

Report on Quality at Entry and Next Steps to Complete Design for Water and Sanitation Initiative: Global Programs Component

A: AidWorks details <i>completed by Activity Manager</i>			
Initiative Name:	Water and Sanitation Initiative Global Programming		
AidWorks ID:	Water and Sanitation Initiative Global Programming INI691	Total Amount:	\$26 million
Start Date:	12 June 2009	End Date:	30 June 2011

B: Appraisal Peer Review meeting details		
completed by Activity Manager		
Initial ratings prepared by:	<div>1. Andrew Robinson (Independent Appraiser)</div> <div>2. Shaanti Sekhon, Global Programs, UN & Human Rights, AusAID</div> <div>3. Laurence McCulloch, Operations Policy and Support Officer, Design and Procurement Advisory, AusAID</div> <div>4. Climate Resilience and Water Section, Sustainable Development Group, AusAID</div>	
Meeting date:	14 May 2009	
Chair:	Kirsty McNichol, Acting ADG, Sustainable Development Group	
Peer reviewers providing formal comment & ratings:	<div>1. Andrew Robinson (Independent Appraiser)</div> <div>2. Shaanti Sekhon, Global Programs, UN & Human Rights, AusAID</div> <div>3. Laurence McCulloch, Operations Policy and Support Officer, Design and Procurement Advisory, AusAID</div>	
Independent Appraiser:	Andrew Robinson, independent contractor with water and sanitation expertise	
Other peer review participants:	<div><div>Barbara O'Dwyer</div><div>Gender, AusAID</div></div> <div><div>Suzanne Dagseven</div><div>Africa (CBR), AusAID</div></div> <div><div>Russell Rollason</div><div>South Asia (CBR), AusAID</div></div> <div><div>Paul Wright</div><div>Pacific – Infrastructure (PRIF and environment), AusAID</div></div> <div><div>Vanessa Loney</div><div>East Timor (CBR), AusAID</div></div> <div><div>Trisha Gray</div><div>Philippines (CBR), AusAID</div></div> <div><div>Elena Down</div><div>Disability Inclusive Development Team, AusAID</div></div> <div><div>Sue-Ellen O'Farrell</div><div>Indonesia Strategy and Sectoral Analysis, AusAID</div></div> <div><div>Alan Coulthart</div><div>Principal Adviser, Infrastructure, AusAID</div></div> <div><div>Anne Joselin</div><div>Program Manager, Water and Sanitation, AusAID</div></div> <div><div>Rachel Kelleher</div><div>Program Officer, Climate Resilience and Water, AusAID (scribe)</div></div>	

C: Quality Rating Assessment against indicators*completed by Activity Manager / Peer Reviewers / Independent Appraiser*

Quality	Rating (1-6) *	Comments to support rating	Required Action (if needed)
1. Clear objectives	4	Support was given to the selection of the global programming partners as experienced organisations making good contributions to the sector. Further clarity was required on the links between their work and the objectives of the Water and Sanitation Initiative.	Define the objective of the global component of the WSI in the design documents. Links between the three selected programs and the objectives of the WSI are to be better demonstrated.
2. Monitoring and Evaluation	4	AusAID will contribute to multilateral global programs and will therefore need to rely on the reporting frameworks and capabilities of the partner organisations, each of which has well-established systems and frameworks in place. It was acknowledged that AusAID will have limited influence over how reporting is undertaken, given that it will be only one of many donors. CRW needs to consider whether partner reports will provide enough information for QAI reports.	Further detail to be included in the design documents on the links between the objectives of the WSI and the selected partners' monitoring and evaluation systems and reporting processes. Performance Assessment Framework to be developed and will take into account ODE evaluation of AusAID WASH programs.
3. Sustainability	4	The partners' common aim is to improve the effectiveness of partner government systems. Improving government systems, civil society and private sector helps make the country's water and sanitation sector more sustainable and less reliant on outside support. It was noted that the selected partners all focus on sustainability through their WASH projects, for example through building institutions that deliver services within communities. Outcomes of existing partner activities have not shown strong sustainability due to inadequate attention to operation and maintenance issues.	Further details to be included in the design documents on sustainability.
4. Implementation & Risk Management	4	Implementation and risk management measures within the partner organisations are considered adequate. However, risk assessments are general and during implementation AusAID will need to stay informed on agency programs and update risks through the QAI process. More focus needs to be given to non-financial risks.	Expansion of the design documents to include greater analysis on risk management, looking beyond the potential financial risks for AusAID.
5. Analysis and lessons	4	There are strong links between the partners through information sharing, including participation in joint reviews, preparation of joint publications and dissemination through donors and partner country agencies. It was recommended that approval be given to the proposed funding of the global programming partners and that improvements to the design aspects be demonstrated at the point at which a Quality at Entry or Quality at Implementation report is prepared.	Further information to be obtained from the selected partner organisations on how activities will be implemented, drawing on past experiences.

*** Definitions of the Rating Scale:**

Satisfactory (4, 5 and 6)		Less than satisfactory (1, 2 and 3)	
6	Very high quality; needs ongoing management & monitoring only	3	Less than adequate quality; needs to be improved in core areas
5	Good quality; needs minor work to improve in some areas	2	Poor quality; needs major work to improve
4	Adequate quality; needs some work to improve	1	Very poor quality; needs major overhaul

D: Next Steps *completed by Activity Manager after agreement at the Appraisal Peer Review meeting*

Provide information on all steps required to finalise the design based on <i>Required Actions</i> in "C" above, and additional actions identified in the peer review meeting	Who is responsible	Date to be done
At the Appraisal Peer Review meeting held on 14 May 2009, attendees approved funding in principle of the UNICEF WASH, WSP and WSSCC multidonor trust funds. This agreement was given contingent on:		
1. the Climate Resilience and Water Section (CRW) further developing the design documents provided that the objectives of the programming are more clearly stated and that further focus is given to addressing how progress will be monitored, evaluated and reported on by the selected partners;	CRW	21 May 2009
2. further information being obtained from the selected partners on how they intend to implement the projects, including gathering data on past experiences and results in the water and sanitation sector; and	CRW	21 May 2009
3. the revised design summary and implementation documents will be circulated to the peer reviewers for final comment.	CRW	21 May 2009
The requisite amendments were made and the revised design summary and implementation documents were circulated on 26 May 2009 to all attendees of the Appraisal Peer Review meeting. It was agreed that the Quality at Entry report would reflect scores of 4 in all categories.		

E: Other comments or issues *completed by Activity Manager after agreement at the APR meeting*

- See approved minutes from Appraisal Peer Review meeting, 14 May 2009 (attached)

F: Approval *completed by ADG or Minister-Counsellor who chaired the peer review meeting*


On the basis of the final agreed Quality Rating assessment (C) and Next Steps (D) above:

☒ **QAE REPORT IS APPROVED**, and authorization given to proceed to:

☒ **FINALISE** the design incorporating actions above, and proceed to implementation

or: ☐ **REDESIGN** and resubmit for appraisal peer review

☐ **NOT APPROVED** for the following reason(s):

Kirsty McNichol	signed: 	4 June 2009
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When complete:

- Copy and paste the approved ratings, explanation and actions (table C) into AidWorks
- The original signed report must be placed on a registered file

