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WATER FOR WOMEN

Investment Design Document:
Volume 2: Annexes

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Contents

Acronyms and Abbreviations

AWP	Australian Water Partnership
CCA	Climate change adaptation
CLTS	Community-led total sanitation
CS WASH Fund	Civil Society WASH Program
CSO	Civil Society Organisation
DFAT	Department of Foreign Affairs and Trade
DFID	UK Department for International Development
DPO	Disabled People's Organisations
DRR	Disaster risk reduction
EPBC	Environment Protection and Biodiversity Conservation
FSG	Fund Steering Group
FSM	Faecal sludge management
GAD	Gender and Development
GESI	Gender Equality & Social Inclusion or Gender Equity&Social Inclusion
GSI	Gender and Social Inclusion
GSIS	Gender and Social Inclusion Specialist
GWMT	Gender and WASH Monitoring Tool
HLPW	High Level Panel on Water
IWRM	Integrated water resource management
JMP	Joint Monitoring Program (of WHO and UNICEF on WASH)
K&L	Knowledge and Learning
KALM	Knowledge and Learning Manager
M&E	Monitoring and Evaluation
MDG	Millennium Development Goals
MERP	Monitoring, Evaluation and Review Panel
MHM	Menstrual hygiene management
NGO	Non-Government Organisation
ODE	Office of Development Effectiveness in DFAT
PDD	Project Design Document
RFS	Request for Submission
RSG	Research Steering Group
SBA	Strengths Based Approaches
SDG	Sustainable Development Goals
SOGIE	Sexual Orientation and Gender Identity & Expression
SWA	Sanitation and Water for All
ToC	Theory of change
UNICEF	United Nations Children's Fund
WfW	Water for Women
WASH	Water, Sanitation and Hygiene
WHO	World Health Organization
WID	Women in Development
WRG	WASH Reference Group
WRM	Water Resources Management
WSP	World Bank Water and Sanitation Program
WSSCC	Water Supply and Sanitation Collaborative Council

Annex 1   Fund Guidelines for CSO Selection

Fund Guidelines for CSO selection will be formally released with the call for proposals. These guidelines will include details on eligibility for submission, the assessment process, selection criteria and proposal formats.

Annex 2   Selection Panel Guidelines

Selection Panel guidelines will be formally released with the call for proposals. These guidelines will include details of the geographic focus, approach to selection and selection criteria.

Annex 3   Approach to Gender and Social Inclusion in WASH

1. Introduction

Water for Women will take a fully gender and socially inclusive approach to WASH. At the overall Fund level, this means that all management processes and systems will support gender and socially inclusive approaches, including reporting. For CSOs, this means gender and socially inclusive analysis of the WASH context in each country is expected to form the basis for each CSO WASH project. For researchers, it means research processes will be gender and socially inclusive.

This Annex provides guidance to CSOs to support this process, both at Concept and Project Design stages, as a way of confirming minimum requirements. CSOs are encouraged to excel in their approaches to gender and social inclusion and consider a range of ways to work inclusively in a way that is politically, culturally and technically appropriate in each context, taking into account the scope of the Fund, partnerships, networks and resources available.

The Fund seeks innovation in gender and social inclusion, and recognises that the nature of this will vary, depending on the analysis undertaken in each context.

At **the Concept stage** (the application process), CSOs will be expected to propose project concepts that include a Theory of Change which has been demonstrably informed by a gender and socially inclusive situational or contextual analysis.

Once projects are selected, **the Inception Phase** will commence. During this Phase, CSOs will be expected to develop and document more specific detail in their **Project Design Documents** about the strategies that are feasible, appropriate and planned in each context, based on participatory and inclusive design processes with partners and other stakeholders in the respective country.

2. Gender transformation concepts and approaches

The concept of 'gender transformation' has been widely used in the literature in recent years, sometimes inappropriately. Gender-transformative approaches aim to move beyond individual self-improvement among women and toward transforming the power dynamics and structures that serve to reinforce gendered inequalities.[1] Water for Women is a WASH program that will encourage the use of gender transformative **approaches** based on an assumption that contextual analysis will identify which of these approaches are appropriate in the context and monitor to ensure they achieve the desired outcome, while they 'do no harm' unintentionally to the marginalised populations whom they seek to assist.

After discussion amongst stakeholders, including the Gender Equality Branch of DFAT, the Theory of Change for Water for Women includes a targeted outcome (Outcome 3: 'Strengthened gender equality and social inclusion in households, communities and institutions''). This has been included to ensure that CSOs have the capacity to identify any

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[1] CARE http://www.care.org/sites/default/files/documents/working_paper_aas_gt_change_measurement_fa_lowres.pdf

transformative effects and their potentially positive and negative longer-term outcomes, beyond their WASH impacts.

3. Gender Analysis Frameworks

Many gender analysis frameworks have been developed by different organisations, practitioners and researchers. CSOs may choose an approach which best suits their own developmental philosophy and approach. Most frameworks are based on practical experience and have been synthesised into processes, the purpose of which is to assist the user in performing a gender analysis, avoiding their own potential biases and blind-spots on where gender difference may be contextually significant to consider. Several of the most important and commonly used frameworks are mentioned here, but other frameworks are also available for CSOs to choose from.

This section summarises a range of frameworks, with varying levels of information based on their currency and relative value. The subsequent section details processes associated with one particular framework which has been found useful for the types of analysis related to Water for Women, but it is important to stress that CSOs are able to select their own approach.

Early frameworks

One of the first gender analysis frameworks developed in the early 1980s for the World Bank is the *Harvard Framework*, which is a 'Women in Development' (WID) framework. As the development sector moved on from the WID approach to 'Gender and Development' (GAD) approaches, Caroline Moser, of the Development Planning Unit at the University of London, developed the *Gender and Development Framework* in 1986, also known as the '*Triple-Roles*' approach, as it focuses on women's reproductive, productive and community-managing roles. Moser introduced the concepts and language surrounding Practical Gender Needs and Strategic Gender Needs to the development sector and this language has been adopted by the WASH Sector.

Other earlier frameworks include:

- *Longwe's Women's Empowerment Framework*, which emerged from activism reacting against sexism in employment in southern Africa
- *Parker's Gender Analysis Matrix*, a participatory tool based on the concept that the people whose gender roles are to be transformed must be engaged in the analysis
- *Kabeer's Social Relations Framework*, which is useful for policy analysis as it takes a structural feminist approach in looking at relationships between the government, market, community and family
- *Harper's Social Norms Approach*, which examines contextual gender ideologies, and how these shape the perceptions of women and men, girls and boys. This approach identifies people's attitudes and behaviours, along with opportunities for women and girls and thereby predicts what will change behaviour/norms
- *Veneklasen & Miller's New Weave or Power and Empowerment Approach* identifies power over; power with; power to; power within in the public, private and intimate relationships in an unending process, or weaving of change and empowerment.

More recent frameworks

Two frameworks that are widely used in the aid and development sector both assist with analysing the context for a particular development issue or program, as well as assist identifying expected changes for development agencies to support. The frameworks are also helpful for considering how to measure coordinated change in the context at multiple levels of society.

Rao and Kelleher Approach

The Rao & Kelleher (2002)[2] framework, developed by Aruna Rao and David Kelleher, is known by various labels: the *'What do you want to change Framework'* and *'The Change Matrix'*. The model comprises quadrants, which describe different contexts in which gender power structures operate (see Figure 1 below).
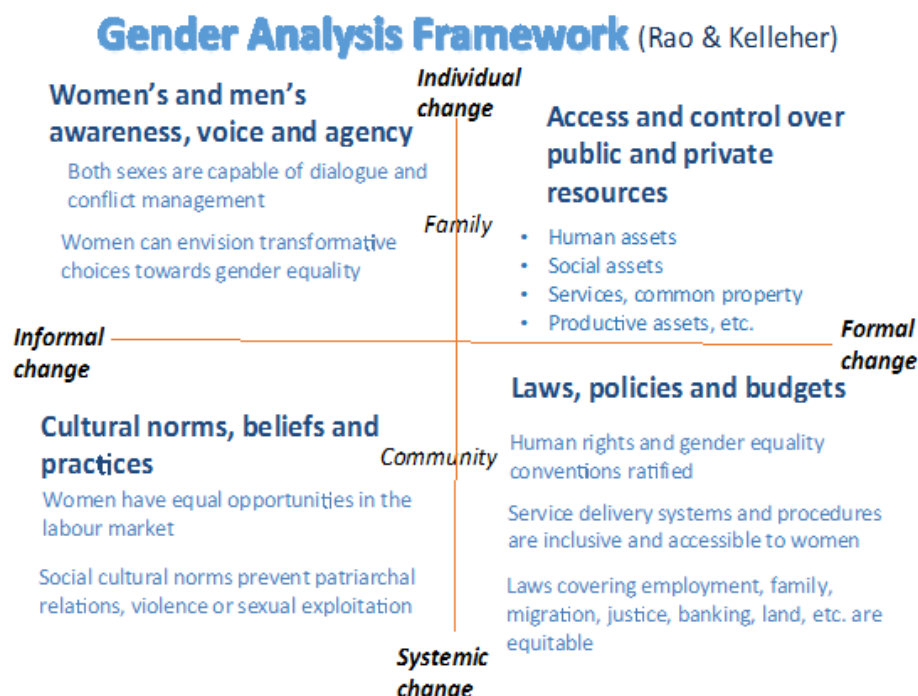

Figure 1: Gender analysis framework (Rao and Kelleher)

The top two quadrants relate to *individual* conditions (and changes in them) e.g. access to resources, women and men's voice and agency. The bottom two quadrants are *systemic*. The lower right quadrant refers to *formal institutional* rules as laid down in constitutions, laws and policies. The lower left quadrant refers to the *informal institutions* norms and cultural practices that maintain inequality in everyday practices. The sectors are all related and not necessarily in regular ways. Changes in one sector, for example, changes in sexual harassment law, do not necessarily result in changes in behaviours, if the law is not enforced in the workplace.

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[2] Graphic taken from DFAT Gender Training Session 5: Gender Analysis 101.

This is one useful framework for assisting in the development of a theory of change and a resulting M&E framework. It was used in the Pacific Women Shaping Pacific Development Design and is currently taught as the basic gender analysis tool to DFAT Staff.

Structural/Environmental Framework

The Structural/Environmental Framework was developed in the public health sector by researchers at the Center for Disease Control and Prevention (CDC) in the USA to provide a contextual analysis ahead of HIV prevention interventions. It was used as the basis of USAID's support of Uganda's successful containment and decrease of the HIV epidemic in the 1990s. The concept of 'structural' factors is the same today as two decades ago, however, this framework was created when the concept of 'environmental' factors would now best be described as 'community and social context factors' (as in, 'the social, economic and political environment in which we live')[3].

The framework is adaptable to any social variable, not just gender, and can therefore be used for the analysis of one or more social variables including disability, age, ethnicity, sexual orientation and gender identity and expression (SOGIE), socio-economic status and so on, either separately or at once.

Social Analysis using a Structural/Environmental Framework[4]

Applying this form of analysis involves identifying barriers to and enablers of change; defining strategies for deconstructing the barriers and promoting the enablers; prioritising action and then ranking them, while ensuring all structural and environmental actions are in place before commencing individual behaviour change interventions. This order ensures the enabling environment is established, therefore maximising the impact of individual levels behaviour change efforts. Its purpose is therefore to deconstruct social issues in a way that suggests multi-level strategies for inclusive change.

The process for using this form of analysis is summarised as follows:
- Start with a question on the type of issue to be changed eg. 'How can gender and socially inclusive WASH be achieved in Asian and Pacific Countries?'
- Identify barriers and enablers to the desired change at all levels
- Suggest strategies and actions to deconstruct the barriers and promote enablers

For the purposes of development programs, then:
- Feed these into your Theory of Change and by extension, M&E plan
- Conduct a Delphi-style comparison of actions required at all levels to establish the timing of delivery of the actions and use this to inform work plans.

The assumption underpinning this framework is that individuals can only make sustainable change if the structural and environmental level context supports that change. In this framework, this is called creating an 'enabling environment'.

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[3] In contrast to the use of the word 'environment' today which generally relates to the natural world and the impact of human activity on natural systems.

[4] Framework adapted by AM Nobelius, from Sweat & Denison (1995). Reducing HIV incidence in developing countries with structural and environmental interventions. AIDS, 9 (SupplA), S251-S257.

The framework includes the following elements:

1. **Individual**
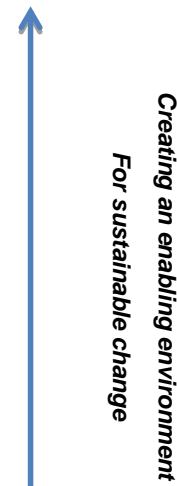   – Attitudes, beliefs, knowledge, skills
2. **Environmental**
    – Family
    – Communities
    – Economic factors
    – Work/study environment
    – Church
3. **Structural**
    – Institutional
    – Legislative
    – Government
4. **Superstructural**
    – INGO (UN etc.)
    – Treaties, Conventions and Agreements
    – SDGs

Creating an enabling environment
For sustainable change

This list of potential points to consider under each level heading is not exhaustive and must be adapted to each context. In the context of Water for Women, DFAT may be a partner at the superstructural level as a funding body and at the structural level as an advocate at Posts to support change through supporting local governments. Superstructural influence may include supportive (human rights and status of women conventions, treaties and INGO legal frameworks, and international agendas such as the SDGs), which can be useful for making structural change arguments, but the most crucial element to creating lasting change for individuals is to create an enabling environment at the structural and environmental levels through the most contextually appropriate ways.

Table 1 is a generic example of a gender and social inclusion analysis for a community-based WASH program using this Structural/Environmental Framework looking at gender and disability in WASH. This analysis is both simplistic and limited because: the context given is so broad (Asian and Pacific Countries); it assumes a community based project, though a CSO in this fund may choose any context; and only two examples are given, purely as an indication of what might fit into these boxes when a genuine contextual analysis is done by CSOs in country, in collaboration with local partners.

This community-based example analysis suggests that for a WASH project to be successful in this context, CSOs need to engage with the higher-level actors first to ensure an appropriate and respectful approach to working with whichever subset of the community they choose. Creating this enabling environment ensures that when a CSO has prepared and consulted appropriately, engagement with community will be more polished and efficient and allow more informed and productive consultation on the communities' needs and priorities.

4. Guidance for gender and social inclusion in WASH

The WASH sector is uniquely placed to generate evidence of the impact of inclusive approaches on development because work in this sector straddles the individual/environmental/structural and superstructural domains of development. This means there are many entry points for gender and socially inclusive mainstreaming. The European Union has modelled gender mainstreaming across all its policies, laws and processes and therefore provides good examples of the potential points of consideration for the full mainstreaming of gender and by extension, social inclusion. [5]

The points of inclusion advocated by the EU on gender (modified here for a more inclusive approach) include:

- **Participation** (diverse composition of the target/population group(s), representation of women and men and marginalised people in decision-making positions)
- **Resources** (distribution of crucial resources such as time, space, information and money, political and economic power, education and training, job and professional career, new technologies, health care services, housing, means of transport, leisure)
- **Norms and values** which influence diverse social roles, division of labour by gender, the attitudes and behaviour of women and men and marginalised people, and inequalities in the value attached to men and women or to masculine and feminine characteristics and those of marginalised groups
- **Rights** pertaining to direct or indirect sex-discrimination, human rights (including freedom from sexual violence and degradation), and access to justice, in the legal, political or socio-economic environment for all people

Mainstreaming across all of these elements is important, but in some instances, may not be sufficient to bring about expected changes in the life of a project. Where representation is particularly poor or discrimination evident, , it may be necessary to couple mainstreaming with **targeted measures**. For example, using the elements above, if a community responds to an offer of consultation by sending only male representatives, then a targeted approach could include asking for consultation with an equal number of men and women separately. The risk associated with targeted interventions is that those who formerly held most power may not be willing to cede their power to others. This may result in censure or violence towards those newly consulted. The need for inclusive action must therefore be explained in locally meaningful ways, be negotiated and agreed, to ensure that no harm is caused to the targeted group as inadvertent consequences of the actions of the CSO.

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[5] See EU: A Guide to Gender Impact Assessment

Table 1. How can we achieve gender and socially inclusive WASH in Asian and Pacific Countries?

Individual Level: Who are all the individuals involved? Perhaps community members or senior bureaucrats or Ministers; CEOs of partner businesses; DFAT Post officers; etc			
Barrier	Strategy	Action	Qualitative and Quantitative M&E Examples
Rigid gender and social roles that don't allow women, people with disabilities and other marginalised people to be seen as having a valuable voice, leadership qualities and other types of agency to operate as effective leaders in WASH committees	Engage with community to deconstruct leadership to demonstrate the value of women's and marginalised people's perspective, voice and decision-making capacity in the WASH sector	Gender and socially inclusive leadership training in communities to support WASH outcomes	(These changes can clearly measure both WASH and Broader GSI changes for Outcome 3) Sex/age and disability disaggregated attendance at training Sex/age and disability disaggregated feedback from training Inclusion on community decision-making committees (including leadership positions) Ladders of Participation Most Significant Change
Key stakeholders in WASH uninformed of value of leadership of women, people with disabilities, young people, old people, people of diverse SOGI etc and the important role of women and girls in household tasks related to water	Engage with key WASH stakeholders to address this knowledge gap and provide advocacy on the value of inclusive leadership in WASH	Provide training for existing stakeholders and leaders to understand value of inclusive leadership and decision making in WASH and beyond Provide incentives to engagement with the issues (political exposure, conference attendance as a mentor for a woman or colleague from a marginalised group etc)	Content analysis of public speeches and action Progress on policies or commitments Mentoring of marginalised colleagues to more senior positions

Enabler	Strategy	Action	Qualitative and Quantitative M&E Examples
People in community may have strong commitment to religion or other social institutions	Engage in Partnerships with existing religious groups and CSOs to support community advocacy	Train church leaders and CSO leaders in inclusive change as a way for communities to 'come up' to spread you message in community	Content analysis of public speeches and action Support of marginalised community members Regular Key informant interviews with marginalised community
People who have been previously marginalised enjoy community engagement	Find ways for community to enable previously marginalised people to engage in WASH activities	Bring meetings closer to the homes of marginalised or provide appropriate transport to WASH Meetings to people with mobility or visual impairment. Employ persons with disability and other marginalised people in the WASH project. Also provide s role-modelling of engagement of marginalised people to communities	Regular Key informant interviews with marginalised community members Most Significant Change interviews
Environmental level: situational elements of this cultural context including families; communities; work/study places; economic factors/religious affiliation etc			
Barrier	Strategy	Action	Qualitative and Quantitative M&E
In the family and community context women and girls shoulder an disproportionate burden of water and sanitation based responsibilities	Engagement with community in the issue of the balance of duties for men and women in WASH	Engage with community to redefine what is 'women's work' and what is 'men's work' in relation to WASH and beyond	Monitor hours of household labour Regular sex specific focus groups to monitor the change in discourse around 'women's work' and 'men's

			work' around WASH and beyond
PPeople with disability have difficulty safely using existing toilet facilities	*Engage with community to bring the particular needs of people with disability into the public discourse around WASH* *Create awareness that universal accessibility improves access for all people in community across the life span, including pregnant women, children, older people and sick.*	*Engage people with disability in an articulation of their needs and input into the designs in community* *Support communities with developing contextually appropriate accessible designs to ensure that community has the knowledge and skills to create universally accessible toilets.*	*Regular Key informant interviews with PWDs on progress and satisfaction* *Proportion of toilets and washing facilities built with accessible design*
Enabler	*Strategy*	*Action*	*Qualitative and Quantitative M&E*
Women's organisations in context understand the socio-political context for women	*Engage with and form partnerships with local Women's organisation*	*Perform joint advocacy with women's groups in community particularly those from marginalised communities (other ethnicities/religions/disabilities)*	*Report aligned activities* *Most Significant Change with local women* *Key informant interviews with marginalised women to gain an understanding of the compounding nature of intersectionality of social factors causing marginalisation in that context*
Disabled Peoples Organisations (DPO) are experienced in advocating for PWD in context	*Engage and form partnerships with DPO in context*	*Create partnership agreements as appropriate and link project activities to DPO activities to amplify support for people with disability*	*Report aligned activities* *Most Significant Change with PWD* *Key informant interviews with PWD from other marginalised groups to gain an understanding of the compounding nature of intersectionality of social factors*

			causing marginalisation in that context
Structural level: institutional: either public or private sector (health service/water utility; legislative: national and subnational governments; laws and policies			
Barrier	*Strategy*	*Action*	*Qualitative and Quantitative M&E*
WASH Sector born out of Engineering, male dominated field	*Raise awareness of the value of diverse perspectives to sustainable decision-making around WASH*	*Support male bureaucrats and politicians to mentor women and people from marginalised groups into high level positions* *Encourage women and people from marginalised groups into higher education around management in the sector*	*Number of men engaged in mentoring* *Key informant interviews with Mentors* *Number of Women mentored* *Key informant interviews with Mentees*
Antidiscrimination laws for marginalised groups may be in place but not operationalised	*Raise awareness of value (including evidence of economic benefit) of inclusion to GDP*	*Provide training and support to assist in the operationalization of existing laws*	*Content analysis of media reporting around the issue* *Documentation of changes experienced in training and action from those who enforce the laws*
Enabler	*Strategy*	*Action*	*Qualitative and Quantitative M&E*
Many countries will have laws surrounding the rights of women and girls and programs for improving WASH	*Engage with government actors to ensure the laws are operationalised and that the links between WASH and human rights for people with disabilities are understood*	*Create supportive partnerships to advance action on existing laws* *Provide necessary training for WASH sector on benefits of inclusiveness in current WASH context* *Create a community of practice with interested stakeholders*	*Monitor changes in enforcement of laws and policy surrounding equality in the WASH Sector* *Key informant interviews with WASH sector bureaucrats at regular intervals* *Report in progress of CoP*
Many countries will have laws surrounding the rights of persons with a disability and programs for	*Engage with government actors to ensure the laws are operationalised and that the links between WASH*	*Create supportive partnerships to advance action on existing laws*	*Monitor changes in enforcement of laws and policy surrounding equality*

improving	*and human rights*	*Provide necessary training for WASH sector on benefits of inclusiveness in current WASH context*	*in the WASH Sector*
			Key informant interviews with WASH sector bureaucrats at regular intervals
		Create a community of practice with interested stakeholders	*Report in progress of CoP*

Super-Structural level: International NGOs, UN, Treaties, Conventions & Agreements including SDGs; DFAT			
Barrier	*Strategy*	*Action*	*Qualitative and Quantitative M&E*
INGOs perceived as 'other' and not relevant in local context	*Form partnerships with local UN representatives and ask them to contextualise the concepts they negotiate*	*Create programs around informed, locally meaningful concepts*	*Document the discussions on language and meaning*
			Process Evaluation of approach
Individualist rights-based language of international agreements often perceived to be irrelevant or even damaging in collectivist societies	*Translate the sentiments of the agreements and negotiate more appropriate language to context*	*Create programs framed in locally meaningful language*	*Document and report concerns and outcomes of negotiations to more contextually useful language*
			Process Evaluation of approach
Enabler	*Strategy*	*Action*	*Qualitative and Quantitative M&E*
SDG5 & 6 &10	*Most of the countries CSOs will work in have signed up to these Goals*	*Provide pathways to support the strengthening of partner governments reporting on SGDs*	*Partner government SDG reporting*
			Provide both Qualitative and Quantitative description of progress through sex, age and disabiity disaggregated data and Case Studies
UNWomen/Unicef priorities on inclusive WASH	*Form Partnerships with INGOs operating in the region to increase advocacy with governments*	*Agree to strategic assistance to advocate at the highest levels with government 'actors'*	*Reporting actions and outcomes of advocacy*
			Report on changes in policy

Annex 4   Other Forms of Analysis

CSOs are expected to undertake participatory analysis processes in order to inform their understanding about how change happens in the context in which their projects will be implemented.   Different forms of analysis generate various types of information.   This information can be used to inform the generation of the Theory of Change for a context. The Theory of Change describes the elements in a change process (people, institutions, processes of change) that occur relevant to the particular topic.

In Water for Women, the Fund's Theory of Change sits at a global level. It posits that if CSOs implement projects, collaborate with each other through knowledge and learning processes and if there is research about WASH issues, then a number of outcomes will eventuate. These outcomes (summarised as: increased capacity and agency of actors, greater integration of gender and socially inclusive approaches, and documentation of sharing of evidence and effective practices) are believed, based on past experience and evidence, to contribute to four end-of-program outcomes.

In each country context, a variety of influences and processes are likely to be relevant to the way change happens, depending on the actors involved. If CSOs operate at sub-national level, there will be multiple influences on how sub-national governments work with communities and other parts of government and the private sector for example. If CSOs operate with other CSOs or private sector organisations, then other issues and change processes may be at play.

This Annex 4 summarises a number of analytical tools that are available to CSOs to assist with their analysis to inform Project specific theories of change and then the strategies that will be feasible for CSOs to undertake within that context. Annex 3 addresses Gender and Social Inclusion Analysis, while Annex 4 covers just a few of the many other tools available, as follows:

1. Stakeholder analysis
2. Problem analysis
3. Political analysis
4. Strengths based approaches

1. Stakeholder Analysis

What is stakeholder analysis?

Stakeholder analysis is the identification of a project's key stakeholders, an assessment of their interests, and the ways in which these interests affect project riskiness and viability. It is linked to both institutional appraisal and social analysis: drawing on the information deriving from these approaches, but also contributing to the combining of such data in a single framework.

How to do a Stakeholder Analysis

There are several steps to doing a stakeholder analysis:

i. draw up a "stakeholder table" or map (or map stakeholders against your project theory of change)
ii. do an assessment of each stakeholder's importance to project success and their relative power/influence
iii. identify risks and assumptions which will affect project design and success.

Stakeholder Tables

To draw up a stakeholder table:

- identify and list all potential stakeholders, including mapping them against the project Theory of Change/Theory of Action
- identify their interests (overt and hidden) in relation to the problems being addressed by a project and its objectives. Note that each stakeholder may have several interests
- briefly assess the likely impact of the project on each of these interests (positive, negative, or unknown)
- indicate the relative priority which the project should give to each stakeholder in meeting their interests (this refers to priorities derived from aid policy and project objectives).

Checklist for identifying stakeholders

- have all primary and secondary stakeholders been listed?
- have all potential supporters and opponents of the project been identified?
- has gender analysis been used to identify different types of female stakeholders (at both primary and secondary levels)?
- has inclusion analysis been used to identify groups of people who may be marginalised for some characteristic within the social context?
- have primary stakeholders been divided into user/occupational groups, or income groups?
- have the interests of vulnerable groups (especially the poor) been identified?
- are there any new primary or secondary stakeholders that are likely to emerge as a result of the project?

Box 1: Key resources: Stakeholder Analysis

Overseas Development Institute, Stakeholder analysis,
https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/6459.pdf

Overseas Development Administration, Guidance Note on How to do a Stakeholder Analysis

http://www.sswm.info/sites/default/files/reference_attachments/ODA%201995%20Guidance%20Note%20on%20how%20to%20do%20a%20Stakeholder%20Analysis.pdf

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2. Problem Analysis

What is problem analysis?

Problem analysis helps to find solutions by mapping out the anatomy of cause and effect around an issue. This brings several advantages:

- The problem can be broken down into manageable and definable chunks. This enables a clearer prioritisation of factors and helps focus objectives
- There is more understanding of the problem and its often interconnected and even contradictory causes. This is often the first step in finding win-win solutions
- It identifies the constituent issues and arguments, and can help establish who and what the political actors and processes are at each stage
- It can help establish whether further information, evidence or resources are needed to make a strong case, or build a convincing solution
- Present issues - rather than apparent, future or past issues - are dealt with and identified
- The process of analysis often helps build a shared sense of understanding, purpose and action.

How to do problem analysis, using the problem tree approach

Problem tree analysis is best carried out in a small focus group of about six to eight people using flip chart paper. It is important that factors can be added as the conversation progresses. The first step is to discuss and agree the problem or issue to be analysed. The problem is written in the centre of the flip chart and becomes the tree trunk. This becomes the 'focal problem'. The wording does not need to be exact as the roots and branches will further define it, but it should describe an actual issue that everyone feels passionately about.

Next, the group identify the causes of the focal problem - these become the roots - and then identify the consequences, which become the branches. These causes and consequences can be created on post-it notes or cards, perhaps individually or in pairs, so that they can be arranged in a cause-and-effect logic.

How the problem tree is used

The problem tree can be converted into an objectives tree by rephrasing each of the problems into positive desirable outcomes - as if the problem had already been treated. In this way, root causes and consequences are turned into root solutions, and key project or influencing entry points are quickly established. These objectives may well be worded as objectives for change.

Limitations to problem analysis

The problem tree has a number of limitations particularly in relation to the generation of trust and respect-based partnerships. Focusing only on the problems of one party, and not the strengths that exist in every context, and not the problems of the other party, creates imbalanced relationships and narrow focus. This approach can ignore and thus undermine strengths that exist in every context. More contemporary practitioners tend to use strengths-based thinking, with tools such as Appreciative Inquiry (see 4. Below)

Political Analysis

Everyday Political Analysis (EPA)

EPA is for anyone who is convinced that politics and power matter, but feels less sure of how to work out what they mean for their programs. This note introduces a stripped-back political analysis framework – stripped down to its barest bones – leaving only the essentials needed to help frontline staff make quick but politically-informed decisions.

How to undertake EPA[6]

Step 1: Understanding interests: What makes people tick?

Step 2: Understanding change: What space and capacity do people have to effect change?

For each step a series of yes/no questions helps 'unpack' what is going on.

Step 1

1.1   Is what they want clear?

1.2   Are they acting in line with their core beliefs?

1.3   Do you understand the constraints they face?

1.4   Is it clear who and what the key influences on them are?

1.5   Is their behaviour being shaped by social norms about what is appropriate?

Step 2

2.1   Are they the key decision maker?

2.2   Do they have potential coalition partners?

2.3   Are their key decision points clear?

2.4   Is their framing of the issue likely to be successful?

2.5   Are they playing on more than one chessboard?

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[6] Source: Hudson, Marquette, Waldock, 2016, Everyday Political Analysis, DLP

4.   Strengths Based Approaches (SBAs)

SBAs concentrate on the inherent strengths of people and entities (teams, communities, organisations, sectors, networks or even countries) as the basis for connecting and mobilising them, for planning to achieve development or change and for working in partnerships. SBAs include a growing number of tools for identifying existing strengths and potential, for facilitating stakeholders to achieve positive change and for M&E. This section addresses one tool – Appreciative Inquiry - because this is particularly useful for Water for Women, and other tools are listed (see Resources in Box 4 below).

What is Appreciative Inquiry?

Appreciative Inquiry is a planning tool used to support a process for: positive exploration of a context and people's experiences; collective imagination of the future; collaborative design; and joint commitment to a path forward. The approach is different from previous approaches to planning which were about "fixing a problem" and listing all the things that can go wrong. The approach assumes that:

- In every society, organisation, group something works
- What we focus on becomes our reality
- Reality is created in the moment, and there are multiple realities
- The act of asking questions of an organisation or group influences the group in some way
- People have more confidence and comfort to journey to the future (the unknown) when they carry forward parts of the past (the known)
- If we carry parts of the past forward, they should be what is best about the past
- It is important to value differences
- The language we use creates our reality

Elements of Appreciative Inquiry

Discover: Stakeholder engagement, exploration of best experiences, hopes and priorities for the future

Dream: Provocative propositions, principles

Design: Organisational implications, key strategies

Deliver: Strategic deliverables, achievements, ongoing improvisation

How to use Appreciative Inquiry

Appreciative Inquiry is about collaborative and facilitated planning based on 4 questions:

1. What has worked well around here in relation to (topic) and why?
2. What resources are available in this context and what strengths do we have?
3. What is the result we want to achieve?
4. What steps are needed to achieve this result?

The focus is on valuing participants' experience and perspectives and generating a sense of positive momentum towards the achievement of the shared results.

Box 4: Key resources: Appreciative Inquiry

Appreciative Inquiry https://appreciativeinquiry.case.edu/

https://www.youtube.com/watch?v=QzW22wwh1J4

Rhodes, D. 2014 Capacity Across Cultures: Global Lessons from Pacific Experiences, Inkshed Press (Chapter 17)

Caritas Australia http://www.caritas.org.au/learn/strengths-based-approach

Asset-based community development, https://resources.depaul.edu/abcd-institute/Pages/default.aspx

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Annex 5   Inception Phase

The Inception Phase is a key design feature for Water for Women, which recognises the value of considered analysis, careful partnership development and participatory strategy planning processes for aid effectiveness and risk management.

The Inception Phase for each CSO is expected to be 3-6 months, depending on the existing relationships, prior knowledge and level of detail already prepared for completion of Project Design Documents. Some CSOs may be continuing existing relationships, sector focus and personnel from current projects, so may be in a stronger position than others to complete detailed Project Design Documents in a shorter time-frame. They will be able to submit these documents once they are ready, but not before 3 months after the Inception Phase commences, as the Design and Partnership Workshop will be organised approximately 2 months into the Phase, and CSOs will be expected to incorporate relevant aspects into their Project Design Documents.

The **purposes** of the Inception Phase include:

- To provide CSOs with appropriate resources and time to develop feasible, culturally appropriate, politically relevant, technically considered and collaboration-founded projects, thus reducing the risks associated with complex development processes. On the basis of this, it is expected that CSOs will develop high quality gender and inclusive Project Design Documents that can be approved by DFAT
- To maximise shared understanding of the approaches and principles which underpin the Fund through joint meeting of stakeholders involved in implementing the Fund (DFAT, the Fund Coordinator and the CSOs)
- To provide the group of Fund stakeholders time to develop effective working relationships with in-country partners and with each other, including through the FSG, consistent with partnership principles, to maximise Fund-wide benefits and minimise risks
- To collaboratively refine the performance arrangements, including any revisions to the Fund performance assessment framework and associated reporting
- To allow adequate time for the appraisal and approval of Project Design Documents (see below)
- To complete and sign Grant Agreements between the Fund Coordinator and CSOs covering approved Projects.

The **processes and events** included in the Inception Phase include:

For CSOs

- Undertake detailed gender and socially inclusive analysis of WASH sector country contexts (and other relevant analyses) to develop details for Project Design Documents
- Participate in an intensive Inception Workshop (5days), (approximately 8 weeks after Inception Phase commences) to collaborate with other CSOs on the design documentation process

- o This will include 1 to 1.5 days focus on the Fund's partnership approach, to surface organisational interests, objectives and agendas, to develop shared understanding of Fund management approaches and to agree on appropriate ways of working for the life of the Fund, as well as ways of monitoring and ensuring ongoing quality of relationships.
- Engage with relevant DFAT Posts to discuss alignment and/or complementarity of approved projects with other DFAT-funded WASH programs.

For the Fund Coordinator

- Establish systems to support and contribute to quality Fund management
- Organise Inception Workshop, with a partnership broker facilitator)
- Develop effective communications channels with all stakeholders
- Appoint relevant K&L, M&E, WASH and Gender and Social Inclusion specialists
- Support CSOs at practical levels as they navigate complexities associated with developing quality Project Design Documents
- Other establishment and mobilisation activities
- Organise the first Fund Steering Group Meeting (comprising representatives from DFAT, the Fund Coordinator and selected CSOs)

For DFAT

- WSH Section to facilitate interaction between CSOs and respective DFAT Posts to discuss alignment and/or complementarity of approved projects with other DFAT-funded WASH programs
- Provide speakers/facilitators and key WSH and Gender Equality Branch personnel to participate in the Inception Workshop, explaining current DFAT policy and discuss Fund approaches and processes
- Support CSOs at a strategic level as they navigate complexities associated with developing quality Project Design Documents
- If requested, contract relevant specialists to appraise Project Design Documents (unless timing allows this to be undertaken through the Fund Coordinator)

Project Design Documents

A detailed stand-alone Project Design Document will be developed for each Project which builds on information included in the original Project Concept, based on detailed in-country planning, and which includes:

- More detailed analysis of the context (to ensure more detailed or new information which emerged during the Inception Phase is documented)
- A revised theory of change (based on that included in the original project proposal, and adjusted to suit any new information), including expected changes against intermediate and end-of-program outcomes of the Fund-level theory of change
- A theory of action (based on the theory of change, as adjusted) which incorporates project implementation strategies, gender and social inclusion processes, knowledge and learning processes and capacity development processes
- A detailed operational plan of activities for Year One incorporating knowledge and learning activities

- A less –detailed plan of high level activities for Years 2-5 of implementation with clear evidence of participatory processes for more detailed annual planning, plan coherence, and adequate resource allocations and systems
- Details of processes to ensure effective project management, including risk management and partnership engagement
- More detailed information about factors and design features to support sustainability of project benefits
- Resources, including personnel, budget and other resources
- Suggested approaches for exiting the project at the end of the 5-year period and handing over any assets
- A coherent, aligned, feasible and resourced plan for M&E which includes:
    - Relevant performance questions and indicators and means to generate data (both for project-level use and towards developing a sound evidence-base for reporting against the Fund-wide PAF)
    - Monitoring processes to contribute to ongoing improvements to quality project delivery and management; to identify emerging issues, progress and contributions to longer-term outcomes; and to generate information to support accountability
    - Evaluation processes which will generate information about the progressive achievement of outcomes and lessons
- Details of links to knowledge and learning processes across the Fund
- Details of planned coordination activities (including with DFAT posts)
- Details of the planned sustainability exit strategy
- Confirmation of reporting schedule and responsibilities for communications.

Project appraisal and approval processes

Two appraisal approaches are suggested as a way to maximise the quality of Project Design Documents: peer assessment or assessment by a small team of specialists. DFAT may choose to facilitate a peer assessment by CSOs of each other's designs as a way of maximising the value of CSOs expertise. DFAT may also choose to appoint a team of specialists to appraise projects on the basis of agreed criteria, recognising the principles underpinning this Fund. Once Project Design Documents are deemed to meet the criteria, then they will be approved by DFAT.

Once approved by DFAT, the Fund Coordinator will be tasked with negotiating Grant Agreements with each CSO.

The process of appraising and approving Project Design Documents may be staggered over a 3-month process, depending on CSOs' readiness, but the expectation is that the focus will be on facilitating CSOs to commence implementation as soon as possible, against high quality designs.

Annex 6 Format for CSO Project Design Documents

During the Fund Inception Phase, CSOs will be expected to develop stand-alone Project Design Documents (PDDs) to be used as the basis for project implementation. This Annex 6 provides a suggested format for PDDs. Details may be varied in agreement with other CSOs at the Inception Workshop (see Annex 5).

CSOs are expected to develop high quality PDDs, based on support provided under the Fund (up to $100,000) for detailed in-country analysis, participatory planning processes and appropriate M&E planning. All projects are expected to demonstrate gender and socially inclusive approaches throughout the project cycle.

In addition to ensuring adequate support is provided for project implementation teams, CSOs are expected to participate in a range of Fund-wide processes, so will need to factor this into work-plans. For example, CSO representatives will be expected to participate: in 6-monthly FSG meetings (one face-to-face and one teleconference); in the Inception Workshop; in K&L Advisory Group meetings (by teleconference); and various K&L events (including annual meetings at regional level).

The following format is suggested for all PDDs.

A. **Cover Page, with Project Title, Location, Implementing Agency and Partners**
Contents Page

List of tables/boxes/annexes

Acronyms and glossary of terms (if appropriate)

Acknowledgements

B. **Executive Summary** (approximately 2 pages) – covering outcomes envisaged, timeframe, resource commitments, delivery approach, partners, critical risks/challenges and responses

C. **Analysis and Context** (approximately 5 pages)
1. Identification of and justification for core issue(s) the project seeks to address
2. International policy context/literature and evidence relevant to issue(s) being addressed
3. Links between the issue(s) being addressed and other relevant sectoral issues (e.g. WRM, DRR, nutrition, infrastructure, governance)
4. Cultural, social, political and institutional factors which influence the way change has happened on this issue(s) in the context to date, including specific attention to gender and social inclusion Previous related programs and lessons learned relevant to this project

D. **Project Description** (approximately 5 pages)
5. Design objectives and outcomes envisaged

6. Design structure
   a. Theory of change
   b. Strategies/theory of action
   c. Narrative underpinning logic, including assumptions
   d. Links between this project and the Water for Women Theory of Change
7. Delivery Approach
   a. Key delivery/implementation partners
   b. Change agents - CSOs/Civil Society, Government and Private Sector stakeholders
   c. Principles underpinning collaboration between stakeholders (including DFAT, other CSOs and other WASH ro GESI actors)
   d. Approaches to delivery, including gender and social inclusion approaches throughout the project cycle
8. Resources
   e. Budget
   f. Personnel

E.   Implementation arrangements (approximately 10 pages)
9. Principles for implementation
10. Governance arrangements
11. Implementation Plan for Year 1 (with detailed Annex)
    a. Summary of activities and strategies planned for Year 1 and expected changes in relation to the Fund's intermediate and end-of-program outcomes
    b. Participation in K&L component
    c. Participation in Research component
12. Roles and Responsibilities
    a. CSO
    b. Partner agencies
    c. Others (as appropriate)
13. Monitoring and Evaluation system and plan
    d. M&E framework (performance questions and indicators to suit Theory of Change and Strategies/Theory of Action) – drawing from Water for Women Annex 17 and Annex 18
    e. M&E Methods for generating data (indicators, outcomes, safeguards, partnerships etc)
    f. Data analysis and collection processes
    g. Reporting arrangements
    h. Resources/personnel
14. Coordination
    a. Coordination with DFAT and other DFAT programs as relevant
    b. Coordination or engagement with other CSO programming
    c. Engagement and coordination with other WASH or GESI actors
    d. Intended contributions to public diplomacy
15. Sustainability

  a. Sustainability risks, opportunities and actions, as related to any of following (or other areas):

   i. Institutional arrangements for on-going service delivery

   ii. Technical choices

   iii. Sustainability of behaviour change outcomes

   iv. Environmental sustainability

16. Project Exit

  a. Strategies

  b. Assets and ownership of ongoing processes and systems

17. Risk management and safeguards

  a. Anti-corruption approach

  b. Risk Management

  c. Child Protection

  d. Displacement and Resettlement risks

  e. Environmental Protection

  f. Other safeguards

Annexes

1. Position Descriptions
2. Budget details
3. Operational plan for Year 1
4. Approach to Disability Inclusion Approach
5. Risk Management Matrix

Annex 7   CS WASH Fund I and II: Achievements and Opportunities for Improvement

1. Introduction: CS WASH Fund I and II

The CS WASH Fund Phase I and II achieved significant improvements in water, sanitation and hygiene (WASH) in Asia, the Pacific and Africa since it commenced in 2009. Tables 3 and 4 of this Annex list projects and partners from CS WASH. Table 1 below shows some of the key achievements in each phase of the Fund, noting that results for CS WASH II are just after the mid-term point (Dec 2016). This table deals with quantitative data indicators only, and qualitative changes related to improved capacity, sector strengthening, gender equality and others are discussed against the six Fund outcomes in sections below.

Table 1: Key Achievements of CS WASH Phases I and II

Fund	CS WASH I	CS WASH II (at mid-term, Dec 2016)	Projected by end of the fund.
Years	2009-2011	2013-2016	2013 - 2018
Amount of funding	A$32.5m	A$103 million	
Number of CSOs	11 CSOs	13 CSOs	
Number and location of Countries	21 countries in Asia, Pacific and Africa	19 countries, 29 projects in Asia, Pacific and Africa	
Improved sanitation	524,000 people with access to improved sanitation	1,927,503 people with access to improved sanitation	2,808,867 people with access to improved sanitation
Improved water	508,000 people with access to improved water	272,266 people with access to improved water	424,407 people with access to improved water
ODF	730 villages 'open defecation free'	901 communities verified to be 'open defecation free'	1,431 communities verified to be 'open defecation free'
Improved hygiene	improved hygiene practices in 77,000 households	1,283,193 people with handwashing facilities or soap (ash) in their household	2,088,454 people with handwashing facilities or soap (ash) in their household
Schools	Supported and provided WASH facilities in 516 schools	66,809 students with access to sanitation; 67,531 students with access to water.	154,137 students with access to sanitation; 125,239 students with access to sanitation
Household water treatment	Water filters included within the implementation strategy of small number of CSOs (specific numbers not collected)	1,195,486 additional people living in households where water is safely treated and stored.	1,484,104 additional people living in households where water is safely treated and stored.
Sanitation Marketing	A significant strategy employed by several Fund CSOs (specific numbers not collected).	2,050 additional private sector providers selling sanitation products and services	2,121 additional private sector providers selling sanitation products and services
Gender equality	47% of WASH committee members were women	50% female members, and 1,753 committees with women in management or technical roles	

2. Overview of Fund achievements - CS WASH II

CS WASH Fund I and II were supported by a three member MERP engaged by DFAT to oversee the quality and effectiveness of the Fund. The following information on strengths and opportunities for improvement in WASH programming is drawn primarily from the monitoring and evaluation (M&E) Notes and other documentation developed by the MERP for CS WASH II,[7] as well as consultations conducted for the Design of the Water for Women Fund. Information in this Annex is intended to provide an overview to date and generalised strengths and areas for improvement for applicants of Water for Women to consider, and has informed the Fund design. More detailed analysis of effectiveness of the Fund will be undertaken in its final stages in 2018.

CS WASH II had six fund outcomes. These were:
1. Improved performance of actors in the WASH enabling environment
2. Improved gender equality
3. Improved WASH evidence and knowledge base
4. Improved hygiene behaviour
5. Increased use of equitable sanitation services
6. Increased use of improved and equitable water supply services

Across these six outcome areas, data across 14 Key Result Areas (including 32 common indicators and 31 performance questions) were collected by implementing CSOs, and synthesised by the Monitoring, Evaluation and Review Panel (MERP). Data collected in December 2016 for CS WASH II showed that that at just after the mid-term point, some targets were surpassed (for example number of targeted WASH committees with women in management or in technical roles), and some were lagging (for example number of universally accessible sanitation facilities in public buildings and/or institutions).

3. Enablers and Inhibitors of effectiveness

During the mid-term review of CS WASH II, the MERP identified a number of enablers for CSOs to deliver high quality projects, as well as some internal and external inhibitors[8]. These included:

Enablers: In CS WASH II it was overall found that CSOs that were most successful in delivering their programs had ongoing and consistent management at the head office level, and stayed in regular contact with partners in program locations. Consistent and regular contact with field staff and partners was therefore identified as a key enabler to good programming and successful outcomes, as was the program management role. It was also found that organisations that developed and encouraged a culture of learning and transparency have been more successful to date in CS WASH II.

Other enablers were found to be:

- Innovation grounded in solid evidence and knowledge base
- A strong organisational WASH culture
- Building on past successes

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[7] http://www.cswashfund.org/shared-resources/references/me-note-1-about-civil-society-wash-fund-0

[8] NB This material is provided because of its relevance to the focus of the Fund on CSO project delivery, but it is important to note that similar critique has not been provided for the enablers and inhibitors affecting the roles and responsibilities of the other stakeholders in the Fund's delivery – the Fund Management Facility and DFAT. In the Water for Women Fund, a partnership approach will place greater emphasis on the roles of all stakeholders in achieving effective relationships and Fund-wide outcomes.

Inhibitors (internal): The following inhibitors related to internal aspects of CSO programming or management:

- Poor understanding of the context or a lack of evidence base to support the project approach.
- Unfamiliarity with WASH – i.e. coming into WASH from other sectors
- Poor senior management support and oversight to the program or project(s)
- An organisational culture that does not support change or innovation – and unwillingness to change

Inhibitors (external): The following inhibitors related to factors which lie outside the control or influence of a CSO, and the extent to which CSOs were able to proactively adapt to and address such inhibitors had resultant effects on effectiveness, with some CSOs demonstrating ability to do so, and others showing a lag in responsiveness:

- Natural disasters
- Exchange rate fluctuations
- Changing context - e.g. elections, delays to funding streams
- Changes in the commitment of key partners

Getting the basics right: It should be noted that while the SDGs rightly set a higher bar than the MDGs with respect to safely managing water and sanitation, experience in CS WASH Fund I and II demonstrates that efforts to provide basic levels of water and sanitation are still sometimes not being executed effectively and can be challenging. Basic issues, identified over preceding decades, still exist and that while innovation and advances to address new SDG challenges are important parts of the picture, informed and good quality efforts are still required to provide basic services for people who do not have access to them, and to address critical areas such as hygiene promotion.

Adaptive Management: CS WASH Fund II explicitly included provisions to enable flexibility and adaptation of projects under the Fund. This was operationalised through an annual planning process, where CSOs revised their planning and targets, and requested 'change frames' to accommodate and explain those changes. Changes to the design of the project required a change frame, however, underachievement was reported as a variation. A better understanding of the local context was also a reason cited by a half (54%) of CSOs requesting changes, which may point to the need for strengthened analysis at the outset of projects, as well as the reality that 'learning by doing' is inevitable and an important part of CSO implementation. The most common reason for reported variations were budget pressures as a result of exchange rate changes.   A supportive approach to iterative and adaptive planning and implementation is therefore incorporated into Water for Women Fund design.

4. Achievements and opportunities for improvement

1. Emphasis on the enabling environment

Achievements

The CS WASH II Fund's Theory of Change had an explicit focus on strengthening the enabling environment rather than in time bound investment or infrastructure, based on lessons from the first Fund, in which it was demonstrated that more sustainable outcomes were being achieved by CSOs that had explicit approaches to support the enabling environment, rather than direct delivery at community level. The approach to supporting the enabling environment in CS WASH II was achieved typically through partnerships and engagement

with 'change agents' including government representatives (national, sub-national levels), community change agents, teachers, private sector, local CSO partners, and community members. For some CSOs, 'strategic partners' were also engaged to support the CSO delivery team in specialist areas such as gender and social inclusion, monitoring and evaluation and formative research. The focus on the enabling environment has driven a change in mindset and practice of CSOs within the Fund, and has resulted in a range of actors considering engagement options and sustainability of interventions at a deeper and more profound level.

Strengthening community WASH committees was a common focus of CS WASH II to support sustainability at the community level, and by Dec 2016, 2321 WASH Committees had been targeted by projects, with 87% of these assessed to be fully functioning. This is an important and significant result, since it is known globally that much lower proportions of functioning committees are common. The test will be if after the funding period has ended, this high rate of functioning will be retained, and would usefully form the basis for an ex-poste evaluation. Most targeted WASH committees had women in managerial or technical roles (82%), and around half of all targeted WASH committees have 50% women members. Again, these are significant results that exceed usual representation of women in WASH committees.

Other approaches to strengthening the enabling environment included supporting local CSOs to advocate, and the provision of training was a common activity. The number of expected changes (improvements) to change agents' performance was planned to be highest as regards government staff at national and sub-national level, demonstrating the strength of engagement across the Fund with government as duty bearers in WASH, followed by within community change agents. The case study below demonstrates how a CSO has been able to exert considerable influence on government capacity and approaches.

Engaging the private sector in WASH activities is an area of increased attention and growth within CS WASH II. At the end of CS WASH II, 2121 additional private sector providers will be selling sanitation products and services, and 214 will be selling water system products and services.

Case Study: Strengthening the enabling environment of Bhutan: SNV
Since 2008, SNV directly supported the Ministry of Health (MoH) in Bhutan to develop and implement the government's first dedicated Rural Sanitation and Hygiene Programme (RSAHP). This included support from CS WASH Fund I to develop and test the approach district wide and establish the foundations that underpinned the CS WASH Fund II project. A high number of deliverables (17 out of 20) for this project were focused on technical support to government and the private sector - indicative of the project's emphasis on strengthening the enabling environment for WASH services. The project provided extensive support to the Royal Government of Bhutan including in the development of national policy, strategy and guidelines, formative research and through coaching to key staff at national and sub-national levels. Through this work, SNV built on existing solid working relationships with government agencies and partners and has enabled the government to lead a national scaling up of the programme to 9 of the 20 districts as part of its current Five Year Plan. This has included mobilising resources supported by clear structures and systems and agreed roles and responsibilities between the different stakeholders. As at December 2016, 63,000 additional people had gained access to improved sanitation has a result of the program.

Areas for improvement

Some CSOs found it challenging to ensure their work with change agents resulted in the anticipated outcomes. This was understood to be as a result of a range of factors such as insufficient and/or appropriate analysis, piloting before working at larger scale, and some internal issues that held up CSO activities and deliverables. These challenges were also reported to be due to external factors (changed circumstances, such as staffing in partner/change agent organisations) which were beyond the control of the CSO. Challenging operating environments also made progress difficult in some circumstances. These challenges point to the need for adaptive planning based on new information, and good M&E systems to feed into these adaptive management processes.

In addition, despite the focus on enabling environment in the Theory of Change for CS WASH II, some projects focused on direct delivery (discussed further in the ODE evaluation report[9]) and whilst significant change in approach has been visible for some CSOs, this has not been the case for all implementation.

The number of changes reported in private sector actors, despite significant investment and training, was reported to be low in CS WASH II. This points to the issue that unlike direct delivery, working with the enabling environment is a long-term and slower process. Additionally, given CSWASH II was less than three quarters complete at the time of writing, not all outcomes have yet been fully realised. Another factor may be that CSOs understanding that the enabling environment is larger than working with government, and includes the private sector and associations, for example, has taken some time for them to respond to. Given this is an evolving space, changes (outcomes) will take some time to become apparent.

One area of need and perhaps inadequate focus found to date in CS WASH II was the lack of adequate/basic WASH facilities in schools, while sanitation and hygiene were delivered elsewhere in the community. A community may be engaged in an ODF program, for example, while their children attend school with a ratio of 1 toilet per 100 children and no running water for handwashing. The lack of services in schools is therefore a key area in need of increased attention, especially given that only 47% of schools in least developed countries have adequate access to sanitation, and only 51% of schools in least developed countries have adequate access to adequate water[10]. Consideration of the immediate needs of the community with respect to WASH in schools is an area of great need in order to achieve holistic WASH outcomes, and improve the health of children and their families.

Menstrual hygiene management (MHM) within schools remains a key area of need, especially given the evidence around girls missing school during menstruation due to inappropriate or no MHM facilities/bins. Complex socio-cultural norms, ingrained gender bias and taboos, as well as resource constraints, make it a major issue for WASH practitioners especially in the Pacific.

Lessons learned from CS WASH programming in schools were summarised after a learning event convened by the CS WASH Fund in the Pacific, drawing on experiences from CSOs within the fund.[11] The lessons are presented in Table 2:

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[9] DFAT (2016) ODE Evaluation of the Management Arrangements of the Civil Society WASH Fund URL: http://dfat.gov.au/aid/how-we-measure-performance/ode/Documents/evaluation-of-the-management-arrangements-of-civil-society-water-sanitation-hygiene-fund.pdf

[10] UNICEF (2013) WASH in Schools. URL: https://www.unicef.org/wash/schools/

[11] CS WASH Fund (2015) WASH in Schools: Learning brief from the Pacific Regional Learning Event. URL: http://www.cswashfund.org/sites/default/files/CSWASHFund_2016_LearningBrief_WashSchools_Pacific.pdf

ENABLING ENVIRONMENT	GENDER AND DISABILITY	BEHAVIOUR CHANGE	FACILITIES	MONITORING & EVALUATION
A **multi-sectoral approach** is key.	All facilities and **hygiene promotion actitivities must be inclusive.**	Knowledge on the importance of handwashing is widespread but **behaviour does not match this knowledge.**	**Sex-segregated toilets** with menstrual hygiene management facilities are necessary.	**Monitoring, evaluation and learning is an area of weakness** accross the Pacific and it requires more attention and training.
Supportive national and school policies need to be in place.	Social inclusion **training** should be available for teachers.	There is a need for **culturally appropriate** hygiene promotion tools for teachers to use.	**Handwashing stations** with soap and water are key.	**UNICEF's Bottleneck Analysis** is a good tool for needs analysis and follow-up.
WASH needs to be **mandatory in the curriculum** – not an add-on.	Girls and children with disabilities should be included in WASH clubs.	There is widespread use of school **WASH clubs** in the Pacific.	Operations and maintenance **systems and financial support** should be in place.	
Teachers need **training** and resources.		**Handwashing made fun** is more successful.		
Finance and budget support are essential.				

Table 2. Lessons learned from CS WASH programs in schools in the Pacific

2. Focus on Gender Equality and Social Inclusion (GESI)

Achievements

The benefits of incorporating gender and social inclusion into WASH programming within the CS WASH Fund are numerous, and include reaching more people; improved hygiene outcomes; better sanitation outcomes; and improvements to strategic needs of marginalised people around roles and power within the communities that they live. Involving women in CS WASH Fund initiatives led to projects being more successful. For example, in CSWASH I it was found that working with women who are inherently motivated on WASH issues, contributed to more creative ideas for building or financing latrines.

A strength of the CS WASH Fund II has been its emphasis on gender equality and social inclusion. This was operationalised through an explicit, mandated 'gender and social inclusion plan' developed during the inception phase, and extensive follow-up by the MERP through feedback on progress reports and during monitoring trips. In the CS WASH I Fund, only two projects reported changes in the capacity of WASH actors to take a gender-sensitive approach. In the second round of the Fund, as many as 11% of 'expected changes' anticipated by CSOs in partner 'change agents' related specifically to addressing gender considerations. Being required to address gender and social inclusion explicitly therefore led to more CSOs consciously involving more women, gender discriminated peoples and people with disabilities into their programs.

Highlights included cases where CSOs have used culturally appropriate ways to strengthen women's roles and opportunities, such as developing entrepreneurial skills in women to sell sanitation materials in Indonesia; and teaming women with brothers and uncles to enable them to promote improved hygiene behaviours amongst households in Pakistan. One organisation trialled subsidies within a market-based approach to reach more poor families.

There have been positive cases of changed practice during the duration of the Fund. For instance, the MERP identified that women had not been consciously included in one project involving the support of sanitation sales agents (sanitation marketing). The organisation adjusted its approach as a result of this feedback, and found that by including women to become sales agents and work part-time/more flexible working arrangements, more women were engaged in the program and able to fit this work around their household duties. This

allowed the program to draw on a broader range of people to be selected as sales agents, as well as be inclusive of women. This example highlights the need for GESI to be considered up front and prior to the design of any intervention conducted under the Water for Women Fund.

In CS WASH II, half of all projects sought to ensure people with disabilities were involved. Achievements were made, particularly through partnering with other organisations with relevant expertise, and at the local level with Disabled People's Organisations (DPOs). Examples of contributions included modifying design of facilities to improve access and providing valued roles for people with disabilities, thus contributing to empowerment.

Case Study: engaging local disabled persons organisations in project implementation – World Vision
Through the CS WASH II Fund World Vision in partnership with CBM has been working with the North Province Consortium of Organisations for Differently Abled (NPCODA) and associated Disabled People's Organsiations (DPOs). These activities were focussed on increasing their capacity, supporting their activities and building their skills in undertaking the in-depth disability assessments, implementing disability inclusive WASH activities and improving disability inclusive policies.
A range of capacity building activities were undertaken including a workshop on the UN Convention of Rights of Persons with Disability (UNCRPD) to 21 participants from DPOs and Ministry of Social Services. The capacity of NPCODA was strengthened through multiple training and support events, including a two-day workshop for 26 participants covering a range of issues including disability inclusion, mobility, life skills and access to WASH services.

Areas for improvement
Supporting improvements in menstrual hygiene management (MHM) is an area that needs work, especially in schools. Supporting improvements in menstrual hygiene management (MHM) is an area that needs work, especially in schools. Within CS WASH II Live and Learn Vanuatu worked with the Ministry of Education to embed Menstrual Hygiene Management training as an elective in the teaching syllabus at the national level. Habitat for Humanity Bangladesh supported School Hygiene Groups (teachers and selected students) as change agents responsible for delivering hygiene messaging in schools. Given the importance of MHM for girls school attendance, health and dignity, more evidence-based engagement is needed in this area.

Some CSOs faced challenges in addressing gender equality or focusing on people with disabilities. For instance, in CS WASH I, one CSO has noted that while they have tried to influence the make-up of government bodies to have more women, these attempts have not been successful. More consideration of how GESI can be mainstreamed in approaches in relation to the government and government staff is likely needed to support this area of engagement.

Some CSOs within CS WASH II identified a tension between investing resource in reaching scale (the majority population) and addressing social inclusion and marginalised households. However human rights principles and the SDGs make clear the need to emphasis reaching these groups

The appropriateness of mainstreaming gender and social inclusion and explicit targeting to assist marginalised groups will need to be utilised as appropriate in each context, and the

Water for Women Fund's approach that recognises that both 'mainstreaming' and 'targeted' approaches will be needed. It is also important the design take account of certain specific groups. For example, given disability inclusion is a high priority for the Australian Government and an explicit commitment within the aid program, the design notes that it must be made visible in design, selection, baseline studies, implementation approaches, MEL frameworks and M&E.

> **Case Study: GESI Monitoring – From Practical to Strategic Changes; Strengthening Gender in WASH, Vietnam: Plan International and ISF-UTS.**
> This project examined the impact of Plan International's Gender and WASH Monitoring Tool (GWMT) in three central Provinces of Vietnam on the achievement of strategic gender outcomes. The research revealed that a considerable proportion (30%) of reported strategic gender outcomes for women and men were connected with WASH programs, policies and impacts in the three Provinces. The remainder were the result of changing societal dynamics, reflecting significant changes in gender relations in Vietnamese rural society. A small number of changes that were impacting negatively on gender equality were also revealed, pointing to the need to take a 'do no harm' approach and monitor gender outcomes. Plan's GWMT was found to use robust participatory processes, however in itself was not found to achieve additional strategic gender outcomes, pointing to the need for robust gender-sensitive programming approaches (in addition to gender-focused monitoring tools) to achieve such outcomes.

3. Improved WASH evidence and knowledge base

Achievements

The knowledge and learning manager (KALM) provided a coaching role with CSOs to improve learning and encourage good practice across the Fund in CS WASH II, and a range of K&L opportunities were offered to CSOs within the fund including face: face learning opportunities, webinars, learning briefs and information provided through the website. The ODE independent evaluation of the knowledge and learning (K&L) component found that 16 or 17 survey respondents agreed strongly that the K&L component had assisted their project improve its approach to gender inclusiveness, while 14 of 17 agreed or strongly agreed that it had assisted their approach to gender equality. In CS WASH II a focus of K&L has been on face to face learning opportunities such as global and regional learning events which are perceived to be effective for knowledge and learning by CSOs. 15 of 16 survey respondents to the ODE evaluation found that learning events had improved their project team's WASH knowledge and practices either 'significantly' or 'extremely'.[12]

CSOs delivered programs to support knowledge and learning in the enabling environments they are operating within, such as supporting partner governments to develop WASH M&E systems. Other examples include strategic research partnerships, including those through the I&I grants where CSOs partnered with research organisations to explore cutting edge areas of research designed to feed into the WASH knowledge base.

By the mid-term of CS WASH II (July 2016), CSOs had developed over 400 K&L outputs which were shared through the CS WASH website, newsletter, social media and through CSOs' own channels. By December 2016, 35 'peer reviewed' publications had been developed out of the Fund, which is approximately 50% of the target for CS WASH II.

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[12] DFAT (2016) ODE Evaluation of the Management Arrangements of the Civil Society WASH Fund URL: http://dfat.gov.au/aid/how-we-measure-performance/ode/Documents/evaluation-of-the-management-arrangements-of-civil-society-water-sanitation-hygiene-fund.pdf

Areas for improvement.
The K&L component of CS WASH II commissioned research into how CSOs learn and take up evidence for improved policy and practice in 2016.[13] This research found a number of weaknesses and inhibitors identified by CSOs and non-CSOs (donors, government and research institutions) to knowledge and learning processes and the uptake of evidence by CSOs. These included:

1. **Lack of time for reflection** and to take on the results of M&E processes and data;
2. **Leaders are not driving a "learning culture"** in some organisations;
3. **Reputation and funding concerns** impeding K&L processes;
4. **Learning from failure** is ad-hoc and sometimes avoided due to perceived pressures from donors and not wanting to be exposed (personally and organisationally);
5. **M&E data and processes** not being used more effectively in continuous improvement. This included that some M&E processes were outsourced and therefore knowledge sits outside of some organisations; the donor driven nature of some M&E processes seen to not be as relevant to 'on the ground' knowledge needs as they could be; and lack of time available/built in to learning from M&E.

In addition to these constraints to knowledge and learning within WASH CSOs, it was found that while a huge number of knowledge and learning products were developed by CSOs (400+), the quality is variable with some providing very high-quality products, and some producing internal documents not able to be shared across the fund. The design of Water for Women aims to "lift the bar" in this area, including through the role of the Knowledge and Learning Advisory Group. In the future, CSOs will need better guidance on the type of products that should be submitted and be encouraged to filter out those that are unsuitable.

4. Improved hygiene behaviour

Achievements
The Design of CS WASH II drew on evidence demonstrating the cost-effectiveness of hygiene promotion relative to other health interventions that aim to reduce child mortality, and proposals and operational plans were required to address hygiene. As a result, all 29 projects delivered under CS WASH II included strategies to improve hygiene behaviour. Of these, 90% targeted schools. Many projects were delivered through and with national and sub-national change agents, and many undertook community-based hygiene promotion activities such as at health clubs and community-wide health promotion by village workers.

Another achievement is where formative research is undertaken to inform appropriately targeted hygiene behaviour change strategies, as well as a study under the I&I Fund by SNV which is examining the cost-effectiveness of different approaches to hygiene.

Areas for improvement
The mid-term review found that school handwashing facilities were lagging based on their original targets which have been revised down by 43%. At mid-term only 29% (56,500 students) of the revised target had been achieved for programs delivered in schools. This issue is discussed further below, as it also affected sanitation in schools.

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[13] Grant M., Murta J., Willetts J., Carrard N., (2016) Civil Society Organisations' Learning for Impact in Water, Sanitation and Hygiene Programming: http://www.cswashfund.org/shared-resources/references/report-csos-learning-impact-wash

Another area for improvement is in relation to innovation in hygiene approaches, as many CSOs were using standard approaches that may not optimise outcomes, for instance health clubs through schools, or use of IEC materials. One example from CS WASH I Fund involved popular figures and large-scale mass mobilisation on hygiene behaviour in schools which demonstrates that there are many unexplored pathways to consider how to creatively address hygiene behaviour change. In addition, there is an emerging body of research and practice on behaviour change communication which CSOs could draw on more explicitly. Overall it will be important for Water for Women Fund to maintain a strong focus on hygiene and support evolution in the strategies and approaches adopted.

Case Study: Menstrual Hygiene Management in Timor-Leste: WaterAid

Since 2012, WaterAid collaborated with the Ministry of Health and the Ministry of Education in Timor-Leste to pilot school-based menstrual hygiene management (MHM) approaches under CS WASH Fund II. Small-scale approaches were identified and tested to determine how to best address MHM in schools. These were then used to advocate to the government to scale up and improve cross-sectoral solutions to menstrual hygiene management within Timor-Leste. Along with improving WASH infrastructure in schools, WaterAid and partners collaborated with government and other CSO's to develop a set of information, education communication (IEC) materials for girls and boys in schools. The IEC materials address hygiene practices, and aim to demystify cultural barriers and taboos around menstruation, such as not being allowed to cook, wash hair or bathe and not interact with boys and men. Engaging men and boys as key change agents was a core approach used in the project. In Liquica district, girls and boys in senior high-school were supported to become MHM champions, including speaking at neighbouring schools.

The project led to greater government ownership of MHM strategies, and strengthened accountability for WASH in schools across the WASH, education and health sectors. Teachers in the four participating schools recognised the importance of MHM education and increased their own knowledge and skills. It also led to a greater interest in MHM from the sexual and reproductive health sector, and as a result, the IEC materials were used by health workers working in schools.

5. Increased use of equitable sanitation services

Achievements

One of the strongest achievements of the Fund was in sanitation. It was explicitly made a focus in CS WASH II, as it was in the sector more broadly, resulting in major gains. CS WASH Fund II is projected to provide access to improved sanitation for more than 2.8 million people, with the largest numbers of beneficiaries in Cambodia, Pakistan and Vietnam. The approaches used by CSOs included a focus on both supply and demand – with 2/3 of projects utilising CLTS (or variants) and 1/4 using PHAST. Some CSOs in the Pacific used a combination of both. It appears that the convergence and use of both demand (e.g. CLTS) and supply side (sanitation marketing) together are leading to significantly greater use of 'improved' toilets, not just basic latrines.

Engagement with the private sector was a feature of CS WASH II, with over 2000 businesses expected to be selling sanitation products and services by the end of the Fund. At December 2016, 817 new or existing businesses were reporting revenue growth (relative to the previous year) in the sale of sanitation products and services.

Areas for improvement

End of fund projection of improved school latrines reduced by 52%. CSOs reported that this was as a result of higher than expected infrastructure costs, lack of expected government co-contribution, budget pressures due to the Australian dollar falling. It hence appears that commitment to build facilities in schools (which requires significant costs), may be an area that CSOs have chosen to reduce back in the face of budget pressures. It may also be that unrealistic targets were set in cases where CSOs were working with other change agents (e.g. school committees or government education agencies) with the expectation that they would be mobilised to construct WASH facilities. Overall, it presents an area of concern, since inadequate facilities in schools is an area of high need and significant public health hazard.

The SDGs brought into focus the need for a move beyond basic sanitation facilities, and towards 'safely managed' services which are not shared with other households, and excreta are safely disposed in situ or treated off-site.[14] The M&E framework for CS WASH II captures the number of additional people using a basic and improved sanitation facility, and also the number of additional people using a shared facility. In CS WASH II only a few CSOs had given focus to Faecal Sludge Management (FSM), and where they did so, significant gains were made. This will be an important area for the Water for Women Fund, particularly in more dense settings.

6. **Increased use of equitable water supply services**

Achievements

80% of projects in CS WASH II with a water supply component targeted schools. This resulted in 67,531 additional students with access to an improved drinking water source as of December 2016 (52% of current projection). Water quality improvements were delivered by CSOs through delivery of water supply infrastructure or rehabilitation of existing supplies.

In line with the Sustainable Development Goals calling for water supplies to be "safely managed", CS WASH II captured information on the number of additional people living in households where water is safely treated and stored. As of December 2016, 1,058,686 additional people were living in households where water is safely treated and stored as a result of projects funded under CS WASH II.

Community based management for water supplies were the most common model utilised by CSOs under the CS WASH Fund, but some CSOs supported government and private sector management. For example, change agents were provided reimbursements based on the number of new household water connections and new latrines verified in poor households in Vietnam, Cambodia and Lao PDR. Water supply goals included increased connection rates, improved quality of service and lowered investment costs. The M&E data includes whether WASH committees are functioning, and demonstrates that the large majority are functioning, which bodes well, but is something that would ideally be tested through an ex-post evaluation of CS WASH Fund II.

Opportunities for improvement

Supporting improvement of safe water supplies in health clinics was not very common in CS WASH II.

The recent WHO assessment of WASH in health care facilities found that in 54 low/middle-income countries, data demonstrated that 38% of health care facilities did not provide users access to an improved water source, 19% did not provide improved sanitation, and 35% do

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[14] United Nations (2015) Sustainable Development Goal 6: https://sustainabledevelopment.un.org/sdg6

not have soap for handwashing.[15] Given the implications this has for maternal and neonatal care and health care outcomes overall, it could point to an area of significant need.

In addition, 25% less people were expected to receive improved drinking water sources than originally planned in CS WASH II as a result of increases in costs and depreciation.

7. Environment, CCA and DRR

Achievements

As with gender and social inclusion, an environment, climate change and disaster risk reduction component was required for all projects under CS WASH II. Disaster Risk Reduction (DRR) was included in design of 2/3 of projects in CS WASH II; and more than 2/3 included measures to address environmental considerations (such as water quality and faecal sludge management). Climate change adaptation measures were included in around 1/3 of projects.

To date almost one third of projects have experienced some form of natural disaster during the Fund, and CSOs have been responsive in addressing these, even though they might not have been fully anticipated in their operational plans.

Case Study: Environmental Protection in Lao PDR: Gret

GRET's public-private partnership approach to water scheme development included an on-going focus on mitigating environmental risks. Enterprises were selected by public authorities through transparent tendering process and contracts established to facilitate the regulation of services at the local level. GRET provided technical advice and oversight throughout scheme design, construction, management and monitoring phases.

The water source was selected during the feasibility assessment. The source selection aimed to limit the impact on the river ecosystem and ensure compatibility with other users of the water source. Solutions to minimise waste generated by the water treatment process were proposed to the private operators. Training was conducted on the correct chemical dosing, as inappropriate dosage could result in increased washing operation of the sand filters and increased electricity consumption, as well as an increased volume of wastewater released in the environment. GRET facilitated training on sludge management, wastewater management, and water source protection for the private operators and district authorities. Environmental practices were also overseen by GRET.

Under EMW's sanitation component, on the job training was conducted by NamSaat for village chiefs and mobilizers that included criteria for safe latrine installation that meets environmental health criteria. These change agents directly oversaw construction or advised households about how to oversee the latrine installation. A key concern was selecting a latrine location to avoid water source contamination.

Areas for improvement

The Sustainable Development Goals (SDGs) call for an integrated approach across and within the goals. SDG6 incorporates both WASH and water resources management issues (water pollution, water security, integrated water resources management (IWRM). The

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[15] WHO (2015) Water, sanitation and hygiene in health care facilities Status in low- and middle-income countries and way forward. URL: http://www.who.int/water_sanitation_health/publications/wash-health-care-facilities/en/

interdependencies between WASH and IWRM is increasingly understood and leaders in the Australian WASH sector have called for the adoption of holistic systems understanding (as promoted by IWRM frameworks) to WASH interventions so that they consider past, present and future challenges.[16] The threats to water resources (due to climate change, pollution, drought and over-extraction) pose a direct threat to WASH services, as do WASH services (such as un-treated faecal waste) pose a threat to water resources.

Water resources management and CCA did not feature strongly despite the need for all projects in CS WASH II to address environment/climate change/DRR in their projects. The direction from the SDGs provides an immediate opportunity for Water for Women to support integrated approaches to WASH in the context of integrated water resources management more broadly. It is likely that strengthened consideration of possible climate change scenarios and the impacts these will have on water availability through different sources would strengthen the sustainability of projects funded.

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[16] Hadwen, W., Powell, B, et al (2015) Putting WASH in the water cycle: climate change, water resources and the future of water, sanitation and hygiene challenges in Pacific Island Countries. In Journal of Water, Sanitation and Hygiene for Development. P 183 – 191.

Attachment 1: List of CSO Partners and Projects from CS WASH II

Organisation	Country	Title
Australian Red Cross (ARC)	Lesotho	Water, Sanitation, Hygiene Promotion Interventions for Rural Communities in Lesotho
Australian Red Cross (ARC)	Bangladesh	CDI 2 -WASH Program (Community-based Development Initiative – Water and Sanitation Hygiene Promotion)
Australian Red Cross (ARC)	Nepal	Sanitation, Hygiene & Water Management Project
Habitat for Humanity	Bangladesh	Supporting the Enabling Environment for better WASH services in Northern Bangladesh
iDE	Vietnam	Water, Sanitation, and Hygiene Scale Up Project (WASH-SUP) - Vietnam
iDE	Cambodia	Water, Sanitation, and Hygiene Scale Up Project (WASH-SUP) - Cambodia
International Rescue Committee	Pakistan	Community Driven Environmental Health Program in KP Province, Pakistan
Live & Learn	Fiji	Western Pacific Sanitation Marketing and Innovation Program - Fiji
Live & Learn	Papua New Guinea	Western Pacific Sanitation Marketing and Innovation Program - PNG
Live & Learn	Solomon Islands	Western Pacific Sanitation Marketing and Innovation Program - Solomon Islands
Live & Learn	Vanuatu	Western Pacific Sanitation Marketing and Innovation Program - Vanuatu
Plan International	Malawi	Mulanje Total Sanitation Project
Plan International	Pakistan	Scaling Up Pakistan Approach to Total Sanitation in Punjab
Plan International	Vietnam	Community and School Water, Sanitation and Hygiene Promotion Project (CS-WASHPro)
Plan International	Indonesia	Community Based Total Sanitation (STBM) in Nusa Tenggara Timur (NTT) Province
Save the Children	Myanmar	Strengthening Community-based WASH Governance
SNV	Nepal	Sustainable Sanitation and Hygiene for All (SSH4A) - Nepal
SNV	Bhutan	Sustainable Sanitation and Hygiene for All (SSH4A)
Thrive Networks	Vietnam	Water, Sanitation and Hygiene Output Based Aid (WASHOBA) - Vietnam
Thrive Networks	Cambodia	Water, Sanitation and Hygiene Output based Aid (WASHOBA) - Cambodia
Thrive Networks	Lao PDR	Water, Sanitation, and Hygiene Output based Aid (WASHOBA) - Lao PDR
United Purpose	Malawi	Scaling-up Successful, Sustainable and Innovative WASH Service Delivery Approaches in Malawi
WaterAid	Mozambique	Decentralised, innovative urban WASH in Mozambique
WaterAid	Timor-Leste	Strengthening WASH approaches in Timor-Leste
WaterAid	Papua New Guinea	Community-led, sustainable WASH in PNG
Welthungerhilfe	Zimbabwe	SELF - Sustainable SERVICES for EVERYONE beyond the LIFETIME of the project at a FAIR price
World Vision	Zimbabwe	Learning from the past, leading into the future. Saving lives through inclusive WASH
World Vision	Sri Lanka	Learning from the past, leading into the future. Saving lives through inclusive WASH. (Rural Integrated Water, Sanitation and Hygiene Project – 3 (RIWASH-3)
World Vision	Papua New Guinea	WASH in Western Province

Attachment 2: List of CSO Partners from CS WASH I

1. Adventist Development & Relief Agency (ADRA)
2. Australian Red Cross (ARC)
3. Care Australia
4. East Meets West Foundation
5. Live & Learn
6. Oxfam
7. Plan International Australia
8. SNV Netherlands Development Organisation (SNV)
9. WaterAid
10. World Vision Australia (WVA)
11. Water & Sanitation for the Urban Poor (WSUP)

Annex 8   Knowledge and Learning Component

1. BACKGROUND

There remain significant unresolved questions and gaps in evidence in the WASH sector, highlighted globally by a recent assessment undertaken through the Sanitation and Water for All Partnership, and also through the outcomes to date of the CS WASH Fund. To help address the need for more evidence DFAT has supported the generation and sharing of knowledge in the WASH sector through a number of mechanisms:

- DFAT has been an important donor and partner in the World Bank Water Sanitation Program (WSP) to create and share evidence-based knowledge and best practice about what works at scale to support poor people in obtaining affordable, safe and sustainable access to water and sanitation services. DFAT has also funded a series of Australian Development Research Award (ADRA) grants in the WASH Sector.

- DFAT has funded four conferences that addressed key sectoral issues (2008, 2011, 2014 and 2016) with an upcoming conference planned for March 2018. These conferences engage key sector actors from the region and more broadly, and make a significant contribution to global sector knowledge leadership and debate.

- The first Civil Society WASH Fund included a $150,000 Learning Fund to facilitate innovation, coordination and learning between the CS WASH Fund grantees, in addition to their own activities targeted at the enabling outcome of generating evidence-based knowledge. The CS WASH Fund included a dedicated Knowledge and Learning Component which incorporated funding of $800,000 for Innovation and Impact grants as well as funding for events and website.

2. LESSONS FROM EXPERIENCE

In both the first and the current CS WASH Funds, CSOs have engaged in knowledge creation and sharing activities. In the first Fund innovations and practice were shared through the three learning events and subsequent publication of seven themed learning documents. The WSI Civil Society WASH Learning Fund Completion Report[17] brought together a number of recommendations from participating CSOs, the WASH Reference Group and the Fund's Monitoring and Review Panel to strengthen future learning projects. Key recommendations included:

- Review other successful learning initiatives and design a structured learning process across the entire duration of the Fund.
- Greater use of online platforms to increase participation and dissemination
- Involve a broader mix of participants in learning opportunities, including CSO, government and private sector partners
- Increase budget to implement a longer and more structured learning process.
- Disseminate learning to a broader audience using a variety of mediums.

These recommendations informed the design and resourcing of the Knowledge and Learning component of CS WASH Fund, which the ODE evaluation has pointed to as a key strength of the Fund. The CS WASH Fund included the following elements in its design:

- A dedicated role within the Fund Management Facility to guide knowledge and learning (Knowledge and Learning Manager- KALM)

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[17] Water Aid Australia, Completion Report: Civil Society WASH Learning Fund, September 2011.

- *Innovations and Impact Fund (I&I) Fund*: Five grants have been awarded spanning diverse areas, including monitoring, hygiene behaviour change, faecal sludge management, gender equality and smart subsidies. Consultations during the design confirmed their value by multiple stakeholders, pointing to value for recipient organisation and partners to have space for innovation and work with higher risk, contributions to global evidence base (e.g. through international conferences) and high-quality documentation shared
- *Two ADRAS research grants linked to CSO implementation*: One focused on small-scale enterprise and partnership with four CSOs in Timor, Indonesia and Vietnam, and the other focused on sanitation market exchange in Pacific partnered with one CSO.
- *Mechanisms for sharing and learning*:
    o Electronic media and fora: Included 'post-cards from the field' which have been highlighted in ODE evaluation and other actors, including DFAT, as important for public diplomacy efforts. Also included webinars, particularly in lead up to learning events. The current website is used but consultations revealed that it could be improved (see http://www.cswashfund.org/)
    o Two global and three themed regional learning events (including documented Synthesis Reports and associated Learning Briefs for each event), involving active engagement of CSOs in the design and facilitation of these learning events. Participants at the events have included both CSO staff as well as their 'change agent' partners, which CSOs report to have strengthened relationships and led to changes and improvements in their programming (confirmed through ODE evaluation)
    o Consolidation of activities around four key Fund-wide themes, which has been reported to be beneficial by both CSOs and the KALM

The K&L component of CS WASH Fund also commissioned research into how CSOs learn and take up evidence for improved policy and practice in 2016.[18] The key findings were that face-to-face formats, practical guidance materials and toolkits and training materials were both preferred and also most effective for enabling CSO learning and uptake of evidence based practice. These findings confirmed the elements that form the current K&L component. In addition, this research found a number of weaknesses and inhibitors identified by CSOs and non-CSOs (donors, government and research institutions) to knowledge and learning processes and the uptake of evidence by CSOs. These included: Lack of time for reflection and to take on the results of M&E; Leaders are not driving a "learning culture"; Reputation and funding impeding K&L processes; Learning from failure is ad-hoc and sometimes avoided; M&E data and processes not being used more effectively in continuous improvement.

In addition to these constraints to knowledge and learning within WASH CSOs, it was found that while a huge number of knowledge and learning products were developed by CSOs (400+), the quality is variable, and it will be important to identify ways to "lift the bar" within the Water for Women Fund.

Consultations and the recent evaluation report have indicated there could be better interlinkages sought between K&L and M&E at the Fund-level. The governance and design of both of these elements will therefore seek to optimise such linkages.

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[18] Grant M., Murta J., Willetts J., Carrard N., (2016) Civil Society Organisations' Learning for Impact in Water, Sanitation and Hygiene Programming: http://www.cswashfund.org/shared-resources/references/report-csos-learning-impact-wash

Lastly, consultations suggested that the K&L component could usefully include some flexible funding that could support CSO-led K&L activities that are of benefit to multiple CSOs.

3. KNOWLEDGE AND LEARNING ACROSS THE FUND

Generation and sharing of evidence-based knowledge and learning will be facilitated by the Fund through the following mechanisms:

- CSOs will be expected to innovate and create and share new demonstrated practice and evidence-based knowledge and take steps to facilitate its use and uptake by other CSOs, and/or other national or international actors (Outcome 4) through their core proposals to the CS WASH Fund
- The Knowledge and Learning component, comprising:
  - A **dedicated KALM** responsible for multiple aspects of knowledge management. This includes: supporting quality CSO knowledge outputs and outcomes within CSO programming; management of small grants; supporting integration of WASH Research Award activities and findings; leading a Knowledge and Learning Advisory group; working jointly with any M&E staff or function to facilitate interlinkages; planning and management of learning events.
  - **Innovations and Impact Fund** - Small grants of different sizes (small-scale up to $50K, larger scale up to AUD$100K per year for up to two years[19]) will be made available to support the piloting of innovations by individual CSOs (consortiums are also eligible), including the scaling up of successful interventions, undertaking action research activities in innovative areas, and conducting valuable impact assessment activities (e.g. ex-poste evaluations to assess sustainability). Larger scale grants will require collaboration with recognised research organisations, and are likely to comprise about three-quarters of the allocated funding.
  - **Knowledge sharing and learning** will be supported and encouraged through: Two regional learning events in each region; Webinars; Website and other relevant electronic forums (e.g. e-discussions); Contribution to global and regional conferences; Support for peer-learning and coordinated CSO-led learning activities

4. DESCRIPTION AND APPROACH

4.1 Expected Outcomes

The knowledge and learning component aims to identify new and innovative ways to improve practice in gender and inclusive WASH programs and their sustainability, for enhanced longer-term impact by improving the evidence base of effective WASH approaches.

The related Fund outcomes are:

- End-of-program outcome: Uptake and use of new evidence and practice (*innovation*) in sustainable and inclusive WASH

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[19] In exceptional circumstances this may be increased up to $250 where that is deemed fully justified by the significance of the innovation/investment

- Intermediate outcome: Documentation and sharing of gender and socially inclusive evidence and effective practices with other CSOs, national and international sector actors

4.2   Activity Description

There will be two parts to the Knowledge and Learning component: the first will be the generation of evidence-based knowledge both within the fund as well as the sector generally, and the second will be the creation of a community of practice for sharing the learning and knowledge. Whilst the primary focus of the second part will be Fund participants and their partners, resources and effort will also be allocated to support proactive external communications of the Fund and engagement with other CSOs outside the Fund conducting WASH work, national and international stakeholders.

Innovation and Impact Grants (I&I grants)

A funding allocation of $1 million will support an estimated 5-8 larger grants (up to $200K over 2 years), and a further number of smaller grants (under $50K for variable lengths of time)

Proposals for larger grants will be made in one or two rounds during the life of the Fund. The Knowledge and Learning Fund Manager will manage the selection process and involve suitably qualified researchers and practitioners to assess proposals. Proposals for smaller grants will be accepted on an ad-hoc on-going basis.

The grants will be available for the following types of activities that contribute to the ongoing development of WASH sector policy and approaches, particularly gender and inclusive WASH:

- Testing and documenting innovative approaches to WASH policy and implementation,
- Undertaking action research on innovative approaches and practice
- Impact assessment or ex-poste evaluations
- Small-scale studies to answer implementation questions arising in the Fund, particularly those relevant to multiple CSOs

The larger grants will support the CSOs to obtain the additional technical expertise required to turn innovation, pilots or new practice into high quality evidence-based knowledge. For example, CSOs who have innovated during the previous fund could apply to this fund to study and document the outcomes and impact of the innovation, so that it can be shared and replicated more broadly. Larger scale grants will require collaboration with recognised research organisations.

The smaller grants will be more responsive, shorter-term and have lower expectations in term of technical rigour (and do not have the requirement for partnership with a research organisation) and reporting.

Specific guidelines and criteria will be developed during the Water for Women Fund Inception phase but are expected to include the following:

- Only CSOs who have been awarded an agreement to receive funds from the overall WASH fund will be eligible to apply. An addendum to CSO agreements will be issued for an Innovations and Impact Grant.

- Funds will be directed towards activities which make a key contribution to WASH sector knowledge that has direct application to the development of policy and implementation approaches in the target countries/regions.

- CSOs are encouraged to present collaborative ventures involving two or more of the CS WASH Fund partners and/or other stakeholders

- Priority will be given to applications that demonstrate a focus on gender and inclusion aspects of WASH

- A breadth of types of methodologies to investigate or document approaches will be supported (including action research, and both qualitative and quantitative approaches)

- For larger grants CSOs will be required to partner with a research institution, either national or international, to produce outputs that are of a quality that can be shared through WASH sector networks and conferences and/or peer reviewed journals.

- CSOs will be required to develop and implement a communications and engagement strategy in order to maximise the influence and uptake of the innovation into broader policy and practise.

- Presentation of the results of the innovation/research to a broader sectoral audience at the biannual Australian WASH conference. Presentation in other international forums such as the WEDC International Conference is also encouraged, but will be funded by the CSOs themselves.

- Submissions demonstrate value for money and fall within the fund budget guidelines.

- Information about grants issued and a basic outline of the project will be available on the Fund website, as well as the key findings and outputs

- Fit-for-purpose reporting (reporting on a six-monthly or annual basis for larger grants, and at completion, or as needs, mid-term also, for smaller grants)

4.3   Sharing Knowledge and Learning

The community of practice for sharing knowledge and learning will be facilitated through a continued focus on electronic communication mediums as well as regional learning events.

Electronic media and fora

While all CSO's will be encouraged and supported to share knowledge at a national and regional level through existing mechanisms, the Water for Women Fund Knowledge and Learning Component will encourage sharing between CSO and partner management and implementers by:

- Maintaining an interactive website that will share information about innovative approaches being tested, publish key learning outputs, facilitate blog and discussion forums on key issues, and provide up-to-date information about relevant WASH sector resources and events.

- Maintaining a presence on the social media sites most commonly accessed by CSO and partner management and staff.

- Ensuring that key information from existing learning networks and resource centres are shared with the Fund grantees.

- Ensuring that knowledge and evidence generated within the Fund is communicated proactively with the relevant external stakeholders, involving engagement in existing WASH sector platforms (eg. RWSN network discussions, SUSANA site etc.)

- Supporting CSOs to contribute to regular webinars (2-4 times per year) on key WASH issues, particularly those that are identified through the M&E processes, and informing grantees of webinar opportunities facilitated through other institutions (eg: WEDC).

Supporting peer-to-peer learning

The KALM will coordinate a Knowledge and Learning Advisory group (K&L Advisory group) comprised of a representative from each Fund CSO, and a representative from each research organisation funded under the Research Component.

The KALM, M&E staff and K&L advisory group will:

- Identify key thematic areas around which learning activities will be centred (these may last the duration of the Fund, or be more short-lived). One specific theme which is expected to be included is 'sustainability' given its ongoing importance in the sector. Another suggested focus is M&E, including novel M&E approaches suited to addressing gender and socially inclusive WASH.

- Proactively identify opportunities for cross-learning between CSOs, including within a given country, or across countries but around specific areas of overlap in areas of practice

- Collaboratively design the regional learning events

- Identify and coordinate activities around which Fund CSOs can collaborate (for instance workshops at WASH Futures or other international conferences)

- Identify opportunities for Fund CSOs to engage and communicated externally-including with other CSOs (for instance those conducting WASH work through ANCP) or other external actors

Regional learning events

There will be two Water for Women Fund learning events in each of the target regions during the five-year period of the fund's operation. Participating CSOs and their key local counterparts ('change agents') will be encouraged to attend.

The design will follow the format developed through CS WASH Fund which has proved effective- including both topic expertise and peer-based learning, and a balance of 'open' components (for instance, including other national WASH sector stakeholders) as well as time focused just on Fund participants. The first of these learning events in each region will be held early in the fund implementation period so that the relational basis for the establishment of a community of practise is established. The KALM will develop a schedule for the events early in the Fund.

Knowledge and Learning Component Indicative Outcomes

The knowledge and learning component of the Water for Women Fund will directly contribute to the Australia's reputation, profile and knowledge leadership in the region and globally, particularly around gender and inclusive WASH. Uptake and use of evidence ad practice (innovation) by other CSOs, in partner countries and by international WASH actors will influence wider policy and practice.

Indicative outcomes, result areas and indicators are shown in Table 3 below. It is expected that this may be refined by the KALM during the inception period. They should be designed

to directly feed into the overall Fund-level PAF (Annex 17), and should also draw on or be connected with) performance information collected through both CSOs and research organisations.

Table 3: Indicative outcomes for Knowledge and Learning Component

Outcome	Relevant result areas	Possible indicators and performance questions
End of program outcome: Strengthened use of new evidence, innovation and practice in sustainable gender and inclusive WASH by other CSOs, national and international WASH sector actors	Uptake and use of evidence, practice and innovation arising from Water for Women by **Fund participants**	How have any Fund-related CSO outputs or Research Component outputs or related engagement been actively used by CSOs participating in the Fund (and/or their change agents)? What factors have facilitated uptake and use?
	Uptake and use of evidence, practice and innovation arising from Water for Women by **other WASH actors**	How have any Fund-related CSO outputs or Research Component outputs or related engagement been actively used by other actors beyond the Fund (other CSOs, national or international actors)? What factors have facilitated uptake and use?
	Changes in **sector discourse and thinking** on key issues, at national or international level	How have any Fund-related CSO outputs or Research Component outputs or related engagement influenced debates and sector discourse and thinking? What factors affected the level of influence?
	Changed **policy or practice** by other CSOs, other sector organisations or governments	How have any Fund-related CSO outputs or Research Component outputs or related engagement influenced policies or practice of other actors beyond the Fund (other CSOs, national or international actors)? What factors affected the level of policy-influence?
Intermediate outcome: Documentation and sharing of gender and socially inclusive evidence and effective practices with other CSOs, national and international sector actors	Lessons on what works, what doesn't, costs and effective WASH practice, particularly gender and inclusive practice, actively **shared within and beyond the Fund**	At which events has active engagement and sharing of gender and socially inclusive evidence and practice taken place? How many people were reached? Number of externally focused information sharing products/events e.g. reports, technical guides, policy notes, videos, synthesis of workshops etc. Number of CSO team members participating in Fund Regional learning events Number of CSO team members participating in Fund-related webinars, e-discussions and forums Number of CSO-led events or initiatives held to share gender and socially inclusive evidence and practice
	WASH sector knowledge base enhanced through structured engagement and sharing of findings of WASH Research Awards and Innovation and Impact Grants through Fund website and other channels	Number of externally focused information sharing products/events e.g. reports, technical guides, policy notes, videos, synthesis of workshops etc. arising from I&I grants Number of externally focused information sharing products/events e.g. reports, technical guides, policy notes, videos, synthesis of workshops etc. arising from WASH Research Awards
	Strengthened relationships and learning networks between Fund participants	What is the quality of the relationships and level of K&L exchange between Fund participants? How well is the K&L Advisory Group functioning? How could this be improved?
	Strengthened relationships and learning networks between Australian, international and partner country CSOs and research	To what extent have K&L activities across the Fund supported strengthened relationships and learning networks between Australian, international and partner country CSOs and research organisations? How could this be improved?

	organisations	

3. Implementation arrangements

Management Arrangements

The Fund Coordinator will employ a Knowledge and Learning Manager (KALM) who will be responsible for the management of knowledge generation and learning events and activities as well as coordination of the Research Grants, with the support of a full-time Administrator.

Within the first three months, the KALM will review other successful learning initiatives and the CS WASH Fund K&L component, and design a structured learning process across the entire duration of the Fund. This will form part of an overall strategy and plan for the implementation of knowledge and learning component, scheduling major learning events over the five years of the program, and a detailed work plan for the first year.

The KALM and the Administrator will initiate the agreements with selected WASH Research Grantees, and set up the Research Partnership workshop, in close collaboration with other Fund Coordinator team members (see Annex 9 for details).

The KALM will maintain close communication with other Fund staff, particularly the M&E Specialist, the Gender and Social Inclusion Specialist and the WASH Specialist. The KALM will engage strongly with CSOs through the K&L advisory group and directly manage the Innovation and Impact Fund. The KALM will coordinate the regional learning events and oversee active e-discussion groups, webinars, external Fund communications and regular updating of the Fund website. The KALM will also manage any contracts associated with specialist input for the component (website development and hosting, webinar platforms, event management, specialist facilitators) and will be responsible for reporting to DFAT on the outcomes of the component.

The KALM will have relevant experience and expertise in facilitating knowledge generation and learning for major development programs, and will also have WASH sector expertise. It will be a full-time position for five years. Qualifications and experience of the KALM will be one of the key selection criteria when evaluating bids for the Fund Coordinator contract. The Position Description for the KALM is provided in Annex 10.

Monitoring, Evaluation and Reporting

Performance information for the Knowledge and Learning Component will be aggregated through its contribution to Water for Women Outcome 4 'Strengthened use of new **evidence, innovation and practice** in sustainable gender and inclusive WASH by other CSOs, national and international WASH sector actors' as well as the intermediate outcome 'Documentation and sharing of gender and socially inclusive evidence and effective practices with other CSOs, national and international sector actors'. Through the Fund Manager, the KALM will be responsible for preparing six-monthly Progress Reports to DFAT.

Annex 9   Research Component (WASH Research Awards)

Details of the research component (WASH Research Awards) will be formally released by the Fund Coordinator as part of the call for research proposals. This will include background on DFAT support for research in WASH, the intended areas of focus, guidelines for application and selection as well as implementation arrangements.

Annex 10 Roles and Responsibilities

This Annex provides Position Descriptions for the following proposed positions in the **Fund Coordinator team.** While the Fund Manager and M&E Specialist positions are likely to be specified, tender applicants may, for the other suggested positions, propose a different mix of positions; part-time/full-time status, role descriptions and number of people to meet the essential requirements of the office.

1. Fund Manager
2. K&L Manager (KALM)
3. Administration Assistant (K&L and Research components)
4. M&E Specialist
5. Gender and Social Inclusion Specialist
6. WASH Sector Specialist

The suggested Fund Coordinator structure is provided below.
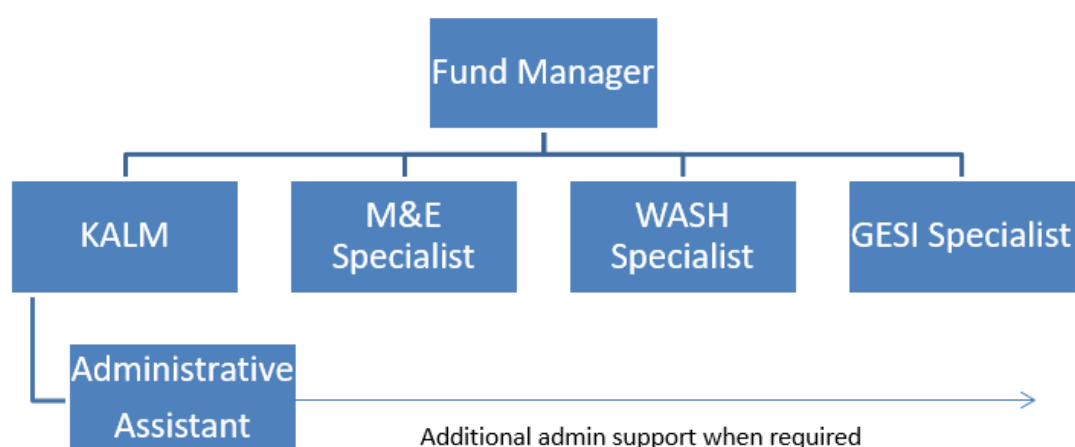
These position descriptions and suggested structure are provided as guidance only, since the final make-up of the Fund Coordinator team will depend on the mix of skill-sets and experience, but overall will need to meet the range of functions described in the position descriptions.

Also included are the TORs for an **Independent Review Group**

- Team Leader
- Team Member

A. Fund Coordinator

The Fund Coordinator is a team of specialists dedicated to supporting the Water for Women Fund, appointed by DFAT to work closely with the CSOs which are implementing projects in Asian and Pacific countries and with DFAT. In effect, the Fund Coordinator is delegated by DFAT to ensure the Fund operates consistently and in line with the principles described in the Water for Women Design Document and DFAT policies and requirements that vary from time to time. In order to undertake its work, the Fund Coordinator is expected to work collaboratively and in support of CSOs and research organisations, recognising that a partnership approach is likely to generate effective working relationships than other approaches.

1. Fund Manager

Summary: The Fund Manager will be the leader of the Fund Coordinator team and be the key point of coordination and liaison between the CSOs, DFAT's WSH Section and DFAT posts and the Fund Coordinator team. The Fund Manager will be responsible for the management and administration of Grant Agreements. This involves negotiating and monitoring Grant Agreements, supporting CSOs to undertake work which is consistent with the Grant Agreements through engagement with the team of Fund Coordinator personnel, supporting and monitoring the quality of reports, preparing the documentation required for payment of invoices and reporting to DFAT. The Fund Manager will provide leadership and oversight of the other members of the Fund Coordination team and will be responsible for the overall performance of the Fund Coordinator. In addition, that Fund Manager will work in close collaboration with the Fund Steering Group (FSG) to facilitate a partnership approach to strategic oversight of the Fund.

Responsibilities

The Fund Manager will be responsible for the following functions:

- Team leadership
- Facilitation of FSG strategic engagement and partnership
- Oversight of Grant Agreement processes for both CSO Projects and Research Grants
- Oversight of team: including Knowledge and Learning Manager (KALM), M&E Specialist (M&E) and WASH and Gender and Social Inclusion (GSI) specialists which provide technical advice and support to CSOs and DFAT
- Oversight of Fund-wide financial management
- Communication and coordination with CSOs, DFAT and external stakeholders
- Reporting
- Risk Management
- Representation of Water for Women Fund where required
- Overall performance of the Fund Coordinator

The Fund Manager will be nominated by the tenderer for the Fund Coordinator contract. The contractor will be expected to employ a dedicated full-time position for the duration of the Fund period.

Tasks

Contract and Financial Management

- Serve as the primary point of contact for the Fund for DFAT and CSOs
- Develop and maintain Fund-wide systems and processes to support CSOs to undertake their responsibilities defined in Grant Agreements
- Oversight of development and maintenance of Fund-wide systems and processes to develop Fund-wide reports on progress, summarising CSO reports
- Receive and review financial reports and acquittals from CSOs
- Respond to CSO enquiries regarding Grant implementation issues
- Prepare funding orders and associated documentation for approval and processing by the DFAT WSH Section in DFAT.
- Prepare Grant Agreement variations for approval by the WSH Section in DFAT.

Coordination and communication

- Develop an overall Fund 'Communication and Public Diplomacy Strategy' to assist in coherent and appropriate communications about the Fund to external audiences, including the public, a collaborative approach to working with CSOs and providing public diplomacy opportunities to DFAT Posts
- Develop a process to facilitate effective preparation for and conduct of 6-monthly FSG meetings
- Provide overall coordination, advice and effective communications of the operations and progress of the Fund, including with:
  o DFAT's WSH Section, DFAT posts
  o Fund Steering Group
  o The WASH Reference Group

Leadership and management

- Manage the strategic direction, workflow and work allocation of other staff in the Fund coordinator team

- Oversight of quality assurance processes

- Ensure performance of the Fund Coordinator's role with respect to the following criteria:
  o quality of relationships with CSOs
  o quality of support for the Fund approach, principles and processes
  o ability to respond to DFAT requests for information in a timely manner
  o ability to appropriately pitch support so it recognises the independence of CSOs and of the fact there is no single 'right way' to implement aid projects
  o ability to synthesise multiple elements, approaches and ideas simultaneously

      o   provide timely and high quality knowledge and learning outputs to inform the iterative and adaptive programming of the CSOs, and external audiences

Risk management

- Support application of partnership approaches to all Fund processes, particularly engagement with the FSG.
- Ensure open communication and progress reporting to identify and remedy any coordination and capacity challenges as early as possible.
- Maintain attention to the independence and strengths of CSOs.

Selection process and contracting

The Fund Manager will be expected to demonstrate the following key skills, knowledge and personal attributes:

- Commitment to supporting and applying partnership principles with multiple stakeholders from different types of organisations
- Understanding of Australia's Aid Program, key economic, political, social and cultural issues in development and whole-of-government policy
- Understanding of DFAT contract and financial management systems
- Aid program management experience
- Familiarity with water, sanitation and hygiene (WASH) issues and experience in gender and social inclusion approaches in aid programming
- Capacity to work effectively in multi-stakeholder teams
- Deep understanding of contemporary approaches to aid effectiveness, including political economy analysis, adaptive and iterative practice, strengths based approaches and emerging M&E approaches
- Strong cultural competency
- Highly effective communication, negotiation and representation skills
- Demonstrated ability and initiative to effectively manage a diverse workload, and build and coordinate productive working relationships and provide leadership
- Strong interpersonal skills, team leadership skills and cross-cultural awareness
- Commitment to the participatory approaches of the work of CSOs
- Commitment to the principles of gender equality and social inclusion.

Remuneration

The Fund Manager's salary, according to DFAT's Long-Term Adviser Remuneration Framework is likely to be classified as Discipline Group C, Level 4

2. Knowledge and Learning Manager

The Knowledge and Learning Manager (KALM) will work closely with the other team members to facilitate and sustain a culture of knowledge generation, sharing and continuous improvement within the Fund.

Within the first three months they will develop an overall plan for the implementation of knowledge and learning (K&L) component, scheduling major events over the life of the Fund, and a detailed work plan for the first year. The KALM will maintain close communication with the Fund Manager and others in the Fund coordinator team the WASH Reference Group and the CSOs. They will take responsibility for grant management of Innovation and Impact Fund and the WASH Research Awards under the Research Component. The KALM will manage any contracts associated with specialist input for the component (website development and hosting, webinar platforms, event management, specialist facilitators, design of Fund knowledge outputs) and the facilitation of active e-discussion groups, webinars and regular updating of the Fund website. The KALM will be responsible for reporting to DFAT on the outcomes of the component. The KALM will draw on support from the Administrative Assistant.

Responsibilities

The KALM will be responsible for:

- Developing an overall strategy and implementation plan for the K&L Component.
- Setting up and overseeing sub-contracts for all e-communication media. i.e.: the fund website, moderating blogs and on-line forums, webinars, etc.
- Planning, organising and facilitating, K&L Advisory Group Meetings and Research Steering Group Meetings
- Developing guidelines for and manage the selection and contracting of the Innovation and Impact Grants.
- All contract management for Innovation and Impact projects and all associated narrative and financial reporting to DFAT (with support of Fund Manager).
- WASH Research Awards grant administration, performance management and quality assurance
- Lead the collaborative planning and organisation of the Regional Learning Events, including coordinating the inputs of WASH and GESI specialists to these events
- Promote collaboration between CSOs at country level and if they are working on similar topics or employing similar approachesand where necessary connecting CSOs with researchers or research institutions as potential partners.
- Participation in selected monitoring trips to project sites or research grant sites, for the purposes of documenting and communicating innovative approaches, supporting peer-to-peer learning between CSOs and researchers and linking field-level engagement to high-level learning and trends across the Fund

- Managing any contracts associated with learning events and conferences: logistics, consultant input for facilitation, documentation of learning events and/or case studies.
- Supporting implementation of the Fund 'Communications and Public Diplomacy Strategy'
- Performance and reporting (6 monthly) of the K&L component, which includes particularly contribution to the following Fund outcomes across Result areas described in Annex 8:
  - Fund Outcome 4 (Strengthened use of new **evidence, innovation and practice** in sustainable gender and inclusive WASH by other CSOs, national and international WASH sector actors)
  - Intermediate Outcome (Documentation and sharing of gender and socially inclusive evidence and effective practices with other CSOs, national and international sector actors)

Selection Criteria

The Knowledge and Learning Component Manager will be expected to demonstrate:

- Understanding of Australia's aid program, key economic, political, social and cultural issues in development and whole-of-government policy.
- Knowledge and experience in water, sanitation and hygiene (WASH) issues and in gender and social inclusion approaches in developing countries.
- Demonstrated experience in communicating research and learning in a development context.
- Demonstrated experience in event management.
- Demonstrated experience managing grants.
- Ability to facilitate e-communication and web-based technologies for professional purposes.
- Highly effective communication, teamwork and writing skills.
- Commitment to the participatory approaches of the work of CSOs
- Commitment to the Fund's principles relating to partnerships, gender and social inclusion and others described in the Design Document

Remuneration

The KALM's salary, according to DFAT's Long-Term Adviser Remuneration Framework is likely to be classified as Discipline Group C, Level 3.

International Travel

The KALM would be expected to travel internationally for selected project site visits and all Regional learning events (2 in each of 3 regions)

Administrative Assistant

Summary: The Administrative Assistant will primarily support the KALM manager (and also other Fund staff as relevant). This support includes logistics support to organize events, support engagement with CSOs and administer I&I grant and WASH Research Awards grant processes and communications within the Fund and with external audiences.

Responsibilities

The Administration Assistant will be responsible for:

- Supporting the KALM with implementing the K&L plan
- Administering e-communication media. Ie: the fund website, moderating blogs and on-line forums, webinars, etc.
- Supporting the organisation of K&L regional learning events
- Supporting the selection, contracting and administration of the Innovation and Impact Grants
- Supporting the grant administration for the WASH Research Awards
- Provide narrative and financial reporting to DFAT on the above grants
- Providing administrative support for contracts associated with learning events and conferences: logistics, consultant input for facilitation, documentation of learning events and/or case studies.
- May provide support to the M&E specialist in collating progress reports

Selection Criteria

The Knowledge and Learning and Research Assistant will be expected to demonstrate:

- Understanding of Australia's aid program
- Familiarity with water, sanitation and hygiene (WASH) issues and gender and social inclusion approaches in developing countries
- Demonstrated experience in event management and grant management
- Ability to facilitate e-communication and web-based technologies for professional purposes
- Highly effective teamwork, communication and writing skills
- Commitment to the principles of working collaboratively with diverse CSOs
- Commitment to the Fund's principles relating to partnerships, gender and social inclusion and others described in the Design Document.

Remuneration

The K&L and Research Assistant salary, according to DFAT's Long-Term Adviser Remuneration Framework is likely to be classified as Discipline Group C, Level 2.

3. Monitoring and Evaluation Specialist

The Fund's M&E Specialist will be responsible for a Fund-wide information system, support to CSOs on their project level M&E systems (as required), as well as synthesis and reporting about Fund-wide issues, findings and progress. The Specialist will be required to provide a range of services over the life of the Fund, with the emphasis shifting in some elements as the Fund works from the Inception Phase to the end of the 5 year Fund. The M&E Specialist will be expected to demonstrate particular strengths in building collaborative partnerships with CSOs, supporting diverse ways of working in development and encouraging the use of contemporary M&E approaches, particularly those which promote adaptive and iterative practice.

The M&E Specialist will work closely with other Fund Coordinator team members as well as CSOs and DFAT.

Responsibilities

The M&E Specialist located within the Fund Coordinator will:

- Ensure the Fund-level M&E framework remains relevant, feasible and effective in generating information about the Fund's progress and contribution to outcomes
- Establish a Fund-wide information system which will enable the Fund Coordinator to collate and synthesise information from multiple sources
    - o this will include an online Fund database for collating, storing and sorting all Fund information and data for analysis and reporting on results.
- Refine the performance assessment framework and reporting arrangements in collaboration with CSOs and FSG, drawing on strengths of existing systems in CS WASH Fund and building from lessons learnt
- Collate and synthesise M&E information at the Fund level on a 6-monthly basis for sharing with the FSG and relevant DFAT stakeholders (WSH, post, etc.)
- Promote and support processes which ensure CSOs are responding flexibly to changes in the project operating environment, emerging lessons and research findings
- Be available to assist CSOs with the development and implementation of their project-specific M&E systems when requested, with continuous improvement of M&E processes and reporting, and particularly the production of reports which can be collated along consistent lines across the Fund
- Prepare summary reports for publication on the Fund website
- Work collaboratively with the KALM in identifying key areas for learning and exchange
- Actively contribute to collaborative planning of Regional Learning Events, and facilitate relevant activities at such events
- Work collaboratively with CSOs, DFAT and the Fund Coordinator on a variety of Fund-wide and project-specific issues that emerge during implementation
- Assist with the organization of annual Independent Review Group processes and liaise with the IRG as required to ensure data is available for reviews

- Provide training for CSOs if required on M&E approaches relevant to the Fund's implementation

Selection Criteria

- Understanding of Australia's aid program, key economic, political, social and cultural issues in development and whole-of-government policy
- Contemporary understanding of a range of M&E approaches, methods and tools relevant to a diversity of people-focused development processes across Asian and Pacific countries and to multi-level M&E that crosses scales
- Demonstrated experience in applying systematic evaluative inquiry to gender and socially inclusive WASH programs across a range of countries and contexts
- Demonstrated experience of working collaboratively with diverse CSOs and project implementation teams and contributing to the capacity of M&E teams in different cultures
- Demonstrated experience in coordinating and analysing performance information, including analysis, aggregation and synthesis of both quantitative and qualitative information, for effective monitoring and evaluation and reporting
- Highly developed interpersonal skills to work effectively in teams and with a diverse range of stakeholders
- Demonstrated experience in monitoring and evaluation capacity building
- Experience in WASH programming
- Experience in gender and social inclusive approaches, including in M&E
- Highly effective communication and writing skills

Remuneration

The M&E Specialist's salary, according to DFAT's Long-Term Adviser Remuneration Framework is likely to be classified as Discipline Group C, Level 3.

International Travel

The M&E Specialist would be expected to travel internationally for selected project site visits and selected Regional learning events

4. Gender Equality and Social Inclusion Specialist

Summary: A Gender Equality and Social Inclusion (GESI) Specialist, contracted through the Fund Coordinator will provide strategic level inputs aimed to increase the effectiveness of how gender and socially inclusive practice are addressed across the Fund. The Design Document for Water for Women describes the multiple approaches and systems that support the gender and social inclusion element of the Fund, and this Fund-level resource is expected to complement those. The Gender and Social Inclusion Specialist will work closely with all Fund Coordination team members, CSOs and DFAT to support this Fund focus, will be available as a resource to DFAT or to CSOs, and will provide specialist input to K&L activities and products.

Responsibilities

- Ensure all CSO project design documents reflect gender and socially inclusive analysis in the theory of change, strategies, project implementation and M&E processes, including reviewing revised annual plans
- In coordination with KALM, lead K&L activities that have a focus on gender and social inclusion, including contributing to e-discussions, leading parts of regional learning events focused on GSI, sourcing and sharing recent literature/practice/evidence on GESI and on WASH and GESI with Fund CSOs and more broadly, documenting innovative examples of transformative gender and inclusive impacts and key lessons for both an internal and external audience
- Support the Fund-level review and synthesis of M&E information related to GSI, including synthesizing key learning, insights and challenges with respect to gender and socially inclusive practice, and documenting this to support Fund-level reflection and learning by CSOs, inform decisions of the FSG and for communication to external audiences
- Provide input to research component concerning the use of gender and inclusive research processes
- Participate in and contribute to FSG (and as required, Research Steering Group) meetings, informing the strategic direction of how GSI are integrated across the Fund
- Respond to requests from DFAT or from CSOs to provide specialist input to GSI approaches, including undertaking visits to project sites and engaging with project teams.

Selection Criteria

The Gender and Social Inclusion Specialist will be expected to demonstrate:

- Understanding of Australia's Aid Program
- Very strong expertise in transformative gender and social inclusion approaches, practices and issues in the context of aid programs in Asian and Pacific cultures
- Familiarity with water, sanitation and hygiene (WASH) issues and links with gender and social inclusion
- Demonstrated experience of working collaboratively and constructively, including diverse CSOs and project implementation teams and contributing to the capacity of multiple project teams when requested

- Deep understanding and demonstrated application of contemporary approaches to aid effectiveness, including political economy analysis, adaptive and iterative practice, strengths based approaches and emerging M&E approaches
- Strong cultural competency, particularly in relation to respect for and ability to work with people from different cultures on ways to support gender and social inclusion
- Highly effective communication, negotiation and representation skills
- Demonstrated experience in coordinating and analysing performance information, including analysis and aggregation of both quantitative and qualitative information, for effective monitoring and evaluation and reporting
- Highly developed interpersonal skills to work effectively in a team environment and with a diverse range of stakeholders
- Strong written and verbal communication skills
- Commitment to the principles of working in partnership with diverse CSOs

Remuneration

The Gender and Social Inclusion salary, according to DFAT's Long-Term Adviser Remuneration Framework is likely to be classified as Discipline Group B, Level 4.

International Travel

- The Gender and Social Inclusion Specialist would be expected to travel internationally for selected project site visits and selected regional learning events

5. WASH Sector Specialist

Summary: A WASH Sector Specialist, contracted by the Fund Coordinator will provide discrete, strategic level inputs aimed to increase the effectiveness of WASH aspects of CSO implementation. The WASH Sector Specialist will be tasked by the Fund manager to support the KALM and M&E specialist in key aspects of their roles, and will also be available to respond to DFAT or CSO requests for technical advice or support.

Responsibilities

- Ensure all CSO project design documents reflect up-to-date understanding of WASH in the theory of change, strategies and project implementation processes, including reviewing revised annual plans
- As requested, provide support to K&L activities, which may include contributing to e-discussions, designing or leading parts of regional learning events, or documenting innovative examples and key lessons for both an internal and external audience
- Support the Fund-level review, analysis and synthesis of M&E information related to WASH approaches, including synthesizing key learning, insights and challenges, and documenting this to support Fund-level reflection and learning by CSOs and inform decisions of the FSG
- Participate in and contribute to FSG meetings, informing the strategic direction of the Fund
- Respond to requests from DFAT or from CSOs to provide specialist input to WASH approaches, including undertaking visits to project sites and engaging with project teams.

Selection Criteria

The WASH Sector Specialist will be expected to demonstrate:

- Understanding of Australia's Aid Program
- Very high level expertise in WASH in aid programs in Asian and Pacific cultures
- Familiarity with gender and social inclusion approaches and practices in WASH
- Demonstrated experience of working collaboratively with diverse CSOs and project implementation teams and contributing to the capacity of multiple project teams when requested
- Deep understanding and demonstrated application of contemporary approaches to aid effectiveness, including political economy analysis, adaptive and iterative practice, strengths based approaches and emerging M&E approaches
- Strong cultural competency, particularly in relation to respect for and ability to work with people from different cultures on ways to support gender and social inclusion
- Highly effective communication, negotiation and representation skills
- Demonstrated experience in coordinating and analysing performance information, including analysis and aggregation of both quantitative and qualitative information, for effective monitoring and evaluation and reporting
- Highly developed interpersonal skills to work effectively with a diverse range of stakeholders
- Commitment to the principles of working in partnership with diverse CSOs

Remuneration

The WASH Sector Specialist salary, according to DFAT's Long-Term Adviser Remuneration Framework is likely to be classified as Discipline Group C, Level 4.

International Travel

- The WASH Specialist would be expected to travel internationally for selected project site visits and selected Regional learning events

B. Independent Review Group

Summary: The Independent Review Group (IRG) will be appointed separately by DFAT to undertake reviews of the Fund's progress and contributions to outcomes. It is expected that one team comprising two highly skilled specialists, will be contracted under one contract and that members of the team would maintain the IRG roles over the life of the Fund. It is envisaged the role will be approximately 35 days per year for each team member (on average). The IRG should comprise personnel with a mix of skills covering the following:

- Team leadership
- Evaluation expertise
- Gender and Social Inclusion
- WASH

The IRG will work closely with DFAT to undertake reviews (three over the life of the fund, including one Mid-Term Review). This will include analysis of documents and selected in-country visits as well as interviews with Fund stakeholders. They will seek to identify and document emerging findings from the experience of implementation and use this evidence-base for the ongoing development of the Fund. The IRG will receive Fund-wide information provided by the Fund Coordinator as well as access CSOs through the Fund Coordinator.

Team responsibilities

- Develop a Review Plan and Review Schedule which encompasses all aspects of each Review, based on the M&E Framework provided in the Water for Women Design Document, updated as agreed with the FSG
- Undertake reviews which analyse Fund-wide information at outcome level and more detailed assessment of selected countries, CSOs, K&L events and processes, I&I activities and research, project types or other selected themes (nominated by the Fund Steering Group) in the context of the Fund and the countries in which the projects are implemented
- Consider the quality and appropriateness of Fund governance and management approaches and practices and make recommendations for improvements as required
- Prepare Review Reports which describe progress to date and contributions to Fund-level outcomes
- Engage with Fund stakeholders to develop shared understanding of progress and contributions to Fund-wide outcomes as well support the application of learning from Reviews to projects and the Fund overall

Selection Process and Contracting

The IRG will comprise two members over four years (the team members are expected to continue for the life of the Fund, to deepen understanding and maximize the consistency of engagement and messages over time) who will be expected to demonstrate a mix of:

- Understanding of Australia's aid program, key economic, political, social and cultural issues in development and whole-of-government policy

- Deep experience in planning reviews and applying systematic evaluative inquiry on gender and socially inclusive WASH activities across a range of countries and contexts and addressing complex and dynamic issues
- Demonstrated experience in and commitment to the principles of gender and social inclusion
- Strong experience in implementation of contemporary M&E approaches and use of a mix of M&E methods and tools
- Experience in managing the ethical, logistical and practical aspects of evaluations and being able to maintain independence and objectivity while balancing the interests of multiple stakeholders
- Experience in coordinating and analysing performance information, including analysis and aggregation of both quantitative and qualitative information, for effective monitoring and evaluation and reporting.
- Highly developed interpersonal skills to manage teamwork and a diverse range of stakeholders.
- Highly effective communication and writing skills
- Commitment to the participatory approaches of the work of CSOs

The IRG will be contracted for three review events including a mid-term review commencing approximately 9 months after the Fund commences.

Remuneration

See Annex 14 for a Statement of Requirements and Pricing Schedule for the Independent Review Group.

Annex 11 Risk Management Matrix

RISK REGISTER: Water for Women													

Risk Owner:													

Date of Last Review:					Date of Next Review:								
Do any risks need to be escalated? *(List the Risk No/s.)*					**To whom are they being escalated?**								
Are any risks being de-escalated? *(List the Risk No/s.)*					**To whom are they being de-escalated?**								
Risk Ratings and Treatments Approved by: *(Approver must be at appropriate level/position to accept responsibility for ratings and treatments)*													

Objective/s	Risk No.	Risk (what will prevent you achieving the objective/s?)	Existing Controls (what's currently in place?)	Risk rating with existing controls in place			Is risk rating acceptable? Y/N (if no, please propose treatments)	Proposed Treatments	Person Responsible for Implementing Treatment/s	Implementation Date for Proposed Treatment/s	Target rating when Proposed Treatments are in place		
				Consequence (refer to matrix)	Likelihood (refer to matrix)	Risk Rating (refer to matrix)					Consequence (refer to matrix)	Likelihood (refer to matrix)	Risk Rating (refer to matrix)
Risks in the Operating Environment													
	1	Natural Disasters (e.g. cyclones, earthquakes or tsunamis) or political unrest disrupt project delivery and result in redeployment of staff	CSOs to work with governments at national level consistent with National Action Plans and Cluster systems under UN. DFAT to support as appropriate and to facilitate revisions to projects if required.	Minor	Possible	Moderate	Y						
	2	Poor government or other stakeholder buy-in and ownership of inclusive WASH change agendas	Posts to support engagement with Government agencies. CSOs to work in partnership with governments as appropriate and to coordinate with Posts to maximise the opportunity for synergies in engagement with partner government and other WASH and GESI stakeholders; selection of CSOs with well informed situation analyses particularly on political economy.	Major	Possible	High	Y						
	3	Challenges associated with land tenure and access to land related to WASH infrastructure and access	Partnerships between CSOs, sub-national and national authorities as well as communities and private sector to ensure disputes are minimised and mitigated.	Moderate	Unlikely	Moderate	Y						
	4	Water supply systems cause over-extraction of groundwater and/or sanitation systems cause pollution or contamination	CSOs to consider environmental and technical issues in project designs, quality assurance systems and through ongoing community and government engagement. CSOs to report on issues arising. DFAT Posts and WSH Section to liaise on responses if needed.	Moderate	Unlikely	Moderate	Y						
	5	Climate change affects water availability, water system functionality and water-based sanitation facilities	CSOs to consider climate change impacts and disaster risk reduction in their situation analyses and during the inception phase as part of operational plans. FSG and DFAT to monitor at Fund level. Independent Review Group Terms of Reference to include this issue in at least one review mission.	Moderate	Possible	High	Y						
	5	Cultural values in operating contexts prevent adoption of gender and inclusive approaches and outcomes	CSOs to use gender and context analysis to inform project design; at inception phase, draw on internal gender and inclusion expertise as well as those commissioned by DFAT to assist finalisation of project plans. Technical support through Fund Coordinator to help develop systems to assess, implement and monitor approaches for GESI in WASH.	Moderate	unlikely	Moderate	Y						

		Risks in program management													
	7	Lack of strategic governance by FSG	FSG to follow principles in design to support collaborative leadership. Access by FSG to specialist partnership facilitator to focus on 'ways of working' to maximise partnership. Draft Terms of Reference for FSG to be finalised during Inception Phase. Independent Review Group to review functioning of FSG on a regular basis.	Moderate	Possible	High	Y								
	8	Poor relationship between DFAT WSH and Fund Coordinator	DFAT contractor selection and performance systems in place to manage conflicts.	Moderate	Unlikely	Moderate	Y								
	9	Poor relationship between WSH and majority of CSOs	More senior DFAT officials to demonstrate leadership to navigate and resolve differences.	Moderate	Unlikely	Moderate	Y								
	10	Poor relationship between some DFAT Posts and relevant CSOs	WSH Section to assist CSOs and Posts to engage and understand common interests. CSOs to actively develop public diplomacy opportunities and to involve Posts. Regional Learning Events to encourage strong Post involvement and help cement partnership.	Moderate	Unlikely	Moderate	Y								
	11	Poor relationship between Fund Coordinator and CSOs	FSG to monitor partnership approaches and provide support to maximise quality of relationships and clarify mutual expectations. Heightened threshold for approval of changes in the scope, approaches and budgets (20% variation in budget categories) for CSO projects so focus remains on the achievement of outcomes	Moderate	Possible	High	Y								
	12	Poor performance by majority of individual CSOs	Careful selection of CSOs and close engagement between DFAT and CSOs during Inception Phase with particular attention on resourcing plans of CSOs; ongoing M&E processes to inform programming decisions; grant Agreements to include clauses for amendments and termination. Fund Coordinator technical specialists to trouble shoot where necessary and support CSOs as required. Independent Review Group to highlight issues and provide deeper analysis for consideration by FSG and decision	Moderate	Unlikely	Moderate	Y								
	13	Fraud or misuse of funds by Fund Coordinator, CSOs or partners	DFAT's zero tolerance of fraud. Fund Contractor and WSH maintain vigilance and support	Minor	Possible	Moderate	Y								
	14	FSG does not generate partnership approach	DFAT and CSO leadership is open and flexible to accommodate a partnership arrangement which retains a focus on achieving WASH and GESI outcomes; access to partnership facilitator and collaborative approaches to problem-solving. Inception phase explicit workshop on partnership principles, including agreed conflict resolution approaches.	Minor	Possible	Moderate	Y								
	15	CSOs make excessive changes to plans	Support for analysis and expectation of sound evidence-based decision-making, encouragement of adaptive and iterative planning and support for good communications of emerging issues and implications for projects; clear communication from DFAT and Fund Coordinator to FSG about thresholds for changes which should be jointly considered.	Minor	Possible	Moderate	Y								
	15	M&E function within Fund Coordinator is not sufficiently independent with potential for conflict of interest	Independent review of the progress reporting provided by Fund Coordinator through the Independent Review Group (IRG);	Minor	Possible	Moderate	Y								

Risks in design approach														
	17	Majority of partner CSOs lack technical and mangement ability to implement projects and deliver expected results	Robust CSO selection process; partner with multiple CSOs to spread risks; effective knowledge and learning processes to share lessons learnt; focused and effective Fund Steering Group to give overall Fund strategic direction, targeted M&E processes to highlight issues early on so that remedial action can be taken.	Moderate	Unlikely	Moderate	Y							
	18	Insufficient focus on gender and social inclusion	Strong emphasis on gender and social inclusion in the CSO selection process; during inception; and in the Fund Steering Group. Fund Coordinator to support GESI through specialist input; Independent Review Group with sufficient focus on GESI in each review. Involvement of the Gender Equality Branch, DFAT in Fund Steering Group as well as knowledge and learning processes. Significant GESI focus in research topics and Innovation and Impact	Moderate	Unlikely	Moderate	Y							
	19	Reduced focus on significant WASH sector issues and/or reduced achievement of WASH outcomes (in terms of scale/quantity) due to concurrent resourcing and attention to gender and inclusion issues	CSO selection process to consider past performance in WASH; strong WASH expertise and sound and strategic concept design from a WASH perspective; Fund Steering Group to review balance of attention across the Fund; targeted specialist WASH inputs by the Fund Coordinator. Research and Innovation and Impact grants to have sufficiently strong focus on WASH sector issues which will also feature strongly in knowledge and learning topics.	Moderate	Unlikely	Moderate	Y							
	20	CSOs fail to meet stakeholder expectations in target context	Importance given to sound situational analysis during CSO Selection process with further refinements during inception; options to change contracts for individual CSOs if problems unresolvable; partnering multiple CSOs mean that majority do not fail. WSH Section and CSO engagement with Posts to help detect issues early	Minor	Unlikely	Low	Y							
	21	CSOs do not cooperate with each other in K&L component	FSG to monitor collaboration and encourage maximum engagement of CSOs, resolving challenges through strategic leadership	Minor	Unlikely	Moderate	Y							
	22	Inadequate information about CSO project progress and outcomes	Fund Coordinator through M&E specialist to support CSOs to generate agreed information in a timely manner; independent review group events are well planned with a systematic and targeted sampling approach; M&E system is user-friendly, sufficiently comprehensive and feedback on reporting is complete and timely	Moderate	Possible	Moderate	Y							
	23	Poor relationships between CSOs and research organisations because of different cultures and drivers	Steering Groups to monitor relationships, provide access to partnership facilitator if required and provide leadership to facilitate improvements.	Moderate	Possible	Moderate	Y							
	24	Falling value of A$, thereby reducing planned funding for project implementation	CSOs to use conservative exchange rate estimates. Annual review process for project designs, risks and budgets.	Moderate	Possible	Moderate	Y							

	25	Potential conflict of interest of WASH reference group members providing strategic advice to DFAT and also participating in Fund	DFAT senior officials and FSG to monitor potential and provide leadership to reduce conflict and facilitate fairness in all processes	Moderate	Possible	Moderate	Y						
	26	Challenge to tell a 'Fund-wide story' proves too big	Refinement of the Fund Performance Assessment Framework and performance and reporting arrangements during the inception phase; Fund Coordinator has clearly specified M&E function including synthesis of project data and use of an online data collation system, including with support from WASH and GESI specialists; Independent Review Group to have clearly specified Terms of Reference including to review synthesised data to describe overall program progress and status; FSG leadership to	Moderate	Unlikely	Moderate	Y						
	27	Benefits of projects for communities and organisations (adoption of new practices) are not sustained	Supported design process, long-term time frames and ongoing monitoring	Moderate	Unlikely	Moderate	Y						
	28	Combination of Fund-suported activities are not sufficient to contribute to discernible change	Supported design process, long-term time frames and ongoing monitoring	Moderate	Unlikely	Moderate	Y						
	29	Funds are spread too thin to make a discernible change in each context	Selection process to balance the range of projects and ensure appropriate investment value in each project / country; alignment with other WASH and GESI projects through close engagement between CSOs, Posts, the Fund Coordinator and WSH Section.	Moderate	Unlikely	Moderate	Y						
	30	WASH actors have insufficient interest, drivers or capacity to integrate and use new evidence, practice or innovation in their policy and practice	Research Steering Group and Knowledge and Learning function in the Fund Coordinator are active with strong engagement across the program; Innovation and Impact grants to support practice and test new approaches; close engagement between CSOs and Posts with clear strategies for engagement with WASH actors in each country.	Moderate	Unlikely	Moderate	Y						

Annex 12 Draft Terms of Reference for Fund Steering Group

The Fund Steering Group (FSG) is an advisory group to DFAT as regards the Water for Women Fund. Its establishment follows from a key recommendation of the ODE Evaluation of the Management Arrangements of the Civil Society WASH Fund.

The purpose of the FSG is to:

- Provide collective advice to DFAT on Fund-wide issues
- Monitor Fund progress
- Respond to emerging policy and programming issues
- Promote Fund-wide learning and engagement
- Maximise the collective value and impact of the Fund

The FSG is a reflection of the partnership approach adopted by the Water for Women Fund, and is expected to provide both an opportunity to share benefits; and also to mitigate risks associated with multiple stakeholders (DFAT, Fund Coordinator and CSOs) operating with different expectations, strengths, drivers, 'bottom lines' and legal obligations.

This draft Terms of Reference (TOR) is intended to provide the basis for further discussion and refinement of the partnership arrangements at the Design Workshop.

Membership

Membership will comprise senior representatives from DFAT WSH, a relevant senior representative from each funded CSOs (from whom a rotating Co-chair will be selected) and the following five staff of the Fund Coordinator: Fund manager, Monitoring and Evaluation (M&E) specialist, Knowledge and Learning Manager (KALM), and the WASH and Gender and Social Inclusion specialists. These members would be expected to participate consistently throughout the duration of the Fund.

A senior DFAT official will hold the role of Co-Chair of the FSG. This acknowledges that DFAT has a primary role in accountability, strategic oversight and ultimate decision-making. The other Co-Chair will be selected among CSO members, on a rotating basis, as agreed by the FSG members at the first meeting.

Consistent with the principles underpinning the Fund, the FSG is expected to reflect an appropriate gender balance.

Selected representatives from partner organisations or from DFAT (posts or other relevant DFAT sections such as GEB) in the countries where projects are implemented will be invited to participate, subject to agreement, when relevant issues are being discussed, to contribute their own experience and expertise.

Observers from selected international and regional organisations and other guests could also be invited, as agreed, to address particular policy and programming issues from time-to-time.

Steering Group Operation

FSG meetings will be held 6-monthly, with the first meeting held during the Inception Phase (decision to be made during Design Workshop). Meetings could alternate between face-to-face and on-line. The first face-to-face and last meetings would be held in Australia and other face-to-face meetings could be held in the most accessible and cost effective South Pacific, South Asian and South East Asian location.

The Fund Coordinator will provide Secretariat services to the FSG. This will include making logistical arrangements for the meetings, including organising dates and venues, coordinating the agenda development, preparing and distributing meeting papers (likely to include key Fund performance information), and finalising and distributing meeting minutes etc.

Costs and arrangements associated with CSO participation (including travel and accommodation) will be included in the CSO budgets for each project.

Partnership principles and ways of working

The effectiveness of the FSG will rest on the development of strong effective relationships between its members. To support this, a collaboratively agreed set of partnership principles and 'ways of working' will be established by the FSG at its first meeting during the Inception Phase.

This process will be conducted with the support of a skilled partnership broker or facilitator. It will provide an opportunity for all those involved to identify their interests and 'bottom lines;' to ensure there is shared understanding of the role of the FSG; to negotiate agreed approaches to resolving differences and minimising the negative impacts of risks. In particular, a facilitated approach of this nature, will help to minimise the risk of poor relationships, misunderstood expectations and other problems which may affect the quality delivery of projects. It will also provide space to consider potential for conflicts of interest depending on FSG role and how these will be dealt with.

Suggested partnership principles to be used as a starting point include:

- Shared commitment between DFAT and CSOs to the achievement of Fund-wide and project specific outcomes
- Respect for the contribution of DFAT and CSOs to achieving inclusive WASH in diverse contexts
- Commitment to sharing the benefits and risks and benefits associated with implementing the Fund
- Commitment to contributing to the conditions for communities, national and local actors and partner organisations so that they may be able to empower themselves in the design, planning and delivery of inclusive WASH services
- Collaborative approach to decision-making and working together to realise the shared goals
- Emphasis on the generation and maintenance of mutual respect and trust, with openness and transparency in all activities, for the achievement of common goals
- Commitment to sustainability of benefits flowing from the Fund.

It is suggested that a similar facilitated process with a partnership broker is undertaken just prior to the Fund Mid-Term Review, to provide explicit space to reflect on what is and isn't working well in the partnership arrangements, and what changes might be needed.

Role of the FSG

The role of FSG could include:

- collaborative strategy setting for the overall Fund
- generating shared understanding of Fund-wide progress and issues
- discussing the performance arrangements, refinement of performance assessment framework and project reporting formats

- generating advice to DFAT which is responsible for ultimate decision-making on strategic issues such as:
  - how to respond to emerging policy and practice shifts
  - how to support, promote and monitor application of Fund principles across all participating CSOs
  - how to support ongoing focus on knowledge and learning
  - how to integrate research findings at the Fund level and with ongoing projects
  - how to manage challenges that affect the overall Fund's relevance, efficiency, effectiveness and impact
  - how to support increasing focus on and analysis of expected outcomes over the life of the Fund
  - how to communicate information about Fund outcomes more broadly, including public diplomacy efforts
- collective review and analysis of annual progress and emerging programming issues
- contributions and connections to regional and global organisations and networks relevant to gender and socially inclusive WASH.

The FSG will not be responsible for:

- discussing and responding to any individual CSO performance issues
- making final decisions, since DFAT remains the key party accountable for the Fund

Annex 13 Statement of Requirement for Tender Purposes (Fund Coordinator)

1. Fund Outline

Water for Women (the Fund) was announced by the Prime Minister of Australia in September 2016 and reflects the critical role that improvements to water, sanitation and hygiene (WASH) play in addressing poverty and contributing to economic and human development and to increasing evidence that gender and socially inclusive approaches to WASH programming contribute to improvements in women's well-being.

The Fund is a flagship program in Australia's engagement in WASH and reflects high priority policy commitments in the Australian aid program. The Fund draws on lessons from a current program, the Civil Society WASH Fund (the CS WASH Fund), which began in 2013 and has included 29 projects implemented in 19 countries by 13 civil society organisations (CSOs) in partnership with a range of international and national organisations. The CS WASH Fund generated significant evidence about good practice approaches to WASH in diverse contexts, including with respect to gender and social inclusion.

The Fund includes $91.4 million for CSO project implementation, $10.6 million for a research component and the balance for management and coordination tasks, particularly related to a knowledge and learning (K&L) component and monitoring and evaluation (M&E). Grants for CSO projects are expected to be between $2.5 million to $10 million, depending on scope, CSO capacity, regional coverage and other criteria, and may include multi-country implementation for a given CSO.

The Fund will comprise a number of Australian and international CSOs, selected through a competitive process, where selection is based on their experience and expertise in WASH and the quality of their proposed Project Concepts, organisational capacity and past performance. They will be expected to undertake gender and socially inclusive WASH projects, which are also inter-linked with other critical development issues such as water resources management (WRM), climate change adaptation (CCA), disaster risk reduction (DRR) and nutrition. Once selected, DFAT will require the Fund Coordinator to sign Grant Agreements with the CSOs, who will implement projects in respective countries and with partners.

The Fund will use a balance of *partnership* and *quality assurance* approaches, to maximise the beneficial contributions of multiple specialist CSOs in overall Fund oversight and direction, and also to maximise the delivery of projects to high standards. The Fund seeks to use a balance of applying lessons learned from previous and existing gender and inclusive WASH practice and trialling innovations. A Fund Steering Group (FSG) will provide regular opportunities for strengthening partnerships and for senior representatives of each of the implementing parties (DFAT, Fund Coordinator and CSOs) to collectively consider strategic issues about the Fund's progress, learning and results. The FSG will provide advice to DFAT, which is ultimately responsible for Fund decision-making.

An organisation/entity (to be called Fund Coordinator) will be appointed through this tender to provide Fund-related services to DFAT and CSOs for 5 years. Roles and responsibilities are detailed below.

2. Fund Objectives

The goal of the Water for Women Fund is '**Improved health, gender equality and well-being of Asian and Pacific communities through inclusive, sustainable WASH'** Contributions will be made to the goal through four end-of-program outcomes:

1. Strengthened national and subnational WASH sector systems with greater emphasis on gender, social inclusion, safely managed WASH and water security
2. Increased equitable, universal access to and use of sustainable WASH services, particularly for marginalised communities and community members
3. Strengthened **gender equality and social inclusion** in households, communities and institutions
4. Strengthened use of new **evidence, innovation and practice** in sustainable gender and inclusive WASH by other CSOs, national and international WASH sector actors

Intermediate outcomes, which are expected to contribute to the above Fund outcomes are:

- Increased capacity and agency of governments, private sector, community-based organisations and communities, in planning, investing and delivering sustainable, inclusive WASH services
- Greater integration of gender and socially inclusive approaches by governments, private sector, community-based organisations and communities
- Documentation and sharing of gender and socially inclusive evidence and effective practices with other CSOs, national and international sector actors

The Design Document provides details of all aspects of the Fund.

3. Fund elements

The Fund comprises three elements:

i. Grants for CSOs

- Support provided to CSOs to implement projects relatively independently

- Oversight and advice provided by Gender and Social Inclusion and WASH Specialists

- Fund-level M&E undertaken by M&E Specialist and wider Fund Coordinator team, who is also available to support CSOs with project level M&E systems

ii. Research Component

- Two types of grants (WASH Research Awards) to research organisations for:

  o broader, longer-term WASH research addressing key knowledge gaps in Asia Pacific

  o research closely linked to CSO implementation in the Fund

- Grants will be managed by the Fund Coordinator and contribute to the wider K&L activities of the Fund

iii.   K&L Component

- Organisation of regional learning events

- Maintenance of a website and regular on-line interactions

- Support for sharing information between implementing CSOs and others

- Organisation of Innovation and Impact Grants

4. Fund governance and management arrangements

4.1   Fund Steering Group

The overall governance of the Fund will be the responsibility of a Fund Steering Group (FSG), comprising specialists and senior officials from each of the participating organisations: DFAT, the Fund Coordinator and CSOs. The FSG will provide collective advice to DFAT on Fund-wide issues, monitor Fund progress and promote Fund-wide learning and engagement. The FSG will provide the opportunity for the leading WASH personnel from organisations involved in the management of the Fund to maintain joint overview of strategy, progress and emerging policy and programming issues.

To maximise the effectiveness of the FSG, a facilitated 'ways of working' session will be included in a Fund Design Workshop (during the Inception Phase). This will provide an opportunity for all those involved in identifying their interests and 'bottom lines;' to ensure there is shared understanding of the role of the FSG; to negotiate agreed approaches to resolving differences and minimising the negative impacts of risks. In particular, a facilitated approach of this nature, will help to minimise the risk of poor relationships, misunderstood expectations and other problems which may affect the quality delivery of project outcomes.

A draft Terms of Reference (TOR) for the Fund Steering Group has been provided in Annex 12 to the Design Document and will provide the basis for discussion at the Design Workshop. This TOR covers the FSG membership, operation, partnership principles and ways of working, and possible roles. In brief, the FSG will be chaired by DFAT and a rotating Co-Chair selected from the CSOs, and will comprise DFAT, CSOs and relevant Fund Coordinator staff. It will meet 6 monthly, likely alternating between face-to-face and online. The Fund Coordinator will provide secretariat services.

The Secretariat services include making arrangements for the meetings, organising dates and venues, coordinating the agenda, distributing papers and minutes, etc. Costs associated with CSO participation in FSG meetings will be covered by the CSOs.

4.2   Research Steering Group

A smaller **Research Steering Group** (RSG) comprising DFAT, funded research organisations and the Fund Coordinator will maintain strategic oversight over the Research Component. The group will comprise the DFAT Chair, Fund Coordinator and a lead representative from each research grantee. This group will meet online/via teleconference every 6 months. The role of this group will be to, at a strategic level, monitor the achievement of agreed

outcomes of the Research Component, discuss ways to maximise its effectiveness and any changes in research grant management or performance assessment approach. The RSG may at times communicate directly with the FSG (or meet at a common time), however communication is likely to primarily be through the Fund Coordinator.

4.3   Knowledge and Learning Advisory Group

A less formal **Knowledge and Learning Advisory Group (K&L Advisory Group)** will be composed of representatives from CSOs and research organisations and the Knowledge and Learning Manager (KALM) of the Fund Coordinator. The role of this group will be to guide and contribute to Fund K&L activities.

5. Fund Coordinator Management Role

Overall, the Fund Coordinator is intended to both support DFAT to maintain strategic oversight of the Fund, support knowledge and learning and external communications across the Fund and support CSOs, which will be responsible for designing and implementing projects. The Fund Coordinator will be responsible for Grant management systems as well as overall Fund management, and will be expected to contribute to public diplomacy efforts associated with the Fund. To do this, the Fund Coordinator will develop and coordinate Fund-wide processes and systems to maximise quality, effectiveness, external profile and ensure accountability and compliance with DFAT requirements.

The Fund Coordinator will provide M&E services for DFAT and CSOs (see M&E below). The M&E role will collate and synthesise information generated by CSOs for overall Fund-level reporting. It will provide secretariat support for the FSG.

In addition, the Fund Coordinator will support the K&L and Research components. A Knowledge and Learning Manager (KALM) will be responsible for coordinating a Fund Knowledge and Learning (K&L) component. This will include the organisation of regional learning events, administration of Innovation and Impact grants (I&I grants), and maintaining an online website and other Fund-wide communications. This K&L component will include both an internal focus (to facilitate uptake and learning by Fund CSOs), as well as an external focus, to provide sector knowledge leadership in gender and inclusive WASH amongst a wider audience of CSOs and national and international stakeholders. The K&L component will interlink closely with Fund-level M&E activity.

The Fund Coordinator will appoint two technical Specialists– a WASH Specialist and a Gender and Social Inclusion Specialist – to undertake tasks at a strategic level to support the effectiveness of the Fund in reaching its goal and specified outcomes. These roles will include reviewing CSO annual plans, leading K&L and M&E activities related to their areas of expertise, and responding to requests from DFAT or CSOs for specialist input.

The Fund Coordinator will be expected to support a key Fund-wide delivery approach which promotes reflective, collaborative and learning-oriented effort, through partnerships and other alliances, both among Fund-supported CSOs and between CSOs, private sector and government agencies as well as Australian and international research teams. This will be achieved through deliberate selection of CSOs and Fund-initiated systems and events to promote cross-CSO learning and exchange knowledge. CSOs will also be encouraged to provide peer support to each other, including during the design process (peer appraisals) and implementation.

The Fund Coordinator is expected to support CSOs to do their work effectively. This may mean providing systems, processes and technical advice when required. In particular, CSOs and DFAT may seek expertise in how best to ensure WASH projects are undertaken in a gender and socially inclusive manner, so access to Gender and Social Inclusion expertise is likely to be required. The FSG and DFAT will identify specific priorities and processes in consultation with the Fund Coordinator during the life of the Fund.

The Fund Coordinator is expected to develop and implement (in collaboration with DFAT) a 'Communications and Public Diplomacy Strategy'.

Table 1 below sets out indicative responsibilities of the contracted team but note that this does not specify mandatory positions and tender applicants should use this as a guide. While the Fund Manager and M&E Specialist positions are likely to be specified, tender applicants may, for the other suggested positions, propose a different mix of positions; part-time/full-time status, role descriptions and number of people to meet the essential requirements of the office.

Table 1: Fund Coordinator Responsibilities

Area of Fund	Key responsibilities
Fund Governance and overall management	- Supporting DFAT to establish FSG - Providing secretariat support to the FSG - Support a partnership approach, including organising and participating in an initial facilitated 'ways of working' meeting with all CSOs and DFAT (with Partnership Facilitator), followed by regular revision of 'ways of working' approaches[20] - Managing the risks associated with DFAT's decision for grants to be made to CSOs - Communications with DFAT - Development and implementation of a Fund Communications and Public Diplomacy Strategy
CSO selection, support and grant management	- Facilitating CSO selection processes as required. - Facilitating processes to support selected CSOs to design, implement and monitor projects to agreed standards - Negotiating and administering partnership-based Grant Agreements with CSOs, making payments and supporting quality assurance by initiating and managing supportive processes to enable CSOs to undertake projects to agreed standards - Supporting CSOs to make changes required during the life of the projects in response to changes in the environment, the approaches used and emerging lessons - Facilitating approval processes required at budget level for CSOs, when changes exceed 20% of planned high level budget categories (i.e. not individual item budget lines) - Facilitating approval processes required for significant changes in

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[20] This builds on the experience of the CS WASH Fund in which DFAT, a Fund Coordinator and CSOs have learned to work effectively together. It shifts away from a 'master-servant' relationship inherent in traditional contracts to more of a collaborative partnership arrangement, recognising the value of diverse contributions, working with diverse frames of reference and maximising the potential for achieving benefits beyond initial plans and expectations.

	approach, overall scope or expected outcomes (i.e. not changes in expected tasks and activities) • Negotiation and finalisation of variations to Fund agreements, following DFAT approval • Ensuring adherence to DFAT principles and policies and grant agreement with the Fund Coordinator
GESI and WASH	• Contributing to strategic direction of the Fund in achieving its aims • Supporting the gender and social inclusion elements of the Fund • Supporting implementation of strategic, effective WASH strategies • GESI input to research projects as regards gender and inclusiveness • Engagement of WASH and GESI specialists in both M&E and K&L components to support synthesis and Fund-Level learning, documentation and outputs
K&L Component	• Leading the K&L component, including learning events, I&I grants, maintaining a Fund website for sharing information among CSOs and communicating to the public and producing high quality products on gender and inclusive WASH and other gender and social inclusion outputs of the Fund, planning and supporting public diplomacy efforts and ensuring linkages to Fund M&E
Research grant administration	• Negotiating and administering partnership-based Grant Agreements with research organisations, providing performance management and facilitating links to K&L Component

M&E	• Developing the Fund performance arrangements, including refining the performance assessment framework (during inception) and reporting
	• Collating, synthesising and sharing of information (about the Fund, about information to support continuous improvement of project implementation and about individual projects and wider K&L functions)
	• Receiving and reviewing 6-monthly progress reports and financial acquittals from CSOs
	• Maintaining a Fund online management system (which builds on the SmartyGrants tool developed for CSO selection) with information on:
	    ○ Each CSO
	    ○ Each project design
	    ○ Progress
	    ○ Contribution to Fund-wide outcomes
	• Preparation of fund-wide reports on progress as well as country-specific summaries (if multiple CSOs operate in one country)
	• Conduct selected project site visits for monitoring and learning purposes (by M&E, K&L, GESI or WASH staff as appropriate)
	• Preparation of partner performance assessments to suit DFAT requirements, as negotiated with CSOs
	• Liaison with DFAT WSH on progress of overall Fund and CSO project implementation and quality assurance

Administration	• Administration of Fund finances and preparation of invoices • Performance management of Fund Coordinator Advisors including annual Adviser Performance Assessments

6. Safeguards requirements

Water for Women is likely to include a range of activities, which require consideration of safeguards issues and thus invoke DFAT policy requirements. Relevant safeguards covered by Australian Aid Program policies include: child protection, displacement and resettlement and environmental protection. Those responsible for implementation of Fund-funded activities will be required to apply these policies, recognising that they are likely to be updated during the life of the Fund. Current policies[21] should be applied to all Fund-supported projects.

6.1 Child Protection

The Child Protection Policy 2017[22] for the Australian Government's aid program defines key terms, outlines requirements and provides strategies for all those implementing Government-funded activities including: individual contractors; partners or organisations subcontracted by DFAT; funded contractors or CSOs; and personnel of DFAT-funded contractors and CSOs.

The Policy recognises the shared and collective responsibility of all adults to prevent child exploitation and abuse and DFAT's own responsibilities as the Australian Government's overseas aid agency, to work with its partners to prevent and respond to child exploitation and abuse. It recognises that child sex offenders often seek employment or volunteer placements in organisations that work with children in Australia or overseas in order to access vulnerable children and therefore the policy is designed to protect children across the world from (or from further) exploitation and abuse and sexual, physical and psychological violation.

Fund-funded organisations are obliged, under DFAT's Child Protection Policy, 2017, to have a DFAT-compliant child protection policy[23]. Each funded organisation's policy is expected to comprise standards and a framework for managing and reducing the risks of child exploitation and abuse. These will apply to its personnel, partners and subcontractors who are using DFAT funds. CSOs will be required to ensure that partner organisations in country, and any other organisations engaged or funded from Water for Women funds, comply with the policy.

6.2 Displacement and Resettlement

Organisations funded under the Fund will be required to adhere to DFAT's policy entitled Displacement and Resettlement of People in Development Activities, 2015 and subsequent updates[24]. Displacement occurs wherever communities are required to move, or when their access to land is restricted, as a consequence of the activity. Resettlement of affected communities to alternative locations needs to be well planned and supported in order to ensure positive outcomes. The policy states that appropriate risk assessment and mitigation

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[21] http://dfat.gov.au/aid/topics/safeguards-risk-management/Pages/default.aspx

[22] http://dfat.gov.au/about-us/publications/Pages/child-protection-policy.aspx

[23] http://dfat.gov.au/international-relations/themes/child-protection/Pages/child-protection.aspx

[24] http://dfat.gov.au/aid/topics/safeguards-risk-management/displacement-resettlement/Pages/displacement-and-resettlement.aspx

measures need to be in place in order to ensure positive outcomes for vulnerable people who may be affected by the activities, directly and indirectly.

It is not envisaged that the implementation of the Fund will result in displacement and resettlement, although implementing organisations will need to be mindful of, and adhere to, the DFAT guidelines.

6.3   Environmental Protection

DFAT's Environmental Protection Policy (November 2014) and any updates may apply to some Fund-funded activities[25]. The Australian aid program and its activities are obliged, under the Environment Protection and Biodiversity Conservation Act (EPBC Act) 1999, to consider whether aid-funded work undertaken will cause, or is likely to cause, a significant impact on the environment, and take steps to avoid and/or mitigate any negative impacts. Under the provisions of the Act, potential significant impacts on the environment from the implementation of the Australian aid program must be diligently assessed and managed.

Policy principles for environment protection include the following:

•   Principle 1: Do no harm

•   Principle 2: Assess and manage environmental risk and impact

•   Principle 3: Disclose information transparently

•   Principle 5: Work with partners

•   Principle 6: Promote improved environmental outcomes

During the Inception Phase, as part of each Project Design Document, CSOs will include an Environmental and Climate Change Plan determining the key environmental and climate change risks and opportunities in each context and appropriate mechanisms to mitigate risks and build on opportunities. Given the new standard associated with 'safely managed' water included in the SDGs, CSOs will be required to report on this issue in particular within their progress in implementing plans in their six-monthly reports. Project teams and any other organisations engaged or funded by the Fund must adhere to the standards expected in the EPBC Act.

7. Office requirements

The Fund Coordinator is expected to operate within Australian legislative frameworks, maintain sufficient staff resources and apply contemporary financial management systems to the Fund's operations.

8. Reports

The Fund Coordinator is required to submit the following reports to the WSH Section in DFAT:

      I.   Inception Report

     II.   6-monthly progress reports and 6 monthly K&L report

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[25] http://dfat.gov.au/about-us/publications/pages/environment-protection-policy-aid-program.aspx

III. 6-monthly Fund progress reports (synthesis of CSO reporting) (timing aligned to DFAT reporting requirements)

IV. Annual Plans

V. Annual Financial Acquittals

VI. Exception reports (if needed to address issues (and their resolutions) that may negatively impact Fund delivery).

9. Performance assessment

The performance of the Fund Coordinator's work will be assessed as part of its Annual Partner Performance Assessment (PPA). The PPA is conducted according to standard DFAT process, and the following criteria may be helpful in completion of the PPA:

- quality of relationships with CSOs, DFAT, and other stakeholders
- quality of support for the Fund approach, principles and processes,
- quality of support for embedding gender and inclusion into high-quality WASH implementation
- ability to respond to DFAT requests for information in a timely manner
- ability to appropriately pitch support so it recognises the independence of CSOs and of the fact there is no single 'right way' to implement aid projects; fostering a learning environment
- facilitate timely and high quality knowledge and learning processes and outputs to inform the iterative and adaptive programming of the CSOs, exert broader sector influence and plan and support public diplomacy efforts
- ability to mitigate and manage program risks
- quality information system and reporting
- robust financial management
- effective and efficient implementation of annual plans/work plans/strategies within agreed timeframes

Annex 14 Statement of Requirements and Pricing Schedule for Tender Purposes (Independent Review Group)

Water for Women Fund: Independent Review Group

1. Fund Outline

Water for Women (the Fund) was announced by the Prime Minister of Australia in September 2016 and reflects the critical role that improvements to water, sanitation and hygiene (WASH) play in addressing poverty and contributing to economic and human development and to increasing evidence that gender and socially inclusive approaches to WASH programming contribute to improvements in women's well-being.

The Fund is a flagship program in Australia's engagement in WASH and reflects high priority policy commitments in the Australian aid program. The Fund draws on lessons from a current program, the Civil Society WASH Fund (the CS WASH Fund), which began in 2013 and has included 29 projects implemented in 19 countries by 13 civil society organisations (CSOs) in partnership with a range of international and national organisations. The CS WASH Fund generated significant evidence about good practice approaches to WASH in diverse contexts, including with respect to gender and social inclusion.

The Fund includes $91.4 million for CSO project implementation, $10.6 million for a research component and the balance for management and coordination tasks, particularly related to a knowledge and learning (K&L) component and monitoring and evaluation (M&E). Grants for CSO projects are expected to be between $2.5 million to $10 million, depending on scope, CSO capacity, regional coverage and other criteria, and may include multi-country implementation for a given CSO.

The Fund will comprise a number of Australian and international CSOs, selected through a competitive process, where selection is based on their experience and expertise in WASH and the quality of their proposed Project Concepts, organisational capacity and past performance. They will be expected to undertake gender and socially inclusive WASH projects, which are also inter-linked with other critical development issues such as water resources management (WRM), climate change adaptation (CCA), disaster risk reduction (DRR) and nutrition. Once selected, DFAT will require the Fund Coordinator to sign Grant Agreements with the CSOs, who will implement projects in respective countries and with partners.

The Fund will use a balance of *partnership* and *quality assurance* approaches, to maximise the beneficial contributions of multiple specialist CSOs in overall Fund oversight and direction, and also to maximise the delivery of projects to high standards. The Fund seeks to use a balance of applying lessons learned from previous and existing gender and inclusive WASH practice and trialling innovations. A Fund Steering Group (FSG) will provide regular opportunities for strengthening partnerships and for senior representatives of each of the

implementing parties (DFAT, Fund Coordinator and CSOs) to collectively consider strategic issues about the Fund's progress, learning and results. The FSG will provide advice to DFAT, which is ultimately responsible for Fund decision-making.

A team (to be called Fund Coordinator) will be appointed through this tender to provide Fund-related services to DFAT and CSOs for 5 years.

2. Fund Objectives

The goal of the Water for Women Fund is '**Improved health, gender equality and well-being of Asian and Pacific communities through inclusive, sustainable WASH' .**' Contributions will be made to the goal through four **end-of-program outcomes**:

1. Strengthened national and subnational WASH sector systems with greater emphasis on gender, social inclusion, safely managed WASH and water security
2. Increased equitable, universal access to and use of sustainable WASH services, particularly for marginalised communities and community members
3. Strengthened **gender equality and social inclusion** in households, communities and institutions
4. Strengthened use of new **evidence, innovation and practice** in sustainable gender and inclusive WASH by other CSOs, national and international WASH sector actors

Intermediate outcomes, which are expected to contribute to the above Fund outcomes are:

- Increased capacity and agency of governments, private sector, community-based organisations and communities, in planning, investing and delivering sustainable, inclusive WASH services
- Greater integration of gender and socially inclusive approaches by governments, private sector, community-based organisations and communities
- Documentation and sharing of gender and socially inclusive evidence and effective practices with other CSOs, national and international sector actors

The Design Document provides details of all aspects of the Fund.

3. Fund elements

The Fund comprises three elements:

iv. Grants for CSOs

- Support provided to CSOs to implement projects relatively independently

- Oversight and advice provided by Gender and Social Inclusion and WASH Specialists

- Fund-level M&E undertaken by M&E Specialist, who is also available to support CSOs with project level M&E systems

v. Research Component

- Two types of grants (WASH Research Awards) to research organisations for:

    o broader, longer-term WASH research addressing key knowledge gaps in Asia Pacific

- o research closely linked to CSO implementation in the Fund

- Grants will be managed by the Fund Coordinator and contribute to the wider K&L activities of the Fund

vi. K&L Component

- Organisation of regional learning events

- Maintenance of a website and regular on-line interactions

- Support for sharing information between implementing CSOs and others

- Organisation of Innovation and Impact Grants

4. Fund governance and management arrangements

4.1 Fund Steering Group

The overall governance of the Fund will be the responsibility of a Fund Steering Group (FSG), comprising specialists and senior officials from each of the participating organisations: DFAT, the Fund Coordinator and CSOs. The FSG will provide collective advice to DFAT on Fund-wide issues, monitor Fund progress and promote Fund-wide learning and engagement. The FSG will provide the opportunity for the leading WASH personnel from organisations involved in the management of the Fund to maintain joint overview of strategy, progress and emerging policy and programming issues.

To maximise the effectiveness of the FSG, a facilitated 'ways of working' session will be included in a Fund Design Workshop (during the Inception Phase). This will provide an opportunity for all those involved in identifying their interests and 'bottom lines;' to ensure there is shared understanding of the role of the FSG; to negotiate agreed approaches to resolving differences and minimising the negative impacts of risks. In particular, a facilitated approach of this nature, will help to minimise the risk of poor relationships, misunderstood expectations and other problems which may affect the quality delivery of project outcomes.

A draft Terms of Reference (TOR) for the Fund Steering Group has been provided in Annex 12 to the Design Document and will provide the basis for discussion at the Design Workshop. This TOR covers the FSG membership, operation, partnership principles and ways of working, and possible roles. In brief, the FSG will be chaired by DFAT and a rotating Co-Chair selected from the CSOs, and will comprise DFAT, CSOs and relevant Fund Coordinator staff. It will meet 6 monthly, likely alternating between face-to-face and online. The Fund Coordinator will provide secretariat services.

The Secretariat services include making arrangements for the meetings, organising dates and venues, coordinating the agenda, distributing papers and minutes, etc. Costs associated with CSO participation in FSG meetings will be covered by the CSOs.

4.2 Research Steering Group

A smaller **Research Steering Group** (RSG) comprising DFAT, funded research organisations and the Fund Coordinator will maintain strategic oversight over the Research Component. The group will comprise the DFAT Chair, Fund Coordinator and a lead representative from each research grantee. This group will meet virtually every 6 months. The role of this group

will be to, at a strategic level, monitor the achievement of agreed outcomes of the Research Component, discuss ways to maximise its effectiveness and any changes in research grant management or performance assessment approach. The RSG may at times communicate directly with the FSG (or meet at a common time), however communication is likely to primarily be through the Fund Coordinator.

4.3 Knowledge and Learning Advisory Group

A less formal **Knowledge and Learning Advisory Group (K&L Advisory Group)** will be composed of representatives from CSOs and research organisations and the Knowledge and Learning Manager (KALM) of the Fund Coordinator. The role of this group will be to guide and contribute to Fund K&L activities.

Independent Review Group role

The Fund's Independent Review Group (IRG) will undertake reviews at the Fund level, starting at least nine months after Fund commencement, including three reviews in total, one of which will comprise the mid-term evaluation of the Fund. Prior to the first review the IRG members will discuss with the DFAT and FSG a range of ways to focus each reviewFor each review the IRG will:

- develop a Review Plan in consultation with DFAT and FSG to identify current issues, the review's focus and methods
- review, extract and synthesise documented information available across the Fund (provided by the Fund Coordinator) and use a mix of other evaluation methods to generate information relating to:
- overall Fund management processes and particularly partnership arrangements and value-for-money of these arrangements
  - o progress against PAF performance questions and indicators to date and towards Fund-wide outcomes
  - o lessons learned and priorities for the subsequent period.

The IRG will be expected to work with DFAT to ensure the Review Plan is appropriately targeted to the progress of the Fund, with early emphasis on ensuring the management systems, resourcing allocations and Fund governance structures are working well and Inception Phase processes have been effective, and later emphasis on progress of Fund-supported CSO projects to Fund-level outcomes.

Safeguards requirements

The IRG will be expected to comply with the following Fund-wide requirements.

Child Protection

The Child Protection Policy 2017[26] for the Australian Government's aid program defines key terms, outlines requirements and provides strategies for all those implementing Government-funded activities including: individual contractors; partners or organisations

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[26] http://dfat.gov.au/about-us/publications/Pages/child-protection-policy.aspx

subcontracted by DFAT; funded contractors or CSOs; and personnel of DFAT-funded contractors and CSOs.

The Policy recognises the shared and collective responsibility of all adults to prevent child exploitation and abuse and DFAT's own responsibilities as the Australian Government's overseas aid agency, to work with its partners to prevent and respond to child exploitation and abuse. It recognises that child sex offenders often seek employment or volunteer placements in organisations that work with children in Australia or overseas in order to access vulnerable children and therefore the policy is designed to protect children across the world from (or from further) exploitation and abuse and sexual, physical and psychological violation.

Fund-funded organisations are obliged, under DFAT's *Child Protection Policy, 2017*, to have a DFAT-compliant child protection policy[27]. Each organisation's policy is expected to comprise standards and a framework for managing and reducing the risks of child exploitation and abuse and to apply to its personnel, partners and subcontractors who are using DFAT funds. CSOs will be required to ensure that partner organisations in country, and any other organisations engaged or funded from Water for Women funds, comply with the policy.

Displacement and Resettlement

Organisations funded under the Fund will be required to adhere to DFAT's policy entitled *Displacement and Resettlement of People in Development Activities, 2015* and subsequent updates[28]. Displacement occurs wherever communities are required to move, or when their access to land is restricted, as a consequence of the activity. Resettlement of affected communities to alternative locations needs to be well planned and supported in order to ensure positive outcomes. The policy states that appropriate risk assessment and mitigation measures need to be in place in order to ensure positive outcomes for vulnerable people who may be affected by the activities, directly and indirectly.

It is not envisaged that the implementation of the Fund will result in displacement and resettlement, although implementing organisations will need to be mindful of, and adhere to, the DFAT guidelines.

Environmental Protection

DFAT's Environmental Protection Policy (November 2014) and any updates may apply to some Fund-funded activities. The Australian aid program and its activities are obliged, under the *Environment Protection and Biodiversity Conservation Act (EPBC Act) 1999*, to consider whether aid-funded work undertaken will cause, or is likely to cause, a significant impact on the environment, and take steps to avoid and/or mitigate any negative impacts. Under the provisions of the Act, potential significant impacts on the environment from the implementation of the Australian aid program must be diligently assessed and managed.

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[27] http://dfat.gov.au/international-relations/themes/child-protection/Pages/child-protection.aspx

[28] http://dfat.gov.au/aid/topics/safeguards-risk-management/displacement-resettlement/Pages/displacement-and-resettlement.aspx

Policy principles for environment protection include the following:

- *Principle 1: Do no harm*
- *Principle 2: Assess and manage environmental risk and impact*
- *Principle 3: Disclose information transparently*
- *Principle 5: Work with partners*
- *Principle 6: Promote improved environmental outcomes*

During the Inception Phase, as part of each Project Design Document, CSOs will include an Environmental and Climate Change Plan determining the key environmental and climate change risks and opportunities in each context and appropriate mechanisms to mitigate risks and build on opportunities. Given the new standard associated with 'safely managed' water included in the SDGs, CSOs will be required to report on this issue in particular within their progress in implementing plans in their six monthly reports. Project teams and any other organisations engaged or funded by the Fund must adhere to the standards expected in the *EPBC Act.*

Other requirements

In addition to undertaking the required responsibilities in ways consistent with this Tender and other DFAT policies and standards that may emerge during the 5–year life of the Fund, the Independent Review Group is expected to comply with Australian legislative frameworks, maintain sufficient staff resources and apply contemporary financial management systems to the Fund's operations.

Reports

The Independent Review Group is required to submit the following reports to the WSH Section in DFAT and the FSG for reach review:

VII.   Review Plan (following discussion with DFAT)

VIII.   Draft Review Report

IX.   Final Review Report (incorporating feedback)

Pricing Schedule for Tender Purposes

This Annex provides a format for tenderers in relation to the role of Independent Review Group for the Water for Women Fund.

Position	ARF Category	Number of Inputs Payable Up To (Days)	Daily Rate (AUD)	Maximum Amount Payable (AUD)
Team Leader	C4	135	933	125,955
Team Member 1	C3	110	812	89,320
TOTAL				***215,275***
Management Fees				*TO BE ADDED DURING TENDER PROCESS*

Table 2: Adviser Support Costs

Category	Per year	No of items	Value per Input (AUD)	Total Value (AUD)
International travel and accommodation	1	3	33,000	99,000
Domestic travel and accommodation associated with participating in K&L events and other Fund meetings	1	3	10,500	31,500
Total (excluding GST)				**130,500**

Annex 15 Sample Inception Phase Grant Agreement

[Name]
[Recipient Entity] ('the Recipient')
[Address]

Dear [Name]

I am pleased to advise that DFAT wishes to give your organisation (the Recipient) a grant to support it to implement the activity "[Insert Activity title]", described in **Attachment B** to this letter. The details of the grant are set out in **Attachment A**. If the Recipient accepts the grant, it must comply with the terms and conditions set out in **Attachment C**.

Please read Attachments A, B and C ("the **Agreement**"). To accept the grant on behalf of the Recipient, please sign below and return the original signed document (including the Attachments) to:

>   [Contact person name or job title]
>   DFAT
>   [Address in Canberra or at Post]

Yours sincerely

[DFAT delegate name]
Delegate

   [Month] [Year]

ACCEPTANCE OF GRANT
On behalf of the Recipient, I accept the grant offered by DFAT as described in Attachment A, to implement the Activity described in Attachment B, and on the terms and conditions set out in Attachment C.

……………….………………. (signature)

……………….………………. (print name)

……………….………………. (date)

Drafting Note: Remove the table rows for tranches if your grant is being paid upon signing in total	

ATTACHMENT A – GRANT DETAILS

Grant	AUD[insert amount], inclusive of GST And any interest earned on the Grant or through exchange rate gains.	
Tranches	Tranche Amount	Tranche Date
	Total	
Tranche Conditions	DFAT will pay the Recipient an acquittable Grant up to a maximum of **[Insert currency and value]**, inclusive of GST if any up to a maximum amount of **[Insert currency and 10% of value if this is an Australian Organisation only]**, in tranches divided as follows: DFAT will pay Tranche 1 within thirty (30) days of the date of this Agreement and subject to receipt of a valid invoice as per clause 2 of Attachment C. DFAT will pay subsequent tranches at the date indicated above subject to the Recipient providing: - an Acquittal Statement of **[Insert percentage usually 80+]**% of the previous tranche, signed by the senior financial officer or the head of the Recipient indicating that the Grant funds being acquitted have been expended in accordance with the terms of this Agreement; and - submitting a valid invoice as per clause 2 of attachment c; and - making satisfactory progress with implementation of the Activity as determined by DFAT.	
Recipient	[Insert name of the Recipient]	
Activity	The Activity described in Attachment B.	
Activity Start Date	[Insert]	
Activity End Date	[Insert]	
DFAT Agreement No.	[Insert]	
Recipient Contact	Name: Postal Address: Street Address:	

	Email:
	Facsimile:
DFAT Contact	Name:
	Postal Address:
	Street Address:
	Email:
	Facsimile:

ATTACHMENT B – ACTIVITY PROPOSAL AND BUDGET

[Insert or attach Activity proposal and budget received from the Recipient - Ensure that the budget amount matches the Grant amount in attachment A]

ATTACHMENT C – TERMS AND CONDITIONS

1. INTERPRETATION
    1.1. Terms used in these Terms and Conditions have the meaning given in the Grant Details.
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2. PAYMENT OF THE GRANT
    2.1. The Recipient must give DFAT an invoice requesting payment of the Grant which includes the DFAT Agreement Number in the Grant Details and the name of the Activity.
    2.2. The Recipient must send the invoice:
        By mail to:
        Chief Finance Officer
        Department of Foreign Affairs and Trade
        R.G. Casey Building
        John McEwen Crescent
        Barton ACT 0221
        AUSTRALIA; or
        By email to: accountsprocessing@dfat.gov.au
    2.3. If the Recipient has an Australian Business Number (ABN), the invoice must be a valid tax invoice.
        •

3. RECIPIENT'S OBLIGATIONS
    3.1. The Recipient must:
        a) Implement the Activity.
        b) Commence the Activity on or before the Activity Start Date.
        c) Complete the Activity on or before the Activity End Date.
        d) Use the Grant diligently and for the sole purpose of the Activity.
        e) Promptly advise DFAT if it has any problems with or experiences any delays in the implementation of the Activity.
        f) Acknowledge the Grant, where appropriate (for example, in publicity for the Activity).
        g) Keep detailed accounts and records of how it spent the Grant.
        h) Comply with the law when implementing the Activity.
        i) Comply with DFAT's *Child Protection Policy* (http://www.dfat.gov.au/childprotection).
        j) Promptly advise DFAT if it discovers any link between the Recipient or the Activity and organisations or individuals associated with terrorism.
        k) If required by DFAT, permit DFAT to monitor and/or evaluate the Activity and/or the use of the Grant.
        l) If required by DFAT, permit DFAT to audit its accounts and records relating to the Activity and the Grant.
        m) Not enter into a contract for the purpose of implementing the Activity with a person or entity that is listed on a World Bank List or a Relevant List.
        n) Immediately inform DFAT if it discovers that a person or entity with which it has entered into a contract for the purpose of implementing the Activity is listed on a World Bank or a Relevant List.
        o) If directed by DFAT to do so and at no cost to DFAT, terminate a contract entered into for the purpose of implementing the Activity if the contractor is listed on a World Bank List or a Relevant List.
    3.2. In clauses 3.1 and 8.1(d).:
        a) "World Bank List" means a list of organisations maintained by the World Bank in its "Listing of Ineligible Firms" or "Listings of Firms, Letters of Reprimand" posted at: http://web.worldbank.org/external/default/main?theSitePK=84266&contentMDK=64069844&menuPK=116730&pagePK=64148989&piPK=64148984; and
        b) "Relevant List" means any similar list to the World Bank List maintained by any other donor of development funding.

3.3. The Recipient must use its best endeavours to ensure that:
  a) Its personnel comply with the law when implementing the Activity;
  b) Individuals or organisations involved in implementing the Activity are not linked, directly or indirectly, to organisations or individuals associated with terrorism; and
  c) The Grant is not used to provide direct or indirect support or resources to organisations or individuals associated with terrorism.
3.4. The Recipient must not:
  a) Use the Grant to buy an asset unless that asset is referred to in Attachment B or the purchase has been approved by DFAT.
  b) Dispose of or write-off assets purchased with the Grant except as approved by DFAT.
  c) Give to or receive from anyone a gift, payment or other benefit if the act is or could be construed as illegal or corrupt.
  d) Give to or receive from anyone a gift, payment or other benefit as a reward in relation to this Agreement.
  e) Bribe public officials.
  f) Assign its interest in this Agreement without DFAT's prior approval.
    •

4. CONFIDENTIALITY
4.1. The Parties agree not to disclose each other's confidential information without prior written consent unless required or authorised by law or Parliament.
4.2. This clause shall survive expiration or termination of this Agreement.
    •

5. FRAUD
5.1. For the purposes of this paragraph, "Fraudulent Activity" "Fraud" or "Fraudulent" means dishonestly obtaining a benefit, or causing a loss, by deception or other means, and includes incidents of attempted, alleged, suspected or detected fraud.
5.2. The Recipient must not and must ensure that its employees, agents, representatives and subcontractors do not engage in any Fraudulent Activity. The Recipient is responsible for preventing and detecting Fraud.
5.3. If the Recipient becomes aware of any Fraudulent Activity involving any activities funded in whole or in part with a contribution made under this agreement, the Recipient must report the matter to DFAT within 5 business days. The Recipient must investigate the alleged Fraud at the Recipient's cost and take actions in accordance with its regulations, rules, policies, procedures and any directions or standards required by DFAT.
5.4. Following the conclusion of any investigation which identifies Fraudulent Activity, the Recipient must:
  a) take all reasonable action to recover any part of the contribution, the subject of Fraudulent Activity;
  b) refer the matter to the relevant police or other authorities responsible for prosecution of Fraudulent Activity where the incident occurred, unless the Director of DFAT's Fraud Section agrees otherwise in writing;
  c) as required by DFAT, reimburse to DFAT any part of the Contribution misappropriated through Fraudulent Activities; and
  d) keep DFAT informed, in writing, on a monthly basis, regarding the status of actions undertaken with respect to the Fraudulent Activity.
5.5. The obligations of the Recipient under this Clause 5 shall survive the termination or expiration of this agreement.
    •

6. REPORTING AND REPAYMENT OF UNSPENT GRANT FUNDS
6.1. Within thirty (30) days after the Activity End Date, the Recipient must send to the DFAT Contact:
  a) a final report which includes an outline of the Activity, the key outcomes compared with objectives, development impact, sustainability and lessons learned; and
6.2. an acquittal statement which:
  a) explains how the Recipient spent the Grant;

b)   confirms that the Recipient spent the Grant in accordance with this Agreement; and

c)   is signed by the senior financial officer or the head of the Recipient indicating that the Grant funds being acquitted have been expended in accordance with the terms of this Agreement

6.3. If the Recipient has not spent any part of the Grant, it must return the unspent funds to DFAT with the acquittal statement.

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7. INTELLECTUAL PROPERTY

7.1. The Recipient will own any intellectual property in material created by the Activity but grants DFAT an irrevocable, non-exclusive, world-wide, royalty-free licence to use the material for any purpose.

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8. TERMINATION

8.1. DFAT may immediately terminate this Agreement by giving the Recipient a notice in writing if the Recipient:

a)   Becomes, or in the opinion of DFAT may become, bankrupt, insolvent, deregistered or no longer able to undertake the Activity to a standard acceptable to DFAT.

b)   Fails to commence or, in the opinion of DFAT, fails to make satisfactory progress in carrying out the Activity and the failure has not been remedied within the time specified in a written request from DFAT to remedy the failure.

c)   Breaches a term of this Agreement and does not remedy the breach within the time stipulated in a written request from DFAT to remedy the breach.

d)   Is listed on a World Bank List or Relevant List, or is subject to any proceedings, or an informal process, which could lead to being listed or temporarily suspended from tendering for World Bank or other donors of development funds contracts, or is subject to an investigation whether formal or informal by the World Bank or another donor of development funding.

8.2. DFAT or the Recipient may terminate this Agreement by giving the other party a written termination notice which includes the reasons for termination.

8.3. If this Agreement is terminated, the Recipient must:

a)   Immediately do everything possible to prevent and reduce all losses, costs and expenses caused by the termination.

b)   As soon as possible, stop spending any uncommitted Grant funds.

c)   Within thirty (30) days of the termination, give DFAT an acquittal statement (see clause 6.2) and return to DFAT any uncommitted Grant funds (including unspent interest and exchange rate gains).

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9. COUNTER TERRORISM

9.1. Consistent with UN Security Council Resolutions relating to terrorism, including UNSC Resolution 1373 (2001) and 1267 (1999) and related resolutions, both DFAT and the Recipient are firmly committed to the international fight against terrorism, and in particular, against the financing of terrorism. It is the policy of DFAT to seek to ensure that none of its funds are used, directly or indirectly, to provide support to individuals or entities associated with terrorism. To those ends, the Recipient is committed to taking appropriate steps to ensure that funding provided by DFAT to support the Recipient is not used to provide assistance to, or otherwise support, terrorists or terrorist organisations, and will inform DFAT immediately if, during the course of this agreement, the Recipient determines that any such funds have been so used.

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10. ANTI-CORRUPTION

10.1. DFAT and the Recipient are committed to preventing and detecting corruption and bribery. The Recipient, through its employees, agents, representatives or subcontractors, will not make or cause to be made, or receive or seek to receive, any offer, gift or payment, consideration or benefit of any kind, which would or could be construed as an illegal or corrupt practice, either directly or indirectly to any party, as an inducement or reward in relation to the execution of this agreement or any arrangement or provision of funds in

relation to its operations. The Recipient will use its best endeavours to ensure that any employee, agent, representative or other entity it is responsible for will comply with this paragraph. The Recipient will promptly notify DFAT of any suspected or detected corruption or bribery affecting programs funded by DFAT and actions taken by the Recipient in response.

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11. CHILD PROTECTION

11.1. The Recipient must comply, and must ensure that its subcontractors and Personnel comply with DFAT's *Child Protection Policy*, accessible at http://www.dfat.gov.au/childprotection/.

11.2. DFAT may conduct a review of the Recipient's compliance with DFAT's *Child Protection Policy* referred to in clause 11.1. DFAT will give reasonable notice to the Recipient and the Recipient must participate co-operatively in any such review.

-

12. BRANDING

12.1. Wherever Australia provides financial, and/or policy and practical support for activities led by the Recipient, that support will receive substantial recognition in all associated the Recipient documents and publications, both hard copy and electronic, media, speeches and other announcements. This includes concept papers, board approval documents, media releases, speeches, brochures and publicity materials, signs, web pages and formal correspondence, including and especially with the partner country concerned.

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13. GENERAL

13.1. This Agreement commences when DFAT receives the Recipient's signed confirmation of its acceptance of the Grant and continues until the parties have fulfilled all of their obligations.

13.2. DFAT must send notices to the Recipient Contact in the Grant Details.

13.3. The Recipient must send notices to the DFAT Contact in the Grant Details.

13.4. This Agreement may be amended by a Deed of Amendment signed by DFAT and the Recipient.

13.5. This Agreement is governed by the law of the Australian Capital Territory, Australia.

Annex 16   List of People Consulted

The Design Team conducted consulted with multiple people and groups, as listed in the tables below. Consultations included many sections within DFAT, WASH Reference Group members, other CSOs and research institutions. Two workshops were held in Canberra (with DFAT officials and WASH Reference Group Representatives) and in Melbourne (with WASH Reference Group) followed by two teleconferences. An online survey was organised for CSOs and research organisations, with responses from 17 organisations.

Comments on the draft Design Document and Annexes were received from more than 10 sections in DFAT as well as from WASH Reference Group members, with subsequent revisions incorporated.

	Name	Organisation
1	Harold Lockwood	Aguaconsult
2	Elissa Kennedy	Burnet Institute
3	Kathryn James	CBM Australia
4	Clare Hanley	CBM Australia
5	Bruce Bailey	CS WASH Monitoring, Evaluation and Review Panel
6	Paul Crawford	CS WASH Monitoring, Evaluation and Review Panel
7	Paul Tyndale-Biscoe	CS WASH Monitoring, Evaluation and Review Panel
8	Gerard Cheong	Department of Foreign Affairs and Trade (DFAT)
9	Robyn Leven	Department of Foreign Affairs and Trade (DFAT)
10	Marcus Howard	Department of Foreign Affairs and Trade (DFAT)
11	Stephanie Lee	Department of Foreign Affairs and Trade (DFAT)
12	Bernard Pearce	Department of Foreign Affairs and Trade (DFAT)
13	Office of Development Effectiveness	Department of Foreign Affairs and Trade (DFAT)
14	Investment Design Section	Department of Foreign Affairs and Trade (DFAT)
15	NGO Partnerships Section	Department of Foreign Affairs and Trade (DFAT)
16	CBV	Department of Foreign Affairs and Trade (DFAT)
17	Bangladesh / Nepal / Bhutan Section	Department of Foreign Affairs and Trade (DFAT)
18	Vietnam Post	Department of Foreign Affairs and Trade (DFAT)
19	Annemarie Reerink, Gender Equality Branch	Department of Foreign Affairs and Trade (DFAT)
20	Ulla Keech Marx	Department of Foreign Affairs and Trade (DFAT)
21	Gender Equality and Disability Inclusiveness Section	Department of Foreign Affairs and Trade (DFAT)
22	Fragility and Conflict Section	Department of Foreign Affairs and Trade (DFAT)
23	Governance Section	Department of Foreign Affairs and Trade (DFAT)
24	Timor-Leste Section	Department of Foreign Affairs and Trade (DFAT)
25	Ulla Keech-Marx	Department of Foreign Affairs and Trade (DFAT)
26	Pacific Aid Effectiveness and Advice Branch	Department of Foreign Affairs and Trade (DFAT)
28	Nina Hall	Global Change Institute - University of Queensland
29	Robert Chambers	Institute of Development Studies
30	Regina Souter	International Water Centre (IWC)
31	Declan Hearne	International Water Centre (IWC)
32	Gaetano Romano	Live & Learn
33	Christian Nielsen	Live & Learn

34	Roger Nixon	Department of Foreign Affairs and Trade (DFAT)
35	Naomi Francis	Nossal Institute for Global Health – University of Melbourne
36	Bronwyn Powell	Palladium
37	Amanda Morgan	Palladium
38	John Kelleher	Plan International
39	Lee Leong	Plan International
40	Gabrielle Halcrow	SNV Netherlands Development Organisation
41	Mbarou Gassama	UN Women
42	Celia McMichael	University of Melbourne
43	Robin Canniford	University of Melbourne
44	Kate Neely	University of Melbourne
45	Graham Moore	University of Melbourne
46	Katrina Charles	University of Oxford
47	Rob Hope	University of Oxford
48	Tom Muller	WaterAid
49	Chelsea Huggett	WaterAid
50	David Shaw	WaterAid
51	Caren Grown	World Bank
52	Maitreyi Das	World Bank

	Name of person in workshop, survey respondent, or teleconference	Organisation
53	Sem Mabuwa	Action on Poverty
54	David Cram	ADRA
55	Renee	ADRA
56	Maren Heuvels	BORDA
57	Takara Morgan	CARE
58	Cathy Boyle	CARE
59	Clare Hanley	CBM
60	Elena Down	CBM Australia
61	Loan Duong	East Meets West Foundation - Vietnam
62	Heidi Michael	Engineers Without Borders
63	Matthew Bond	FHF Consultants
64	Sophie Cooke	Habitat for Humanity
65	Yi Wei	iDE
66	Molly Goodwin-Kucinsky	International Development Enterprises
67	Declan Hearne	International Water Centre
68	Christian Nielsen	Live and Learn
69	Praphulla Shrestha	Oxfam Australia
70	David Clatworthy	Rescue
71	Kavitha Suthanthiraraj	Save the Children
72	Jane Kennedy	Uniting World
73	Kate Neely	University of Melbourne
74	David Shaw	WaterAid
75	Tom Muller	WaterAid
76	Chelsea Huggett	WaterAid
77	Geoff Revell	WaterShed Asia
78	Lin Lu	WaterShed Asia

79	Sarah von Boekhout	WaterShed Asia
80	Geoff Revell	WaterShed Asia
81	Michael Poustie	World Vision

Annex 17   Fund-wide Performance Assessment Framework

End of Program and Intermediate Outcomes	Fund-wide Performance questions* and indicators	Key risks	Primary sources of information** (for baseline & progress)	Reporting, timing and use
Outcome 1: Strengthened national and subnational **WASH sector systems** with greater emphasis on gender, inclusion, safely managed WASH services and water security	Q: What changes have occurred in national and subnational WASH sector systems (in relation to relevant aspects such as leadership, policies, planning, financing, institutional framework and roles of government, private sector and civil society actors, coordination, monitoring, accountability etc.)? In particular, what improvements have occurred in their emphasis on gender, inclusion, safely managed WASH services and water security within WASH sector systems?	Poor government or other stakeholder buy-in and ownership of gender and inclusive WASH change agendas	CSO Project Design Documents (baseline) Annual CSO reports Annual independent review (DFAT WSH) End of Fund evaluation (DFAT WSH)	6-Monthly Fund Progress Reports (produced by Fund coordinator) for use by Fund Steering Group and DFAT WSH to inform decision making; and for use by DFAT WSH, DFAT GEB and DFAT posts for public diplomacy
Outcome 2: Increased equitable, universal **access to and use** of sustainable WASH services, particularly for marginalised communities and community members	Q: What changes have occurred in equitable, universal access to and use of sustainable WASH services, particularly for marginalised communities and community members? How have the practical needs of different groups (women/girls, PLWD, or other groups) been met, including through design of WASH facilities? What changes have occurred with respect to quality, availability, accessibility, acceptability and affordability of services? Q: What evidence is there of changes in targeted hygiene behavior(s) and whose behaviour has been influenced and how? How sustainable are the changes likely to be?	Climate change affects water availability, water system functionality and/or water-based sanitation facilities	CSO Project Design Documents (baseline) Annual CSO reports Annual independent review (DFAT WSH) End of Fund evaluation (DFAT WSH)	
	I: Number of additional people using: an improved drinking-water source (ADR); safely managed drinking water service (JMP/SDG definitions) (ADR) I: Number of additional people using a: basic (unimproved) facility; improved facility (ADR); shared sanitation facility; safely managed sanitation services (JMP/SDG definitions) I: Number of additional people with hand washing facilities and soap (or ash) in their household. I: Number of additional students with access to improved school WASH facilities*** I: Number of additional health facilities with access to improved WASH facilities I: Number of additional WASH facilities in public buildings and/or institutions (disaggregated by universally-accessible/not)	Benefits of projects for communities and organisations (adoption of new practices) are not sustained	CSO Project Design Documents (baseline) 6-monthly CSO reports	

Outcome 3: Strengthened **gender equality and social inclusion** in households, communities and institutions	Q: What broader (that is, beyond the domain of water, sanitation and hygiene) gender related changes have occurred in households, community and institutions as a result of gender and socially inclusive WASH approaches and outcomes? In what ways are these changes reinforcing (or undermining) changes in inclusive WASH practice and results? *Could include changes in relation to: women's economic empowerment; violence against women; women's leadership and participation; women's voice and ability to negotiate; workload distribution or other changes.*	Cultural values and existing structures in operating contexts prevent adoption of gender and inclusive approaches and outcomes	CSO Project Design Documents (baseline) Annual CSO reports Annual independent review (DFAT WSH) End of Fund evaluation (DFAT WSH)	
	Q: What broader (that is, beyond the domain of water, sanitation and hygiene) social inclusion changes have occurred in households, community and institutions as a result of gender and socially inclusive WASH approaches and outcomes? In what ways are these changes reinforcing (or undermining) changes in inclusive WASH practice and results? *Could include all forms of empowerment of marginalised people (including people living with a disability)*			
Outcome 4: Strengthened use of new **evidence, innovation and practice** in sustainable gender and inclusive WASH by other CSOs, national and international WASH sector actors	Q: In what ways have other CSOs, governments, or other organisations (within and beyond Fund participants) taken up and used Fund-generated documentation, evidence and/or demonstrated practice? How has this informed, influenced or changed policy or practice?	WASH actors have insufficient interest, drivers or capacity to integrate and use new evidence, practice or innovation in their policy and practice	CSO Project Design Documents (baseline) Annual CSO reports Annual Research reports Annual independent review (DFAT WSH)	Regional Learning Event Synthesis Reports (produced by Fund Coordinator) 6-Monthly Fund Progress Report and 6-Monthly K&L Report (prepared by Fund Coordinator)
Intermediate outcome: Increased **capacity and agency** of governments, private sector, community-based organisations and communities, in **planning, investing and delivering** sustainable,	Q: What changes have occurred in the capacity, agency and performance of governments, private sector, community-based organisations and communities (change agents with whom the project has *directly* interacted), in planning, investing and delivering sustainable, gender and inclusive WASH services?		CSO Project Design Documents (baseline) Annual CSO reports Annual independent review (DFAT WSH)	6-monthly Fund Progress Reports (produced by Fund coordinator) for use by Fund Steering Group and DFAT WSH to inform decision making; and for
	I: Number of WASH committees which have at least 50% women members (ADR) I: Number of targeted WASH committees with women in management or technical roles		CSO Project Design Documents (baseline)	

inclusive WASH services			6-monthly CSO reports	use by DFAT WSH, GEB and posts for public diplomacy
Intermediate outcome: Greater **integration of gender and socially inclusive approaches** by governments, private sector, community-based organisations and communities	Q: What changes have occurred in the performance of government, private sector and civil society WASH actors (change agents with whom the project has directly interacted) in using gender and socially inclusive approaches?		CSO Project Design Documents (baseline) Annual CSO reports Annual independent review (DFAT WSH)	
	I: Number of additional WASH related institutions actively implementing a gender and inclusion policy		CSO Project Design Documents (baseline) 6-monthly CSO reports	
Intermediate outcome: Documentation and sharing of gender and socially inclusive **evidence and effective practices** with other CSOs, national and international sector actors	Q: What products have been created, events organised, training conducted or other processes supported for sharing new evidence and gender and socially inclusive practice within and beyond the Fund, and with whom have they been shared (other CSOs, governments, and other national and/or international actors etc.)?		CSO Project Design Documents (baseline) Annual report of Fund Annual independent review (DFAT WSH)	6-Monthly Fund Coordinator Report
Fund-management: **Quality relationships** between Fund Coordinator, DFAT and CSOs **Value for money** of management arrangements	Q: To what extent are the systems and processes established to maximise the quality of partnerships between implementers (Fund coordinator, DFAT and CSOs), working well? What more can be done to maximise quality partnerships? Q: To what extent are the management arrangements, including knowledge and learning, for the Fund providing value for money?	Lack of strategic governance by FSG Poor relationship between Fund Coordinator and CSOs	Annual independent review (DFAT WSH)	Annual Independent Review Report used by DFAT to review Fund arrangements and continued value for money

* For *all* performance questions, the following additional common questions should also all be answered as part of CSO reporting against the Fund-wide PAF: What was the specific contribution(s) of your and any partner's work to these changes? What were the success factors? What lessons were learned?

** It is recommended that some questions be asked 6-monthly and others annually (the latter require more complex M&E processes), to be negotiated during inception

*** 'WASH facilities' currently refers to any of water, sanitation or hygiene facilities. Decisions will be made during the inception phase as to whether disaggregation by water, sanitation and hygiene should be included wherever this term has been used in the Fund-wide Performance Assessment Framework

Annex 18 Menu of Additional Performance Questions and Indicators

The following table presents additional performance questions and indicators which may be used to inform development of CSO project-level M&E frameworks, depending on context analysis and the relevant theory of change.

The questions and indicators are provided as a *menu* only, and *not* an exhaustive or comprehensive list. Hence, they may be usefully adapted to local contexts, or other questions or indicators may be chosen that are more suitable to the given project.

CSOs will not be required to specifically report against these at Fund-level, however qualitative and quantitative M&E information accrued against these (or other questions and indicators as decided by the CSO) are likely to be useful to inform *quality, evidence-based responses* to the Fund-level performance questions.

Additional ideas on M&E methods suited to considering gender and inclusion processes and outcomes are described in Annex 3.

End of program and Intermediate Outcomes	Additional possible performance questions and indicators
Outcome 1: Strengthened national and subnational **WASH sector systems** with greater emphasis on gender, inclusion, safely managed WASH services and water security	Q: How has the SDG agenda to support safely managed, universal services been progressed in the national (or subnational) context, and what contribution has the CSO project made in this area? Q: How are *water security* considerations, including in relation to water resources management (WRM), disaster risk reduction (DRR) and climate change, better taken into account within national or subnational WASH sector systems, and what contribution has the CSO project made in this area? Q: To what extent have the gender and inclusion approaches taken up by change agents (government, private sector, community-based organisations or communities) had further influence on wider change in the WASH sector system?
Outcome 2: Increased equitable, universal **access to and use** of sustainable WASH services, particularly for marginalised communities and community members	**Water** Q: Are there any intra-household differences in access to safe water? How have these been influenced? Q: Are there differences in who does and doesn't have access to safe water in the relevant locality (for example, female-headed households, marginalised groups)? How have these difference been influenced? Q: How has access to water improved for users in terms of: reliability of supply; accessibility; equity of access; and water quantity and quality? For which users have such changes occurred? Q; What changes have occurred in attitude and practice relating to safe water use in targeted areas? Q: What are the factors that are now in place to ensure that the improved service level can endure, be replicated and/or scaled? Q: What are the factors that are now in place to ensure climate change effects and/or water scarcity will not impact on on-going access to services? Q: What consultations were undertaken with people with reduced mobility (elderly and people with a disability) on the use of universal design guidelines for water facilities? Q: What plans are in place to ensure that new or rehabilitated water systems can be sustained under the projected impacts of climate change? Q: What approaches to enable improved data on the access of women and girls to water infrastructure has been achieved? I: Number of additional people living in households where water is safely treated and stored I: Number of additional students with access to an improved school drinking-water source I: Number of additional universally-accessible water facilities in public buildings and/or institutions I: Number of additional private sector providers selling water system selling water system products and services I: Number (or %) of new water system designs that include an analysis of the sustainable yield of the water resource

Sanitation

Q: Are there any intra-household differences in access to sanitation? How have these differences been influenced?

Q: What changes have occurred in attitude and practice relating to sanitation in targeted areas?

Q: Are there differences in who does and doesn't have access to sanitation in the relevant locality (for example, female-headed households, marginalised groups)? How have these difference been influenced?

Q: What are the factors that are now in place to ensure that the changes in sanitation practices can endure, be replicated and/or scaled?

Q: What are the factors that are now in place to ensure climate change effects and/or water scarcity will not impact on sanitation outcomes?

Q: What changes have occurred in the sales/turnover of sanitation products and services?

Q: What changes have occurred in the availability of affordable sanitation products?

Q: What improvements have occurred in sanitation systems beyond households e.g. wastewater treatment, pit emptying services, sludge management etc?

Q: What plans are in place or actions have been taken to ensure that new sanitation facilities do not reduce the quality of nearby water resources?

Q: What consultations were undertaken with people with reduced mobility (elderly and people with a disability) on the use of universal design guidelines for sanitation facilities?

Q: What consultations were undertaken with women with a disability on their use of sanitation facilities?

Q: What approaches to enable improved data on the access of women and girls to sanitation products and/or facilities has been achieved?

I: Number (or %) of people in communities that have become ODF as a result of project activities

I: Number (or %) of communities achieving ODF Status (verified)

I: Number (or %) of additional schools with adequate student:toilet ratios

I: Number of additional schools with single-sex sanitation facilities

I: Number of additional students (F/M) with access to improved school latrines

I: Number of additional universally-accessible sanitation facilities in public buildings and/or institutions

Hygiene

Q: Are there any intra-household differences in hygiene behaviour? How have these been influenced?

Q: Are there differences in hygiene behavior and practices amongst different groups of people in the relevant locality (eg. female headed-households, marginalised groups)? How have these differences been influenced?

Q: What are the factors that are now in place to ensure that the behaviour changes can endure, be replicated and/or scaled?

Q: How effectively has menstrual hygiene management been addressed and integrated into regular hygiene outreach and

	provision of facilities (where relevant and appropriate). I: Number of additional people (F/M) with increased knowledge of hygiene practices I: Number of additional students (F/M) participating in school hygiene behaviour change programs I: Number of additional students (F/M) with access to an adequate number of school hand washing facilities with soap
Outcome 3: Strengthened **gender equality and social inclusion** in households, communities and institutions	**Gender*** Q: What changes have been achieved in relation to women's economic empowerment, for instance through their participation in WASH-related enterprises or other approach? Q: What changes have occurred with respect to violence against women that can be linked with the WASH-related intervention? Q: What changes have occurred in the prevalence and acceptability of women's leadership and active participation at community level that can be linked with the WASH-related intervention? If so, to what extent have there been flow-on effects from women's leadership (for instance, to what extent are different issues being tabled and different decisions being taken as a result of women's participation in decision-making)? Q: What changes have occurred in women's confidence to participate at community level that can be linked with the WASH-related intervention? Q: What changes have occurred in women's ability to negotiate roles and workload at the household level that can be linked with the WASH-related intervention? Q: What other changes have occurred at individual, community or structural levels as regards gender and inclusion? Q: What changes have occurred in men's attitudes towards women at household-level? Q: What changes have occurred in men's attitudes towards women at community-level? Q: What other changes have occurred with respect to gender dynamics at household level? Q: What other changes have occurred with respect to gender dynamics at community-level? Q: What other changes have occurred with respect to gender dynamics in institutions or the wider public sphere? I: Number of community-level (other than WASH) committees which have at least 50% women members I: Proportion of time spent on unpaid domestic and care work, by sex, age and location **Social inclusion** Q: What changes have occurred in the empowerment, voice and/or agency of any marginalised persons at household-level that can be linked with the WASH-related intervention? Q: What changes have occurred in the empowerment, voice and/or agency of any marginalised persons at community-level that can be linked with the WASH-related intervention? Q: What changes have occurred in attitudes towards marginalised persons that can be linked with the WASH-related intervention? Q: What proportion of any facilities provided are accessible (consistent with Universal Design Guidelines) for all people? I: Number (or %) of community-level committees (other than WASH) which have representation of marginalised groups

Outcome 4: Strengthened use of new **evidence, innovation and practice** in sustainable gender and inclusive WASH by other CSOs, national and international WASH sector actors	Q: How have any Fund-related outputs or related engagements been actively used by other actors beyond the Fund (other CSOs, national or international actors)? What factors have facilitated uptake and use?
	Q: How have any Fund-related outputs or related engagement influenced policies of other actors beyond the Fund (other CSOs, national or international actors)? What factors affected the level of policy-influence?
	Q: How have any Fund-related outputs or related engagement influenced practice of other actors beyond the Fund (other CSOs, national or international actors)? What factors affected the level of influence on practice?
	Q: How have any Fund-related outputs or related engagement influenced debates and sector discourse and thinking? What factors affected the level of influence?
	Q: For any of the above, in what ways have *gender and inclusive* aspects of WASH (or beyond WASH) been taken up by other actors beyond the Fund (other CSOs, national or international actors)? What factors have facilitated uptake and use?
	Q: What flow-on effects (in terms of socio-economic, gender or inclusion outcomes in WASH or beyond) are likely, or have been documented?
Intermediate outcome: Increased **capacity and agency** of governments, private sector, community-based organisations and communities, in **planning, investing and delivering** sustainable, inclusive WASH services	**Government**
	Q: What changes have occurred in the effectiveness of those *national government actors* and systems engaged in the project (e.g. in relation to any relevant aspects such as gender and inclusive leadership, policies, planning, financing, institutional framework, coordination, monitoring, accountability)? (with respect to any of WASH in households, schools or institutions)
	Q: What changes have occurred in the effectiveness of *subnational government actors* and their systems (e.g. in relation to any relevant aspects of gender and inclusive leadership, policies, planning, financing, service delivery models, coordination, monitoring, accountability)? (with respect to any of WASH in households, schools or institutions)
	Q: What changes have occurred in the knowledge, attitude or practice of national (or subnational) government staff with respect to gender?
	Q: What changes have occurred in the knowledge, attitude or practice of national (or subnational) government staff with respect to social inclusion? (For instance, familiarity or use of Universal Design Principles)
	I: Proportion of local administrative units with established and operational policies and procedures for participation of local communities in water and sanitation management
	Private sector
	Q: What changes have occurred in *private sector* roles to support inclusive service delivery, including any relevant changes in pro-poor or women's engagement and affordability of services, number and viability of enterprises, availability of products through supply chains and service provision roles, or other changes?
	Q: What changes have occurred in how private sector facilitate access to different groups, for instance through use of Universal Design Principles and tailored products and services for different groups, including to meet women's needs?
	Q: What changes have occurred in private sector roles in faecal sludge management, including in the enabling environment for

| | such roes? |

such roles?
Q: What changes have occurred in how private sector take into account WRM, DRR and/or climate change in their provision of services?
Q: What is the relative involvement of women and men in WASH-related enterprises and how has this been influenced?
Q: What is the relative involvement of marginalised people in WASH-related enterprises and how has this been influenced?
I: Number of additional private sector providers selling sanitation products and services
I: Number (or %) of new/existing businesses reporting revenue growth (relative to previous year) in the sale of sanitation products and services
I: Number of additional private sector providers involved in faecal sludge management?
I: Number (or %) of additional private sector providers with functioning request and response mechanisms

Community and civil society
Q: What changes have occurred in how *communities* are involved in management or service provision (e.g. inclusive committees)?
Q: What changes in *civil society roles* in terms of voice, advocacy and accountability for improved services?
Q: What changes have occurred in the role, voice and influence of women, marginalised groups or individuals in planning and implementing WASH services?
I: Number (or %) of targeted WASH committees that are fully functioning
I: Number (or %) of additional community-based service providers with functioning request and response mechanisms

Cross-sectoral engagement
Q: What changes have occurred in performance of government, private sector or civil society actors in addressing water security, WRM, DRR or climate change aspects of WASH? How have any of these changes also reflected gender and inclusive thinking and practice?
Q: What changes have occurred to support reduced vulnerability and increased resilience in planning and management of WASH services?
Q: What changes have occurred in performance of government, private sector or civil society actors in addressing water-use efficiency?
Q: What changes have occurred in management of freshwater withdrawal for domestic purposes?
Q: What changes have occurred in performance of government, private sector or civil society actors in addressing and supporting the links between nutrition WASH? How have any of these changes also reflected gender and inclusive thinking and practice?
I: Proportion of wastewater safely treated
I: Proportion of bodies of water with good ambient water quality

Intermediate outcome: Greater **integration of gender and socially inclusive approaches** by governments, private sector, community-based organisations and communities	Various possible questions and indicators have been captured and integrated under the first enabling outcome (see above) Additional questions could include: Q: How have incentives and accountability to adopt gender and inclusive approaches been constructed and monitored and what is their level of success and effectiveness? Q: What strategies have proved most effective in promoting integration of gender and inclusive approaches amongst government, private sector, community-based organisations and communities with whom the CSO is directly engaging? What barriers or challenges have been met and how have they been overcome?
Intermediate outcome: Documentation and sharing of gender and socially inclusive **evidence and effective practices** with other CSOs, national and international sector actors*	Q: What types of products have been developed and for what purpose and audience? How has quality been ensured? Q: What innovations have been developed in communicating new gender and socially inclusive evidence and practice? Q: Who was involved in developing knowledge outputs and how was any relevant capacity development supported? Q: At which events has active engagement and sharing of gender and socially inclusive evidence and practice taken place? How many people were reached? I: Number of externally focussed information sharing products/events e.g. reports, technical guides, policy notes, videos, synthesis of workshops etc. I: Number of peer-reviewed publications I: Number of team members participating in Fund Regional learning events I: Number of team members participating in Fund-related webinars I: Number of team members participating in Fund-related e-discussions and forums I: Number of CSO-led events or initiatives held to share gender and socially inclusive evidence and practice

*See *Carrard et al. (2014)* Waterlines article for a synthesis of documented gender equality outcomes associated with WASH programs