

**Water Supply & Sanitation Policy Action Planning Project  
– Phase II  
(WASPOLA-2)**

**AidWorks Initiative Number: IND681**

**COMPLETION REPORT**

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**May 2009**

## Aid Activity Summary

Aid Activity Name	Water Supply & Sanitation Policy Action Planning Project – Phase II (WASPOLA-2)		
AidWorks initiative number	IND681		
Commencement date	16 January 2004	Completion date	30 June 2009
Total Australian \$	AUD 8.1 Million		
Total other \$	GoI funding is provided – approximately USD 0.4-0.5 million per annum		
Delivery organisation(s)	World Bank Water and Sanitation Program for East Asia and the Pacific (WSP-EAP)		
Implementing Partner(s)	World Bank, Jakarta		
Executing Agency	National Development Planning Agency (BAPPENAS)		
Country/Region	Indonesia		
Primary Sector	Water and Sanitation, Infrastructure Sector		

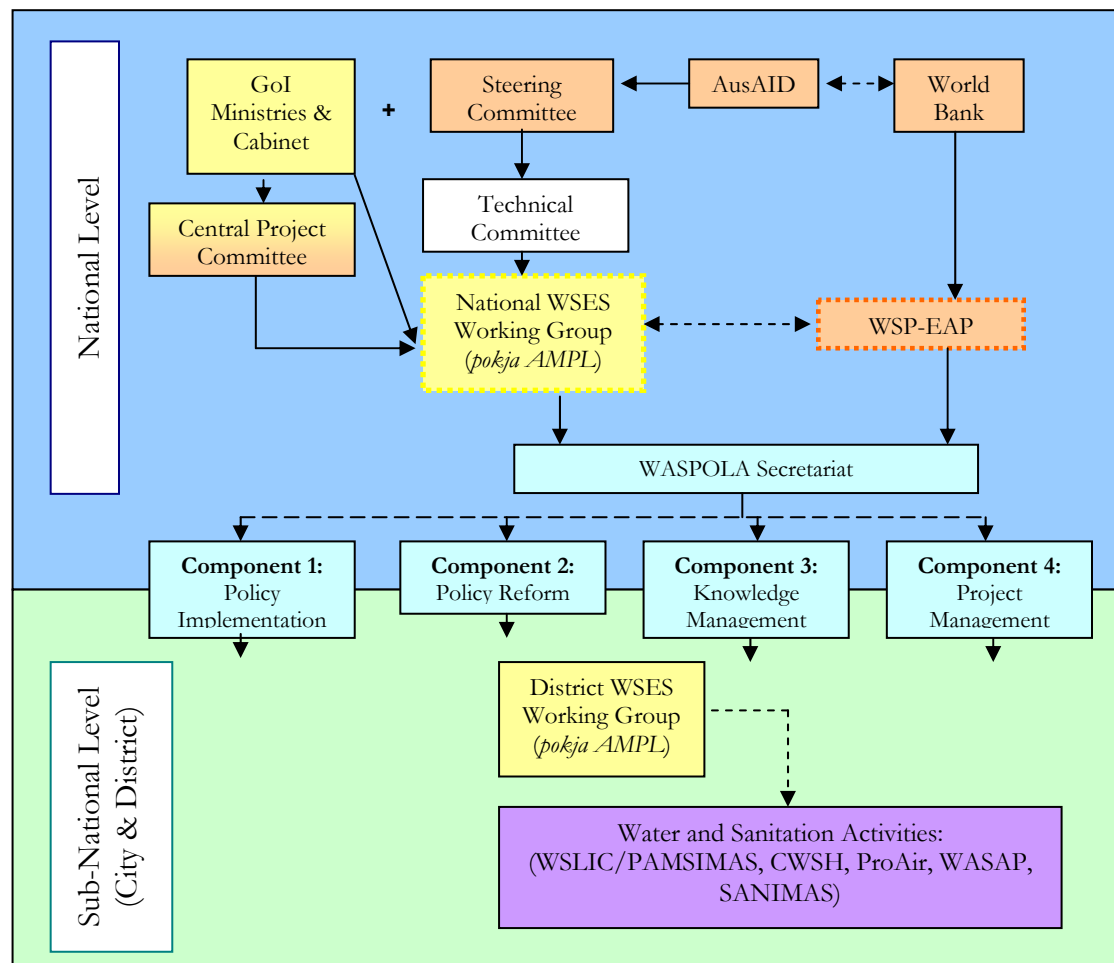
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## Abbreviations and acronyms

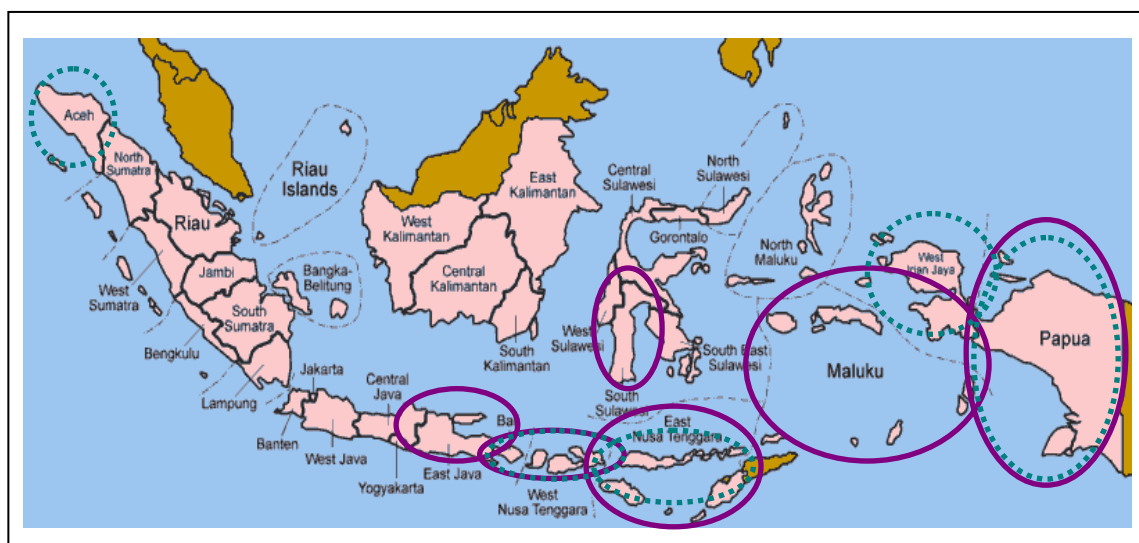
ADB	Asian Development Bank
AusAID	Australian Agency for International Development
BAPPEDA	<i>Badan Perencanaan Pembangunan Daerah</i> : District Development Planning Agency
BAPPENAS	<i>Badan Perencanaan Pembangunan Nasional</i> : National Development Planning Agency
CBTS	Community Based Total Sanitation
CLTS	Community-led Total Sanitation
CWSH	Community Water Services and Health project (implemented by ADB)
DAK	<i>Dana Alokasi Khusus</i> : Special Allocation Fund
DAU	<i>Dana Alokasi Umum</i> : General Allocation Fund
FMC	Facility Management Committee
FMU	Facility Management Unit
GAP	Gender Action Plan
GoA	Government of Australia
GoI	Government of Indonesia
ISSDP	Indonesia Sanitation Sector Development Program
MDG	Millennium Development Goal/s
M&E	Monitoring & Evaluation
MoF	Ministry of Finance
MoH	Ministry of Health
MoHA	Ministry of Home Affairs
MPW	Ministry of Public Works
MTR	Mid-term Review
NGO	Non Government Organisation
NTB	<i>Nusa Tenggara Barat</i> : Province of West Nusa Tenggara
NTT	<i>Nusa Tenggara Timur</i> : Province of East Nusa Tenggara
PAMSIMAS	<i>Penyediaan Air Minum dan Sanitasi Berbasis Masyarakat</i> : WSLIC phase III
PDAM	<i>Perusahaan Daerah Air Minum</i> : Urban Water Utility
Pokja AMPL	<i>Kelompok Kerja Air Minum dan Penyehatan Lingkungan</i> : WSES Inter-ministerial Working Group
PNPM	<i>Program Nasional Pemberdayaan Masyarakat</i> : National Program for Community Empowerment
SANIMAS	<i>Sanitasi Berbasis Masyarakat</i> : Sanitation by Communities
STBM	<i>Sanitasi Total Berbasis Masyarakat</i> : Community Based Total Sanitation
TA	Technical Assistance
TSSM	Total Sanitation and Sanitation Marketing project (implemented by WSP)
TORs	Terms of Reference
UNICEF	United Nations International Children's Education Fund
WASAP	Indonesia Water and Sanitation Program for Water Sector Capacity Building & Sanitation Sector Development
WASPOLA	Indonesia Water Supply and Sanitation Policy and Action Planning Project
WB	World Bank
WES	Water, Environment and Sanitation project (implemented by UNICEF)
WSES	Water Supply and Environmental Sanitation
WSP-EAP	(World Bank) Water and Sanitation Program for East Asia and the Pacific
WSLIC	Water and Sanitation for Low Income Communities Project

## The WASPOLA-2 Model:



(Solid lines: command; Broken lines: coordination)

## Geographical Focus / District Selection:



WASPOLA-2 priority provinces (circled in purple/solid lines); Australia-Indonesia Partnerships Country Strategy priority areas (circled in green/broken lines)

## Executive Summary

### Background and context:

Indonesia is not on track to achieve the MDG targets for water and sanitation. Every year Indonesians in both rural and urban communities pay significant health and economic costs for poor water and sanitation. Communities have adapted to such conditions, resulting in low demand for national and local governments to prioritise the sector in budgets and plans.

Decentralisation which began in 2001 devolved the responsibilities of water and sanitation services to district governments. District governments generally lack the capacity to provide water and sanitation services and usually allocate approximately 1-2% for water and sanitation activities in their annual budgets.

### Summary of initiative objectives, components:

The Water and Sanitation Policy Formulation and Action Planning Initiative, phase two (WASPOLA-2) aims to improve access for Indonesians (especially the poor) to adequate water and sanitation. The second phase (2004-2009) is built on the strengths and achievements of phase one (1998-2003) and focuses on increasing the capacity of the Government of Indonesia (GoI) at the national and local levels to implement the community-based national water and sanitation policy.

AusAID has provided AUD 8.1 million over the life of the initiative, with the GoI contributing approximately 20% of project costs. The implementing agency is the Water and Sanitation Program for East Asia and the Pacific (WSP-EAP), a multi-donor partnership administered by the World Bank. The inter-agency national water and sanitation working group (National WSES Working Group or *Pokeja AMPL*) is responsible for coordination of the sector and has been replicated at provincial and district levels for sector coordination in those respective areas.

### Outline of evaluation findings and key results:

WASPOLA-2 was found to have made several significant, tangible achievements. The national community based water and sanitation policy developed during the first phase of the project was implemented through local working groups in 62 districts across 9 provinces, exceeding all stakeholder expectations. As a result, the sector has become increasingly harmonised with all donor water and sanitation activities adhering to the community-based approach promoted in the national policy. The working groups have benefited from improved capacity to coordinate the sector and share information through WASPOLA-2 activities. This improved coordination has enhanced the effectiveness of other community water and sanitation initiatives (such as the AusAID supported initiative: Water and Sanitation for Low Income Communities: WSLIC-2) and other donor-supported projects (such as ADB funded CWSH and GTZ/KfW funded Pro Air). WASPOLA-2 has promoted internationally practiced sanitation approaches in Indonesia, namely the community led total sanitation (CLTS) approach to creating open defecation free (ODF) communities. Australia's support of WASPOLA-2 has also led to AusAID becoming highly visible and respected in the sector.

Despite these achievements however, WASPOLA has struggled on some fronts. The monitoring and evaluation (M&E) component of WASPOLA-2 has been a significant weakness. Implementation of WASPOLA-2 had occurred for over two years before an M&E framework was developed. The M&E framework was intended to regulate the collection of activity data at the local levels with initiative specific indicators, however this failed to rectify the problem with subsequent progress reports not using or reporting against framework indicators. WASPOLA-2's inadequate monitoring led to lost opportunities for analysis, learning and continuous improvement. WASPOLA-2 also failed to sufficiently improve gender equality, the result of a gender blind design, implementation schedule and M&E framework.

WASPOLA-2 has benefited from long term, good quality technical assistance. The high calibre and experienced staff employed by WSP-EAP have benefited the initiative. Despite small

frustrations with World Bank procurement and reporting in multiple formats, all stakeholder relationships (especially between AusAID and WSP-EAP) have been harmonious and close. WSP-EAP's management of WASPOLA-2 is considered to be good value for money, especially due to its high profile and long engagement in the sector.

#### **Outline of lessons and recommendations:**

Despite WASPOLA-2's achievements, there are many aspects of WASPOLA that still require support to become fully institutionalised. For example, the national water and sanitation policy, though signed by six government director generals, is yet to be fully endorsed by the GoI and as a result, is not yet integrated into GoI procedures and instructions. The national working group still operates informally (without government decree) and as a result, does not have a permanent budget line. Despite strong GoI support, these factors combined cast doubt over the sustainability of WASPOLA-2.

Based on these issues and the recommendations of previous evaluations/reports, AusAID has committed AUD 10 million over four years to support the third phase of WASPOLA: the WASPOLA Facility.

The WASPOLA Facility design addresses many of the weaknesses highlighted above in WASPOLA-2. For example, the WASPOLA Facility will employ a full time national M&E adviser and include comprehensive annual M&E reports in its reporting cycle. The WASPOLA Facility will also employ a gender specialist and has developed a gender action plan to ensure gender equality is integrated into the design, implementation and M&E of the WASPOLA Facility.

This ICR recognises and commends these significant improvements. As such, recommendations are based around these planned improvements and the lessons learned during WASPOLA-2. Firstly, both the M&E framework and gender action plan should be simple enough for stakeholders to understand and implement. Secondly, activities in the WASPOLA Facility M&E framework and gender action plan should be allocated to individuals/specific stakeholders as roles and responsibilities to ensure the likelihood of implementation. Thirdly, training and capacity building activities (related to the M&E framework and gender action plan) should be implemented at both the national and local levels so stakeholders are aware of *why* (monitoring is needed / gender needs to be integrated) and *how* (monitoring is undertaken / gender equality is integrated and implemented). It is also recommended that all stakeholders agree on one reporting format and cycle (to avoid duplication) and for AusAID to engage in dialogue about a sector M&E framework to encourage information sharing and shared learning.

#### **Evaluation Criteria Ratings**

Evaluation Criteria	Rating (1-6)
Relevance	5
Effectiveness	5
Efficiency	4
Sustainability	4
Gender Equality	3
Monitoring & Evaluation	3
Analysis & Learning	4

*Rating scale: 6 = very high quality; 1 = very low quality. Below 4 is less than satisfactory.*

## Introduction

### Sector Overview:

#### ❖ Indonesia is not on track to achieve its MDG targets for water and sanitation<sup>1</sup>

As Table 1 demonstrates, water and sanitation coverage is low with rural areas lagging behind urban areas. Although access to water and sanitation has generally improved since 1990, Indonesia still remains off track to achieving its MDG targets, for safe drinking water and basic sanitation.

	% of Total Population		
	JMP 2006 <sup>2</sup>		
	1990	2004	2015
Piped water coverage – urban	28.0	30.0	64.0
Piped water coverage – rural	2.0	6.0	51.0
Sanitation – urban	65.0	74.0	82.5
Sanitation – rural	37.0	40.0	68.5

Table 1: Access to improved, safe water and sanitation in Indonesia

#### ❖ Indonesia is paying significant economic and health impacts for poor water and sanitation

A World Bank study<sup>3</sup> conducted in 2008, found that Indonesia lost approximately 2.3% of gross domestic product (IDR 56 trillion or USD 6.3 billion) in 2006 due to poor sanitation and hygiene. Diarrhoea, the result of poor drinking water, sanitation and hygiene practices, is the second leading killer of children under the age of five, accounting for approximately 20% of child deaths every year.<sup>4</sup> Despite the high costs of poor water and sanitation, communities have adapted to these conditions and as a result, place little demand on the government to improve these services.

#### ❖ District governments are responsible for the provision of water and sanitation services

Since the decentralisation laws of 2001 and 2004, district governments have been responsible for the provision of water and sanitation services to communities within their jurisdiction. Therefore, the delivery of these services depends on the political will of district leaders as well as the capacity and resources available to district governments.

#### ❖ Government funding to the sector is low compared to other sectors

Central government earmarked funds from the Special Allocation Fund (*DAK*)<sup>5</sup> have generally increased for water supply over recent years (up to IDR 608 billion in 2006 from IDR 405 billion in 2005). However, these DAK allocations for water and sanitation form only a small proportion of local government revenues.

At the sub-national level, local governments do not earmark water and sanitation funds when disbursing the district budget to various district government departments. Though budget amounts are unclear, it is estimated that water and sanitation activities receive between 1 and 2% of local government budgets.<sup>6</sup>

<sup>1</sup> Source: WHO (2008) *Progress on Drinking Water and Sanitation – Special focus on Sanitation*. Available from: [http://www.who.int/water\\_sanitation\\_health/monitoring/jmp2008/en/index.html](http://www.who.int/water_sanitation_health/monitoring/jmp2008/en/index.html)

<sup>2</sup> WHO/UNICEF (2006) Joint Monitoring Program for Water Supply and Sanitation Coverage Estimates

<sup>3</sup> Source: WSP-EAP (2008) *Economic Impacts of Sanitation in Indonesia*, World Bank, Jakarta

<sup>4</sup> Source: ADB (2006) *Simple Solution for Drinking Water Makes a Big Difference*. Available from: <http://www.adb.org/water/actions/ino/simple-solution.asp>

<sup>5</sup> Dana Alokasi Khusus

<sup>6</sup> Source: BAPPENAS meeting held on 5 January 2009

## Activity Background: Water and Sanitation Policy Formulation and Action Planning (WASPOLA)

### ❖ WASPOLA is a policy support initiative

In 1998, AusAID partnered with the World Bank Water and Sanitation Program for East Asia and the Pacific (WSP-EAP) to address the “key sustainability and equity issues confronting the water and sanitation sector”.<sup>7</sup> The first phase of WASPOLA (1998-2003) aimed to develop a new national Water Supply and Environmental Sanitation (WSES) policy that would enable improved access for Indonesia’s poor to adequate water supply and sanitation services. The initiative, through the Government of Indonesia (GoI) inter-ministerial working group<sup>8</sup> (*pokja AMPL*) headed by the National Planning and Development Agency (*BAPPENAS*) was successful in drafting and piloting this policy in several districts.

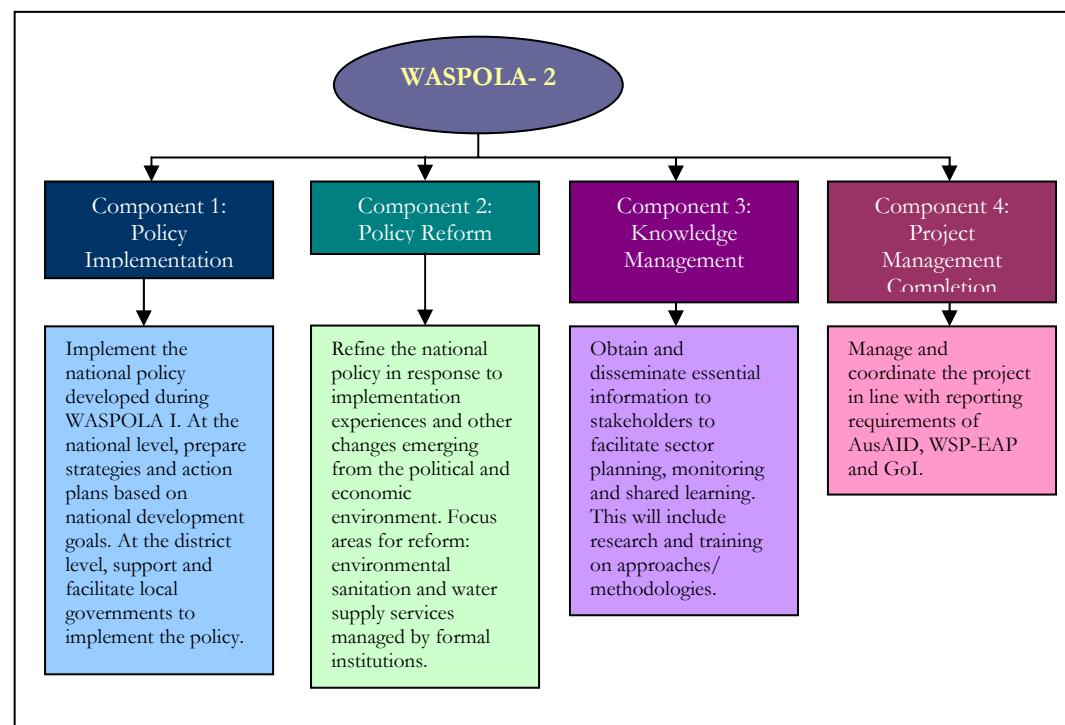
The challenge for the second phase of WASPOLA was to legalise and implement this policy in a decentralised government system where district governments had little capacity to fund local development and provide services.

### ❖ WASPOLA-2 aims to improve access for Indonesians to adequate water and sanitation

The goal of WASPOLA-2 (2004-2009) is to improve access for Indonesians, particularly the poor to adequate and sustainable water supply and environmental sanitation services. The project purpose is to increase the capacity of the GoI to implement the WSES policy and continue the on-going process of policy reform for the WSES sector.

The initiative also implements capacity building activities for policy implementation and reform, as well as demand responsive and participatory approaches<sup>9</sup> which were the foundation of WASPOLA 1’s achievements.

### ❖ WASPOLA-2 is delivered through four components



<sup>7</sup> Source: AusAID (2002) *Report on Review of the AusAID funded WASPOLA Project Indonesia*

<sup>8</sup> *Pembentukan Kelompok Kerja Air Minum dan Penyehatan Lingkungan – Pokja AMPL*

<sup>9</sup> These approaches allow the communities/beneficiaries to act as decision makers for community investments (in this case, water and sanitation facilities)

## Evaluation Objectives

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The objectives for this ICR were to provide an assessment of the overall performance of WASPOLA-2 and recommendations on how to improve the third phase of WASPOLA – the WASPOLA Facility.

The ICR is required to rate and report against the evaluation criteria specified in AusAID guidelines.<sup>10</sup>

## Evaluation Scope and Methods

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### Primary Sources of Information:

There have been two significant water and sanitation reviews conducted in Indonesia within the past year (2008-09). The first review was the Water and Sanitation Initiative (WSI) Mission in July 2008. This review was conducted by a team primarily comprised of staff from the AusAID Sustainable Development Branch, led by the AusAID principal infrastructure adviser, Alan Coulthart. The objective of the review was to scope GoI priorities in the sector and to identify what the GoI, donor agencies and NGOs were doing to support these priorities. Based on this information, the team developed a program of support to suit Government of Australia (GoA) policies on poverty alleviation, to avoid duplication of activities and maximise GoA assistance in the sector.

The second major review done on the sector was the Office of Development Effectiveness (ODE) sector review conducted in January 2009. This review was conducted by a team of three independent consultants accompanied by two AusAID staff (one from ODE, another from the Indonesia desk). The objective of this review was to evaluate the performance of AusAID assistance to the sector.

Both missions reviewed WASPOLA-2 (to varying degrees) and interviewed several of the same stakeholders.<sup>11</sup> As such, the reports of these missions (especially the ODE evaluation) have been the primary sources of information for this ICR.

### Methodology:

In April 2009, an internal desk led approach to conducting the WASPOLA-2 ICR was approved by the AusAID Indonesia Chief of Operations (Sam Zappia) (signed Minute can be found in Appendix A). The purpose of conducting a desk led review of WASPOLA-2 was to consolidate the information from the previous two missions into an ICR and to rate WASPOLA-2 based on AusAID evaluation criteria ratings. This method of evaluating WASPOLA-2 also avoided reinterviewing the same stakeholders (for a third time in 12 months) and ensured value for time and money.

The methodology for conducting this desk led ICR focused on compiling and assessing information collected from both the WSI and ODE reviews as well as other 'independent' sources of information (including Independent Appraisals and the 2006 Mid Term Review of WASPOLA-2).

**Document Collection and Review:** Key documents<sup>12</sup> assessing the performance of WASPOLA-2 were collected and reviewed. The purpose of this document review was to obtain an understanding of what information/evidence was available for the gap analysis as well as to develop an understanding of the history of WASPOLA.

<sup>10</sup> Source: AusAID (2008) *Manage the Independent Evaluation of an Aid Activity*

<sup>11</sup> These stakeholders include GoI Representatives (from BAPPENAS, Ministry of Health, Ministry of Public Works, District Government representatives); leading sector donors and NGOs (including World Bank, Asian Development Bank, USAID, Government of Netherlands, UNICEF, Mercy Corps, CARE, GTZ), the Water and Sanitation Working Group (known in Indonesia as the *Pokja AMPL* - at the national level and various district working groups), representatives of urban water utilities (known in Indonesia as *PDAM*) as well as numerous villagers during the field visits.

<sup>12</sup> A full list of documents that informed this ICR can be found on page 20

**Gap Analysis:** The gap analysis matrix (found in Appendix B) identified:

- The information necessary to write and inform the ICR and evaluation criteria ratings;
- What evidence was available to address the evaluation questions and criteria ratings – as well as the sources of this evidence; and
- Other methods/approaches to obtain mission information.

It was deemed that there was enough information through the collected reports/ evaluations/ appraisals to adequately inform the ICR. As such, no other methods (such as interviews or meetings) to obtain information were required.

**Limitations:**

This desk led approach to undertaking the WASPOLA-2 ICR is primarily limited by the quantity and quality of information collected on WASPOLA-2 in the WSI and ODE missions (as well as other reports/reviews/appraisals). This limitation has been addressed by the author's participation in the ODE mission and strong background knowledge on WASPOLA-2 and the sector in general.

**Acknowledgements:**

This ICR was conducted by Sue Ellen O'Farrell of the Performance Section in AusAID, Canberra. Sue Ellen was a member of the water and sanitation ODE evaluation team in January 2009.

Thank you to Christiana Dewi and Melinda Hutapea of the AusAID water and sanitation team at the Jakarta Post for their assistance in providing background documents; and Sofia Ericsson of the Indonesia Performance Section in Canberra for her advice on the performance aspects of this report.

## Evaluation Findings

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### Relevance

#### ❖ WASPOLA-2 is relevant to GoI and GoA commitments to the MDGs

In 2008, both the GoA and GoI made high level commitments to achieving the MDG target<sup>13</sup> for water and sanitation in Indonesia:

- In the 2008-09 Budget, the GoA allocated AUD 300 million to the Water and Sanitation Initiative (WSI) which aims to *“improve the living standards of the poor by improving their access to more effective and sustainable water supply and sanitation services thereby contributing to achievement of the MDGs”*.<sup>14</sup> Australian assistance through this initiative to the sector in Indonesia will be approximately AUD 60.5 million over the next two years (2009-11).<sup>15</sup>
- In late 2008, Indonesian Vice President Jusuf Kalla unveiled the Government’s goal of connecting 10 million households to piped water within the next five years as part of the Government’s commitment to meeting the MDG water and sanitation target. To achieve this, the Ministry of Public Works committed IDR 7.4 trillion (USD 795.7 million) during 2008 to improve the quality of tap water and cut operating costs of water utilities in the country.<sup>16</sup>

WASPOLA-2, through its ability to build GoI capacity and implement policy, plays an important role in assisting these GoA and GoI water and sanitation activities.

WASPOLA-2 is also relevant to the Australia-Indonesia Partnership Country Strategy objectives and the GoP’s Medium Term Development Plan (2004-2009) objectives<sup>17</sup> particularly in regards to reforming laws and regulations and improving institutional frameworks and administration systems.

#### ❖ WASPOLA-2 is relevant to achieving the goals of the AIP Infrastructure Sectoral Plan

Australia’s engagement with GoI and other stakeholders through WASPOLA-2 has formed an important platform for achieving Australia’s future goals in the AIP Infrastructure Sectoral Plan.<sup>18</sup> The gains made through WASPOLA-2 such as: the capacity to influence policy through long term engagement; support to GoI policies; and flexibility to respond to emerging issues are highlighted in the sectoral plan as lessons learned in effective engagement in the infrastructure sector. AusAID will be able to build on these successes in other infrastructure initiatives related to roads (through the Eastern Indonesia National Roads Improvement Project - EINRIP) and policy reform (through the Indonesia Infrastructure Initiative – IndII).

#### ❖ Australia is visible through WASPOLA-2

The visibility of Australian support through WASPOLA-2 can be attributed to the nature of Australia’s engagement in the sector (long term, strategic and effective) as well as the design of WASPOLA-2. The WASPOLA-2 Project Design Document (PDD) specifically states that project management will take particular account of the need for a strong Australian identity with WASPOLA. As such, all project materials, including stationary and presentation materials have clearly identified Australia’s involvement through AusAID’s logo.

The team leader of the ODE evaluation highlighted in a debrief following the mission that AusAID had received good coverage and exposure for “just writing out a cheque” to the World

<sup>13</sup> MDG 7, Target 3: halve, by 2015, the proportion of the population without sustainable access to safe drinking water and basic sanitation

<sup>14</sup> Source: AusAID (2008) *Water and Sanitation Initiative: Water, Sanitation and Hygiene Strategy for the Australian International Development Assistance program*, page 3.

<sup>15</sup> Source: Coulthart, A (2009) *Indonesia Infrastructure Mission – Water and Sanitation Back to the Office Report*, AusAID

<sup>16</sup> Source: Simamora, AP (24 September 2008) Govt targeting piped water for 10m households. *The Jakarta Post*.

Available from: <http://www.thejakartapost.com/news/2008/09/24/govt-targeting-piped-water-10m-households.html>

<sup>17</sup> Source: Medium Term Development Plan, Chapter 3, 4.1 and 4.2

<sup>18</sup> Source: AusAID (2008) *AIP Infrastructure Sectoral Plan*

Bank for the initiative.<sup>19</sup> An ODE assessment of the former Indonesian Country Strategy identified that not only has AusAID received good exposure through WASPOLA-2 but a small investment made by AusAID led to:

*“policy engagement with key donors and government officials and a real opportunity to influence the broader policy agenda for service delivery.. Australia has moved from being a ‘quiet’ player to being a more active partner at policy level”<sup>20</sup>*

## Effectiveness

### ❖ Implementation of WASPOLA-2 has exceeded expectations

The implementation of activities under component one (policy implementation) has exceeded expectations with the national Water Supply and Environmental Sanitation (WSES) policy being implemented in 62 districts in 9 provinces by the WASPOLA established inter-agency WSES working groups.<sup>21</sup> This result has been attributed to WASPOLA’s demand-led approach which has attracted strong interest from local governments prepared to commit training and an increased workload. All 62 districts have a strategic plan unique to their circumstances and local issues, which prioritise water and sanitation activities.

### ❖ Though not GoI approved, the national WSES policy has been effective

The national WSES policy, though signed by six government agency/ministry director generals is yet to be fully endorsed by the Indonesian government. As a result, it is yet to be institutionalised or integrated into core government procedures and instructions. However, implementation of the national WSES policy has been pivotal in harmonising donor and NGO interventions. AusAID, World Bank, ADB, UNICEF, GTZ and several NGOs have adopted a community based water and sanitation approach which forms the crux of the national policy. Despite this success, the policy is yet to be fully implemented in GoI projects with evidence to suggest that the Ministry of Public Works has not been fully implementing some community managed aspects of the policy.

### ❖ The national working group is widely recognised as the national de-facto apex body for coordination and information sharing

The national working group has become the de facto national apex body for water and sanitation. Though it operates without legal basis, it has established itself within the government and donor community as an effective and credible coordinating body. It acts as the main point of contact between government and donors and has been instrumental in implementing the national WSES policy.

Through WASPOLA-2’s support (under component three: knowledge management), the national working group has become widely recognised as a centre for sector information. It has demonstrated a strong capacity in communications, public relations, information sharing of case studies, research, lessons learned and in promoting the national WSES policy to local governments through ‘road shows’. The national working group also experiences high demand from NGOs, institutions and consumers for materials and information.

### ❖ WASPOLA-2 has promoted new sanitation approaches in Indonesia

WASPOLA-2 has been instrumental in establishing new sanitation approaches in Indonesia. A 2004 study tour of India and Bangladesh funded and organised by WASPOLA-2 encouraged the Ministry of Health to adopt the international community led total sanitation (CLTS) approach to sanitation. The GoI later “Indonesian-ised” the approach, referring to it as ‘community based total sanitation’ (CBTS or the Indonesian acronym *STBM*<sup>22</sup>). WASPOLA-2 assisted in piloting the approach in six districts in 2005 and later disseminated the results of the pilot studies. CBTS

<sup>19</sup> Source: Buhl-Nielsen, E (2009) Canberra Indonesia Program Debrief held on 21 January 2009

<sup>20</sup> Source: AusAID (2007) *Assessment of the Indonesia Country Program Strategy 2003-2006*, Office of Development Effectiveness, page 30

<sup>21</sup> Source: AusAID (2009) *WASPOLA-2 QAI*

<sup>22</sup> *Sanitasi Total Berbasis Masyarakat*: this term is used by the Ministry of Health

has since been adopted by the Ministry of Health as the national approach to creating open defecation free (ODF) communities. In late 2008, the Ministry of Health launched a national program that would unroll the CBTS approach to 10,000 villages throughout the archipelago. According to the GoI, over the space of two years (2006-2007) approximately 610 villages achieved ODF status.<sup>23</sup> The approach has been adopted by eight programs<sup>24</sup> and projects indicating good donor harmonisation.

## Efficiency

### ❖ Stakeholder relationships are good despite small frustrations

The relationship between stakeholders, particularly WSP-EAP and AusAID is harmonious; both stakeholders operate on an informal, but close working relationship.

A frustration experienced by those in the program (including AusAID, GoI counterparts and the project implementing team) is the associated World Bank bureaucracy and the time delays and administration required to operate through this system. Another serious burden for WASPOLA-2 management is that all three major stakeholders require reporting based on incompatible reporting schedules.<sup>25</sup> Reporting in multiple formats has drained high level resources and duplicated translation efforts.

### ❖ Roles and responsibilities of stakeholders at the central level are unclear

A significant criticism of the WASPOLA-2 Mid Term Review (MTR)<sup>26</sup> was that stakeholder roles and responsibilities were not clearly and consistently defined across key project documents. The MTR highlighted the following discrepancies:

Document	Agency / Organisation	Role / Responsibility
PDD	WSP-EAP	Executing Agency
	BAPPENAS	Nominated lead agency
Subsidiary Arrangement	BAPPENAS	Executing Agency
	WSP-EAP	Managing project on GoA's behalf Assisting GoI with implementation
Agreement between AusAID and World Bank	World Bank	Administering the grant with WSP-EAP as the manager

As far as this evaluation is aware, there have been no efforts during the later stages of WASPOLA-2 to clarify the roles and responsibilities between these agencies and organisations.

### ❖ Unclear roles have led to management issues

The discrepancies highlighted above have caused noteworthy management issues. For example, unclear responsibilities led to a monitoring and evaluation (M&E) framework not being designed and implemented until two years after the start of WASPOLA-2. Although, according to the first Annual Plan, WSP-EAP was responsible for progressing the framework, it was AusAID who ultimately hired a consultant to develop the M&E framework. Also relevant is that according to the latest progress report<sup>27</sup> the Central Project Committee (CPC) which consisted of relevant GoI agencies, as well as AusAID, WSP-EAP and WASPOLA management had not met since December 2004, though it was meant to meet twice every year. According to the MTR, BAPPENAS found it difficult to organise CPC meetings due to functional and structural

<sup>23</sup> Source: WAPOLA (2008) *Minister of Health Launched 10.000 Villages Total sanitation Program* (sic). Available from: <http://www.waspola.org/home/content/view/158/77>

<sup>24</sup> These programs include: WSLIC-2 and PAMSIMAS by the World Bank; CWSH by ADB; WES by UNICEF; TSSM by WSP; and projects implemented by Plan International, GTZ, Project Concern International and Harfa.

<sup>25</sup> Reports required include Six month progress report; Annual Plan (January-December); Half Yearly report, Budget (July-June) and GoI monthly reports.

<sup>26</sup> Source: Detto, K & Snowball, D (2006) *Indonesia- Australia Water Supply and Sanitation Policy Action Planning Project – WASPOLA 2, Mid Term Review*

<sup>27</sup> Source: WSP-EAP (2008) *Progress Report No. 8*, World Bank, Jakarta

changes in some agencies represented on the Committee. As a result, these CPC meetings were replaced by Strategic Review meetings where GoI was only represented by *BAPPENAS*.

❖ **WASPOLA-2 has benefited from good quality, long term technical assistance**

WASPOLA-2 has directly employed high calibre and experienced staff from the Project Director and Team Leader level down to office staff, locally contracted experts, consultants and facilitators. Almost all WASPOLA staff are Indonesian which has benefited the program due to their knowledge of GoI systems and Indonesian culture as well as communication. The Team Leader, though not Indonesian has many years experience in Indonesia and in-country knowledge. Experienced WASPOLA facilitators with training skills are in high demand outside of the program. WASPOLA also has a substantial pool of local expertise from universities, NGOs and private consulting companies which are drawn on for short term specialist inputs.

Long term technical support to WASPOLA has been crucial for taking advantage of opportunities in the sector. For example, WASPOLA was able to make progress when GoI implemented changes that required policy or strategy responses such as: during decentralisation when districts became responsible for the provision of water and sanitation services; official adoption of the MDGs in 2000; and debt restructuring of the water utilities.

❖ **Local level working groups are beneficial, though concerted efforts at the central level are needed**

Local level working groups are crucial for the successful implementation of the WSES policy at the district and provincial levels. In a meeting with the national level working group during the ODE evaluation<sup>28</sup>, local level working groups were praised for their ability to quickly disseminate information and solve problems. However, due to varying capacities and the diverse composition<sup>29</sup> of the local working groups, intense coordination from the central level is regularly required to ensure that local level working groups function appropriately.

In addition to capacity and coordination issues, local level working groups face other hindrances. For example, the West Lombok district working group has struggled to operate efficiently due to district sub-division which has increased the administration and coordination burdens of the working group.<sup>30</sup>

❖ **Risks have been largely avoided, though risk management is questionable**

WASPOLA-2 has been able to avoid (or appropriately manage) many of the risks outlined in the PDD.<sup>31</sup> This has been largely due to the initiative employing a demand-responsive design based on the lessons learned of the first phase.

However, the MTR in 2003 was very critical of the management of risks. Evidence highlighted in the MTR suggested that risk matrices in Annual Plans were copied and pasted into subsequent Annual Plans without being appropriately updated.<sup>32</sup> Management responses to those risks were also vague. The MTR recommended that the risk matrix be adjusted into a risk management plan and that risks should be recorded in the 6-monthly progress reports. Since then, a risk management plan has been developed, however the most recent progress reports only vaguely refer to risks without an update or concrete actions.

❖ **WSP-EAP's management of WASPOLA-2 is considered good value for money**

WSP-EAP's high profile amongst donors and NGOs as well as its long term engagement across the breadth of the sector in Indonesia has most likely contributed to the achievements of

<sup>28</sup> Source: National Level Working Group meeting held on 5 January 2009

<sup>29</sup> District level working groups are usually comprised of 8 core representatives from: *Bappeda*, Health, Public Works, Home Affairs, Local Water Utility, Women's Movement, NGOs and Universities.

<sup>30</sup> Source: West Lombok District WSES Working Group meeting held on 15 January 2009

<sup>31</sup> Risks include: national policies not being adopted by local governments; changes in ministry structures and key participating staff impeding the reform process; and equitable participatory approaches not effectively applied in local project decision making.

<sup>32</sup> Source: Detto, K & Snowball, D (2006) *Indonesia- Australia Water Supply and Sanitation Policy Action Planning Project – WASPOLA 2, Mid Term Review*, page 67

WASPOLA-2 (especially harmonisation of the sector). WSP's links to research and information networks has contributed to information sharing and lessons learned. Given these factors, the 14% management fee charged by WSP is considered reasonable.

## Impact

WASPOLA-2 has made more positive than adverse impacts. This is supported by the widely held perception that WASPOLA is a great success<sup>33</sup> so much so that other projects<sup>34</sup> have requested support from WASPOLA for capacity building.

### ❖ **Positive Impacts of WASPOLA include:**

#### \* **Successful implementation of the WSES policy**

By the end of December 2008, the national WSES policy was being implemented in 62 districts across 9 provinces by WSES working groups.<sup>35</sup> The success of this policy implementation has been variable between districts, the result of weak capacity in some district level governments. Although the policy is yet to be enforced and legalised through a ministerial or presidential decree, approximately 25 out of 62 districts have turned the policy into a local law. All of these districts have created a plan unique to their circumstances and local issues.

#### \* **Functioning inter-agency coordination**

WASPOLA-2's role in enhancing GoI coordination of the sector through the national WSES working group is one of the initiative's most significant achievements. The success of this working group has allowed the government to coordinate GoI and donor projects as well as harmonise approaches.

#### \* **Sector harmonisation**

Consistent implementation of the national policy through the national WSES working group has led to donors adopting and implementing the national policy. GoI activities that specifically implement water and sanitation activities also follow the policy. This has resulted in all major water and sanitation projects using the demand-led approach to water and sanitation.

#### \* **WASPOLA-2 has enhanced other water and sanitation activities**

Those districts that implement WASPOLA-2 have benefited from increased coordination and capacity as a result of the establishment of working groups and training from WASPOLA-2 facilitators. As a result, other water and sanitation activities, especially WSLIC-2, have made significant gains in those districts (more so than other districts that have not implemented WASPOLA-2).

The recent ODE evaluation mission noted the importance of WASPOLA-2 in this initiative:

*"The gains made by WSLIC-2 were inestimably enhanced by the actions of the WASPOLA project, through the establishment of working groups for water and sanitation at the district level, training a considerable number of community development facilitators and stressing the inclusion of women's groups and NGOs in district coordination".<sup>36</sup>*

WASPOLA was also instrumental in influencing the Ministry of Health adopting the international community-led subsidy free approach to sanitation. WASPOLA has since

<sup>33</sup> BAPPENAS meeting held on 5 January 2009

<sup>34</sup> WASPOLA now works with six national water and sanitation projects including WES (UNICEF); ProAir (GTZ); WSLIC-2 and PAMSIMAS (World Bank); CWSH (ADB); and ISSDP (WSP-EAP).

<sup>35</sup> Source: AusAID (2009) *WASPOLA-2 QAI*

<sup>36</sup> Source: Buhl-Nielsen, E; Giltner, S; Dutton, P; Donohoe, J; O'Farrell, S; Setiawan, D (2009) *Independent Evaluation of Australian Aid to Water Supply and Sanitation Services, Indonesia* (draft), page 29

implemented the CLTS approach as well as the more recent sanitation by communities program, *SANIMAS*.

#### ❖ **Other Impacts:**

##### \* **WASPOLA-2's demand for facilitators outweighs the supply:**

WASPOLA-2 is just one of several community based development projects in Indonesia that relies on facilitators for assistance and capacity building activities.<sup>37</sup> *BAPPENAS* has admitted that one of the greatest challenges for WASPOLA-2 is to find and train facilitators in a development environment where demand outweighs the supply.<sup>38</sup> At a minimum, facilitators have a Bachelor's degree and are trained for 6 months with an internship in the field. However, facilitators are rarely employed for the desired length of time (4 years) before they are employed or promoted by local governments. Although this results in local governments employing skilled and experienced facilitators, WASPOLA-2 must continuously find and train new facilitators to cope with the turnover.

### **Sustainability**

The following analysis on the sustainability of WASPOLA-2 is based on the vision shared by the WASPOLA-2 Sustainability and Exit Strategy<sup>39</sup> and *BAPPENAS*<sup>40</sup> that any benefits post-project would have to be financed solely by GoI central or local sources.

#### ❖ **There is strong GoI support for WASPOLA-2**

WASPOLA-2 has had strong GoI buy-in from the beginning. The national working group is chaired by the national planning agency, *BAPPENAS* with representation from the Ministries of Health, Public Works, Finance, Home Affairs, Settlement and Regional Infrastructure and Environment. Most working group members are very active and the national working group's running costs (for M&E, training and communications) are met by the GoI (approximately USD 1.5), indicating strong Government ownership and support.<sup>41</sup>

#### ❖ **Sustainability of WASPOLA-2 will depend on the momentum of the national working group**

According to the Exit and Sustainability Strategy, the national working group is the centre of all sector activity in Indonesia and that the sustainability of WASPOLA-2 will depend on the continued momentum of the working group.<sup>42</sup> The Strategy notes that the national working group enjoys substantial GoI support, and that if these funds are to remain consistent and sufficient, working groups at all levels should be able to maintain activity momentum. The fact that working groups also engage in other long term projects such as WSLIC/PAMSIMAS, ISSDP, ESP and WASAP also supports sustainability.

#### ❖ **The national working group faces sustainability challenges**

The national working group's running costs are currently met by a miscellaneous budget line channelled through *BAPPENAS* and allocated to working group partners. The budget is yet to be fully integrated into the national budget and according to working group members, seems likely to end in 2009, casting doubt over the sustainability of the national working group.

The national working group also operates informally (without legal decree). This is largely due to the inflexibility of multi-departmental decrees which are no longer valid if a representative

<sup>37</sup> For example, other AusAID supported projects that require facilitators for capacity building and assistance include: WSLIC II and PAMSIMAS, ACCESS, and PNPM through SADI.

<sup>38</sup> *BAPPENAS* meeting held on 5 January 2009

<sup>39</sup> Source: AusAID (2006) *WASPOLA-2 Sustainability and Exit Strategy*, page 1

<sup>40</sup> Source: *BAPPENAS* meeting held on 5 January 2009

<sup>41</sup> Source: AusAID (2006) *WASPOLA-2 Sustainability and Exit Strategy*

<sup>42</sup> Source: AusAID (2006) *WASPOLA-2 Sustainability and Exit Strategy*, page 3

resigns. The informal status of the national working group also prevents it from signing Memorandums of Understanding (MoU) with other organisations (for example, PLAN International). However, as highlighted in meetings with representatives of the working group, the informal status of the working group provides flexibility – particularly the ability to speak freely and act decisively.<sup>43</sup> The important thing, working group representatives insist, is that there is money for the group and that services continue to be provided.

❖ **High staff turnover and low capacity threaten the sustainability of district working groups**

There are currently 62 districts with working group structures in place. These working groups are typically made of 8 core representatives from the district development agency (*BAPPEDA*), Health, Public Works, Home Affairs, water utility (*PDAM*), women’s movement, NGOs and Universities. These working groups are established by local decree, supported by the local governor and locally funded. However district working groups are vulnerable to high staff turnover and low capacity. Approximately 7 of 62 working groups supported by WASPOLA have experienced a complete change of members, requiring full re-training of new members by WASPOLA. Coordinating the district budget for water and sanitation between agencies is also a challenge for the working groups.

## **Gender Equality**

❖ **There is no clear approach to gender equality in the design of WASPOLA-2**

Whilst the WASPOLA-2 PDD acknowledged the importance of gender ‘equity’ within the initiative, there was no attempt to specifically describe how gender equality/equity would be integrated into the design of WASPOLA-2. The PDD references the Methodology for Participatory Assessment (MPA), an apparent success in phase one of WASPOLA for “integrating gender and poverty sensitive approaches into a practical framework of field methods”, however there is no clear description of the method, how it would be implemented and by which stakeholder.

Given that the main entry point for women’s participation in WASPOLA is in the working groups (at national, provincial and district levels) there is currently no strategy for how women could be involved in the working groups at various levels. Obstacles to women’s participation are not acknowledged, nor are there strategies (such as affirmative action) to encourage participation. This is despite the very clear message in the national WSES policy: that there is a greater chance of sustainability when women actively participate in the WSES development decision making process.<sup>44</sup>

❖ **Women are involved in working groups, though they form the minority**

Women are actively involved in the national working group, with approximately 30% of the group comprised of women. However, women’s participation in local level working groups is significantly less, at around 15%.<sup>45</sup> This figure seems to contradict the positive assessment and praise for MPA which is directed at encouraging female perspectives and participation at the grass roots level.<sup>46</sup>

Although women are included in the working groups, this does not ensure their meaningful participation, let alone in decision making. Interestingly though, some of the most progressive local level working groups are headed by women, including Banten, Serang, Kebumen, Pekalongan and Central Java.

<sup>43</sup> Source: National Working Group meeting held on 5 January 2009

<sup>44</sup> Source: Government of Indonesia (2003) *National Policy: Development of Community-Based Water Supply and Environmental Sanitation*, page 5

<sup>45</sup> Source: AusAID (2009) *WASPOLA-2 QAI*

<sup>46</sup> Good gender equity in WASPOLA was attributed to MPA – as highlighted in the Report on Review of the AusAID funded WASPOLA Project (2002) and PDD (2003).

### ❖ The National WSES Policy emphasises gender equality

One of the most significant and positive aspects of WASPOLA-2 is that the national WSES policy (prepared under WASPOLA-1 and implemented through WASPOLA-2) has a strong focus on gender equality. The national WSES policy is explicit in stating that women should:

*“actively participate in determining problems, identifying underlying causes, recommending possible solutions, and ultimately making decisions to solve related problems”<sup>47</sup>*

The policy places the beneficiaries as decision makers and implementers with an emphasis on women’s roles in decision making.

### ❖ Gender equality is not included in the WASPOLA-2 M&E Framework

The M&E Framework designed for WASPOLA-2 in 2006, does not contain any gender equality reporting and performance indicators. As a result, WASPOLA-2 progress reports prepared for AusAID by WSP-EAP do not contain sex-disaggregated data nor other gender indicators/statistics (such as participation of women in working groups, how many women received capacity building training, sex disaggregated field results etc). As a result, it is difficult to conclude where WASPOLA-2 has made positive impacts on gender equality.

### ❖ WASPOLA-2 has not sufficiently improved gender equality

While there is no doubt that WASPOLA-2 has improved women’s access to water and sanitation as well as included women (to various degrees) in decision making, it is questionable as to whether it has advanced gender equality.<sup>48</sup> The ODE evaluation concluded that Australian support (through WASPOLA-2 and WSLIC-2) to the water and sanitation sector in Indonesia had not sufficiently improved gender equality.<sup>49</sup> This is primarily because local level working groups and community groups have been unable to operationalise the gender equality principles of the national WSES policy. As a result, women’s participation in these groups and in decision making forums still remains low.

## Monitoring and Evaluation

### ❖ There was no M&E framework for WASPOLA-2 until 2006

The WASPOLA-2 MTR<sup>50</sup> noted that several key documents including the PDD and the first Annual Plan lacked an M&E framework. The MTR attributed this absence to inadequate communication and management weaknesses on behalf of all stakeholders.<sup>51</sup>

During the absence of an M&E Framework, the MTR noted that some monitoring was being undertaken, however achievements were not being systematically recorded and reporting was not activity based. In fact, monitoring tended to measure provincial progress rather than performance. These findings were supported by BAPPENAS officials in January 2009 who stated that there are still issues with reporting: Not all local governments and working groups provide monitoring data to the central level and there are still issues regarding the quality and consistency of this data.<sup>52</sup>

<sup>47</sup> Source: Government of Indonesia (2003) *National Policy: Development of Community-Based Water Supply and Environmental Sanitation*, page 15

<sup>48</sup> According to the four dimensions of gender equality in AusAID’s 2007 *Gender Equality in Australia’s Aid Program – why and how?*: access, decision making, women’s rights, capacity building

<sup>49</sup> Source: Buhl-Nielsen, E; Giltner, S; Dutton, P; Donohoe, J; O’Farrell, S; Setiawan, D (2009) *Independent Evaluation of Australian Aid to Water Supply and Sanitation Services, Indonesia* (draft), page 34

<sup>50</sup> Source: Detto, K & Snowball, D (2006) *Indonesia- Australia Water Supply and Sanitation Policy Action Planning Project – WASPOLA 2, Mid Term Review*,

<sup>51</sup> Note: The MTR argues that WSP-EAP was ultimately responsible for the development of an M&E framework. However in a design appraisal, AusAID was informed that the M&E framework for the initiative was unclear and the indicators were inadequate. The appraisal recommended that a clear and practical M&E Framework be developed, however such an attempt did not occur until late 2006, after the MTR for WASPOLA-2 made the same recommendation.

<sup>52</sup> Source: BAPPENAS meetings held on: 5 January 2009 and 19 January 2009

### ❖ **The M&E Framework for WASPOLA-2 lacks clear performance indicators, methods and timeframes**

The M&E Framework designed in 2006 lacks detail about: methods and tools; the allocation of responsibility to individuals; implementation schedule/timeframe; and a clearly defined budget. There are also no performance indicators at the goal, purpose and component objective levels.

The Framework also does not meet any of the broad AusAID descriptions (stipulated in AusGuide used in 2006) of what must be included in an M&E Framework. Notable absences include: monitoring and reporting roles and responsibilities of each partner; the technical requirements and tools for monitoring; and the integration of monitoring and reporting into the planning and management processes and structures of the activity.

### ❖ **The M&E framework is not being used in progress reports**

Progress reports following the establishment of the M&E framework in late 2006 have not appropriately used or reported against the indicators specified in the M&E framework. For example quantitative indicators (such as “number of workshops and seminars...” or “number of case studies done...”) are only often reported by general statements rather than quantitative descriptors. This insufficient use of the M&E Framework could be attributed to the narrow methodology used to create and implement it: Although the M&E consultant consulted with AusAID, the team leader and project leader as well as key staff, there was no consultation with working groups at the sub national level – despite the fact that sub-national working groups collect local data to feed upwards to the national working group. In addition to this, there was no training given to any stakeholders on the use and implementation of the M&E Framework.

### ❖ **A sector wide M&E Framework is being developed**

The national WSES policy calls for the development of a simple sector wide M&E system. Currently, all donors and the GoI are using their own independent M&E frameworks. This has resulted in a wide range of M&E databases that cannot be compared to each other or consolidated to provide a clear picture of sector coverage. As such, it is difficult to ascertain whether the policy is being properly implemented, is having the desired impacts and what geographic regions most need investment.

Meetings with *BAPPENAS*<sup>53</sup> in January 2009 revealed that some GoI departments with NGOs have already entered into discussions to develop a sector wide M&E framework. These discussions have since continued with the National Conference on Water and Sanitation Monitoring held in April 2009 allowing national and international government representatives, district agencies, water and sanitation projects and international agencies to share experiences on monitoring in the sector.<sup>54</sup>

## **Analysis and Learning**

### ❖ **There was no critical analysis of WASPOLA-1 to build the design of WASPOLA-2**

An appraisal<sup>55</sup> of the PDD undertaken in 2003, argued that the design of WASPOLA-2 did not build on the experiences gained in phase one. According to the appraisal, although the PDD discusses the achievements of WASPOLA-1, it did not provide a critical analysis of how the problems and limitations of phase one could be overcome in phase two. There are no lessons learned identified.

### ❖ **Insufficient M&E has led to lost opportunities for analysis and learning**

Though 6-monthly progress reports have been sufficient in updating AusAID on progress and future plans, the lack of (consistent) reporting to M&E Framework indicators has resulted in an unclear picture of WASPOLA-2's progress. Though it is clear that WASPOLA-2 has made some

<sup>53</sup> Source: *BAPPENAS* meeting held on 19 January 2009

<sup>54</sup> Source: WASPOLA (2009) *Lesson Learned from Around the World* (sic). Available from: <http://www.waspola.org/home/content/view/184/77/>

<sup>55</sup> Source: Krogh, C & O'Dell, M (2003) *Project Design Appraisal: Water Supply and Sanitation Policy and Action Planning Project (WASPOLA) Phase 2* (page 9)

significant progress and achievements, there has been no systematic monitoring of indicators to highlight the gaps and weaknesses in WASPOLA-2's implementation. As such, opportunities for analysis and learning have been lost. Opportunities to remedy the weaknesses/gaps and systematically monitor the progress of implemented recommendations have also been lost.

❖ **Information sharing through WASPOLA-2 has been excellent**

WASPOLA-2 has been very successful in the collection, analysis and dissemination of information relevant to the water and sanitation sector. The national working group has become a widely recognised centre for water and sanitation information and experiences high demand from donors, NGOs, institutions and consumers for materials and information. The working group's magazine *Pervik* contains information about events, experiences, lessons learned and progress relevant to the sector. It is distributed to all provinces, districts, water utilities, universities, donors and NGOs. Prints for a water and sanitation journal for school-aged children has exceeded 35,000 copies with more requested. The working group also has an online library (called *Digilib*<sup>56</sup>) which contains publications and data relevant to the sector.

## Evaluation Criteria Ratings

Evaluation Criteria	Rating (1-6)
Relevance	5
Effectiveness	5
Efficiency	4
Sustainability	4
Gender Equality	3
Monitoring & Evaluation	3
Analysis & Learning	4

**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

<sup>56</sup> AMPL (2009) *Digilib*. Available from: <http://digilib-ampl.net/>

## Conclusions and Recommendations

WASPOLA is a good ‘vehicle’ for both GoI and GoA to make significant ground in achieving mutual development commitments, such as the MDGs. The initiative has made several significant achievements on many fronts. The sector has benefited from improved coordination and harmonisation and the government has benefited from improved capacity and information sharing. WASPOLA has also enhanced other community water and sanitation initiatives and increased AusAID’s profile in the sector. Despite these achievements however, many aspects of WASPOLA still require support in order to become fully institutionalised. For example, the national policy is yet to be endorsed by the GoI and as a result, is not yet integrated into GoI procedures and instructions. The national working group still remains informal and does not have a permanent budget line.

Based on these issues and the recommendations of other evaluations, AusAID has committed AUD 10 million over four years to supporting the third phase of WASPOLA: the WASPOLA Facility. This support will build on the successes of the previous two phases of WASPOLA and will focus on those aspects that still require support.

In light of this, the following are recommendations that take into account the proposed design of WASPOFA<sup>57</sup> and the lessons learned from WASPOLA-2 to facilitate the effectiveness, monitoring and sustainability of the WASPOLA Facility.

### Lessons and Recommendations for the WASPOLA Facility:

#### ✚ Lesson #1: The appropriate design and implementation of an M&E framework is essential for a clear picture of progress, performance and learning opportunities

WASPOLA-2’s M&E Framework was developed too late in the initiative’s life, was inadequate for AusAID reporting and quality purposes and poorly implemented and integrated into the initiative.

The framework itself lacked appropriate performance indicators (at goal, purpose and project objective levels), lacked detail on data collection methods, timeframes and responsibility for monitoring and analysis. The process of designing the M&E framework did not involve consultation with local working groups, nor was there training provided to those individuals who collected and analysed data.

**WASPOLA Facility Update:** Since WASPOLA-2, considerable attention has been dedicated to improving the M&E component for the WASPOLA Facility. According to the WASPOLA Facility PDD, the following improvements have been made to the initiative’s M&E:

- Comprehensive annual M&E reports (to provide an analysis on program activities, review implementation quality and recommend improvements to the design and implementation);
- Designation of M&E responsibilities to specific stakeholders;
- Employment of a full time national M&E adviser; and
- Employment of an international M&E specialist (8 months over 4 years).

The PDD also contains an M&E framework for the WASPOLA Facility. The framework provides M&E arrangements at four distinct levels: activity M&E; facility oversight M&E; program level monitoring; and impact evaluations.

The WASPOLA Facility M&E framework also addresses many of the weaknesses in the WASPOLA-2 framework. The new framework clearly specifies who is responsible for collecting the M&E information as well as the frequency, reporting timetable, content, purpose and audience of M&E reporting. Arrangements for the framework will involve consultation with those who will contribute and benefit from the facility and analyses will be conducted of existing M&E systems in GoI agencies.

<sup>57</sup> Source: World Bank (2008) *Water and Sanitation Policy Facility (WASPOFA) Program Design Document - Final*

Based on the lessons learned from WASPOLA-2 and the proposed M&E framework for the Facility, below are recommendations for AusAID to ensure the appropriate implementation of the Facility's M&E framework:

**Recommendation #1a:** Invest in activities that build the capacity of local working groups and other relevant stakeholders to collect data inline with the indicators of the M&E framework.

**Rationale:** Arrangements in the M&E framework allow for the analysis of existing GoI/Implementing Agency M&E systems. However, no arrangements for M&E capacity building are specified. The WASPOLA Facility will place a demand on various stakeholders (especially the GoI through working groups and implementing agencies) for monitoring. Capacity building through training, mentoring and secondments can be effective ways in creating capacity to consistently meet the demand. Capacity building can have the extra benefit of contributing to a systematic process of regularly assessing government performance.<sup>58</sup> Such capacity building can positively impact GoI efforts to develop a sector M&E Framework.

**Recommendation #1b:** Agree with stakeholders (World Bank and GoI) on a reporting format and cycle/timeline that reduces the need for repetitious reporting (in different formats) by WSP-EAP.

**Rationale:** High level resources were unnecessarily consumed during WASPOLA-2 for reporting in multiple formats. An agreed reporting format and timeline would significantly reduce this burden and free-up more time and resources for implementation and monitoring activities.

**Recommendation #1c:** Engage in dialogue with the GoI about the development of a sector wide M&E framework.

**Rationale:** AusAID engagement in dialogue about the development of a sector wide M&E framework will contribute to information sharing and mutual learning. It will also inform the M&E frameworks of future AusAID water and sanitation initiatives.

#### ⊞ **Lesson #2: The roles and responsibilities of key stakeholders must be clear and consistent**

The uncertainty about roles, responsibilities and channels of communication amongst stakeholders in WASPOLA-2 led to the long absence of an M&E framework and the dissolution of CPC meetings.

**WASPOLA Facility Update:** The WASPOLA Facility PDD clearly defines the roles and responsibilities of the key stakeholders, including the working groups and new Facility Management Committee (FMC) and Facility Management Unit (FMU). The PDD also identifies the human resources (number staff, skills and capabilities) needed for the FMC and FMU to operate efficiently and effectively.

**Recommendation #2a:** Through regular monitoring undertaken by AusAID<sup>59</sup>, ensure that all stakeholders meet their obligations, roles and responsibilities as outlined in the PDD.

**Rationale:** Regular monitoring will allow management issues to be addressed and solved quickly rather than turning into chronic issues that significantly impact on the implementation of the Facility.

<sup>58</sup> Source: World Bank (2004) *Assessing country readiness for results-based monitoring and evaluation systems*, Prem Notes.

<sup>59</sup> Either through informal contact with WSP-EAP or through annual reports and progress reports

### ⊕ **Lesson #3: WASPOLA cannot meaningfully improve women's access to water and sanitation without integrating gender equality into the initiative's design**

Despite gender equality and the active participation of women in decision making forming the basis for the national WSES policy, WASPOLA-2 failed to significantly improve gender equality (access, decision making, women's rights and capacity building). Although women were active to various degrees in working groups (even leading some district working groups), the absence of gender indicators (such as sex-disaggregated data) in the M&E Framework resulted in an unclear picture of how WASPOLA-2 benefited women and gender equality.

**WASPOLA Facility Update:** The new design for the WASPOLA Facility has taken into account many of the lessons learned during WASPOLA-2 regarding gender equality. Significant improvements in the WASPOLA Facility include the employment of a gender specialist (two months per year for four years) and the development of a Gender Action Plan (GAP). The GAP identifies the following objectives for gender equality in the WASPOLA Facility:

- Integration of a gender mainstreaming policy into the Facility's institutional and operational framework;
- Requirements for gender balance among consultants, facilitators and trainers;
- Gender inclusive criteria will need to be addressed in proposals;
- Integration of gender disaggregated data into the M&E system for regular analysis and evaluation of progress and impacts for gender mainstreaming and women's empowerment;
- Institutionalisation of gender mainstreaming and women's empowerment agenda actively advocated and supported with all partner agencies; and
- Inclusion of gender equity knowledge generation and management activities into the Facility program improvement and continuous learning agenda.

Based on these improvements and the lessons learned from WASPOLA-2, the following are recommendations to strengthen the integration of gender equality into the design, implementation and M&E of WASPOLA Facility:

**Recommendation #3a:** Identify which stakeholders are responsible for the measures/activities identified in the GAP.

**Rationale:** Currently, the GAP does not identify individuals or stakeholders responsible for undertaking certain measures/activities. The activities outlined in the GAP are more likely to be undertaken if they are allocated to individuals or stakeholders as roles and responsibilities (this is especially critical since the gender specialist will not be employed full time).

**Recommendation #3b:** Ensure that the roles and responsibilities of the gender specialist include the following:

- Organise/undertake staff and stakeholder training/s on why and how gender will be mainstreamed in the WASPOLA Facility (and community activities);
- Organise/undertake staff and stakeholder training/s on why and how to collect gender sensitive data and monitor gender equality;
- Organise adequate financial and human resources for work on gender equality;
- Undertake routine reviews on the implementation and monitoring of gender equality, providing recommendations based on results; and
- Identify local gender equality advocates as contacts and resource people.

**Rationale:** Given that the gender specialist will not be employed on a full time basis, it is essential that all staff are aware of *why* and *how* to implement gender equality in the Facility. The activities outlined above focus on building the knowledge and capacities of stakeholders to undertake this work as well as developing networks and resources to ensure the implementation of gender equality when the gender specialist is not available.

#### ⌘ **Lessons learned from previous “facility approach” initiatives:**

Although the WASPOLA Facility is a continuation of the first two phases of WASPOLA, assistance through the third phase will be delivered as a facility. This facility approach will allow assistance to be used “in a flexible manner to address needs in a rapidly changing policy environment”.<sup>60</sup> The facility will also allow the GoI to: have substantial authority over the selection of activities; responsibility for managing the implementation of those activities; and responsibility for evaluating the performance of the activities.

The Indonesia Program has had some experience in employing facility approaches.<sup>61</sup> Below are some lessons learned based on those experiences:<sup>62</sup>

- ✦ Facility funds are more intensive to manage than conventional programs, therefore resulting in higher proportion of funds spent on overhead costs;
- ✦ Performance information systems are generally not well developed;
- ✦ Facility designs must have a realistic and achievable statement of purpose that describes the intended focus and anticipated characteristics – broad development goals that are long term, difficult to measure and difficult to attribute are not useful;
- ✦ Facility designs must clearly specify roles and responsibilities of each key player involved in facility and management;
- ✦ Budget size impacts on ownership and effectiveness: it is best to avoid larger budgets which usually recruit high levels of foreign TA (which reduces Indonesian involvement); and
- ✦ Facility funds which drive small Indonesian projects usually have difficulties handling larger budgets.

<sup>60</sup> Source: World Bank (2008) *Water and Sanitation Policy Facility (WASPOFA) Program Design Document – Final* Page 25

<sup>61</sup> Including: Indonesia Australia Legal Development Facility (IALDF); Technical Assistance Management Facility (TAMF); Indonesia Infrastructure Initiative (IndII) Facility

<sup>62</sup> Source: McLaren, R (2009) *Indonesia Program Facilities*, AusAID

## Summary of Lessons and Recommendations:

For the WASPOLA Facility:		
L 1	The appropriate design and implementation of an M&E framework is essential for a clear picture of progress, performance and learning opportunities	
	R 1a	Invest in activities that build the capacity of local working groups and other relevant stakeholders to collect data inline with the indicators of the M&E framework
	R 1b	Agree with stakeholders (World Bank and GoI) on a reporting format and cycle/timeline that reduces the need for repetitious reporting (in different formats) by WSP-EAP
	R 1c	Engage in dialogue with the GoI about the development of a sector wide M&E framework
L 2	The roles and responsibilities of key stakeholders must be clear and consistent	
	R 2a	Through regular monitoring undertaken by AusAID, ensure that all stakeholders meet their obligations, roles and responsibilities outlined in the PDD
L 3	WASPOLA cannot meaningfully improve women's access to water and sanitation without integrating gender equality into the initiative's design	
	R 3a	Identify which stakeholders are responsible for the measures/activities identified in the WASPOLA Facility Gender Action Plan
	R 3b	Ensure that the roles and responsibilities of the gender specialist include organising and undertaking appropriate gender trainings; organising adequate financial and human resources for gender integration and implementation; undertake routine reviews on the implementation and monitoring of gender equality; and identify local gender equality advocates as contacts/resource people.

## KEY DOCUMENTS AND OTHER REFERENCES:

### Key documents (documents that have informed the results of this ICR):

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Detto, K & Snowball, D (2006) *Indonesia- Australia Water Supply and Sanitation Policy Action Planning Project – WASPOLA 2, Mid Term Review*

WSP-EAP (2008) *WASPOFA Gender Action Plan*

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### Other references:

ADB (2006) *Simple Solution for Drinking Water Makes a Big Difference*. Available from: <http://www.adb.org/water/actions/ino/simple-solution.asp>

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AusAID (2002) *Report on Review of the AusAID funded WASPOLA Project Indonesia*

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Krogh, C & O'Dell, M (2003) *Project Design Appraisal: Water Supply and Sanitation Policy and Action Planning Project (WASPOLA) Phase 2*

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Stalker, P (2007) *Let's Speak Out for MDGs*, BAPPENAS

WAPOLA (2008) *Minister of Health Launched 10.000 Villages Total sanitation Program* (sic). Available from: <http://www.waspola.org/home/content/view/158/77/>

WASPOLA (2009) *Lesson Learned from Around the World* (sic). Available from: <http://www.waspola.org/home/content/view/184/77/>

WHO (2008) *Progress on Drinking Water and Sanitation – Special Focus on Sanitation*. Available from: [http://www.who.int/water\\_sanitation\\_health/monitoring/jmp2008/en/index.html](http://www.who.int/water_sanitation_health/monitoring/jmp2008/en/index.html)

WHO/UNICEF (2006) *Joint Monitoring Program for Water Supply and Sanitation Coverage Estimates*

World Bank (2004) *Assessing country readiness for results-based monitoring and evaluation systems*, Prem Notes.

WSP-EAP (2008) *Economic Impacts of Sanitation in Indonesia*, World Bank, Jakarta

## APPENDIX A

### Signed WASPOLA-2 Desk Review ICR Minute



Australian Government  
AusAID

## Minute

File No.		Date	16 April 2009
Subject	Water and Sanitation Policy Formulation and Action Planning Phase 2 (WASPOLA Phase 2) Independent Completion Report: Internal Review Proposal		
For	Sam Zappia, Chief of Operations		
Through	Linda Valente, Director of Performance Section <i>h. 16/4</i> Robin Taylor, Counsellor of Infrastructure and Regional Development		
Cc	Blair Exell, Minister Counsellor James Gilling, ADG IET Nic Notarpietro, OPMU		

### Purpose

To seek your approval to undertake the Independent Completion Report (ICR) for the WASPOLA Phase 2 initiative as a desk review led by the Performance Section in Canberra.

### Background

2. There have been two significant water and sanitation reviews done in Indonesia within the past year: the Water and Sanitation Initiative (WSI) Identification Mission in July 2008 and the ODE Water and Sanitation Sector Evaluation in January 2009. Both missions reviewed WASPOLA Phase 2 (among other initiatives).

### Issues

3. The WASPOLA Phase 2 initiative commenced in January 2004 and is due for completion in June 2009. An ICR is scheduled to occur in April 2009.

4. A WASPOLA Phase 2 ICR will inform management on the extent to which the program achieved its objectives and provide recommendations to improve the implementation of the next phase.

5. A Desk led review of data collected from the previous two water and sanitation missions is appropriate because it will:

- a. integrate relevant data from previous reports into a WASPOLA-specific report. We are confident that for the purposes of this ICR, there is enough information to do this: the ODE Evaluation reviewed WASPOLA's progress since the Mid Term Review in 2006 and both missions collected and analysed a broad range of relevant data and interviewed relevant stakeholders;

- b. prevent "stakeholder fatigue"—interviewing the same stakeholders for the third time in 12 months; and
- c. ensure value for money and time.

6. It is proposed that the review will be primarily undertaken by the Performance Section in Canberra, with minimal assistance from Post. Sue Ellen O'Farrell who participated in the ODE review is available to undertake this exercise, with support as required, by other members of the team. Should the desk review find that additional information is in fact required from the field, arrangements for a site visit will be undertaken. However, this eventuality is not expected to arise.

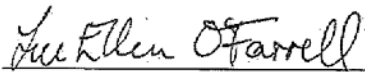
7. Pending approval, the ICR process will begin in late April and it is expected that a draft report will be available for comment by mid-June.

8. Terms of Reference for this ICR is being developed by Post.

9. The Performance Section consulted OPMU and they agreed that the rationale for our approach is sound and the decision is one for Indonesia program management.

#### **Recommendation**

10. That you agree to an Independent Completion Report (ICR) for the WASPOLA Phase 2 initiative being undertaken as a desk review led by the Performance Section in Canberra.

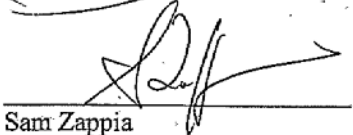


Sue Ellen O'Farrell  
Project Officer  
Performance Section

**APPROVED**

**NOT APPROVED**

**DISCUSS**



Sam Zappia  
Chief of Operations  
Jakarta

21/4/09

## APPENDIX B

### WASPOLA ICR Evidence Analysis

ICR Criteria	Evidence? Key Documents	Methodology:
<b>Relevance</b>		
– Were the objectives relevant to Australian Government and partner government priorities?	Yes <ul style="list-style-type: none"> <li>Indonesia Medium Term Devt Plan</li> <li>AIP Indonesia Country Strategy</li> </ul>	<ul style="list-style-type: none"> <li>Comparison: initiative objectives, GoI and GoA priorities. What are the similarities? What are the differences? Any obvious differences?</li> <li>Review GoI contribution towards WASPOLA (as a proxy for GoI priorities).</li> </ul>
– Were the objectives relevant to the context/needs of beneficiaries?	Yes <ul style="list-style-type: none"> <li>MDG Stats</li> <li>Planning &amp; Design docs</li> <li>Reports prior to WASPOLA</li> <li>SUSENAS data</li> </ul>	<ul style="list-style-type: none"> <li>Comparison: WASPOLA objectives to needs (statistics and status of National Sector Framework in reports before implementation of WASPOLA)</li> <li>SUSENAS data: provide context</li> </ul>
– If not, what changes should have been made to the activity or its objectives to ensure continued relevance?	Yes <ul style="list-style-type: none"> <li>ODE Report</li> </ul>	<ul style="list-style-type: none"> <li>Re: continued relevance, review ODE report (and field notes) Annex C of ODE Report covers this topic</li> </ul>
<b>Effectiveness</b>		
– Were the objectives achieved? If not, why?	Yes <ul style="list-style-type: none"> <li>ODE Evaluation</li> <li>QAIs</li> <li>MTR</li> <li>Progress Reports</li> </ul>	<ul style="list-style-type: none"> <li>Review all relevant documents – look out for gaps (what objectives were not achieved) and reasons for this.</li> <li>ODE Report covers this topic (page 16- effectiveness of WASPOLA)</li> </ul>
– To what extent did the activity contribute to achievement of objectives?		
<b>Efficiency</b>		
– Did the implementation of the activity make effective use of time and resources to achieve the outcomes?	Yes <ul style="list-style-type: none"> <li>ODE Evaluation</li> <li>WSI Mission Report</li> <li>MTR</li> </ul>	<ul style="list-style-type: none"> <li>Review all relevant documents (particularly mission reports and MTR as ODE evaluation did not thoroughly cover this topic).</li> <li>Comparison– MTR to subsequent documents (any changes or discrepancies?)</li> </ul>
• Was the activity designed for optimal value for money?	Yes <ul style="list-style-type: none"> <li>Design Docs</li> <li>MTR</li> </ul>	<ul style="list-style-type: none"> <li>Review design documents – any specific reference made to value for money / efficiency? Any financial/economic feasibility done?</li> <li>Review MTR – any comments/analysis on design? Any recommendations?</li> </ul>
• Have there been any financial variations to the activity? If so, was value for money considered in making these amendments?	Yes <ul style="list-style-type: none"> <li>Progress Reports</li> <li>MTR</li> </ul>	<ul style="list-style-type: none"> <li>Review relevant documents – specifically if there have been any major amendments and justifications for these amendments.</li> </ul>
• Has management of the activity been responsive to changing needs?	Yes <ul style="list-style-type: none"> <li>Progress</li> </ul>	<ul style="list-style-type: none"> <li>Review relevant documents (esp Progress Reports)</li> </ul>

	<ul style="list-style-type: none"> <li>• Reports</li> <li>• QAIs</li> <li>• MTR</li> </ul>	<ul style="list-style-type: none"> <li>• Compare recent QAIs and progress reports: any changes to activity? What are the reasons for the changes? Any ‘teething problems’ with these changes?</li> <li>• Interview key figures – if there are gaps or inconsistencies in the current information/data.</li> </ul>
• Did the activity suffer from delays in implementation? If so, why and what was done about it?	Yes <ul style="list-style-type: none"> <li>• Progress Reports</li> <li>• QAIs</li> <li>• MTR</li> </ul>	<ul style="list-style-type: none"> <li>• Review relevant documents</li> <li>• Compare details – any discrepancies in reasons for delays?</li> </ul>
• Did the activity have sufficient and appropriate staffing resources?	Yes <ul style="list-style-type: none"> <li>• ODE Evaluation</li> <li>• Progress Reports</li> <li>• QAIs</li> <li>• MTR</li> </ul>	<ul style="list-style-type: none"> <li>• Review all relevant documents</li> <li>• ODE Evaluation addresses this: page 23</li> <li>• MTR addresses this: page 25</li> </ul>
– Was a risk management approach applied to management of the activity (including anti-corruption)?	Yes <ul style="list-style-type: none"> <li>• Design documents</li> <li>• MTR</li> <li>• Annual Plans</li> </ul>	<ul style="list-style-type: none"> <li>• Review all relevant documents</li> <li>• Project design document addresses this: 52</li> <li>• MTR: page 18</li> <li>• 2008 Annual Plan: page 12</li> <li>• ODE Evaluation: page 24</li> </ul>
– What were the risks to achievement of objectives? Were the risks managed appropriately?	Yes <ul style="list-style-type: none"> <li>• Annual Plans (risk matrices)</li> <li>• QAI</li> <li>• MTR</li> </ul>	<ul style="list-style-type: none"> <li>• Review risk matrices in annual plans</li> <li>• Comparison of yearly QAIs – same problems? Problems rectified from year before?</li> </ul>
<b>Impact</b>		
– Did the activity produce intended or unintended changes in the lives of beneficiaries and their environment, directly or indirectly?	Yes <ul style="list-style-type: none"> <li>• ODE Evaluation</li> <li>• Progress Reports</li> <li>• Percik</li> </ul>	<ul style="list-style-type: none"> <li>• Review relevant documents (including field notes from ODE evaluation and case studies)</li> <li>• Any significant articles in Percik on changes to beneficiaries?</li> <li>• ODE Evaluation: page 18+</li> </ul>
– Were there positive or negative impacts from external factors?	Yes <ul style="list-style-type: none"> <li>• ODE Evaluation</li> <li>• WSI Mission Report</li> <li>• QAIs</li> <li>• Annual plans</li> </ul>	<ul style="list-style-type: none"> <li>• Review relevant documents (especially segments on GoI and other donor activities)</li> <li>• Compare negative impacts with risks outlined in annual plans and QAIs</li> <li>• ODE Evaluation: NGO and other donor projects</li> </ul>
<b>Sustainability</b>		
– Do beneficiaries and/or partner country stakeholders have sufficient ownership, capacity and resources to maintain the activity outcomes after Australian Government funding has ceased?	Yes <ul style="list-style-type: none"> <li>• ODE Evaluation</li> <li>• WSP Report (Financial review)</li> <li>• Indonesia MTDP (post 2009)</li> <li>• WASPOLA Sustainability &amp; Exit Strategy</li> </ul>	<ul style="list-style-type: none"> <li>• Review all relevant documents (esp field work results from ODE evaluation)</li> <li>• ODE Evaluation addresses this: page 19-20</li> <li>• Analyse GoI funding/support towards sector as a proxy for sustainability (in WSP Report)</li> <li>• Does Indonesia’s new MTDP prioritise water and sanitation? What is the GoI planning?</li> <li>• How closely is the initiative following the Sustainability &amp; Exit Strategy?</li> </ul>

– Are there any areas of the activity that are clearly not sustainable? What lessons can be learned from this?	Yes <ul style="list-style-type: none"> <li>Progress Reports</li> <li>ODE Evaluation</li> <li>MTR</li> <li>ICR Phase 1</li> <li>WASPOLA Facility design</li> </ul>	<ul style="list-style-type: none"> <li>Review all relevant documents</li> <li>ODE Evaluation: page 31 (local govt replication &amp; sustainability)</li> <li>Compare issues – are the same issues appearing in all documents?</li> <li>What elements are the WASPOLA Facility ‘carrying over’ from WASPOLA-2? What are the reasons for this?</li> </ul>
<b>Gender Equality</b>		
– What were the outcomes of the activity for women and men, boys and girls?	Yes <ul style="list-style-type: none"> <li>ODE Evaluation</li> <li>Progress Reports</li> </ul>	<ul style="list-style-type: none"> <li>Review all documents</li> <li>ODE Evaluation: page 19,24,34,36,</li> </ul>
– Did the activity promote equal participation and benefits for women and men, boys and girls?	Yes <ul style="list-style-type: none"> <li>ODE Evaluation</li> <li>Progress reports</li> <li>QAI</li> </ul>	<ul style="list-style-type: none"> <li>Review all documents</li> <li>Progress reports and QAI to provide participation data</li> <li>ODE Evaluation to provide analysis on gender (Annex C)</li> </ul>
• Did the activity promote more equal access by women and men to the benefits of the activity, and more broadly to resources, services and skills?	Yes <ul style="list-style-type: none"> <li>ODE Evaluation</li> <li>Progress Reports</li> </ul>	<ul style="list-style-type: none"> <li>Review all documents</li> <li>Progress reports and QAI to provide participation data</li> <li>ODE Evaluation to provide analysis</li> </ul>
• Did the activity promote equality of decision-making between women and men?	Yes <ul style="list-style-type: none"> <li>ODE Evaluation</li> <li>Progress Reports</li> </ul>	<ul style="list-style-type: none"> <li>Review all documents</li> <li>Progress reports and QAI to provide participation data</li> <li>ODE Evaluation to provide analysis</li> </ul>
• Did the initiative help to promote women’s rights?	<ul style="list-style-type: none"> <li>ODE Evaluation</li> <li>Percik magazine (on gender)</li> </ul>	<ul style="list-style-type: none"> <li>Review all documents</li> </ul>
• Did the initiative help to develop capacity (donors, partner government, civil society, etc) to understand and promote gender equality?	Yes <ul style="list-style-type: none"> <li>Progress Reports</li> <li>Percik magazine (on gender)</li> </ul>	<ul style="list-style-type: none"> <li>Review all documents</li> </ul>
<b>Monitoring and Evaluation</b>		
– Does evidence exist to show that objectives have been achieved?	Yes <ul style="list-style-type: none"> <li>ODE Evaluation</li> <li>QAIs</li> <li>MTR</li> <li>Progress Reports</li> </ul>	<ul style="list-style-type: none"> <li>Review all documents</li> <li>ODE Evaluation: page 18+</li> <li>Progress reports – compare progress across reports to objectives</li> <li>QAI 2009 – info on problems with current M&amp;E system</li> </ul>
– Were there features of the M&E system that represented good practice and improved the quality of the evidence available?	Yes <ul style="list-style-type: none"> <li>Progress Reports</li> </ul>	<ul style="list-style-type: none"> <li>Review all documents</li> </ul>

	<ul style="list-style-type: none"> <li>• M&amp;E Framework</li> <li>• QAI</li> </ul>	<b>Alternative methodology (if not enough data exists):</b> Desk to do an analysis on M&E framework: later checked by consultant (S.Dawson)
– Was data gender-disaggregated to measure the outcomes of the activity on men, women, boys and girls?	Yes <ul style="list-style-type: none"> <li>• Progress Reports</li> <li>• M&amp;E Framework</li> </ul>	<ul style="list-style-type: none"> <li>• Review all documents – identify if there is gender disaggregated data (assess quality and type of measure – eg. Does it measure impacts or is it only participation data?)</li> </ul>
– Did the M&E system collect useful information on cross-cutting issues?	Yes <ul style="list-style-type: none"> <li>• M&amp;E Framework</li> </ul>	<ul style="list-style-type: none"> <li>• Review all documents</li> <li>• See alternative methodology above</li> </ul>
<b>Analysis and Learning</b>		
– How well was the design based on previous learning and analysis?	Yes <ul style="list-style-type: none"> <li>• MTR</li> <li>• ICR – phase I</li> <li>• PDD</li> </ul>	<ul style="list-style-type: none"> <li>• Review all documents</li> <li>• PDD: page 21 (achievements and responses of WASPOLA I)</li> <li>• Phase 1 report: page 22, 29 (recommendations)</li> </ul>
– How well was learning from implementation and previous reviews (self-assessment and independent) integrated into the activity?	<ul style="list-style-type: none"> <li>• MTR</li> <li>• ICR – phase I</li> <li>• PDD</li> </ul>	<ul style="list-style-type: none"> <li>• Review all documents</li> <li>• PDD: page 21 (achievements and responses of WASPOLA I)</li> </ul>
<b>Lessons</b>		
– What lessons from the activity can be applied to (select as appropriate: further implementation/designing the next phase of the activity/applying thematic practices [i.e. working in partner systems/environment/fragile stages] to the rest of the program/designing future activities).	Yes <ul style="list-style-type: none"> <li>• ODE Evaluation</li> <li>• MTR</li> <li>• WSI Mission Report</li> </ul>	<ul style="list-style-type: none"> <li>• Review all documents</li> <li>• What lessons from the MTR are still relevant (anything mentioned in ODE report?)</li> <li>• ODE Evaluation: Annex C &amp; page 16+</li> <li>• MTR Lessons: page 36</li> </ul>

