership base has grown by 2726 new members during this MTSP (570% increase from the previous period).

In line with the MTSP, activating the membership is identified as a priority as early as the 2012 Annual Work Plan, which states:

> *"Membership is fundamental to WSSCC's life and work. The Secretariat will support and encourage Members to be active in WSSCC's work and to contribute to its goals"*

During the 2012 Annual Work Plan period, a review was commissioned on the status of membership and to propose ways forward for effectively integrating this constituency into WSSCC's strategy. According to this review, the membership strategy of 2009 was "*never fully operationalised*" and there was limited effort to engage members systematically, apart from sharing of electronic newsletters and publications material, and responding as requested with technical support through, for example, media training. The review highlighted the strengths and weaknesses of WSSCC's approach to membership and stated that engaging the membership base more strategically was likely to bring wide-reaching benefits to WSSCC. The review also presented ways in which this could be achieved. At the time of this membership review, WSSCC had 2543 members in 142 countries (65% of which resided in WSSCC's priority countries).

The review recommendations, though approved by the Steering Committee (SC Meeting Minutes, March 2013) and Secretariat, were not immediately acted upon however. In 2015, the membership issue was taken up again by the Directorate, and it was decided to integrate this more closely with WSSCC's country engagement strategy and activities. A dedicated staff resource was appointed for this purpose to explore synergies between the membership base and in-country work undertaken by NCs.

For purposes of the MTR, in the absence of systematic evidence around member engagement, the evaluation approached linkages to Membership by examining: (1) who among the membership base are likely to have engaged actively with WSSCC during this MTSP (aside from the fact that all members are part of the broader WASH community, contributing to WASH outcomes in their routine course of work), and (2) in what specific ways could these active members be contributing to MTSP results during the period 2012-2015.

Based on this analysis, it appears that certain categories of members (e.g. National Coordinators, CSOs) are critical to WSSCC's engagement on regional and national platform s and contribute to the same WASH outcomes within their own sphere of operation and influence. In turn, these members are also likely to benefit by association with WSSCC (e.g. increased opportunities for networking, knowledge

sharing, funding support). Another example would be the members that participate in WSSCC's Community of Practice platform, which allows for learning to be carried back to members' own areas of work.

Beyond these references in work plans for engagement with certain member categories, the evaluation found a consensus among staff that members are hardly engaged at all in programming activities.

2.4.2 National Coordinators/ Strategic Engagement Plans

The Geneva-based Secretariat is supported at the national level by National Coordinators who are intended to play an important role in advancing the WASH agenda and act as strategic focal points for country level activities undertaken in line with WSSCC's overall mission and goals. The NCs themselves are mostly members or staff of other WASH agencies in their own country and serve WSSCC on a voluntary basis[39]. They play no governance role other than as voting members in SC elections (like all WSSCC members) but work under the leadership of WSSCC's ED to fulfill their roles and responsibilities to WSSCC in-country. Historically, this arrangement benefitted the sector in terms of in-country sector coordination and collaboration, and it benefitted WSSCC as it lacked in-country presence. However, in drawing the current MTSP, this arrangement was recognised to be problematic as contributions from WSSCC to the sector through this constituency were difficult to measure. Consequently, from an accountability and transparency standpoint, it was decided to engage NCs more strategically and align their work more closely with the MTSP framework of results at a national level.

According to the ToR for National Coordinators (November 2014),

> "*The purpose of the National Coordinator position is to ensure strategic engagement of WSSCC at the country level, in a way that adds value to the WASH sector,... and contributes to the achievement of WSSCC's mission, goal, outcomes and outputs*".

During 2015, WSSCC appointed a dedicated resource at the Secretariat to drive the NC engagement. As of December 2014, 16 NCs had been recruited and appointed.

At a glance: Achievements
• 570% growth in membership (2726 new members) during the MTSP period
• New dedicated staff resource to align member activities with WSSCC's country engagement activities, following Membership review and new strategy
• 16 National Coordinators appointed by Dec 2014 and 14 Strategic Engagement Plans produced by Sept 2015
• SEPs relevant to national WASH policies and programmes of government
• Streamlining of ToRs, SEP guidelines and budgets for NCs and SEPs

At a glance: Challenges
• Absence of systematic evidence of member engagement in WSSCC activities
• Weak synergies between NCs and GSF programmes, no conclusive evidence of NCs' contributions to WSSCC MTSP outcomes at national levels
• Budget allocation for NCs and SEPs (at 5% of SLTF) raises questions about WSSCC's strategic orientation toward NCs

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[39] NCs receive an institutional grant of $10,000 and are funded to operationalise the SEPs

NCs are required to develop Strategic Engagement Plans (SEPs) which would guide any country level activity undertaken by WSSCC outside of GSF (particularly within the departments of A&C and NKM). WSSCC's 2012 Annual Report indicated that the existing processes around engagement of NCs needed streamlining and strengthening to ensure better alignment with MTSP outcome areas and to identify individuals who are best able to perform this role in-country.

Annual reports during the period 2012-14 indicate considerable delays in getting this initiative off the ground (see Table 7) mainly because of staffing constraints within WSSCC and process delays in-country. The complexities in identifying suitable and qualified individuals for appointment as NCs and for them to develop SEPs that respond effectively to in-country sector gaps and needs while being aligned with WSSCC's MTSP outcomes, were additional factors slowing down the appointment of NCs. This was intended to be a transformative initiative and required Secretariat staff to have a deep knowledge of national and sector contexts as well as being able to identify suitable local partners to effectively drive these strategic engagements, assess their feasibility and monitor that planned results are being achieved. It was inevitable this would take time.

Table 6 NC engagement process during the MTSP, 2012-16

NC engagement process		2012	2013	2014	2015
Finalising NC ToRs, Prioritising countries for recruitment, Recruitment of NCs	Planned				
	Actual				
Operationalising SEPs	Planned				
	Actual				
Monitoring Progress against SEPs	Planned				
	Actual				

16 NCs were recruited by December 2014 and 14 SEPs have been prepared, nine of which are funded/operational (nine SEPs were prepared in December 2014, four in May 2015, one in September 2015). The MTR team has not been able to assess progress against these plans given their very recent start. However, from an analysis of NC Terms of Reference and the six SEPs shared with the team (Kenya, Malawi, Nepal, Nigeria, Tanzania, and Zimbabwe), the following points stand out-

1) SEPs indicate clear alignment with WSSCC's vision/goals and MTSP outcome areas.
2) Activities appear relevant to national water and sanitation policies, particularly from an implementation standpoint. The SEP was to be developed in consultation with WASH sector stakeholders (including policy makers) in-country, which lends it legitimacy and also suggests a higher potential for uptake.
3) Capacity building[40] of government officials, CSOs, media partners through trainings are predominant SEP activities in most countries, with the exception of a few, such as Nigeria where advocacy for equity and inclusion considerations in national policies and legislations were prioritised. While capacity building does have a strong role to play in policy implementation, it is

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[40] Primarily trainings and learning events focused on topics such as MHM, a CLTS for behaviour change (which is undertaken by GSF partners anyway), and advocacy for media partners and CSOs

not clear to what extent this approach supports WSSCC's aims to influence policies or practice at a national level. It is also not clear to what extent this approach is likely to demonstrate value addition by WSSCC, especially when undertaken in conjunction with other actors.[41]

4) NCs are present in all countries that have active GSF programmes. There are frequent references in annual reports to the need to align the work of NCs more closely with the GSF mechanism in-country[42]. An NC survey was conducted in December 2015 as part of the MTR evaluation. All respondents emphasised that active collaboration between NCs and GSF partners is important to advance WASH agenda within their counties. At least four respondents indicated the need for improved collaboration. There is evidence of initial efforts being taken by WSSCC to promote synergies - a GSF- NC meeting was held at AfricaSAN 4 (Dakar, Senegal) in May 2015; regional country engagement meetings have been held in Togo, Uganda and Nepal; and SEPs also outline opportunities for active collaboration between NCs and GSF delivery partners. GSF's Operations Manual (March 2015), emphasises the role of the NC as member of GSF'S Programme Coordinating Mechanism (PCM)[43]. The NCs are to serve as a focal point between GSF and the PCM and also facilitate preliminary engagements between the country and GSF, before the PCM is set up. However, a review of documents, NC surveys and evaluations of the GSF programme do not indicate strong synergies or engagement between the NC and GSF constituencies nor provide conclusive evidence about the extent and nature of the actual and effective contribution of the NCs to the GSF.

5) Funding for SEPs has increased significantly during this MTSP period, from $12,000 in 2012 to around $60,000 in 2015. However, a review of 6 SEPs/budgets shared with the team indicates that this constitutes less than 5% of the total SLTF Programme Budget (minus staff costs and UNOPs costs) for the MTSP period 2012-16. These financial figures raise questions about the strategic orientation of WSSCC towards the NC initiative and more broadly towards engagement with the WASH sector at a national level. This concern also surfaced strongly in our NC interactions as well as consultations with WSSCC staff. There also appears to be divergent opinions within the Secretariat about the strategic importance of NCs in helping realise WSSCC's national level ambitions and positioning.

The survey of WSSCC's 16 NCs conducted for this review (with a response rate of 63%) finds that for the most part, NCs believe that WSSCC's work has helped influence WASH policy agenda and priorities in their countries and mobilise in-country sector partners. Nevertheless, it is clear from the NC's responses in the survey that at least part of this influence is due to the activities of GSF or NKM (such as around menstrual hygiene management). While these assessments may be biased by the NC's own role in advancing WSSCC's agenda and priorities in-country, they do provide specific examples of advocacy,

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[41] All planned activities in most countries are undertaken jointly with other WASH actors/agencies

[42] 2012 ED Narrative states "*It will be crucial for WSSCC in future to consider how best to orient NCs and WASH Coalitions into GSF design and/or PCM programming for expansion*"

[43]The PCM sets the in-country vision and strategy of the GSF to ensure that the work supported by GSF is consistent with national policies and activities of the National WASH coalitions. The PCM is a coalition of sector actors including government, CSOs and donors.

networking and communications initiatives that have taken place at the national level. In-country activities are indeed taking place, although ascertaining their effectiveness in influencing WASH policy or assessing WSSCC's specific contributions or value addition is a different matter.

Figure 3 Responses to NC survey conducted in December 2015
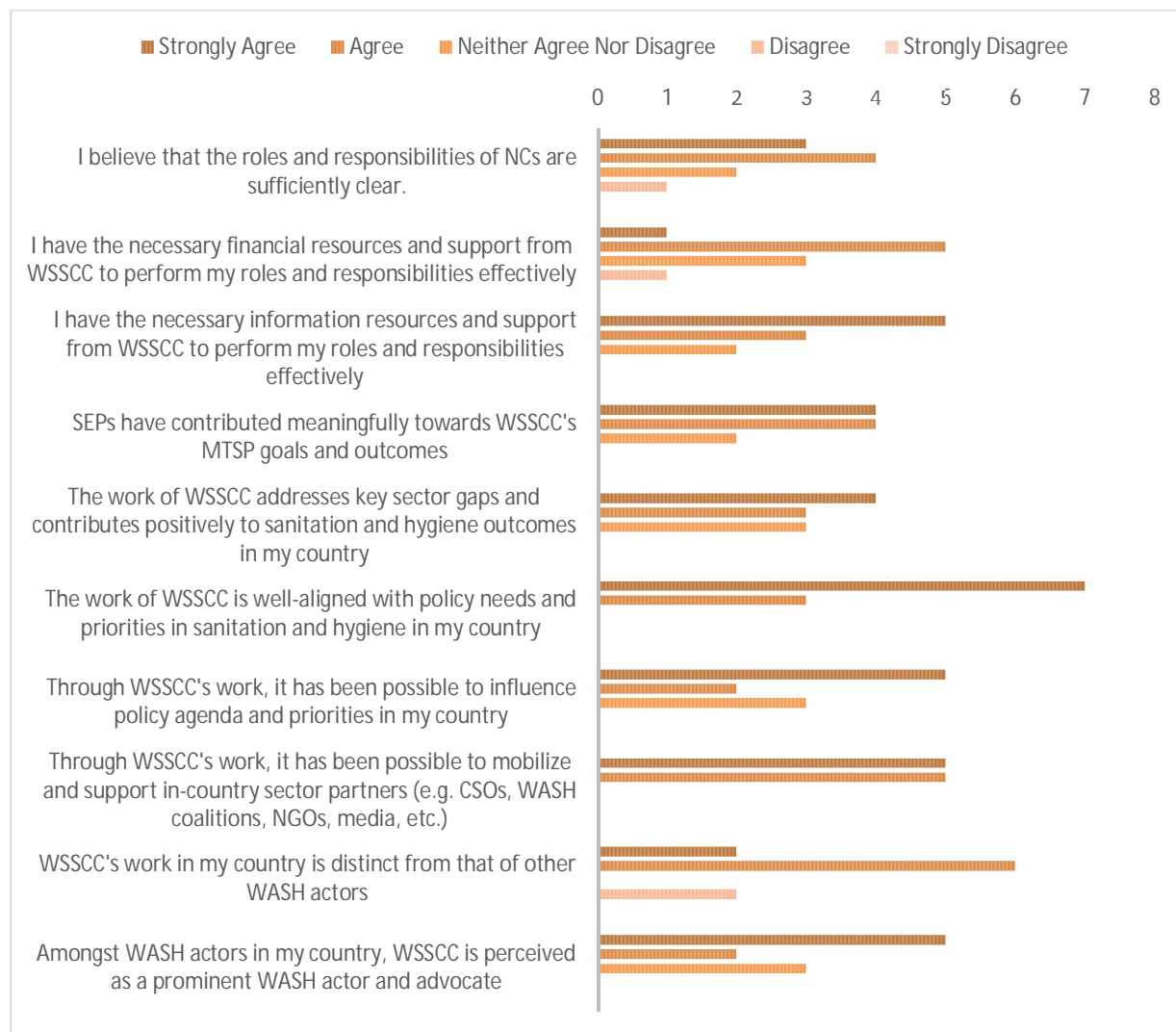
2.5 WSSCC: Expenditure Analysis

The MTR team analysed WSSCC's financial expenditure with the main objective of gaining preliminary insights about WSSCC's efficiencies that are likely to influence its performance, and identify quantitative indicators of efficiencies. Taken together with other qualitative indicators evident in work plans and other programme documents, these inform the MTR team's assessment of the efficiency of WSSCC's operations. This exercise is not an audit or a cost-based assessment of performance, but serves only to understand if there are opportunities to improve overall efficiencies within existing processes.

This exercise involved a review of WSSCC's Annual Reports (work plans, financial reports and related narratives) for the period 2012-14 and work plan for the biennial period 2015-16.

A limitation with this exercise is that Annual Work Plans have not included activities, milestones, targets or indicators for planned programmes during the years 2012-14, nor is the presentation helpful to understand the types of activities that are likely to be undertaken within each programme. The link is weaker between the Annual Financial Reports and corresponding ED Narratives – while the Narratives draw an overarching picture of progress made during the year corresponding to each MTSP outcome area, the reader is left to interpret the exact links between the narrative and financial figures presented in the Financial Report.

2.5.1   Absorption rates

Table 8 provides a snapshot of the budget utilisation patterns (planned vs. actual costs) for WSSCC, GSF and SLTF for the period 2012-14. Table 9 provides the budget utilisation patterns within SLTF, broken down by each department under SLTF (NKM, A&C and Directorate). WSSCC's operating expenses are categorised as Staff costs, Office costs, Travel costs and UNOPS costs.

Table 7: Absorption rates for MTSP period 2012-2014[44] (amounts in percentages)

	2012			2013			2014*		
	GSF	SLTF	Total	GSF	SLTF	Total	GSF	SLTF	Total
Programme Costs	74%	53%	72%	88%	75%	87%	86%	75%	84%
Operating Costs	55%	70%	61%	82%	84%	82%	75%	68%	72%
i) Staff costs	68%	64%	65%	66%	71%	69%	65%	59%	61%
Ii) Travel costs	76%	74%	75%	85%	97%	92%	0	0	0
ii) Office costs	115%	103%	106%	154%	163%	161%	111%	110%	110%
iii) UNOPS Costs	68%	65%	68%	96%	97%	96%	84%	71%	81%
Total costs	72%	66%	69%	87%	80%	85%	84%	71%	80%

Source 4 Computed from WSSCC Financial Reports 2012, 2013, 2014
*Break down of programme costs is not available for FY 2014, travel costs is likely to be subsumed under this

Table 8: Absorption rate by SLTF departments (amounts in USD)

	2012			2013			2014		
	NKM	A&C	Directorate	NKM	A&C	Directorate	NKM	A&C	Directorate
Programme Costs	41%	67%	48%	78%	74%	98%	85%	95%	44%
Operating Costs	64%	71%	74%	77%	87%	86%	88%	88%	88%

Source 5 Computed from WSSCC Financial Reports 2012, 2013, 2014

The analysis of absorption rates indicates high incidence of underspend on programme costs across both GSF and SLTF. At a minimum, 15-20% of planned costs have remained un-utilised every year. But utilisation appears to improve over the years (from 72% in 2012 to 84% in 2014). Any inference on efficiency based on absorption rate alone is likely to be inconclusive. However, taken together with the evidence from annual reports that there have been frequent instances of time delays in major planned

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[44] WSSCC's Financial Reports for 2015 are available now but not being included here as it is outside the scope and desk review period of the MTR

activities, this indicator signals inefficiencies within WSSCC's operations. For the most part, reasons cited in programme documents for underspend and time delays are due to staffing constraints or shifting prioritisation in activities leading to postponement of planned activities to future periods. These time delays and programmatic underspend have impacted performance in the period leading to the Mid-Term as per evidence in a number of areas within WSSCC's programming. This was also echoed during consultations with WSSCC staff and management. Examples include:

1) weak activity in Community of Practice suggests limited progress on MTSP outcome 4
2) delays in implementing membership strategy has impacted MTSP outcome areas 1-4
3) delayed start to NC strategy suggests that none of the three departments could benefit from this engagement till 2015
4) delays in developing strategies to engage non-state actors (including private sector) or CSOs suggest WSSCC's programming could not benefit from these collaborations
5) postponement of research and knowledge activities within GSF suggest missed opportunity to (1) improve programme design, (2) contribute to sector knowledge, (3) explore internal synergies

Broadly, what this suggests is that inadequate readiness – in the form of programme strategies or appropriate human resources - at the start of the MTSP period to support timely implementation of the MTSP has been a factor behind these delays and underspends.

On GSF, delays have been attributed to difficulties in mobilising in-country partnerships necessary for programme delivery. For instance, efforts towards expansion plans to new countries of Mali, Bangladesh, Pakistan and Burkino Faso were initiated in 2012 but were stalled in subsequent years because of an inability to set up in-country partners. Efforts for expansion into Kenya and Togo were initiated in 2012, and Benin in 2013 but the programmes became operational only after 1-2 years, again due to in-country delays. What this indicates is that programme expansion depends on a host of external factors which are beyond the programme's control, but need to be anticipated at the time of programme planning and budgeting.

In interviews, certain programmatic delays were being attributed to staffing limitations. However, the evidence shows that planned staffing costs are un-utilised by at least 35% every year. Financial reports also indicate that lower utilisation of staffing costs is mainly due to staff role transitions and to the application of pro-forma staff rates in the budget. Even if this were the case, allowing such a high level of buffer appears to be bad practice.
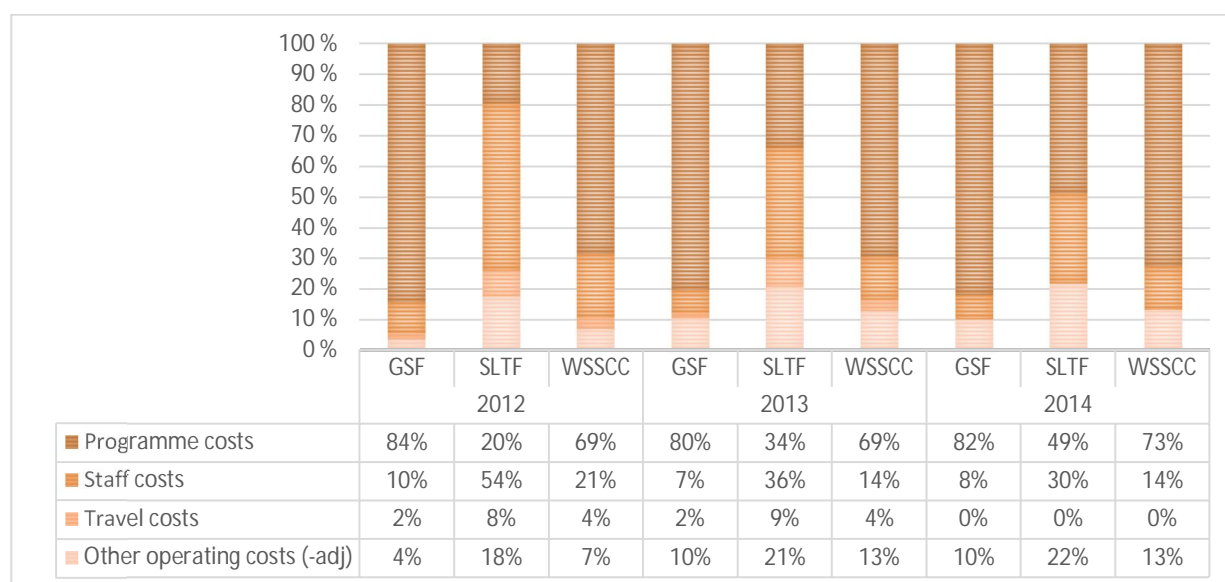
2.5.2 Costs– Programme vs. Operational

Figure 3 below indicates the proportion of Programme costs, Staff costs, Travel costs and other operating costs within total costs. All these costs correspond to actual expenditure. These ratios are

usually a good indicator of operational efficiency[45] but should be understood with a measure of care owing to data limitations described above.

On average, only an estimated 70% of WSSCC's total costs were spent on programme expenditure during the years 2012-14[46], and the remaining 30% constituted operating expenses. However, depending on the allocation of Secretariat staff time across programme activities, the proportion of programme costs is likely to increase. Even so, an estimated 11-17% as travel and other operating costs might be perceived to be high, suggesting room for improvement in systems and procedures.

Figure 4: WSSCC Programme vs. Operational Costs, MTSP 2012-16

	GSF	SLTF	WSSCC	GSF	SLTF	WSSCC	GSF	SLTF	WSSCC
		2012			2013			2014	
■ Programme costs	84%	20%	69%	80%	34%	69%	82%	49%	73%
■ Staff costs	10%	54%	21%	7%	36%	14%	8%	30%	14%
■ Travel costs	2%	8%	4%	2%	9%	4%	0%	0%	0%
■ Other operating costs (-adj)	4%	18%	7%	10%	21%	13%	10%	22%	13%

Source 6 Computed from WSSCC Financial Reports 2012, 2013, 2014

At an average of 82% towards programme activities during 2012-14, the figures for GSF appear much better than for WSSCC as a whole. The MTR team has not further analysed the financial expenditure of GSF operations. The GSF-VfM study offers an in-depth assessment of unit costs of producing outcomes and value for money as it has mapped financial expenditures from all sources which contributes towards achievement of target outputs and outcomes. Preliminary findings from the VfM-GSF study indicates that GSF is broadly cost-efficient in achieving its key outcome of ODF conversion. But cost efficiency falls when enabling the construction of improved toilets that meet JMP guidelines.

A recent review of DFAT-Australia's Water and Sanitation Initiative Global Program (2011/12 to 2015/16)[47], which includes a comparative assessment of WASH programmes delivered by different agencies, notes that "*UN specialist agencies have been put under a lot of pressure to put in place*

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[45] Usually, within the full costs of delivering a strategy, the proportion of operational/administrative/indirect costs is a standard measure of the operational efficiency of delivering that strategy. Availability of full costs and breakdown by direct and indirect costs is essential to carry out a meaningful cost-based assessment of efficiencies
[46] FY 2014 travel cost data is unavailable. This is likely to be masked under direct programme costs
[47] Independent Mid-Term Evaluation of the Water and Sanitation Initiative Global Program, December 2014

efficiencies and to reduce costs to a minimum" and that head office expenditures for agencies such as UNICEF are less than 1%. Concerns are expressed around the efficiency of GSF operations, particularly on account of its high administrative and programme management costs. Potential donor constituencies have also echoed concerns that GSF is not operational enough at the local level where results are achieved and its remote management of complex programme delivery structures are not cost-efficient.

On SLTF, programme cost ratio was poor in 2012 (20%) but has progressively increased to an estimated 49% in 2014, signaling room for improved efficiencies. Here, the MTR notes that GSF is a down-stream activity with the majority of funds disbursed to EAs for direct programme implementation. GSF therefore will have a higher programme/operations cost ratio. On the other hand, NKM, A&C, and Directorate are up-stream, policy/capacity building/strategic activities with limited funds disbursed to partners and are therefore likely to have a lower programme/operations cost ratio. Given the upstream nature of SLTF activities, the observed (in)efficiencies are likely to differ depending on how staff time and costs are treated under SLTF. If staff are assumed to be directly involved in programme delivery (as is likely the case for all SLTF activities[48]) and not merely in programme management, it is likely to indicate improved efficiencies. However, even without considering the staff costs, SLTF activities appear cost-inefficient owing to the higher proportion of other operating costs, including travel, office costs and UNOPS costs.

Partner grants, which are a key component of direct programme costs, constitute almost 10-20% of Total SLTF costs. Broadly, partner grants appear to comprise of grants issued to a range of programme partners, including NCs, Research partners, CSO partners, Media and production partners. However, grants and fees issued to partners and consultants under SLTF are cost categories where disaggregated data is unavailable and would be useful for clarifying efficiency in operations.

The MTR team also found no evidence of cost reduction measures within programme areas, barring two instances where positive outcomes are not evident[49] and one instance requiring staff rationalisation[50]. It is understood that efforts are being undertaken since 2015 to gain efficiencies in productions costs relating to communications activities. But the evaluation has not examined the merit of these efforts.

2.5.3   UNOPS Costs
UNOPS' cost structure is divided into direct and indirect costs, which include a Management fee of 7% as a standard corporate overhead. Figure 4 indicates UNOPS costs, other operating expenses and direct programme costs as a proportion of Total costs for GSF, SLTF and WSSCC during 2012-14.

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[48] Exceptions could be grant-making activities such as those with SHARE, LSHTM or CPR that may require minimal staff engagement. Even activities relating to National Coordinators or Membership would require dedicated staff time as is evident in the description of staff roles or the nature of NC engagement
[49] 2012 SC meeting minutes suggest that the business class travel policy changes be revoked. Office costs have consistently exceeded allocation, contrary to plans to reduce office maintenance
[50] Efforts during 2012 to streamline UNOPS cost structures to improve cost efficiencies and transition entire financial/administrative tasks to UNOPS. The latter required rationalising internal finance staff, resulting in annual savings of around $482,000 (2012, 13 Financial reports)

UNOPS costs are broadly in the range of 8-11% for WSSCC during the MTSP period. The costs have averaged at 9% for GSF. UNOPS costs for SLTF is estimated in the range of 8-13% during the MTSP period which must be considered high, especially considering other operating costs such as office costs, travel, staff time also contribute to the administrative burden. However, in the absence of appropriate comparators, it is difficult to assess if these costs are commensurate with the services being provided by UNOPS. This is particularly so for GSF where there is an additional administrative burden needed to maintain fiduciary standards. Broadly, WSSCC finds considerable value in the hosting arrangements with UNOPS and this is discussed further in section 2.10. GSF's current donor constituencies are also reassured by the hosting arrangements with UNOPS and the safeguards around fiduciary risks that this arrangement provides.

Figure 5: UNOPS Costs, MTSP 2012-16

	GSF	SLTF	WSSCC	GSF	SLTF	WSSCC	GSF	SLTF	WSSCC
		2012			2013			2014	
■ UNOPS costs	8%	8%	8%	10%	13%	11%	9%	13%	10%
■ Other Operating Costs (-adj)	8%	73%	24%	10%	38%	20%	9%	38%	17%
■ Programme costs	84%	20%	69%	80%	49%	69%	82%	49%	73%
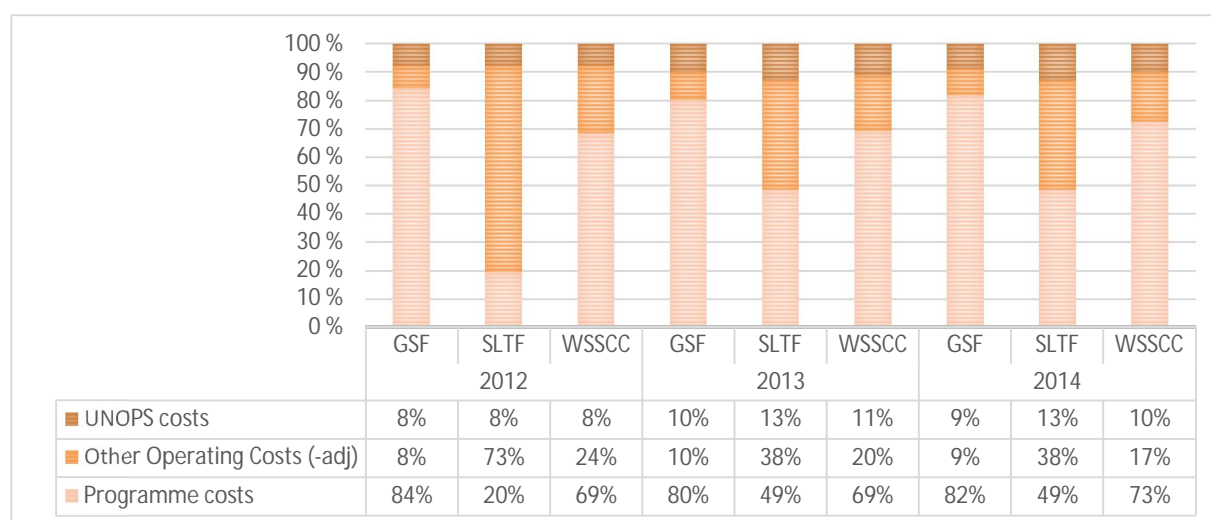
Source 7 Computed from WSSCC Financial Reports 2012, 2013, 2014

From a comparative standpoint, it can be noted that WSSCC was paying its previous host agency, WHO, a hosting/overhead rate at 13% of programme expenditure[51]. The current allocation to UNOPS by WSSCC as a whole appears lower in comparison. The MTR team has however not explored in detail whether this is a reasonable comparison.

From a grant management standpoint, GSF-MTE study notes some procedural challenges in the grant management process, particularly in programme disbursements and the speed and complexity of UNOPS procurement and recruitment processes. This is not surprising given the programme complexity and fiduciary risks that need to be considered at a national level. The MTR team found no evidence on performance being impacted adversely because of this nor did strong concerns emerge on this front in our stakeholder consultations. It is understood from UNOPS and WSSCC staff that UNOPS has made concerted efforts to strengthen the country partner/grantee selection process. There is cognisance among UNOPS staff of the diversity of country contexts in which the GSF programme is implemented,

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[51] WSSCC External Review 2005-2010

the likely inter-country variability in partner capacities at a national level for programme implementation and the need to understand fiduciary risks within a country context. To this end, grantee selection practices are noted by UNOPS to be stringent, yet flexible to account for the unique programme context in every country. Lessons on this front include close engagement with independent country experts such as NCs, PCMs in the selection process as well as building capacities of EAs to ensure that they are well-positioned to select the appropriate sub-grantees for programme implementation.

While these factors place an additional burden in terms of due diligence prior to partner selection and oversight after grant issuance, it is understood from discussions with UNOPS and WSSCC staff that UNOPS is learning from and adapting their grant management practices to suit programme requirements without compromising fiduciary standards. UNOPS' engagement was further aided by a process review study commissioned under the GSF early in this MTSP which sought to streamline internal processes and systems and staffing structures necessary for improved programme delivery. Other aspects of the hosting arrangement are discussed in section 2.10.

2.6   Results-based Management

This section begins by defining results-based management (RBM) and presenting a bird's-eye view of what is in place in WSSCC. WSSCC committed itself to RBM in the MTSP. It stated that "Each WSSCC-funded work programme should have clearly-defined results, methodology and timescale. Results-based management enhances accountability, encourages strong performance and creates opportunities for innovation."

Following this is a thorough analysis of certain aspects of RBM, particularly results planning, monitoring and evaluation. This is a particular focus in the MTR terms of reference.

2.6.1   RBM

RBM embraces the full programme cycle, from planning, via monitoring, review and evaluation, data assurance and management, to the application of performance and results information and learning to improvements in existing work and new rounds of planning. In its fullest sense it embraces the alignment of budgets, organisational structure and staffing to the achievement of intended outcomes. It also includes reporting to outside stakeholders in a manner that promotes their positive engagement. RBM should apply at all levels: institution, programme and project. RBM at each level should harmonise, for example there should be touch-points between intended results and their indicators.

Planning: WSSCC plans strategically on a 5-year cycle. The MTSP contains a results framework including outcomes and outputs and their indicators, which is the foundation stone of an RBM system. It sets out indicative expenditure at the level of the two funds. Detailed work plans were produced annually for the first three years of the period. A biennial Work Plan was produced for 2015-2016. These work plans are tailored more precisely to the volume of funding anticipated. It is not clear to the evaluators exactly how budgets are allocated to planned interventions within the departments. It does not appear to be on an outcome basis.

Strategic allocation: Figure 5 shows the shifts in strategic allocation of resources across GSF and SLTF. The MTSP proposed a progressively higher allocation for GSF during the plan period, clearly anticipating programme expansion. Figure 5 shows that in actuality, the proportionate allocation for GSF has marginally decreased during FY 2012 and 2013 as against the MTSP forecast, while allocation for strategies 2, 3 and 4 (delivered under SLTF) show a marginal increase. Allocations for GSF[52] in the annual work plans total to $136.08 million for the MTSP period as against the budget of $200 million proposed in the MTSP.

However, GSF fund utilisation rates have improved considerably and programmes demonstrate better cost effectiveness in achieving conversion to ODF compared to similar programmes[53], both of which suggest programme maturity. The programme has also begun to demonstrate positive results, which reflects positively on the efficiency of operations. As mentioned earlier, a key learning is that programme expansion depends on a host of external factors which are beyond the programme's control, such as time taken to mobilise in-country partners with requisite capacities or the political economy contexts in countries.

Considerable shifts in allocation are more evident from 2014. The 2014 Work Plan explains this in part as an effort to align GSF programme expansion with available funding. The increase in SLTF allocation is explained by new planned activities such as Regional SANS (AfricaSan 2015/SacoSan2016) under NKM, strengthening Media Engagement under A&C, preparation for Global Forum by the Directorate, and expanding its programme on equity related research and advocacy, all of which are aligned with MTSP.

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[52] Allocations in Annual Work Plan were $19.69 million, $27.42 million, 30.04 million and 58.94 million in 2012, 2013, 2014 and 2015-16 respectively as against proposed MTSP budget of $24 million, $30 million, $38 million and $108 million during the same years
[53] GSF-VfM study

Figure 6: WSSCC Strategic allocations during MTSP, 2012-16

| | 2012 | | | 2013 | | | 2014 | | | 2015-16 | |
	MTSP	Planned	Actual	MTSP	Planned	Actual	MTSP	Planned	Actual	MTSP	Planned
GSF	78%	74%	76%	80%	75%	76%	82%	69%	72%	86%	65%
SLTF	22%			20%			18%			14%	35%
NKM		9%	8%		10%	9%		12%	12%		
A&C		9%	9%		9%	8%		9%	9%		
Directorate		7%	7%		6%	6%		10%	7%		
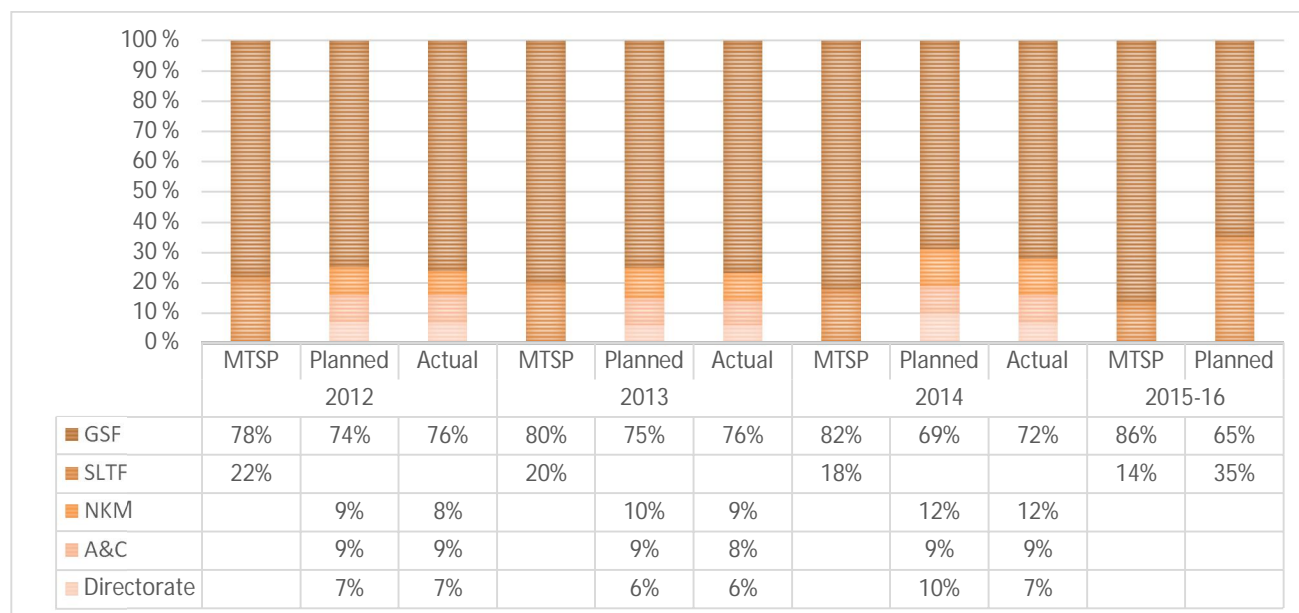
Source 8 Computed from MTSP, WSSCC Financial Reports 2012, 2013, 2014, 2015-16

Planned allocation for the biennial period 2015-16 suggests a marked shift from MTSP projections, and appears to be representative of WSSCC's current liquidity position. The above figures for 2015-16 present a best case scenario of allocation where: (1) GSF is able to demonstrate results in existing countries and is allowed to expand to 3 additional countries, and (2) SLTF focuses on equity aspects of sanitation and hygiene, consistent with the post-2015 context, and is also designed to support GSF in its efforts to improve programme sustainability, documentation and research.

These shifts in allocations are explained further by the Executive Director as a collective strategic decision undertaken by the Senior Management to ensure that GSF was not the only activity of WSSCC, and that significant resources should be allocated to equality and non-discrimination, to applied research, advocacy and communications, and to the key strategic functions of the Directorate. This resulted in doubling of the budget of non-GSF work in 2013 which was further increased to another 25% in 2015, pending availability of income.

Programme Allocation within Departments: The MTR team found it difficult to undertake a similar analysis of strategic allocation within departments, owing to a lack of coherence within the Annual Reports around how programmes are planned, prioritised and resources allocated. Our broader findings are below.

For GSF, the MTR team reviewed the Country Programme Proposals which guide the annual planning and in-country expansion process. The review indicated that GSF activities and allocations are broadly in line with the MTSP and GSF's primary mandate of strengthening processes that facilitate the construction of household toilets, focusing particularly on demand-side interventions based on behaviour change. GSF-MTE however recommends that CPPs should not be taken as prescriptive for the

entire programme period but should be reviewed periodically to reflect changes if any in the programme context that may warrant reallocation of strategies or resources.

Under SLTF, there is limited evidence to suggest strategic selectivity of activities and allocation. To illustrate, in 2012, 70% of planned allocation in Directorate was towards routine expenses (SC chair support, office costs), while areas identified as strategic priorities for this department (Institutional support through positioning, organisational development, pursuing new fundraising strategies, etc.) appear to have received less attention and allocation. While this could be attributed to change in leadership during 2012-13, there has been no significant shift in priorities during 2013 or 2014, with allocations following patterns similar to 2012. On Knowledge and Learning, the MTSP identified 4 priority themes - behaviour change at scale, equity, sanitation as a business and effective monitoring. Annual Reports suggest weaker prioritisation or progress on knowledge efforts across all themes except equity. Within the A&C department, corporate communications appear to be prioritised more than the department's other core responsibility of advocacy due in part to the volume of work ordered by other programmatic departments for production and communications support.

Further, 2012-14 Annual Reports indicate a number of instances where an absence of necessary controls to monitor progress and performance have allowed significant unexplained, un-utilised budget at end of year continuing to be funded in the following year.[54] There are also examples of unexplained budget overspends which continue to receive funding in subsequent years.[55]

The fitness of these plans for RBM is analysed further in the next sub-section. It is not clear how interventions in these plans are formulated. The evaluators have not seen any document prescribing a systematic approach, the use of problem analysis, theory of change and M&E information for example. Risk identification and assessment is regarded as an essential element in planning. This is missing from the WSSCC planning frameworks. This issue is picked up in Section 2.9. M&E strategy and planning is part of overall planning. This is not yet mainstreamed in WSSCC.

Monitoring, review, evaluation and application: WSSCC as an organisation began to apply monitoring and evaluation rigorously only in 2014 with the appointment of a Senior Programme Officer to develop the function. The detailed analysis of M&E that follows in the next subsection needs to be viewed in this light.

Regular reviewing of performance and results, at different levels of an organisation – from senior management downwards - is an essential complement to monitoring and evaluation. Effective reviewing includes not only a check on whether intended results are being achieved but also analysis of information about assumptions, unplanned results and the adequacy/quality of the available data with which the monitoring is done. Effective reviews incorporate reflection on the implications of the evidence and the identification of action needed to apply the learning.

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[54] Sanitation as a Business, Membership, National Coordinators to name a few
[55] On SLTF Programme 12 for support of SC, there has been a consistent overspend on all years 2012-14 but the Financial reports provide no justification on the rationale for allocation or reasons for overspend

WSSCC is beginning to incorporate review into its programme cycle – both at the organisation level and below. Senior Management have committed to setting aside time in their meetings to selective review of programmes. Programme teams have been encouraged to do the same. The 60 Days of Monitoring exercise was designed to illustrate to staff the power of data. There are plans to extend it. Without comprehensive flows of quality data, reviewing can seem somewhat artificial and often descends into discussion of processes. As monitoring – particularly of outcomes - extends and improves, and aligned to annual (or periodic) planning and course correction cycles, reviewing will become more meaningful. For this, it is critical that monitoring and evaluation as an activity, is closely aligned to learning as an activity, where the former is one of the inputs for learning.

WSSCC has invested in an ambitious programme of evaluation and evaluative research, facilitated by the contracted partner organisation 3ie. This is intended not only to improve WSSCC's effectiveness, but also to provide WSSCC's outputs and outcomes as public goods. This is an indicator of the organisation's commitment to learning from evaluation, alongside the slower process of building effective internal monitoring and review. Both can contribute to the development of an evidence culture in the organisation and there are arguments for keeping them together organisationally.

Reporting: Reporting in WSSCC's environment can only be as good as its M&E framework and the capture of relevant data. This is not only about quantitative data, led by indicators. It can also be about qualitative data presented authentically and in a timely manner. Reporting also needs to capture the imagination of the audience. This requires skill and judgment in presenting the data from the point of view of both quantity and quality.

Study of WSSCC's semi-annual reports shows distinct improvement in the last 12 months in terms of a results orientation. The M&E unit principally provides technical guidance to reporting ex-ante as well as facilitating a culture of reporting against results. The A&C department takes the lead in assimilating the draft reports that it receives from various departments, and the ED plays a sense-making role and produces the reflection/analysis section.

This is appreciated by SC members, although there were comments about the length of the reports. They are still held back by the lack of outcome data.

Learning: Effective RBM can contribute to organisational learning, aside from the more formal programme cycle. WSSCC has, since 2015, developed knowledge management and learning systems as a programme. Technology features strongly in the programme. There seems to be no explicit linkage between the learning programme and the M&E unit, although the latter organises learning events about, and stemming from, evaluation.

2.6.2   Assessment of WSSCC's Results Framework, and M&E system

The Results Framework: The starting point for the assessment of the M&E system and practices is the Results Framework depicted in the MTSP 2012-16. The first step was to understand and cull out the implicit and underlying theory of change contained in the document. This Theory of Change serves as the common basis for undertaking the rest of the assessment on their M&E system and practices.

A Theory of Change (TOC) is a structured way of thinking that draws out the sequential and causal pathway to explain how a programme's or an organisation's chosen inputs and strategies lead to its intended outcomes and results. Such a road map shows if the programme's 'Inputs' plus 'Activities' produce 'Outputs' which in turn lead to desired 'Outcomes' (changes in behaviour) that will ultimately contribute to programme and organisational "Goals" (impact and long-term change). It is critical that there is a shared understanding of the Theory of Change across the organisation since this form the basis of an integrated approach to programme design, implementation, measurement framework and communication.

As part of the assessment of the implicit theory of change contained in the MTSP, an attempt was made by the MTR team to classify the various components into needs/context, strategies, assumptions/risks and desired results. This helps assess individual components of the Results Framework in the MTSP and how it has guided the selection of activities and programmes during the MTSP period, and identify key gaps. For the next strategic plan, we highly recommend that a small team within WSSCC undertake the task of explicitly constructing and representing a Theory of Change before defining the results and strategies into an MTSP like document. This process is typically a collaborative and iterative exercise, where the team must engage with all relevant stakeholders within and outside the organisation.

As reflected in the MTSP, there appears to be an attempt internally to shift away from a "department approach" to a more "thematic area approach" and to find convergence of activities and strategies between the departments. Therefore, based on internal discussions within the MTR team, we concur that most programme activities undertaken within WSSCC could broadly fit the following three categories (or simply put, buckets of activities), as identified in Table 1: These fall into (1) Community Mobilisation and Demand Creation for Sanitation and Hygiene (2) Advocacy & Influence and (3) Knowledge and Learning. These broad activities may be undertaken by any of the three departments, i.e. GSF, A&C or NKM. For example, GSF has a strong advocacy component in the countries it operates in, where it finances and facilitates engagements with national stakeholders within the Government, media, civil society and entrepreneurs both to expand access to sanitation, as well as to integrate the needs of the most vulnerable and excluded populations. Advocacy and Communications of course is meant to primarily focus on these activities across locations at the national, regional and global levels. There is need for convergence between these activities, and it appears that deliberate and concerted efforts are being made in this direction, especially since 2014-15. Based on a detailed review and assessment of the MTSP Results Framework and programme theory, the following key points may be highlighted:

The MTSP articulates for the most part, all the main components of the Results Chain, although there are some issues (described in detail below) with definitions of outputs and outcomes, and of assumptions. However, these are translated into a logical framework that specifies indicators for each level of the objectives, means of verification and assumptions. The main gaps identified in assessing the underlying TOC:

1. The objectives (goals) are not always relevant to the corresponding level of the results chain

The existing hierarchy of Results mentioned in the MTSP does not clearly delineate each level of the results chain. The objectives are not clearly and precisely defined, and thus, there appears to be a fair amount of confusion and interchangeability between levels of the results chain since these are quite broadly described.

Further, we find that several "outputs" as defined in the MTSP are really assumptions, and at times, even outcomes. For example, "WSSCC inspires other organisations to deliver sanitation and hygiene programmes at scale" (output 1(f) in MTSP) is too broad and ambitious to be an output. Outputs are usually countable results directly following from an activity. For instance, "volume of investments in behaviour change communication by other public (or private organisations) increases" may be more relevant as an output, whereas the above is really an intermediate outcome (a shift in actions /attitudes of other stakeholders in the sector), or if more narrowly defined, an assumption in order for volumes of investments to increase. Similarly, of the five key result areas or "Outcome goals" defined in the MTSP, only two can really be counted towards being higher order results. The remaining three fall under Outputs or Assumptions.

It is best if Results are used to refer to only the higher order outcomes / goals, which are really only Outcomes 1 and 2, which are:
- o Tens of millions of previously unserved people in 10-25 sanitation needy countries gain access to and sustainably use improved sanitation and adopt safe hygienic behaviours.
- o Among those who gain access, poor and marginalised people and groups are identified and preferentially supported

One suggestion is to perhaps even redefine these as the highest order results of: Equitable access, Sustainable Use and at Scale. The remaining Results defined in the MTSP (#3-5) are really inputs and approaches to achieving these goals (such as networking, knowledge & skills, delivery) and not results in themselves.

This implicit hierarchy of results has already been recognised and articulated in the 2015-16 Work plan[56] which was prepared with explicit intent to reflect the reorientation in thinking about the five higher order outcomes: "*First, it will re-orient the thinking about the five outcomes such that outcomes 3 (involvement), 4 (knowledge) and 5 (delivery) are viewed as feeding into and supporting efforts by the Council to achieve outcome 1 (access and use) and 2 (equity). Second, it will give greater clarity about how WSSCC will go about achieving outcomes 1 and 2.*"

Although the MTSP Framework is meant to be very high-level since it's organisation-wide and not at a programmatic level, it should for the sake of clarity, define the intermediate outcomes as well which have to be achieved in order to attain the higher order results. Again, this has been recognised and addressed to an extent in the 2015-16 biennial work plan where WSSCC's M&E unit led a concerted effort to map existing programmes against MTSP outcomes following an implicit theory of change. Also,

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[56] WSSCC Work plan and Budget for 2015-16, Document 5, 24th Meeting of the Steering Committee, 17-18 November 2014, Pg.3

a set of intermediate indicators and related targets were identified through a participatory process to capture progress of projects and programmes.

2. <u>The "causal pathway of change" is not immediately obvious between chosen strategies and intended outcomes, especially related to sustainable use and equitable access</u>

Certain key components are missing from the Results Framework which make it difficult to immediately understand the sequence of events that show how the chosen strategies would result in the intended goals (or what we refer to as the causal pathway).

The main point is the absence of relevant assumptions at each stage of the results chain. Although a set of assumptions are listed along with the Log Frame, it is necessary to contextualise the assumptions/risks at every stage of the causal pathway. Further, breaking down the results into intermediate outcomes (i.e. behavioural changes observable in the short to medium term) and long-term outcomes (i.e. sustained behaviour change and systemic shift in practices/beliefs/conditions) would help explain better how exactly the intended strategies can be expected to deliver the higher order results. What theories, practices, and assumptions does it rely on, in order to achieve the stated goals?

Assumptions and risks are typically factors that are beyond the control of an organisation (or project) and its partners. The MTSP Results Framework identifies several risks / assumptions including high level organisational aspects pertaining to WSSCC's capability to efficiently execute its operations that could negatively affect the delivery of its programmes or achievement of stated outcomes. These have been identified against each outcome level in the log frame. However, these should ideally be identified at each level of the causal pathway, i.e. between the input/activities and outputs; between outputs and intermediate outcomes; between intermediate outcomes and long-term outcomes; and eventually in achieving impact. By doing this, it becomes explicit at each stage of the results chain, what conditions need to be met internally by the organisation and externally in the environment in order to achieve the objectives of that stage.

Furthermore, it is important to measure / track certain key assumptions and risks (say that have a high probability of occurrence or that could significantly undermine achievements). This would help explain deviations in performance of the programmes, which in turn do not result in the intended outcomes or achievement of targets. For example, easy availability of infrastructure (land and water) in required quantities are critical and directly linked to programme delivery, which would determine achievement of targets of access and equity.

In the results framework articulated in the MTSP, it is not immediately obvious how the chosen strategies of community mobilisation and demand creation; national/regional/global advocacy and influence can lead to sustainability and scalability. Although this understanding may be implicit within the organisation and accepted practice in the countries of operation, the MTSP itself does not clearly articulate the factors that ensure how the particular set of chosen strategies lead to higher order results of sustainability, equity and scale. The link between the key Strategies (such as direct investments into behaviour change programmes; advocacy for sanitation and water issues and equity; creating

knowledge resources and community of practice, networking among all stakeholders) and Outputs (such as improved adoption of safe hygiene practices, achieving ODF status, increasing investments into WASH) is clear. But, the roadmap from these outputs to higher order outcomes, i.e. sustained behaviour change at scale, and in ensuring equity is unclear. The strategies do not appear to include engaging with communities in the long-term, or addressing concerns of communities that drop off after initial gains. In this situation, it is not obvious how scale and sustainability are achieved. If the communities are agents of change, then critical assumptions are being made about their ability to garner resources required, demand for infrastructure improvements and sustain change.

3. <u>The MTSP Results Framework does not appear to guide (systematically) the preparation of annual work plans, or selection of indicators for reporting on performance.</u>

Upon examination of activities proposed in the work plan and references to the MTSP results framework, it appears as if annual work plans and strategies have been retro fitted into the MTSP Results Framework rather than the other way round. Only after 2014, with the hiring of staff for the M&E unit and an internal workshop on Results-based M&E reporting, do the work plans attempt to link activities to the stated MTSP outcomes.

The WSSCC M&E team explains the context as follows, "There was also a *lack of clarity with regard to operationalising the MTSP* into annual or biennial plans. Therefore, the annual work plans used to be a list of activities, without necessarily charting out which activity contributes to which MTSP outcome- the causal pathways were not clear. The MTSP was taken as a guiding document and was subject to interpretation. Some of it is unavoidable as the Council's work is opportunistic and it does not work in a "projectised" form. However, due to lack of capacity and focus on M&E for a good long period, there were no efforts to apply innovative M&E approaches to monitor and evaluate such dynamic and complex programmes."

Since several activities and functions pre-dated the MTSP, there appear to be certain activities that have continued over time but may not necessarily fit into the MTSP results framework. For example, the GSF M&E assessment study[57] highlights certain actions that are being implemented at the country level but are not mentioned in the global results framework. For instance, sanitation in schools, or actions that target administrative levels above communities to make it ODF (such as commune, district, abeles etc.). Another example is technologies for water treatment and safe storage (in Ethiopia), as found by the MTR team while reviewing the country proposal for Ethiopia. However, there is a larger underlying and implicit organisational approach to this. A lot of WSSCC's work planning has been and continues to be dynamic and responsive to the context in which they operate. Consciously, there are no prescriptive solutions to be applied everywhere. Therefore, it is not surprising to encounter this situation in several countries, but from an organisational perspective, WSSCC may be questioned on the motivation for continuing certain types of activities that are not explicitly integrated with the strategies outlined in the MTSP.

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[57] Global Sanitation Fund Monitoring and Evaluation System – Diagnosis Report 5 October 2015

Given the nature and complexity of the number and types of activities taken on by WSSCC, the results framework must allow for some flexibility, and more importantly allow for learning and modifications based on experience. Therefore, while the Results Framework ought to guide selection of strategies and programmes, it cannot also be too prescriptive and top-down in an organisation like this.

Reporting of results and performance is also not always or systematically done against the Results Framework indicators, although this is much improved from 2014-15. In this case, at least the indicators and targets defined in the work plans have been mapped to the MTSP outcome areas. Several indicators have been defined and measured. GSF has a long list of indicators, some of which map well to the MTSP results indicators. But there is no standardised and systematic manner of reporting against the MTSP indicators which are intended to measure progress against achievement of the five outcomes areas. The narrative reports submitted annually do reflect on the priorities of the MTSP. However, these largely tend to be descriptive and narrative reports, with limited quantitative measurement of outcomes.

Ideally, the outcome objectives at each level of the results chain should be translated into a logical framework, as contained towards the end of the MTSP document. These need to be clearly defined. Further, programme-level or country-level performance indicators should be mapped to these higher order indicators for results. This in turn must define the M&E strategy and operations for the entire organisation.

The MTSP results framework, while fairly well defined, has not by and large played its role of serving as the basis for both intervention planning (i.e. selection of strategies and programme activities) and M&E planning (i.e. robust M&E plan with regular data collection protocols)

4. <u>The MTSP Results Framework is not always seamlessly aligned with the breadth of activities covered by each of the departments and their country programmes.</u>

Apart from the MTSP Results Framework, GSF also has created a Results Framework and Logical Framework including defining indicators for measurement and an M&E Plan. GSF also maps its outcome goals against the MTSP Outcome goals. SLTF which has of course pre-dated the current MTSP and GSF has a more implicit theory of change. It appears that there isn't a clear articulation of the same in a manner similar to that of GSF. Therefore, we find that the GSF results framework (by design) is more closely aligned to the MTSP results framework. GSF being a financing mechanism is also held more accountable against specific targets and indicators, and thus is required to be more quantitative oriented.

However, there is a disconnect in that while the MTSP recognises the structure of WSSCC as comprising of two key funding mechanisms (GSF and SLTF) and its operations organised along three functional departments (GSF, A&C, and NKM), there is an explicit attempt to coordinate activities and strategies across the verticals and to represent an organisational theory of change. Following results framework described in the MTSP, it appears all activities across the three departments could be classified under three broad functional areas: (i) Community mobilisation and demand creation for sanitation and hygiene (ii) Advocacy and Influence and (iii) Knowledge and Learning. This thinking however, appears not yet to have translated into the operations to the extent anticipated by the MTSP. While there is

mention of convergence and coordination across verticals, the selection and implementation of activities and strategies appears to be guided more by past experience and present opportunities than a systematic operationalisation of the MTSP plans. Although as highlighted earlier, this is also partly because the implicit approach is to be relevant to the context and be adaptable, rather than be following a top down approach to defining work plan and individual country-level strategies.

That said, there is a visible change from 2014 with the introduction of a results based planning approach. The M&E unit describes the process as mapping "the existing programs against the MTSP outcomes that followed an implicit theory of change and depicted the causal pathways. Along with this, a set of intermediate indicators that captured the programmatic progress were introduced through a participatory process." We see this reflected in the 2015-16 biennial work plan.

Similarly, we understand there is an attempt to align reporting against indicators following a more results-based approach. A "60 days of monitoring" campaign was initiated during March-May 2015, to encourage staff and to institutionalise a culture of results-based reporting by switching to a more comprehensive and structured reporting of progress which would eventually feed into the bi-annual organisation-wide progress reporting. A short description of the campaign describes among its successes how: (i) it contributed to institutionalisation of results-based monitoring and reporting culture; (ii) it helped mainstream the monitoring and reporting structure across all staff.

Another notable effort is the attempt to consolidate and summarise the achievements between 2012-2014 against all the output, outcome and higher order goal indicators of the MTSP by aggregating up from the progress reports of all programmes across the departments. This effort, if successful would be a significant step to linking the MTSP results framework to all planning and reporting of activities across the organisation and would present a much more cohesive and systematic approach to a Results-based planning, implementation and learning model.

2.6.3   Assessment of the Existing M&E System and Practices

In order to assess the Monitoring and Evaluation function within WSSCC, the MTR team organised the various components and activities pertaining to WSSCC's M&E systems and practices in the context of a Results-based approach to Monitoring and Evaluation. Broadly, the MTR team identified the following five aspects:

1. Set up and location of the M&E function within the organisation
2. Types, sources and quality of M&E data available, and methods of collection
3. Use of evidence from evaluations
4. Data management, including where appropriate the use of Information systems and technology
5. Review and use of evidence from monitoring and evaluation for course correction and new planning

1. <u>On the set up and location of the M&E function within the organisation</u>

As is appropriate practice for an organisation its size, WSSCC has a dedicated monitoring and evaluation unit. It sits within the Networking & Knowledge Management (NKM) Department. This should fit well for the purposes of harvesting and contributing to learning and sharing within the organisation, i.e. of aggregating learning and best practices and sharing within the organisation, which is an explicit function of the NKM department. Organisationally, however, it is removed from the planning and decision making functions.

While the M&E unit is closely involved in providing technical inputs and guidelines to the process of preparing work plans and reporting narratives, it needs to play a more strategic role in using M&E information for planning to be more effective. For example, the figure below (from a WSSCC presentation on Knowledge Management & Learning Systems presentation) illustrates the link between an organisation's (or a project's) Results Framework and to the role of planning.

Further, even though the M&E team provides technical guidance to all departments, it does not play the lead role in aggregating M&E information for presentation to the Directorate and Steering Committee. However, the M&E unit takes the lead in defining the scope of evaluation studies to be commissioned as well as managing the same.

Playing such an expanded role would point to the M&E unit being sufficiently staffed and arguably independent of all other departments for purposes of aggregating, validating and interpreting data reported by different functions within the organisation. M&E is an output at the MTSP level. Therefore, there is a dedicated budget for monitoring activities which has been allocated. GSF has a separate M&E function as well as a budget dedicated to commissioning evaluations. The Senior Monitoring Officer position is currently unfilled.

2. <u>Programme Monitoring Data: Types, Methods of Collection and Quality</u>

While a lot of information is collected at the country level by country programme managers and executing agencies, and often at the individual and community level (usually for output indicators), there appears to be no standardisation of the indicators used for measurement of the results chain components. Each country reports data in accordance to its work plans, and it is only from 2014-15 that departments were required to report data on its activities along the MTSP results indicators. This again seems to be a case of retro fitting the available data into the MTSP framework, rather than the MTSP log frame guiding the selection of indicators, their definition and measurement by each implementing unit.

Data is then aggregated at the WSSCC Secretariat level, often for reporting to the Steering Committee, and raw data per se is not available readily in formats that enable further use. While GSF has a more quantitative format for reporting relative to A&C and NKM, the reporting for the most part is typically in narrative formats, making it difficult to aggregate or even compare across countries.

There appears to be some time lag in availability of M&E information. This seems largely again due to the fact that processed data are not standardised across countries. Sampling and survey methodologies

also vary, and as described in the GSF M&E assessment are not always appropriate for the purposes of rigorous measurement and to draw conclusions on progress. Time lags are particularly problematic in the context of measuring ODF status of communities. It is essential to maintain updated data on the status of ODF, as it is crucial for reporting and could potentially change in very short periods of time.

The aggregation of information at the MTSP level is not necessarily possible for all the indicators on the framework. Some amount of visualisation and analytics have been done and presented in WSSCC's advocacy material etc. However, this is limited to very few indicators as per the MTSP.

Disaggregated indicators have been formulated post-2015 and these have been aligned to the overall MTSP outcome areas. Reporting against indicators for MTSP happened for the first time in November 2015. However, some of these indicators are more targets than a true indicator of a particular component of a log frame.

The MTSP results framework has not been translated into M&E plans at the organisational level and at the department level. While it lays out what ought to be done, the operationalisation of the same in practice has not occurred. As a result, while quite a few M&E activities are ongoing, and each programme reports progress against its work plans, it has not been systematic and not directly linked to the MTSP log frame.

Most of the data feeding into the MTSP allows for a lot of self-reporting with no real means of verification. For instance, GSF data is reported by the CPM or the EA. These are the people who are meant to be doing the data verification as well, but are also appraised against the figures they submit. This may compromise data quality. In fact, the EAs and sub-grantees of the GSF have stated, in the M&E assessment, that too much data is being collected and that this data is not particularly relevant to decision making. Also, in many countries the baseline survey and outcome surveys were not conducted as per the timelines. There were time lags leading to questions in the quality of data being reported.

GSF has a heavy quantitative data focus whereas SLTF is more about policy influencing, process oriented type of work. Therefore, as far as quantitative data reporting is concerned, GSF has been more thorough than SLTF. However, the GSF M&E assessment report found that the verification system is insufficient and has a number of weaknesses.

3. Use of Evaluation

WSSCC has commissioned a significant number of independent evaluations and reviews, especially under GSF – notably of ten country programmes that received money from the GSF first tranche, a mid-term evaluation of the GSF programme itself, an assessment of the M&E practices, and a Value for Money study. However, apart from the prescribed mid-term and end-term reviews of the MTSP, there are no evaluation studies of other functions within WSSCC (of advocacy, communications, training etc.).

A big gap appears to be the lack of rigorous impact evaluations of key programmes or strategies. This is one of the reasons it is difficult to attribute causality to WSSCC's efforts or determine the extent of contributions in achieving the sanitation improvements in the countries it operates in. Further, all other

evaluation studies appear to be largely qualitative in nature and the reports are in narrative formats. This further reduces the ability to draw conclusions on effectiveness and efficiency of programmes and strategies.

4.   Baseline and outcome surveys

The GSF M&E system is intended to systematically collect data at different intervals to be able to assess progress and outcomes of their programmes.[58] A baseline and outcome survey was conducted for all programmes that reached the third year of implementation. Of the 13 countries with GSF programmes currently being implemented, only six have undertaken baselines. Of these six countries, four have carried out outcome surveys as well. Two countries have carried out baseline surveys and not outcome and vice versa. The validity of the data collected and presented for the baseline and outcome surveys has been questioned in the M&E Assessment that was recently completed. Issues in sampling, data verification and analysis have been highlighted in the report. The document containing preliminary data aggregated from the outcome survey that has been shared shows the inconsistencies in data collection and validity. There are baseline numbers missing for some indicators and some outcomes are not directly observable but deduced. This reduces the effectiveness of the surveys and therefore the reported results and impact.

While GSF has prescribed systematic guidelines for evaluation, there is no organisational policy or guidelines that specify what programmes / interventions should be evaluated, by whom, at what frequency and using which methods. For such a complex organisation with a wide variety of programmes, it would be very valuable to have a centralised and cohesive evaluation plan that must come out of the Results Framework. It is promising that the M&E team having highlighted this factor already, has explicitly included the preparation of a normative Evaluation policy as a subset of the work involved in preparing the next Strategic Plan. The stated purpose is "to have a mandate along with clear guidelines for the evaluation function – for accountability, transparency and learning that allows for course correction at critical points."

There is a management response mechanism to findings from the Mid-term evaluation of GSF in order to take concrete action where possible to integrate recommendations from the MTE. It was also reported that recommendations from the previous Mid-term review informed the strategic direction of the current MTSP. While the GSF MTE appears to have been commissioned and completed on time, the MTSP MTR has been commissioned too late into the MTSP period to be useful for making any corrections before the end of the MTSP, which is end 2016.

5.   Use of Information Systems and Technology

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[58] There are dedicated funds made available for M&E activities both under GSF and SLTF for evaluations at the organisational level as well as the country level

There is no central Management Information System (MIS) or a decision support system (DSS) in place within WSSCC centrally at the Directorate level that collates information on key programmatic and administrative/ process indicators in a coherent way for review and planning.

We find GSF maintains a central excel database and receives data from the countries, but this is aggregated on an annual basis. The WSSCC website acts as a depository of information on the work of the WSSCC and is regularly updated and maintained. It serves as a good reference platform for an external audience. There is a dedicated team reviewing content and ensuring the website is up to date. However, apart from some aggregate data on a few key outcomes under GSF, there is very little by way of reporting against results, and from an accountability / transparency perspective.

We also do not find much evidence of systematic use of digital tools which can be useful for data collection and compilation (such as mobile /table devices for surveys that allow for real-time transmission of data and better validation). Website statistics are however collected and maintained by the A&C department.

6. <u>Enabling Environment for Measuring Results</u>

Paraphrasing the WSSCC M&E team's assessment, the MTR team would like to reiterate that while the MTSP provides a results framework which should ideally have been translated to a robust M&E system with regular data collection protocols, this has not occurred in the course of the current MTSP period.

The indicators currently being used for measurement of progress and success are not necessarily aligned with the overall MTSP results indicators. Complicating this further was the fact that the MTSP regular review mechanism was limited, as a result of which there was not enough relevant information available in a timely manner that could effectively inform decisions.

The critical links between Planning for Results → M&E Framework → Selection of Indicators & targets → Compilation of information → to feedback into Planning for results are weak or non-existent. The downward links are still somewhat present, although weak – where the MTSP results framework is at least being used to prepare the latest workplans and to for reporting along the relevant indicators. However, the feedback loop into Planning for Results is almost entirely missing. Therefore, there is a gap in the link between M&E and Learning (for decision making).

The M&E team's explanation for the above has already been cited earlier – this is the result of the "lack of clarity with regard to operationalising the MTSP into annual or biennial plans...The lack of clarity overall has also led to the GSF programmes not completely aligning to the MTSP. While the MTSP is a very high level strategy, the GSF seems to be a more planned programme aligning with the sector activities and the MDGs."

Lack of capacity also appears to have been an issue. The M&E team at the WSSCC Secretariat was staffed only in 2014. The GSF monitoring staff position is also yet to be filled. At the country level, the capacity need is more in terms of clear guidelines on what to collect and how, measures for systematic data validation to ensure quality.

2.7 Secretariat Structure and Staffing
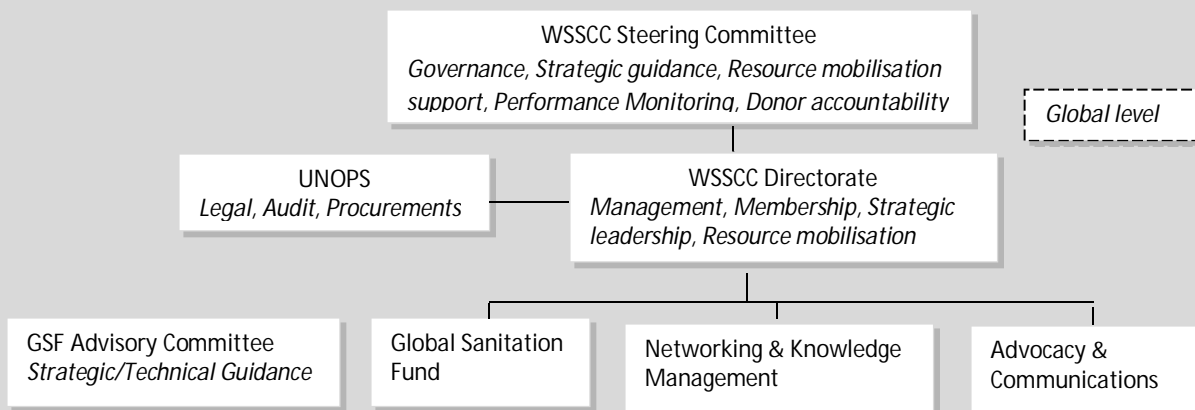
2.7.1 Structure

The WSSCC secretariat is organised around 4 departments: Networking and Knowledge Management (NKM), Advocacy and Communications (A&C), Global Sanitation Fund, Governance and Management (Directorate). Box 6 below depicts this structure and its relationship with the other key elements of WSSCC's management and governance system: the Steering Committee, the hosting agency UNOPS, the National Coordinators, and the various GSF delivery mechanisms. These other elements are described in other sections.

The staff of WSSCC is contracted through UNOPS and is subject to applicable UN regulations and rules, UNOPS rules, policies and procedures, on all aspects including salaries and benefits, designations, performance management and learning & development.

A departmental planning exercise in 2013 led to a definition of functions for the four departments. The underlying structure – the one in place at the beginning of the MTSP period - however remained the same. The functions of the four departments were described as follows:

- Networking and Knowledge Management: This department contributes to MTSP outcomes 1-4, through functional areas: (i) Analysis, Knowledge and Research, (ii) National and Regional Policy and Advocacy, (iii) Coordination, Collaboration and Partnerships, (iv) Monitoring, Evaluation & Learning and (v) Networking, Events

- Advocacy and Communications: Contributes to MTSP outcomes 1-4, through functional areas: (i) Global Advocacy, (ii) National and Regional Advocacy and Communications, (iii) Corporate Communications and Media/Outreach/Marketing, and (iv) IEC Publications and Production

- Global Sanitation Fund: This department primarily contributes to MTSP outcomes 1 and 2, and manages the Global Sanitation Fund that provides grants to sanitation and hygiene programme in countries.

- Directorate: Functions cut across all 5 MTSP outcomes. Functional support to Departments include: (i) Positioning, (ii) Resource Mobilisation, (iii) Private Sector Engagement, and (IV) Membership Strategy. Organisational Functions include: (i) Management and Administration, (ii) Support to Departments, and (iii) Governance mechanisms and support

Box 6: WSSCC Organisational Structure

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| Country Programme Monitor *Programme Oversight* | Executing Agency *Country programme design and delivery* | Programme Coordinating Mechanism *Country strategy guidance, Links to policymakers* | National Coordinators *Country strategy guidance* |

| Sub-grantees *Programme delivery at local-level* |
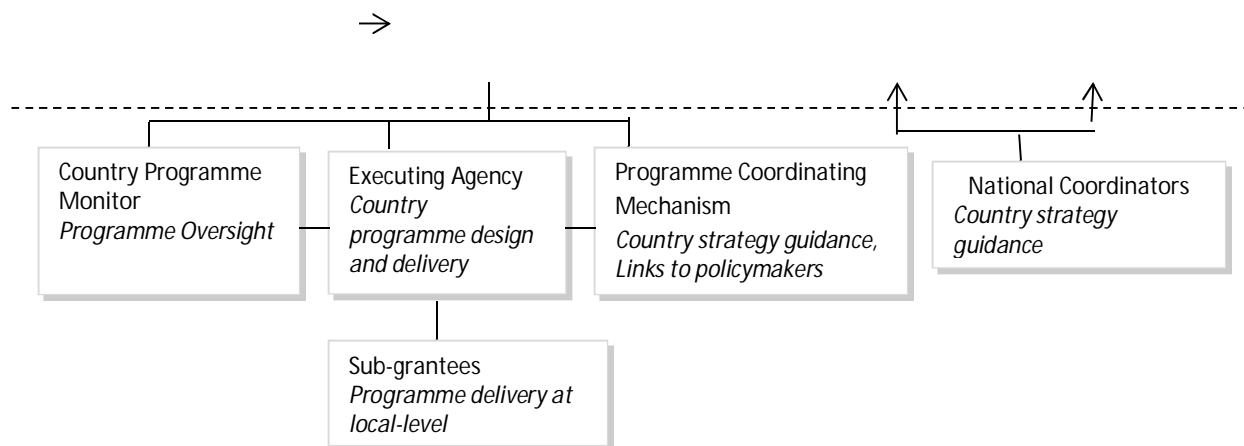
Additionally, the 3 programme departments were said to undertake the following support functions: (i) management and administration, (ii) organisational development, and (iii) positioning and donor relations.

An indicator under Outcome 5 (Delivery) in the MTSP proposed that: "The Secretariat staffing structure evolves by July 2012 as needed to deliver the MTSP results". Leaving aside the reference to July 2012, there are questions about the extent to which the structure has kept pace with changes in WSSCC's work. During the MTSP period there has been a rapid evolution in the balance of work, particularly in the NKM department. It is widely acknowledged in the Secretariat that the current structure no longer reflects this balance and needs to be revised. The structure was described by the Executive Director as no longer "fit for purpose". In his view it leads to blurred reporting lines and causes tension and confusion. The most obvious anomaly, widely acknowledged by senior management and other personnel, is that NKM is mostly focused on equality and non-discrimination and not only from a knowledge perspective. Another is that advocacy, especially on policy, is carried out throughout the organisation.

Indications of these difficulties include references by several governance and other key informants to weaknesses in the WSSCC's analysis, knowledge and research function, and the appearance of national and regional advocacy as a function under both NKM and A&C. There is nothing inherently wrong in two departments contributing to the same function, as long as this is well-coordinated. The acknowledgment by staff[59] and other stakeholders that coordination between WSSCC's departments is far from optimal suggests that overlaps and other structural issues need attention.

Another apparent anomaly is the location of the monitoring and evaluation function in NKM, particularly as that department's analysis, knowledge and research function appears currently not to be a strong feature of its work. This could affect the way people in the organisation perceive M&E – in terms of its status and orientation - particularly when GSF acquires a monitoring officer. In a small or medium sized organisation, these factors may not matter as long as the M&E unit has – and is seen to have - the

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[59] Ref staff survey result.

backing of apex management. This appears to be the case. A bigger issue is probably the size of the unit in relation to the tasks facing it – including the management of the ambitious evaluation portfolio.

In spite of the Executive Director's acknowledgement that the structure needs revising, the need to obtain SC approval, combined with his view that changes should await the outcome of the MTR and new strategy development process, are likely to lead to a continuation of the misalignment for at least another 12 months. Proposed structural changes were presented to the SC at its November 2015 meeting, but were not flagged for decision.

Even if the functions of the two SLTF departments were optimally configured, there would still be a question of how GSF relates to those functions, how they complement each other in helping WSSCC achieve its high level objectives. There is disquiet about this among a number of stakeholders. It is an issue that a straightforward restructuring is unlikely to solve on its own.

SC members interviewed were not very critical of the current structure. There was a feeling with some that synergies needed improving. They felt that the Executive Director had too much to do and that the organisation also needed a position like a chief operating officer, one that spent most of the time in Geneva, "looking after the ship". This was echoed in several of the comments by staff.

2.7.2   Staffing

At the end of 2015, there were 38 staff in the Secretariat, spread over the four departments as recorded in Table 9. The table also contrasts the 2015 distribution with that at the beginning of the MTSP period.

Table 10 shows that the staff has more than doubled in size, and that this expansion is distributed fairly evenly across the four departments. The 120% increase in staff compares with an increase in the total WSSCC budget of x% over the period in question.

Table 9: WSSCC Staffing patterns during the MTSP (2012-16) period

	2012				2015			
	Directorate	GSF	NKM	A&C	Directorate	GSF	NKM	A&C
Executive Director (ED)	1				1			
Programme Director/Manager (PM)		1	1	1		1	1	1
Senior Programme Officer (SPO)	1				1	4	2	2
Programme Officer (PO)		3	1	2	2	3	4	2
Programme Associate				1			1	1
Programme Assistant (PA)		2	1	1	2	2		1
Financial Systems Advisor						1		
UNOPS Service Staff					2			
Finance/Administration Staff (F&A)	2							
Consultants								
Total	4	6	3	5	8	11	8	7

Source 9 Staffing figures provided by WSSCC

Although the staff has increased substantially, there are suggestions that there are significant constraints which may have affected operating divisions at various times in the MTSP. Annual work plans and end of year Progress and Expenditure Reports indicate that these constraints and shifts in staffing have impacted programme delivery in the first 3 years of the MTSP, and have underpinned lower than expected utilisation rates in programme budgets and delays in taking forward strategic components identified in the MTSP and since, such as the new country engagement strategy and M&E in GSF. Two reasons for delay in resolving staffing constraints, identified by the Executive Director, are the need to gain SC approval for new staff and the slowness of the UNOPS hiring process.

In the staff survey, less than half (44%) the respondents described their workload as too heavy, while 51% stated that it was about right. This balance is not unusual for an organisation in expansion and transition. Whatever the reason for the balance of response, it does not point to a staff under extreme pressure across the board.

The staff of WSSCC are contracted through UNOPS and are subject to relevant UN regulations and rules, and UNOPS own rules, policies and procedures, on all aspects including salaries and benefits, designations, performance management and learning & development. There is a consensus among staff and other informed stakeholders that UNOPS services and support generally have improved significantly over the MTSP period. However, there do appear to be deficits in the area of support for staff management. There are indications that this stems partly from the fact that this area of UNOPS hosting platform is less developed than other areas. It may also be due to deficits in capacity and effective procedures and processes on the Secretariat side of an area of management that cannot be fully devolved to an external agency like UNOPS. Several staff called for the creation of a human resource position within the Secretariat. The management of staff is analysed in more detail in the next section.

2.8   Staff Management and Organisational Development

Staff management and organisational development are very broad fields and the scope of the evaluation does not allow us to be comprehensive in our coverage, nor does it permit multiple sourcing of data, for example through observation. The main source, but a reliable one because of its high response rate[60], is a census survey of Secretariat staff. The survey was complemented by interviews with 3 managers and other staff, and some members of the Steering Committee, who had insights into this area.

A summary of the results from the closed questions in the staff survey is given in Table 10. applying a commonly-used scoring formula[61] to the results, exactly half of the statements that respondents were asked to score produced a net positive result and half a net negative.

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[60] 38 responses out of 39
[61] These questions asked respondents to indicate their degree of agreement or disagreement with positive statements. Two points were awarded for strong agreement; one for agreement; minus one for disagreement; and minus two for strong disagreement. The neutral point in the middle of the scale was not given a score. The points were aggregated and then divided by the number of respondents

The most positive responses were about commitment and motivation, including perceptions of the commitment of their supervisor. Most staff knew their own job objectives, those of their department, and what their department was achieving. They generally felt supported within their departments and believed that people cooperated well at this level. Most staff felt comfortable with being open about things that had not gone well in their work.

This contrasts markedly with staff views about the organisation beyond their own departments. The majority had a negative view of cooperation across departments, including among senior management, and of internal communications. Few felt that they had sufficient knowledge about other departments' objectives and what they were achieving. The majority of staff were not satisfied with career and learning opportunities at WSSCC. The most negative views were about addressing poor performance, a result which usually points to weaknesses in performance management procedures.

A post now has organisational development – and in particular the promotion of complementarities between departments – as part of its portfolio; but it has little capacity for this part of its portfolio and would appear to lack a strong steer at present from senior management.

Staff perceptions of the organisation and its management - positive and negative - were elicited and discussed in a retreat that took place in December 2015, largely at the staff's instigation. Staff in individual interviews with the evaluators voiced concerns. These are indications of a climate in WSSCC where most staff are committed to the success of the organisation and not afraid to speak out about their ideas and frustrations.

The MTSP period, particularly since the appointment of a new Executive Director in 2013, has seen the initiation of a number of substantial organisational change processes. The creation of the WSSCC M&E function, financially supported by a former donor, DFID, is a major initiative with wide-ranging repercussions. The membership function was shifted to the Directorate in 2014. In 2015, a new post was created to reform country engagement, including the development of new approaches for the membership strategy formulated under the NKM department and approved by the SC in 2013. Other change processes have involved the commissioning of external consultancies for identifying improvements. These include reviews of:

- GSF Operations and Systems
- GSF M&E
- GSF Value for Money
- WSSCC Branding and Communications
- Membership

These initiatives point to a high degree of ambition in senior management and have raised expectations. Progress in implementation however has been slow in several areas, for example with the membership strategy. A significant contribution to the delays in progress seem to be the afore-mentioned staffing constraints, including the absorption capacity of management to steer the changes. The inter-connectedness of some of the initiatives, such as changes in membership and country engagement

strategy, has also played a part; and with an impending strategic planning process, there has been a

Staff Survey Responses (n=38)	Index score

tendency to put some on hold.

Staffing and other constraints on implementation appear also to have affected program management initiatives. For instance, under the SLTF, those that appear to have been impacted include knowledge and advocacy activities in the areas of Sanitation as a Business, Strengthening national monitoring systems, and WSSCC's Community of Practice – all of which were identified as critical to achieving planned MTSP outcomes. In the case of GSF, staffing constraints appear to have had implications to critical strategic components including progress against knowledge and research activities, such as undertaking research or evaluations relating to programme outcomes/impact and implementing GSF's knowledge guidelines for programmatic learning, among others.

From an organisational standpoint, delays in filling the planned GSF M&E staff position has had implications on getting in place systems to capture and measure performance and progress against planned results.

Table 10 Responses from Staff Survey conducted during the MTR

I am motivated to see WSSCC succeed	1.27
I am willing to "go the extra mile" for WSSCC	1.11
My supervisor demonstrates a commitment to a high level of achievement for our work	1.05
I feel comfortable with being open about things that have not gone well with my work	0.84
I know the objectives of my department	0.73
My supervisor gives me positive feedback on my successes	0.65
In my job, I have clearly defined objectives	0.52
I know what my own department is achieving	0.38
People I work with respond well to new challenges and opportunities	0.35
I have the tools and resources to do my job well	0.32
I feel encouraged to come up with new and better ways of doing things	0.27
People in my department cooperate well	0.27
I feel comfortable about raising concerns at work	0.24
My supervisor understands my work and the challenges I face	0.19
My job requirements are properly communicated to me	0.08
I know the objectives of the other departments in WSSCC	-0.03
My supervisor gives me feedback constructively on areas of my work that have not been very successful	-0.08
I am fairly treated at work	-0.08
My job makes good use of my skills and abilities	-0.11
I would recommend a friend to apply for a job at WSSCC	-0.11
I am satisfied with my job and my working environment at WSSCC	-0.30
I know what the other departments are achieving	-0.38
I am satisfied with the opportunities WSSCC offers me to progress my career	-0.41
I am satisfied with the professional learning opportunities at WSSCC	-0.54
WSSCC is good at keeping me up-to-date with developments that affect me and my work	-0.68
WSSCC is effective in the use of its resources	-0.68
Senior management is held accountable for achieving results	-0.84
People cooperate well across departments	-0.95
Senior managers work well together in achieving results	-0.97
Poor performance is effectively addressed in WSSCC	-1.22

2.9   Risk Management

Risk management has been highlighted as an area of concern by SC members and observers. The MTSP stated that

> "WSSCC and UNOPS will develop and implement a risk management strategy that will include planning and managing the work in case the budgeted income is not received. This would have consequences for the achievement of the results stated in the Results Framework."

This does not appear to have happened.   The MTSP results framework contains a number of assumptions relating to implementation and outcomes. There is no evidence that these have been systematically followed up in the form of a risk register, monitoring and where relevant support and mitigation strategies. The 2015-16 Work Plan did not identify assumptions or risk for the each of the 41 programmes. GSF generally has a different risk profile from SLTF. It has safeguards against risk in its extensive management and oversight ecosystem. This is expensive and there is no way of knowing whether it has to be so extensive in every country without a rigorous risk assessments and monitoring. This is a clearly an area of management that needs reviewing in partnership with UNOPS.

2.10 Hosting Arrangements - UNOPS

WSSCC's operations were transferred from WHO to a new host, the United Nations Office of Project Services (UNOPS) as of January 2010. The External Review of WSSCC's earlier Plan notes that

> "*The shift from WHO to UNOPS as the host agency has been a positive move as it has created an enabling environment for the GSF although processes for employment within the UN in general are still quite cumbersome and this does still limit WSSCC's ability to be as flexible and reactive as it would wish to be. The shift to UNOPS enabled WSSCC to elaborate and implement a comprehensive financial management system for the GSF.*"

The hosting arrangement was originally intended to support WSSCC with its transactional service needs, with UNOPS signing up to provide administrative, financial and operational support in accordance with international fiduciary standards. During the ongoing MTSP period, UNOPS appears to have gained a deeper understanding of WSSCC's programmatic areas of work and corresponding needs in terms of financial planning, budgeting, monitoring and reporting and in other areas such as recruitment, partner selection and procurement. It is understood that this knowledge, combined with WSSCC's more recent shift towards a results-based management culture internally is fully endorsed by UNOPS, as these developments have helped UNOPS to engage more actively with WSSCC at a programmatic level so as to help ensure value for money and optimal use of resources within its programmes.

UNOPS has also been playing a more active and prominent role in filling the accountability, transparency and oversight requirements of WSSCC's Donors and Steering Committee. The "UNOPS Accountability Framework and Oversight Policies" provide the necessary internal control framework to broadly guide WSSCC and UNOPS on management and oversight in the areas of financial management, human resources, procurement, general administration, grant management and reporting of results.

It is understood from stakeholders that the existing hosting arrangement with UNOPS has been broadly satisfactory during this MTSP period. UNOPS' contributions, particularly in the areas of grant management, maintaining a financial management system, expenditure monitoring in terms of utilisation for intended purpose, and financial reporting to the WSSCC Board, are well noted. Prior to WSSCC's shift in 2014-15 towards a results-based management approach to work planning, UNOPS' support to financial planning, budgeting, reporting and oversight was limited to the extent that performance information and programme progress was monitored and made available by WSSCC's management.

It is unclear to what extent UNOPS advises on staff planning and organisational structure or whether this is even sought by WSSCC's management, but their support in general administration services and grant management broadly appear to be meeting the requirements of WSSCC. There appear to be deficits in support for human resource management and risk management.

UNOPS maintains stringent procurement processes where internal hires and programme delivery partners (including grantees, suppliers, and vendors) are subject to a competitive selection process. This includes selection of vendor for advocacy, communications and outreach activities as well as for procurement needs within the GSF programme. In the case of GSF, UNOPS engages at the level of

selection of Executing Agencies and Country Programme Monitors and ensures that this process is rigorous and leads to the selection of agencies that are best able to carry forward GSF implementation at the scale in which it has been envisioned in the MTSP.

Travel is an important operation managed by UNOPS. WSSCC staff across all operational divisions travel very frequently on field missions and organisational events such as bi-annual Steering Committee meetings add to the load.

In summary, it is noted that UNOPS at once hosts WSSCC and provides services. The hosting arrangements are described by the Executive Director as "*invaluable and impossible to place a price on UN status other than to say that the Council would not be able to operate as it does without UN status. Further, the management of WSSCC is completely substantive and focused on programme management. It does not have to recruit or manage its own team of accountants, fund managers, HR personnel, travel staff, legal advisors, procurement officers, and grant managers. The SMT regards this as real advantage, and one well worth paying for. Finally, it should be noted that UNOPS procedures are 10-15 years ahead of the large UN agencies (UN Secretariat, WHO, UNICEF), and the efficiencies are considerable. To have all this for 11% is a bargain*". This said, WSSCC has concerns about the quality of the services it receives from UNOPS. In January 2016 it established the WSSCC-UNOPS Operations Task Team which has met several times. Focus is on HR and Fund Management, two areas identified as needing improvement.

2.11 Governance

WSSCC is governed by a Steering Committee (SC) which meets twice a year. The rules and procedures for the SC were first set out in a document in October 2011. Prior to that, arrangements were more ad hoc, but pressure was brought to bear on WSSCC to formalise them after the launch of the GSF.

The composition of the SC reflects the status of WSSCC as a membership-based organisation. Up to nine seats are filled by election by and from the WSSCC Membership. Seven of these nine represent the members in regional constituencies: Eastern and Southern Africa; Middle, Northern and Western Africa; Southern Asia; South-Eastern and Eastern Asia; Eastern and Central Europe, Western and Central Asia; Latin America and the Caribbean; Small Island Developing States. The up to two remaining are elected to represent all members in this category, wherever in the world they live: the so-called "global region". The constituencies were fixed many years ago based upon a standard UN categorisation. The MTSP stated that they would be reviewed during the period of the Plan to ensure that they reflect the current focus of WSSCC's work. This review has not yet taken place.

In addition to the regional seats, there are two filled by WSSCC members who represent a UN and a non-UN partner agency. The SC also has three ex-officio members: representatives of WSSCC's current Host Agency, UNOPS, and former Host WHO, and the Executive Director

Donors that currently contribute more than $100,000 per year to WSSCC can be permanent non-voting observers at the Steering Committee's meetings. Finally, up to four persons can be invited to observe by the Chair, including, potentially, a representative of WSP on a reciprocal basis.

The Chair is a non-executive, voluntary and part-time position. Among the holder's responsibility is primary line management of the Executive Director, despite the latter's administrative accountability to a manager in UNOPS.

The principal roles of the SC, as set out in the Governance document, are:

1. To decide the policies and strategies of WSSCC
   - Deciding the overall mission, aims and objectives;
   - Maintaining awareness of the external environment within which WSSCC works;
   - Approving the long-term strategy and strategic work plans;
   - Approving the operational policies.
2. To ensure the financial viability of WSSCC
   This includes:
   - Playing an active role in mobilising resources for WSSCC's work;
   - Scrutinising and approving the budget and accounts;
   - Establishing and monitoring the financial management system.
3. To monitor the performance of WSSCC
   This includes:
   - Establishing performance measures for WSSCC, and judging its performance against those measures;
   - Proactively monitoring the practical application of the policies and strategies that it has decided;
   - Commissioning external evaluations of WSSCC's work as and when needed.
4. To appoint the Chair
   This includes:
   - Searching, identifying and appointing the Chair;
   - Determining the terms, conditions and term of office of the Chair.
5. To play an active role in selecting the Executive Director
6. To manage the governance processes
   This includes:
   - Agreeing clearly which matters are part of its governance work, and which are part of the Executive Director's management work;
   - Optionally, establishing sub-committees or working groups to which it may delegate some of its own work subject to agreed terms of reference;
   - Specifying the delegated authority of the Chair to take decisions in the Committee's name between Committee meetings;
7. To represent the interests of WSSCC's Members and stakeholders
8. To be morally accountable to WSSCC's donors
9. To set rules for its own meetings

The roles set out in the Governance document are typical of a governing board of a non-governmental institution like WSSCC. However two roles that are normally explicit in the TORs of boards like this are oversight of risk and of legal and ethical conduct, both with respect to the organisation and the board[62].

SC structure and process: There is a consensus among informants that there are significant advantages in the SC having constituency members. It gives the SC legitimacy as the governing board of a membership-based organisation, and it potentially provides for transparency in selection. As members generally are active in the WASH field, it should ensure that experience in the field is brought to bear on the board's deliberations. The regional basis for elections ensures that experience is widespread.

SC members are not directly accountable to their constituencies. They do not come mandated and do not report back. An indicator in the 2015-15 work plan calls for SC members to "effectively report at SC meetings the feedback from their constituencies on work plan, scope of work of WSSCC". This does not appear to happen systematically. The lack of explicit regional accountability is seen by some as a weakness in that their commitment to regional priorities is not assured. However, from the perspective of board cohesiveness and collegiality, it is an advantage. Board decisions should be made in the interests of the whole organisation and its strategy, and not in a market place of sectional interests.

There was some disquiet among informants about the effectiveness of the regional election process. For example, there have been instances of single nominees for election. There is criticism that criteria for SC membership are not concrete enough. Set against the potential advantages of elected SC members is the lack of control over selection by the Chair. This could lead, and in the opinion of several informants has led, to gaps in skills and experience that are needed on the board, such as financial and risk oversight. It can also lead, as at present, to gender imbalance: only one of the regional representatives currently is a woman. Gender balance is an issue wider than the regional representation. Apart from the woman regional representative and one of the donor observers, all SC members in 2015 were men, despite a target in the 2015-15 work plan of 30% women membership.

There is no sense in which members are being selected to perform specific roles on the board. This may partly explain why sub-committees for particular board work have not been formed. This is unusual in a board and is seen by some informants as an obstacle to board effectiveness. It is hoped that the re-activation of WSSCC membership will incentivise members to be more active and engaged in the Council's work and lead to improvements in their contribution to the SC. Quite how this would happen is not clear.

There is a consensus that the presence of donors is a valuable asset. Although they only have observer status, the donor representatives play an active role in discussions, contributing their perspectives on priorities and strategies. At the November meeting, one donor representative volunteered to lead an initiative in learning from the GSF MTE. A donor informant explained their perspective on this in these

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[62] See for example Keith A. Bezanson and Paul Isenman. Governance of New Global Partnerships: Challenges, Weaknesses, and Lessons. CGD Policy Paper 014, Center for Global Development, Washington DC, 2012.

terms: "[Our] stance is that donors are not silent observers at the SC and can be vocal if there is a need and the SC appears to take cognisance of opinions/points from non-voting members".

There is general satisfaction with the presence of partner representatives, two informants calling for this constituency to be increased. However, the WSP reciprocal membership arrangement has not worked in practice. WSP has recently undergone radical changes in its relationship with the World Bank. The World Bank intends to participate in the November 2016 SC meeting instead of WSP.

Although voting is allowed for, in practice decisions are made by consensus. This reinforces collegiality and allows non-voting members to play a full part. However it has the potential to lengthen discussion[63], delay decisions, and/or lead to excessive compromise. It also potentially gives non-voting members equal influence with core members. There may be advantages in this, but it flies in the face of the SC constitution.

Most of the board business is conducted in the two annual plenary meetings. These generally last two days, cover a very full agenda, and are generally seen as too short to cover all matters in sufficient depth. When asked how well they see the SC fulfilling its main roles, informants expressed mixed views, but the overall picture was of a board, well lead, but under strain because it has too much to cover in the time allowed. The following comments illustrate this:

> "The SC needs to be more involved in the Council's work. It therefore needs more time to look at and discuss the reports and issues from the secretariat".
> "I think the board meetings are too short and really rushed".
> "There's too much presentation and not enough time for discussion around critical issues".
> "This is not a well-utilised SC or good use of resources. There must be more time for debate and decision-making and less information".

Informants said that there was insufficient time to read the large volume of documents which limited the quality of discussion. "The reports are often bulky and so many issues to consider but little time to do so." At the November meeting, it was observed that there was very little engagement with the detail of the ED's narrative report which is a fundamental vehicle for oversight of performance. One pointed out that it would help to receive only critical information or key highlights in "a concise/dashboard format" such that it is easier for review and feedback. Another said there should be more information on cost efficiency and cost effectiveness. Another proposed that to help them process the information more effectively, it should be shared "periodically through the year so the Board is kept updated of developments".

There are suggestions that there is a need for clearer protocols on information and more discipline in agenda management. One member proposed that the "Secretariat needs to be more precise about what they want to promote to have decided by the SC [...] Not enough effort from WSSCC to engage the

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[63] An example at the November meeting was the long and inconclusive discussion around clarifying the criteria for selecting partner agency representatives on the SC.

SC and push them to be more prepared." There was a specific recommendation for the adoption of the 'annotated agenda' approach. The informant explained the approach in the following terms: "Every [agenda] item needs to be considered and every decision examined. The decisions are also numbered for future reference so that thereafter, they are referred to by the number of the decision. If there is action that needs to be taken on any issue, it will be taken and according to the number, it is reported in the next meeting." In observing the discussions that took place at the SC November meeting without leading to decisions, the evaluator was left wondering how they would be followed up by the Secretariat.

Informants were asked about the strengths and weaknesses of the SC in particular functional areas
The weaker areas, according to the informants' responses were

- *Ensuring that WSSCC has the necessary human and financial resources to operate effectively.* One proposed that this needed a sub-committee.

- *Overseeing risk.* This is probably the biggest deficit area. One member said they receive no info about risk. Another thought they needed "a proper risk framework alongside the budget and work plan". (The WSSCC's approach to risk is examined in Section 2.9.)

- *Ensuring performance accountability. There* was a consensus that this was an improving area, as information on results improved, but there was still a long way to go both in the information provided and the engagement by the SC.

- *Ensuring financial accountability.* This was a major deficit area alongside risk. There were suggestions that there was combination of factors at work: lack of information e.g. on the reasons for expenditure variance and the lessons learnt; insufficient time to scrutinise properly; missing competencies in financial matters in the SC.

- *Representing WSSCC and its interests externally.* There was a sense that the SC was not given advance information about opportunities or helped to understand what their role might be.

There was more confidence in the Board's ability to perform the following roles:

- Ensuring that WSSCC pursues its goals and mission and does not depart from them without good reason

- Upholding the ethical standards of the WSSCC through transparency and avoidance of conflicts of interest.

- Guiding WSSCC's future strategic direction.

- Maintaining effective relations with donors (helps to have donors in the SC meetings)

- Planning and making decisions on succession to the Chair and post of Executive Director

The governance document provides for the SC's role in deciding the policies and strategies of the WSSCC. From the SC minutes it is clear that the MTSP and subsequent work plans were approved by the SC, but there are few insights into the amount and quality of discussion preceding these decisions. During the MTSP period the SC does not seem to have been instrumental in leading or approving any

significant change of direction as far as programme orientation is concerned. SC informants were divided in their estimation of the SC's effectiveness in this area, the majority not expressing overall positive views. The current strategy development process will be a test of the SC's effectiveness in this respect.

An indicator under Outcome 5 (delivery) in the MTSP proposed that: "By 2014 WSSCC's governance mechanisms [would] reflect the scope and strategic orientation of its MTSP". Although there are many positive findings about WSSCC's governance, there is clearly a need for aspects of it to be reviewed and improved. The outgoing Chair believes that the time is ripe for a fundamental review.

Donor Accountability Meetings: In addition to the SC activity, there is an annual Donor Accountability Meeting where accountability to the donors from the Steering Committee and from UNOPS is jointly discharged in addition to regular reporting. This meeting is chaired by the Chair of the SC. No other SC members attend.
The purposes of this meeting according to the Governance document are:
- To maintain a good relationship between the Host Agency, Steering Committee and donors in accordance with principles of accountability, transparency, knowledge of each other's views, and common planning, reporting and accounting.
- To create time to discuss in detail issues that is specific to donors as well as general issues.
- If deemed legally valid by the donors and the Host Agency, to provide an efficient mechanism for the donors to give to the Host Agency their formal approval of items that are specified thus in the donor agreements.

The Donor Accountability Meeting is seen as very useful by both sides. Although there are still deficits in the information provided, the meeting is said to be conducted in a spirit of openness. It is built on, and reinforces, trusting relationships between the parties.

2.12 Funding: Portfolio, Progress and Status
Table 10 below provides a summary of WSSCC's funding status, indicating actual receipts during 2011-2014 and donor commitments for the period 2015-16, which is the remaining duration of the MTSP. The following points stand out:

- Support for the MTSP has come entirely from bilateral donors
- Almost 80% of the MTSP funding has come from 3 donors – DGIS (Netherlands), SIDA (Sweden), SDC (Switzerland)
- Finland was added as a donor during 2013 (contractual details are unavailable)
- DFID did not renew their commitment after 2013
- NORAD extended support in the years 2011, 2012 and 2015
- Apart from cash on hand of $12.1 million, WSSCC's income situation for executing the biennial work plan 2015-16 at an expenditure commitment of $90 million (high budget scenario) is unclear. The MTR team does not have any further details on the contractual commitments available to WSSCC beyond 2015 and its adequacy to meet its planned expenditure and

obligations for this period. It is understood current donors (in particular, SIDA and SDC) are about to renew their commitment during 2016 (details on renewals are unavailable)

WSSCC has been making efforts to expand its funding base to include more bilateral donors and other types of organisations. WSSCC is also examining other fundraising strategies, including mobilising in-country funding (including government resources or other donor-supported programmes) and through private sector engagement. More recently, WSSCC has reached out to four Gulf States, signed an agreement with a fiscal agent in the US to receive private contributions, played an active role in the CEO Water Mandate of the UN Compact including 50 private corporations, and worked with IFFI Board at GAVI and other Sector actors to explore social impact investing. The Council worked systematically in 2015 to establish a Long-Term Prospectus, 2016-2030 and a Fund Request 2016-2020 that provided the basis for core donors to establish new contribution grant agreements to fund WSSCC for five years. The MTR gathers that four governments are finalising five year agreements and two core donors will establish 1 year agreements.

WSSCC has recruited a full-time fund raising officer, established a Resource Mobilisation Task Team. Fund raising takes up 75% of the time of the Executive Director.

Table 12 below provides a breakdown of funding allocation by the two trust funds – GSF and SLTF. Annual allocations across the trust funds appear to be in line with MTSP budget projections, broadly indicating a 75:25 spread across GSF and SLTF during the MTSP period 2012-14.

Table 11: WSSCC Total Income Receipts for the period 2011-15 (amounts in USD)

Income Source	2011	2012	2013	2014	2015
AusAID, Australia	3,764,050	6,078,600	2,834,100	-	789,272	-
Finland	-	-	2,554,276	1,365,508	1,089,322
DFID, UK	2,018,900	1,581,550		-	-
DGIS, Netherlands	13,268,940	23,182,360	9,375,000	9,375,000	4,600,000
SIDA, Sweden	7,663,243	22,243,249	2,259,240	7,635,243	1,733,518
SDC, Switzerland	3,626,550	7,441,697	5,362,488	5,569,789	3,173,884
NORAD, Norway	755,471	712,855	-	-	364,887
Other income					-
Partnership services - London SHTD	88,309		-	-	-
Partnership Services - UNICEF-SWA	96,300	-	-	-	-
Interest Income	186,560	257,951	423,268	340,465	328,559
Total Income Receipts	31,281,763	61,498,262	22,808,372	24,286,006	12,079,443

Table 12: WSSCC Income Receipts and Allocation for the period 2011-15 by Trust Fund (amounts in USD)

	GSF				SLTF			
Income source	2011	2012	2013	2014	2011	2012	2013	2014
AusAID, Australia	2,047,313	3,039,300	1,417,050	0	1,716,737	3,039,300	1,417,050	0
Finland	0	0	1,277,138	685,238	0	0	1,277,138	685,238
DFID, UK	0	0	0	0	2,018,900	1,581,550	0	0
DGIS, Netherlands	11,066,940	23,182,360	7,031,250	7,031,250	2,202,000	0	2,343,750	2,343,750
SIDA, Sweden	5,364,271	17,794,589	947,778	5,382,572	2,298,973	4,448,660	1,311,462	2,247,704
SDC, Switzerland	3,077,435	6,346,527	4,280,822	4,455,832	549,115	1,095,170	1,081,666	1,113,958
NORAD, Norway	0	0	0	0	755,471	712,855	0	0
Other income	157,464	236,598	349,940	281,821	213,705	21,353	73,328	58,645
Total funding	21,713,423	50,599,374	15,303,978	17,836,712	9,725,804	10,898,888	7,504,394	6,449,294
% Total funding	69%	82%	67%	73%	31%	18%	33%	27%

Notes: 1) Income for all fiscal years (2012-14) were taken from WSSCC's Financial Reports
2) Expenditures for all fiscal years (2012-16) were taken from WSSCC's Annual Work Plans and Budgets
3) Table 12, income from SIDA for 2015 was taken from SIDA contractual agreement (As per SIDA agreement shared with the MTR team, payment schedule indicates a final receipt of SEK 10, 000,000 as of July 1, 2015). This needs to be validated by WSSCC. Also exchange rate applied 1SEK = 0.12 USD

3 Conclusions and Recommendations

3.1 Planning, Monitoring and Evaluation

3.1.1 Results Based Management in general

Prior to the MTSP, WSSCC's monitoring and evaluation infrastructure was weak. The results framework in the 2008-2012 Work Plan lacked consistency and coherence, actual monitoring was patchy, and the organisation lacked a results culture.

WSSCC made a commitment to results-based management (RBM) in the MTSP. The introduction of RBM implies a transformational change and requires a strategy and significant resourcing. Its principal components – such as a Theory of Change, results framework, M&E operational plan, together with an appropriate mix of skills and resources to deliver – are inter-dependent and have far less value in isolation. Although the MTSP's results framework was a considerable improvement on its predecessor, nothing resembling an RBM strategy, and very little resourcing for RBM, was in place in the first 2 years of the MTSP.

2014 saw a fundamental change. Senior management appreciated the magnitude of the commitment to RBM and began to get to grips with it. An M&E unit was created, now consisting of two staff, which is adequate for an organisation of WSSCC's size. The unit's first major contribution was to lead a concerted effort to map existing programmes against MTSP outcomes and identify a set of intermediate indicators that would be a practical means of monitoring progress. These became embedded in the 2015-16 biennial work plan. A second major step forward was to embark on an ambitious programme of evaluations.

Comprehensive RBM system is not yet in place. Resource allocation is insufficiently outcomes-based. Monitoring is inconsistent – particularly in SLTF. Learning from results is not institutionalised. But progress has been impressive. The MTR, at WSSCC's request, contains a forensic assessment of its M&E frameworks and processes. The balance of strengths and weaknesses that emerges needs to be seen against the backdrop of the fundamental and laudable change in approach that took place in 2014. The establishment of sustainably effective RBM, even in a relatively small organisation, is often a 5-10 year project.

3.1.2 The results framework

The MTSP 2012-16 was crafted with the principles of results approaches in mind. The vision and goals have been set clearly, as have the key strategies to target them. The results framework specifies five outcome areas (or primary objectives) for WSSCC, and specific outputs (sub-objectives) are defined, with targets. The means for measurement of the achievement of these targets are also set out. A more detailed result framework was developed by GSF and subsequently aligned to the MTSP framework.

The main weaknesses in the MTSP results framework are as follows.

1. There are gaps in the hierarchy of results, and it does not clearly delineate each level of the results chain.

2. The objectives against each level are not precisely defined, and there is thus confusion and interchangeability between levels of the results chain. This has been described in detail elsewhere in the MTR report. The main observation is that only the first two outcome areas are higher order results, while the other three outcome areas represent means of achieving the outcomes. This has also been recognised in the current biennial work plan.

3. As a consequence, it is not immediately obvious how the chosen strategies (of community mobilisation and demand creation; national/regional/global advocacy and influence) described in the MTSP could lead to achievement of the goals of sustainability and scalability. While the key components of the results framework are contained in the MTSP, it is missing an articulation of the underlying theory of change that could illustrate the causal pathway to desired change.

4. On account of the lack of specificity of the outcomes, the definition of indicators is weak. There is lacking a set of commonly defined indicators across the organisation's departments and programmes, and no clear guidelines for their measurement and reporting.

3.1.3 Operationalisation of the results framework

Operationalisation of the MTSP results framework in terms of actual measurement and its leverage in learning did not begin until 2014. Until then it was largely a one-time, visioning exercise which was not actively used for human resource or work planning and measurement.

Significant efforts have been made since 2014 to streamline work plans and reporting to MTSP targets. In the 2015-16 biennial work plan, a concerted approach was made to link the proposed activities under the work plan to specific MTSP outcome goals. Several efforts such as the "60 days of monitoring" exercise and a sharper results focus in reporting have been significant steps in building a results culture within the organisation.

Effective operationalisation of the MTSP results framework in WSSCC remains challenging. Contributions to the higher order outcomes such as sustainability and equity at scale, are not easily measurable. WSSCC work has traditionally been guided by opportunities and contexts at the country level, and each of the country programmes can look very different from others (although this may be changing with greater convergence of GSF models). The present MTSP lays down very specific outcomes and targets, but is largely open on the choice of strategies to achieve these targets. As a result, if country programmes are not perfectly aligned to MTSP goals such a mismatch could lead to underachievement of stated goals.

M&E timelines are not aligned with planning and decision-making cycles. The feedback loop via internal review and learning through to "planning for results" is mostly missing.

In terms of reporting against results, the annual narrative reports now better reflect the priorities of the MTSP. However, these largely tend to be descriptive and narrative reports, with limited quantitative measurement of outcomes.

3.1.4 Evaluation

WSSCC has embarked on an ambitious programme of evaluation. It has commissioned a significant number of independent evaluations and reviews of GSF. However, apart from the prescribed mid-term and end-term reviews of the MTSP, there are no focused evaluative studies of other areas of WSSCC work. Another gap appears to be the lack of rigorous impact evaluations of key programmes or strategies. This is one of the reasons it is difficult to attribute improvements to WSSCC's efforts in the countries it operates in. Furthermore, there does not appear to be as yet a strategy for integrating evaluation with on-going monitoring and internal review – a process that is regarded as important for adaptive management. An important precursor to such integration would be to identify a comprehensive set of learning questions which would guide both monitoring and evaluation and determine where complementarities lie.

MTR recommendations for Planning, Monitoring and Evaluation include:

1. The new strategy should include a map of what an integrated RBM system would look like in WSSCC, with clear resourced strategies for ensuring all the key components are in place with realistic timelines and with appropriate prioritisation.

2. WSSCC should undertake a participatory and iterative exercise to produce a Theory of Change that determines the linkages between desired outcomes at various levels and strategies to achieve them. Following this, WSSCC should prepare and follow a common set of definitions for key indicators against defined results at the organisational level. Some of these in turn could be proposed as indicators to be used across the sector.

3. A set of learning questions, mostly deriving from the Theory of Change, but also including cross-cutting themes such as equity, relevance and coherence, should be developed to prioritise and steer M&E, and complementary research, throughout the strategy period. Every indicator in the new results framework should be accompanied by a clear plan for mobilising data collection and analysis.

4. Some outcomes in WSSCC's Theory of Change will be better reflected through qualitative. Indicators. Data collection and analysis for some of these indicators will require case study approaches which need appropriate skills and resources.

5. Internal results-focused review should be institutionalised at different levels and across all programmes throughout the organisation.

6. WSSCC's evaluation strategy should be reviewed particularly in the light of absorptive capacity and balance across the portfolio of work. A systematic approach to using evidence from

independent evaluations (especially programme evaluations) for planning and designing or course correcting ongoing programmes needs to be internalised.

7. WSSCC should continue its efforts to strengthen and streamline results reporting through more explicit reference to indicators.

3.2 Effectiveness

The effectiveness of WSSCC's activities is assessed based on evidence that stated MTSP objectives are being achieved and the extent to which lessons are learned and external factors in the operating environment are managed to advance progress. GSF has a Results Framework and monitoring and reporting mechanisms in place which enable an understanding of its progress and effectiveness against its main strategies. However, in the absence of systematic monitoring, assessment of effectiveness was challenging for the remaining components of WSSCC's work. For these areas, the question of effectiveness cannot also be adequately assessed through key informant interviews and document reviews.

Overall, there is mixed evidence on the effectiveness of WSSCC's work and progress towards the stated MTSP outcomes. The GSF programme can be considered as effective in its main strategy of demand generation though community mobilisation and triggering aimed at changing people's behaviour towards sanitation and hygiene. In the absence of sector-wide benchmarks for the rate of ODF conversion from behaviour change interventions for comparison, the reported progress and achievements are impressive, particularly because its complex and protracted preparatory process meant GSF's implementation activities could actively get underway only after 2011, just before this MTSP.[64] Quality of triggering and partner selection are key factors contributing to programme effectiveness and speak to the emphasis placed on technical quality by the programme.

Results on ODF conversion[65] are however variable across country programmes, and in the countries that show lagging performance, complexities in the operating environment including political economy, behavioural, cultural and financial barriers have tended to be inhibiting factors for effectiveness. In addition, in-country implementation delays and what is now believed to be over-ambitious programme targets suggest that the Country Programme Proposals (CPPs) are perhaps not realistic in the assessment of operating context, risks therein and partner capacity for implementation, all of which impact programme effectiveness.

However, this could be addressed further by working with the NCs, GSF's PCM partners, EAs and SGs in the countries where progress is particularly lagging to review the CPPs' context, articulate assumptions and a country-specific Theory of Change. This exercise helps to strengthen the strategic analysis behind the GSF programme in the country and will also have implications for the NC's SEP. The review should then result in an adjustment of approaches, targets and milestones, where necessary in order to hasten

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[64] WSSCC External Review 2005-2010, April 2011
[65] Proportion of communities declared ODF against those triggered

progress.   This approach will simultaneously allow WSSCC to better anticipate and respond to enabling or inhibiting factors to advance progress. The review should include an analysis of capacities of the GSF Secretariat and country partners to ensure the assumptions and envisaged results are more realistic.

The presence of a results-oriented monitoring and oversight framework can enhance effectiveness as it provides a realistic outlook on progress and results and enables learning for future programming. However, strong concerns emerge on the robustness and adequacy of GSF's monitoring systems and accuracy of reported results which tend to not only decrease programme effectiveness but could diminish its overall credibility. WSSCC should implement the recommendations from the recent evaluation of GSF's M&E framework, as an important step in the right direction towards generating the evidence base necessary for learning and strategic management. GSF management indicate that efforts are underway on this front.

With sanitation and hygiene investments in general being plagued with lagging performance and concerns around scale and sustainability, the effectiveness of GSF can also be determined by the extent to which its results have been sustained. Evidence of slippage in GSF-supported country programmes, as in other sanitation and hygiene behavior change programmes, can detract from overall effectiveness during this MTSP. WSSCC intends to improve sustainability processes within country programmes and commit necessary resources for this purpose, according to the Management Response to the GSF MTE. This indicates its commitment to achieving sustainable outcomes and willingness to adapt programme strategies. Sustainability is picked up further in section 3.4.

The MTSP also intended for GSF programming to contribute substantively to the remaining three programmatic outcome areas (Equity, Involvement, Knowledge and skills), with sufficient integration among the three programme departments to enable this process. GSF's interventions are administered at the community-level and to that end can be considered to support equity and inclusion in implementation. Nevertheless, GSF contributions to the outcome area of "Equity" cannot be clearly established at the close of the MTSP as GSF-supported country programmes do not explicitly target these vulnerable groups nor do they track related indicators. This is despite the fact that addressing equity and inclusion in sanitation and hygiene has been the predominant focus of WSSCC's NKM department during this MTSP, indicating the absence of inter-departmental joint effort towards this outcome area. With equity considerations acquiring centre stage in the global WASH discourse, GSF was uniquely positioned to demonstrate its effectiveness in serving poor and vulnerable groups and to enhance sector knowledge around the challenges and successes in realising equitable outcomes. This is a missed opportunity that could be attributed to limited integration across the organisation and insufficient prioritisation in ensuring equitable access and use amongst the populations covered by the programme. In the huge and complex effort to prove the workability of achieving ODF at scale through the GSF approach, WSSCC inadvertently de-prioritised equity outcomes in its biggest programme.

GSF management have pointed out that they expected results in relation to Equity to be met by virtue of the programmes being planned and designed locally and by specifically targeting remote and poor areas. However, wider development practice and knowledge tell us, vulnerable and often marginalised

individuals and groups are often left behind by development efforts when there is insufficient attention to targeting and monitoring delivery to these groups. With inequalities monitoring being a high priority in the JMP activities in the post-2015 context, WSSCC could be well-placed to inform these deliberations based on monitoring approaches and challenges emerging from its own programming in GSF, if it were to systematically and programmatically address equity and inclusion.

A potential way to address this would be for WSSCC to establish the results that it is envisaging in terms of equity and inclusion, include appropriate indicators within the GSF Results Framework and revise the CPP guidelines to include equity and non-discrimination as key components. This requires that WSSCC engages its GSF partners to develop clear protocols for identification of vulnerable groups in areas of operation and clarifying approaches, strategies and activities to bring about envisaged results and operationalisation of Results Framework. In existing countries of operation, focus must be on harvesting knowledge and lessons around the programme's impact on vulnerable groups.

GSF's effectiveness in operationalising its learning and knowledge management strategy is demonstrated by the cross-country learning exchanges which are recognised as useful by its programme partners and has built technical capacities and skills of sub-grantee organisations to deliver CLTS strategies. It is also evident in commissioned independent evaluations on a number of programme design elements during this MTSP, learning from which is expected to improve future programming. All of these actions are clear indications of the programme's commitment to learning and enhancing its effectiveness.

However, the knowledge component within GSF has not yet realised its potential to add value to the sector. WSSCC has not fully harvested lessons and evidence emerging from GSF programme implementation in spite of identifying key themes for knowledge building in its 2012 Learning Guidelines for purposes of using the evidence for advocacy towards better policies or practice. This has been a missed opportunity in the period leading to the Mid-Term, also attributable to limited integration across the organisation and insufficient prioritisation of Knowledge and Involvement outcomes (Outcomes 3 & 4) within the GSF programme. More recently, WSSCC has undertaken institutional changes to strengthen learning, documentation and communication. A Learning and Documentation Task Team was established, dedicating two staff members to the GSF department. While this is a step in the right direction, it is only the first step. Insights from practice need to be purposefully and persistently communicated and advocated to national and local stakeholders in order to influence policy, practice and investment decisions. It is not clear whether this is something GSF can expect or fund its EAs, SGs or PCM members to undertake, given the low advocacy capacities in these stakeholder groups.

The MTR recommends that WSSCC focus learning efforts towards pressing sector issues relating to sustainability and equity in particular and those first identified in the 2012 Learning Guidelines. Sector knowledge, policy and practice can also benefit tremendously from an understanding of key drivers and inhibitors for adoption of behavior change interventions. Programmes such as GSF play an important role in expanding this knowledge base and to this end, WSSCC can channel knowledge efforts towards synthesising design elements that are contributing to programme results.

Given that GSF-supported country programmes have helped build technical capacities on CLTS of a significant number of local organisations, WSSCC could also seek out evidence on enhancement and re-use of knowledge by these organisations/individuals even in areas outside of GSF operations. WSSCC's contributions towards advancing sector goals can be better contextualised and demonstrated through such evidence.

WSSCC and GSF management also need to develop advocacy strategies and plans associated with their knowledge efforts. These plans could be integrated with the National Coordinators' SEPs, and need to include activities for building or enhancing the capacities of GSF partners in advocacy for better policies and practice.   This may involve revisions to the GSF staffing to ensure that adequate attention can be placed on supporting country advocacy, without losing focus on the provision of high quality grants management.

WSSCC's investments in research and knowledge creation are meant to increase the evidence base in the sector and are meant to be actionable and actively employed to influence changes in policy and practice. WSSCC also seeks to complement evidence-based policy advocacy with capacity-building among relevant stakeholders in order to ensure that changes in policy and practice are sustained. This integrated approach to evidence-based policy advocacy & capacity-building appears to be at the core of WSSCC's work in the area of equity and inclusion and MHM. While elements of this knowledge-based advocacy approach has been valued by some stakeholders (e.g. research outputs filling evidence gaps in sector and generated evidence is relevant to policy), it is difficult to assess whether or to what extent this approach has been effective because WSSCC did not develop a detailed strategy during the MTSP period that articulates the desired results.

Nevertheless, success through these actions at regional and national levels is evidenced to some extent in programmes such as UN Women Joint Partnership or the Regional SANs, where knowledge activities are systematically structured and packaged as part of policy advocacy activities for greater impact. In these instances, WSSCC has been effective in: 1) generating evidence that is relevant to policy, 2) working with advocacy platforms and establishing strategic partnerships to undertake systematic policy engagement, and 3) generating awareness and debate around these issues in key stakeholder constituencies. However, the overall effectiveness of these efforts in realising intended results is debatable. Results in terms of actual changes in policy, practice, budgetary commitments or replication of programmes on the ground could likely take a long time to achieve. Actual outcomes on equity, inclusion and MHM may still be elusive during the MTSP period not in the least because significant time and effort is needed for advocacy processes to translate to meaningful outcomes and because of the complex nature of policymaking and pressures faced by policymakers to balance specific sanitation and hygiene needs against other development priorities.

WSSCC has clearly established a reputation of technical expertise in gender issues in sanitation and hygiene, particularly MHM. Women and girls are involved as community leaders in GSF-supported collective behaviour change activities. However, in our view, for the most part, WSSCC is still experimenting with ways and means of engagement and collaboration in its work on gender, equity and

inclusion. As this area of work holds particular relevance in the post-2015 sector context and WSSCC believes it has unique contributions to make, an important next step would be to develop its research, advocacy and capacity building strategy around equity, non-discrimination and MHM outcomes complemented by a theory of change to clarify and elaborate its thinking, assumptions and expected results from this line of work. WSSCC then needs to define desired results and orient the advocacy strategy to be pursued at national levels through GSF (and related in-country actors such as PCMs, EAs, SGs, CSOs, CBOs) and NCs' efforts and strategic partnerships like with UN Women and at global and regional decision-making spaces through the efforts of the Secretariat and strategic partners. This will also include defining clear targets and indicators for its advocacy efforts on equity, non-discrimination and MHM and track progress towards these targets at national, regional and global levels.

In addition to building partner capacities in CLTS strategies, WSSCC – through its equity and inclusion programme – invests in building stakeholder capacities on MHM. It is not possible at this point to assess how effective WSSCC has been in building capacity in MHM, but given the modest scale and piecemeal nature of activities that have been undertaken during this MTSP, the overall impact is unlikely to be significant. If WSSCC believes it is uniquely positioned to undertake MHM capacity building on a wider scale, it should develop a clear strategy with a contextual analysis of what gaps in supply WSSCC is attempting to fill and relate this to its existing capacities and limitations. It would then have to be appropriately resourced to operationalise this strategy.

Based on the level of engagement during this MTSP, the overall effectiveness and impact of the Community of Practice platform is unlikely to be significant. Sector experts indicate that online collaboration and communication tools in general have gained considerable importance in the WASH sector in the last few years. These have played a vital role in advancing sector knowledge, promoting knowledge sharing and capacities among sector stakeholders and indirectly served broader sector advocacy. These tools are perceived to hold considerable relevance for sector engagement in the post-2015 context as they offer a more efficient, cost effective and environmentally sustainable alternative to engagement through conferences and meetings.

High quality facilitation and long-term funding are fundamental to creating and sustaining a credible interactive online knowledge platform which offers a clear value proposition in the sector. Both these elements have been missing in WSSCC's CoP during this MTSP, diluting its ability to add value to the sector. In our view, there is value in WSSCC hosting a knowledge platform, mainly as it provides an opportunity for advancing sector knowledge and collaboration based on field insights, learning and evidence from its own on the ground programming.

This knowledge platform needs to be integrated closely to WSSCC's GSF and gender, equity and inclusion programming, allowing WSSCC to create a niche based on its own thematic experiences and expertise, while delivering a higher, public-good function. The knowledge platform is a tool to help WSSCC operationalise and achieve strategies for knowledge building and dissemination. It could also help serve advocacy and capacity building outcomes around equity, inclusion, gender, MHM and GSF learning priorities identified in the 2012 Learning Guidelines. This approach would mean that WSSCC is

better positioned to drive the agenda, content and resources and circumvent challenges it has experienced during this MTSP to rally the sector around joint ownership of such a platform. Clearly, it would also mean that WSSCC assumes greater accountability for the results achieved. Results could be defined, for monitoring purposes, in terms of usage and participation.

If this approach does resonate with WSSCC and its Board, one aspect to consider would be the technology limitations of the LinkedIn software which currently hosts the CoP platform, including restrictions in accessing a full list of CoP members and lack of useful features such as search functionality. While evaluating the impact of such knowledge sharing initiatives can be challenging in general, such technology limitations will further hamper WSSCC's ability to gather key indicators relevant to the performance and impact of this initiative. Reflection might also be needed on the potential (dis)advantages of the closed group nature of the LinkedIn platform.

The effectiveness of WSSCC's global and regional advocacy initiatives have been adequately covered in Chapter 3. At the global level, WSSCC's support to sector communications particularly in the SDG context have been effective and found valuable. It has contributed to the sector's success in securing prioritisation for sanitation and hygiene in the SDGs. Its advocacy response and contributions in the area of sanitation and menstrual hygiene in particular are well-recognised and helped ensure MHM is a recognised development and WASH issue.

At the regional level, WSSCC's support to platforms such as AfricaSan and SacoSan and its contributions to regional dialogue on equity, with an emphasis on the barriers and needs relating to gender and marginalised groups, are well-recognised. Its support, along with WaterAid in West Africa, to increase media coverage of WASH issues in the region through the WASH Journalist Network is well-acknowledged. Overall, WSSCC's separate advocacy activities during the MTSP period were effective and contributed to putting sanitation and hygiene on the global and regional policy-makers and decision-makers' agenda. On MHM, it is a recognised 'go to' agency for sector stakeholders. These achievements are a good foundation for securing influence to push actual policy and practice changes at different levels of decision-making to achieve real impact on the lives of people on the ground. Not all stakeholders however considered WSSCC to be effective at achieving results in terms of actual changes to policies or practices that have been embraced by governments or implemented by agencies. In the absence of systematic monitoring evidence, it is difficult to prove otherwise. (See related advocacy recommendations in previous sections). Evidence could come from systematic tracking (through ongoing monitoring/reporting) on the activities and services provided by WSSCC to governments and other change agents on changes to policies and practice - *who* specifically did WSSCC work with (e.g. number and types of policymakers, CSOs, media, etc. reached), *how* (e.g. workshops, meetings, policy and technical assistance via technical manuals or knowledge resources for these agencies), *frequency* (e.g. how many interactions, number of citations of advocacy products or references of WSSCC's ideas in policy deliberations or policies). Surveys and interviews of these change agents at regular intervals to observe periodic changes in policies and practice and feedback on WSSCC's activities. While it is difficult to attribute causality for advocacy and knowledge efforts, systematic

tracking of such indicators will help clarify WSSCC's contributions as well as the effectiveness and relevance of and progress against WSSCC's desired advocacy and knowledge goals.

Interestingly, most interviewees were able to comment on one or two specific advocacy initiatives (such as the JMP, SWA, or the WASH-Journalists Network), but then reported being unable to name any of WSSCC's other advocacy activities. This may be at least in part because some WSSCC activities are a hybrid of communications and advocacy, such as WSSCC's strong support to WHO for GLAAS report dissemination and awareness raising. A few interviewees also felt that WSSCC's current focus on the Global Sanitation Fund (GSF) to a certain extent detracts from its advocacy and communications role in the sector and reduces the visibility of its campaigns and initiatives.[66] This was perceived as weakening WSSCC's potential advocacy and communications contributions to the sector

In our view, WSSCC has been effective in its advocacy responses to opportunities and contributions at the global and regional levels. At the national level, one sign of advocacy success comes at the hand of GSF's work showing how change can be brought about. But outside of GSF's active engagement in select countries, and initiatives such as the UN Women Joint Partnership and more recently the India programme, the local relevance and effectiveness of WSSCC's advocacy is less clear. Though activities are taking place through the NC constituency and GSF national partners, it is unclear to what extent these have been effective both in terms of policy influence as well as enhancing the in-country visibility of WSSCC for now. WSSCC's direct engagement at the national level has been piecemeal and lacking in continuous interface with government constituencies, and not realising the full potential and effectiveness of policy advocacy and influence efforts. The lack of country presence is an inhibiting factor on this count. With sanitation policy landscape in most WSSCC's priority countries shifting rapidly in terms of new understanding, knowledge and evidence, WSSCC is likely to miss out on meaningful opportunities for policy related engagement and influence at the national level.

The choice of activities undertaken at the national level and to what extent they align with national priorities is also likely to determine the effectiveness and added value of WSSCC. Currently, capacity building on CLTS and MHM predominate SEP activities. While this is relevant for policy, the added value of WSSCC is debatable as this is undertaken alongside several WASH actors. Secondly, while these activities bolster policy implementation, to what extent they fulfil the policy influencing ambitions of WSSCC is also debatable. Clearly, a deeper reflection is needed on what types of results WSSCC envisages at the national level and what WSSCC can realistically hope to achieve through the NC constituency (combined with the GSF programme) or in other ways bearing in mind its own resources and limitations therein. WSSCC needs to review how it might bolster its national presence for purposes of more effective national-level influencing, achieving advocacy, knowledge building and capacity building results around equity, inclusion, gender, MHM, and scaling up of GSF approaches. Three options might be considered:

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[66] This issue is not altogether new, and it has been indeed recognized internally by WSSCC. For instance, back in 2013, a WSSCC Steering Committee meeting raised questions about the impact of the "GSF dominance of WSSCC's activities" (report from 22nd Meeting of the Steering Committee, WSSCC, 15-16 October 2013, Kampala, Uganda).

a. Consider having one strategic programme in the country, involving GSF and its infrastructure and NCs and their partnerships.

b. bolster the resources and capacities of the NC constituency such that their overall national engagement is more closely aligned with WSSCC's work and advocacy messaging. Contributions from this constituency should be clearly seen as elevating the in-country visibility and added value of WSSCC.

c. Given the limited resources and the small size of the Secretariat, scale back current programmatic ambitions and instead focus on a few, high priority countries, where it can undertake deeper policy engagement, support local systems and demonstrate local responsiveness and accountability.

3.3 Efficiency

The MTR reviewed efficiency according to the extent that internal processes were managed to enhance the overall progress and performance of WSSCC's work during this MTSP. The MTR also drew on any assessments commissioned by WSSCC on WSSCC's costs and value for money for services. Our findings on this front are discussed in section 2.5.

Broadly, we observe that there are opportunities to improve efficiencies in WSSCC's work and processes. Based on the efficiency indicators discussed under section 2.5.1, for the most part, the observed (in)efficiencies relate to the area of planning and budgeting as evidenced in the inadequate readiness in the early years of the MTSP to take forward several strategic components identified in the MTSP. For this MTSP period, it is duly recognised that these early delays are attributable to a large extent to the "organisational paralysis" caused by disruptions due to staff vacancies, including Executive Director and other programme managers and senior staff. The arrival of a new Executive Director in 2013-14 and appointment of other staff, led to a consolidation of activities and resources and improved absorption rates in the subsequent years. In addition, better prioritisation and strategic allocation across programmes in closer alignment with the MTSP, clearly articulated programme strategies, activities/outputs and a well-resourced Secretariat with the requisite technical capacities at the start of the MTSP could have helped avoid the observed inefficiencies relating to time delays and programme underspends in the period leading to the Mid-Term. These are important considerations to bear in mind as WSSCC moves into its planning phase for its next strategic plan period.

Programme experiences during this MTSP suggest that overall efficiencies are also impacted when the formative planning and design phase is not rigorous, when there isn't sufficient understanding of the operating context and associated risks, including ability to identify, mobilise and build capacities of local partners. The CPPs and SEPs do aim to provide this contextual understanding, but country experiences strongly call for a more rigorous assessment of the implicit assumptions and barriers to implementation in order to realise improved overall programme efficiencies and effectiveness. This is a clear need to infuse substantive rigor, time and resources during the planning and design phase of its country-based programmes in order to prevent time delays and cost over/under spend at the time of implementation and in turn generate improved efficiencies and value for money from WSSCC's input of financial and technical resources into programme activities. This might also necessitate reflection on and revisions to existing incentive structures of in-country partners during the formative phase.

The benefits and opportunities for improved planning processes and its implications on performance are discussed in section 3.1.

Based on our rough assessment of financial processes and transactions, we note that administrative or operating costs – constituting of UNOPS costs, staffing, consultants, and travel - could be an area where efficiency gains can be explored for WSSCC as a whole and SLTF in particular. We believe there is a need to develop a better understanding of SLTF's programme and operational costs (particularly travel, office and UNOPS costs) in order to clarify if programme actions are efficient and costs are being kept to the minimum. WSSCC can consider benchmarking WSSCC's costs and services against other agencies receiving similar services from UNOPS in order to get better clarity on programme efficiencies.

WSSCC commissioned a VfM assessment of GSF during this MTSP to better understand the efficiency - cost efficiencies[67] and economy - underpinning its operations.   In our view, in developing a better understanding of its costs, results and current gaps in GSF programme delivery, WSSCC is clearly moving in a positive direction towards making more informed, evidence-based decisions in its GSF programme which are guided by value for money principles.

The GSF-VfM study observes that GSF broadly demonstrates improved cost-efficiencies in achieving its key outcome of ODF conversion – moving triggered communities to ODF status to the extent that fixed place defecation or basic sanitation is achieved. This is an encouraging finding. To an extent, this could allay wider concerns around the efficiencies and effectiveness of the GSF initiative. However, the study also notes that GSF's cost efficiencies reduce if the intervention seeks to shift communities from fixed-place defecation or basic sanitation to improved sanitation as per JMP guidelines. Sector experts widely recognise that access to improved sanitation is a key enabling factor in increasing sustainability. The GSF-MTE study, in observing that sustainability is a challenge in GSF-supported country programmes, also notes that enabling access to improved sanitation is positively correlated with the achievement of sustainable outcomes.

As GSF programme support direct implementation and hence more invested in improving sustainability, better alignment of country programmes strategies and costs to sustainability monitoring and achievement of sustainable outcomes will allow the programme to demonstrate improved value for money. The VfM study has provided an understanding of unit costs for achieving sustainable outcomes which in turn enables identification of ways and means to undertake cost-effective actions that contribute towards sustainability.

As the GSF programme is intended to have a cascading effect on government and household investments into sanitation, examining to what extent programme expenditures are complemented by other resources could help also reflect on the value for money underpinning GSF investments. MTR consultations with external stakeholders in India revealed that development partners such as UNICEF do not implement direct delivery programmes such as GSF in India but instead provide technical assistance

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[67] Value for money is presented in terms of cost efficiency. Cost efficiency is the cost-per access or cost-per-person gaining access to sanitation facilities as a result of the programme intervention

and policy support to government agencies on government-run sanitation and hygiene programmes. These agencies determine the value for money on their support through indicators such as extent to which government achieved its own targets, success or failure of government strategies that were developed and supported by UNICEF. Although these insights hold no direct relevance for the demand generation component of GSF's programme strategies, we believe that the GSF programme is likely to benefit from these insights as it channels significant investments to similar activities[68] which contribute to sector outcomes.

To have a more complete view of the value for money underpinning WSSCC's programmes, WSSCC could also monitor programme results in relation to how much investments from government and other non-state actors were leveraged by these programmes. Strengthening the monitoring systems around these activities is necessary to capture and clarify the value for money underpinning these inputs.

3.4 Sustainability

Sustainability is assessed based on the extent to which direct delivery programmes such as GSF are supporting the achievement of sustainable outcomes and the remaining programmes address sustainability issues.

Broadly, the MTR observes that WSSCC's programmes recognise the need for sustainability, have taken select actions to improve sustainability and for the most part are designed to promote national ownership of programme goals to ensure sustainability. However, sustainability is not always assured. It is a complex issue and challenge for the sector in general and GSF in particular.

WSSCC undertook a sustainability review of select GSF country programmes during this MTSP which showed evidence of slippage in its programme areas. GSF is now pursuing strategies that are intended to monitor slippage, identify slippage patterns and risks and increase sustainability of behaviour change through post-ODF community engagement and promoting cross-country learning. GSF's in-country activities are undertaken after they are sanctioned by national governments and GSF engages government partners in programme review. All of these are clear indications that GSF is committed to strengthening sustainability of programme results.

GSF needs to keep abreast of strategies to increase sustainability including learning from other agencies' practices, pursue actions that are adapted to local context and commit appropriate resources that enable these actions to be successful in practice. UNICEF, for instance, appears to spend one third of its WASH budget on capacity building and other sustainability related actions.[69] To this end, GSF can explore optimal ways to engage its local partners, including NC constituencies and government mechanisms, to operationalise these strategies. GSF also needs to harvest and document lessons from its practice that expand sector understanding of sustainability challenges and drivers.

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[68] E.g. knowledge and learning, institutional strengthening and advocacy
[69] Independent Mid-Term Evaluation of the Water and Sanitation Initiative Global Programme, December 2014

Sustainability of knowledge and advocacy activities is usually evidenced in the extent to which these activities have influenced change processes and change agents and are endorsed by these constituencies. On WSSCC's knowledge and advocacy programmes as well as activities undertaken by the NC constituency, WSSCC's focus on influencing governments can be seen as contributing to sustainability. These policy influencing efforts aim to bring about improved awareness, sustained behaviour change among key stakeholder constituencies, more effective policies, budgetary allocations and overall better development outcomes. While there is evidence during the MTSP of these activities contributing to national awareness and policy debate, to what extent WSSCC's knowledge and advocacy actions have led to national ownership and accountability and therefore sustainability during this MTSP is debatable. WSSCC must continue to actively engage government partners to institutionalise some of WSSCC's key knowledge and advocacy messages into national policies, technical guidelines, manuals and regulations.[70] This is an important way to demonstrate the uptake of WSSCC's knowledge and advocacy issues and in turn their likely sustainability.

3.5 Governance and Management

3.5.1 Structure, synergy and staffing

During the MTSP period there has been a rapid evolution in the balance of work, particularly in NKM and it is widely acknowledged in the Secretariat that the current structure no longer reflects the balance. The most obvious anomalies are: 1) that NKM is mostly focused on the promotion of equality and non-discrimination promotion not only from a knowledge perspective; 2) policy advocacy is carried out throughout the organisation; and 3) the location of the monitoring and evaluation function which should be secretariat-wide, in NKM.

These mismatches and functional overlaps lead to confusion and inappropriate reporting lines. There is a need to address this head-on in the new strategy and put in place mechanisms that enable the organisation to be more responsive to changes in function. This will involve review of current structure, specifically the interaction and functional overlaps amongst the three programme departments: GSF, NKM and A&C. The purpose of this review is to ensure that the organisation, its structure and mechanisms are fit for purpose, cost-efficient and strongly capable to achieve the outcomes that will be agreed in the new strategic plan.

It is also widely acknowledged that there is a pronounced lack of synergy in the organisation – low awareness and weak coordination between departments. This may be exacerbated by structural mismatches, but is more a question of process. Many organisations struggle with this problem. One solution lies in orientating the organisation around outcomes rather than activities and outputs – a central RBM strategy. This should lead to cooperation that works across departments and functions at country and regional levels. Senior management should continue to be vigilant in looking for opportunities for cooperation themselves and for the staff they manage.

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[70] ibid

WSSCC has not suffered the staffing level constraints experienced in the previous planning period. Nevertheless, there have been specific deficits that have been cited as affecting performance at various times in the MTSP. This has affected utilisation rates in programme budgets and delays in taking forward strategic components identified in the MTSP and since, such as the new country engagement strategy and M&E in GSF. Two reasons for delay in resolving staffing constraints appear to be the need to gain SC approval for new staff and the nature of the UNOPS hiring processes. These factors would appear to be susceptible to solutions and need to be fully addressed as soon as possible.

3.5.2   Staff management and organisational culture and development

A staff survey with an exceptionally high response rate, complemented by interviews and documentation of a staff/management retreat, gave the MTR team a strong basis for highlighting strengths and weaknesses in staff management and organisational culture and development.

Staff feel equipped and supported to perform well in their particular area of work, are committed to it, and are generally prepared to go the extra mile. The level of complaint about overloading was not particularly high despite the obvious pressures in that respect.

These positives contrast with staff views about the organisation beyond their own departments. The majority had a negative view of cooperation across departments, including among senior management, and of internal communications. The most negative views were about the addressing of poor performance, a result which usually points to weaknesses in performance management procedures.

The overall balance of staff views of the way the organisation functions is somewhat negative. This should be viewed in the light of the nature of the organisation, which attracts staff who are committed to their field and can be easily frustrated by obstacles.

The MTSP period, particularly since the appointment of a new Executive Director in 2013, has seen the initiation of a number of substantial organisational change processes. These initiatives point to a high degree of ambition in senior management and have raised expectations. Progress in implementation however has been slow in several areas, for example with the membership strategy. The openness with which staff voiced their views, both to the MTR team and to management at the above-mentioned retreat, is an indication that a more collaborative approach to organisational development is likely to work.

3.5.3   Risk management

Risk management has not been fully developed in WSSCC. Its MTSP commitment to "develop and implement a risk management strategy" has not been followed through at the organization level. This applies both to programmatic and corporate risk. The MTSP results framework contains assumptions relating to implementation and outcomes, but they were not pursued systematically with the development of a risk register and risk management plan. This should be seen as a priority for the next strategy. UNOPS help should be enlisted.

3.5.4 Hosting

WSSCC depends on a hosting arrangement. Difficulties over hosting nearly led to the organisation's demise in 2005-2006. UNOPS has been increasingly supportive of its efforts through improvements in the relationship and the functionality of the arrangement. The hosting arrangement was originally intended to support WSSCC with its transactional needs; but during the MTSP period, UNOPS has gained a deeper understanding of WSSCC's programmatic areas of work and corresponding needs in terms of financial planning, budgeting, monitoring and reporting and in other areas such as recruitment, partner selection and procurement.

The arrangement enables the WSSCC to focus on its core programmatic work without the distraction of putting in place and operating the administrative services that UNOPS is better equipped to provide. The UN status that UNOPS confers on WSSCC seems to be a significant benefit. The fee WSSCC pays for all this seems to represent good value for money.

There are areas where UNOPS could offer improved or additional services. These include support for staff management and development and risk management. These and other service areas are being examined by a Task Team, and it is recommended that its work is accelerated. It is recommended that the team considers putting in place a small number of performance indicators for UNOPS services.

3.5.5 Governance

The WSSCC Steering Committee (SC) is its principal organ of governance. The composition of the SC reflects the status of WSSCC as a membership-based organisation. Up to nine seats are filled by election by and from the WSSCC Membership. In principle, the membership constituency on the SC is a strength. It gives the SC legitimacy, provides for transparency in selection, and brings practical experience to bear on the board's deliberations. However, there is disquiet over the manner in which the SC functions and much centres on the constituency basis.

SC members are not directly accountable to their constituencies. They do not come mandated and do not report back. This is seen by some as a weakness, although there is an opposing view that Board members should not participate representing particular interests. Other concerns centre on the effectiveness of the regional election process.

Set against the potential advantages of elected SC members is the lack of control over selection by the Chair. This has led to gaps in skills and experience that are needed on the board, such as financial and risk oversight. Members are not selected to perform specific roles on the board. Sub-committees for particular board work have not been formed and is an obstacle to effectiveness. Lack of control over gender balance is another consequence of the constituency mechanism.

There are several positive aspects of the SC structure. The presence of donors is a valuable asset. They play an active role in discussions, contributing their perspectives on priorities and strategies. There is general satisfaction with the presence of partner representatives.

SC decisions in practice are made by consensus. This reinforces collegiality and allows non-voting members to play a full part. However, it has the potential to lengthen discussion, delay decisions, and/or lead to excessive compromise. It also potentially gives non-voting members equal influence with core members. There may be advantages in this, but it flies in the face of the SC constitution.

Most of the board business is conducted in the two annual plenary meetings. This places the SC under strain because it has too much to cover in the time allowed. The lack of sub-committees adds to the problem. There is information overload which could be alleviated with a dashboard approach to key indicators and narrative information. This would require extra analysis work by Secretariat staff, but would be worthwhile.

There is an overall consensus among SC members and Secretariat senior management that the SC is weak in ensuring accountability, overseeing resourcing and risk. Risk oversight is not even explicit among the SC's roles, an unusual gap in a governing board.

The MTSP stated that the basis on which the Membership seats are filled would be reviewed during the period of the Plan to ensure that they reflect the current focus of WSSCC's work. This review has not taken place. Although there are many positive findings about WSSCC's governance, there is clearly an urgent need for a fundamental review.

The SC is complemented by an annual Donor Accountability Meeting (DAM) which provides for dialogue between donors, and the Chair of the SC, senior Secretariat management and UNOPS. This is in addition to regular reporting to the donors. The DAM is seen as useful by both sides, enabling donors to go deeper into issues than in the Steering Committee. It is of value horizontally in terms of coordination among the donors, as well in vertical relations with the WSSCC. The atmosphere in the meetings is said to be collegiate, reflecting the degree of donor trust in, and commitment to, the WSSCC's work that currently exists.

There is a question over how donors would behave in the meetings if serious problems arose. Nevertheless, the MTR sees no reason not to recommend continuation of these meetings in their current form while advising the Secretariat to be vigilant in maintaining effective bilateral communication with donors.

3.6 Relevance
The MTR assessed the relevance of WSSCC on the extent to which programmatic activities during this MTSP: (i) align with the approach, design and stated outcomes of the MTSP (ii) contribute to and align with sector needs and priorities, and (iii) align with key stakeholder goals and priorities, particularly those of government and donor constituencies.

With the global target for sanitation continuing to be unmet as the MDG period drew to a close, programming efforts seeking to address regional disparities in sanitation and hygiene found greater resonance among organisations at global and national levels. CLTS – with its focus on demand creation through behavior change –received wide recognition as an integrated approach to achieving and

sustaining ODF status among rural communities. The MDG period also raised the level of awareness around sanitation and hygiene, paving the way for global and national frameworks to tackle sector challenges and increasing sector collaboration. With the major sector gap in the last decade relating to increasing resources for practical action, sector advocacy placed a strong emphasis on actions to mobilise resources from national government and donor constituencies. In addition, sector advocacy revolved broadly around the inclusion of WASH goals into the SDGs and to bring the *right to water and sanitation* into the debate along with equity and non-discrimination considerations. With several WASH programmes underway during the MDG period, increasing sector learning and knowledge based on programmatic experiences was also a desired outcome and priority in the sector.

The rationale for WSSCC's MTSP, 2012-16, was derived from this global context seeking to accelerate progress against the MDG targets on sanitation and hygiene, with a particular emphasis on the needs of the poor and vulnerable people in Africa and Asia. The overall vision, goals and intended outcomes (see Box 1) of WSSCC during this MTSP has been particularly relevant in view of this global discourse. Stakeholders consulted for the MTR were unanimous in validating the relevance of the goals and objectives of WSSCC's MTSP and its potential to contribute to the universal WASH agenda.

MTSP goals and the main programme strategies - demand creation through behavior change, knowledge and learning, advocacy and influence - pursued during the MTSP are broadly aligned and relevant. However, while WSSCC's strategies and activities undertaken through the GSF initiative are strongly aligned with the programme outcome area of "Access", alignment is weaker between strategies intended in the MTSP for the other three outcome areas (Equity, Involvement, Knowledge and skills) and those that were actually pursued, including GSF programmes. In some instances, such as WSSCC's work in gender, this required exploring strategies, opportunities and partnerships that were not articulated in the MTSP but nevertheless aligned with and relevant to sector needs. However, in other, significant instances such as in the case of Community of Practice, or the equity, involvement and knowledge components of GSF, failure to pursue intended strategies for various reasons has created missed opportunities, diluted programme effectiveness and could likely undermine the relevance of these programmes to the sector and key stakeholders such as governments and donors. In its next strategic plan, WSSCC should identify key strategies or approaches that have potential to contribute to one or more results in its Theory of Change, and commit to these strategies for the plan period through better, more balanced allocation of resources necessary to pursue these strategies.

During this MTSP period, sanitation has been identified a national priority in all GSF countries owing to the wide disparities in sanitation access. Behaviour change is commonly identified as a key challenge to realising improved sanitation outcomes in these countries, with CLTS as the predominantly recommended national strategy for promoting behaviour change in sanitation and hygiene. WSSCC's GSF initiative, with its primary strategy of behaviour change through community mobilisation has been closely aligned with sector priorities as well as relevant to the rural sanitation context in its countries of operation during this MTSP.

WSSCC's knowledge activities during this MTSP, particularly in the areas of equity and inclusion, are relevant in view of the broad existing knowledge needs and evidence gaps in sanitation and hygiene. Capacity building and research activities were motivated by themes that are policy-relevant and designed to be used for policy advocacy. As a global fund supporting the implementation of national programmes, the GSF also holds considerable potential for generating on-the-ground knowledge on programme challenges and successes that is relevant to sector needs and policy making. However, there is mixed evidence around the effectiveness of WSSCC's knowledge activities (see discussion in section 3.2) and to what extent these activities have bolstered the relevance of WSSCC's work overall.

WSSCC's advocacy actions during this MTSP, on key themes of behavior change, equity and inclusion, sanitation and hygiene as development issues that require prioritisation are relevant and aligned with sector context and priorities. During this MTSP, WSSCC's work particularly around the gender gaps in sanitation and hygiene, have enhanced WSSCC's overall positioning as a strong advocate for these issues. This particular area of work also holds high relevance in the post-2015 sector context which emphasises advancing the right to sanitation especially of those 'left behind'. WSSCC's involvement in advocacy activities such as WASH-JN, Joint Monitoring Program for Water Supply and Sanitation, DSG's Call for Action on Sanitation and engagement in the post-2015 debate are seen internally as pillars of WSSCC advocacy during the MTSP period, and externally as appropriate responses to sector needs.

Overall, donor constituencies broadly endorsed the congruence of WSSCC's MTSP goals, objectives and activities with their own aid agenda while policymakers affirm alignment with regional and national WASH policies.

Yet our review also raises several important questions around the continued relevance of WSSCC's programming through GSF and SLTF that may warrant reflection as WSSCC moves forward, especially towards the development of the next Strategic Plan.

The first question is around positioning of GSF: Does WSSCC, its Board and the wider sector perceive it to be an established and proven initiative (to achieve behavior change at scale) on the way to becoming a permanent entity with clear growth and expansion plans or as an initiative that requires more time to test the assumptions embedded in its design through experience and innovation? There appears to be a tendency internally to all at once position it as an established initiative that is only held back by limitations in resources for further expansion and creation of impact, and also as a proof-of-concept that is hampered by a lack of sector precedence and hence can only grow in terms of scale and results at its own pace, based on its own programmatic learning.

In our view, GSF is the latter. We base this observation on the number of programmatic assumptions that still appear to require testing depending on the local context and the gaps in its current design and implementation frameworks which have emerged from recent independent evaluations. We therefore believe that even as WSSCC continues on its current and modest trajectory of programme expansion in existing and new countries, more importantly, it needs to channel appreciable efforts and resources into consolidating learning and systematically harvesting lessons from existing country programmes and use non-GSF learning to address existing gaps and enhance programme design and effectiveness. To this

end, WSSCC management note that it has begun to initiate a number of actions to sharpen and strengthen its programming. From an expansion standpoint, WSSCC management also indicate intent to work out clear guidelines and expectations for GSF phase three countries and move towards a lighter financial engagement with strong counter-part government funding so that the cost programming is borne by the State.

The second question is about exactly what advocacy and communications means institutionally and how it is communicated/reflected to external stakeholders. This question emerges particularly from our interviews, which suggest that external stakeholders conflate many or most of the WSSCC's activities outside of GSF with WASH advocacy. This would include networking, knowledge management, capacity building and so forth. Internal documents do not always serve a clarifying role especially about what are WSSCC's objectives and approaches in advocacy, what roles do the different departments play in relation to achieving advocacy change objectives, and who undertakes WSSCC advocacy at national, regional and global levels.

WSSCC should develop its global and regional advocacy strategy to be aligned with the new strategic plan. The global/regional advocacy strategy needs to clearly establish how it will link to, draw from and be coordinated with national level advocacy that NCs and GSF's programme partners will undertake to ensure that global/regional political commitments are translated into real investments, appropriate policy and practice changes at the national levels. The global/regional advocacy strategy also needs to provide a framework for national level advocacy by identifying the key themes and issues that WSSCC will want to speak on, will want to mobilise networks and partnerships around, and will want to prioritise for knowledge-building, lesson-learning and capacity-building.

A third question is what is the role of WSSCC's advocacy, communications and NKM vis-à-vis each other and the Global Sanitation Fund. To many of our interviewees across the WASH sector, WSSCC's work on GSF and the perceived duality of approach it entails (at once an advocacy and an implementing organisation) weaken WSSCC's neutrality and convening role in the sector. To a few others, including some internal WSSCC interviewees, GSF, NKM and A&C may in fact (and need to) bolster one other. The relationship between knowledge, advocacy and GSF is to a certain extent a question of credibility as much as of focus. Does GSF strengthen or hinder WSSCC's advocacy role, relevance and efficacy in the WASH sector? If the latter, how can this be handled by the organisation moving forward?

Perhaps more broadly, the review raises another question regarding the identity of advocacy work at WSSCC: whether and how it distinguishes itself from other advocacy efforts in what is perceived by some as an increasingly crowded sector. As mentioned, WSSCC appears to be widely seen by other WASH stakeholders as a historically influential advocacy organisation in the sector. But as the sector evolves and WSSCC's focus is perceived to have shifted more decidedly towards program implementation through GSF, its unique contribution in the advocacy space is now questioned.

These questions acquire significance particularly in view of the transformations in the international aid and development landscape in recent years which is creating funding uncertainties and re-prioritisation of aid agendas. WSSCC's current donor constituencies, while emphasising their high level of satisfaction

with and the relevance of WSSCC's overall contributions to the WASH sector, note that sanitation and hygiene is likely to remain an important sector within their future aid agenda owing to the extent of unmet gaps and the need to achieve equitable sector outcomes. Even so, specific strategies that will attract support are likely to be determined by the WASH priorities set in the global agenda. There is a wider interest to support programmes that focus on urban and peri-urban issues, resilience issues of WASH, include climate change, private sector engagement and all aspects of the sanitation value chain. For WSSCC, this will entail defining its own goal posts as required by the SDGs, to clarify how far WSSCC will go beyond promoting improved sanitation and hygiene behavior among rural households, including: geography (small towns and peri-urban areas surrounding major cities); institutions (schools, health clinics, public spaces, trading centers, transport hubs); basic safe waste management; and water supply, (specifically, water for sanitation and hygiene, a subset of WASH).

With equity acquiring center stage in global and national development discourse, this will also require clarifying how to use GSF direct implementation methodologies to translate policy advocacy on equality and non-discrimination into tangible improvements in women's education, health and empowerment *at scale*. This will involve thinking through aspects of equality and non-discrimination at the various stages of GSF programming from inception, design, composition of programme coordination mechanisms, selection criteria for EAs/SGs, outcome indicators, innovations in CLTS facilitation, and methods of verification and reporting. Clearly, these will involve important decisions in terms of staffing and national-level engagement so that there is purposeful transition from policy advocacy to direct implementation.

Within the WASH sector itself, changes are evidenced in the global framing and landscape of WASH advocacy, which is placing an emphasis on cross-sectoral coordination, integrated WASH messaging and collaborative advocacy to realise the benefits of sustainable and universal coverage of WASH. While behavior change communication strategies continue to hold relevance for improved WASH outcomes, newer behavior change frameworks for addressing open defecation are emerging from field-based insights and academic developments in behavior science. The implications of these on existing interventions based on historically understood drivers of behavior remain to be seen. Clearly, WSSCC's historical strengths in sector advocacy are uncontested and its GSF programme holds valuable lessons and achievements in the advancement of sector goals. Nevertheless, these are considerations to bear in mind as WSSCC moves forward in developing its next strategic plan and accompanying results framework.

Annex 1: WSSCC MTSP (2012-16) - Results Framework

Results	Key Performance Indicators
Outcome 1: ACCESS AND USE. *Tens of millions of previously unserved people in 10–25 sanitation-needy*	
Output 1(a): At least 11 million people have stopped defecating in the open and are practising safe sanitation and hygiene.	▪ As a first step, at least 15 million people in GSF-supported programme areas stop defecating in the open. ▪ Of them, at least 11 million people use improved toilets. ▪ Of them, at least 11 million people wash their hands with soap at critical times.
Output 1(b): All people living in GSF-targeted areas are reached by sanitation and hygiene messages.	▪ At least 20 million people have heard or read messages, participated in a GSF-supported activity or been verifiably touched by the programme.
Output 1(c): There is evidence that the achieved sanitation and hygiene improvements are sustainable.	• The open defecation-free environments in GSF-supported programme areas remain open defecation-free at least five years after the programme work.1 ▪ At least 11 million people continue to use improved toilets and hygiene behaviours after five years.
Output 1(d): National and sub-national partners have adequate capacity to deliver GSF-supported programmes effectively.	• GSF-supported programmes are delivered in a timely and cost effective manner. ▪ GSF partners apply pro-poor, participatory, technically appropriate approaches to achieve results.
Output 1(e): Politicians especially Finance Ministers, and support agencies increase sanitation and hygiene investments	▪ In at least five WSSCC priority countries, a separate budget line is established for sanitation and hygiene and is properly resourced. • External support agencies increase funds for sanitation and hygiene in WSSCC's priority countries. • Both the private and the philanthropic sectors invest more in sanitation and hygiene. ▪ WSSCC's Members and WASH Ambassadors use their influence with governments to achieve change in at least ten WSSCC priority countries.
Output 1(f): WSSCC's ideas inspire other organisations to deliver sanitation and hygiene programmes at scale.	▪ WSSCC's evidence-based advocacy materials are used to influence other organisations in all its priority countries. • Several million people are reached by other organisations' programmes that are compatible with WSSCC's. ▪ The scope of the GSF-supported work in at least five countries is augmented by other organisations' implementation using their finance.
▪ **Outcome 2: EQUITY.** *Among those who gain access, poor and marginalised people and groups are identified*	
Output 2(a): The sanitation goal after 2015 specifies universal access and sustainable use and equity for poor and marginalised people.	▪ Post-2015 monitoring of sanitation and hygiene monitors universal access to and use of services and checks on those traditionally left out.
Output 2(b): In the GSF-supported programme areas, at least two vulnerable groups2 per country report measurable improvements in	▪ 75% of people in two vulnerable groups in GSF-supported target open defecation-free communities per country use improved toilets. ▪ 75% of people in two vulnerable groups in the same communities wash their hands with soap

their sanitation and hygiene situation.	
Output 2(c): WSSCC's networking, knowledge management and advocacy contributes positively to reaching poor and marginalised groups.	• WSSCC produces advocacy materials and technical publications on equity which are used by professionals in the sector. • WSSCC convenes learning and sharing events for dissemination, testing and feedback on issues of equity and inclusion. • The lessons learned on reaching poor people form the basis for advocacy at national, regional and global level.
Output 2(d): National monitoring systems for WASH include behaviour change and effectively monitor equity.	• In three WSSCC priority countries where relatively strong monitoring systems exist, indicators related to hygiene behaviour change and sanitation practice are included in the national monitoring system. • In the same three countries, the national monitoring system includes equity indicators. • Official data is increasingly available on behaviour change and sanitation practices in the same three countries.
▪ Outcome 3: INVOLVEMENT. *More individuals, organisations and businesses become involved in sanitation*	
Output 3(a): National and local governments actively coordinate and encourage collaboration of all actors, and implement policies and regulations that help new organisations, small businesses and entrepreneurs to become involved in sanitation and hygiene programmes.	• In WSSCC's priority countries, governments and national coordinating mechanisms actively encourage collaboration and involvement of new players. • GSF Programme Coordinating Mechanisms emphasise the role of new players especially the local private sector in the GSF programme.
Output 3(b): Strong and credible civil society participates in and shares responsibility for accelerating work in sanitation.	• In WSSCC's priority countries, the number and influence of civil society actors in sanitation increases.
Output 3(c): More people and organisations outside the conventional sanitation sector become involved in sanitation and hygiene work.	• In GSF-supported areas, local private sector and entrepreneurs provide services to people who want improved toilets. • Globally, more private sector companies become involved in sanitation and hygiene. • Globally and in WSSCC priority countries, the media become more active in covering sanitation and hygiene.
▪ Outcome 4: KNOWLEDGE AND SKILLS. *Individuals and agencies working in sanitation and hygiene*	
Output 4(a): WSSCC's members contribute to, and benefit from, a growing body of skills and knowledge about sanitation and hygiene	• Across the WSSCC membership base, Members contribute to the same (WSSCC) strategic outcomes. • By 2016, a large proportion of partners in countries where WSSCC is implementing the GSF are WSSCC Members
Output 4(b): A Community of Practice on sanitation and hygiene, integrated with WSSCC's membership, and drawing on knowledge and experience generated by	• An active Community of Practice for the sector is established, seed-financed and hosted by WSSCC, and integrated with WSSCC's membership. • The Community of Practice facilitates learning on the important subjects identified by its participants

members and the GSF, contributes to learning on priority questions and disseminates innovative and successful ideas.	
Output 4(c): Entrepreneurs and small businesses gain the skills and knowledge needed to avail themselves of sanitation technologies and products and become involved in sanitation as a business.	▪ Local businesses in WSSCC's priority countries use WSSCC supported and/or facilitated learning, materials and contacts effectively.
▪ Outcome 5: DELIVERY. *WSSCC is adequately resourced and effectively governed and managed to deliver*	
Output 5(a): WSSCC's MTSP is completed on time and informs its annual planning and monitoring	▪ Approved MTSP is issued in October 2011. • Annual plans and budgets to deliver the MTSP are approved by October of each preceding year. ▪ WSSCC's monitoring system improves to enable it to produce better, clearer evidence of the results that it achieves
Output 5(b): A well-resourced and managed Secretariat with clarity of roles and responsibilities supports the achievement of WSSCC's outcomes on time and to a high standard.	▪ The Secretariat staffing structure evolves by July 2012 as needed to deliver the MTSP results. • The structure, roles and responsibilities of National Coordinators evolves by July 2012 as needed to deliver the MTSP results. ▪ By 2014 WSSCC's governance mechanisms reflect the scope and strategic orientation of its MTSP
Output 5(c): Strengthened membership and partnerships support achievement of WSSCC's objectives	▪ Active, contributing Members participate in professional discussions, dissemination of knowledge and advocacy
Output 5(d): WSSCC's GSF is demonstrated to be a successful, efficient and cost-effective fund for accelerating sanitation and hygiene access and use	▪ GSF expenditure budget follows the higher scenario in section 7. • By 2016, all five current GSF donors continue to support it, and an additional five donors support it. ▪ GSF demonstrates acceptably low unit costs for delivering results.
Output 5(e): WSSCC's corporate communications work supports programmatic work, the communication of achievements, governance and fundraising	▪ A state-of-the-art, regularly updated website serves as an essential tool in communicating with all stakeholders. • WSSCC maintains and updates a core set of corporate communications materials. ▪ All WSSCC's reports are transparent, timely and accurate

Annex 2: Evaluation Framework for WSSCC's MTSP, 2012-16

Evaluation themes*	Sub-themes	Key Questions		Illustrative indicators
1. Relevance	1.1 Positioning within sector	1.1.1	To what extent does WSSCC constitute an appropriate response to and influence sector needs and priorities?	▪ Alignment of WSSCC response to sector needs and priorities
		1.1.2	To what extent has WSSCC successfully played the sector convener, 'collaborative council'	▪ Demonstrated value and resonance of WSSCC's programming response (global advocacy/knowledge/access at-scale):
		1.1.3	Are WSSCC's programming activities and outputs consistent with MTSP goals and intended outcomes?	o Evidence of sector benefits (access, equity, knowledge) accruing from GSF programming
		1.1.4	To what extent was this approach complementary to the work of other actors?	o Demand for continued services/scale-up of GSF programmes
		1.1.5	What important factors affected the relevance of WSSCC's programmatic work?	o Evidence of the types of influences of WSSCC's advocacy & communications in the areas of: global advocacy, national engagement support, corporate communications, stakeholder outreach
				o Evidence of NKM's contribution towards gaps in sector knowledge and learning as well as platforms for sharing, research, policy and practice in the areas of: capacity development, applied research and learning, M&E and collaboration
				▪ Alignment of WSSCC programme strategies with sector trends and good practices in the promotion of sanitation and hygiene
				▪ Attributes of WSSCC programming that are distinct from other agencies delivering similar services
				▪ Extent to which stakeholders see WSSCC as a reflection of current thinking or thought leadership on WASH sector and related issues
	1.2 Coherence with priorities of key external	1.2.1	To what extent are WSSCC objectives and programmes coherent with government goals, policies and priorities?	▪ Number and types of policy influences at regional/national/subnational levels
		1.2.2	To what extent is programming coherent with	▪ Evidence of programme alignment with needs of government stakeholders

	stakeholders		existing and potential donor priorities?	- Programming features valued by donors - Reasons stated by donors for not funding WSSCC yet - Reasons cited by past donors on not continuing to fund WSSCC
	1.3 Internal coherence	1.3.1	To what extent did WSSCC clearly and realistically articulate its strategies through the MTSP and programmatic plans?	Evidence of a common understanding of MTSP objectives, theory of change and results framework among key stakeholders
		1.3.2	To what extent was programmatic planning coherent with the MTSP?	Extent to which WSSCC Secretariat staff, Steering Committee, Board, NCs agree that the results framework is clear and appropriate
		1.3.3	To what extent has its planning and implementation been internally coherent?	Collaboration in planning and implementation where appropriate Complementarity of planned and implemented work - absence of unintentional overlaps and gaps
		1.3.4	To what extent were equity considerations factored into programme design?	
2 Performance	2.1 Effectiveness	1.1.1	To what extent were MTSP results – outputs and outcomes - achieved in line with what was planned?	- Performance against indicators in MTSP results framework - Improved coverage and usage - Improved WASH awareness - Evidence on slippage rates - Presence and use of well-defined targeting methods and strategies to reach poor/marginalised and for equity goals - Reach and influence of CoP activities - Quantity/quality/influence of knowledge and learning outputs - Contribution towards national government objectives for the sector - Contribution towards M&E initiatives of national governments - Knowledge dissemination particularly relating to GSF implementation experiences - Contribution towards defining post-2015 sector goals/priorities - Quantity/quality/influence of advocacy and communications (publications/broadcasts/media work) - Improved private sector commitments
		1.1.2	What other significant outcomes did WSSCC contribute to?	
		1.1.3	How strong was WSSCC's contribution to the observed outcomes (planned and unplanned)?	
		1.1.4	What were the principal factors that drove or impeded WSSCC's achievement of outputs and contribution to the outcomes?	
		1.1.5	In what ways have lessons from programmatic experiences informed subsequent programme design/implementation?	
		1.1.6	To what extent did WSSCC achieve its equity objectives?	

				▪ Evidence of programme replication and demand for services ▪ Reputational evidence to distinguish WSSCC from contributions made by other actors ▪ Evidence of increased funding patterns for WSSCC programming
	1.2 Efficiency	1.2.1	To what extent are programme activities on track time-wise?	▪ Evidence on time and cost overruns (comparison of work plan against expenditure statements)
		1.2.2	To what extent are programme activities on track cost-wise?	▪ Evidence of initiatives undertaken to reduce unit programme costs
		1.2.3	What factors have affected planned time and cost?	▪ Evidence that WSSCC costs of services (inputs from GSF VfM study) are better compared to other similar providers (comparison against cost standards if available)
		1.2.4	What does the evidence tell us about WSSCC's value for money for services?	
		1.2.5	How is evidence on cost-effectiveness analysis and cost-benefit analysis used by WSSCC?	▪ Evidence of systems in place to help maximise collaboration and thereby overall efficiencies
		1.2.6	To what extent does WSSCC have systems in place to promote collaboration within the organisation?	▪ Stakeholder views on factors affecting organisational efficiencies
		1.2.7	How do hosting arrangements with UNOPs influence funding flows and related programme efficiencies?	
3 Impact		3.1.1	Is there evidence that WSSCC is contributing to behaviour change and related outcomes within its geographic areas of focus?	▪ Evaluation evidence of impact of WSSCC's programming efforts on sanitation access, use and equity outcomes
		3.1.2	To what extent do WSSCC programs engage with existing robust evidence of the impact of different interventions on sanitation and hygiene?	▪ Types of factors that have contributed to or hampered progress towards outcomes
		3.1.3	What are the impact evidence needs for WSSCC programming, reporting and advocacy?	
4 Sustainability		4.1.1	How do different programme areas (A&C, NKM, and GSF) and WSSCC as an organisation define sustainability?	▪ Early evidence on sustained use of services by programme beneficiaries ▪ Evidence of sustainability strategies and actions within programmes, including:
		4.1.2	To what extent are positive results of WSSCC's work likely to be sustainable? What are the main factors behind this?	○ identification of government stakeholders to ensure continued accountability on results
		4.1.3	Are there clear exit strategies (including sustainability mechanisms) embedded within programme design?	○ capacity development of stakeholders ○ facilitating the creation of

				policy/regulatory/institutional frameworks that will support the continuation of benefits
				
				  ○ strengthening supply chain of sanitation products
				  ○ strengthening mechanisms that prevent slip-back, including verification and monitoring of toilet usage, access to water and local waste management systems
				▪ Evidence of appropriate funding allocations within programmes towards sustainability measures
				▪ Evidence of transfer of knowledge relating to best practices/lessons learned

5 M&E	5.1 Definition of Results Framework Theory of Change	5.1.1 5.1.2	Are the components of the Results Chain (Impact, Outcome and Output goals and the inputs and activities needed to achieve these goals) clearly defined? Is the Theory of Change fully and clearly articulated at the organisational level, i.e. do the inputs and activities typically undertaken by WSSCC during the MTSP period lead to the desired outputs and outcomes?	▪ Logical consistency between the results chain and the vision of the MTSP and WSSCC ▪ Gaps or inconsistencies found in the articulation of the Theory of Change, including assumptions / risk factors (*via mapping of the causal pathway between most commonly adopted inputs and activities by WSSCC during the MTSP period and the stated outcomes*) ▪ Consistency of the definition of each of the outcome goals against the theory of change, and whether they fulfill characteristics of being relevant, achievable and measurable
	5.2 Selection of indicators for measurement of Outcome goals	5.2.1 5.2.2	Do the Indicators defined for the measurement of outcome and outputs in the MTSP and programmatic plans meet consensus criteria such as specificity, relevance, and measurability? Are there appropriate benchmarking criteria that are missing from WSSCC framework?	▪ Assessment of each of the indicators used against the SMART criteria ▪ Number of indicators that match most commonly used indicators in the WASH sector ▪ Assessment of the relevance of indicators only used by WSSCC
	5.3 Existence of a streamlined and centralised M&E	5.3.1 5.3.2 5.3.3	Are there M&E plans at appropriate levels with dedicated budgets? How widespread and effective is the monitoring of inputs, activities, outputs and outcomes Is appropriate and effective use made of	▪ Role and functions of the M&E Unit ▪ Existence of documents at the organisational or departmental level on guidelines or frameworks for monitoring or for evaluation ▪ Instances of preparation of dedicated M&E plans

	framework		independent evaluations?	and budgets for the MTSP period or annually, alternatively, mention of M&E activities in annual work plans and references to M&E data in progress narratives
		5.3.4	Are there systematic processes for integrating use of M&E information into planning and decision making?	▪ List and nature of M&E activities carried out by each of the functional unit at the global and country level (by WSSCC and/or partners and stakeholders)
				▪ Annual budget dedicated to M&E
				▪ Consistency of use of ongoing monitoring activities for tracking delivery of inputs/activities, outputs, and periodic monitoring for tracking progress against intermediate outcomes
				▪ Number and types of evaluations commissioned during the MTSP period and funds allocated (whether external or internal)
				▪ Approximate time spent by key staff on collecting, compiling, reporting or analysing M&E information
6	Governance and Management	6.1 Organisational structure	6.1.1 Has WSSCC's governance structures and processes been fit for purpose? Have they operated satisfactorily? If not, why not?	▪ Evidence of clarity and agreement on roles/responsibilities/reporting arrangements
			6.1.2 Has its resourcing framework and processes been fit for purpose? Have they operated satisfactorily? If not, why not?	▪ Evidence on members (SC, Board, Secretariat, NCs) fulfilling their roles and responsibilities effectively
			6.1.3 Have its key planning, decision-making and other management structures and processes been fit for purpose? Have they operated satisfactorily? If not, why not?	▪ Contribution of WASH Coalitions, NCs, Members, CoPs to strategic orientation of WSSCC
				▪ Evidence of (absence of) clear communication, coordination, collaboration and decision-making across the structure
			6.1.4 Have its approaches to partnership been effective? If not, why not?	▪ Reported evidence of organisational strains
			6.1.5 To what extent does it have effective mechanisms for learning – both from what it does and achieves and from the external environment - and adapting? Have they operated satisfactorily? If not, why not?	▪ Evidence of changes in funders (quantity, quality)
				▪ Evidence of changes in reputation among peers, key stakeholders
			6.1.6 Insofar as it is possible to identify WSSCC's organisational culture or cultures, are they supportive of its goals	

	6.2 Transparency and accountability	6.2.1 In addition to questions of transparency in planning, monitoring and evaluation, to what extent and how transparently are key stakeholders (e.g. SC, Members, donors, beneficiaries) informed about WSSCC's activities, results and lessons learnt 6.2.2 To what extent does this information meet the needs and interests of these groups	▪ Periodicity, format and types of information shared with SC, Board, Donors and wider community ▪ Stakeholder (SC, Board, Donor) perspectives on adequacy of information for decision-making purposes and assessment of performance ▪ Evidence of sharing of programme results/lessons, evaluation results in public interest (types of information, types of dissemination platforms/events)

*The proposed evaluation themes include OECD-DAC criteria for evaluating development assistance, namely – Relevance, Effectiveness, Efficiency, Impact and Sustainability

Annex 3: Methods of Verification

	Secondary Data Collection[1]		Primary Data Collection[2]									
	Internal Documents	Contextual Documents	WSSCC Secretariat	Donors	Strategic Governance Partnerships	GSF Delivery Partnerships	Strategic Policy Partnerships	Strategic Institutional Partnerships	Other Collaborations	WSSCC Counterpart Organisations	WSSCC Clients	Opinion Leaders
1. Relevance												
1.1 Positioning within sector	✓	✓		✓	✓	✓	✓	✓	✓	✓		✓
1.2 Coherence with priorities of key stakeholders	✓	✓		✓	✓	✓	✓	✓		✓		✓
1.3 Internal coherence	✓		✓	✓	✓	✓	✓	✓		✓		✓
2. Performance												
2.1 Effectiveness	✓	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓
2.2 Efficiency	✓	✓	✓			✓				✓		
3. Impact	✓	✓	✓	✓		✓	✓			✓	✓	✓
4. Sustainability	✓	✓	✓	✓		✓	✓			✓	✓	✓
5. M&E												
5.1 Defining Results Framework	✓		✓									
5.2 Selection of Indicators	✓		✓									
5.3 M&E Strategy and Framework	✓	✓	✓		✓	✓		✓		✓		✓
6. Governance/Management												
6.1 Organisational structure	✓	✓	✓	✓	✓	✓				✓		
6.2 Transparency and Accountability	✓	✓	✓	✓	✓	✓		✓		✓		✓

[1]Refers to In-depth desk review of documents (internal and contextual documents); [2] semi-structured Interviews, surveys, FGDs, field observations

Annex 4: WSSCC documents reviewed

	Type of document
1	Annual/Biennial Strategy documents towards implementing MTSP • NC country assessment report • NC country strategy document
2	Annual work plan and budget (since 2012) submitted to/approved by the Steering Committee by organisation/programme area
3	Annual progress and financial reports (since 2012) and related narratives by organisation/programme area
4	Internal strategy documents (since 2012) and externally commissioned strategy documents • Overall WSSCC strategy (any other than MTSP?) • Advocacy Strategy (from 2009) • Communications Strategy (from 2010) • NKM Strategy • GSF Strategy • Membership strategy • NC engagement strategy • Steering committee strategy • GSF Advisory group strategy
5	External reviews/reports (since 2012) by organisation/programme area
6	Donor documents (MoUs, contracts, etc.)
7	MoUs, ToRs and stated mandates/contracts (since 2012) relating to Steering committees, Advisory Boards, National Coordinators, Executing agencies, Sub-grantees, Memberships
8	Selection criteria for Steering Committee, Advisory Boards, NC, Members, Executing agencies
9	Operating manuals for organisation/department/programme area
10	Organogram mapping roles and responsibilities and positions added since 2012 w/ timelines
11	M&E documents (where available)
12	List of agencies comparable to WSSCC (by organisation/programme)
13	Comprehensive list of key stakeholders (internal/external) by organisation/programme area
14	Internal research documents on sanitation policy context in the countries of operation (by programme area)
15	Unit cost information (rationale and assumptions)
16	Events reports (all WSSCC convened events from 2012 - but also 2011 Global Forum report)

Annex 5: Examples of Capacity Building and Learning Activities undertaken by GSF during the MTSP

Table 13: Examples from Country Programmes of GSF's Progress on Capacity Building

GSF Country Programme	Progress on Capacity Building
India	• On supply side, activity focused on training masons and supporting service suppliers. 230 masons trained by year 3of the programme and 3 suppliers supported. Not clear how these feed into achievement of desired outcomes. Need for indicator focused on impact of this training and broader sense of overall framework in which they are expected to operate. Need to assess quality of training and impact on improved delivery. • Funded 'Training Needs Assessment' (to understand current strengths and capacity gaps) for Communication and Capacity Development Units (CCDUs), a key government implementation agency at the state level in Jharkhand and Bihar in 2012. Assessing quality of this intervention would require undertaking baseline survey of organisational capability and reassessing the same after intervention (training and non-training) • Targets for number of people trained has been met, little comment on effectiveness of training or if the right people are trained • Well-developed State Sanitation Networks in Jharkhand and Bihar (developing civil society network-'Vishwas') but their role and expected contribution not included in performance framework
Madagascar	• Two of the outcome areas relate to improvements in institutional capacity, at present the results framework does not really help the programme monitor institutional change. • Development of a capacity assessment tool within the framework of a clear theory of change would help the GSF programme in planning and monitoring progress in this area
Malawi	• Significant monies are being spent on capacity development but there has been no clear baseline set in this area e.g. a capacity needs assessment and a mechanism/ process to ensure that over time Malawi was able to manage continued replacement of capacity with communities, government, private and civil society. • This area is fundamental not only to the delivery of the programme based on a model of the use of extension service staff (good) but for the longer term exit strategy of GSF.
Nepal	• Programme focuses on improving capacity, but has limited ways of monitoring any changes in these areas. For example, the areas of change highlighted in the Log frame focus on the number of people trained or the setting up of school child clubs and not the changes that result from such capacity building activities • Measurement of capacity building activities tracks them at an output level, whereas the critical change to look for are how the changes in capacity have been put into practice is missing (which is more of an outcome). Counting the number of people trained does not assess an improvement of capacity or help track cost effectiveness as training more people might actually compromise the quality of the training. Furthermore, it also does not give any sense as to whether those trained are the right people and if they are being trained effectively and meaningfully. In interviews and field observations, however, the MTE Team noted a number of instances where there appeared to be a change in behaviour and practice due to capacity building.
Uganda	• Not much work undertaken on capacity building which is clearly illustrated in the field. Virtually all toilets visited by MTE team are basic latrines (even in good soils), constructed locally by householders with maybe with some paid assistance to dig pits. There is little if any use of masons or of any collective approach to source or purchase materials at scale. Other programmes in the past have managed to construct examples of high quality improved latrines as evidenced in Kibuku where two women still had high quality latrines that had been standing

for 10 years.
- There is limited, if any, understanding of sanitation marketing in the districts the teams visited. The best example observed was in Kumi where citizens were encouraged to move from basic latrines to improved latrines by training masons from every sub-county. Sanitation marketing activities though were limited to technical training and there was limited investment into the broader business skills required. Health staff reported that even after training masons had not found sufficient demand to develop a viable business.

Source 10 Compiled from GSF MTE Country Reports

Table 14: List of GSF Documents Available on WSSCC Website

S. No.	Name of Document	Date of Publication
1	Technical Summary of Recent Studies in Madagascar	September 2014
2	GSF Progress Report 2014	March 2015
3	Uganda Sanitation Fund Progress Report	March 2015
4	10 Reasons to Partner with Global Sanitation Fund	July 2015
5	The Global Sanitation Fund in Ethiopia	July 2015
6	GSF Progress Report: 2015 Mid-Year Update	August 2015
7	Promotion of Sanitation and Hygiene in Madagascar	August 2015
8	Togo Progress Report	December 2015

Source 11 Compiled from WSSCC Website, available at: http://wsscc.org/resources/?_sft_category=globalsanitation fund, accessed in February, 2016

Table 15: List of Learning and Knowledge Sharing Events Conducted by GSF at the Global Level

S. No.	Name of Event	Place/ Date	Documented Outputs
1	1st GSF Learning and Sharing Event	-	-
2	2nd GSF Learning and Sharing Event	Malawi/ September 2012	Proceedings of the Event

Table 16: List of evaluations commissioned by GSF

S. No.	Title of Evaluation	Type	GSF Country Programmes
1	Mid-Term Evaluation	External Independent Consultancy	- Completed 7 Country Programmes (Madagascar, Senegal, Nepal, India, Malawi, Cambodia, Uganda) - Completed synthesis report of the above mentioned 7 Country Programmes - In Progress 3 Country Programmes (Ethiopia, Nigeria, Tanzania)
2	Monitoring & Evaluation Diagnosis	External Independent Consultancy	- included 2 country visits (Madagascar and Cambodia)
3	Value for Money in GSF	External Independent Consultancy	- Completed Desk Reviews of 4 Country Programmes (Senegal, Nepal, India, Malawi) - Completed field based case study of 2 Country Programmes (Madagascar, Cambodia) - Completed draft synthesis report
4	Sustainability	External	- 3 Country Programmes (Madagascar, Senegal and Uganda)

	Review of GSF Programmes	Independent Consultancy	
5	Outcome Survey	External Independent Consultancy	-Madagascar, Senegal, Nepal, India, Malawi, Cambodia

Table 17: Examples from Country programmes of GSF's Progress on Learning and Knowledge Sharing

GSF Country Programme	Progress on Learning and Knowledge Sharing
India	• Learning explicitly identified in CPP as central element of India programme. Objective 3 in the CPP is "promotion of a culture of continuous learning" • Learning strategy is in place with overall objective of improving interventions and contributing to wider debate by capturing and analysing lessons from the programme and sharing and using the knowledge thus gained. Learning strategy is ambitious. • Evidence of efforts made in the area of learning. Learning approach seems useful and helpful. • Learning is primarily being tracked through the production of outputs rather than looking at the influence these outputs have, or in assessing whether a culture of learning is really being created. MTE team's discussion with the GSF team and other stakeholders suggests that reflection is taking place and lessons are being learnt; and that adaptations being made can be tracked to lessons from Jharkhand (the need for alignment, collaborations and partnerships) and Assam (ensure you have sufficient Sub Grantee capacity). • Possibility of too many externally produced outputs by research partners and consultants, questions arise about extent of internal learning undertaken and marked by SGs.
Madagascar	• Significant effort towards generating and sharing learning with focus on SGs and key stakeholders at district and local level • Learning strategy is yet to be finalised, draft expected soon • EA has undertaken learning and experience sharing activities, learning workshops, sector-wide meeting to share CLTS experience, and exchange visit in 3 regions • EA has designated a person as focal point to direct interface between EA and SGs • Much potential learning yet to be consistently shared and used.
Malawi	• Work in the area of learning is adhoc • Learning function effectively devolved to Centre of Excellence, Mzuzu • Need for learning across players • No clear strategy for learning and communication
Nepal	• Learning is a challenge with regard formalisation of learning processes • Need for learning process to assess wider applicability of innovations for enabling supporting and improving scale up and sharing the same efficiently • learning is happening across programme especially at local level but need to invest more time and effort into learning • Conducted a 2-day learning workshop in Feb 2013 • Sacosan meet in Bhaktapur in Oct 2013.
Cambodia	• Quarterly learning events undertaken but no evidence/information on events' output and how these events have actually helped improve delivery • EA has call down contract in place related to learning studies • In Feb 2016, a learning sub-grant has been awarded to promote learning and research in the programme
Uganda	• No learning strategy in place

Source 12 GSF Mid-Term Evaluation Country Reports and inputs from WSSCC

Annex 6: Examples from GSF country programmes on Advocacy and Communications

GSF Country Programme	Progress on Advocacy and Communication
Madagascar	• All parts of the advocacy work complement and support each other • Aim of advocacy strategy: strengthen sector co-ordination, harmonise interventions, strengthen synergies with other actors, facilitate introduction and launch of activities in programme intervention area including activities related to institutional learning. • National level advocacy: EA engaged in strong lobbying and advocacy of the Ministry of Water (also a PCM member), resulted in increased understanding and involvement in GSF by the Ministry and creation of a department of Sanitation and Hygiene (supervised by a PCM member) within the ministry. EA engaged in lobbying and advocacy on sanitation and hygiene at national level during the World Hand-washing Day, World Water Day and participation in national advocacy workshop with other sector players on World Toilet Day. • Regional and local level advocacy: EA works with SGs, local and district authorities, Diorano WASH Committees and local media
Uganda	• Advocacy has been done within the Ministry of Health but key stakeholders/ decision makers are still not yet fully on board, so for example are not seen talking about sanitation in every health forum. Even other Ministries responsible for sanitation do not seem to have fully committed to the objectives of the USF e.g. Ministry of Education and Ministry of Local Government. However, efforts are being made to address this. For example: The president directed the Permanent Secretary of the MoH to write to the Office of the Prime Minister asking them to write to the Ministry of Local Government to instruct districts to construct quality latrines and enact the necessary bylaws. This is an indication of political will at the topmost level. • A concept note on sanitation showing the funding gap was submitted to parliament for deliberation • The EA is working closely with the Technical Support Unit of the Ministry of Water and Environment • There are plans to take MoH leadership, parliamentarians and sectoral working group to the field • Sanitation and hygiene has always been a chapter in the Annual Water and Environment Sector Performance report. However, the GSF has now also been incorporated in the report because of its substantial contribution to the sub sector. • The GSF has strengthened the relationship between the Ministry of Health, and Ministry of Water and Environment. Previously water and sanitation project used to channel their funds through the Ministry of Water because the water component always had a bigger component. The MoH would be called upon to collaborate but not have a key role. The USF focuses on only sanitation which gives the MoH a lead role though having the PCM chairperson from Ministry of Water keeps the coordination and communication strong.
India	• Media Partnership Initiatives
Malawi	• Limited work in advocacy, communication and Knowledge Management • Communication officer recruited

Source 13 GSF Mid-Term Evaluation Country Reports

Annex 7: WSSCC Management Response to GSF's Independent MTE Synthesis Report (4th-5th April 2016)

Key Area for GSF	WSSCC Management Response to GSF's MTE & Actions Undertaken
Achievement of target	• Recognise delivery against target is behind schedule but longer start-up phase (effective collaboration, coalition building, quality planning, careful selection of staff and SGs, capacity building) has led to accelerated delivery of key results in implementation phase • Lesson learned is development of adequate timelines for achievement of results
Theory of Change	• Accepts that CPPs lack clear theory of change, lacks political economy understanding of how change happens, lacks effective sequencing and fitting together of GSF outcome areas • Need to reflect, review performance, assess trends, make more explicit GSF' theory of change • WSSCC has prepared a strategy paper for GSF
Gender and Inequality	• Agree GSF programming needs to overcome challenges and be accountable to principles and standards of equality and non-discrimination • Proposed course of action for 2016: assessing country programmes' approach to reaching marginalised and vulnerable • WSSCC will undertake localised understanding of vulnerability, allowing community members to develop own definitions and processes to asses, identify the vulnerable and agree to appropriate solutions • Undertake gender analysis to capture community and intra-household level inequality
Sustainability, Slippage and Sanitation Marketing	• Agrees sustainability is a huge issue in sanitation generally and for WSSCC in particular. Need to further examine balance between demand creation and sanitation marketing. Assess supply chain. • Agree with GSF's limited focus on sanitation marketing but points out to GSF's focus on sustainability through robust application of demand creation to reduce slippage and sustain improved sanitation • Continue promotion of innovations in sanitation marketing • Recognises WSSCC's limits to its ability to develop internal expertise in small business development. Leverage WSSCC's work on demand creation by collaborating with institutions having expertise with small business development to promote sanitation marketing
Monitoring, Learning and documentation	• Recognises need to assess its results framework and monitoring systems. In 2016, GSF plans a full review and revision of results framework and adjusted terms of reference for evaluations • In 2015 WSSCC Secretariat undertook several institutional changes to strengthen learning, documentation and communication: establish Learning and Documentation Task Team dedicating 2 staff members to GSF department. • GSF learning event to be held in April, 2016 and research studies planned for 2016

Annex 8: Communications materials from A&C during MTSP, 2012-16

- WSSCC partnered with Unilever and WaterAid to bring out a report on the status of the progress on WASH MDG targets;
- WSSCC partnered with SCA to bring out an issue focusing on menstrual hygiene management with SHAPE magazine;
- SHARE partnership briefing notes;
- Factsheets for the WASH sector produced as part of the JMP Post-2015 WASH Targets & Indicators;
- GSF Learning and Advocacy Material;
- Research Studies: 'Learning to do better',2012 (India);
- Case Studies: 'Tracking Toilets on the Ground: Case Studies from Jharkhand',2013(India); 'The Sanitation Drive in Assam: Voices from the Ground',2013(India); Analysis of Sanitation Supply Chain (Uganda);
- Learning Notes: 'Equity in Access, Use and Benefits' (India); 'Partnerships and Collaboration for Sanitation and Hygiene Promotion;
- Reports: Annual Report 2013 by EA (Madagascar); SACOSAN-V special progress report (Nepal); Report on visit to GSF Cambodia (Nepal); various partner reports like case studies, lessons learned, and Newsletters in Nepali (Nepal); CPM Report on first year review (Nepal); CPM Annual Reports on Best Practices (Uganda);
- Newsletters/Bulletins: Newsletters on examples of good practices in sustainability follow up and scale up (Madagascar), Newsletters and Bulletin (Nepal).

Annex 9: Stakeholders and Partners during MTSP, 2012-16

Stakeholder group	Types of stakeholders
WSSCC Secretariat	- Secretariat staff (current and former) - Steering Committee (current and former members) - GSF Advisory Committee (current and former members) - UNOPS (Geneva and Copenhagen)
WSSCC Partners and other Collaborators	- Donors (past - BMGF, DFID), existing and potential) - Strategic Governance Partnerships (National WASH Coalitions, National Coordinators, Members) - GSF Delivery Partnerships (Executing Agencies, Programme Coordinating Mechanisms, Country Programme Monitors, Sub-grantees) - Strategic Policy Partnerships (AMCOW, AfricaSAN Task Force, AfDB, SacoSan Members/Task Force, National/sub-national governments) - Strategic Institutional Partnerships (UN, UN Water, WHO - GLAAS, UN Women, OHCHR, Sanitation and Water for All, ILO, Accenture Development Partnerships, Global Poverty Project, SHARE, IRC, CLTS Foundation, SCA, Water Global Practice) - Other Collaborations (CSOs, CSO networks like FANSA, CoP etc.)
WSSCC Counterpart Organizations	- Water and Sanitation Program - WaterAid - UNICEF - IRC - Charity for Water - Water for People - SNV - Plan International - Any other? IWA, IUCN
WSSCC Clients	Programme beneficiaries for all 3 departments
Global and Regional Experts/ Opinion leaders	- Academic and non-academic experts (sector and policy) - Evaluation experts