



*Strengthening partnerships
for improved water and
sanitation service delivery*

**Phase I Mid-term Review of Sustaining and Scaling
Pro-poor Urban Water and Sanitation Services in
Maputo**

Initiative INK348, Activity 12A237

Evaluation Report

Water & Sanitation for the Urban Poor

AusAID

Jacques-Edouard Tiberghien / 30 August 2013

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List of Acronyms

AdeM: Águas da Região de Maputo
AIAS: Administration for Water Supply and Sanitation Infrastructure
AMCOW: African Ministers' Council on Water
AMODEFA: Association for Families Development
ANEMO: Mozambican Association for Nurses
AusAID: (former) Australian Agency for International Development
CDS: Community Development Specialist
CLTS: Community–Led Total Sanitation
CMM: Maputo City Council
CNCS: National AIDS Council
CRA: Water Regulatory Council
CDS: Community Development Specialist
CSB: Communal Sanitation Block
DEWATS: Decentralized Wastewater Treatment Systems
DMA: District Metered Area
DM: Delegated Management
DMF: Delegated Management Framework
DAS: Water and Sanitation Department of Maputo City Council
DNA: National Directorate of Water
EMA: Mozambican Water Company
FIPAG: Water Supply Investment and Assets Fund
FSM: Fecal Sludge Management
GDI: Gender and Disability inclusiveness
GOM: Government of Mozambique
JSDF: Japanese Social Development Fund
LIC: Low Income Community
LSP: Local Service Provider
MHM: Menstrual Hygiene Management
MMAS: Ministry of Women and Social Action
MINED: Ministry of Education
NRW: Non-Revenue Water
O&M: Operation and Maintenance
PLHIV: People living with HIV
PPIAF: Public-Private Infrastructure Advisory Facility
PPP: Public-Private Partnership
PWD: Persons with disabilities
R&R: Roles and Responsibilities
SBMC: Sanitation Block Management Committee
SME: Small and Medium Enterprise
SO: Strategic Objectives
SL: Shared Latrine

BPD Water and Sanitation

MTE WSUP programme in Maputo, Mozambique

SPA: Service Provision Agreement

SWaSSA: Sustainable Water and Sanitation Services for Africa (2013 Draft Sector Plan for the Africa Program of the Australian aid program)

UGSM: Uaiene Gama de Serviços de Maputo (solid waste and fecal sludge Maputo SME operator)

WASH: Water Supply, Sanitation and Hygiene

WB: The World Bank

WASH: Water Supply Sanitation and Hygiene

WinS: Water Supply, Sanitation and Hygiene in School

WSUP: Water and Sanitation for the Urban Poor

WSP: The Water and Sanitation Program of the World Bank

Initiative Summary

Initiative Name	Sustaining and Scaling Pro-poor Urban Water and Sanitation Services in Maputo – Phase I		
AidWorks initiative number	INK348		
Commencement date	April 2012	Completion date	March 2014
Total Australian \$	3,000,000.00		
Total other \$	Additional contributors include: CMM, FIPAG, households, UGSM, EMA, TCCAF		
Delivery organisation(s)	WSUP		
Implementing Partner(s)	AdeM, FIPAG, CRA, CMM and Bairro Administrations, AIAS, local CBOs		
Country/Region	Mozambique		
Primary Sector	Water, Sanitation and Hygiene		

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Author's Details

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Disclaimer

This report reflects the views of the evaluator, rather than those of the Government of Australia or of the Government of Mozambique (GoM).

Executive Summary

Background and context

"Sustaining and Scaling Pro-Poor Urban Water and Sanitation Services in Maputo, Mozambique" is a five-year, two-phase, AusAID-funded programme which aims:

- For phase I: to lay the *foundations* for and initiate a process of adoption of effective, sustainable and scalable models of pro-poor urban water and sanitation service delivery by service providers and the local / national government in Maputo City and Matola City by *March 2014*.
- For phase II: to support the *adoption* and *replication* of refined effective, sustainable and scalable models of pro-poor urban water and sanitation services by service providers and the local / national government in Maputo City and Matola City by *March 2017*.

The programme focuses on low-income communities (LIC) of Maputo and Matola, where the lack of access to improved water and sanitation services is acute. Special attention is paid to addressing the needs of vulnerable groups, including women, girls, persons with disabilities (PWD) and persons living with HIV (PLHIV). The objectives are aligned with the national water and sanitation policies of the GOM and with the objectives of AusAID draft Sustainable Water and Sanitation Services for Africa (SWaSSA) 2012-2016 Plan.

Purpose and focus of the evaluation

The purposes of this external, independent evaluation are: to support AusAID's judgement on the effectiveness of Phase I, to serve as a basis for AusAID decision to proceed to Phase II and, subject to continuing with Phase II, to make recommendations for Phase II planning. The evaluation framework facilitates an assessment at programme level and at the level of three focus areas: 1) *Progress towards sustainability of pro-poor sanitation service delivery*; 2) *Mainstreaming gender and disability inclusiveness (GDI)*; and 3) *Strengthening capacities and creating opportunities for influencing*¹.

Evaluation findings

Relevance

The lack of WASH (Water Supply, Sanitation and Hygiene) services in poor neighbourhoods of the capital city has a severe impact on public health and directly contributes to poverty, notably due to the higher cost of water. In this context, the objectives of the programme are highly relevant.

In Maputo, over 30% of the population live with non-improved latrines or no sanitation systems at all. The programme targets this group by working in some of the areas most neglected by the government during the past decades. It addresses the lack of a strategy and expansion plan to supply water sustainably to LICs.

In addition, the programme seeks to tackle the critical sanitary conditions in schools, where the potential for instilling improved hygiene habits is high. Mainstreaming GDI throughout the programme also appears particularly relevant in Mozambique as experts refer to the urbanisation and feminisation of poverty.

By addressing the problem at city-wide scale, the programme recognises that real progress in the provision of sanitation services requires a clear institutional framework at city level, a solid regulatory framework, investment plans and significant financial flows, all of which have been lacking so far. The service approach to on-site sanitation and the focus on Fecal Sludge Management (FSM) are very appropriate. Indeed, 54% of the fecal sludge generated in Maputo is

¹ This area examined the scope, quality and content of the partnerships developed by the programme with key macro and meso level stakeholders.

produced in on-site facilities and unsafely emptied in the residential environment.

WSUP's theory of change proves very relevant. By demonstrating effective and sustainable models of service delivery and helping key local service providers (LSPs) to meet their priority needs, the programme gained 'a seat at the table' and is influencing the mind-sets of the main sector players.

Effectiveness

The programme is overall well on track to achieve the Phase I purpose, expected outcomes and outputs. It is also on track to contribute to the overall strategic objectives of both phases. This is particularly tangible on water supply. Yet, the programme faces two overarching challenges: First, to scale up its models on sanitation, a clear institutional framework, a regulatory framework and significant resources allocated to on-site sanitation, notably via a sanitation tax, are all required. The programme is actively contributing to put these conditions in place. Second, and that applies both to sanitation and water supply, by embedding its work 'in the system' and partnering closely with LSPs, a core strength of the programme, WSUP relinquishes some control and bears the risk of greater delays in activities.

On sanitation, the programme is very effective on both the FSM and communal sanitation block (CSB) activities. Progress on shared latrines (SL) and Community-Led Total Sanitation (CLTS) has been affected by various factors, leading the programme to lower its targets for Phase I. The strategy for schools was also revised, focusing more on institutional issues and stakeholder engagement to address structural challenges.

The programme is very effective in the capacity building and influencing area. WSUP is perceived as a responsive, non-intrusive, trusted partner, playing a catalyst role. The programme is achieving significant organisational buy-in and positively influencing mind-sets regarding pro-poor work. For instance, on the water front, support to AdeM (the utility) on non-revenue water (NRW) has resulted in a major reduction of leakages, increased periods of service and consequently an enhanced capacity to serve the poor. Support on delegated management (DM) to FIPAG (the asset holder) will have an influence country-wide, given the increasing prevalence of DM arrangements in LICs. Likewise, FIPAG's intention to replicate in the 21 cities of its service area the model tested with AdeM to expand services in LICs through sustainable household connections illustrates the positive rippling effect of the programme well beyond its perimeter of intervention. On sanitation, WSUP 'advocacy from the inside' is also influencing the mind-set of CMM (Maputo City Council), historically geared towards sewer systems. At the inter-institutional level, the programme actively supports CRA (the regulator) to assemble the pieces of the jigsaw that the development of a regulatory framework and the design of the sanitation tax require. The Sanitation Platform set up by the programme is an effective vehicle to share with and influence the sub-sector. The adoption by AIAS (the asset owner) of a service approach to sanitation is partly attributable to the joint advocacy work of WSUP, WSP and CRA in this forum. The Platform also influenced the shift of position of CMM regarding the institutional reform and the formation of the Autonomous Sanitation Entity at municipal level.

Steady progress is noted on GDI mainstreaming, with notable success in mainstreaming gender inclusiveness across all relevant activities. For instance, scheduling meetings at suitable times for women, encouraging community leaders to foster women's attendance, and continuously eliciting women's voices are becoming normal practices. Also, women are engaged at each step of the CSB 'project cycle', where they play a significant role in decision-making and frequently occupy a leadership position. GDI activities typically unearth a series of taboos and attitudinal barriers calling for convincing arguments. The programme's networking activities will be instrumental in developing the context-sensitive, phased approach and advocacy tools required to address the needs of PWD and PLHIV. If identifying PWD and PLHIV remains a major obstacle, achieving their participation also proves very difficult despite much advocacy at the local level. Much progress has been achieved on the accessibility of WASH facilities.

Efficiency

Procurement remains challenging despite efficient selection and tendering processes. In the management area, a more efficient use of the time of the Country Programme Manager requires greater delegation of day-to-day tasks to increase the focus on networking and influencing strategic partners.

At the service delivery level, the programme support of DM arrangements reflects a concern for keeping the service provider closest to the customers to efficiently serve them. Likewise, significant gains of efficiency result from the promotion and facilitation of household connections to tertiary networks. On sanitation, efficiency gains have been noted on the CSB activity thanks to a continually refined community mobilisation and engagement process and a more cost-efficient design of the facilities. The training of FSM service providers to strengthen the viability of their business illustrates the controls put forward by the programme to scale up efficiently. The evaluation also identified that mainstreaming gender throughout all activities leads to a number of efficiency gains.

Other areas reflect lower levels of efficiency: a major setback on CLTS led to a significant reduction in the target for Phase I and the unit cost of SLs notably increased. The lower efficiency observed in some areas can be contextualised as part of the learning-by-doing process of innovation transfer.

Capacity building activities were consistently referred to as economical, strategic, hands-on and high-quality. WSUP's incremental approach to supporting partners, building on small successes, proves efficient.

Sustainability

The systematic stakeholder consultation process implemented at block, bairro and district levels results in effective community participation and leads to high social sustainability. Fostering the participation of women throughout activities and encouraging their access to positions of leadership typically boosts their sense of ownership, increasing the sustainability of outcomes.

The concern of the programme for economic viability is manifest in sanitation from the analyses carried out along the chain of services, the focus on cost-efficiency, and the guidance and training provided to SME operators and CSB committees. **The FSM-DEWATS work paves the way for more environmentally-friendly practises across a city where those issues have been totally neglected thus far.** At this stage, sustaining the gains of WASH in schools work seems out of reach for the programme given a particularly disabling environment. WSUP is adequately responding to these challenges by refocusing its efforts at the institutional level.

The sustainability of the programme in the area of capacity building and influencing is measurable by its influence on organisational practices. On water, there is a need to keep showing impact on AdeM and FIPAG's core business, triggering the institutionalisation of the processes and practices demonstrated by the programme. **The creation of the NRW unit in AdeM is an achievement in this regard. Likewise, AdeM's CEO confirmed his willingness to formalise a LIC unit** to institutionalise the processes required to establish effective commercial relationships with the population of LICs. On sanitation, the influence of key principles (e.g. sanitation service approach, sanitation regulatory framework) promoted by the programme are likely to last regardless of the outcomes of municipal elections and staff turnover. WSUP support to the regulator also indirectly contributes to changes in operational procedures of CMM. Further change is expected by engagement of CMM staff in activities.

The exit strategy of the programme, so critical given its being so embedded in the system, builds on the formalisation and strengthening of all linkages between the actors of the service provision framework. Upcoming activities planned to develop stakeholders' capacities for management, planning and oversight will reinforce these linkages as well as stakeholders' accountability.

Lessons and recommendations

Lessons

Amongst the recent and on-going pro-poor urban WASH initiatives carried out in Africa, the programme stands out by the ambition of its objectives and the breadth of its activities. The usual WASH community development work is complemented by activities to strengthen the capacities of key meso-level and macro-level stakeholders and influence them to engage in pro-poor work.

Given the unique experience derived from its multi-level approach, and as result of the quality of its support to LSPs and the government, the programme is in a position to influence the sector. The strategic objectives of the programme prove very relevant to urban WASH programming. WSUP's 'advocacy from inside' complements more traditional forms of advocacy work.

Prerequisites for such a programme include good relationships with key partners forged through a continuity of action, a solid understanding of the local context, and a vast array of skillsets often difficult to assemble. Because such programmes operate from within the system, they also demand much flexibility with regard to deadlines and plans of activity.

The programme provides a wealth of lessons, which could be used to inform or refine the urban WASH strategy of AusAID and its partners, notably in other countries targeted under the draft SWaSSA 2012-2016 plan.

Key recommendations

- ▶ WSUP needs to establish mechanisms to mitigate the risks of delays caused by partners, prioritising recurrent risks such as management changes.
- ▶ WSUP programme manager needs to dedicate more time to strategic networking. This shall help WSUP identify with CRA, AIAS, CMM, WSP and other relevant partners how to best foster institutional reform for sanitation in the coming months.
- ▶ WSUP needs to find innovative ways to help CMM drive the country's sanitation agenda locally.
- ▶ AusAID could productively seize the opportunity of the programme to help CRA establish a regulatory framework matching the conditions prevailing in other cities, by encouraging its partners in Mozambique to feed CRA with relevant data from outside Maputo.
- ▶ WSUP's support to the regulator should include further study on price elasticity of demand for sanitation services, notably in relation to a sanitation tax. WSUP needs to foster and track access to latrines built under CLTS.
- ▶ The M&E framework needs to include processes that allow for a better assessment of behaviour change and reveal the extent to which the participation of women and PWD leverages greater socio-economic status and improves development outcomes. Ensure that staff has the capacity required to collect and generate more and better data on outcomes around the empowerment of women and PWD.
- ▶ WSUP needs to share more explicitly in reports the specific advocacy objectives targeted by the programme through its activities and the progress made against these. Likewise, the capacity development assessments tracking organisational change and institutionalisation need to be integrated in annual and bi-annual reports.

A more comprehensive set of recommendations can be consulted in Section 3.2. of this report. The proposed actions are described in greater detail and the organisations and individuals responsible for implementing them are indicated, when possible.

Evaluation Criteria Ratings

Evaluation Criteria	Rating (1-6)	Explanation
Relevance	6	The objectives of the programme are highly relevant from public health and poverty reduction perspectives, and align very well with the policies of the GOM and AusAID draft SWaSSA Plan. The systemic, city-wide approach comprehensively addresses the major blocks to the expansion of pro-poor WASH services. The theory of change framing the programme proves highly relevant.
Effectiveness	6	The programme is paving the way for the adoption and replication of effective, sustainable and scalable models of pro-poor urban WASH service delivery. It achieves significant buy-in from partners. Its influence on the pro-poor policies and practises of LSPs is occurring at a faster pace on water supply, where a clear institutional framework exists. On sanitation, most activities are carried out very effectively and appropriate steps are being taken to address existing challenges. Programme activities effectively prepare the ground for the institutional reform of the sub-sector, and foster change in mind-sets through the Sanitation Platform. The M&E framework and processes put in place by the programme are exemplar.
Efficiency	5	The administrative procedures used contribute to an efficient use of resources. Capacity building activities are economical, strategic and high-quality. The 'advocacy from inside approach' proves highly efficient, notably on the water front. On sanitation, the training of FSM SMEs to strengthen the viability of their business reflect a concern to scale up efficiently. Refined CSB designs and processes have led to marked efficiency gains. Setbacks on CLTS, increased unit cost of SLs, and the challenges faced in schools need to be partly contextualised as inherent in the learning-by-doing process of innovation transfer. Mainstreaming gender throughout all activities leads to numerous efficiency gains. A more efficient use of the time of the Country Programme Manager requires greater delegation of day-to-day tasks.
Sustainability	5	Efforts to foster cost-efficiency and affordability throughout the sanitation chain of services reflect a deep concern for economic sustainability. The systematic stakeholder consultation processes and gender mainstreaming boost the social sustainability of new services. A positive impact on public health and the environment is noted. Sustaining the gains of WASH in schools work is likely to be very difficult due to a particularly disabling environment. The exit strategy of the programme, so critical given its being so embedded in the system, is relevant: it builds on the institutionalisation of pro-poor policies and practises in LSPs and the formalisation and strengthening of all linkages between the actors of the service provision framework. Good progress is noted at this level.
Gender and disability inclusiveness	5	Objectives in this area are very relevant. The approach, still being refined on the PWD and PLHIV components, already leads to an effective mainstreaming of GDI throughout the programme. Advocacy work is influencing policy. Work in schools has a positive impact on MHM-related attitudinal barriers. Women's increasing leadership responsibilities lead to positive shifts in men's attitudes. Good progress is noted in terms of the accessibility features of facilities.

Rating scale

Satisfactory		Less than satisfactory	
6	Very high quality	3	Less than adequate quality
5	Good quality	2	Poor quality
4	Adequate quality	1	Very poor quality

1. Introduction

1.1. Initiative Background

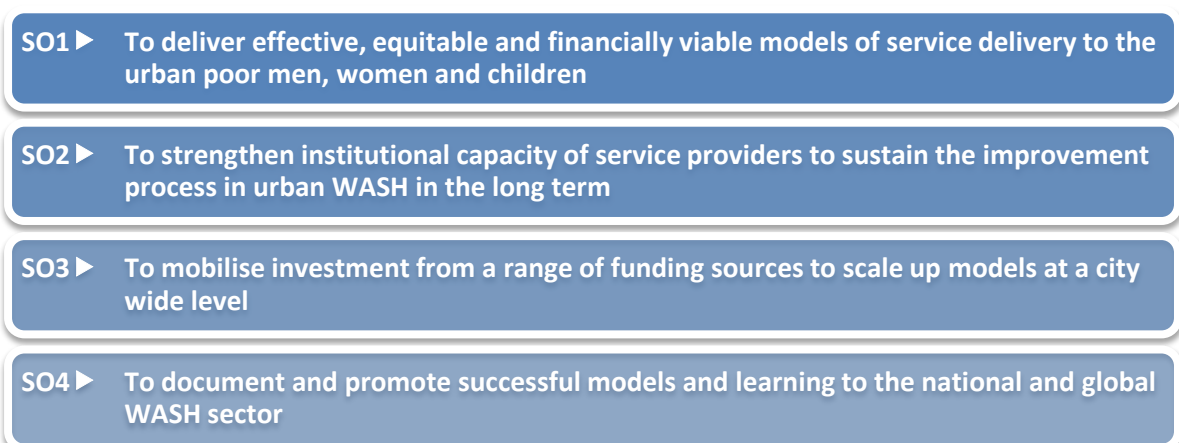
1.1.1. Description of the programme

"Sustaining and Scaling Pro-Poor Urban Water and Sanitation Services in Maputo, Mozambique" is a five-year AusAID-funded programme which builds upon WSUP's existing programme in Maputo and scales it up through a two-phase approach. The purpose of the programme is:

- For phase I: to lay the *foundations* for and initiate a process of adoption of effective, sustainable and scalable models of pro-poor urban water and sanitation service delivery by service providers and the local / national government in Maputo City and Matola City by *March 2014*.
- For phase II: to support the *adoption* and *replication* of refined effective, sustainable and scalable models of pro-poor urban water and sanitation services by service providers and the local / national government in Maputo City and Matola City by *March 2017*.

Delivery commenced in April 2012. Phase I comprises 46 activities. They all contribute to achieve four strategic objectives (SOs), which reflect WSUP's theory of change.

Figure 1: Programme's Strategic Objectives



1.1.2. Design and implementation history of the initiative

"Sustaining and Scaling Pro-Poor Urban Water and Sanitation Services in Maputo, Mozambique" directly stems from WSUP's Tchemulane programme, an initiative funded by the DFID, Bill & Melinda Gates Foundation, USAID and the AusAID Civil Society WASH Fund (via CARE Australia and Mozambique), and undertaken in Maputo during the four years preceding this programme. During this period, WSUP partnered with key macro and meso level agencies in the sector, such as FIPAG (Water Supply Investment and Assets Fund, the asset holder), AdeM (Águas da Região de Maputo, the water operator), CMM (Maputo City Council, the municipality), CRA (Waters Regulatory Council, the regulator), as well as local NGOs and CBOs, and carried out a number of activities, which are continued (often in a slightly different, more refined way) in the current programme. The work undertaken on non-revenue water² (NRW) and tertiary water networks to increase Low Income Communities (LICs) water supply coverage for instance, and the activities promoting Delegated Management (DM) of water service delivery in LICs through small-scale operators, derives from the Tchemulane programme. Likewise, many of the sanitation activities of the programme, such as

² Non-revenue water is water that has been produced and is "lost" before it reaches the customers. It includes physical losses (pipe leaks) and commercial losses (illegal connections, unmetered public use, meter error, unbilled metered water, and water for which payment is not collected)

Communal Sanitation Blocks (CSBs), Shared Latrines (SL), and Fecal Sludge Management (FSM) were trialled and refined during this period. The experience accumulated during this period provided solid foundations for the programme, namely: successfully trialled water and sanitation service delivery models, working links with key agencies, an understanding of the WASH (Water Supply, Sanitation and Hygiene) context in Maputo and at national level, and a vision of how to address some of its challenges. Indeed, the Citywide Sanitation Strategy, developed by WSUP with the Municipality, which integrated much of the learning made during the years of the Tchemulane programme, also informed this programme.

The groups targeted by the programme, with a few exceptions, are very similar to those who benefited from prior interventions: the programme focuses on LICs of Maputo and Matola, paying special attention to meeting the needs of the most vulnerable groups. Whilst the specific needs of women and girls were already addressed during prior work, this programme goes a step further, attending to the needs of persons with disabilities (PWD) and persons living with HIV (PLHIV). The programme makes the most of the working relationships established in previous years and seeks to enhance collaboration with mandated service providers and local SME service providers. This programme represents an opportunity for WSUP to significantly scale up its activities and benefit a much larger number of people than during the Tchemulane years (See Table 1).

Table 1: Jump in scale of interventions/number of beneficiaries

Number of beneficiaries	Tchemulane programme (as defined in proposal)	Targeted in the programme (Phases I and II)
Men, women and children with:		
- improved water services	110,000	276,250
- improved sanitation	11,500	230, 125
- hygiene knowledge	85,000	196,470
Schools with improved sanitation	5/12,700 girls and boys	13/ 39,000 girls and boys

Whilst this scaling up implies a notable increase in the level of resources allocated to SO1³ activities, the programme is of particular value to WSUP as it allows the organisation to test its theory of change. Indeed, in addition to the SO1 activities, the programme funds large sets of activities under SO2, SO3 and SO4, which put much greater emphasis on strengthening local service providers' (LSPs') capacities, on mobilising investment, and on disseminating learning than in any of WSUP's prior interventions in Maputo. This reflects the ambition of this programme to drive city-wide sanitation policy reforms and engage macro and meso level players on how to sustainably scale up pro-poor water supply and sanitation.

1.1.3. Context

Maputo, the capital of Mozambique, is an urban agglomeration with a population of about 1.7 million people⁴. It is a port city at the mouth of the River Matola and comprises two municipalities, Maputo and Matola. A large proportion of the population lives in low-income settlements, where access to improved water and sanitation services is a critical challenge. As a result, the population of these neighbourhoods is exposed to major public health hazards, amplified by overcrowding in these areas and flooding, which remains frequent in some of the low-income districts. A more detailed description of the context is provided in Section 2.1, where the relevance of the programme is examined.

³ To deliver effective, equitable and financially viable models of service delivery to the urban poor men, women and children'

⁴ http://www.citypopulation.de/Mocambique.html#Stadt_gross

1.1.4. Alignment with sector strategy

The programme has been designed in accordance with the national water and sanitation policies of the GOM. In particular, it contributes to the delivery of the recently mandated National Urban Water and Sanitation Strategy (2011-2025) in the following three key areas:

- *Water supply strategy for peri-urban and urban areas:* the programme contributes to universal water coverage by enhancing access to improved and affordable services. It fosters the development of the asset management functions and regulation by supporting local governments to plan, manage and regulate services and through its activities aimed at establishing more effective delegated management arrangements.
- *Sanitation for urban and peri-urban areas:* the programme contributes to universal provision of sanitation services in several ways, including: by enhancing access to improved and affordable on-site services at household and school level as well as promoting improved hygiene practices; by addressing the whole sanitation chain of services and developing Faecal Sludge Management (FSM) services; and through its activities aiming at developing investment plans for urban and peri-urban sanitation.
- *Financing:* the programme addresses the financing challenges of the sector both through activities aiming to define and apply a sanitation tax to finance the operations and maintenance (O&M) of public sanitation services and through its work on the implementation of a subsidy mechanism through local entrepreneurs to minimise the infrastructure costs, promote self-construction for low income families and support pit emptying services.

The programme is also in agreement with the priority of actions defined by the African Ministers' Council on Water (AMCOW)⁵ for urban water and sanitation in Mozambique. Its activities around DM support the development of the domestic private sector to operate urban water supply systems, by strengthening LSPs and notably improving their operational efficiency in system management by reducing NRW, and improving billing and revenue collections, which also lie at the heart of the programme. WSUP's approach to sanitation also meets AMCOW's recommendations in pushing for the adoption at scale of low-cost sanitation marketing approaches for peri-urban areas, and the strengthening of public and private sector capacities to participate successfully in these approaches.

Alignment with the objectives of AusAID's draft SWaSSA (Sustainable Water and Sanitation Services for Africa) 2012-2016 Plan is also manifest. The programme expands access to WASH services and promotes improved hygiene practices and knowledge in urban areas. Through SO2 notably, it increases the capacity of LSPs to deliver pro-poor WASH services. Decentralisation of the sector is enhanced by supporting the delegation of management functions to local operators, often best placed to respond to the specific needs of LIC populations. Another example of the alignment of the programme with SWaSSA's objectives relates to the consideration given to the need for an integrated approach to WASH. Whilst often unable to address both water supply, sanitation and hygiene simultaneously in a given area, the programme seeks to ensure that such an integrated approach takes place over time. Also, work on SO3, and notably WSUP's inputs within the Sanitation Platform⁶, are geared towards developing a strong institutional framework. Finally, the concern for developing cost-efficient sanitation services and mixed financing for those services are contributing to achieving financial turnaround.

⁵ The African Ministers' Council on Water was formed in 2002 to promote cooperation, security, social and economic development and poverty eradication among member states through the effective management of the continent's water resources and provision of water supply services. See: An AMCOW Country Status Overview - Water Supply and Sanitation in Mozambique: Turning Finance into Services for 2015 and Beyond

⁶ The Sanitation Platform was established in May 2012 by WSUP and CRA to foster sector coordination. The forum brings together stakeholders to share experiences and discuss themes strategic to institutional reform.

1.2. Evaluation Purpose and Questions

The purposes of this external, independent evaluation are: to support AusAID's judgement on the effectiveness of Phase I, to serve as a basis for the AusAID decision to proceed to Phase II and, subject to continuing with Phase II, to make recommendations for Phase II planning. This evaluation of Phase I seeks to answer the four evaluation questions (EQ) presented in the table below.

Table 2: Evaluation Questions

Assessment	Evaluation Questions
Summative	EQ1: Is this programme on track to achieve the Phase I purpose, expected outcomes and expected outputs (as laid out in the proposal), and on track to contribute to the overall strategic objectives of this two-phase programme?
Formative (Phase I)	EQ2: For expected outcomes and outputs not on track: why are these not on track? Are these issues that could be resolved by changes in programme management? EQ3: What are recommendations to improve performance within Phase I? Are any of the expected Phase I outputs and outcomes too onerous, given unforeseen implementation challenges and risks? If so, what are recommendations to review these and their impact on Phase II?
Formative (Phase II)	EQ4: Judging from experience to date in Phase I, are the broad goals of Phase II reasonable and relevant? What are recommendations for Phase II planning?

The primary users of this evaluation will be senior executives and initiative managers within AusAID. Key secondary users are WSUP personnel (UK and Mozambique) and key Government stakeholders, such as CRA, AIAS (Administration for Water Supply and Sanitation Infrastructure), ADEM, FIPAG, and CMM.

1.3. Evaluation Scope and Methods

1.3.1. Evaluation Approach

The evaluation embraces a theory-based approach by relating the evaluation questions to programmatic assumptions (WSUP's theory of change in this case), and questioning these assumptions leading to more formative outputs.

1.3.2. Scope of the evaluation

The evaluation framework (presented in Annex 2) facilitates an assessment of the programme at two levels: a) *Programme level*, and b) *Focus areas*. The three focus areas listed below were selected on the basis of their strategic importance and taking into account activity timeframes:

- *Progress towards sustainability of pro-poor sanitation service delivery* – in this area, the evaluation assesses the extent to which the approach to sanitation service delivery is leading to progress in sustainability (economic, social and environmental).
- *Mainstreaming gender and disability inclusiveness (GDI)* – the relevance and realism of the strategy put in place to mainstream GDI throughout the programme is analysed.
- *Strengthening capacities, creating opportunities for influencing* – the scope, quality and content of the partnerships developed by the programme with key players (focusing on macro and meso levels stakeholders) is evaluated. This area also highlights the work achieved at inter-institutional level to influence the rules of the game.

The definition of these three focus areas ensures coverage of nearly all of the programme activities (c.f. Annex 4). Whilst the first area focuses exclusively on sanitation, the second and third activities embrace all relevant activities of the programme on both water and sanitation fronts. The four evaluation questions were addressed both at programme and focus areas levels.

1.3.3. Data Collection and Analysis

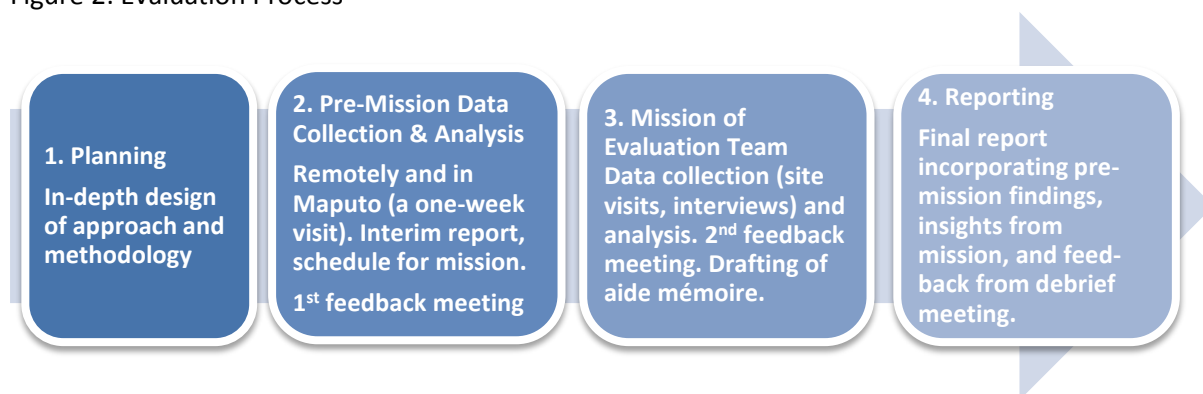
The evaluation relied on qualitative methods of investigation and data collection techniques such as: desk-based review of programme information, open and semi-structured interviews (phone and face-to-face), observations, site visits and group discussions, including feedback meetings⁷.

Data analysis was carried out by using a spread sheet mirroring the structure of the evaluation framework. A code was assigned to each subsection. All the relevant information gathered was subsequently coded and organised in the spread sheet. The next step of this iterative process⁸ consisted in scanning this information to extract key data supporting the assessment of the programme against the DAC evaluation criteria and/or contributing to the formulation of recommendations. The validity of the ideas/hypotheses formed as a result was then tested and optimised by triangulating information through interviews of extra informants and feedback meetings. Two feedback meetings involving staff from AusAid and WSUP were indeed organised following the first and second week of data collection in Maputo to share, discuss and validate some of the preliminary findings. An extra debrief-meeting attended by key implementing partners including government officials was held after the evaluation mission to discuss key findings collated in an Aide-Mémoire previously shared with participants. This debrief-meeting contributed to validate the practicality and feasibility of the recommendations.

1.3.4. Evaluation process and duration

Figure 2 below summarises the activities carried out by the lead evaluator and the evaluation team between the end of June and end of July 2013. A list of the stakeholders consulted and visits carried out during the evaluation is presented in full in Annex 3. In brief, this comprised an extensive review of programme documentation; 5 phone interviews prior to the mission; 18 stakeholder consultations in Maputo; and visits to 8 programme sites/facilities in four bairros⁹, including meetings with users, management committees and local leaders.

Figure 2: Evaluation Process



1.3.5. Assumptions and limitations

DAC Evaluation Criteria

With the exception of Impact (deemed less relevant given this early stage of the programme), all DAC (Development Assistance Committee) criteria (Relevance; Effectiveness; Efficiency; Sustainability; Gender) were used throughout the evaluation. Gender was replaced by 'Gender and

⁷ See the Evaluation Plan in Annex 2 for a detailed record of the data collection tools and sources of information used

⁸ Data was continually collected and analysed over a period of four weeks.

⁹ Maputo comprises seven main administrative divisions consisting of several smaller city quarters or bairros.

Disability Inclusiveness' (GDI) to reflect the objectives of the programme in this area, addressing the specific needs of PWD and PLHIV in addition to those of women and girls.

Sustainability

Sustainability is defined as per the DAC definition, i.e. as a measure of the extent to which the benefits of an intervention are likely to continue after donor funding has been withdrawn. In the present context, this is understood as implying primarily: a) social, financial and O&M sustainability of WASH infrastructures and services; b) sustainability of behaviour change; and c) sustainability of pro-poor influences on institutional capacity, procedures, policies and attitudes. Given the nature of this evaluation (mid-term/end-phase), sustainability is assessed in a basically predictive sense. In other words, the evaluation assesses the likelihood of future sustainability. In this respect, it is important to note that the facilities planned to be built during Phase I (including CSBs, SLs, school sanitation blocks) were not yet in operation during the visit. They were often either being constructed, tendered or still under planning or design. This prevented a comprehensive evaluation of the sustainability of the systems of Phase I. A number of school sanitation facilities and CSBs, as well as SLs built under the prior Tchemulane programme were visited however (see Annex 3). These visits provided useful insights into the typical O&M arrangements put in place by WSUP around these facilities and gave a good idea of the level of community participation and ownership achieved during past interventions. These observations were considered useful for predictive assessment of the sustainability of the services implemented during Phase I, given that the service delivery models and processes (e.g. community consultation, mobilisation, engagement, capacity-building) implemented under this programme are refined, yet very similar, versions of the models and processes applied under Tchemulane interventions. A working assumption was that the sustainability of the services currently put in place is likely to be equal or superior to that achieved under the prior programme. Examining the extent to which the programme manages to strengthen the capacity of its partners and contribute to institutionalise new strategies and practices in these organisations was a critical aspect of the assessment of sustainability. Due to the late provision by WSUP of the capacity development assessment matrix (See Annex 8 for a description of the rating scales used by the programme) to the evaluator and time constraints, this tool could not be used.

Efficiency

All four Evaluation Questions (See Table 2) are addressed throughout the evaluation framework. Naturally EQ1 and EQ2 are tackled more explicitly. Due to time constraints all aspects could not be addressed with the same depth and level of criticality. In particular, the evaluation did not allow a precise assessment of the efficiency and effectiveness of each activity. Evaluating efficiency generally requires comparing alternative approaches to achieving the same outputs¹⁰, to see whether the most efficient process has been adopted, which is beyond the remit of this assignment. Furthermore, although the definition of the focus areas ensures a coverage of nearly all of the programme activities (c.f. Annex 4a), a two-week one-person evaluation did not allow an exhaustive empirical data collection at the activity level. For the same reason, value-for-money could not reasonably be assessed and EQ3 sub-question 'Are any of the expected Phase I outputs and outcomes too onerous?' could not be addressed accurately. That being said, first-hand data derived from site visits and meetings provided valuable pointers of the levels at which the programme strives for efficiency. As for assessing progress against activity targets, the evaluator relied to a great extent on the information provided by WSUP in their existing reports and interviews with WSUP staff in charge of programme control. Any disparities between WSUP's reports and observations made by the evaluator were investigated in detail.

¹⁰ According to DFID, Efficiency can also be examined over time for the same kind of intervention in the same area.

2. Evaluation Findings

This section of the report is structured around four of the five DAC criteria considered in this evaluation: relevance, effectiveness, efficiency, and sustainability¹¹. Each sub-section presents the findings of the evaluation at programme level and at the level of the three focus areas selected.

2.1. Relevance

Rating: 6 (Very high quality)

2.1.1. Programme's objectives and approach

In 2005 Mozambique was the fourth least urbanised country in southern Africa. Yet, with its relatively high annual average growth rate of urbanization (estimated at 3.8 % between 2010 and 2030)¹², it is expected to become the fourth most urbanised country in the region by 2025¹³. Two thirds of the population growth between now and 2050 is projected to occur in urban areas¹⁴. Currently about 62% of the urban population (5.1 million people) lack access to even basic improved sanitation facilities, and 23% (1.9 million people) continue to use unimproved, unsafe water supplies. The urbanisation trend is likely to intensify pressures on urban infrastructure and services over the coming decades. The shortage of safe water and sanitation is already severe in the informal settlements and peri-urban areas of Mozambique's capital, Maputo City, and the adjacent area of Matola City, which attract much of the migratory flow locally. As a result, these slums are prone to health issues such as acute and chronic diarrhoea¹⁵, shortened life expectancy and high child mortality. Overcrowding in these areas and flood-proneness amplifies the public health impact, while lack of space further inhibits sanitation improvements. In this context, the mission of WSUP, geared towards helping poor urban communities to gain access to water supply and sanitation services, finds all of its meaning.

The programme thus addresses critical needs in areas of intervention, the relevance of which was consistently validated by informants. By doing so, it also directly contributes to the reduction of poverty in Maputo. 54% of its population currently live under the poverty line, and the lack of WASH services intensifies this poverty as many low-income urban consumers have to pay water vendors far higher prices than utility rates. Interestingly, experts refer to a urbanisation and a feminisation of poverty in Mozambique. They note that urbanisation is characterised by an increase in the proportion of female-headed households. In addition they anticipate an escalation of HIV/AIDS infection rates¹⁶. By addressing the specific needs of women, PWD and PLHIV, the programme thus tackle pertinent and timely issues. Sections 2.1.2., 2.1.3. and 2.1.4. examine in detail the relevance of the specific objectives of the programme falling under the three focus areas identified for the purpose of this evaluation.

Compared to prior WSUP programmes, where work focused mainly on SO1 activities (and SO2 to a lesser extent), this programme sets the bar much higher, addressing at micro, meso and macro levels a wide range of technical, economic, socio-cultural and institutional obstacles to sustainable

¹¹ Mainstreaming GDI being one these focus area, *GDI* is addressed throughout the *Evaluation Findings* section rather than in a separate section corresponding to the fifth DAC criteria.

¹² http://www.unicef.org/mozambique/media_10429.html

¹³ DPU-UCL (2008) Urbanisation and Municipal Development in Mozambique: Urban Poverty and Rural-Urban Linkages. Development Planning Unit (DPU), University College London.

¹⁴ according to projections by the National Statistics Institute

¹⁵ Preliminary data from WSUP's baseline health assessment indicate that diarrhoea prevalence in under-5s (last 7 days) is around 7%.

¹⁶ CMI, 2007, 'Xiculungo' Social Relations of Urban Poverty in Maputo, Mozambique. Margarida Paulo Carmeliza Rosário Inge Tvedten R 2007: 13, CMI

provision of WASH services to the poor. This higher level of ambition is appropriate, as it builds on progressive achievements, whereby models¹⁷ have been refined (and now increasingly adopted and supported) and relationships with key stakeholders strengthened.

The strategy still relies on demonstrating models first. Compared to interventions prior to this programme, the capacity building work (SO2) supports LSPs in a wider frame looking at the future (e.g. supporting FIPAG's internal strategy). As the head of the regulatory agency CRA suggested, *'WSUP used to focus more on hardware, they are now helping CRA on regulatory framework and help us progress towards a full public service integrating the full chain of sanitation services.'* Senior staff at AdeM, FIPAG, CRA and UNICEF all highlight the pragmatism of WSUP's approach: by demonstrating effective and sustainable models of service delivery (e.g. CSBs¹⁸; domestic connections via tertiary networks¹⁹) and by helping key LSPs meet their priority needs in a collaborative and responsive way, WSUP has gained 'a seat at the table' and is now influencing organisational mind-sets on pro-poor work in both water and sanitation, and contributing actively to the reform of the sanitation sub-sector. A number of respondents, amongst whom were officials from CMM, CRA and UNICEF, also underlined the continuity of WSUP's work in Maputo as a key success factor.

2.1.2. Sanitation-related objectives

The programme responds to acute needs for improved sanitation services in Maputo and Matola. Indeed, it is estimated that poor sanitation costs Maputo's residents over US\$ 7.4 million annually as a result of access time lost, premature deaths, productivity losses due to sickness, and health care costs^{20,21}. Approximately US\$ 400,000 was spent by CMM's DAS on sanitation and drainage services²² in 2012, the majority of which went towards operating and maintaining a sewerage network serving only 11% of the population²³, the remainder relying on on-site sanitation: 28% flush toilet-septic tank systems, 28% improved latrines, over 30% non-improved latrine or no sanitation systems at all. This latter group, almost a third of society, is most negatively impacted by poor sanitation. This is precisely the group that the programme is targeting by working in some of the areas which have been most neglected by the government during the past decades. In addition, the programme aims to improve school sanitation and hygiene, which is most relevant considering the lack of sanitation facilities in schools in LICs. Those schools frequently have 2-3 shifts of pupils per day, which puts enormous pressure on poorly maintained facilities. This context poses an acute hygiene risk to children's health and undermines girls' attendance.

The adoption of a comprehensive service approach to sanitation, which embraces all the segments of the sanitation chain of services (see Annex 5) represents a giant step forward for Maputo when compared to traditional sector objectives geared mainly towards the provision of infrastructure through construction projects. As the President of CRA recalled, in the past, government approaches

¹⁷ WSUP's models are a combination of "process" models, "intervention" models and "finance" models used to provide support to service provider partners to enable them to deliver improved and sustainable services to low income communities (for more details see Annex 7).

¹⁸ See Annex 5 for a definition of communal sanitation blocks

¹⁹ The existing FIPAG/AdeM water supply network (primary and secondary) is extended through a tertiary network to reach all parts of a bairro. This enables access to water at an affordable tariff for the bairro communities through individual or shared water connections via the tertiary network

²⁰ Water and Sanitation Program (WSP), *Economic Impacts of Poor Sanitation in Africa, Mozambique*, 2012

²¹ Sanitation Tariff for Maputo, Mozambique Work plan for designing an appropriate sanitation tariff for Maputo April 2013

²² Water and Sanitation Program (WSP), *Draft - Opções Institucionais e Financeiras para o Desenvolvimento do Saneamento em Maputo*, 2013

²³ FIPAG and CMM have currently no clear and budgeted programme to expand the sewer network

consisted in supporting the building of latrines. Sanitation plates (cement slabs) were subsidised by programmes 15-20 years ago (e.g. National Low Cost Sanitation Programme). At that time, on-site sanitation was mainly regarded as a domestic issue. Yet, as the population density increases, space becomes a rare commodity, digging new pits in the backyard when their latrine fills up is no longer an option. Pits need to be emptied and the sludge transported and disposed or treated. On-site sanitation becomes a public health issue. Service providers able to empty, transport, dispose or treat fecal sludge in a safe and environmentally friendly way are required. According to the President of CRA, WSUP and WSP are the only organisations in Mozambique to address on-site sanitation services as part of a comprehensive service approach. The special attention paid by the programme on developing FSM services is particularly relevant given the strategic importance of this segment. Estimates from WSP indeed suggest that 54% of the fecal sludge generated in Maputo is produced in on-site facilities unsafely emptied in the residential environment (see Figure 4 in Annex 5). This represents a major public health and environmental hazard.

By improving tertiary drainage in peri-urban bairros, the programme responds to a critical need for this kind of infrastructure, highlighted by severe flooding in Maputo following the heavy rains in Dec-Jan 2012. Such tertiary drainage complement the efforts to promote improved on-site sanitation,

The programme also adopts a 'sanitation ladder' approach (see definition in Annex 5) leading to an offer of products adapted to demand, including shared and communal sanitation, the often-neglected bottom rungs. Through their prior work in Maputo, WSUP found that communal/shared infrastructure is the most appropriate option in the poorest parts of the bairros due to: (i) the level of poverty; (ii) the extreme lack of space; (iii) the poor drainage in such areas; and (iv) the high water table, which necessitates raising the height of latrines and thereby increasing the cost to the household. WSUP also identified that many of the poorest households are rented, single-room dwellings for which shared sanitation is the only solution. The programme views communal and shared sanitation as interim, yet critical steps up the sanitation ladder. Victor Fonseca, Infrastructure Councillor of Maputo City Council (CMM), has seen the gradual uptake of the CSBs by the population, and confirms that the CSB, an innovation brought by WSUP, responds to the need of part of the population, as demonstrated by the rising demand for this 'product'. He is optimistic that FSM services will follow the same path as CSBs, first struggling a bit to find their market but gradually leading by successful replication.

The approach of the programme to sanitation is also extremely relevant in that it addresses the issue at city-wide scale through engagement with key stakeholders. WSUP recognises that to trigger a real change in the provision of sanitation services in Maputo requires the development of a clear institutional framework at city level, and a regulatory framework, which have both been lacking so far. The programme also considers the lack of a sanitation investment plan and the need for more financial flows in the sector (notably via a sanitation tax) as critical factors. Several activities of the programme²⁴ are designed to foster the development of this institutional structure and tools and boost investment in the sector.

2.1.3. Strengthening capacities creating opportunities for influencing

WSUP was born from the realisation that effective scaling-up of WASH service delivery models for the urban poor requires institutional capacity for delivering these services, a favourable investment environment and appropriate financing mechanisms. Strengthening the capacities of LSPs and creating opportunities for influencing their policies, practices and budgeting decisions constitutes WSUP's 'advocacy from the inside' approach and lies at the core of this programme. This section evaluates the relevance of the work undertaken by the programme in partnership with key players,

²⁴ Notably activities 2.10, 3.3, 3.4, 3.5, 3.9 (see Annex 4a)

focusing on macro and meso levels stakeholders. It also highlights the work achieved at inter-institutional level to influence the rules of the game in the sector.

Organisational level

Water – AdeM/FIPAG

Generally speaking, the activities undertaken with AdeM and FIPAG are very relevant in the sense that they clearly lead to a strengthening of their capacities to better meet the needs of low income groups. The fact that they were selected and planned with the partners on the basis of their priority needs and capacity guaranteed a high level of engagement. Another general observation is that all activities of the programme involving AdeM are of great interest for FIPAG, as under the Delegation Management Framework, they are responsible for the performance of the utility.

The work on NRW, for instance, responded to the need of AdeM and FIPAG to address the major level of losses in the network. The magnitude of these losses (around 65%) was considered by AdeM and FIPAG officials as a major impediment to supply more water to poor neighbourhoods. FIPAG's Planning Director confirmed that most of the losses occur in LIC areas. NRW is also regarded as a priority issue to address by AdeM, FIPAG and CRA, given the urgency for the sector to achieve greater water efficiency, and consequently lower energy costs, enhance water conservation and water security.

The support on billing and revenue collection was also recognised as being of prime importance for FIPAG and AdeM. As AdeM's CEO Dr J. Faiane and FIPAG's Planning Director E. Machava explained, the current expansion of the network is largely occurring in peri-urban zones where revenue collection proves more challenging. According to WSUP, part of that challenge relates to the fact that AdeM has been under pressure to expand new connections across the city at a very fast pace during the past 2 years, which had a detrimental effect on the contract establishment and attention paid to bill collection. That being said, both organisations recognise their current incapacity to deal with the social realities, including the heterogeneity of needs, that prevail in those LICs. They understand the need to approach these new customers in a tailored way and value WSUP's support at this level.

AdeM's Commercial Director recognised how WSUP had previously demonstrated their capacity to sustainably serve the poor through household connections on tertiary networks, setting up processes to properly identify the solvent customers, informing them, and mitigating the risks of having to disconnect them. Mr Machava counts on WSUP to play a role of facilitator amongst the different stakeholders involved, including FIPAG, AdeM, community leaders at quarter and bairro levels. Contributing to establishing in AdeM and FIPAG processes and procedures to make household connections more sustainable in the context of political interferences dictating rapid expansion of networks appears particularly relevant. By doing so, the programme both responds to the needs of the population in terms of expected level of services, and provides LSPs with strategies and tools to establish sustainable business in LICs that constitute 70% of their customer base. There is equally a very clear rationale for the support of the programme for delegated management (DM). As AdeM's CEO puts it, it is in the interest of the government to develop local operators. FIPAG's Planning Director confirms that the government is advising FIPAG to delegate and develop DM arrangements to supply the outskirts of Maputo where AdeM is not operating. Small local operators, because of their greater proximity²⁵ to their customers are meant to be often more appropriate to serve peri-urban zones and notably the LICs than utilities.

The work planned in the programme to support tariff review is also very relevant to FIPAG and AdeM. The policy of subsidised connections has FIPAG support 50% of the cost of the connection, which causes a significant financing gap for FIPAG, and constrains their investment capacity. AdeM has to deal with the cash-flow issue associated with the payment of the remaining 50% by customers

²⁵ Their physical proximity and better understanding of the context tend to make them more responsive

in instalments over a period of two years. Despite CRA's upwards revision of the tariff for the port area, that financing gap has not been compensated and WSUP's expertise on how to solve this issue is most welcomed by both parties.

The programme is also supporting FIPAG in the preparation of their Business and Management Plan. FIPAG expects to see their future investment strategy strengthened whilst WSUP hopes to seize the opportunity of this activity to advocate for a more pro-poor business strategy with ripple effects on AdeM.

Last but not least, learning exchange visits are another programme activity that appears very relevant to partners. Well aware that Manila can be a source of inspiration for them on a wide number of subjects²⁶, AdeM and FIPAG have much hope that the intended learning exchange to Manila Water (Durban and Phnom Penh utilities are other options) can keep stimulating change.

Sanitation

Respondents consistently referred to the weakness of Maputo City Council (CMM) and to the need to strengthen their capacities around sanitation service delivery given the central role that they are meant to play, in the current or 'revitalised' form²⁷, or most likely under the Autonomous Sanitation Entity that is to be created. The incentives of DAS (CMM's Water and Sanitation Department) to deal proactively with urban on-site sanitation issues are very limited – and much more pressing for solid waste, drainage and sewerage. According to the President of CRA, WSUP has gradually been managing to awaken CMM's enthusiasm for tackling issues around household sanitation, notably through the city-wide sanitation strategy undertaken by WSUP two years ago (prior to this programme). Although DAS did not play as proactive a role in this exercise as one could have hoped given how directly this plan affects them, this work represented a cornerstone in the partnership with WSUP. The plan is expected to receive the CMM stamp of approval in the near future. A wider issue for the municipality, and for DAS, is its lack of revenue base. Despite the economic growth visible across the city with a plethora of new multi-storey buildings going up, CMM remains extremely weak financially. According to WSUP, CMM has allocated 4% of its budget to DAS and has included the construction of 300 improved latrines and 3 small piped water supply systems in their WASH action plan. Building CMM's capacity in planning and sanitation strategy, financial modelling, budgeting, life cycle costs approach and setting standards for FSM, as planned in the programme, matches the capacity building priority needs identified by the municipality²⁸. Strengthening CMM's capacity to deliver sanitation services is critical to achieving the purpose of Phase II of the programme.

Beyond its mandate for regulating water supply services, CRA has had a mandate for sanitation regulation for years but has not been able to fulfil this role for lack of city-wide institutional framework and mechanisms for sanitation financing. CRA's President recalls how the organisation has been advocating for institutional reform in the sub-sector and the development of an integrated approach to sanitation combining off-site (sewered) and on-site sanitation services, organised under a regulatory framework. The launch of the Sanitation Platform in May 2012 was an important event sealing the partnership between CRA and WSUP. CRA considers WSUP as a strong ally, and both

²⁶ Senior officials from AdeM and FIPAG were keen to talk about the study visit to Manila organised by WSUP in 2008, which triggered the whole decentralisation of AdeM's operations in Maputo and remains a pivotal reference point that frames their interaction with WSUP.

²⁷ The DAS Revitalization Plan, prepared in 2012 gives greater emphasis to sanitation in peri-urban areas and the removal and management of faecal sludge. It strengthened the role of the Bureau of Sanitation work in peri-urban neighbourhoods by increasing its activity in sanitation and removal and management of faecal sludge. This institutional restructuring of DAS, planned from June 2012, has not been implemented yet.

²⁸ The activity plan has been revised with CMM to better match their most immediate needs. It includes training sessions on GIS software, project management, IT training, DEWATs training, and a study tour.

organisations have started working hand in hand before the launch of the programme, which provides them with well-targeted resources to make progress both on the water supply and sanitation front. Indeed, the activities include support to develop a sanitation regulatory framework, policy, action plan and guidelines for bairros as well as some expertise to investigate the sanitation tax. All these areas are CRA's core business priorities and are essential to the scaling up of pro-poor sanitation services. The work planned to help CRA further study and revise the water policy and tariff structure (and notably their pro-poor aspects), referred to in a section above, is also of great relevance to AdeM, FIPAG and to customers in LICs. Likewise, WSUP's support to operationalize a regulatory framework for small satellite schemes, and, more generally speaking, all the guidance the programme provides on DM, is most welcomed by CRA and the sector. This is particularly so in the current troubled context, marked by a major strike in July 2013 of the small unregulated private operators (POPs), which have flourished in peri-urban Maputo during the past decade.

Inter-institutional level

The programme addresses a number of issues that have a clear inter-institutional scope. By so doing, it aims to influence the rules of the game in a sense that will favour the effective scaling-up of pro-poor WASH service delivery. For instance, the programme supports the development of a clear institutional framework for the sanitation sub-sector, notably by analysing the roles and responsibilities for investment and planning, and discussing findings with all institutional stakeholders. According to the president of CRA and AIAS, this contribution pushing for institutional reform by stressing the need for clarifying roles is timely: new players have been brought into the arena (AIAS) and are coming into being (the Autonomous Sanitation Entity) and well-informed input at this level is much needed.

The expertise that the programme provides to the sector on the sanitation tax²⁹ is also very relevant given the lack of sanitation investment planning and financing for the subsector. The President of CRA, Manuel Alvarinho, confirmed the need for such support, indicating that whilst the principle of this tax has been established in the national strategy, whereby the tax is to be applied on the water bill, there is very little room to increase these bills, and the tax has become a very politically sensitive issue. It is difficult to charge more for sanitation if the nature of the services the people receive is not well known. There is a need for more investigation at this level. Pushing for the application of a sanitation tax leading to more affordable sanitation services (e.g. via subsidies for desludging services, vouchers incentivising customers to climb up the sanitation ladder) strongly contributes to the purpose of the programme.

The inputs of the programme to the sector via the Sanitation Platform reinforces and addresses the need for inter-institutional coordination, which has been identified a long time ago. Prior to the creation of this platform, NGOs and donors active in urban Maputo on WASH issues could not rely on any city-wide coordination body. Likewise, the actions of the government agencies with a stake in WASH work lacked coordination. Overall, stakeholders were not proactively sharing information and lessons learned, synergies were limited and the risks of duplication of effort high. As the President of CRA Alvarinho sums it up: *"Before the Sanitation Platform we talked but we did not coordinate actions"*.

²⁹ Around 11% of the population (mainly living in the cement city and belonging to the middle class) is connected to the sewer system. They have enjoyed free sanitation services for years, depriving CMM from revenues which could have been used to expand services to LICs. The sanitation tax is meant to charge these better-off households partly to subsidise services to low income areas.

2.1.4. Mainstreaming gender and disability inclusiveness

Mainstreaming gender and disability inclusiveness (GDI) across all relevant activities of an urban WASH programme is an unprecedented goal in Mozambique. It builds on WSUP's prior interventions in Maputo, which recognised the need to address the specific needs of women and girls as a priority. Based on the lessons learned under the USAID-supported programme African Cities for the Future, WSUP deemed it necessary to address the needs of vulnerable groups in all the relevant activities, rather than to keep this concern isolated as a stand-alone component of the programme. This resonated strongly with AusAID whose recent research advocates for WASH programmes to pay special attention to women and PWD in a way that not only grants them access to services, but also involves them in the decision-making process.

The theoretical approach of the programme towards GDI considers empowerment as the overarching goal, a goal that goes beyond the provision and usage of better water and sanitation services. Thus, on gender, efforts to involve women throughout the activities, to encourage them to take positions of leadership and to reform attitudes towards gender aim to create an enabling environment in which women can attain genuine economic and social equality. The programme acknowledges that women and girls are often more vulnerable to inadequate WASH facilities/WASH-related diseases, and takes into account the importance of privacy and safety issues. Regarding disability, the approach adopted by the programme recognises the physical or medical dimension of disability but also stresses the importance of the social construction of disability. In line with key international policies, the programme thus strives to address the physical (i.e. environmental), attitudinal and institutional barriers affecting access to WASH services for women, girls, PWD and PLHIV. Two workshops organised at the outset of the programme consulted local stakeholders on these issues. Participants, including CMM, the Directorates of Health and Education and the National Directorate of Water and Sanitation confirmed the need to further integrate gender issues in local government plans and to strive for greater gender equity in WASH projects, particularly around decision-making.

By addressing the specific needs of PWD and PLHIV in addition to gender issues, WSUP embraces a still greater challenge. The programme recognised the acute needs of PLHIV for improved WASH: heavily affected by diarrhoea, which reduces the effectiveness of their medical treatment and increase their need for water, they also often face mobility impediments and considerable stigmatisation in bairros. As for persons with disabilities, using standard latrines is often an issue for them, as confirmed by the Handicap International (HI) Projects Coordinator in Maputo, who stressed the sheer lack of accessible WASH facilities in school and public spaces. Conversations with the Chief Provincial Inspector of MMAS (Ministry of Women and Social Action) and the Deputy Executive Secretary of CNCS (National AIDS Council) also underlined the need to tackle institutional and attitudinal barriers affecting these vulnerable groups. All three viewed WASH as a very good entry point to address the perverse effects on society of machismo and the stigmatisation of PWD and PLHIV.

Developing an approach to systematically address the specific needs of PWD and PLHIV is not only challenging because of the constraints faced by these groups in Maputo, but also because the team is largely exploring uncharted territories. The nature of the work is indeed novel both to WSUP (in Maputo and in London), and to some extent also to the sector in general. This is supported by a very recent document produced by WaterAid UK³⁰. This report indicates how the equity and inclusion debate has occupied an increasingly prominent space in the past few years, addressing multiple dimensions of inequality and inequity (spatial, social, health-related, and economic), supported by an increasing body of literature, notably on access to WASH for disabled and older people. Yet, it also

³⁰ Issues of disability and ageing – to what extent are they being mainstreamed in water, sanitation and hygiene programmes? A mapping study carried out for WaterAid UK, 2013.

reckons that whilst the problems of access for PWD are widely documented, much less is available about the 'software' aspects of service delivery: the changes required in the way organisations work, the way programmes need to be planned and implemented. The report also stresses how the disability-related discourse and documentation has been largely isolated from the main trends and debates in the WASH sector, such as community-led sanitation (CLTS), sanitation marketing, self-supply of water, and subsidy/ non-subsidy. The assessment of the programme in the area of mainstreaming GDI inclusiveness need to be resituated in this context.

The programme thus recruited a GDI expert tasked with the mission of developing the strategies and tools to mainstream disability inclusiveness in an urban WASH programme. The precise means to achieve this cross-cutting objective of the programme is not specified in the proposal. It is the purpose of the programme to learn how it can play out concretely. The cross-cutting GDI objectives of the programme are thus relevant for two reasons: first, because of the impact expected from the resulting activities and second, because documenting the experience of WSUP in the years to come will contribute to filling this knowledge gap.

2.2. Effectiveness

Rating: 6 (Very high quality)

2.2.1. Programme

a) Progress

Evidence gathered through in-depth evaluation of all three focus areas (as substantiated in the following sections) and by tracking recent progress and status of each activity (see Annex 4b) shows that **the programme is overall well on track to achieve the Phase I purpose, expected outcomes and outputs.** Nonetheless, several activities, such as CLTS, WASH in schools, and Tracking government investment in sanitation pose greater challenges, which are examined in Section 2.2.2. **Yet, given the current status of most activities and the appropriate progression of activities and their targets, the programme is on track to contribute to the overall strategic objectives of both phases.** This is tangible on water supply, where the gains of Phase I (notably in terms of influencing organisational buy-in to pro-poor approaches in AdeM and FIPAG; see Section 2.2.3.) pave the way for a successful Phase II. The degree of uncertainty is greater in sanitation, where the programme faces a number of challenges beyond its sphere of direct control, as described in the section below. **That being said, because of the pertinence of the programme's objectives and the appropriateness of the approach adopted to address them (See Section 2.1.) the goals of Phase II remain reasonable and relevant.**

b) Overarching challenges

Historically, sanitation has been much less of a priority for both national government and the municipality of Maputo than water supply, and efforts on sanitation have often focused more on drainage and solid waste, more of a pre-occupation for decision-makers and communities, than on-site sanitation or hygiene education. This lower priority assigned to on-site sanitation partly explains the current lack of institutional clarity, the lack of organisation of services and the absence of regulation in the sub-sector in Maputo. Yet, to scale up its models, the programme will need the larger city-wide context to have a clear institutional framework, a regulatory framework and significant resources allocated to the sector and in particular to on-site sanitation, notably via a sanitation tax. According to the president of CRA, WSUP may demonstrate the relevance of their models at district level, but going beyond this scale will require a regulatory framework and much stronger capacities at municipal level. As described in Section 2.2.3., the programme actively contributes to the development of this institutional structure and tools, notably through the

Sanitation Platform and inputs in CRA. However progress is slow, as illustrated by the slow creation of the autonomous sanitation entity, which led to the postponement of some Phase I activities³¹. A recently suggested change in the timeframe of the upcoming elections may open a window of opportunity for all those fostering institutional reform. The setting up of the Autonomous Sanitation Entity, the establishment of the initial regulatory framework and decisions on the sanitation tax regime within the Phase II period appear more feasible now (See Recommendation 3). In the meantime, the lack of a structured environment represents a major constraint for the programme.

The programme embeds its activities 'in the system' and seeks to develop close partnerships with mandated local players at all levels. Senior staff from AdeM and FIPAG, as well as local authorities at municipal, district and bairro level all stressed the unique capacity of WSUP to work hand in hand with their organisations. Yet, by doing so the programme deliberately relinquishes some control and bears the risk of experiencing greater delays in activities. For instance, activities with AdeM (e.g. formalisation of the LIC unit, domestic connections, billings and revenue collection) were delayed by factors beyond the reach of WSUP (including reallocation of resources due to floods, delayed tertiary network activities in Chamanculo C; management changes, procurement of construction contract, and delayed work on achieving more house connections in Mafalala due to pipe replacement delays by FIPAG). This will likely lead to setbacks in meeting the numbers of beneficiaries targeted for Phase I³² without necessarily compromising the capacity of the programme to achieve its overall targets in Phase II (See Recommendation 1).

The quality of WSUP's relationships with partner organisations and the level of influence it exerts are partly based on the strategic support the programme provides. They also result from strong relationships with individuals. Changes in management (as occurred several times in AdeM recently) slow down the programme. The original 'champions' are often replaced by staff who know WSUP, as the programme works within partner organisation (e.g. AdeM) at various levels, and who are promoted in the same organisation. Yet, despite this familiarity with the programme and the fact that *"everyone knows that WSUP is doing well from previous programmes, new staff prefer to stay in their comfort zone"*, stressed AdeM's Commercial Director. The response of the programme to this challenge is to strive to institutionalise the new processes, tools, and practices introduced through its activities (see Section 2.4.3.).

c) Risk Management Approach

Recognising these challenges, WSUP developed a mitigation strategy. In addition, WSUP has procedures guarding against a range of risks through application of its Business Ethics Policy, which all partners and contractors sign up to. This policy covers (1) transparency, (2) Human Rights, (3) labour standards, (4) child and vulnerable adults safeguarding policy (i.e. child protection), (5) a code of conduct, (6) conflicts of interest, (7) bribery and corruption, (8) fraud, (9) environment, health, safety and security, (10) corporate governance and (11) a whistle-blowing policy³³. In addition, all WSUP procurement follows WSUP's comprehensive Procurement Policy. When procurement is undertaken by an external partner WSUP plays a significant oversight role, ensuring that transparent procurement processes are followed. Partnerships with service providers are formalised in Professional Service Agreements, which bring transparency, formality and accountability to the agreed programme of work.

³¹ Plans of remaining activities have been finalised and include IT training, a study tour, and DEWATs training.

³² 46,150 women/girls and 42,600 men/boys of additional people with improved water services as a direct result of the WSUP project

³³ As stated in this policy, "WSUP is committed to conducting business with integrity, openness, transparency and accountability; and to showing respect for human dignity and the rights of individuals and communities. We have a 'zero tolerance' approach to fraud and prohibit bribery in any form whether direct or indirect."

2.2.2. Sanitation

Fecal Sludge Management Services

Good progress was noted during the evaluation on the work around FSM services. The deliverable for this activity (2 effective desludging enterprises, 1 sludge transfer station, 1 DEWATS unit) will most likely be fully achieved by the end of Phase I. A visit to the sludge transfer station site in Maxaquene A confirmed that the construction phase was almost completed. Also, the week preceding the evaluation mission saw CMM approve the DEWATS (Decentralized Wastewater Treatment Systems) project. The programme has been slow to set up the second Small and Medium Enterprise (SME) to run FSM services. This is due partly to the time needed by the programme to prepare a sound business plan for the selected entrepreneur, and partly due to the entrepreneur's doubts about engaging in this new and thus risky business. In all cases, the programme has been very effective in selecting very talented and experienced candidates (UGSM and Kuthunga CBO) to run the FSM services (See Section 2.4.2.) providing them with strong support to move beyond solid waste management and expand the geographical areas they service.

Shared Latrines

Progress on support to the construction of SLs is affected by the revised cost per unit of a SL accounting for the change in structural design required in the low-lying areas and a level of contribution from users lower than expected. This has led to a downward revision of the target for the activity: 54 SLs are now planned to be built instead of the 75 originally defined (see Section 2.3.2). The second challenge relates to the difficulty of attracting contractors for this kind of small works, scattered around bairros, involving complicated transport of materials. The programme has now contracted out a first tranche of ten latrines to a small entrepreneur, whilst a second tranche will most likely be handed over to ACADEC, a CBO based in Chamanculo D with some experience in building latrines. Time is pressing as the team would like to finish the activity before the rainy season (which starts by the end of October), which significantly complicates works. At this stage, the revised targets are likely to be achieved by the end of Phase I. Visits to SLs implemented by WSUP during a prior intervention showed that this rung of the sanitation ladder was clearly matching the needs of households sharing a small plot.

Community Led Total Sanitation

The programme is meeting more notable difficulties in the CLTS activity (Target: Communities and block leaders are mobilized in 2 bairros and 3,000 household latrines are built). First, the implementing partner informally selected to run most of the activity unexpectedly pulled out at a late stage in the process. Then, delays in establishing local bank accounts for the newly registered WSUP Mozambique have had the knock-on effect of delaying the creation of the sanitation revolving fund planned to support this activity. Last but not least, challenges related to the willingness to pay, or more exactly to the capacity of beneficiaries to make a swift decision to buy, are likely to hamper progress on this activity. In some senses the surveys recently undertaken in the targeted area are very encouraging: they suggest that up to 85% of households are willing to pay for an improvement of their latrines, provided this payment can be made in instalments. Yet as a member of WSUP staff explained, 'their decision to go ahead with it may happen tomorrow or in 6 months-time'. So a significant time-lag can be expected.

Given the major delay already accumulated on this activity, the programme is understandably now significantly revising the initial target, translating '3000 latrines built' into '3000 households being 'triggered' and having access to services and products'. Based on the survey carried out and the

recent experience gained by WSUP in Antananarivo³⁴ on sanitation marketing activities closely related to this CLTS work, the evaluator considers that there is a reasonable probability that the programme can make up for this delay in Phase II by focusing efforts intensely on this activity. The new set-up put together by WSUP to implement the activity (i.e. a local consultant in charge of the supply-side marketing activities, a CBO and an NGO for community consultations, and another consultant working as coordinator) will bring more capacity and skill sets than in the initial plan (See Recommendation 7).

Drainage

Good progress is noted on the pilot tertiary drainage activity undertaken in Mafalala, which has triggered much interest in CMM. The municipality, convinced of the relevance of the project, took the initiative of replicating it in a different location. WSUP has manifested much interest too in this approach and offered its support to CMM to improve the design of their project. CMM is ready to invest 1.5M Meticals and invited the programme to contribute 1M Meticals. The revised budget will most likely allow the programme to support this spontaneous replication from CMM.

WASH in schools

The programme aims to build sanitation facilities in 3 large schools during Phase I³⁵ and 10 schools during Phase II. In addition, it is targeting behaviour change through hygiene promotion.

The challenges identified in relation to this activity are based on the visits to two schools (Mafalala and Xipamanine) targeted by WSUP prior to this programme³⁶. These schools benefit from the programme however (e.g. through hygiene promotion activities, consolidation of O&M). A key challenge relates to the sizing of sanitation facilities. The number of children that schools can receive in a single day, given the number of shifts, can exceed 2,000. This puts an enormous pressure on the existing facilities, designed in an institutional context where no norms and standards existed to specify an adequate provision of WASH facilities. In this context, rehabilitating facilities does not effectively provide schools with the tools they need to enhance hygiene behaviour³⁷. Appropriate steps have been taken by the programme to revise the design of facilities (larger, more robust) to be built under Phase I. WSUP staff indicated that the approach of the rainy season might affect delivery on time in all three schools targeted in Phase I.

Given the pressure exerted on facilities, the quality of the arrangements set up for O&M is critical. Some schools, like the one visited in Xipamanine, have cleaning assistants paid by the government. The facilities were found to be remarkably clean. In other schools, such as the one visited in Mafalala, parents are asked to make a contribution to hiring cleaning assistants: there, the cubicles used by boys stank of urine, and worms could be seen crawling on the floor. Teachers' cubicles,

³⁴ In Antananarivo, the sanitation marketing programme made little progress during the first 6 months but the demand for latrine improvement grew exponentially as 'customer inhibition decreased' and families realised that it is not 'too good to be true'. Two years after its inception, the activity is now taken up in neighbouring communes not targeted by WSUP where masons replicate the work, motivated by clear business incentives.

³⁵ A budget of around \$ 181,000 (about \$100,000 for capital expenditure and \$81,000 for Activity, notably covering support to establish O&M in 4 schools and consolidate O&M in 4 schools of prior phase) is dedicated to WASH in School. This include hygiene promotion work at the level of the school nucleus.

³⁶ The facilities planned to be built during Phase I were not yet in operation during the visit.

³⁷ In the school visited in Mafalala, two sanitation blocks had been rehabilitated by WSUP in previous years. The first block, comprising 12 cubicles, was used by 20 or more teachers, whilst the second of a similar capacity, was left to the 1,500 children (in 3 school-day shifts) and 500 adults (evening shift) successively entering the school premises every day. The situation was described by WSUP staff as being unfortunately worse in another school.

under-used, seemed very clean in comparison, but there was no sign of use of detergents. The effectiveness of the O&M of school WASH facilities does not only depend on whether the Ministry of Education (MINED) contracts a cleaning assistant or not, but also hinges on school leadership and on the availability of cleaning items (detergents, brooms) for the assistant to do their job. The low financial resources of schools, and the limited capacity and/or willingness to allocate a portion of their budget to WASH expenses, pose another challenge to the programme. In the context of decentralisation the responsibility of primary schools is transferred to Municipalities, who manage the ADE (Direct Support to Schools) fund. According to a CMM Education Councillor, the ADE is merely symbolic and certainly insufficient to cover the basic expenses of schools, including WASH-related costs. This fund needs to be complemented by parents' contributions. Yet, given that education is meant to be free officially, the MINED fosters a sense of shared responsibility but cannot really force parents to pay their contribution. Nor is it easy for head-teachers to convince parents to pay a higher fee to purchase detergents, soap bars and new taps that are going to be quickly stolen or vandalised.

The programme is using the school nucleus as a vehicle for a number of its activities, including awareness raising campaigns on menstrual hygiene management (MHM) and hygiene promotion (including handwashing with soap). MHM campaigns have so far reached 500 girls and women teachers. An accompanying leaflet has been produced and distributed and a MHM manual was submitted to MINED³⁸ for approval and future distribution. The effectiveness of these activities and the performance of the team and its CBO implementing partners in this area of the programme could not be properly assessed due to a lack of tools and consistent procedures to assess behaviour change (See Recommendation 11). Based on the WASH in schools experience in the country, a UNICEF official considered that the school nucleus is the right official structure to work through. It is however more or less dormant and it is the role of the programme to revive it. Conversations with teachers during both school visits led to questions about the effectiveness of this nucleus group. Whilst the director of the school visited in Xipamanine described a well-structured school nucleus, teachers of the school visited in Mafalala referred to the nucleus group as comprising children only, whereas it is also supposed to include representatives of the school administration and parents. This possible confusion with the "school health clubs", suggested that the nucleus group was not well identified by the teachers themselves, raising questions about the visibility and impact of its actions.

These economic and institutional issues affecting the O&M of sanitation facilities are taken into account by the programme, which has started revising its strategy as a result (See Recommendation 9). The selection process for rehabilitation has notably been improved to comprise more consultation and stricter criteria including shortlisting schools with active 'School Councils' willing to engage and take some ownership of the improved services. Extra challenges inherent in this activity with direct bearing on sustainability (e.g. security, level of incentives) are addressed in Section 2.4.2.

Communal Sanitation Blocks

The programme is making very good progress on this activity, and the deliverables are very likely to be achieved on time. At the time of the evaluation the construction of the 8th CSB (out of the 10 originally planned) had started. The programme also managed to get CMM and The Coca-Cola African Foundation (TCCAF) to support this activity (TCCAF supporting the water standposts attached to CSBs). Visits to several CSBs implemented prior to this programme suggested that the processes put in place by the programme to create ownership and to foster a good O&M are very effective (see Section 2.4.2 Sustainability for a deeper analysis). This view is supported by CMM Infrastructure Councillor, who considers that WSUP's work on CSBs is very successful.

³⁸ Extra information on the involvement of institutions (CMM, MINED, school councils) in gender aspects of WASH in school is provided in Section 2.2.4.

City-wide sanitation institutional structures and tools

Section 2.2.3 examines in detail the effectiveness of the activities fostering the development of the institutional structures and tools to trigger a real change in the provision of sanitation services at city-level. Overall the programme is making good progress in this area, supporting the development of a clear institutional framework, a sanitation investment plan, the definition and enforcement of a regulatory framework, and the design and application of a sanitation tax.

2.2.3. Strengthening capacities creating opportunities for influencing

The assessment of the effectiveness of the programme in this focus area is generally very positive. General comments from senior officials in key meso and macro level institutions illustrate this fact: Manuel Alvarinho, president of CRA is much more optimistic about the development of a structure and tools to organise the delivery of sanitation services at city-wide level: *“For the first time [thanks to the programme] we have got something concrete in our hands that helps us define services, what to regulate”*. Dr Faiane, CEO of AdeM attributes part of the great leap in performance of his organisation in the past two years to WSUP’s support targeted on decentralisation and NRW. Judite Manique, Commercial Director at AdeM, who also worked with FIPAG, suggests that the influence of the programme extends far beyond Maputo, benefitting FIPAG’s activities country-wide. She stresses that the programme *“has a strategy of understanding our needs and what we are doing. They [WSUP] become part of our plans.”*

The partnership environment of the delivery of the activities of the programme appears to be very enabling indeed, as WSUP is generally perceived as a responsive, non-intrusive, trusted partner, playing a catalyst role on both the water and sanitation fronts, and bringing a distinct attitude of working together. An added value is that WSUP is an independent non-profit organisation and hence has no commercial or vested interest. This enhances confidence of partners to engage. The paragraphs below provide ample evidence of the effectiveness of the ‘advocacy from the inside’ approach of the programme. Yet, for evaluation purposes and transparency sake it is in the interest of WSUP and its partners that the advocacy objectives pursued³⁹ be more explicitly described (See Recommendation 12).

At the organisational level

Water

According to senior officials at FIPAG and AdeM, support of the programme on NRW has resulted in a major reduction of leakages, increased periods of service and an enhanced capacity to serve the poor. These results are evident in Maxaquene Zone, according to WSUP’s annual report, where NRW decreased from over 60% to about 45%, the level of leaks dropped from 10-12 per km to on average 3 per km. The ILI (Infrastructure Leakage Index) has reduced from 119 to 19 (which is a good score). AdeM has increased service delivery in most areas to nearly 18 hours per day (from earlier levels of 10 hours and under). AdeM’s director also put a high value on WSUP’s support in establishing district metered areas⁴⁰ (DMAs), which will give AdeM much visibility on their operations. The training of AdeM on a model DMA area with 2000 customers, including the installation of equipment and

³⁹ e.g. WASH in School policies and norms; level of water consumption threshold to levy sanitation tax

⁴⁰ A DMA is a defined area of the distribution system that can be isolated by valves and for which the quantities of water entering and leaving can be metered. The subsequent analysis of flow and pressure enables specialists to calculate the level of leaks in the district. This can be used to determine not only whether work should be undertaken to reduce leakage, but also to compare levels of leakage in different districts and thereby target maintenance in those areas where it will have the greatest impact. *Source: abb.co.uk*

monitoring, indeed paves the way for greater water efficiency at agency⁴¹ level. As a result of this very effective input, a NRW unit has quickly been set up to institutionalise these new approaches.

The DM activities of the programme particularly benefit FIPAG and AdeM, who learned a lot from WSUP's support to the resolution of a conflict with EMA⁴², and gained clarity on key factors to consider when establishing DM arrangements (e.g. scale of network, bulk water metering). WSUP support also shed light on limitations in the current lease agreement between AdeM and FIPAG which constrains the development of DM between AdeM and smaller operators. This learning should be valuable in the context of the upcoming negotiation of a new lease agreement, and given the current concern surrounding the situation of the POPs. Overall, FIPAG's Planning Director considers that WSUP support on DM will have an influence at country-level, given the increasing prevalence of those arrangements in LICs in years to come.

The programme actively fuels the reflection around the revision of water tariffs to meet FIPAG's financial gap associated with the subsidies for household connections. WSUP's report "Meeting Millennium Development Goals by Breaking Down the Barriers to Access" provides CRA and FIPAG with strategic options for financing future expansion and is being used as a base for Government discussions⁴³. FIPAG's Planning Director stressed how well the asset management tools provided by the programme meet their needs.

The meetings held with AdeM and FIPAG validated that the programme is achieving significant organisational buy-in and having a positive influence on mind-sets regarding pro-poor work. AdeM's CEO explains: *"we used to think business in the cement city and standposts for the poor, we are now confident that we can do business in these [LIC] areas. [...] We have seen what they did in extremely poor areas with acute needs: what they have achieved there is applicable all over the country"*. FIPAG are equally convinced of the relevance of WSUP's processes to increase the sustainability of household connections to the tertiary networks: indeed, low income groups represent a significant portion (circa 70%) of their customer base. Dr P. Paulino, CEO of FIPAG, summed it up well: *"our drive is to work through private sector participation [...] yet supplying water to LICs was not attractive to private sector actors. WSUP bring us specific solutions to work in those heterogeneous, unplanned spaces, involving communities and providing a mix of demonstration and advocacy"*.

The model tested with AdeM to expand services in LICs through sustainable household connections is providing a demonstrable model that FIPAG is considering for replication in the 21 other cities it is providing services in⁴⁴. This is a key illustration of the positive rippling effect of the programme beyond its perimeter of intervention.

⁴¹ AdeM's operations have been decentralised in a system comprising 5 areas (each with around 40 000 customers), with further subdivisions (of around 12000 customers) and smaller areas (of around 3000 customers). Each small area is a small business unit.

⁴² EMA (Empresa Moçambicana de Águas), is the operator of the DM contract with AdeM in Liberdade. The conflict arose over volumes of water that EMA should be charged for. WSUP facilitated an improved DM contractual arrangement.

⁴³ This report was prepared by Chris Ricketson, WSUP consultant as part of his assignment to support the capacity development and finance mobilisation for FIPAG and CRA. An initial report was produced during the earlier phase of the WSUP programme and a second report more recently under the AusAid programme. The latter came as a direct result of the engagement with CRA and FIPAG and the request to support CRA/FIPAG to study and assess options to bridge the finance gap due to the subsidy on new water connections (which is an obligation for FIPAG).

⁴⁴ FIPAG now consider extending tertiary networks into all peri-urban areas of its service areas, as part of their longer term planning. This includes the IFI-funded PPPs to extend services around Maputo, which require FIPAG to undertake the tertiary works as part of the GOM contribution.

Sanitation

Support to the municipality has started with training sessions on GIS software and project management, two areas jointly selected by WSUP and CMM/DAS. According to the head of the water supply department, the impact of those activities is already tangible in terms of increased staff autonomy. The view of the director of DAS is that it is probably still too early to assess the impact of those activities. Phase I of the programme has allowed the links between WSUP and CMM to grow stronger. CMM now regularly invites WSUP to their meetings and the director of DAS is much easier to meet. The DEWATS project was recently validated by the municipal council and WSUP's on-site sanitation services approach increasingly resonates with the Infrastructure Councillor, partly as a result of WSUP 'advocacy from the inside' work. It is gradually, yet still slowly, influencing the thinking of the organisation which was traditionally geared towards centralised systems (sewer and drainage networks). The commitment of CMM to contribute financially to the capital cost of CSBs (although at a level inferior to the target, at this stage) creates a symbolically significant precedent. Likewise, CMM plans to replicate the tertiary drainage project signals much buy-in.

There seem to be still significant discrepancies between the views of WSUP and CMM on what sanitation services in LICs will look like in the next 15 years and what the revenues of the sanitation tax should be used for⁴⁵. Uncertainties surrounding the creation of an Autonomous Sanitation Entity have led to the postponement of activities meant to build CMM's capacity in planning and sanitation strategy, financial modelling, budgeting, life cycle costs approach and setting standards for FSM (See Recommendation 4).

A dynamic partnership is developing with CMM's Education Councillor, who recognizes the urgency of facing the dire WASH conditions prevailing in primary schools. His assessment of the challenges coincides with WSUP's plan to re-orient its strategy by focusing more on institutional issues and fostering stakeholder engagement.

At the inter-institutional level

The programme actively supports CRA in developing the new 'rules of the game' for the sanitation sub-sector. It does so by providing the regulator with valuable information essential to the definition of on-site sanitation services. By providing first-hand, local evidence of financing requirements for various segments of the sanitation chain as well as work on financial modelling, strategies and policies, the programme very practically helps CRA assemble the pieces of the jigsaw that the development of a regulatory framework and the design of the sanitation tax require. Arguably, with a view to ensure that the work carried out in Maputo can serve as an example to follow across the country CRA would need a data set that reflects broader conditions than merely those met in Maputo to accurately and effectively set the level of the sanitation tax (See Recommendation 8).

The president of CRA puts a high value on the input of the programme to their work and considers WSUP as one of his most precious allies to promote an 'integrated sanitation service approach'. Alvarinho views WSUP as a unique contributor in the sector, stressing its ability to work at community level with CBOs to create debate on policy and strategic issues far beyond their activities. He recommends that WSUP and WSP, which does not have the same level of operational capacity in Mozambique, keep working hand-in-hand. WSP's strong global footing, deep level of relationships with the GOM and national water authority and capacity to influence the WB investment programme, effectively complement WSUP assets.

⁴⁵ Conversations with CMM/DAS staff suggested that a view of sanitation services primarily depending on the expansion of the sewer system still prevails. The idea that the tax should be employed for 'sustainability', meaning supporting the restructuring and ultimately the on-going operation of DAS, was also expressed.

WSUP and CRA established the Sanitation Platform in May 2012, an initiative now well supported by WSP and which, according to senior officials from CRA and AIAS, is achieving good momentum. It fosters sector coordination and represents a good vehicle for the programme to share experiences of their service delivery models, technical expertise and research and to discuss themes strategic to institutional reform. According to the CRA president, the revision by AIAS of their plans, leading to the adoption of a service rather than an infrastructure approach to sanitation, is partly attributable to the advocacy work undertaken by WSUP, WSP and CRA in the Sanitation Platform. CMM officials underline that this forum has also triggered much discussion amongst stakeholders about the sanitation tax and the Autonomous Sanitation Entity. On that respect, the report “Work Plan for Designing Appropriate Sanitation Tariff for Maputo”, recently submitted to CRA by WSUP, will be presented during the next meeting of the Platform. It will likely fuel more conversations that will help concretise this idea.

According to Alvarinho, the Sanitation Forum also has contributed to the gradual shift of position of CMM regarding the institutional reform. CMM now understands the need for separating power functions (ownership, operation and regulation) and expresses much less resistance to the creation of the Autonomous Sanitation Entity. Discrepancies of views remain as to the order in which all the components of this reform need to be concretised. CMM is particularly glad to see WSUP actively promoting the work on the sanitation tax, which the Infrastructure Councillor regards as an instrument that will considerably facilitate CMM’s capacity to mobilise investments for sanitation. In addition to its catalyst role in the Sanitation Platform, WSUP also participates in the GAS (Water and Sanitation Group), and as a result of its contribution, urban WASH is a more significant part of the GAS group agenda. Alvarinho considers that progress remains way too slow despite all the discussions triggered by the programme in the Sanitation Platform and elsewhere⁴⁶. On the other hand, the situation has probably never been so encouraging and he feels much more positive now than 10 years ago.

2.2.4. Mainstreaming gender and disability inclusiveness

General Observations

As demonstrated in the sections below the programme is making steady progress in this area with notable success in mainstreaming gender inclusiveness across all relevant activities. On the PWD and PHLIV inclusiveness front the team is facing new challenges. Yet, overall the evaluation suggests that the team is taking appropriate steps to develop a structured strategy and tools to mainstream GDI into the programme.

In keeping with SWaSSA’s policies, the programme undertook baseline surveys collecting data disaggregated by gender and disability. The WSUP team reckons that the baseline could have been enhanced by including qualitative data reflecting the nature of the barriers faced by the distinct vulnerable groups. This could be achieved by conducting focus group discussions around safety, comfort and privacy issues for instance. The programme’s indicators and targets are also disaggregated by gender when relevant.

Gender inclusive approach

Building partnerships

The programme involved the MMAS at central and City level. Although the organisation is relatively young with limited leadership and influence at city level, it was essential to establish this linkage with these official actors. Conversation with the Chief Provincial Inspector of MMAS in Maputo indicated

⁴⁶ Whilst its positive on-going influence in supporting this process is acknowledged, the programme needs to keep within the confines of its role of external catalyst with no official mandate to guide or direct.

that they expect to learn a lot from WSUP's work, which may stimulate action in other sectors less open minded on gender issues.

The programme established a partnership with the National Directorate of Water (DNA). The two workshops organised on Gender and WASH are having a notable influence on the formulation of DNA's forthcoming National Gender Strategy for the Water and Sanitation Sector.

Regarding schools, the programme is about to formalise its partnership with MINED. It also works closely with City Directorate for Education and the relevant District Directorates. Gender issues are a key feature of the objectives considered with these institutions.

Strengthening internal capacity

WSUP's GDI expert trained his Community Development Specialist (CDS) colleagues and CBO partners on ways to boost women's participation during the meetings held by the programme at bairro, community and CBO levels as part of the usual community mobilisation and engagement approach. Scheduling meetings at suitable times for women, encouraging community leaders to foster women's attendance, and continuously eliciting women's voice, notably by tackling issues such as privacy, security, comfort, and dignity, are becoming normal practices.

Raising awareness and learning

The work on gender is gaining momentum through a series of meetings at bairro level, women-only focus group meetings, and workshop addressing gender issues in schools. WSUP reported holding three meetings with bairro administrations to discuss the best ways to reach more women and vulnerable groups with WASH improvements. Women-only focus group meetings have involved a total of 150 women so far. They typically address a wide range of issues, including improving hygiene in the neighbourhood, identifying training needs, menstrual hygiene in the CSBs and in schools. Particular emphasis is placed on debating the importance of promoting women's participation in decision-making, notably in relation to the participation in watsan and CSB committees, standpipe operation and access to domestic water connections. These sessions, as well as discussions held with contractors to alert them to the benefits of employing local women, have enhanced the participation of women in the construction of CSBs. In these meetings, the programme also stresses the need to involve PWD and chronic diseases, including PLHIV. Those exchanges gather very valuable information about behaviours, environmental and attitudinal barriers and thus provide rich insights for the preparation of the upcoming WASH/gender workshop.

Two workshops were organised to raise the awareness of a wide range of participants (the City Directorate for Education, District Directorates, School Directors, selected teachers, representatives of Sanitation Nuclei, cleaning staff and bairro representatives) on gender issues in schools and to identify and reflect on the implementation of solutions. At school level, in addition to work undertaken with the school nuclei (See section 2.2.2.), the programme also trained the school councils, focusing on the need to address gender-specific needs in sanitation infrastructure management. AMANDLA, a CBO trained to sensitize girls and school staff on MHM, related how they work on attitudinal barriers by fostering father-daughter dialogue on MHM.

Specific activities also aim to raise community awareness on WASH/gender issues. For instance, the team of OPTAR, a CBO carrying out a hygiene promotion campaign in two bairros, explained that their theatre play now includes explicit messages tackling gender issues.

Achieving participation across the project cycle

Conversations held with CSB users, a block chief and members of CSB management committees suggested that women are effectively engaged at each step of the CSB 'project cycle': they are involved in the siting of CSBs, make decisions of features guaranteeing more security and privacy, and contribute to the construction of the facilities. In some cases, women become water sellers at the public standpost. These are helping to enhance the profile of women in commercial activities within the communities and breaking down barriers to inclusion. Women also take part in all training

sessions, including those tackling financial and technical aspects. They reported making decisions on O&M arrangements: setting the tariffs (level of contributions), and deciding of the cleaning arrangements (rota). Visits to CSBs found women frequently holding the positions of president and treasurer of the management committees. This is in agreement with WSUP's monitoring, which report that women account for 60% of the members of these committees⁴⁷, with over 20% of them occupying a leadership position. In addition one of these committees is now chaired by a woman with a disability.

The evaluation has not been able to assess the degree to which this apparent empowerment of women, confirmed by municipal and district level officials, leverages greater socio-economic status within their households and communities and improves development outcomes (See Recommendation 14)

PWD and PLHIV

Forming strategic partnerships

The programme is learning how to effectively address the specific needs of PLHIV and PWD in WASH interventions. It has productively exchanged with and learned from expert organisations in the UK (i.e. WaterAid, WEDC) and has started establishing partnerships with relevant institutions locally, such as CNCS, HI, CNAD and ANEMO (Mozambican Association for Nurses). These relationships will be instrumental in developing the context-sensitive, phased approach and advocacy tools so critical to the effective work of CBO activists tasked to tackle major attitudinal barriers within communities. WSUP is notably preparing with CNCS, ANEMO and AMODEFA (Association for Families Development) the contents and materials for training CBO caregivers for PLHIV (Amandla, Maxaka and Kuthunga CBOs). The programme plans to develop graphical tools directly addressing these issues and to make them accessible for all. Regarding partnerships too, HI respondent suggested that by showcasing its work in their multi-stakeholder forum, the programme could establish productive partnerships with actors other than Disabled Person Organisations (e.g. private sector actors) (See Recommendation 18).

In parallel to this work in partnership, several activities have been carried out that are showing some impact. The 'Water and sanitation for people living with HIV' workshop, held at MMAS in March 2013 led the MoH to revise the manual on home care. A partnership has been established with the Mozambican Association of Women with Disabilities for sensitizing communities on people with disabilities' participation in urban WASH improvements. The programme is also planning to support households with PWD and PLHIV through the process of accessing a household water connection. Disability awareness is integrated into training on promoting household connections.

Design of built environment

The programme has already made significant progress on the accessibility of constructed or rehabilitated WASH facilities. CSBs, SLs, school sanitation blocks, and household connections all include special features meeting the needs of PWD. CSBs, for instance, have got special cubicles with ramps, Turkish basins elevated by 40cm, bars for support, space to allow opening and closing of doors, and larger doors opening to the outside. HI experts validated the compliance of this design with international standards. Beneficiaries can select from various types of SLs, one of which has got an accessible design (raised toilet seat and ramp). The GDI expert has been exchanging a lot with WaterAid UK, which will probably result in a range of accessibility products available to beneficiaries of the CLTS activity. The needs of children with disabilities are included in the assessment of sanitation facilities in the WSUP supported schools. The design of these facilities also adopts

⁴⁷ From the 10 CSBs in process for construction WSUP reports a total of 50 management committee members (22 men and 28 women).

common accessibility features. The evaluation could not examine the accessible design of the household water connections.

Challenges

Cultural issues

Addressing WASH/gender issues ineluctably unearths a series of taboos calling for convincing arguments to shift such long-held positions. For instance, ancestral beliefs surrounding menstruations represent clear obstacles for the programme. There is a widespread fear that menstrual blood can be used to cast black magic spells and make women infertile. As a result, women are afraid to practise MHM in a shared or public space. Observations from WSUP corroborated by a conversation with the operator of a CSB in Xipamanine suggested that there is a significant reluctance from women to use the block for MHM, notably for that reason. This was not found to be a systematic issue in the other blocks visited. The evaluation indicated that deeply-rooted MHM-related taboos are more difficult to overcome with the adult population at community or CBO level than in schools, an ideal entry point for the promotion of MHM (See Recommendation 15). Also, according to WSUP GDI expert, seizing WASH activities as an opportunity to empower women almost mechanically triggers resistance mechanisms from men. The debates and argumentation that ensue often unleash reflexes rooted in the patriarchal culture and can easily lead to lose a focus on WASH services, and to examine numerous cultural assumptions around gender roles. In a couple of CSB visited the cubicles were not distributed by gender groups but allocated to groups of families, under the motive that men-only latrines never get properly cleaned⁴⁸.

Generally speaking, advocating for a WASH/GDI approach empowering women, PLHIV and PWD calls for convincing arguments to shift such long-held positions. The GDI expert, respondent from HI and CNCS all stressed the benefit of combining better access to WASH services to the development of income generating activities and nutrition (See Recommendation 16).

Identifying and benefiting the target groups

The visits to two schools targeted under a prior programme exposed the cost implications of improving access to WASH facilities in rehabilitation works (i.e. widening doors and cubicles is expensive). WSUP also found that teachers lack knowledge of methodologies and pedagogic techniques to integrate students with special educational needs and ensure their participation in a proactive way, as well as ensure their access to sanitation. The programme addresses this issue by working with disability organizations to deliver training on special educational needs in the schools covered by the programme. More fundamentally, the Education Councillor and school staff highlighted how marginal the number of PWD attending school actually is. This is confirmed by WSUP's latest monitoring report, which establishes the presence of one child with disability only amongst the 2,765 members of the school community across the two schools where interventions are in process. This observation also applies to CSB and SLs. Whilst the baseline identified 1,333 (704W & 629M) PWD in the Chamanculo C, Xipamanine and Mafalala bairros, only one PWD was identified across the beneficiary groups of the 7 CSB and 9 SLs currently under construction, who will enjoy the accessible design of the CSB. That being said, it is critical to understand that the baseline figure covers the whole population of the target bairros (75,000), which represents a much larger group than those targeted by the CSBs. CSBs are implemented in discrete locations selected on the basis of a clear set of criteria and by chance it happens that there are not many PWD in these small, specific locations.

WSUP's GDI expert and the HI Projects Coordinator acknowledge that the identification of PWD and PLHIV remains a major obstacle. Collecting census data and other statistics to form a baseline

⁴⁸ This reflects the choice of these users in the management of the CSB. WSUP is not prescriptive in this regard

highlighting the number of PWD and PLHIV is the first step, and the easiest one⁴⁹. Identifying at block level who these individuals are is very time-consuming and requires much support from local leaders. Once these persons are identified, maintaining the confidentiality of their identity and avoiding domestic conflicts become the next set of challenges. According to HI staff in Maputo, it is not uncommon for PWD to be hidden away by their own families. Achieving some level participation of PWD and PLHIV proves difficult for the team despite fostering and advocating for their involvement in meetings at bairro and quarter levels. There are fortunately a few successful cases, which are symbolically powerful, which the programme can capitalise on to advocate for more inclusive WASH work. The case of the CSB management committee chaired by a woman with a disability is the most emblematic success of the programme at this level (See Recommendation 17).

2.3. Efficiency

Rating: 5 (Good quality)

2.3.1. Programme

A preliminary observation is that by encouraging service delivery through DM arrangements the programme indicates a clear concern for keeping the service provider close enough to the customers to efficiently serve them.

At the administrative level, the selection and tendering processes put in place by WSUP to recruit their staff and contract services also directly contributes to an efficient use of programme resources. As one respondent from AdeM explained, the programme continually seeks ways of improving procurement to mitigate risks (e.g. introduction of a two-stage tender process). The lean transaction costs of the programme for bringing in a contractor need to be acknowledged too. By comparison, the excessive safeguards often found in the contracting process of larger organisations are a source of much inefficiency and delays. But because WSUP are more hands on in other ways with the contractors to build their capacity, issues of non-compliance that the "heavier" tendering procedures try to safeguard against are not such an issue.

Procurement remains a challenge despite continued progress in this area. The scale of the works contracted out by the programme is too small to attract large and very reliable companies⁵⁰. The small contractors the programme must use face particular challenges, such as cash-flow issues, access to bank guarantees and workers insurance, and public liability insurance, all of which WSUP insists on. As a consequence, WSUP constantly provides them with support and supervision, looking at how they are faring, and helping them overcome cash-flow issues. This time-consuming support has the benefit of strengthening the capacity of some contractors. Having worked with WSUP in prior interventions, some have now become more reliable partners for the programme.

Another key point to consider is that the level of ambition of this programme is unprecedented for the WSUP Mozambique team, and puts the organisation on a steep learning curve. The team has doubled in size since the beginning of the programme, and during recent months, the team has been gradually reinforced⁵¹. This has led to a better coordination of daily work. Yet, as SO3 is gradually becoming more prominent, the Country Programme Manager needs to increasingly delegate day-to-day tasks to focus on networking and influencing strategic partners. Her time could be utilized more

⁴⁹ Many PLHIV prefer not to be registered however, even if that means no support from the government.

⁵⁰ which typically will not respond to tenders below half a million dollars, according to a UNICEF officer

⁵¹ A water expert, a sanitation expert and a consultant in charge of program control support the programme coordinator (who now mainly coordinates the work of CDS and reports to the Country Programme Manager).

appropriately by focusing more on influencing and less on program coordination⁵² (See Recommendations 2).

2.3.2. Sanitation

At the level of sanitation service delivery, local authorities at block, bairro, district and municipal level all shared the view that WSUP's systematic community mobilisation and engagement process around the provision of CSBs efficiently leads to high degrees of satisfaction, ownership, and sustainability. This process has been continually refined, leading to incremental efficiency gains. The design of CSB facilities is another area where efficiency gains have been reported: whilst the first CSB constructed in Chamanculo C cost about \$15k to construct, those currently being constructed under Phase cost on average \$7.5k (CMM and beneficiary community contributes about 20%). WSUP's cost-efficient CSB design was adopted by UNICEF for their programme in Nampula. The tailored training provided to FSM service providers (as currently carried out with UGSM) to strengthen economic viability before business expansion also illustrates the controls that the programme established to scale up efficiently.

Other areas of the programme reflect lower levels of efficiency. The calculation of the cost of the SLs, for instance, failed to sufficiently take into account the possible constraints of the terrain in the intervention area and led to modify the design of the structure⁵³. The cost per unit of a SL increased markedly as a result: SLs had originally an estimated cost of 600-800\$/unit on average. The cost tendered for the revised design reaches 1,100-1,200\$. The level of contribution of households to the capital cost of SLs, initially optimistically estimated at 70%, was revised downwards to 40-50% following a survey undertaken after the onset of Phase I. The increased cost per unit of a SL and the lower level of contribution of households led to the revision of the target for the activity: 54 SLs are now planned to be built instead of the 75 originally defined. Each SL benefitting 15-20 persons, this activity will benefit about 367 less persons than expected (-28%). Whilst this revision will see the number of beneficiaries reduced by 28% (declining from about 1312 to 945), it needs to be contextualised as part of the learning-by-doing process of innovation transfer (SL represent a new type of facility in the area), with all the adjustments that this may require. Undertaking a soil survey and an assessment of the willingness to pay prior to budgeting would have been needed.

Significant time has been lost on CLTS as the local implementing partner WSUP was counting on unexpectedly pulled out at a late stage in the process. Formalisation of this commitment at an early stage would have been preferable, to mitigate the risk of disengagement. Further setback is expected in this activity due to the time many beneficiaries will need before making a decision to improve their latrine. This is forcing the programme to significantly revise the target downwards for Phase I, shifting "3000 latrines built to 3000 latrines being triggered". It must be noted here that in this activity the latrines are not subsidised by the programme, which merely provides a payment facility through a revolving fund.

An area of concern regarding the adequate use of time of programme staff is the WASH in schools work. Visits to two schools targeted during prior phases have revealed the magnitude of the challenges associated with sustaining the gains of WASH in school activities. Conversation with a CDS staff member indicated that up to 30% of her time was dedicated to various activities in two schools⁵⁴. Further exchanges and observations suggested that given the disabling environment found in most of these schools, and considering the major buy-in from a wide range of stakeholders

⁵² The debrief meeting insisted on the need for more frequent interactions with the programme, particularly from FIPAG (relationship would be reinforced through more regular meetings)

⁵³ The designs for SLs were reviewed following infiltration tests on sample sites which indicated relatively low infiltration capacity in many of the low lying locations. The revised design has a suitable infiltration trench.

⁵⁴ This is not representative of the average portion of time spent by all CDS however

needed as a condition for sustainability, the amount of resources currently dedicated to this activity under the current strategy was deemed disproportionate.

2.3.3. Strengthening capacities creating opportunities for influencing

At service delivery level, AdeM and FIPAG respondents suggested that WSUP's promotion and facilitation of household connections to tertiary networks produce significant gains of efficiency. Indeed, the processes set up by the programme to optimise the type of customer that connects leads to fewer disconnections. Overall, the brokering role of the programme between customers, local government and AdeM, also leads to less vandalism.

Capacity building is another area where efficiency gains are tangible. Informants from FIPAG and AdeM highlighted the good value for money of capacity building activities, referring to them as economic, strategic, hands-on and high-quality. J. Manique, Commercial Director at AdeM highlighted the incremental approach taken by WSUP in the way they provide support, starting with small objectives first and building on successes. As for Dr P. Paulino, CEO of FIPAG, he noted that the programme does not necessarily have *'huge funds, they target our needs very precisely, and know us well because we share our visions and plans [with them] twice a year at a fairly high-level'*. AdeM officials noted a good coordination between WSP and Vitens⁵⁵ who provide complementary support.

At administrative level, the tendering processes put in place by WSUP to contract services also contribute to an efficient use of programme resources. J. Manique confirmed the programme's efforts to improving procurement to mitigate risks (e.g. through the introduction of a two-tender process, separating the procurement of works from the procurement of material).

2.3.4. Mainstreaming gender and disability inclusiveness

Not surprisingly, mainstreaming gender throughout all activities is a source of efficiency for the programme. WSUP reckons that targeting women in the provision of hygiene promotion and behaviour change activities, for instance, leads to efficiency gains because women are often the primary agents of change at the household level and are best positioned to influence the behaviours of other household members. Likewise, in WSUP's experience, involving women in the siting and design of communal sanitation blocks creates a more efficient process of implementation as it ensures that potential barriers to usage are overcome at the planning stage, rather than emerging during the course of the programme and requiring corrective action to be taken. The evaluation also identified efficiency pointers in activities strictly focusing on gender issues. For instance, the production of a MHM leaflet to be printed and distributed in multiple schools allowed the programme to maximise coverage. Also, the two workshops organised by the programme around Gender and WASH proved to be very efficient advocacy tools, when considering their influence on the formulation of the forthcoming National Gender Strategy for the Water and Sanitation Sector.

It is worth mentioning as well that if WSUP's approach to gender mainstreaming ensures that programme targets are met, it simultaneously contributes to breaking down barriers to women's activity in WASH more broadly. Notable examples include WSUP's collaboration with Kuthunga (a woman-led private enterprise) and Amandla (a woman-led CBO).

⁵⁵ A Dutch Water utility which has a Dutch funded service contract to provide support to FIPAG and AdeM on their core (as opposed to low income focused) operations

2.4. Sustainability

Rating: 5 (Good quality)

2.4.1. Programme

Exit strategy

The programme is an opportunity for WSUP to implement a clear exit strategy, which appears critical given the number of interviewees who referred to WSUP as part and parcel of their organisations, and to the programme as playing a key facilitating role between institutions.

This exit strategy builds on the formalisation and strengthening of all linkages between the actors of the service provision framework and the development of their capacities for management and oversight. For instance, CSB management committees and bairro administrations have agreed MoUs to formalise their DM arrangement. Beyond that formality, the two-day trainings of each committee involve the representative of AdeM in charge of standpost issues, a representative from CMM (DAS staff) and a staff member from the Municipal district⁵⁶. The persons interviewed during the visits to CSBs essentially referred to their block leader as the key channel to voice their complaints and grievances when needed, and did not allude to the support they could receive from the bairro administration. Yet a conversation with a block leader revealed that he was well aware of the existence of a chain of responsibility and of the possibility of reporting local issues at bairro level if needed. The planned activity 'Block Leaders trained in monitoring and on-site support and bairro water and sanitation overseers in post and trained' will undoubtedly further reinforce these linkages and stakeholders' accountability.

Strengthening the capacities of local government at bairro, district and municipal level⁵⁷ is one of the priorities of the programme and central to WSUP's exit strategy. At bairro level, the programme aims to strengthen the capacity of local government to budget for their needs (WASH needs and beyond, so that they are sufficiently interested) and ability to access their quota of support through a normal governmental budgetary process. This also forms part of the exit strategy of the programme. At a higher level, the programme strives for institutional sustainability. The President of CRA and Director of AIAS both underline the contribution of the programme in providing information essential to the definition of a sanitation regulatory framework and in promoting constructive exchanges around institutional reform through the Sanitation Platform (See Section 2.2.3). This directly contributes to the sustainability of the programme.

Regarding the overarching sustainability of the programme, a critical challenge for WSUP consists in institutionalising the innovative pro-poor WASH practices it undertakes with its partners, or more simply put, to integrate what the programme does in their 'manuals'. (See Section 2.4.3.)

2.4.2. Sanitation

Economic Sustainability

The programme's concern for *economic viability* is manifest from the studies and analyses (e.g. on affordability, willingness to pay, life-cycle cost analysis, SME business plans, sanitation tariff) carried out along the sanitation chain of services, the focus on cost-efficiency and the guidance and training provided to SME operators and CSB committees. At the level of CSBs, the programme provides guidance to management committees to set tariffs (monthly contribution) appropriate to cover operational costs, including desludging of the tank, an infrequent (e.g. every two years) but costly

⁵⁶ Although their participation may be marginal, it is symbolically significant and contributes to reinforcing the linkages between these stakeholders.

⁵⁷ The activities planned at municipal level are addressed in Section 2.1.3.

transaction. The programme is not closely prescriptive in this area, and the details (level of contributions, provision for desludging, and whether or not a bank account is opened by the committee) vary from one CSB to another. Yet WSUP observes that the high level of ownership of the facilities by users leads to economic sustainability in the vast majority of cases. According to WSUP staff, whether families save money for desludging or not, they always find a means to gather the funds to pay for the service when needed⁵⁸. This is the impression that emerged from the visits to CSBs. The CSB committee presidents and treasurers met by the evaluator reported that users consistently paid their contributions, and the conversations suggested that the families would be able to pay for the service. The cleanliness and availability of water, soap, detergents and brushes in all blocks reflected users' ownership and indicated that sufficient money was collected to ensure good day-to-day O&M of the facilities.

By and large, the intense poverty that prevails in the zones of intervention of the programmes leads to generic challenges of affordability and willingness to pay for sanitation services amongst LIC populations. This factor is taken into account by the programme in its CLTS and SL activities. Notably, the programme has recently produced two pieces of work studying the affordability in Mafalala of SLs, and the interest of the population of Chamanculo to climb up the sanitation ladder as well as their willingness to pay. In this respect, it would be useful to the programme, and to CRA, to figure out to what degree levying a sanitation tax could further reduce demand for improved services⁵⁹. (See Recommendation 6).

The economic viability of FSM services is an area of particular attention for the programme. As explained in Section 2.1.2, FSM is a critical segment of the whole sanitation chain of services. It is an innovation in Maputo, with all the risks and challenges that it implies. Ensuring the economic viability of this business is critical to guarantee the sustainability of the sanitation approach taken by the programme. The time to transport sludge to the treatment plant has been identified as the main economic constraint for this business. The transfer station, now almost completed, and the DEWATS (now validated by CMM) will significantly reduce transport costs and greatly foster the expansion of FSM services. However, at this stage, the data provided by UGSM is far insufficient to demonstrate financial viability. The programme has hired a consultant to gather important economic data about the operations of UGSM. That information will be available in a few months and will allow adjustments to be made to UGSM's business plan, by providing a clearer understanding of the market, prospects for expansion, the number of hypothetical competitors of similar size the market could absorb, etc. The sanitation expert has finalised the business plan for Kuthunga, the second FSM operator selected by the programme, who has signed up the Professional Service Agreement with WSUP to commence its FSM services with WSUP support.

The innovative work on FSM has triggered much interest and partners are joining forces. A PPIAF-funded project aims to identify new operators amongst solid waste operators. A joint project between WSUP and WSP (funded by JSDF, with WSP as Task Team Leader and WSUP implementing) is meant to support these new FSM operators with mobile transfer stations. Yet, there is a risk that expediting replication in the presence of critical information gaps can significantly affect the development of this promising model. Notably, it is essential that WSUP seizes the opportunity of the early stages of the joint project with WSP to advise on the number of FSM operators being reduced to ensure business is not affected (see Recommendation 5). Dealing with the competition, both formal and informal (i.e. illegal pit emptiers), is another aspect of the work the programme is

⁵⁸ WSUP notably reported that a CSB operational in Chamanculo C has already been emptied three times, and that two other CSBs in the same bairro were desludged this year

⁵⁹ Demand for such services should presumably increase if the tax is levied at the right water consumption level, as it could serve to subsidise FSM services, notably. Setting the threshold for the levy on water at the wrong level could affect a low income households and lower demand for improved sanitation services.

doing to ensure the economic viability of FSM services. Informal pit emptiers are two to three times cheaper than UGSM and are likely to remain very competitive despite the cut in transport costs made possible by the sludge transfer station.

According to UGSM's manager, customers will choose his services rather than the informal one because of the quality of his work (clean, effective) and the trust his company generates. The programme also provides the two SMEs with the right tools to tailor their services to the demand: to reduce the cost of the transaction for customers, UGSM can propose a partial pit emptying, or rent out a diaphragm pump (to be trialled shortly by the programme) to them⁶⁰. Finally, the programme is planning to launch an awareness raising and advertising campaign⁶¹ (notably using UGSM solid waste collection vehicles and Kuthunga's outlets to disseminate messages). The programme is also considering that part of the sanitation tax to be raised in the near future could subsidise the services of formal FSM operators (licensed by CMM or by the Autonomous Sanitation Entity that is to be created), which contribute to reducing public health and environmental hazard.

The programme is addressing economic sustainability through its work from the bottom-up, but also by contributing to the overarching organisation of services city-wide. The WSUP team is engaged in a reflection with CRA on how to structure the market of these service providers at city-wide scale⁶².

As explained in section 2.3.2, unforeseen hydrogeological constraints led to the doubling of the unit cost of SLs and assessments revealed to the team that the level of contribution of households to the cost of these facilities was in the range of 40-50%, much below the initial estimated 70%. Under such circumstances, the economic sustainability of this component of the sanitation model may be challenged.

Social Sustainability

The programme seems to foster *social sustainability* from micro to macro level. When asked about the features of WSUP that make it a different or special organisation working in the sector, users of CSBs, district and municipal officials all spontaneously referred to the capacity of WSUP to bring a spirit of 'working together'. They consistently presented WSUP's refined process of stakeholder consultation at block, bairro and district level as a key factor resulting in the effective participation of communities at various stages (e.g. design, construction, tariff setting, management) and leading a genuine sense of ownership⁶³.

Anecdotal evidence indicated that beneficiaries take the initiative to upgrade their facilities⁶⁴, which both indicated collective ownership and substantiated the relevance of the sanitation ladder approach. The visits to CSBs confirmed that communities take pride in taking care of their facilities. This shared feeling has been successfully leveraged by the programme through inter-CSB

⁶⁰ This option is likely to significantly cut costs for the customers as they empty the pit themselves, leaving UGSM in charge of transport and safe disposal.

⁶¹ Kuthunga CBO referred to their similar experience in dealing with the informal competition on solid waste collection a few years ago as her CBO got licensed to do the work formally. The awareness raising campaign proved effective then. Whilst transaction costs are much higher for desludging than for solid waste collection, the steps taken by the programme to increase the competitiveness of FSM services are likely to be sufficient.

⁶² What is the appropriate scale for each service? Shall we draw a line between the services carried out by SMEs (e.g. UGSM, Kuthunga) at bairro and district levels and those undertaken by larger companies capable of operating fleets of 30 tanker trucks to efficiently transfer sludge from sludge transfer units to large sludge treatment plants? These are the sorts of issues being discussed by the programme, notably with CRA and WSP.

⁶³ The extent to which the programme manages to engage beneficiaries is further detailed in Section 2.4.2, where an emphasis is put on showing how women are being included in the process

⁶⁴ Beneficiaries of a SL implemented in a prior programme required the contractor to build an extra septic tank next to their latrine, increasing its storage capacity and reducing the frequency of emptying. Improvements were also made in the latrine to make it more comfortable.

competitions. Rolled out in Chamanculo C, Mafalala and Xipamanine, the competition has successfully stimulated communities' pride in maintaining clean and hygienic toilet facilities and strengthened demand for improved sanitation. Through weekly monitoring, CDSs rated CSBs on criteria covering the cleanliness of the CSBs, the quality of their management, and hygiene practices. The best performing beneficiaries were rewarded with cleaning products. This competition, carried out over a period of four months ending on World Toilet Day (19 November 2012) has helped enhance the collective sense of pride, ownership and responsibility of CSBs users. This initiative would undoubtedly deserve to be continued all year long to further anchor improved hygiene habits (See Recommendation 10).

CMM Education Councillor suggested that some form of inter-school competition should be considered to get all school stakeholders (including children, school staff, bairro officials and district MINED representatives) more engaged in WASH work (See Recommendation 7). WSUP is indeed facing a number of critical challenges on WASH in schools work, as discussed in Section 2.2.2 affecting both the effectiveness and the sustainability of this area of the programme. Whilst sustaining the gains of WASH in schools programme remains very difficult in most regions of the world⁶⁵, the environment was found to be particularly disabling in the bairros targeted by the programme. Security was found to be a major issue. The visits to schools revealed how vandalism and theft are leading to a rapid deterioration of the infrastructure (e.g. flushing system tank and pipes, taps, etc.). Whilst manually pouring water to flush the toilet can and does replace broken flushing systems, the problem is more critical with broken taps, which do not get replaced for fear of them being vandalised again. In one of the two schools visited (Xipamanine), which provided rather a good example of how much can be achieved in such a disabling environment, the tapstand was kept locked, even during the day, and children had to use water from a single large bucket under the surveillance of staff member, filling their cup to drink. Access was thus very limited and there was no space for handwashing. These security issues are really challenging given that the schools visited, as with many other schools, have security guards paid by the government. But these guards are unable to control all the premises and do not manage to prevent intrusions. The school visit in Xipamanine illustrated the importance of a strong school leadership: the guards (of both day and night shifts) had to pay for taps that had been stolen.

Soap was not available for children in any of the schools visited. In Xipamanine, the stock of soap and detergent provided by WSUP was not replaced. There is a shared perception amongst all the people interviewed that purchasing soap is not a wise investment given the very high prevalence of soap theft (by children or teachers themselves sometimes). The visits suggest that in the absence of a theft-proof soap design, school administrations will find it extremely challenging to prioritise the purchase of soap and promote hand-washing with soap. The visit of the school in Xipamanine stressed that working through a well-structured school nucleus might not be sufficient to anchor improved habits (handwashing with soap, good O&M of facilities). The educational director indeed drew attention to the fact that teachers are not motivated by extra-curricular activities. Consequently the momentum around WASH following project completion is affected by a lack of incentives for teachers who are assigned WASH responsibilities. In comparison, teachers are incentivised to impart sports activities. According to the CBO OPTAR, contracted out by the programme to promote hygiene in schools, there is a need to boost school staff engagement and accountability. A greater participation of staff and parents in the school nucleus is required too. Given all these challenges, WSUP needs to significantly revise its WASH in school strategy (See

⁶⁵ Based on recent research as well as the reviewer's own analysis in contexts as diverse as Latin America and the Caribbean, Morocco, Zambia and Kenya. See Sustainability assessment of the 2005 pilot schools, by the Center for Global Safe Water at Emory University (available at www.swashplus.org). See also Getting 'School WASH Right' - Notes from a Forum [unicef.org/wash/schools/files/Getting_School_WASH_Right_Final\(1\).pdf](http://unicef.org/wash/schools/files/Getting_School_WASH_Right_Final(1).pdf)

Recommendation 9). The programme has actually already started to refocus its efforts at the institutional level, building on the relationship established with CMM's Education Directorate, an ally who endorsed the strategy of the programme and suggested to further engage district level stakeholders.

Another illustration of how the programmes foster social sustainability in its sanitation work was provided by a conversation with CMM Infrastructure Councillor following the validation of the DEWATS system by the municipal council. Victor Fonseca stressed that this approval really validated the quality of the stakeholder engagement process at all levels from civil society to bairro to district administration. He highlighted how the programme went through a long and systematic consultation process involving all actors, and regularly sharing minutes of meetings with his department.

Environmental Sustainability

The programme provides access to improved water supply and sanitation services, extends drainage networks and promotes key hygiene behaviour such as handwashing with soap. Each of these interventions is known to have a positive effect on public health. When combined, which is often the case, although not always simultaneously in this programme, the impact is greater. Improving tertiary drainage, for instance reduces the likelihood that floods cause septic pits and septic tanks to overflow and discharge fecal pathogens in backyards and access roads. The view of CMM DAS Infrastructure Councillor is that WSUP's combined interventions at these various levels have contributed to the decrease of waterborne diseases during the past years.

The programme also fosters *environmental sustainability*. Estimates from WSP suggest that 54% of the fecal sludge generated in Maputo is produced in on-site facilities unsafely emptied in the residential environment (see diagram in Annex 5). This represents a major public health and environmental hazard. By supporting the expansion of professional FSM services using safer and more environmentally appropriate pit emptying techniques (e.g. sludge gulper, trash pump, vacutug) the programme is directly mitigating those risks. Notable environmental benefits are also expected through the use of the DEWATS: agricultural reuse of stabilised sludge will represent a clear improvement compared to current practices. According to the President of CRA, WSUP's innovative FSM-DEWATS work paves the way for more environmentally-friendly practises across a city where those issues have been totally neglected thus far. He also stresses the pragmatism of the approach adopted by the programme in choosing to focus on a secondary level of sewage treatment rather than a tertiary level⁶⁶, which is still out of reach for Maputo.

WSUP has applied Initial Environmental Evaluation (IEE) procedures to all CSB locations, planned schools sanitation improvements, and planned tertiary networks implementation plans for bairro Chamanculo C. This represents an innovation as such procedures are not officially required. Whereas the first IEE were contracted out to a local consultant, those practices are now institutionalised and undertaken as a routine by the WSUP team. According to WSUP, the IEE process is relatively easy to undertake. This is an advantage as the programme seeks to enshrine innovative practices in the manual of its partners, in this case CMM.

2.4.3. Strengthening capacities creating opportunities for influencing

WSUP's advocacy is typically built into its capacity development programme. It enables WSUP to have an impact from 'within', and put the programme in a position where it can support service providers through the process of making changes to their policies and plans. The evaluation identified the need for more regular sharing of the progress made i) in the strengthening of the

⁶⁶ Secondary treatment consists in the biological degradation of wastewater. Tertiary treatment further purifies water by focusing on the removal of nitrates and phosphates.

capacities of its partners, and ii) in the institutionalisation of the programme's inputs (See Recommendation 13).

The sustainability of the programme in this area is measurable by its influence on organisational practices, as recorded in their standards and procedures. This particularly applies to partners subject to frequent staff turnover, such as CMM and AdeM. Regarding the municipality, the programme aims to institutionalise change both by i) contributing to their manuals of operation and ii) having people work with the programme on the ground. The first path requires first that CRA gather sufficient evidence on sanitation services, such as FSM for instance, to regulate those services and demand CMM to revise their manuals as part of their mandate. The programme is currently working on this with CRA. As far as further engaging CMM staff in programme activities on the ground, this has not been carried out yet to the degree expected. The majority of the capacity building activities planned with CMM were postponed (as a possible creation of the Autonomous Sanitation Entity would probably require redirecting capacity building efforts)⁶⁷.

Some achievements will stay whatever the outcomes of elections and replacement of staff. The influence that the programme is having on promoting some concepts and principles, notably through its advocacy work in the Sanitation Platform, will last. Both presidents of CRA and AIAS are confident, for instance, that the notion of a sanitation regulatory framework is here to stay. Likewise, the programme influenced AIAS, leading to a revision of their master plan to include the principle of a sanitation service approach. As for CRA, its president is confident that the influence of the programme is pervading his whole organisation, and that 'many staff now understand it and will fight for it'.

Regarding AdeM and FIPAG, WSUP needs to keep demonstrating that the influence of the programme's inputs is not limited to a subset of their operations, but actually should impact their core business (most expansion in the future is going to be in LICs), calling for the institutionalisation of the relevant processes and practices demonstrated by the programme as a priority. The creation of the NRW unit in AdeM offers a good illustration of this process: J. Manique underlines that this unit, which now has a specific annual plan of activities, is a real achievement. AdeM and FIPAG senior officials also share the view that they need to build the skills and institutionalise the processes at decentralised level to establish effective commercial relationships with the population of LICs. AdeM's CEO Dr J. Faiane confirmed his willingness to see the formalisation of a LIC unit in the very near future. He also reflected on the shift of perception leading to see pro-poor work as part of normal operations: "In the past the idea was to establish the LIC unit in the centre, now we see that needs to be present at agency level." FIPAG's Planning and Development Director E. Machava indicated that WSUP's inputs, notably in terms of development of investment action plans and strategies, have been internalised in the organisation⁶⁸.

2.4.4. Mainstreaming gender and disability inclusiveness

Seeking the engagement and active participation of women throughout the programme not only improves the efficiency of the programme (See section 2.3.4.) but also contributes to the sustainability of its outcomes.

For instance, by involving women in the siting, design and construction of new facilities (e.g. CSBs) the concerns of women and girls are addressed and a sense of ownership and responsibility is created. This strongly contributes to the continued usage of new facilities. Likewise as the programme encourages women to take part in decision-making processes and to occupy positions of

⁶⁷ See 2.2.1. b) Overarching Challenges

⁶⁸ The evaluation did not establish the extent to which this internalisation leads to formal institutionalisation.

leadership, their role becomes more prominent in the operation and maintenance of the facilities, which has a positive impact on the sustainability of improved services.

By working to overcome cultural barriers to women's participation and by targeting women as agents of change (as detailed in Section 2.2.4.), the programme starts instilling new attitudes and behaviours in the areas of intervention. It is certainly too early to speculate on the impacts more broadly or the sustainability of such improvements. Nonetheless, the advocacy of the programme and its influence through bilateral relationships with numerous key stakeholders at central, city, district, bairro and school levels, contribute to consolidate those gains.

2.5. Gender and disability inclusiveness

Rating: 5 (Good quality)

As explained at the beginning of Section 2, *Mainstreaming GDI* being one of the focus areas of the evaluation framework, *GDI* has been addressed throughout the Evaluation Findings section. For the sake of avoiding repetition, a very brief synthesis of the activity-based contribution of GDI in the areas of relevance, effectiveness, efficiency and sustainability is provided below.

The good rating assigned to this criteria reflects the very high relevance of the objectives of the programme in this area and the appropriateness of the theoretical framing underpinning the approach (See Section 2.1.4.). It also takes into account the quality of the approach of the programme to GDI, which albeit still under elaboration at the time of the evaluation (notably regarding the development of a strategy and tools addressing the needs of PWD and PLHIV), already leads to an effective mainstreaming of GDI throughout the programme.

Indeed, indications of the effectiveness of the programme in terms of GDI mainstreaming are numerous (See Section 2.2.4.). Overall, the programme is generating a greater understanding of women's needs and priorities in water and sanitation. At policy level, WSUP's advocacy work towards DNA is influencing the forthcoming National Gender Strategy for the Water and Sanitation Sector. The engagement of school stakeholders at all levels is clearly leading to their heightened awareness on gender issues. Positive impacts can be observed already in the school targeted, notably on MHM-related attitudinal barriers. In the areas of intervention, women report that their increasing leadership responsibilities (e.g. their participation in the siting, design, construction and management of in CSBs) have had a positive effect on men's attitudes. Men are more likely to recognize the capacity of women to perform these roles.

As far as disability inclusiveness is concerned, the programme has learned from expert organisations in the UK and is developing relationships with relevant institutions locally, which will help design the context-sensitive, phased approach and advocacy tools so critical to tackling cultural barriers. Good progress is already noted in terms of including accessibility features in the design of CSBs, SLs, school sanitation blocks, and household connections. The workshop organised by the programme 'Water and sanitation for people living with HIV' resulted in a revision of the manual on home care by the MoH.

The evaluation also signalled the many ways in which mainstreaming GDI, notably by involving women as much as possible throughout the activities, increasing their leadership and sense of ownership, contributes to increase the efficiency of the programme and the sustainability of its outcomes.

Overall, the work achieved on mainstreaming GDI so far, considering its pioneering nature, is of a good quality. It will need to be consolidated towards the end of Phase I and into Phase II. In particular, the evaluation saw some scope for further development of the strategy and tools required to reach, address the needs of, and empower PWD and PHLIV. It also perceived a need to refine the M&E framework to better assess behaviour change and measure the extent to which the

participation of women and PWD leverages greater socio-economic status and improves development outcomes.

3. Conclusions and Recommendations

3.1. Conclusions

Amongst the recent and on-going pro-poor urban WASH initiatives carried out in Africa, the work currently undertaken by WSUP under AusAID funding in the capital city of Mozambique stands out. The level of ambition of the programme, for one thing, is very high: WSUP pioneers a city-wide approach to WASH, implementing an extensive set of water supply, sanitation and hygiene promotion activities whilst aiming for the adoption and replication of pro-poor WASH service delivery models by LSPs and the government. Mainstreaming GDI throughout the work further adds to the challenge but also the potential. Alignment of the objectives of the programme with the strategies of GOM and AusAID draft SWaSSA Plan is clear, and respondents consistently and enthusiastically confirmed the relevance of the program. The comprehensive service approach to on-site sanitation with a focus on the critical FSM segment of the sanitation chain of services adequately responds to the needs of the vast majority of the population, especially the residents of LICs. The demonstration of an effective and sustainable strategy to expand water services in LICs in a way that is economically viable and strategically meaningful for LSPs addresses a top priority of both AdeM and FIPAG.

As a result of its ambitious objectives, the programme embraces an unusually wide breadth of activities. The usual 'hardware' and 'software' work inherent to WASH community development programmes is complemented by a series of targeted activities aimed at strengthening the capacities of key meso-level and macro-level stakeholders and influencing them to engage in pro-poor work. Through these activities, the programme addresses the lack of access to improved WASH services at the level of consumers, service providers (utility, delegated operator, SMEs, community), public authorities (at block, bairro, district, and municipal levels) and country-level agencies (CRA, DNA). Given the rather unique experience WSUP derives from this multi-level approach, and as result of the quality of its support to LSPs and the government, the programme is increasingly perceived in the sector as a source of pertinent insights, which affords the organisation a deserved seat at the table. WSUP's Theory of Change, which informs the strategy of the programme, is successfully passing the reality test in Maputo. WSUP's 'advocacy from inside' principle proves effective and the programme is now entering a phase where networking and influencing become more prominent.

The implementation of such a programme has its prerequisites. It needs to build on prior work, where good relationships with key partners can be forged and a solid understanding of the local context gained. It also calls for a vast array of skillsets (e.g. community development, networking and facilitation, WASH expertise at technical, service delivery, marketing, financial, institutional and regulatory levels) that are difficult to assemble in a country such as Mozambique. This programme aims for systemic change, which demands both continuity and flexibility. By supporting the momentum of WSUP's prior interventions in Maputo, the programme maintains the continuity of action of the organisation, which is viewed as a key strength by its local partners. AusAID also provides the flexibility needed with regard to deadlines and plans of activity, recognising that working from within the system necessarily entails relinquishing some control to local partners and requires frequent readjustments to ensure their on-going buy-in. Several senior officials referred to the stimulating, non-intrusive, responsive attitude of WSUP to capacity building. Whilst this partnering style is undoubtedly a key success factor of the programme, it calls for greater tolerance of delays caused by partners.

The programme is overall well on track to achieve the Phase I purpose, expected outcomes and outputs. It is also on track to contribute to the overall strategic objectives of both phases. Because of the pertinence of the objectives and the approach adopted, the goals of Phase II remain reasonable and relevant. The capacity of the programme to pave the way for the adoption and replication of effective, sustainable and scalable models of pro-poor urban WASH service delivery is particularly tangible on water. The activities carried out to strengthen the capacity of LSPs in this area are very effective and efficient. Notably, the support provided to address NRW, improve DM arrangements and increase the sustainability of household connections to tertiary networks in LICs clearly enhance the capacity of AdeM and FIPAG to serve the poor. The creation of an operational NRW unit and a LIC unit (in the near future) in AdeM demonstrates the high level of buy-in that the programme is achieving. Likewise, FIPAG's intention to replicate in the 21 cities of its service area the model tested with AdeM to set up sustainable household connections in LICs reflects the positive rippling effect of the programme beyond its perimeter of intervention. Such influencing of pro-poor policies and practises in LSPs is the chief purpose of the programme. It is manifestly occurring at a faster pace on water supply, where a clear institutional framework exists.

The institutional context is much less favourable in the sanitation sub-sector, which hinders a similar institutionalisation of the programme inputs. That being said, the activities in this area, and notably around CSBs, FSM and drainage, are generally effectively carried out. Some of them already show very convincing results (e.g. CSBs) and some influence is perceptible: the symbolic contribution of CMM to the cost of CSBs, their validation of the DEWATS, and initiative to replicate a drainage project all signal the influence of the programme on the mind-set of an institution which has been reluctant to engage in on-site sanitation services, focusing mainly on primary and secondary sewers. The programme productively supports CRA on regulating sanitation and on establishing the sanitation tax. It uses the Sanitation Platform founded with CRA to effectively influence the sector, and gradually builds the capacities of CMM. These activities all contribute to prepare the ground for the institutional reform and the creation of the Autonomous Sanitation Entity. And whilst a window of opportunity to initiate the reform seems about to open, the programme finds itself constrained by its lack of mandate to steer the process. The World Bank, WSP and AusAID, and other bilateral and multilateral partners of the GOM, have arguably much more room to manoeuvre to support the process, and their input will be decisive.

The innovative nature of the programme is an important characteristic worth highlighting. Whilst the overall design of the programme, informed by a city-wide approach to pro-poor WASH services, is itself quite novel in the sector, a number of activities represent innovations locally. Consequently, the team often finds itself in a process of learning by doing how to best transfer a new technology or approach to the local context. Some of these innovations, introduced during prior interventions (CSBs, tertiary networks, LICs), are being consolidated through the programme. There, gains in efficiency, effectiveness and sustainability result from the refinement of structural designs and implementation processes. But innovation transfer inevitably entails risks. SLs, CLTS and WASH in school activities, all relatively novel in Maputo and for WSUP Mozambique, were undertaken under assumptions (e.g. regarding soil properties, the capacity of households to contribute and to make swift purchase decision, the enabling environment of schools) which would have required further analysis. Undertaking a thorough analysis of potential risks and a plan for their mitigation before budgeting each novel activity is sound practice but it is clearly not always feasible. The programme, viewing Phase I as a period to refine WSUP models, acknowledges these constraints. By attempting to mainstream GDI across all relevant activities, the programme innovates and sets itself an ambitious goal unprecedented in Mozambique and represents a pioneering initiative at global level. Phase I sees the programme achieve notable progress in this area, with clear success with regard to gender inclusiveness (where WSUP can build on prior experience). The period is productively used to establish the key partnerships that will provide critical inputs into a strategy and tools to address the needs of PWD and PLHIV (where the programme is exploring new territories).

The predictive assessment of the sustainability of the programme is very encouraging. At service delivery level, the programme effectively fosters economic, social and environmental sustainability. Substantial efforts are made to ensure that sanitation services are as cost-efficient and affordable as possible whilst still economically profitable for service providers. The same logic applies with regard to water services, where the programme seeks to demonstrate to AdeM and FIPAG models that make working in LICs a good and sustainable business. The programme has a clear positive impact of public health and fosters environmental sustainability. The systematic stakeholder consultation processes implemented by WSUP (as AdeM found out from the high quality inputs of the programme on the promotion of sustainable household connections to tertiary networks) are essential to the social sustainability of new water supply and sanitation services in LICs. WSUP's exit strategy is a critical factor to consider when assessing the sustainability of the programme, given the degree to which it is embedded in the system. This exit strategy notably builds on the institutionalisation of pro-poor policies and practises in LSPs, which as discussed above is making progress, and on the formalisation and strengthening of all linkages between the actors of the service provision framework. Much of this strengthening, which has started in Phase I, is expected to occur in Phase II.

This ambitious and innovative programme is well on track to demonstrate effective and sustainable ways of improving access to WASH services for low-income population of urban and peri-urban areas. It is exemplar in many respects and provides a wealth of lessons, which could be used to inform or refine the urban WASH strategy of AusAID and its partners, notably in Malawi, Zambia and Zimbabwe, the three other countries targeted under the draft SWaSSA Plan for 2012-2016. Some facilitated learning programme proactively taking the lessons of Maputo to these countries or others might be instructive and enrich the learning dissemination activities planned for Phase II.

3.2.Recommendations

3.2.1. Programme

1 ► The programme should establish mechanisms to mitigate the risks of seeing its activities delayed, prioritising recurrent risks such as management changes. Setting up an induction process with new AdeM staff and keeping a good record of the work validated by the management, would ensure that momentum does not get lost after the departure of key individuals. Exchange visits with other effective utilities nearby (e.g. Durban) may also be valuable to learn about other change management and risk assessment strategies and means put in place to maintain continuity. It is also critical that AusAID remain flexible on their expectations of the timeframe, particularly regarding activities involving AdeM and CMM given that an embedded programme such as this one has various elements that are outside of WSUP's control.

2 ► Provide training to staff members occupying coordinator positions (notably the CDS coordinator) to speed up the process by which the manager can delegate control of daily tasks, thereby dedicating her time more appropriately to influencing and less on programme coordination.

3.2.2. Sanitation

3 ► Discuss with CRA, AIAS, CMM, WSP and other relevant partners the best strategy to make the most of a possible upcoming window of opportunity to push the institutional reform of the sanitation sub-sector. Intensify the support to CRA through the provision of key information for the definition of a regulatory framework. Efforts should be focused on fostering an enabling environment for reform.

4 ► Keep exploring innovative ways to support CMM to drive the country's sanitation agenda at the local level. Generate greater buy-in from the DAS within Maputo City Council by involving them increasingly in the programme activities (as planned initially). It is critical to find means to ensure CMM's active engagement and increasing leadership in all aspects of the strategy set up by the programme to strengthen the linkages between the actors of the service provision framework⁶⁹ (an important component of WSUP's exit strategy). Ways to achieve this include encouraging CMM to take more ownership of the work undertaken with the programme by: i) having CMM present in the Sanitation Platform to share the results of these joint activities; ii) supporting CMM to host a meeting to share with other cities the learning achieved through the programme; iii) having CMM contribute to regional exchanges (as planned by WSUP). The prospect of playing a leading role in such meetings would likely stimulate CMM's engagement in the programme activities and boost their confidence level.

WSUP can further boost that confidence by facilitating an exchange with a successful water utility in the region (a player CMM may easily identify with). A trip to Durban, for instance, could be envisioned as part of a process led by WSUP and CRA to strengthen CMM's ability to innovate.

5 ► Maintain a close dialogue with WSP and other organisations planning to implement FSM initiatives to ensure that newcomers to the market are not crowded out.

6 ► Further study the price elasticity of demand for sanitation services, notably in relation to a sanitation tax, and share findings with CRA. Analyse purchase behaviour during the first months of implementation of CLTS and revise quantitative targets for phases I and II accordingly.

7 ► Foster and track access to latrines built under CLTS: Whilst the CLTS-related target was revised ('3000 latrines built' being amended into '3000 households being 'triggered' and having access to services and products'), it remains essential that WSUP keep tracking the number of people gaining access to sanitation facilities under this activity⁷⁰, whilst looking for ways to ensure that people actually gain access⁷¹.

8 ► Building on WSUP's work in Maputo, and in order to help CRA establish a regulatory framework matching the conditions prevailing in other cities, AusAID should encourage its other partner organisations in Mozambique (e.g. UNICEF, WaterAid) to gather relevant data from outside Maputo (e.g. about willingness to pay for improved sanitation services, cost of services, financing requirements for the various segments of the sanitation chain)

9 ► Revise the WASH in schools strategy:

a. WSUP, CMM and MINED should ensure the selection process prioritise schools with a conducive environment⁷². Notably, check that the recently revised selection process takes into account: i) the conditions of security within school premises (presence of guards) and outside the school (level of criminality and vandalism), ii) the presence of cleaning assistants, iii) the level of willingness to engage and contribute from all school, community, bairro and district stakeholders.

⁶⁹ Upcoming activities are planned to develop stakeholders' capacities for management, planning and oversight at block, neighbourhood, and district levels.

⁷⁰ Bearing in mind that in this activity the latrines are not subsidised by the programme, which merely provides a payment facility through a revolving fund.

⁷¹ Given the innovative nature of urban CLTS in Mozambique and considering that this approach is still in its infancy at global level, a contribution of the programme to the current debate on the appropriateness of urban CLTS by sharing the learning on this activity, would be very beneficial to the sector.

⁷² The programme has already revised and formulated a selection process with appropriate criteria in partnership with stakeholders (CMM, education directorate, schools, Ministry of Education). These criteria will enhance the selection process enabling the selection of appropriate schools.

b. WSUP and AusAID should consider reallocating some of the budget to strategizing and jointly conducted critical analysis. Consider revising targets for Phase II, lowering the number of schools targeted and reallocating funds to develop a more comprehensive joint strategy with stakeholders, notably through:

- An analysis of the learning of Phase I, including critical assessments of the level of staff time invested in the activity and efficiency of inputs
- A stakeholder analysis, examining stakeholders' roles and responsibilities, capacity-building needs and incentive gaps;
- An analysis of financial flows for school funding, decision-making processes for the allocation of the school budget, financial gaps, possible sources of funds (incl. external partner support, PPPs)⁷³;
- A structured WinS advocacy strategy and WinS partnership strategy⁷⁴ at central, municipal, district and local level; and
- Events to foster head-teachers' and teachers' accountability, such as a simple inter-school competition based on the principle of the successful inter-CSB competition.

10 ► Run the inter-CSBs competition on a continuous basis to further anchor hygiene habits.

11 ► Integrate in the M&E framework processes to assess behaviour change, such as more regular focus groups to measure evolutions in attitude, structured observations to evaluate HWS at CSB level, more regular household inspection to check soap availability and use⁷⁵.

3.2.3. Strengthening capacities creating opportunities for influencing

12 ► Share more explicitly in reports the specific advocacy objectives targeted by the programme through its activities and the progress made against these.

13 ► Integrate in annual and bi-annual reports the capacity development assessments tracking organisational change and institutionalisation. Use the capacity development scales developed by WSUP and partners' own KPIs (if appropriate) to report on their progress. Accompany those ratings with short explanatory narratives.

3.2.4. Mainstreaming gender and disability inclusiveness

14 ► Integrate in the M&E framework processes to assess the degree to which the participation of women and PWD in programme activities effectively leverages greater socio-economic status within their households and communities and improves development outcomes. Ensure that staff has the capacity required to collect and generate more and better data on outcomes around the empowerment of women and PWD.

15 ► Intensify school MHM work with CMM and MINED through more frequent activities allowing for greater interaction within focus group discussions. Develop (or acquire from partners) and use a greater variety of higher-impact communication tools⁷⁶ (e.g. visual aids, audio and video tools).

16 ► Ensure that sufficient resources are made available to properly link WASH access to economic activities in the communities to further empower women and strengthen WASH/GDI advocacy messages.

⁷³ Document these activities (as well as those listed under the previous bullet point) more systematically to support the advocacy strategy and to further outline the strategy for Phase II.

⁷⁴ Consider recent work from WASH Advocates and BPD.

⁷⁵ The WSUP M&E and Research team in the UK is in the process of developing such processes and tools.

⁷⁶ WSUP has already developed a manual for MHM and are exploring appropriate modes to disseminate this.

17 ► Undertake (or use existing) barriers analysis and stakeholder incentives mapping to design strategies maximising the chances of reaching women, PWD, and PLHIV. Convene a meeting to learn on that matter from organisations who have worked in Maputo to empower these groups through other entry points (e.g. health, education, nutrition)

18 ► Seek broader support from organisations with an interest in helping PWDs (beyond Disabled Persons Organisations), notably by showcasing the work of the programme in the multi-stakeholder forum referred to by Handicap International.

4. Annexes

Annex 1. Terms of Reference

TERMS OF REFERENCE

Evaluation of Phase I of the AusAID-funded programme "Sustaining and Scaling Pro-Poor Urban Water and Sanitation Services in Maputo, Mozambique" implemented by Water & Sanitation for the Urban Poor 16th April 2013

1) Background and Orientation

1.1) Brief overview of the programme to be evaluated

[see guidance item 4.1]⁷⁷

This Terms of Reference (ToR) seeks a consultant to lead an external evaluation of Phase I of the programme "Sustaining and Scaling Pro-Poor Urban Water and Sanitation Services in Maputo, Mozambique", funded by AusAID and implemented by WSUP. We expect this work to include a 2-week country visit from around 7 July to around 23 July 2013; we expect to pay fees for about 30 days' work (including 17 days in country), plus travel expenses.

1.1.1) Water and Sanitation for the Urban Poor

WSUP is a tri-sector partnership between civil society, the private sector and academia focused on addressing the increasing global problem of inadequate access to water and sanitation for the urban poor and the attainment of the Millennium Development Goal (MDG) targets, particularly those relating to water and sanitation. It achieves this through supporting the adoption and replication of effective, sustainable and scalable pro-poor models of urban water and sanitation services by service providers and/or national governments. WSUP has a strategic portfolio of six countries in Africa and South Asia and ongoing activities in a further two. WSUP believes that access to safe, affordable water, improved sanitation and improved hygiene practices underpin poverty reduction through impacts on health, education and livelihoods, and improving access to these fundamentals of life are a critical step towards reducing poverty. This is supported by the belief that sustainable and viable improvements in water and sanitation for the urban poor can only be achieved by strengthening the technical capacity and financial viability of service providers. WSUP views direct delivery of service improvements as central to its approach as it enables the practical application of capacity development initiatives through delivering services and removes a key barrier to a better functioning market for pro-poor service delivery by using grant funding to overcome risk aversion to failure by demonstrating new approaches to service delivery. By delivering financially viable and effective

⁷⁷ This Terms of Reference document adheres to Standard 4 (*Terms of Reference for Independent Evaluations*) of the 2013 AusAID Monitoring and Evaluation Standards document: to facilitate cross-comparison, item numbers from Standard 4 are indicated here.

service provision at a representative scale in each city, and by strengthening the capacity of local partners to provide pro-poor services under viable business models, WSUP aims to trigger investments for scaled up programmes at the city level. Promoting these models informs and influences the sector and investment programmes within the target countries and other developing countries. These outcomes are highly interlinked with each informing and supporting the delivery of the others. As a result of the above, local civil society and CBOs and local service providers will have the capacity to achieve a reduction in the proportion of people without access to sustainable and affordable sanitation and water supply services (MDG 7c) and improve the living conditions and lives of urban slum dwellers (MDG 7d). In particular, the main service providers will be capacitated to deliver on their mandates and to work more effectively with low income communities, CBOs and small independent service providers.

1.1.2) WSUP Mozambique: achievements before current programme

Prior to the current programme the WSUP supported Tchemulane programme in Maputo had been delivering the approach set out above by working in eight barrios over four years with support from the Bill & Melinda Gates Foundation, USAID and the AusAID Civil Society WASH Fund (channelled through CARE Australia and Mozambique). The following results were achieved before the start of the current programme:

- 110,000 men, women and children with improved access to safe and affordable water supplies
- 11,500 men, women and children using affordable improved sanitation
- 85,000 men, women and children with greater awareness of importance of improved hygiene practice

1.1.3) WSUP Mozambique: current programme outline

The AusAID-funded WSUP programme "*Sustaining and Scaling Pro-Poor Urban Water and Sanitation Services in Maputo, Mozambique*" is a five-year, two-phase programme which builds upon WSUP's existing programme in Maputo and scales it up through a two-phase approach, increasing access to safe water, sanitation and hygiene for people living in low-income bairros of Maputo City, Matola City and the Greater Maputo Area. AusAID funding has at this stage been committed for the first, two-year phase. Box 1 below outlines the programme: for full details, see the programme proposal attached.

BOX 1: Outline of the programme to be evaluated.

[This outline covers Phase I & II of the programme, while this evaluation relates primarily to Phase I; activities, outputs and outcomes under Phase 1 are listed in detail in Boxes 2 and 3 below.]

Overall programme goal: To contribute towards poverty reduction and attainment of all MDGs in Mozambique, particularly the attainment of targets relating to water and sanitation under Goal 7 by March 2017.

Overall programme purpose: To support the adoption and replication of effective, sustainable and scalable models of pro-poor urban water and sanitation services by service providers and the local / national government in Maputo City and Matola City by March 2017.

The sub-purposes of the two phases are:

- Phase I: to lay the foundations for and initiate a process of adoption of effective, sustainable and scalable models of pro-poor urban water and sanitation service delivery by service providers and the local / national government in Maputo City and Matola City March 2014.
- Phase II: to support the adoption and replication of refined effective, sustainable and scalable models of pro-poor urban water and sanitation services by service providers and the local / national government in Maputo City and Matola City by March 2017.

Overall expected programme outcomes

- Outcome 1

Refined models of sustainable water and sanitation service delivery to low income communities in Maputo/Matola delivered at “representative scale” by March 2017

- Outcome 2

Water and sanitation service providers have strengthened capacity to sustainably lead the process of implementation of effective models for improving service delivery to low income communities in Maputo/Matola by March 2017

- Outcome 3

Investment has been mobilized for scale up of effective models for pro-poor urban water and sanitation service delivery from a range of sources (public and private) by March 2017

- Outcome 4

Successful models for pro-poor urban water and sanitation services have been promoted to the sector in Mozambique and worldwide, and are influencing urban WASH programming and policy trends by March 2017

Target groups

The target groups for this programme are: communities; most vulnerable groups; and mandated service providers.

Overall target beneficiary numbers

The expected direct final beneficiaries of the programme will be 143,650 low income women/girls and 132,600 low income men/boys in Aeroporto B, Chamanculo A, B, C and D, Mafalala, Maxaquene A, B, C and D, Unidade 7, Xipamanine in Maputo City and Liberdade in Matola City.⁶

This can be broken down in the following ways – for all Phases:

- 276,250 men, women and children with improved water services
- 241,125 men, women and children with improved sanitation
- 196,470 men, women and children with improved hygiene knowledge
- 13 additional schools with improved sanitation, benefiting 39,000 girls and boys

The indirect final beneficiaries of the programme will be c.1 million women, men, girls and boys in low income urban/peri-urban communities in Maputo City and Matola City, who will benefit from service improvements as a result of strengthening the capacity of local service providers mandated to provide services to the entire municipal area.

Timeframe and budget

The programme will run from April 2012 to March 2017 with a two year Phase I from April 2012 to March 2014 and a three year Phase II from April 2014 to March 2017. The total budget for the programme is approximately \$10.1m Australian dollars, with Phase I totalling \$3.07m and Phase II totalling \$7.03m Australian Dollars.

1.2) Evaluation purpose and audience

[see guidance item 4.2]

This evaluation is being commissioned by WSUP, but in close liaison with AusAID. The evaluation process will include a one-week evaluation mission led by the Consultant and with participation of both AusAID and WSUP personnel. AusAID managers will expect to be closely involved in the evaluation process.

This evaluation should be primarily a mid-term summative assessment for AusAID, and secondarily a mid-term formative assessment for WSUP and partners.⁷⁸ In other words, the primary purpose should be to allow AusAID to make a judgement on programme progress and the extent to which the programme is on track to reach the expected outputs and outcomes of Phase I; however, the evaluation should also have a formative function, i.e. should generate recommendations for better achievement of the Phase I outputs/outcomes, and more general recommendations on programme design and implementation (which may be of value for planning Phase II). In this connection, it is important to stress that the evaluation will be carried out only about 2/3 of the way through Phase I,

⁷⁸ To use the terminology of the 2013 AusAID Monitoring and Evaluation Standards document, the purposes of this evaluation will thus be primarily *accountability*, and secondarily *initiative improvement*.

such that for many outputs/outcomes the evaluation will necessarily focus on whether the programme is on track to achieve targets. It may also be useful to assess the Phase I outputs/outcomes within the wider framework of the Phase I and II programme, since the Phase I programme was formulated on this basis. The evaluation should certainly look at current/projected performance with respect to specific outputs: but also of interest is evaluation of performance against wider outcomes, and independent assessment of the relevance of this programme.

In line with the above, the primary users of this evaluation will be senior executives, desk officers, senior managers and initiative managers within AusAID. Key secondary users are WSUP UK personnel and WSUP Mozambique personnel. Other audiences may be wider (e.g. technical and managerial staff in partner organisations such as the Mozambican water utility).

The report will be published on the AusAID website in accordance with the Transparency Charter. Prior to publication, WSUP (or indeed AusAID) may request that certain information be redacted for reasons of sensitivity (e.g. direct criticism of individuals within partner organisations). In the eventuality of any such redaction request, the final decision will rest with AusAID.

1.3) Key decisions that the evaluation is intended to inform

[see guidance item 4.3]

As noted above, the primary purpose of this evaluation is to support AusAID's judgement on the effectiveness of Phase I of this programme, as a basis for the AusAID decision on the Phase II programme and, subject to continuing with Phase II, to guide Phase II planning.

1.4) Key issues

[see guidance item 4.4]

This evaluation reflects an existing commitment by WSUP at the planning stage, i.e. it has not been called in response to any particular programme issue. The evaluation should thus focus centrally on the extent to which the programme is on track to reach the expected outputs and outcomes of Phase I (as defined in the programme proposal document); though see also more nuanced comments in Section 1.2 above, and in Section 2 below (focus areas should include progress towards sustainability of pro-poor service delivery, and gender and disability).

2) Key evaluation questions and scope

[see guidance items 4.5-4.8]

This section details the key questions to be answered by this evaluation. These have been identified in line with Section 1 above, and in line with the 2013 AusAID Monitoring and Evaluation Standards document (see Sections 4.5-4.8).

A) Summative assessment

Is this programme on track to achieve the Phase I purpose, expected outcomes and expected outputs (as laid out in the proposal), and on track to contribute to the overall strategic objectives of this two-phase programme?

B) Formative assessment, Phase I

B1) For expected outcomes and outputs not on track: why are these not on track? Are these issues that could be resolved by changes in programme management?

B2) What are recommendations to improve performance within Phase I? Are any of the expected Phase I outputs and outcomes too onerous, given unforeseen implementation challenges and risks? If so, what are recommendations to review these and their impact on Phase II?

C) Formative assessment, Phase II

Judging from experience to date in Phase I, are the broad goals of Phase II reasonable and relevant? What are recommendations for Phase II planning?

This listing defines the over-arching questions to be explored by this evaluation: at the evaluation planning stage, it is expected that the Consultant will develop a much more detailed evaluation question set "unpacking" these over-arching questions to specifics. It is likely that the Consultant will not set out to explore all intervention areas in equal depth: some areas are likely to be evaluated with a stronger focus than others. We request particular focuses (including dedicated sections in the final report) on (a) progress towards sustainability of pro-poor service delivery including the institutional framework, with particular reference to sanitation service delivery; (b) gender and disability inclusiveness; and (c) 1-3 other special focus areas identified by the Consultant in consultation with WSUP (possibly relating to impacts of networked water services in low-income bairros; capacity for service delivery by utilities and other service providers; and development of FSM services through small enterprises). Accordingly, data collection before and during the evaluation visit will need to include consultation with key institutional stakeholders. Nonetheless, and despite these focus area requests, the evaluation should set out to give a comprehensive assessment of whether performance is on track in each of the major outcome and output areas.

BOX 2: Phase I outcomes and purpose

[These are outlined for the whole programme in Box 1: Boxes 2 and 3 specifically relate to Phase I, core to this evaluation]

Phase I Purpose

To lay the foundations for and initiate a process of adoption of effective, sustainable and scalable models of pro-poor urban water and sanitation service delivery by service providers and the local / national government in Maputo City and Matola City by March 2014.

Expected outcomes Phase I

- Outcome 1 - Models of sustainable water and sanitation service delivery to low income communities in Maputo/Matola have been *refined and delivered at small scale* by March 2014
- Outcome 2 - Water and sanitation service providers have strengthened capacity *to adopt and scale up* effective models for improving service delivery to low income communities in Maputo/Matola by March 2014
- Outcome 3 - Stakeholders are *engaged in a process aimed at scaling up* effective models for pro-poor urban water and sanitation service delivery and *plans* to trigger investment have been developed by March 2014
- Outcome 4 - Learning from the testing and refinement of pro-poor models for urban water and sanitation services has been distilled, documented and shared with the sector by March 2014

BOX 3: Phase I Key activities and outputs

Phase I: Activity set 1 – delivering effective models	
Key activities	Key outputs
1.1 Improve tertiary network	▪ Tertiary network improvements in 1 bairro
1.2 Develop public standposts	▪ 10 public standposts
1.3 Promote water connections	▪ Improved knowledge of connection process in 3 bairros
1.4 Develop communal sanitation blocks	▪ 10 communal sanitation blocks
1.5 Expand FSM work	▪ 2 effective desludging enterprises, 1 sludge transfer stations, 1 DEWATS unit
1.6 Improve school sanitation	▪ Sanitation facilities in 3 large schools
1.7 Implement small drainage improvement	▪ Small stand-alone drainage improvement in 1 bairro
1.8 Undertake urban CLTS	▪ Communities and block leaders mobilized in 2 bairros, 3,000 household latrines
1.9 Support construction of shared latrines	▪ 75 shared latrines
1.10 Deliver hygiene campaign	▪ 52,250 with increased knowledge of the critical times to wash hands with soap
1.11 Empower women to participate and ensure needs are met	▪ 15,600 women/girls with improved menstrual hygiene knowledge,

BPD Water and Sanitation

MTE WSUP programme in Maputo, Mozambique

	women participating and leading relevant committees and design workshops
1.12 Empower people with disabilities to participate and ensure needs are met	<ul style="list-style-type: none"> Men, women and children with disabilities identified at baseline have access to specially adapted latrines
1.13 Collaborate with CNCS on meeting WASH needs of PLHIV	<ul style="list-style-type: none"> CBOs working on HIV and 50% caregivers for PLHIV trained in WASH
1.14 Undertake environmental assessments	<ul style="list-style-type: none"> IEEs for new infrastructures and EIAs and EMPs as required
Phase I: Activity set 2 – strengthening institutional capacity	
Key activities	Key outputs
2.1 Support AdeM to reduce NRW	<ul style="list-style-type: none"> Reduced NRW in Maxaquene Zone
2.2 Assess AdeM's billings and revenue collection processes and systems	<ul style="list-style-type: none"> Recommendations on billings processes and systems
2.3 Support AdeM to pilot delegated management	<ul style="list-style-type: none"> Report on cost-effectiveness of delegated management for peripheral areas; 1 SME with increased capacity
2.4 Support establishment a LIC Unit in AdeM	<ul style="list-style-type: none"> LIC Unit established in AdeM and trained
2.5 Build FIPAG's capacity in NRW and support resolution of cashflow issues	<ul style="list-style-type: none"> FIPAG staff trained in NRW management and implementing strategies to meet household connection target
2.6 Support CRA with water policy and tariff review and regulating delegated management	<ul style="list-style-type: none"> Recommendations on water policy and tariff structure's impact on the poor; regulatory framework for small water operators
2.7 Learning exchange for AdeM, FIPAG and CRA to Manila	<ul style="list-style-type: none"> Increased understanding of how to replicate a relatively effective system
2.8 Build CMM's capacity in planning and sanitation strategy, financial modelling, budgeting, life cycle costs approach and setting standards for FSM	<ul style="list-style-type: none"> CMM staff trained in planning and sanitation strategy, financial modelling, budgeting and life cycle costs and mentored in improving sanitation; standards for FSM
2.9 Support 2 bairro administrations and block leaders to improve WASH	<ul style="list-style-type: none"> Block Leaders trained in monitoring and on-site support and bairro water and sanitation overseers in post and trained
2.10 Support CRA to develop sanitation regulatory framework, policy, action plan and guidelines for bairros, and to investigate sanitation tax	<ul style="list-style-type: none"> Sanitation regulatory framework and policy development; recommendations on sanitation tax
2.11 Sensitize LSPs to mainstream gender and consideration of the needs of vulnerable groups	<ul style="list-style-type: none"> LSP staff with increased understanding of gender-related WASH issues and potential resolutions
Build capacity of SMEs – covered under activity set 1 and 2.3	<ul style="list-style-type: none"> 4 SMEs with increased capacity
Phase I: Activity set 3 – triggering investment	
Key activities	Key outputs
3.1 Identify investment gaps and develop investment action plans and strategies with AdeM and FIPAG	<ul style="list-style-type: none"> 2 assessments of gaps in AdeM's and FIPAG's long-term plans for investment and 2 action plans
3.2 Participate in GAS group systematically	
3.3 Analyse institutional framework and responsibilities for investment and hold workshop to discuss findings	<ul style="list-style-type: none"> Report clarifying investment responsibilities for sanitation
3.4 Develop plan for increasing investment and establish working groups	<ul style="list-style-type: none"> Plan for increasing investment
3.5 Proactively seek financing opportunities for CMM and support CMM to access them	<ul style="list-style-type: none"> Financing for CMM from international sources
3.6 Facilitate enterprises taking out an equity stake in FSM microenterprises	<ul style="list-style-type: none"> Investment from enterprises into FSM enterprises
3.7 Hold workshop on school sanitation and hygiene with key stakeholders	<ul style="list-style-type: none"> Agreement between key stakeholders on plans for improving school sanitation
3.8 Track government investment in sanitation	<ul style="list-style-type: none"> Data on government investment in sanitation
3.9 Undertake advocacy for increased public investment in on-site sanitation at all levels	<ul style="list-style-type: none"> Increased government investment in on-site sanitation
Trigger household investment – covered under urban CLTS (1.8)	<ul style="list-style-type: none"> Household investment in latrines
Leverage grant funding to trigger CMM and communal investment	<ul style="list-style-type: none"> CMM financial contribution of c.50% to communal sanitation facilities; communal contribution of c.10%
Phase I: Activity set 4 - learning	
Key activities	Key outputs
4.1 Undertake baseline survey	<ul style="list-style-type: none"> Baseline data
4.2 Undertake pre-intervention survey for health impact assessment	<ul style="list-style-type: none"> Rigorous baseline health assessment in control and intervention districts
4.3 Undertake quarterly monitoring and reporting	<ul style="list-style-type: none"> Quarterly monitoring reports
4.4 Collect data on life cycle costs	<ul style="list-style-type: none"> Data on life cycle costs
4.5 Hold focus group discussions	<ul style="list-style-type: none"> Qualitative data
4.6 Undertake annual progress reviews	<ul style="list-style-type: none"> Annual progress review reports
4.7 Commission an independent mid-term evaluation	<ul style="list-style-type: none"> Mid-term independent evaluation report
4.8 Convene annual national stakeholder workshops with local and national government	<ul style="list-style-type: none"> LSP, government and sector awareness of models and learning including learning on gender
4.9 Hold annual workshop on gender and WASH	
4.10 Participate in c.2 key international sector learning events and AusAID organized learning events	<ul style="list-style-type: none"> Learning from programme disseminated nationally and internationally; presentation at international sector event
4.11 Develop partnership with local learning institution and	<ul style="list-style-type: none"> Plans and arrangements for a context specific programme for

Cranfield University to develop programme for graduate WASH engineers	graduate WASH engineers; training modules developed
4.12 Distil learning into publications and disseminate	▪ Practice Notes/Topic Briefs available in Portuguese and English

3) Evaluation process

[see guidance items 4.9-4.21]

This section details the required process of this evaluation. This process is in line with the 2013 AusAID Monitoring and Evaluation Standards document (see Sections 4.9-4.21):

Evaluation structure

As further detailed in the next section, this evaluation should be structured around an evaluation mission (evaluation team = Consultant + AusAID personnel + WSUP personnel), to take place in the week beginning 15 July 2013. We would expect the evaluation as a whole to comprise:

- a detailed evaluation design phase
- a pre-mission data-collection phase initially based on distance data collection (by phone/email), and subsequently by a one-week consultant visit to Maputo in the week immediately prior to the mission visit that will start on 16 July 2013, and including generation of **a)** a brief starting report and **b)** a suggested schedule for the evaluation mission involving AusAID and WSUP personnel. The pre-mission consultant visit should be in the week immediately preceding the mission visit.
- the mission visit (evaluation team = Consultant + AusAID personnel + WSUP personnel): the Consultant will be required to schedule and structure this visit (with support from WSUP Mozambique to set up meetings), and to guide the mission in such a way that neutrality and free input are enabled, but at the same time ensuring that the objectives of the evaluation are met; this will certainly require the Consultant to develop structured systems for collating, recording and processing evaluation inputs from the mission team; it is expected that the final day of the mission visit (probably Saturday 20 July) will include a team meeting and generation of aide memoire, led by the Consultant; we also consider it likely that the Consultant may stay on for a couple of days after the mission visit to tie up loose ends.
- generation of a final evaluation report drawing on the Consultant's own data collection before and during the mission, and incorporating in a structured manner the findings and judgements of the AusAID/WSUP mission. It will be the Consultant's responsibility and role to utilise own data and inputs from the evaluation team to generate findings and recommendations that are robust and independent.

It should be clarified that, because this phase has not yet terminated, this evaluation will not be accompanied by an end-of-phase householder survey. End-of-phase householder surveys, to assess service improvements in Phase I intervention districts, are due to be carried out in March 2014 (i.e. long after finalisation of this evaluation).

Timelines

Candidates are expected to develop a proposed timeline as part of the bid, but this must contain the following elements:

- Evaluation starts (contracts signed): 20 May 2013
- Detailed evaluation design in close liaison with WSUP/AusAID [details/timeline to be developed by bidders]
- Submission of detailed evaluation design
- WSUP/AusAID feedback on detailed evaluation design [allow at least one week]
- Distance data collection can start
- Consultant visit for week preceding mission visit

BPD Water and Sanitation

MTE WSUP programme in Maputo, Mozambique

- Preparation of pre-mission short report and mission guidance, before mission start
- AusAID/WSUP evaluation mission: 6 days Tuesday 16 July - Saturday 20 July
- Incorporation of mission inputs [*details to be developed, and including liaison with AusAID Canberra*]
- Submission of draft final report, incorporating mission inputs, by 9 Aug 2013
- Review - WSUP/AusAID feedback on draft report, returned by 23 Aug 2013
- Submission of final report by 30 Aug 2013

Note that adequate time must be allocated at all stages for consultation on evaluation design, and for document review. Consultation at both the pre- and post-mission phases will require structured phone consultations with AusAID and WSUP staff. Time allocations for document review must allow WSUP/AusAID reasonable response times. All consultation and review processes should be managed by the Consultant. It is likewise important to ensure that sufficient time is available for pre-mission data collection.

Deliverables

As noted in the previous section, this work will require **i)** a detailed evaluation design proposal, **ii)** an interim pre-mission report (maximum 4000 words ≈ 10 pages), **iii)** a brief aide-memoire prepared at the end of the evaluation mission, and **iv)** a detailed evaluation report (probably 20,000-40,000 words ≈ 50-100 pages, excluding references/appendices). We expect the final report to be written, formatted and proofed to a very high standard, ready for publication on the AusAID website. The final report should include a one-page Executive Summary.

Consultant profile

The lead consultant or consultants should display the following profile:

Essential

- strong knowledge of methodologies for programme evaluation
- experience of evaluation of development projects of this general type and magnitude
- experience of evaluating capacity development and institutional influencing interventions
- understanding of the urban WASH sector

Desirable

- experience of evaluation of urban WASH projects
- specific experience relating to capacity development and institutional influencing interventions; and/or to programmes involving water operators; and/or to programmes involving urban sanitation; and/or as regards vulnerable groups
- ability to read (or ideally understand and speak) Portuguese; note that people with a good knowledge of Spanish will generally be able to read Portuguese without significant difficulty

Reporting and liaison

The Task Manager for this work will be the WSUP Head of Evaluation, Research and Learning, Guy Norman. The Consultant will also be expected to liaise closely at the design stage and subsequently with other key personnel in WSUP and AusAID. Evaluation mission team participants from AusAID are likely to include all or some of the following: Mr Matt Kellam (Program Manager, Southern Africa Section, AusAID Canberra), Ms Alice Crowley from AusAID Canberra (Program Manager, Southern Africa Section, AusAID Canberra), Dr Laila Smith (Senior Program Manager, Water and Sanitation Africa, AusAID Pretoria) and Mr Marcus Howard (AusAID Water Adviser). Evaluation mission team participants from WSUP are likely to include all or some of the following: Ms Carla Costa (WSUP

Mozambique Country Programme Manager, WSUP Mozambique), Mr Baghi Baghirathan (WSUP Mozambique Programme Director), Ms Jessica Gibson (Senior Programme Funding Officer, WSUP Secretariat) and Mr Guy Norman (Head of Evaluation, Research and Learning, WSUP Secretariat).

Contract terms

A standard WSUP consultancy contract format will be used [see attached], subject to the Consultant's agreement with the terms. Our standard terms are for payment of 50% of the final amount on signing the contract, with the remainder on receipt of an acceptable final deliverable (with full and acceptable response to WSUP comments). Expenses will be paid only upon submission of full receipts, and must be in accordance with WSUP's Expenses Policy (attached). Payment will be by bank transfer upon receipt of invoice.

Bidding procedure

Bids comprising the following components should be submitted to Guy Norman gnorman@wsup.com with copy to Regine Skarubowiz rskarubowiz@wsup.com on or before 1700 UK time on Monday 6 May 2013:

- 1) Bid leader's CV.
- 2) Brief indication of three recent evaluation projects which the Consultant considers most closely relevant to the present work: this should occupy no more than one page.
- 3) Up to two pages outlining the Consultant's proposal for approaching this work, likely highlighting key assumptions, key aspects of evaluation design, and understanding of the proposed precise definition of the scope of this work, probably including **a)** a brief statement on conceptual scope; **b)** a brief indication of proposed key focus areas for the evaluation; and **c)** a brief indication of how data-collection challenges will be overcome. We stress that this evaluation will include coordination of the one-week WSUP/AusAID evaluation mission, and the Consultant will be required to structure and schedule this mission in a grounded manner; the final evaluation report will be based both on the Consultant's own data collection and judgements, but also the data collection and judgements of the different members of the WSUP/AusAID evaluation mission team; we judge it likely that final conclusions will be consensual, but there may also be a need to express differences of opinion or emphasis in a clear manner.
- 4) A single page outlining a) the Consultant's proposed methodology and timelines, including phasing of consultations with AusAID and WSUP, and any requirements for support from the WSUP Mozambique team, particularly during the Consultant's visit, and b) budget proposal.
 - The budget proposal need only cover the Consultant's fees, and will therefore comprise simply the day-rate and a detailed listing of day allocations to different task components. The day rate should be inclusive of all taxes including VAT. We anticipate that this evaluation will require the Consultant to dedicate about 3-5 days' work at the planning, design and pre-visit data-collection stage; a total of about 15-17 days' work (two full weeks) in country; and about 8-10 days' work for post-visit data collation and consultation, and write-up of the final report (including liaison with, and response to feedback from, AusAID and WSUP personnel). Thus we anticipate about 30 days. In this TOR we do not pre-specify the maximum day rate or total budget, but price reasonableness will be a significant factor in bid evaluation.
 - Travel expenses do NOT need to be included in the budget proposal, and will be paid by WSUP on production of receipts and in line with WSUP's Expenses Policy. Key points from WSUP Expenses Policy are that international consultants a) should book economy-class flights through WSUP's preferred travel agency, with flight choice subject to WSUP approval; b) should stay in mid-range hotels; c) will typically need to use taxis for transport in in-country visits, but will be expected to use public transport for travel to and from the airport in own

country; and d) may not claim for alcohol (i.e. must pay for any beer, wine or spirits themselves). Note that reasonable flight costs will be a bid evaluation criterion, so that Consultants based in distant locations with very high travel costs are likely to be ruled out on cost grounds.

- This budget will explicitly not cover any of the costs incurred by AusAID or WSUP staff (including interpreters, guides and transport costs), except for the fees and expenses of the Consultant during the mission visit period.

We expect our decision to be largely based on the Consultant's experience (as indicated by items 1 and 2 above), and on quality of the Consultant's proposal (as indicated by items 3 and 4 above).

Clarification queries about the bidding process can be sent at any time to Guy Norman gnorman@wsup.com (cc rskarubowiz@wsup.com); the anonymised query and response will be circulated to all bidders.

Evaluation criteria will be as follows:

- 1) Formal adherence to bidding requirements
- 2) Strength of relevant experience
- 3) Evidence of understanding of the task
- 4) Strength of methodology proposal
- 5) Writing ability as evidenced by proposal
- 6) Overall assessment of likely quality of work

Each proposal will be independently scored on each criterion (0-5) by a panel comprising two WSUP evaluators and two AusAID evaluators. If the quantitative scoring does not indicate a clear consensus choice, final selection will be by discussion/negotiation



Annex 2

*Strengthening partnerships
for improved water and
sanitation service delivery*

Phase I MTE of Sustaining and Scaling Pro-poor Urban Water and Sanitation Services in Maputo

Evaluation framework
Water & Sanitation for the Urban Poor
AusAID
Jacques-Edouard Tiberghien / June 2013

1. Background

1.1 Introduction to the programme

"Sustaining and Scaling Pro-Poor Urban Water and Sanitation Services in Maputo, Mozambique" is a five-year programme to increase access to safe water, sanitation and hygiene for the urban poor living in *bairros* of Maputo City, Matola City and the Greater Maputo Area. The programme consists of two-phases, which aim to:

Phase I: Lay the foundations for and initiate a process of adoption of effective, sustainable and scalable models of pro-poor urban water and sanitation service delivery by service providers and the local/national government in Maputo City and Matola City by March 2014.

Phase II: Support the adoption and replication of refined effective, sustainable and scalable models of pro-poor urban water and sanitation services by service providers and the local / national government in Maputo City and Matola City by March 2017.

1.2. Key evaluation questions

The mid-term evaluation of Phase I seeks to answer the following key questions (KEQ):

A) Summative assessment

EQA: Is this programme on track to achieve the Phase I purpose, expected outcomes and expected outputs (as laid out in the proposal), and on track to contribute to the overall strategic objectives of this two-phase programme?

B) Formative assessment, Phase I

EQB1: For expected outcomes and outputs not on track: why are these not on track? Are these issues that could be resolved by changes in programme management?

EQB2: What are recommendations to improve performance within Phase I? Are any of the expected Phase I outputs and outcomes too onerous, given unforeseen implementation challenges and risks? If so, what are recommendations to review these and their impact on Phase II?

C) Formative assessment, Phase II

EQC: Judging from experience to date in Phase I, are the broad goals of Phase II reasonable and relevant? What are recommendations for Phase II planning?

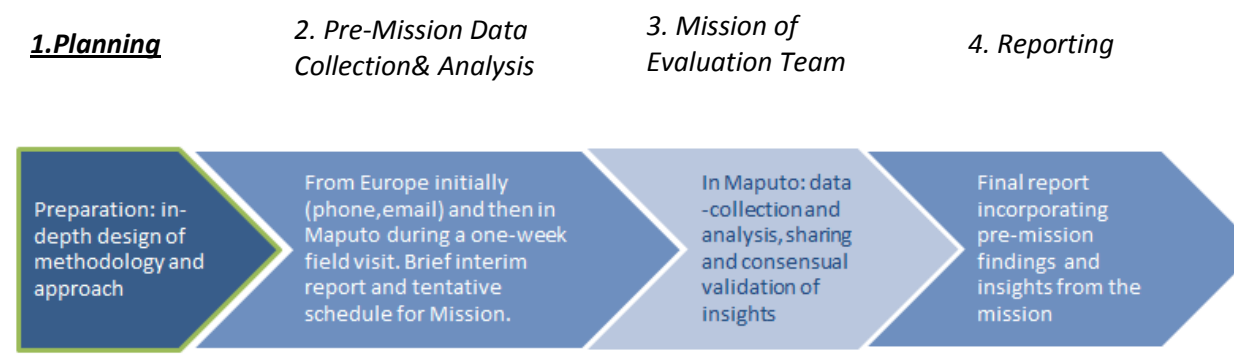
1.3. Intended audience

The primary users of this evaluation will be WSUP UK and Mozambique personnel to facilitate their learning and support any corrections in programming that may be required as a result of the finding and senior executives, desk officers, senior managers and initiative managers within AusAID.

1.4. Approach

For lasting impact, monitoring and evaluation should be designed as learning rather than judgement-based exercises. This particularly applies to the MTE of the first this two-phase WASH programme. Whilst the evaluation will meet the summative objectives of the assignment, the spirit of the approach will be facilitative rather than judgmental – encouraging stakeholders to engage in discussions that acknowledge areas that can be improved and further enhancing aspects that are

strong. Likewise, the approach will be context-orientated around what is possible rather than normative around what should be. The consultant will seek to adopt a constructive criticism attitude by combining a sharp critical edge with a concern for both acknowledging the strengths of the programme and highlighting its weaker areas making realistic recommendations on how to iteratively address them. The assignment will follow the four-step approach illustrated below:



The detailed evaluation framework presented in this document constitutes the output of step 1, the planning phase. It aims to present a detailed description of the approach and methodology developed to undertake the evaluation. This includes the following outputs, which are presented in the next sections of this document:

- **Clearly-delineated focus areas**
- **Sets of evaluation questions**
- **List of key informants**
- **Data collection tools**
- **A system to efficiently collate data**
- **A tentative schedule for field visit**

2. Key Focus Areas

A total of 46 activities are being undertaken in Phase I of the programme. Clear priorities need to be set around areas of the programme to be reviewed. Three focus areas have been selected, notably on the basis of their strategic importance to the programme and activity timeframes⁷⁹:

- 1) Progress towards sustainability of pro-poor sanitation service delivery** - Under this area, the consultant will examine the extent to which the approach to sanitation service delivery adopted by the programme and the service models implemented lead to progress in terms of economic, social and environmental sustainability.
- 2) Gender and disability inclusiveness** - The consultant will analyse the relevance and realism of the strategy put in place to mainstream gender and disability inclusiveness (GDI) in the programme, in the context of local and international norms, opportunities and challenges, as well as preparations for implementation. The evaluation will highlight how this critical dimension has been

⁷⁹ Cf. Annex 2 for extra information on the rationale behind the choice of these focus areas

understood and addressed across the components of the programme and throughout the project cycle, and what is the potential for achieving end-of-programme outcomes related to inclusiveness.

3) Strengthening capacities, creating opportunities for influencing – The consultant will evaluate the scope, quality and content of the partnerships developed by the programme with key players (focusing on macro and meso levels stakeholders), assessing how the understanding of each stakeholder led to effective, tailored strategies to engage them, increase their capacity and influence them. This area will also highlight the work achieved at inter-institutional level to influence the rules of the game.

3. Evaluation Framework

3.1. Structure

The evaluation framework facilitates the evaluation of the programme at two levels:

1. **Programme level:** at this level, a critical review of the programme is carried out, which addresses the key evaluation questions (c.f. section 1.2) by addressing on one hand the relevance of the programme (incl. the relevance of the objectives, the approach, the alignment and realism of the programme), and on the other hand its efficiency and effectiveness (incl. progress to date, challenges and responses to influences, and contribution to broader goals)
2. **Focus areas:** the second level addresses the key evaluation questions for each of the three focus areas jointly selected: a) Progress towards sustainability of pro-poor sanitation service delivery b) Gender and disability inclusiveness; and c) Strengthening capacities, creating opportunities for influencing at the level of macro and meso level stakeholders to foster programme sustainability.

3.2. Addressing KEQs

All four KEQs are addressed throughout the evaluation framework. Naturally EQA and EQB1 (c.f. section 1.2.) are tackled more explicitly, almost literally, at programme and focus area levels. Yet, all aspects will not be addressed with the same depth and critical angle. In particular, time constraints will not allow systematically evaluating programme efficiency and effectiveness at activity level. Efficiency generally requires comparing alternative approaches to achieving the same outputs, to see whether the most efficient process has been adopted, which is beyond the remit of this assignment. Efficiency and effectiveness (which strongly relate to EQA) will be mostly examined at the levels of the overall programme and of its strategic objectives, with emphasis on critical activities. WSUP's semi-annual and annual reports will be instrumental here.

EQB2 and EQC are addressed more implicitly. Although the identification of gaps and challenges will often prompt informants for suggestions, generally speaking recommendations will be the product of the analysis of all the data collected. The comprehensive list of questions formulated in the framework will elicit the information needed to produce recommendations at the different levels required. Value for money cannot reasonably be assessed in this assignment, which will prevent addressing accurately EQB2 sub-question 'Are any of the expected Phase I outputs and outcomes too onerous'.

3.3. DAC criteria, evaluation framework and reporting template

The DAC criteria (minus impact, less relevant at this early stage of the programme, but including the criteria of gender and disability inclusiveness recognising the programmes and AusAid's focus on this) will be used throughout the evaluation. The overall programme and the three focus area will be rated using the following ratings system:

Evaluation Criteria	Rating			Explanation
	Programme	Focus area		
Relevance	1-6	Sanitation	1-6	
		GDI	1-6	
		CB & influence	1-6	
Effectiveness	1-6	Sanitation	1-6	
		GDI	1-6	
		CB & influence	1-6	
Efficiency	1-6	Sanitation	1-6	
		GDI	1-6	
		CB & influence	1-6	
Sustainability	1-6	Sanitation	1-6	
		GDI	1-6	
		CB & influence	1-6	
GDI	1-6	Sanitation	1-6	
		CB & influence	1-6	

The structure of the body of the report will reflect that of the evaluation framework (4 components: programme level component followed by the components addressing the three focus areas), whilst meeting AusAid formatting requirements, with EQs framing the findings, as shown below.

1. Programme overview	2. Focus area 1	3. Focus area 2	4. Focus area 3
1.1. EQA	2.1 EQA	3.1 EQA,	4.1 EQA
1.2. EQB1	2.2 EQB1	3.2 EQB1	4.2 EQB1
1.3. EQB2	2.3 EQB2	3.3 EQB2	4.3 EQB2
1.4 EQC	2.4 EQC	3.4 EQC	4.4 EQC

The length of the report, in following with the guidelines, will be 25-30 pp without annexes.

4. Evaluations Questions

A. Programme-level

1. Programme's relevance

a) Objectives - To what degree do they result from high quality context analysis and needs assessment (incl. learning from previous phase)? To what extent was targeting of the intervention evidence-based and appropriate? Is the level of ambition sufficient? Appropriate?

b) Approach - Is there a good fit of TOC to the local context? Are adjustments needed? Are political economy factors strategically addressed? Is the approach aligned with govt. sector strategies and with other existing initiatives? Was GDI analysis conducted to inform design? Was the logical scheduling of activities as laid out in the initial work plan realistic?

2. Programme's effectiveness

a) Progress

- Is the programme on track overall? To what extent are the outcomes of Phase 1 likely to be achieved?

b) Challenges

- What internal and external challenges have the programme faced? What were they due to? Were appropriate resources allocated initially? To what extent was there sufficient analysis of full life-cycle risks?
- What have been the responses by the project, partners, and other stakeholders?
- Have there been strategic changes? Are adjustments needed?

c) Contribution to broader goals

- **To what extent does progress on outcomes contribute to achieving phase I purpose?**
Can gaps or setbacks (incl. between activity sets) compromise this goal? What learning has been made on how the strategic objectives of the programme and TOC relate to each other?
- **To what extent does progress on outcomes contribute to achieving the purpose of the overall programme:** to what extent do the achievements of Phase I logically lead to the activities of phase II and thereby to the overall outcomes of the programme? To what extent do the targets set for Phase II look appropriate and realistic based on the achievements during phase I?

3. Programme's efficiency

- Are outcomes of phase I likely to be achieved on time? Have there been any significant setbacks?
- What evidences are there that the programme is cost-efficient?

B. Progress towards sustainability of pro-poor sanitation service delivery

What is the sanitation model? How does it address the varied needs and contexts within Maputo?

1. To what extent is the approach tailored to ensure economic sustainability?

a) To what extent has the programme adopted a demand- and supply-side approach?

What activities of the programme and features of the sanitation service models contribute to:

- economic feasibility?
- more sustainable management by service providers?

b) To what extent has the programme taken a sanitation chain view?

c) To what extent is the programme addressing a long-term horizon?

Cross-cutting: What evidence is there that the above activities are leading to more economically sustainable sanitation service delivery?

2. To what extent is the approach tailored to ensure social sustainability?

a) Promoting social participation/community ownership:

- To what extent and how has the project responded to the interests, needs and contributions of different segments of the community? How were interests and needs prioritised and why?
- What input have diverse members of the involved communities had in decision-making
- What contributions have they made to the project? Is there evidence of a sense of community investment in the project? Who exactly contributes and benefits?
- What evidence is there that service delivery is pro-poor?

b) Engaging stakeholders and clarifying roles: To what degree does the programme succeed in:

c) Engaging the relevant stakeholders?

d) Clearly delineating stakeholders' R&R? Overcoming institutional fragmentation?

e) Ensuring proper incentives exist to fulfil them? Understanding the sanitation regul. framework?

f) Fostering stakeholders' accountability

- To what extent are accountability routes reinforced ('client power', 'citizen voice', 'compacts')
- To what extent are LSPs more compliant, transparent and responsive?

Mainstreaming GDI (focus area 2) **Strengthening capacities, triggering investment** (focus area 3)

3. To what extent is the approach tailored to ensure environmental sustainability

a) Public health: How comprehensively has the programme addressed public health aspects?

b) Reuse: has the option of considering excreta as resource been sufficiently examined?

c) Risks: to what extent have water scarcity and climate change risks been taken into account?

d) To what extent has environmental sustainability been mainstreamed: across all activities?

Throughout the project cycle (assessment, design, implem., M&E, dissem. and learning)

f) Are the various aspects of sustainability mutually reinforcing? Where is it manifest? Where does it stand clear that this mutual reinforcing is absent?

C. Mainstreaming gender and disability inclusiveness (GDI)

1. Relevance

a) Objectives

- How is the issue **theoretically framed**? How well does it relate to key intl. policies and strategies?
- **Strategy**: How were GDI objectives set and prioritised? Were they mainstreamed into general objectives or stand-alone? Is there a long-term strategy?
- **Level of ambition**: sufficient? given timeframe, experience, context, and level of effort required

b) Approach

- **Diagnosis**: How and when during project design was context analysed? (needs, barriers, power)
- **Risks**: Was there a full life-cycle risks analysis and costing? Based on prior phase or similar projects? Have gaps been identified?
- **Pragmatism**: How does the programme reconcile the desire for mainstreaming with practical constraints, including status of the issue in sector, stakeholder, and local context? Is the scheduling of activities and phases laid out in the work plan realistic?
- **Resources**: Are sufficient resources allocated (incl. financial, staff, time, partnerships)? Do staff have sufficient expertise on the topic and is this expertise used in a timely fashion?

2. Effectiveness in mainstreaming GDI throughout the programme

a) Mainstreaming GDI into the identification phase

- How far did the preliminary studies and situation analyses address GDI? What did the initial assessment phase consist of? Was the process participatory? Who participated and how? To which extent did this process lead to incorporate the needs and interests of the target groups and identify the barriers to access to WASH services?

b) Mainstreaming GDI into the design phase

Participation: To what extent did stakeholders participate in the priority setting and the design of facilities? To what degree was community mobilisation designed to allow all groups to take part? How did they contribute? What steps could have enhanced their participation? What special efforts were made to enable participation by (representatives of) vulnerable populations?

Partnerships: To what extent did the programme make the most of partners' resources in defining the roles of DPOs, women's organizations, and groups representing PLHIV? How did partners and other stakeholders contribute to design? How was their capacity and knowledge initially assessed? How was knowledge shared between stakeholders?

c) Mainstreaming GDI into the implementation phase:

- **Awareness raising tools**: How adapted (both in terms of content and format) are the tools designed to raise awareness?
- **WASH services**: *Design of built environment*: how adapted is the design of the facilities? To what extent was design responding to gender differences in needs, interests, constraints? To what degree was design informed by international good practices on gender-responsive design used?

GDI sensitive mgmt. model: how adapted is the management model?

- **Safeguards:** Have individual women and men had access to jobs, been paid equally for work of equal value, and have targets for participation by especially vulnerable groups been realized?
- **Challenges:** has the programme faced internal and external challenges with regard to the mainstreaming of GDI? How do these challenges compare to the risks identified in the design? How has the programme responded (could respond) to these challenges? Have there been strategic changes?
Are adjustments needed to further tailor GDI-related activities to local conditions?
- **Expected impact:** Given the outputs of past and current activities, what success do you expect the programme to have in addressing the following barriers:
 - *Environmental barriers:* increased use of WASH services by targeted groups?
 - *Attitudinal barriers:* Are there signs of change or resistance to change? What time-horizon needs to be considered? How to enhance the strategy?
 - *Institutional barriers:* To what degree is there representativeness and genuine participation in WASH committees? Are sector policies and practises tangibly influenced?
- **Empowerment:** what success can we expect on empowering woman, girls, PLHIV, and disabled persons (Power within; power to, power with, power over)?

d) Mainstreaming GDI in Monitoring, Evaluation and Learning

- **Indicators:** Are the selected indicators relevant and comprehensive enough to track progress on GDI? Responsive to gender equality considerations? Meeting reporting requirements?
- **Baselines:** Have the baselines been suitably framed to adequately inform program interventions for phase 1 and 2? Are the data collected appropriate to measure final impact?
- **Data:** are all data collected disaggregated by sex and by disability status? Made available to stakeholders for review? Used by staff beyond the GDI component? How?
- **Challenges:** What challenges, if any, are associated with monitoring and evaluating the GDI component of the programme? (e.g. a comprehensive consideration of GDI throughout the programme requires fairly sophisticated (qualitative and quantitative), costly and time-consuming data collection processes.)
- **Monitoring processes:** How efficient? How effective? What quality of learning so far? Are adjustments needed? Who is involved in monitoring? Did partners (e.g. DPOs) contribute? What plans are there for them to do so? Could they do more?

D. Strengthening capacities, creating opportunities for influencing

1. Organisational level

a) Understanding and engaging key stakeholders (Relevance)

- Did the initial context and stakeholder analysis lead to recognise the stakeholders of greatest strategic significance for the programme? Were extra organisations included?
- Were organisational structures and cultures, including their incentives and attitudes to risk and innovation (and to GDI mainstreaming in WASH work), sufficiently understood?

- Is the strategy based on a sufficient understanding of orgs' priority needs and capacity needs?
- Did the approach look into any varied, perverse or conflicting incentives across departments and amongst individuals in engaging or not in the programmes? Did the programme assess the willingness to engage (at org. and indiv. level), to commit resources and share information?
- Has the authority/influence of the individuals involved been properly appraised?
- Was the relevance of the programme contemplated in terms of timing for each key player?

b) Tailored strategies to strengthen capacity and influence (Relevance)

- To what extent has the programme succeeded in creating stakeholder's buy-in? On which incentives is this based? How sustainable is this engagement? What are the enablers/disablers?
- What existing opportunities is the programme seizing or creating to influence the organisation? Is the strategy for influencing informed by formal power or other mapping analysis tools?
- Is the level of ambition sufficient? Are sufficient resources allocated?

c) Delivering and sustaining gains (Effectiveness)

- How effective are the capacity building and technical support activities? To what extent are the M&E tools appropriate to monitor progress in this area?
- To what extent is the programme on track to influence organisations' policies and practises, including financial management and investment? To catalyse the development of a plan in organisations to provide the resources required to sustain the resulting changes and reforms
- Has the organisation put in place mechanisms to sustain the capacity building processes?

d) Efficiency

- Are the related outputs and outcomes likely to be achieved on time? Have there been any significant setbacks?
- What evidence is there that the related programme activities are cost-efficient?

2. Inter-institutional level – Influencing the rules of the game

a) Understanding the inter-institutional context (Relevance)

- How appropriate are the objectives and level of ambition in this area?
- Is the strategy sufficiently informed by an understanding of the policy, institutional and regulatory frameworks, GDI considerations?
- How good is the timing of the programme to influence this macro level? To what extent are the circumstances favourable for such influencing?

b) Effectiveness

- To what extent is the programme starting to influence 'the rules of the game'?
- To what extent does this work leads to strengthening accountability routes between users, authorities and LSPs?
- How effective are the M&E tools used to monitor progress at sector level?

- what challenges does the programme face in this influencing role (e.g. competition, entrenched interests between stakeholders to keep the status quo; sharing of information, sector financing...)?
- Have gaps in the analysis or changes in the context surfaced to warrant considered changes in direction/scope of the programme?
- Are sufficient resources allocated? (including financial, staff, time, partnerships)

c) Efficiency

- Are the related outputs and outcomes likely to be achieved on time? Have there been any significant setbacks?
- What evidence is there that the related programme activities are cost-efficient?

3. Appropriateness of the goals behind capacity building and influencing

Are the models championed by the programme based on sufficient market knowledge? Is there evidence of sustainability, of effectiveness in addressing GDI? Potential for scalability?

To what degree has the programme managed to build synergies, coordinate and engage with other relevant initiatives in the area?

Are “WSUP’s models” convincing enough to rally most key players? How is WSUP’s influencing and brokering role perceived? How can WSUP build this perception to foster a dynamic in the sector?

5. Mapping of key informants

Organisation	Name, Position	Contact details	Relevant sections of EF
AdeM	Dr Josephine Faiane, President (probably English) Judite Manhique, Commercial Director (English)		
CRA	Manuel Alvarinho, President (English) Miguel Magalhaes, Secretary (Portuguese/Spanish)		
AIAS	Olinda de Sousa, President (Portuguese)		
FIPAG	Dr Pedro Paulino, Chairman (English) Elias Machava, Director Planning (Portuguese)		
CMM	Victor Fonseca, Councillor Infrastructure (Portuguese) Circe Chaly, Head Sanitation (Portuguese)		

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MTE Phase I WSUP programme in Maputo, Mozambique – Annex 2: Evaluation Framework

WSUP	Baghi Baghirathan, Programme Director Guy Norman, Head of Evaluation, Research and Learning Jessica Gibson, Senior Prog. Funding Officer Sam Drabble, Research and Evaluation Officer Regine Skarubowiz Carla Costa, Country Programme Manager Osorio Macamo, Programme Coordinator Vasco Parente, Sanitation Coordinator Rafael da Camar, Gender & Disabilities Specialist Adriana Caifaz, Community Dev. Specialist (incl. Hygiene) Joao Mawaeia, CDS (incl. sanitation) Dinis Namburete, CDS (incl. water) Shinjini Mehta, Technical Consultant , Prog. Control Susie Kinghan, Technical Consultant, Water (incl. NRW)	<i>All staff can speak English more or less OK</i>	
AusAid	Matt Kellam, Program Manager Laila Smith, Senior Program Manager Gerardine Daniels, Senior Policy Officer, WASH		
UNICEF Maputo	Mark Henderson, Chief WASH Specialist Alfonso Alvestegui, Program Manager Mayza Tricamegy, Water & Sanitation Officer		
Handicap Intl.	Pls indicate names of relevant informants		

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TBC w/ other local NGO and CBO partners	OPTAR (NGO/hygiene) - [Portuguese?] Kuthunga (CBO /promotion of water connections) -Laila?? [Portuguese?] WE Consult (local consultant /envir. mgmt)- Ellen de Bruijn [English]		
CNCS TBC w/ other relevant DPO	Pls indicate names of relevant informants		
Women's Organisations	Pls indicate names of relevant informants		
Sanitation SMEs	UGSM – Paulino, Chairman [Portuguese] Kuthunga – Laila, Chairperson [Portuguese?]		
CMCs	Pls identify potential CMCs		
WS Delegatee	Pls identify potential informant amongst LSP under DMM		
Bairo admin.	Pls indicate names of relevant informants		
Block leaders	Pls indicate names of relevant informants		
School	TBC		

6. Data Collection

This evaluation will rely on traditional qualitative methods of investigation. As shown on the table below, data collection will be carried out through usual techniques such as: desk-based review of programme information, open and semi-structured interviews (phone and face-to-face; based on evaluation questions), possibly email surveys, focus-group conversations, observations, site visits, and brainstorming.

Section of the evaluation framework / KEQs	Main data collection tools and sources of information
A. Programme level 1. Programme's relevance 2. Programme efficiency and effectiveness	<ul style="list-style-type: none"> • Desk review of programme information; Skype or phone and face-to-face interviews with WSUP/ AusAid evaluation team (mainly). • Face-to-face meetings with key players in Maputo (e.g. CRA, AdeM, UNICEF) will provide information on A.1. • Review of 1st annual report; up-to-date M&E data emailed by WSUP; interview of WSUP/AusAid (A.1) • WSUP/AusAid and relevant external informants (A.2)
B. Progress towards sustainability of pro-poor sanitation service delivery 1. Progress towards econ. sustainability 2. Progress towards social sustainability 3. Progress towards enviro. sustainability	<ul style="list-style-type: none"> • Review of programme information • Face-to-face meetings with WSUP/AusAid staff (incl. country team staff), CMM, CRA, AIAS • Visits of schools, communal blocks, FSM work, h/h latrines <i>Combined with:</i> • Meeting with LSPs, SMEs, CMCs, bairo admin., watsan committees, block leaders, and local NGO/CBO partners
C. Mainstreaming GDI 1. General considerations 2. Mainstreaming GDI throughout the prog.	<ul style="list-style-type: none"> • Review of programme information • Skype/Phone meeting with WSUP/AusAid staff • Face-to-face meetings with WSUP/AusAid evaluation team, WSUP country staff, DPOs (e.g. CNCS) and other partners (Handicap intl.), possibly UNICEF, AIAS • Visits of schools, communal blocks, h/h latrines, standposts, ... <i>Combined with:</i> • Meeting with LSPs, SMEs, CMCs, bairo admin., watsan committees, block leaders, and local NGO/CBO partners
D. Strengthening capacities, creating opportunities for influencing 1. Organisational level 2. Inter-institutional level – Influencing the rules of the game 3. Appropriateness of the goals behind CB and influencing	<ul style="list-style-type: none"> • Review of programme information • Skype/Phone meeting with WSUP/AusAid staff (especially F.2 and F.3) • Face-to-face meetings with WSUP/AusAid evaluation team, WSUP country staff, and key players (FIPAG, AIAS, AdeM, CRA, CMM)

The validity of findings will be optimised by triangulating information, testing and validating hypotheses with a wide range of informants. The practicality and feasibility of recommendations will be maximised by a participatory process of open, interactive feedback.

Comments

Support incl. logistics and interpreter - The consultant will be relying on the support of the WSUP country team to organise the pre-mission and mission visits to Maputo, including: scheduling and arranging meetings, site visits, provision of an interpreter, car and driver.

7. A system to efficiently collate data

Once the various components, section and subsections of the evaluation framework validated, an Excel spread sheet will be develop, which will mirror this detailed structure and assign a code to each subsection. It will be used to collate and organise all the bits of information collected using the various data collection tools described above.

8. Workplan

[illegible]

9. Tentative schedule for field visit

		Morning	Afternoon
Pre-mission visit	Mon 8	Presentation of evaluation framework to WSUP staff. Addressing pending issues (schedule amendments, logistics, interpreter) followed by series of meetings with WSUP staff	
	Tue 9	Visits of sanitation services (i.e. schools, communal blocks, FSM work, h/h latrines) allowing for meetings with/interviews of the relevant stakeholders (LSPs, SMEs, CMCs, bairro admin., watsan committees, block leaders, and local NGO/CBO partners)	
	Wed 10	Introductory meetings with AdeM, FIPAG, CMM, AIAS?	
	Thu 11	Meetings with Handicap international, DPOs, UNICEF. Extra visit of WS or S services combined with meeting with local stakeholders depending on what will have covered on Tuesday	
	Fri 12	Possible extra visits to services (e.g. water supply / Delegate mgmt. model)	Finalisation of schedule for mission Preliminary data analysis
	Sat 13	Preparation of pre-mission report and guidance for mission	
	Sun 14		
	Mon 15	Finalisation of pre-mission report and guidance. Confirmation of meetings for Mission with WSUP	
Mission visit	Tue 16	Intro to prog by WSUP; Intro to evaluation (incl. findings from pre-mission report and guidance for mission)	Meeting with CMM Meetings with AusAid staff
	Wed 17	As on Tue 9 (but on different sites): visits of a sanitation services w/ meetings with stakeholders	
	Thu 18	'Feedback and further exploration' meetings: [CRA: 10:00 M.Alvarinho], AdeM [?] , FIPAG [?], AIAS	
	Fri 19	Lead evaluator prepares Saturday's meeting; need to plan visits/meetings for AusAid/WSUP team	
	Sat 20	Meeting with WSUP/AusAid evaluation team: consensual validation of findings and identification of gaps/aspects to further explore. Drafting of aide-mémoire	
	Sun 21		
	Mon 22	Drafting of aide-memoire and Tying-up loose ends (more or less improvised meetings and visits)	
	Tue 23		

Annexes to Evaluation Framework

Annex 1: Key activities per focus area

		Focus Area		
Activities listed per Activity Set		Sanitation	GDI	CB & Influencing
Activity Set 1	1.1 Support FIPAG and AdeM in scaling up water supply services to LIC in 2 bairros via tertiary network improvements			
	1.2 Construct 40 public standposts and provide support and CB to 40 local standpost operators			
	1.3 Encourage and build the capacity of communities in 7 bairros to obtain individual and shared water connections and consolidate empowerment of communities to feedback to the LIC Unit			
	1.4 Develop communal sanitation blocks			
	1.5 Expand FSM work			
	1.6 Improve school sanitation			
	1.7 Implement small drainage improvement			
	1.8. Undertake urban CLTS			
	1.9 Support construction of shared latrines			
	1.10 Deliver hygiene campaign			
	1.11 Empower women to participate & ensure needs are met			
	1.12 Empower people with disabilities to participate and ensure needs are met			
	1.13 Collaborate with CNCS on meeting WASH needs of PLHIV			
	1.14 Undertake environmental assessments			
Activity Set 2	2.1 Support AdeM to undertake a non-revenue water (NRW) detection and remediation programme, including reducing leakages and illegal connections, in Maxaquene Zone (Pro-Poor NRW model)			
	2.2 Undertake assessments of (i) the process of billings and revenue collection and (ii) the suitability of the current billing systems (software, data entry and the interaction of the customer database and billings software) and make recommendations			
	2.3 Support AdeM to establish how it can most cost effectively deliver water to low income peripheral areas by supporting AdeM's pilot delegated management model with a small/medium sized local operator			

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	2.4 Support the establishment of a Low Income Communities (LIC) Unit in AdeM to address issues in low income communities (Positive Community Engagement model)			
	2.5 Deliver training and on-the-job mentoring in NRW management to FIPAG staff, and support resolution of issues of cash flow to AdeM for household connections			
	2.6 Work with CRA to undertake further in-depth assessment and review of water policy and tariff structure and input into pro-poor revisions to water policy based on the review, and support CRA to develop and operationalize a regulatory framework for small satellite schemes			
	2.7 Learning exchange for AdeM, FIPAG and CRA to Manila ???			
	2.8 Build CMM's capacity in planning and sanitation strategy, financial modelling, budgeting, life cycle costs approach and setting standards for FSM			
	2.9 Support 2 bairro admin. and block leaders to improve WASH			
	2.10 Support CRA to develop sanitation regulatory framework, policy, action plan and guidelines for bairros, and to investigate sanitation tax			
	2.11 Sensitize LSPs to mainstream gender and consideration of the needs of vulnerable groups			
Activity Set 3	3.1. Identify investment gaps and develop investment action plans and strategies with AdeM and FIPAG to fill gaps			
	3.2. Continue to systematically participate in and contribute to Grupo de Água e Saneamento (GAS) group			
	3.3. Undertake an analysis of the institutional framework for sanitation focusing on roles and responsibilities for investment and planning, and hold workshop to bring together all institutional stakeholders to discuss findings			
	3.4. Develop a plan for increasing investment based on the recommendations of the workshop and establish small scale working groups to take specific issues forward			
	3.5. Proactively seek financing opportunities for the municipality and support the municipality to apply			
	3.6. Trigger investment by local enterprises by facilitating enterprises taking out an equity stake in FSM microenterprises, and investigating scope for financial viability of enterprises focused on sludge transfer stations and/or DEWATS operation			
	3.7. Hold workshop on school sanitation and hygiene with key stakeholders for sanitation in schools to advocate for the importance of the issue, explain WSUP's recommendations and agree a way forward			
	3.8. Track government investment in sanitation			
	3.9. Undertake advocacy for increased public investment in on-site sanitation at all levels (national, municipal, district and bairro/block			
	3.10 Undertake advocacy for increased public investment in on-site sanitation at all levels (national, municipal, district and bairro/block level)			
Activity Set 4	4.1 Undertake supplementary baseline in new bairros			
	4.2 Undertake quarterly monitoring and reporting			
	4.3 Hold focus group discussions with target groups			
	4.4 Undertake annual progress reviews			

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	4.5 Commission an independent final evaluation (including household survey and capacity evaluation)			
	4.6 Commission an independent health impact assessment			
	4.7 Convene annual national stakeholder workshops with local and national government to share learning, promote successful models and disseminate evidence of effective delivery of models			
	4.8 Hold annual workshop on gender and WASH with key sector stakeholders and community representatives			
	4.9 Participate in c.6 key international sector events and AUSAID organized learning events, conveying learning from, Maputo			
	4.10 Disseminate data collected on life cycle costs			
	4.11 Implement the context specific training programme for graduate WASH engineers planned under Phase I, enrolling students			
	4.12 Distil learning and evidence of delivered models into publications and disseminate to the sector in Portuguese and English			

Annex 2 to the Evaluation Framework - Evaluation Questions (Complete Version)

A. Programme-level

A first step under this level is to understand the Theory of Change employed by WSUP

1. Programme's relevance

a) Relevance of objectives

To what degree do they result from high quality context analysis and needs assessment?

How well are they informed by the lessons learned from previous phase?

To what extent was targeting of the intervention (area, population, organisations and partners) evidence-based and appropriate?

Is the level of ambition sufficient? Appropriate given the timeframe?

b) Relevance of approach

Is there a good fit of Theory of Change (TOC) to the local context?

Re adjustments or emphasis needed to match local conditions?

Are political economy factors strategically addressed? (Does the approach consider the social, political, and economic processes and actors that determine the extent and nature of sanitation investment and service provision?)

Is the approach aligned with government sector strategies and with other existing initiatives?

Was GDI analysis conducted to inform design?

Were the logical progression and scheduling of activities in the phases laid out in the initial work plan realistic?

2. Programme effectiveness

a) Progress

- Is the programme on track overall? To what extent are the outcomes of Phase 1 likely to be achieved

b) Challenges

- What internal and external challenges have the programme faced? (e.g. staff turn-over, changes in partners, political, legislative, security, environmental, regulatory, cultural constraints)
- If so, were appropriate resources allocated initially? (including financial, staff and time)? Were these challenges due to quality of baselines? Timing of disbursements? Time required for formalising agreements, mobilizing communities, ensuring / testing technical standards, etc...? To what extent was there sufficient analysis of full life-cycle (political, financial, institutional, environmental) risks?
- What have been the responses by the project, partners, and other stakeholders? Have there been strategic changes? Are adjustments needed?

c) Contribution to broader goals

- **To what extent does progress on outcomes contribute to achieving phase I purpose?**⁸⁰

Can gaps or setbacks compromise this goal? Are there time frame /out of sync issues between activity-sets? What learning has been made on how the four components/strategic objectives of the programme and TOC relate to each other?

- **To what extent does progress on outcomes contribute to achieving the purpose of the overall programme**⁸¹: to what extent do the achievements of Phase I logically lead to the activities of phase II and thereby to the overall outcomes of the programme? To what extent do the targets set for Phase II look appropriate and realistic based on the achievements during phase I?

3. Programme efficiency

- Are outcomes of phase I likely to be achieved on time? Have there been any significant setbacks?
- What evidences are there that the programme is cost-efficient?

D. Progress towards sustainability of pro-poor sanitation service delivery

(To what extent has the program delivered behaviour change in the targeted areas and at a government / institutional level to achieve sustainability in this area; to what extent is the current delivery model optimal for achieving the desired impact;)

What is the sanitation model being put forward? What are its sub-components?

To what extent does it address the varied needs and contexts within Maputo?

1. To what extent is the approach tailored to ensure economic sustainability of pro-poor sanitation service delivery?

Informants will be prompted to illustrate their answers to the questions below with precise examples taken from the activities and models of sanitation services implemented.

a) To what extent has the programme adopted a demand- and supply-side approach to pro-poor sanitation service delivery?

Economic feasibility: What activities of the programme and features of the sanitation service models contribute to economic feasibility? (e.g. demand assessment, demand creation, design of product and services, sanitation ladder, tariff structure, capacity and willingness to pay, financial support e.g. subsidies, microfinance; financial modelling of service; life cycle analysis) What proportion captures supply side (subsidies to ensure affordability/inclusivity) vs demand side elements?.

⁸⁰ To lay the foundations for and initiate a process of adoption of effective, sustainable and scalable models of pro-poor urban water and sanitation service delivery by service providers and the local/ national government in Maputo City and Matola City March 2014

⁸¹ To support the adoption and replication of effective, sustainable and scalable models of pro-poor urban water and sanitation services by service providers and the local / national government in Maputo City and Matola City by March 2017

Sustainable management models: What activities of the programme and features of the sanitation service models contribute to more sustainable management by service providers? formalisation⁸², professionalization⁸³, business orientation⁸⁴, external financial and technical support, alignment with regulatory framework, responsive to market

- b) To what extent has the programme taken a sanitation chain view?** (considering all segments including spare parts providers; strengthening them by facilitating transactions (improving relationships between customers and service providers); seizing opportunities with non-traditional partners)
- c) To what extent is the programme addressing a long-term horizon?** (e.g. life-cycle approach & financial modelling, investment strategy aligned with regulatory framework and city-wide sanitation plan)

Cross-cutting: *What evidence is there that the activities evoked above are leading to more economically sustainable sanitation service delivery?*

2. To what extent is the approach tailored to ensure social sustainability?

Informants will be prompted to illustrate their answers to the questions below with precise examples taken from the activities and models of sanitation services implemented.

a) Promoting social participation/community ownership:

- To what extent and how has the project responded to the interests, needs and contributions of different segments of the community (men, women, boys, girls, people with disability, rich, poor, migrants, etc)? How were interests and needs prioritised and why?
- What input have diverse members of the involved communities had in decision-making (planning, budgeting, implementation, tariff structure, measuring success)?
- What contributions have these various groups and individuals made to the project (financial, in-kind)? Is there evidence of a sense of community investment in the project? Who exactly contributes and benefits? How closely are benefits linked to contributions?
- What evidence is there that service delivery is pro-poor?
- What linkages between targeted schools and communities have been established/used?
- Is the role of the community intended to change over time?

b) Engaging stakeholders and clarifying roles: To what degree does the programme succeed in:

- Engaging the relevant stakeholders (e.g. CMM, bairro administrations, education authorities)

⁸² Includes processes such as: (i) adopting an appropriate legal status to foster engagement with external actors; (ii) formalising governance, roles and responsibilities; (iii) formalising agreements with partners such as employees, operators, government, utilities and regulatory bodies.

⁸³ Includes processes such as: (i) instilling a culture of performance (e.g. financial, service quality, coverage, user satisfaction, non-revenue water); (ii) adopting business practices (e.g. planning, budgeting, financial reporting, asset recording, accounting systems); and (iii) building capacity and incentivising staff to achieve objectives.

⁸⁴ Refers notably to a concern for cost-recovery, and possibly for service expansion and diversification

- Clearly delineating stakeholders' R&R (ownership, management and oversight) to effective incentives ensuring the fulfilment of these roles. To what extent does the programme understand the regulatory framework for sanitation (e.g. How CRA manages WWT and sanitation tariffs? regulations to protect the urban poor from water pollution?)
- Overcoming institutional fragmentation: catalysing the development of institutional and regulatory framework, c.f. focus area 3

c) Fostering stakeholders' accountability

- **To what extent is the programme reinforcing accountability routes⁸⁵:**
 - **The short route** ('client power'): To what degree does the sanitation model make service providers more accountable to customers? To what extent do clients/users exert power on service providers?
 - **The long route** ('citizen voice' and 'compacts')- How far does the programme reinforce citizen voice? (e.g. through advocacy campaigns, elections) How strong are contract/compact between the public authorities and service providers) as a result of the program?
 - To what extent does the programme result in greater compliance, transparency and responsiveness of sanitation service providers?

d) Mainstreaming gender and disability inclusiveness (c.f. focus area 2)

e) Strengthening stakeholders capacities, triggering investment (see focus area 3)

3. To what extent is the approach tailored to ensure environmental sustainability

Informants will be prompted to illustrate their answers to the questions below with precise examples taken from the activities and models of sanitation services implemented.

- a) How comprehensively has the programme addressed public health aspects? (i.e. managing excreta, solid waste, and drainage)**
- b) Reuse:** has the option of considering excreta as resource been sufficiently examined?
- c) Risks:** to what extent has the programme taken into account water scarcity and climate change risks?
- d) Mainstreaming environmental sustainability across programmes activities/activity sets?**
- e) Mainstreaming environmental sustainability throughout the project cycle?**
 - Assessment phase: local constraints such e.g. water table, discharge point...
 - Design: EIA assessments, standards
 - Implementation: choice of technology and material, best practises, institutional impact, technical support to service providers (capacity to manufacture, compliance with technical, environmental and public health standards)

⁸⁵ Using the Accountability Framework laid out in World Development Report 2004 – Making Services work for poor people

- M&E
- Dissemination and learning

f) Are the various aspects of sustainability mutually reinforcing (e.g. economic, social, environmental)? Where is it manifest that the programme, by strengthening one dimension of sustainability actually reinforces the others? Where does it stand clear that this mutual reinforcing is absent?

E. Mainstreaming gender and disability inclusiveness (GDI)

1. Relevance

a) Objectives

- **Theoretical framework:** How is the issue theoretically framed? (e.g. definitions of disability, inclusiveness, empowerment) How well does the theoretical framework relate to key international policies and strategies (e.g. those of the donor, key UN agencies, national documents and priorities, etc.)
- **Strategy:** How were objectives set and prioritised? Were gender and disability objectives mainstreamed into general objectives or stand-alone? Is there a long-term strategy?
- **Level of ambition:** sufficient? given timeframe, prior experience, context, and level of effort required (staff training, forging new relationships, strategizing, activity design, related cost)
- **Learning:** Does the MEL framework reflect the approach of the programme in this area?? How could it be adjusted to better track progress and promote this evolution?

b) Approach

- **Diagnosis:** How and at what point during project design was the context analysed? (needs, barriers, power)
- **Risks:** Was there a full life-cycle risks analysis and costing? To what extent did it build on the experience of prior phase or similar projects? Have gaps been identified (e.g. extra time to consult with disabled people, monitor their level of participation and ability to influence decision-making, risk of engaging new conversations with key stakeholders around issues not prioritised, need for additional funding to identify priority target groups and to ensure women's participation)?
- **Pragmatism:** How does the programme reconcile the desire for mainstreaming with practical constraints, including status of the issue in sector, stakeholder, and local context? Are the logical progression and scheduling of activities and phases laid out in the work plan realistic?
- **Resources:** Are sufficient resources allocated? (including financial, staff, time, partnership with local DPO organizations (what roles do they play?)) Do staff have sufficient expertise on the topic and is this expertise used in a timely fashion?

2. Mainstreaming GDI throughout the programme

Informants (identified in section 5 below) will be prompted to illustrate their answers to the questions below with precise examples taken from the activities and models of services implemented⁸⁶.

a) Mainstreaming GDI into the identification phase

- How far did the preliminary studies and situation analyses address GDI?
- What did the initial assessment phase consist of (baseline studies? surveys? barrier analysis? stakeholder analysis)?
- Was the process participatory? Who exactly participated and on what terms? To which extent did this process lead to incorporate the needs and interests of the target groups and identify the barriers to access to WASH services?

b) Mainstreaming GDI into the design phase

Participation: To what extent did stakeholders participate in the priority setting and the design of facilities (e.g. WinS)? To what degree was community mobilisation designed to allow all groups to take part, regardless of their power, legal status, constraints (e.g. related to disability or time poverty) (e.g. CLTS, water)? How did they contribute? What steps or processes could have enhanced their participation? What special efforts were made to enable participation by (representatives of) vulnerable populations?

Partnerships: : To what extent did the programme make the most of partners' resources in defining the roles of DPOs, women's organizations, and groups representing PLHIV? How did partners and other stakeholders (e.g. Disabled People Organisations – DPOs, women's organizations, faith-based organizations, etc.) contribute to design? How was their capacity and knowledge assessed prior to establishing a working relationship with them? How was knowledge shared between stakeholders?

c) Mainstreaming GDI into the implementation phase:

- **Awareness raising tools:** How adapted were the tools designed to raise awareness:

Content: Do hygiene promotion tools include images of disabled people and messages targeting issues specific to disabled people? Suggested latrines adjustments in CLTS? How well do tools respond to the different communication methods of men and women? Were efforts made to avoid gender biases in text, visuals, outreach, etc. and how successful were they?

Format: Is there use of local language, pictures and audio information for visual and hearing impaired people)? How were illiterate people and those with different linguistic backgrounds reached?

- **WASH services:**

⁸⁶ The consultant will seek to highlight GDI mainstreaming across the four activity sets. E.g. activity set I [Water supply (e.g. domestic connections, stand posts, water kiosks); Sanitation (CLTS, shared latrines, ablution blocks, FSM, WinS); Hygiene campaign; Empowerment (women, girls, people with disabilities; Training: CNCS/PLHIV] Activity Set II [Sensitize LSPs to mainstream gender and consideration of the needs of vulnerable groups

Influence of other stakeholders: on environmental, attitudinal, institutional barriers incl. guidelines, standards, practices)?]. Activity sets III and IV.

Design of built environment: how adapted is the design (distant, accessible, ergonomic, private) of the facilities (water supply, sanitation, MHM, WinS)? To what extent was design responding to gender differences in needs, interests, constraints? To what extent were AusAid tips to promote universal design in programme useful in this design phase? To what extent were international good practices on gender-responsive design used?

GDI sensitive mgmt. model: how adapted is the management model (e.g. targets are set for participation by vulnerable women and girls, disabled persons have R&R which has impact on attitudinal barrier, non-discriminative rules are posted and monitored by oversight committee)?

- **Safeguards:** to the extent that implementation has relied on communities supplying labour, have individual women and men had access to jobs, been paid equally for work of equal value, and have targets for participation by especially vulnerable groups been realized?
- **Challenges:** Has the programme faced internal and external challenges with regard to the mainstreaming of GDI? e.g. internal: staff turn-over, skills, interest, partners availability, external: institutional, attitudinal, environmental constraints. How do these challenges compare to the risks identified in the design? What are the main challenges (internal, external) at implementation level? How can they be better addressed?

How has the programme responded (could respond) to these challenges? Have there been strategic changes? What adjustments are needed to further tailor the design of the GDI-related activities to local conditions? E.g. Can GDI be a sanitation marketing hook?

- **Expected impact:** Given the outputs of past and current activities, what success do you expect the programme to have in addressing the following barriers:
 - *Environmental barriers:* increased use of WASH services by targeted groups?
 - *Attitudinal barriers:* has the MHM, HIV, and disability-related WASH info succeeded in challenging stigma and reinforcing the need for services for all? Are there signs of change or resistance to change of perceptions in the different stakeholders (incl. implementing partners)? Signs of community support to sick, old, disabled or otherwise physically weak with materials and/or labour? What time-horizon needs to be considered? How to enhance the strategy?
 - *Institutional barriers:* To what degree is there representativeness and genuine participation of all groups in WASH committees? Are there already tangible signs that the programme is influencing the development of sector strategies and guidelines, the enforcement of existing laws and standards, and practises in stakeholder organisation (incl. implementing partners)?
- **Empowerment:** Given the outputs of past and current activities what success do you see or do you expect the programme to have in empowering woman, girls, PLHIV, and disabled persons (Power within; power to, power with, power over)?

d) Mainstreaming GDI in Monitoring, Evaluation and Learning

- **Indicators:** Are the selected indicators relevant and comprehensive enough to track progress on GDI? Are the indicators responsive to gender equality considerations? Do they meet the overall reporting requirements?
- **Baselines:** Have the baselines done in phase I been suitably framed to adequately inform program interventions for phase 1 and phase 2? Is there the right kind of data being collected to be able to measure impact at the end of Phase II?

- **Data:** are all data that are collected throughout the implementation of the program disaggregated by sex and by disability status? Are such data made available to stakeholders for review and does the staff use them in the course of the overall programme (i.e. beyond the GDI component)? How?
- **Challenges:** What challenges, if any, are associated with monitoring and evaluating the GDI component of the programme? (e.g. a comprehensive consideration of GDI throughout the programme requires fairly sophisticated (qualitative and quantitative), costly and time-consuming data collection processes.)
- **Monitoring processes:** How efficient? How effective? What quality of learning so far? Are adjustments needed? Who is involved in monitoring? Did partners (e.g. DPOs) contribute? What plans are there for them to do so? Could they do more?

F. Strengthening capacities, creating opportunities for influencing

1. Organisational level

a) Understanding and engaging key stakeholders⁸⁷ (Relevance)

- **Identification** – In hindsight, did the initial context and stakeholder analysis lead to recognise the stakeholders of greatest strategic significance for the programme? Were extra organisations included after the initial stages? Were all key players identified as relevant as expected?
- **Structure and culture** - Were organisational structures and cultures, including their incentives and attitudes to risk and innovation (and to GDI mainstreaming in WASH work), sufficiently understood?
- **Needs assessment** – Is the programme strategy based on a sufficiently accurate assessment of organisations' priority needs (most urgent challenges) and capacity needs?
- **Incentives** - Did the approach look into any varied, perverse or conflicting incentives across departments and amongst individuals in engaging or not in the programmes? Did the programme assess the willingness to engage (at organisational and individual level)? Willingness to commit resources and share information with the programme?
- **Authority** – Has the authority/influence of the individuals involved been properly appraised? (i.e. distance to decision-makers, support from other departments...)
- **Timing** - Was the relevance of the programme contemplated in terms of timing for each key player? (window of opportunity, adverse conditions). Was the capacity of the organisation to dedicate enough time assessed?

b) Tailored strategies to influence stakeholders and strengthen their capacity (Relevance)

- **Creating buy-in** – To what extent has the programme succeeded in creating stakeholder's buy-in? On which incentives is this based (most urgent needs, core strategies, political visibility, etc.)? Building trust - quick wins? How strong and sustainable or fragile and ephemeral is this engagement? What are the disablers and enablers to the engagement of the stakeholder?
- **Creating spaces within** - What existing opportunities (e.g. forums, groups, events) is the programme seizing to influence the organisation? Are new opportunities created to strengthen this influence? Is the strategy for influencing informed by formal power or other mapping analysis tools?
- **Level of ambition** - sufficient? given timeframe, prior experience, context, and level of effort required (staff training, forging new relationships, strategizing, activity design, related cost)
- **Resources** - Are sufficient resources allocated? (including financial, staff, time, partnerships)

⁸⁷ This section seeks to evaluate the extent to which the strategy of the programme took into account key characteristics of the main stakeholders (i.e. the key partners or players: AdeM, CMM, FIPAG, CRA, AIAS...). Some questions will open inquiries into challenges resulting from gaps in the initial analysis of these stakeholders or from unexpected changes in their characteristics. This could pave the way for discussions around lessons learned and adjustments needed.

c) Delivering and sustaining gains (Effectiveness)

- **Efficiency and effectiveness of capacity building and technical support** - c.f. evaluation at activity and activity-set level). How effective are the M&E tools (including the recently developed scales) used to monitor progress at organisational level? Were gender and disability taken into consideration in design and delivery of capacity building, and how did this impact on the effectiveness of capacity building?
- **Sustaining gains** - Has the organisation put in place mechanisms (programmatic, financial) to sustain the capacity building processes?
- **Influencing** - To what extent is the programme on track to influence organisations' policies and practises, including financial management and investment? (c.f. evaluation at activity and activity-set level). To what extent is the programme catalysing the development of a plan in organisations to provide the resources (financial, staff, capacity building) required to sustain the resulting changes and reforms (e.g. creation of a LIC unit)? Is any effort made (by program staff, stakeholders, beneficiaries) to influence organisational policies and practices regarding promotion of gender and disability inclusion?

d) Efficiency

- Are the related outputs and outcomes likely to be achieved on time? Have there been any significant setbacks?
- What evidence is there that the related programme activities are cost-efficient?

2. Inter-institutional level – Influencing the rules of the game

a) Understanding the inter-institutional context (Relevance)

- **Relevance of objectives, level of ambition** – How appropriate are the objectives and level of ambition associated with the work on institutional framework; clarification of R&R; regulatory framework; oversight guidelines; inclusion (SME, informal sector, GDI...) (c.f. programme level section)
- **Context analysis** – Is the strategy sufficiently informed by an understanding of the policy, institutional and regulatory frameworks? (Stakeholder analysis? Political economy factors? Considerations of gender equality and disability inclusion? Alignment with sector strategies and other existing initiatives? (c.f. programme-level section)). Have gaps in the analysis or recent changes in the context surfaced to warrant considered changes in direction/scope of the programme?
- **Timing** – How good is the timing of the programme to influence this macro level? To what extent are the circumstances favourable for such influencing?

b) Effectiveness

- To what extent does this work lead to strengthening accountability routes between users, the public authorities and service providers?
- To what extent does this work leads to strengthening accountability routes between users, authorities and LSPs?
- How effective are the M&E tools (including the recently developed scales) used to monitor progress at sector level?

- What challenges does the programme face in this influencing role?
- Have gaps in the analysis or changes in the context surfaced to warrant considered changes in direction/scope of the programme?
- Are sufficient resources allocated? (including financial, staff, time, partnerships)

c) Efficiency

- Are the related outputs and outcomes likely to be achieved on time? Have there been any significant setbacks?
- What evidence is there that the related programme activities are cost-efficient?

3. Appropriateness of the goals behind capacity building and influencing

a) Relevance of the models of service

Are the models championed by the programme based on sufficient market knowledge? Is there evidence of sustainability? Potential for scalability? Demonstrated effectiveness in reaching women and men with disability and women and girls from vulnerable populations?

b) Challenges

Is the programme facing competition from alternative models, alternative WASH city-wide plans (e.g. re. inclusion of SLPs), or resistance to change (towards new models such as on-site sanitation, SME, DMM, and gender and inclusiveness approaches)? To what degree has the programme managed to build synergies, coordinate and engage with other relevant initiatives in the area?

c) Opportunities

Are the models spearheaded by the programme convincing enough to rally most key players behind them? How is WSUP's influencing and brokering role and perceived by key

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MTE Phase I WSUP programme in Maputo, Mozambique – Annex 3: Stakeholder consultations

Annex 3: Stakeholder consultations, site visits and debrief meeting

Stakeholder consultations

Organization	Representative	Role/position
WSUP	Carla Costa	Country Programme Manager
	Baghi Baghirathan	Programme Director
	Vasco Parente	Sanitation Coordinator
	Adriana Caifaz	Community Development Specialist
	Denis Namburete	Community Development Specialist
	Rafael de Camara	Gender and Disabilities Specialist
	Shinjini Mehta	Prog. Control Technical Consultant
	Jessica Gibson	Senior Prog. Funding Officer
	Regine Skaburowitz	Research and Evaluation Officer
AusAID	Laila Smith	Senior Program Manager
AdeM	Josefane Faiane	President of Executive Council (CEO)
	Judite Manhique	Commercial Director
CRA	Manuel C. Alvarinho	President
AIAS	Olinda Sousa	Executive Director
DNA	Hélio M. J. Banze	Deputy National Director
FIPAG	Pedro Paulino	Director General (CEO)
	Elias Machava	Planning and Development Director
CMM	Victor F. Fonseca	Infrastructure Councilor
	Circe Chaly	Head Sanitation
	Analio Tembe	Head of Water Supply
	Simao Mucavel	Education Councilor
Nlamankulu District	Isaura Mozoio	Civil Engineer
	Alberto Machel	Civil Engineer
MMAS	Sarifa Eurico	Chief Provincial Inspector
CNCS	Dr Diogo Milagre	Deputy Executive Secretary
UNICEF	Alfonso Alvestegui,	Program Manager
	Mayza Tricamegy	Water & Sanitation Officer
WaterAid	To be completed	To be completed
Handicap Intl.	Robert Burny	Projects coordinator
OPTAR	Isaías Tembe	Director and team
AMANDLA	David Nhacale	Director and team
UGSM	Paulino Uaiene	Manager
	Isaac Ibraimo	Consultant (eco. data collection)
Kuthunga	Laila Sulemane	Manager

Site visits

Site	Location	Type of visit
Schools (targeted under a prior intervention)	Xipamanine	Planned visit with Cristina Chiluvane, pedagogical director
	Mafalala, #22	Unannounced visit
Communal Sanitation Block	Block 3 - Xipamanine	Meeting with Graça Muindeane, operator of both the CSB and standpost (special arrangement due to proximity of market and pay-per-use customers) - CSBs targeted under a prior intervention
	Mafalala #	Unannounced visit CSBs targeted under a prior intervention
	Mafalala #	In construction – implemented under the programme
	Chamanculo C, 24B	In construction – implemented under the programme Including discussion with users, members of management committee, chief of block, representatives of bairro administration

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MTE Phase I WSUP programme in Maputo, Mozambique – Annex 7

Shared latrine	Mafalala	Implemented under prior intervention
Fecal Sludge Transfer station	Maxaquene A	In construction – implemented under the programme. Meeting with Paulino Uaiene, UGSM and the consultant collecting business data

Participants of the debrief meeting held on

Organization	Representative	Role/position
WSUP	Carla Costa	Country Programme Manager
	João Maweia	CDS Coordinator
	Vasco Parente	Sanitation Coordinator
	Rafael de Camara	Gender and Disabilities Specialist
	Shinjini Mehta	Prog. Control Technical Consultant
AdeM	Josefane Faiane	President of Executive Council (CEO)
	Carlos Cossa	
CRA	Manuel C. Alvarinho	President
AIAS	Valdemiro Matavele	
FIPAG	Elias Machava	Planning and Development Director
CMM	Circe Chaly	Head Sanitation

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MTE Phase I WSUP programme in Maputo, Mozambique – Annex 4a:Key Activities

Annex 4a: Key activities per focus area

	Activities listed per Activity Set	Focus Area		
		Sanitation	GDI	CB & Influencing
Activity Set 1	1.1 Support FIPAG and AdeM in scaling up water supply services to LIC in 2 bairros via tertiary network improvements			
	1.2 Construct 40 public standposts and provide support and CB to 40 local standpost operators			
	1.3 Encourage and build the capacity of communities in 7 bairros to obtain individual and shared water connections and consolidate empowerment of communities to feedback to the LIC Unit			
	1.4 Develop communal sanitation blocks	X		
	1.5 Expand FSM work	X		
	1.6 Improve school sanitation	X		
	1.7 Implement small drainage improvement	X		
	1.8. Undertake urban CLTS	X		
	1.9 Support construction of shared latrines	X		
	1.10 Deliver hygiene campaign	X	X	
	1.11 Empower women to participate & ensure needs are met	X	X	
	1.12 Empower people with disabilities to participate and ensure needs are met	X	X	
	1.13 Collaborate with CNCS on meeting WASH needs of PLHIV	X	X	
	1.14 Undertake environmental assessments	X		
Activity Set 2	2.1 Support AdeM to undertake a non-revenue water (NRW) detection and remediation programme, including reducing leakages and illegal connections, in Maxaquene Zone (Pro-Poor NRW model)			X
	2.2 Undertake assessments of (i) the process of billings and revenue collection and (ii) the suitability of the current billing systems (software, data entry and the interaction of the customer database and billings software) and make recommendations			X
	2.3 Support AdeM to establish how it can most cost effectively deliver water to low income peripheral areas by supporting AdeM's pilot delegated management model with a small/medium sized local operator			X
	2.4 Support the establishment of a Low Income Communities (LIC) Unit in AdeM to address issues in low income communities (Positive Community Engagement model)			X
	2.5 Deliver training and on-the-job mentoring in NRW management to FIPAG staff, and support resolution of issues of cash flow to AdeM for household connections			X
	2.6 Work with CRA to undertake further in-depth assessment and review of water policy and tariff structure and input into pro-poor revisions to water policy based on the review, and support CRA to develop and operationalize a regulatory framework for small satellite schemes			X
	2.7 Learning exchange for AdeM, FIPAG and CRA to Manila	X		X
	2.8 Build CMM's capacity in planning and sanitation strategy, financial modelling, budgeting, life cycle costs approach and setting standards for FSM	X		X
	2.9 Support 2 bairro admin. and block leaders to improve WASH	X		X
	2.10 Support CRA to develop sanitation regulatory framework, policy, action plan and guidelines for bairros, and to investigate sanitation tax	X		X
	2.11 Sensitize LSPs to mainstream gender and consideration of the needs of vulnerable groups	X	X	X
Activity Set 3	3.1. Identify investment gaps and develop investment action plans and strategies with AdeM and FIPAG to fill gaps			X
	3.2. Continue to systematically participate in and contribute to Grupo de Água e Saneamento (GAS) group	X		X
	3.3. Undertake an analysis of the institutional framework for sanitation focusing on roles and responsibilities for investment and planning, and hold workshop to bring together all institutional stakeholders to discuss findings	X		X
	3.4. Develop a plan for increasing investment based on the recommendations of the workshop and establish small scale working groups to take specific issues forward	X		X

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	3.5. Proactively seek financing opportunities for the municipality and support the municipality to apply	X		X
	3.6. Trigger investment by local enterprises by facilitating enterprises taking out an equity stake in FSM microenterprises, and investigating scope for financial viability of enterprises focused on sludge transfer stations and/or DEWATS operation	X		X
	3.7. Hold workshop on school sanitation and hygiene with key stakeholders for sanitation in schools to advocate for the importance of the issue, explain WSUP's recommendations and agree a way forward	X		X
	3.8. Track government investment in sanitation	X		X
	3.9. Undertake advocacy for increased public investment in on-site sanitation at all levels (national, municipal, district and bairro/block)	X		X
Activity Set 4	4.1 Undertake supplementary baseline in new bairros		X	
	4.2 Undertake quarterly monitoring and reporting		X	
	4.3 Hold focus group discussions with target groups		X	
	4.4 Undertake annual progress reviews		X	
	4.5 Commission an independent final evaluation (including household survey and capacity evaluation)		X	
	4.6 Commission an independent health impact assessment		X	
	4.7 Convene annual national stakeholder workshops with local and national government to share learning, promote successful models and disseminate evidence of effective delivery of models		X	
	4.8 Hold annual workshop on gender and WASH with key sector stakeholders and community representatives			
	4.9 Participate in c.6 key international sector events and AUSAID organized learning events, conveying learning from, Maputo		X	
	4.10 Disseminate data collected on life cycle costs		X	
	4.11 Implement the context specific training programme for graduate WASH engineers planned under Phase I, enrolling students		X	
	4.12 Distil learning and evidence of delivered models into publications and disseminate to the sector in Portuguese and English		X	

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MTE Phase I WSUP programme in Maputo, Mozambique – Annex 4b:: Progress against indicators

Annex 4b: Progress against objectively verifiable indicators

Intervention logic	Objectively verifiable indicator	End of phase I target	Progress (to April 2013)	Rating ⁸⁸
Phase I purpose To lay the foundations for and initiate a process of adoption of effective, sustainable and scalable models of pro-poor urban water and sanitation service delivery by service providers and the local / national government in Maputo City and Matola City March 2014	1) No. of organisations adopting and replicating WSUP delivered pro-poor models in urban WASH programmes	3	UNICEF intends to use WSUP's communal sanitation block approach which forms part of the City Sanitation Management model in its NAMWASH programme	B
	2) No. of WSUP delivered models adopted by local service providers or government	4	None to date	B
Phase I outcomes Phase I outcome 1: Models of sustainable water and sanitation service delivery to low income communities in Maputo/Matola have been refined and delivered at small scale by March 2014	3) No. of additional people with improved water services as a direct result of the WSUP programme [gender-disaggregated]	46,150 women/girls and 42,600 men/boys	28,190 women/girls and 27,047 men/boys	A
	4) No. of additional people with improved sanitation as a direct result of the WSUP programme [gender-disaggregated] (target: 32,435 women/girls and 29,940 men/boys)	32,435 women/girls and 29,940 men/boys	3,254 women/girls and 3,089 men/boys	B
	5) No. of additional people with improved hygiene knowledge as a direct result of the WSUP programme [gender-disaggregated]	27,170 women/girls and 25,080 men/boys	13,589 women/girls and 13,178 men/boys	A
	6) No. of additional people with improved environmental sanitation as a direct result of the WSUP programme	2,600 women/girls, 2,400 men/boys	None to date	B
	7) No. of additional schools with improved sanitation serving low income areas	3	None to date	A
	8) No. of additional low income girls and boys benefiting from improved school sanitation	4,680 girls and 4,320 boys	None to date	B
	9) No. of additional women and adolescent girls with improved menstrual hygiene knowledge (rating scale)	15,600	5,085 women/girls	A

⁸⁸ A= The deliverable is expected to be fully achieved by the end of phase I, B= The deliverable is expected to be partly achieved by the end of Phase I, or C= The deliverable is expected to be not achieved by the end of Phase I

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	10) No. of additional men, women and children with disabilities who have access to specially adapted latrines	As many as identified as having disabilities and unimproved sanitation in target areas at baseline	None to date	B
	11) No. of CBOs working on HIV and caregivers for PLHIV trained in WASH	All NGOs/CBOs linked with WSUP programme + 50% of caregivers	None to date	B
	12) Proportion of design workshop participants, and Community Management Committee and Water and Sanitation Commission members that are women or people with disabilities	50%	61%	A
	13) Proportion of leadership positions in Community Management Committees and Water and Sanitation Commissions held by women or people with disabilities	30%	53%	A
Phase I outcome 2: Water and sanitation service providers have strengthened capacity to adopt and scale up effective models for improving service delivery to low income communities in Maputo/Matola by March 2014	14) Score on the WSUP Water Utility Capacity scale	17	12	A
	15) Score on the WSUP City Sanitation Management scale	13	10	A
	16) Score on the WSUP WASH Environmental Sustainability scale	15	11	A
	17) Score on the WSUP SME Capacity scale	19	14	A
	18) Score on the WSUP institutional pro-poorness scale	15	13	A
	19) Score on the WSUP Institutional Inclusivity scale	13	10	A
Phase I outcome 3: Stakeholders are engaged in a process aimed at scaling up effective models for pro-poor urban water and sanitation service delivery and plans to trigger investment have been developed by March 2014	20) Total amount of finance triggered for pro-poor WASH service improvements	Aus \$1.3m	\$429,700	B
	21) Total volume (Aus \$) of public investment in pro-poor water and sanitation - to be tracked at national and municipal level	Aus \$43,500 + Aus\$0.5m by service providers	\$152,100	B
	22) Total volume (Aus \$) of household investment in water and sanitation [in WSUP intervention districts]	Aus \$225,000	\$227,000	A
	23) Total volume (Aus \$) of private investment in pro-poor water and sanitation	Aus \$30,000	\$50,600	A

BPD Water and Sanitation

MTE Phase I WSUP programme in Maputo, Mozambique – Annex 7

	24) Total volume (Aus \$) of non-national concessionary finance for pro-poor water and sanitation	Aus \$0.5m	None to date	B
Phase I outcome 4: Learning from the testing and refinement of pro-poor models for urban water and sanitation services has been distilled, documented and shared with the sector by March 2014	25) No. of WSUP publications produced and disseminated (Practice Notes; Topic Briefs) covering WSUP Mozambique	1	1	A
	26) No. of WSUP publications produced and disseminated (Practice Notes; Topic Briefs) available in Portuguese	1	None to date	A

Annex 5: Sanitation technical terms

On-site sanitation

On-site sanitation systems aim to contain human excreta at the point of generation (the household level). This type of infrastructure comprises of latrines, septic tanks and other household level technologies that do not involve sewerage. Offsite sanitation systems transport human excreta to another location for treatment, disposal or use by means of sewer systems. In addition to promoting access to on-site sanitation systems (SLs and CSBs), the programme supports the development of FSM services to empty, transport, dispose or treat fecal sludge in a safe and environmentally friendly way.

Sanitation ladder

The sanitation ladder is a well-established concept used to illustrate how people can move from simpler sanitation solutions to more advanced ones, by moving up rung-by-rung on a ladder. Often the first rungs are characterized by a simple latrine [or shared and communal latrines], which can be constructed with local material by the user with some locally available assistance. The latrine on the first rung is usually not considered sustainable over a longer period and needs to be replaced when the pit is full. For the higher rungs the requirement for skilled artisanship, technical equipment and spare parts generally increases and the owner needs to have access to funds to be able pay for the installation and to maintain the more fixed and durable infrastructure.

Source: The sanitation ladder – a need for a revamp?

<http://www.iwaponline.com/washdev/001/0003/0010003.pdf>

Shared latrine

Shared latrines consist of a single toilet shared between a group of households in a single building or plot. In the case of WSUP programme in Maputo, typically two to four households share a one-cubicle latrine.

Communal sanitation block

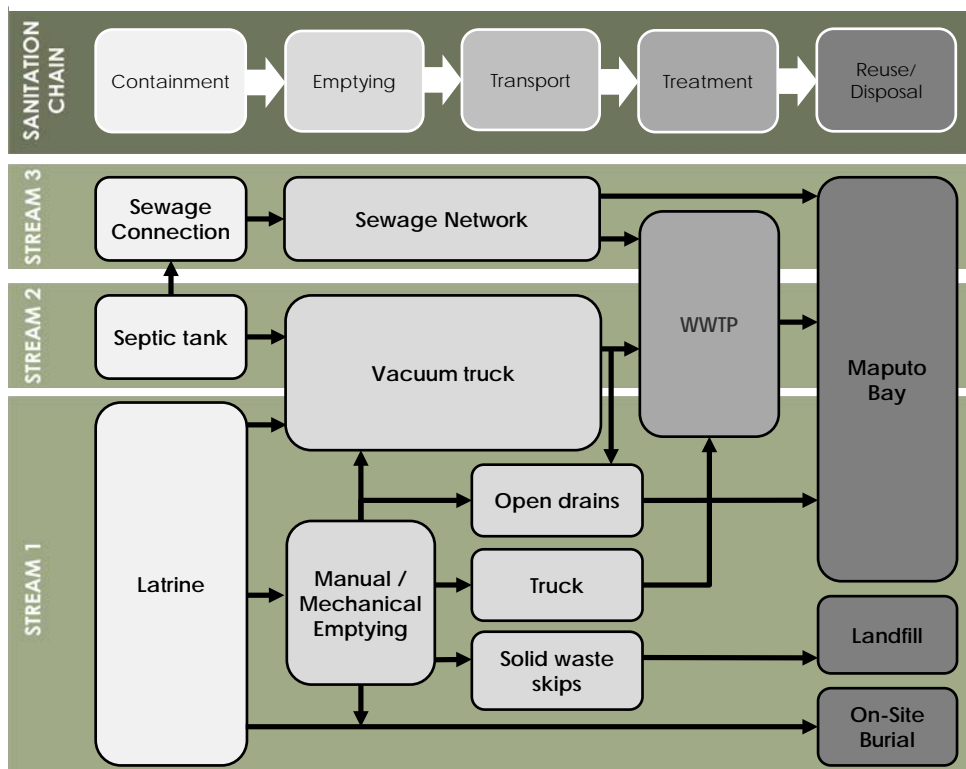
The communal sanitation blocks (CSB) built by WSUP in Maputo are multiservice units comprising toilets, showers and laundry stands, each serving between 10 and 25 households typically living in a congested location in a bairro. They discharge to septic tanks. CSBs are managed by a community management committee. (For further information check WSUP's topic brief "[When are communal or public toilets an appropriate option?](#)")

Community Led Total Sanitation (CLTS)

CLTS is a methodology for mobilising communities to eliminate open defecation (OD). Communities are facilitated to conduct their own appraisal and analysis of OD and take their own action to become ODF (open defecation free). At the heart of CLTS lies the recognition that merely providing toilets does not guarantee their use, nor result in improved sanitation and hygiene. Earlier approaches to sanitation prescribed high initial standards and offered subsidies as an incentive. But this often led to uneven adoption, problems with long-term sustainability and only partial use. It also created a culture of dependence on subsidies. OD and the cycle of fecal–oral contamination continued to spread disease. In contrast, CLTS focuses on the behavioural change needed to ensure real and sustainable improvements – investing in community mobilisation instead of hardware, and shifting the focus from toilet construction for individual households to the creation of open defecation-free villages. By raising awareness that as long as even a minority continues to defecate in the open everyone is at risk of disease, CLTS triggers the community's desire for collective change, propels people into action and encourages innovation, mutual support and appropriate local solutions, thus leading to greater ownership and sustainability. As in the programme implemented by WSUP in Maputo, CLTS is generally undertaken in conjunction with sanitation marketing activities. Source: <http://www.communityledtotalsanitation.org/page/clts-approach>

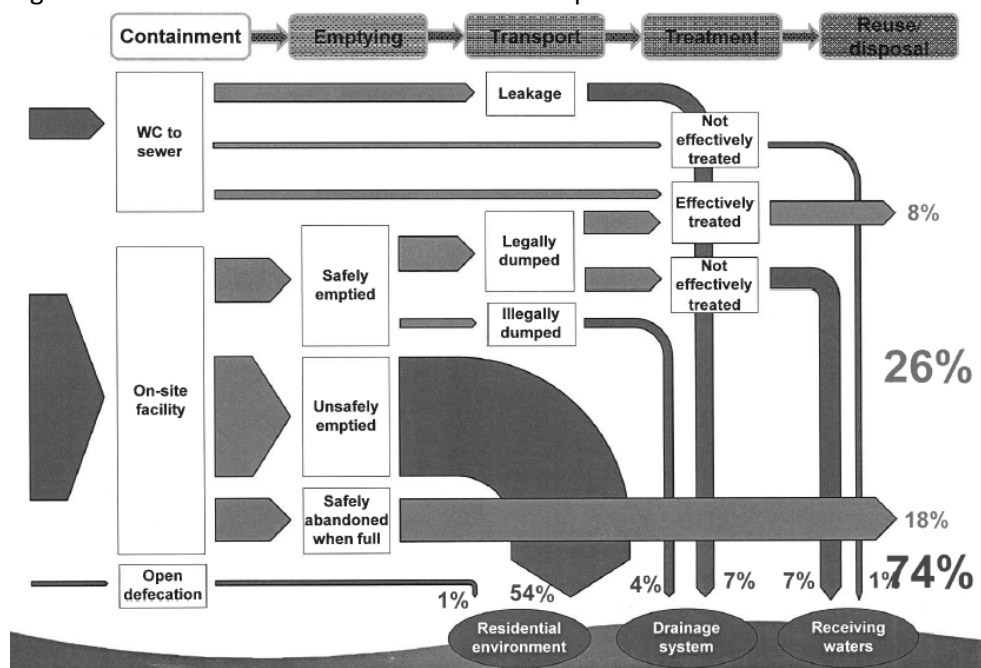
Sanitation chain and the importance of FSM services

Figure 3: Schematic summary of existing sanitation service streams in Maputo



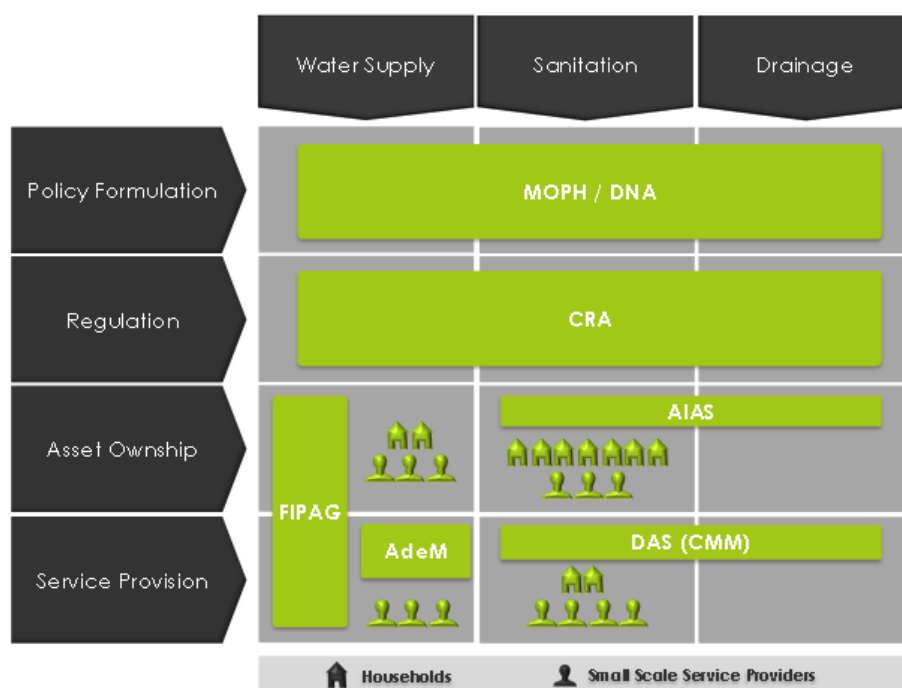
Source: Sanitation Tariff for Maputo, Mozambique Work plan for designing an appropriate sanitation tariff for Maputo April 2013

Figure 4: Fecal Waste Flows – Estimated for Maputo



Source: WSP

Annex 6. Institutional context



Schematic of the institutional sanitation sector in Maputo – Source: *Sanitation Tariff for Maputo, Mozambique Work plan for designing an appropriate sanitation tariff for Maputo April 2013*

Annex 7. Pro-poor models for urban WASH

WSUP has pioneered the development of a range of replicable and scalable pro-poor models for improved urban WASH service delivery in low income areas over the last five years and the refinement and scale up of these models is at the core of the Programme presented in this proposal.

In the WSUP Programmes, these models are a combination of “process” models, “intervention” models and “finance” models – which are used to provide support to service provider partners to enable them to deliver improved and sustainable services to low income communities. It is expected that the implementation of these models at a representative scale, and thus the evidencing of their success and financial viability, will be the catalyst for their replication by service provider partners, local and national government and development agencies.

Focusing on defining and delivering pro-poor models ensures that the issue of scale and replication are at the core of all programme activities and efforts. WSUP starts programme planning and design from the position of considering what can be replicated at a city wide scale and this focus ensures programmes deliver real change at a scale which contrasts with more traditional NGO or CBO projects. In addition, thinking about WSUP’s work in this way enables WSUP to communicate effective approaches clearly to its partners, stakeholders and the wider sector, which in itself facilitates replication and scale up.

WSUP is further refining and scaling up 13 pro-poor models which have been identified and which form the core of the WSUP Programmes. As part of this programme, WSUP will target the implementation and refinement of the following models:

Process model: Equitable Water Services

Equitable Water Services is a “process” model – a five step process through which urban WASH service providers can achieve city wide scale comprising of (1) the mobilisation of stakeholders, (2) the implementation of successful interventions at a representative scale, (3) the evaluation of the effectiveness of these interventions, (4) the triggering of scale up finance from a range of sources

and (5) the adoption / mainstreaming of these interventions into the core business of the service providers.

Intervention model: Positive Community Engagement

This model centres on working with utilities to respond to community needs through the establishment of pro-poor units or departments, working to improve the customer feedback loop and working in partnership with communities to address their needs.

Intervention model: Pro-Poor Non-Revenue Water (NRW)

The key components of Pro-Poor Non-Revenue Water are two fold – one set of activities focuses at the city wide level through providing technical assistance and equipment to water utility staff to improve the overall approach and management of NRW in the utility. The second set focuses on translating this into the low income areas.

Intervention model: Delegated Management

This model encourages mandated service providers to consider the use of different contract mechanisms to involve small independent providers and SMEs in the operation and management of facilities. The model strengthens the contracts and provides capacity development to improve their overall management.

Intervention model: City Sanitation Management

This model encourages the municipality to take a city level view of on-site sanitation and provides City level planning, financial modelling to identify the most cost effective solution and trials innovative faecal sludge management to mobilise investment for SMEs and SIPs.

Intervention model: An adapted form of CLTS and sanitation marketing

This model uses mobilisation of Block Leaders and grass-roots level monitoring of sanitation to create a collective will to improve the situation, similar to “ignition” in rural CLTS. This is combined with a complementary sanitation marketing programme to further stimulate demand and ensure that appropriate, affordable supply options are accessible to meet increased demand.

Intervention model: X-Sub-San

This model works with service providers and CBOs to explore the use of water revenues collected either in the communities or centrally to cross subsidise sanitation including drainage and developing context specific sanitation responses.

Intervention model: MassHYPE

The use of mass scale approaches to promote hygiene and working in partnership with mass communication channels and/or the private sector deliver core hygiene messages such as handwashing and create social momentum for behaviour change. In Maputo a locally specific adaption of the model will be developed involving using cell phones.

Source: Sustaining and scaling pro-poor urban water and sanitation services in Maputo - Full proposal for AusAID - March 2012

Annex 8. Assessing capacity development (WSUP's rating scales)

Capacity development will be assessed primarily on a series of five scales developed specifically by WSUP for urban WASH capacity evaluation: namely the Small and Medium Enterprise Capacity (SEC) scale, the Water Utility Capacity (WUC) scale, the City Sanitation Management (CSM) scale, the WASH Environmental Sustainability (WES) scale, the Institutional Pro-Poorness (IPP) scale and Institutional Inclusivity (II) scale. These are ratings scales: the total score on each scale is given by the sum of scores of 5 more specific subscales. These scales are fully defined in WSUP's Evaluation Toolkit:

- The SEC scale assesses the level of capacity of, and enabling environment for, small and medium enterprises in the WASH sector within the city under evaluation.
- The WUC scale assesses the technical and business capacities of the main water utility in the city under evaluation, with reference to both a) financial sustainability and b) capacity for service delivery to low income households and districts.
- The CSM scale assesses the strength of capacity and institutional framework for city sanitation planning and management, with particular reference to sustainable financing for sanitation in low-income households and districts.
- The WES scale assesses the environmental sustainability of WASH infrastructure and services in the city under evaluation, with consideration of climate-proofing and flood-preparedness, of environmental impacts of wastewater, and of water and energy economy.
- The IPP scale assesses (at national rather than city level) the extent to which government and quasigovernmental institutions are genuinely and effectively committed to pro-poor WASH service delivery.
- The II scale assesses the extent to which government and quasi-governmental institutions are genuinely and effectively committed to inclusive WASH service delivery for women, people with disabilities and PLHIV.