Solomon Islands Access to Clean Water Supply and Sanitation Initiative

Performance Management System

April 2010

Contents

Abbreviations and Acronyms

AusAID	Australia Agency for International Development
CLTS	Community-Led Total Sanitation
EHD	Environmental Health Department of the Ministry of Health and Medical Services
EHP	Environmental Health Project, US Agency for International Development
GoA	Government of Australia
HPU	Hygiene Promotion Unit of the Environmental Health Department
HR	Human Resources
JMP	Joint Monitoring Program
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MHMS	Ministry of Health and Medical Services
OCAT	Organisational Capacity Assessment Tool
RWSS	Rural Water Supply and Sanitation section of the Environmental Health Department
RWASH	Rural Water, Sanitation and Hygiene
SIACWSI	Solomon Islands Access to Clean Water and Sanitation Initiative
SIG	Solomon Islands Government
SWAp	Sector Wide Approach
UNICEF	United Nations Children's Fund
WASH	Water, Sanitation and Hygiene
Watsan	Water Supply and Sanitation
WHO	World Health Organization

Introduction

The SIACWSI performance management system will provide the skills, tools, and data to enable efficient monitoring, evaluation and reporting of progress towards the agreed outputs, outcomes and objectives.

Skills and tools will be provided through specialist inputs and training to build competencies in the four major functions of the system: monitoring, evaluation, reporting and continuous learning and improvement. Gender equality matters will be integrated throughout the system.

Program logic

The program goal is to improve the health and quality of life for the rural poor of the Solomon Islands. This will be achieved through the following integrated components:

1. Increase coverage of WASH in rural areas;

2. Improve sector coordination, capacity and equity;

3. Establish sustainable and socially inclusive operation and maintenance models; and

4. Establish sustainable systems for improved hygiene awareness and develop demand for socially inclusive sanitation.

The logical framework showing the vertical and horizontal logic of the design is given in Annex 1. The SIACWSI design is based on a sector-wide approach (SWAp) rather than the traditional model of aid delivery using a managing contractor and trust account for procurement of materials. Consistent with a SWAp approach, the design:
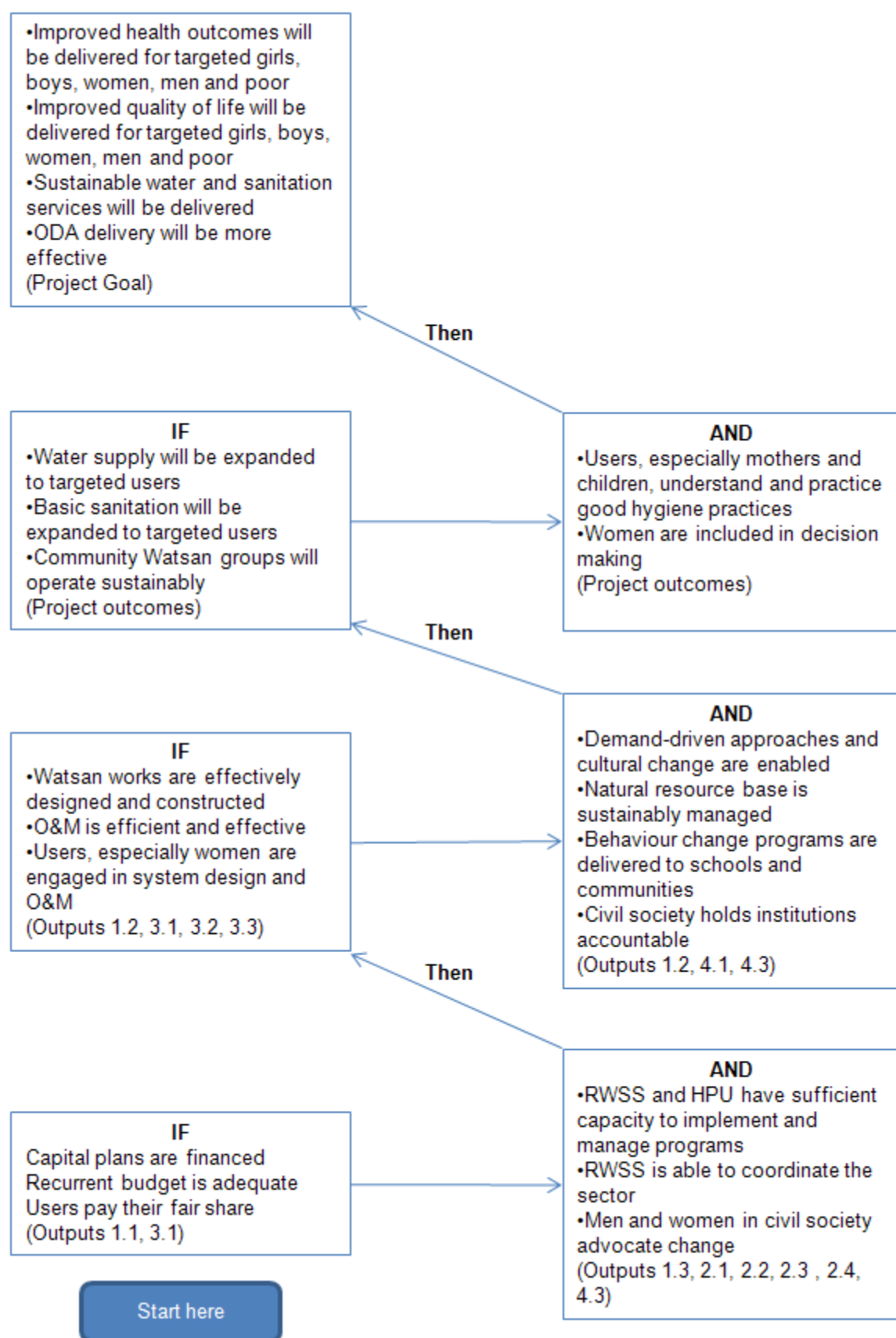
- Promotes leadership by the partner government in close dialogue with national stakeholders;

- Promotes the role of RWSS as a focal point for the entire sector's investments;

- Promotes common implementation arrangements (financing mechanisms, accounting, reporting, monitoring and evaluation etc.); and

- Minimises long-term technical assistance in favour of utilising local capacity.

Typical pre-requisites for applying a SWAp approach are that policy legal and strategic frameworks are in place and that partner governments have demonstrated capacity and systems in place for financial management and program implementation. This is not entirely the case with the SIG and this is highlighted in the assumptions given the logframe. There is a need for on-going assessments of the capacity of EHD to act as a focal point for the WASH sector and an outline for an organisational capacity assessment tool is included in the M&E processes and tools section of this report.

The strategic logic[1] of SIACWSI given in Figure 1, indicates that if the assumptions given the logframe are fulfilled and the program is well implemented, then it is plausible that the purpose and goal will be realised.

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[1] Based on the strategic logic model given in the draft AusAID Water and Sanitation Strategy Performance Management System (AusAID, 2009)

Figure 1: SIACWI strategic logic

- •Improved health outcomes will be delivered for targeted girls, boys, women, men and poor
- •Improved quality of life will be delivered for targeted girls, boys, women, men and poor
- •Sustainable water and sanitation services will be delivered
- •ODA delivery will be more effective
(Project Goal)

Then

IF
- •Water supply will be expanded to targeted users
- •Basic sanitation will be expanded to targeted users
- •Community Watsan groups will operate sustainably
(Project outcomes)

AND
- •Users, especially mothers and children, understand and practice good hygiene practices
- •Women are included in decision making
(Project outcomes)

Then

IF
- •Watsan works are effectively designed and constructed
- •O&M is efficient and effective
- •Users, especially women are engaged in system design and O&M
(Outputs 1.2, 3.1, 3.2, 3.3)

AND
- •Demand-driven approaches and cultural change are enabled
- •Natural resource base is sustainably managed
- •Behaviour change programs are delivered to schools and communities
- •Civil society holds institutions accountable
(Outputs 1.2, 4.1, 4.3)

Then

IF
Capital plans are financed
Recurrent budget is adequate
Users pay their fair share
(Outputs 1.1, 3.1)

AND
- •RWSS and HPU have sufficient capacity to implement and manage programs
- •RWSS is able to coordinate the sector
- •Men and women in civil society advocate change
(Outputs 1.3, 2.1, 2.2, 2.3 , 2.4, 4.3)

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Performance Management Framework

Principles

The system is guided by good practice principles for performance management including:

- **Engage with partners and build capacities to collect and apply information**

  Building capacity of local partners means that government and other sector actors need to be more involved in the design and implementation of the performance management system. It requires achieving a balance between meeting the traditional requirements of donor reporting and accountability and the longer term needs of the sector.

- **Keep the system realistic, simple (but effective) and relevant to needs**

  Data capture, analysis and reporting tools should be as simple as possible to promote adoption by partners.

- **Using a balance of quantitative and qualitative information to develop a picture of performance – not relying simply on quantitative measures.**

  Use a range of methods to measure achievement including regular monitoring, evaluative analyses and case studies. Specific attention will be given to collecting data on the effectiveness of the program in meeting the needs of different groups within the community.

- **Building learning into performance management**

  Include events such as reflection workshops to promote learning and action to improve effectiveness and impact.

Functions
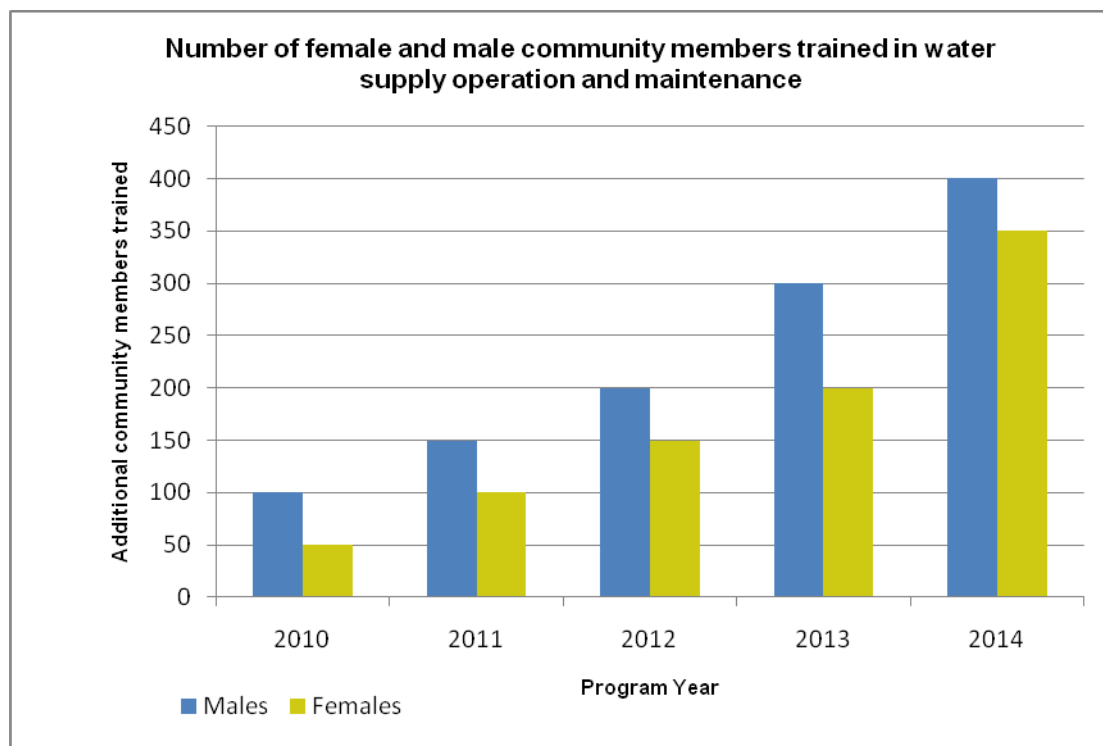
The performance management system will:

1. Enable RWSS/HPU to monitor progress towards achieving agreed outputs
2. Assess progress towards achieving outcomes, purpose and goal
3. Facilitate regular reporting of outcomes according to agreed timeframes that allow enough time to respond
4. Assist RWSS/HPU stakeholders to identify and mitigate risks
5. Promote learning and continuous improvement so that lessons learnt during implementation are incorporated into program plans
6. Assist the WASH sector to establish a simple but effective sector-wide performance management system
7. Collect sex disaggregated data and specific impacts on women, men, girls and boys
8. Contribute to the body of knowledge in:
   - Increasing community demand for WASH
   - Improving the sustainability of community managed water supplies

Integrated Performance Management Framework

As identified earlier, an important principle guiding the development of the performance management system is to build the capacity of local partners to collect and use information as part of effective performance management. The SIG needs a realistic, pragmatic but effective performance management system but this will take time to develop. Just as it will take time for the SIG to sustainably operate a WASH sector without external assistance, the same is true for operating an effective performance management system that shows differential impacts and can be used for continuous improvement.

The integrated performance management framework given in Figure 3 is designed to not only meet the needs of SIACWSI but also the longer term needs of RWSS/HPU and the WASH sector. It is based on the minimum number of indicators and performance questions that should be adopted to support effective performance management. The indicators are consistent with international standards and conventions such as those established by the World Health Organisation (WHO) and United Nations Children's Fund for Joint Monitoring Programme for Water Supply and Sanitation (JMP, 2006). The indicators are also consistent with recommended indicators given in the draft AusAID Water and Sanitation Strategy Performance Management System (AusAID, 2009). The indicators have also been developed to support benchmarking i.e. the extent of movement from initial baselines to agree targets as shown in Figure 2.

Figure 2: Benchmarking example

Annex 2 provides detailed descriptions and information sources for the indicators and performance questions given in the performance management framework.

Figure 3: Performance Management Framework

(All data disaggregated by sex and target group where possible)

SIACWSI Goal: Improve health and quality of life for the rural poor of Solomon Islands

1. Number of additional locations with hand washing facilities and soap

2. Number of additional communities with %100 open defecation free environments

3. % of children < 5 years old with diarrhoea in the last 2 weeks

Purpose: Improve capacity of the sector to respond to community needs and improve progress towards the MDG 7 target

1. Number of additional people with access to an improved water source

2. Number of additional people with access to improved sanitation facilities

3. Number of additional schools with water, sanitation and hand washing facilities

Component 1: Increase coverage of WASH in rural areas	Component 2: Improve sector coordination, capacity and equity	Component 3: Establish sustainable and socially inclusive operation and maintenance models	Component 4: Establish sustainable systems for improved hygiene awareness and develop demand for socially inclusive sanitation
Outcome: An increased number of people in rural areas using an improved drinking water source and improved sanitation facility	*Outcome: RWSS and HPU coordinating the sector wide delivery of WASH services to rural areas*	*Outcome: Targeted communities able to operate and maintain Watsan facilities*	*Outcome: People in targeted schools and communities demonstrating good hygiene practices – especially the use of latrines and handwashing*
11 Proportion of population in targeted communities using an improved water source	2.1 Proportion of WASH investments delivered through a coordinated sector plan	3.1 % of Watsan facilities fully operational after 3 years	4.1 Number of targeted communities with %100 percent open defecation free environments
1.2 Proportion of population in targeted communities using an improved sanitation facility	2.2 Number of development partners applying national guidelines for WASH delivery	3.2 % of targeted communities with functioning WASH committees	4.2 % of households in targeted communities with a hand washing facilitiy and soap that is being used
1.3 Number of additional schools in targeted areas with access to an improved water source	2.3 % of RWSS/HPU establishment in place	3.3 % of women members in WASH committees in targeted communities (at least 30%)	4.3 Number of schools in targeted areas with hand washing facilities and soap that are being used
1.4 Number of additional schools in targeted areas with access to improved sanitation facilities	2.4 % of RWSS/HPU management positions occupied by women	3.4 % of targeted communities with O&M funds established and functioning	4.4 Number of schools with health promotion programs that include a hygiene behaviour component
1.5 Number of schools in targeted areas with separate toilets for boy and girls	2.5 Number of RWSS provincial offices and development partners using standardized M&E tools to monitor and evaluate the implementation of sector plans	3.5 Number of female and male community members trained in O&M (at least 30% women)	4.5 Number of communities participating in hygiene behaviour programs
1.6 % of WASH investment delivered through RWSS financial management and procurement systems	Q2.1 To what extent has RWSS institutional capacity been developed to function as a sector focal point and implement large scale WASH programs?	3.6 Number of additional people in targeted communities using an improved water source through the rehabilitation of old systems	4.6 % of WASH funds directed to provincial hygiene activities
1.7 Number of communities where improved participatory planning and implementation processes are being used	Q2.2 To what extent are women participating in sector coordination and decision making?	Q3.1 How are women involved in planning, operation and maintenance of Watsan in the community? Do they have real influence in decision making?	4.7 Number of provincial staff (women and men) accredited in hygiene awareness and education
Q1.1 Have some water supply facilities been more successful than others for different groups in the community? Why?			Q4.1 Are the barriers to hygiene related behaviour change for women, men, boys and girls understood?
Q1.2 Have some sanitation approaches been more effective than others for different groups in the community? Why?			
Q1.3 What are the user perceptions (women, men, girls, boys, poor and people with a disability) of functionality, reliability and quality of Watsan facilities in this community?			
Q1.4 Is the attendance rate of girls improving as a result of improved sanitation facilities in schools?			

M&E Processes and Tools

RWSS/HPU annual planning and reporting

RWSS and HPU will be supported to:

1. Improve current annual planning processes including setting of annual targets where appropriate e.g. number of planned water systems, sanitation facilities, women in decision making at all levels etc.

2. Establish protocols and formats for periodic reporting from provincial offices to ensure that indicators in the performance management framework are regularly updated

3. Establish responsibilities for reporting, data analysis and feedback

4. Review performance at least once a year

Sector planning and coordination

There is a need to introduce simple robust sector monitoring and evaluation but this will take time as there is currently limited evidence of effective coordination within the sector. For example:

1. A sector strategy is not yet in place;

2. There are currently no sector-wide plans or review processes for implementing WASH;

3. A sector working group exists but is yet to be formalised;

4. There are no mechanisms for coordination between water, sanitation and hygiene promotion;

5. WASH indicators are not standardised across the sector; and

6. There are no systematic data collection processes in place to answer simple questions like who is doing what, where?

Support will be given to RWSS and sector actors to:

1. Define roles and responsibilities of the various sector actors;

2. Support the establishment of WASH sector planning, monitoring and review groups;

3. Facilitate the development of a sector performance management framework based on the indicators and performance questions in the SIACWSI performance management framework;

4. Assist in the compilation a sector performance reports as part of an annual sector review process; and

5. Ensure that national survey instruments such as the Demographic Health Survey include standardised questions on access to safe water, access to improved sanitation and hygiene indicators.

Field data collection tools

RWSS and HPU will need simple collection data tools to capture data on activities completed in targeted communities and schools. It proposed that a simple project site diary be developed for this purpose. This will be used to record key milestones and indicators in each project site as demonstrated in Table 1. The diary will assist district and national managers to monitor the status of activities as well as capture data required for many of the indicators in the performance assessment framework. Data will be disaggregated by sex and target group (women, men, poor, people with a disability) to ensure that the community process is implemented in a socially inclusive manner.

Table 1: Example of a site diary

RWSS Site Diary			
Project Site:			
Field Officer:			
Process/Event	**Date completed**	**Indicator**	
		Indicator type	**Value**
1. Community Engagement			
1 Community mobilisation			
2 Social and gender analysis			
3 Formation of WASH committee		No. of male WASH committee members No. of female WASH committee members	
2. Technical survey and design			
1 Source flow measurement done			
2 Source and elevation survey done			
3 Survey of local materials and resources			
4 Technical design and estimates		Number of people with access to an improved water source	
5 Community agreement on design			
etc. etc.			

Simple procedures for ensuring that RWSS/HPU in Honiara receives data updates will need to be established. Options include using a carbon copy site diary (one copy retained in the province and the other sent to Honiara) or verbal updates via telephone as proved effective on the SI Community Sector Program.

Field evaluations

Support will be provided to RWSS/HPU to conduct field evaluations to assess the extent to which WASH activities are getting results. These evaluations will be used to address performance questions given in the performance management framework such as:

What are the user perceptions (women, men, girls, boys, poor and people with a disability) of functionality, reliability and quality of Watsan facilities?

Have some water supply systems been more successful than others? Why?

How are women involved in planning, operation and maintenance of Watsan in this community? Do they have real influence in decision making?

The results of the field evaluations will be used to improve the design and delivery of WASH activities.

Joint monitoring visits

SIACWSI will provide support for multi-partner monitoring activities including joint monitoring visits to rural communities implementing WASH activities. These activities will provide an opportunity for information sharing and contribute to improving sector coordination.

Organisation Capacity Assessment Tool (OCAT)

There is a risk when implementing a SWAp that the capacity of the partner government to manage and implement a large investment has been underestimated. As discussed earlier, the prerequisites for applying a SWAp approach to the WASH sector in the Solomon Islands are not entirely in place. This is recognised in the design and aid will be provided to the SIG within an agreed framework of conditionalities thereby helping to strengthen government systems through "learning by doing".

To support this continuous learning approach, an organisational capacity assessment tool will be developed to assist RWSS/HPU to reflect on how their capacity development is progressing and where additional assistance may be required. The tool will be based on self assessment in the following capacity areas: human resources management; gender equality; financial management; service delivery, strategic management and sector coordination. There are a number of different OCATs available that could be readily adapted for use by the SIG. Probably the most "fit for purpose" is the tool developed for the East Timor Department for Water and Sanitation by the AusAID funded East Timor RWSSP. This tool uses a series of progress markers to assess progress towards achieving desired organisational outcomes within each capacity area. An example of this is given in Table 2.

Table 2: Progress marker example

Desired organisational outcome	Progress Markers	Rating		
		Not in place	**In place but not extensively in use**	**Working**
RWSS identifying and developing policies and guidelines that are applied to all activities in the WASH sector ensuring that diverse needs are met	**Is it in place?**			
	• Responsibilities for policy development are defined			green
	• Required polices are being developed using participatory methods that include women and are considerate to the application of customary and gender equity			green
	• Regulations supporting RWASH policies are developed, gazetted and disseminated		amber	
	Is it working?			
	• WASH policies and guidelines are being applied and adhered to across the sector	red		
	• Procedures for monitoring adherence to policies are in place and are being used	red		
	• Lessons learned from the implementation of WASH activities are informing policy review and development	red		

Research studies

SIACWSI will support the implementation of research studies to provide evidenced-based data to inform WASH policy and program implementation. These baseline studies will address fundamental questions in the performance management framework such as:

1. Are the barriers to hygiene related behaviour change for women, men, boys and girls understood?

2. Have some sanitation approaches been more successful than others for different groups in the community? Why?

3. Have some water supply systems been more successful than others for different groups in the community? Why?

It is proposed to use a social research unit from an Australian university to conduct surveys in representative villages. The research unit would also train RWSS and HPU staff in the survey techniques to facilitate future surveys for monitoring purposes including an end-line survey to be completed in the final year of implementation.

WASH database

A WASH database will be developed during Year 1 of the program to support initiatives to improve planning, management and sector coordination. The database will be used to capture and report the majority of the quantitative indicators in the performance management framework. The system will be developed using mainstream software (such as Microsoft Access) and will be centralised in EHD, Honiara. The database will include standardised reports to promote feedback of results to provincial staff and other sector actors. The scope of the database will be initially limited to the basic information required for planning and coordination. Data will be sex, age, and locality disaggregated. Future options will include expanding the database to capture engineering data e.g. location of networks, flow rate measurements etc.

Communication and learning

Operational monitoring reports

SIACWSI will assist RWSS/HPU to establish simple protocols, formats and responsibilities to monitor the implementation of program activities against annual work plans. Standardised reports will be included in WASH database to support this process. Support will also be given to establishing an issue tracking system to make sure that issues arising during implementation are identified and addressed.

Sector reports

SIACWSI will support RWSS to work with other sector actors to establish protocols, formats and responsibilities for sector-wide reporting. The initial focus will be on identifying who is doing what, where? RWSS will work with sector actors to agree on which indicators in the performance management framework will be adopted for sector-wide reporting and how this data will be captured using the WASH database.

In the future, once reporting systems are in place and working, greater emphasis will be placed on analytical analysis and benchmarking of data to improve sector performance e.g. why is this province performing better than others?

Reports to AusAID

SIACWSI will work with AusAID post to design progress reporting formats that are suitable for the purposes of AusAID performance management at country-program level and above. Broadly, AusAID will need to know:

- Whether the initiative is making satisfactory *progress* towards achieving *sustainable outcomes*

- What have been the quality and reach of *key outputs* of the initiative in the reporting time frame?

- If the initiative is making adequate *implementation progress* against the annual plan and budget

The general approach to progress reporting should be analytical, rather than detailed descriptions of what has been delivered. Reports should also include an analysis of women's involvement, influence and benefits differentially to men's.

Critical reflection and learning

Performance management data will only help the program it is used in structured critical reflections with relevant stakeholders. Critical reflection requires asking "Why?", "So what?" and "Now what?" after M&E data shows what has happened. SIACWSI will support critical reflection and learning in the following ways:

- Quarterly meetings with RWSS/HPU managers and key provincial staff to review progress towards achieving outcomes, issues arising and lessons learnt;

- Annual sector reviews with key sector partners to reflect and refocus and increase clarity and consensus about how to redress problems and build on successes;

- Review of progress reports by the Program Steering Committee to consider implications of the reports and recommend actions to address issues and improve performance;

- Evaluation studies to provide evidence-based data to answer questions such as:

  - Are the barriers to hygiene related behaviour change for women, men, boys and girls understood?

  - Have some sanitation approaches been more successful than others for different groups in the community? Why?

  - Have some water supply systems been more successful than others for different groups in the community? Why?

- Field evaluations to assess the extent to which WASH activities are getting results for different groups within the community; and

- Organisational capacity assessments that provide a structured learning opportunity for RWSS/HPU to reflect on progress towards achieving improved organisational outcomes.

Competencies

The performance management system requires skills at a range of levels. These will become more apparent during implementation but are likely to include the following inputs of specialist expertise and skills building exercises to ensure that the monitoring, evaluation, reporting and continuous learning functions of SIACWSI are adequately conducted (Table 3).

Table 3: Key competencies

Function	Competency	Input
System design and skills building	RWSS/HPU managers skilled in performance management system	Monitoring and evaluation specialist input
Monitoring	RWSS/HPU female and male staff able to carry out regular monitoring of indicators using tools such as the project site diary	Training for RWSS/HPU managers and field staff. Monitoring and evaluation specialist input to train selected staff who then train others
	Staff responsible for database management able to enter and validate data, conduct data analysis and generate reports	Monitoring and evaluation specialist and information management specialist inputs to design, develop and implement the database
	RWSS/HPU managers able to work with sector partners to identify sector-wide indicators and reporting formats	Monitoring and evaluation specialist inputs
Evaluation	Specialist evaluation skills in both quantitative and qualitative analysis of monitoring results and program outputs/outcomes. Sex balance of evaluators is critical.	Monitoring and evaluation specialist inputs
	RWSS/HPU female and male staff able to conduct surveys on behaviour change, user perceptions of Watsan facilities etc.	Australian university inputs
	RWSS/HPU female and male staff able to conduct field evaluations using techniques such as focus groups, semi-structured interviews etc.	Monitoring and evaluation specialist input to train selected staff who then train others
	EHD staff responsible for human resources development able to conduct organisational capacity assessments that are inclusive of gender equality	Monitoring and evaluation specialist inputs
Reporting	Coherent reporting from: province level to national level; from RWSS/HPU	Long term technical adviser to assist managers and officers

Function	Competency	Input
	managers to Program Steering Committee and AusAID; and from sector actors to sector working groups	prepare reports against an agreed schedule and conforming to agreed templates
Adaptive management	RWSS/HPU management responsive to performance monitoring and evaluations	Long term technical adviser and specialist inputs to assist RWSS/HPU managers to adapt the program design in consultation with partners, making changes to improve efficiency and impact

Cross cutting issues

The cross-cutting issues that will be monitored during implementation are: poverty; gender; disabled persons; child protection; and environment.

Women's participation at all levels of decision making will be encouraged and assessed – in the program team, in the responsible ministries, in the evaluation teams and at community level. A sex balance of advisers and team members will be actively sought. Program personal will receive gender training relevant for Watsan initiatives (including information about HIV and AIDS[2]).

Capacity development plans will be inclusive of building capacity in understanding the importance of gender issues in the delivery of effective Watsan services. The evaluation teams will be trained in gathering data appropriately from women, men, girls and boys (e.g. separate meetings, matching a female with women's and girls' focus groups etc).

The program will support human resource (HR) capacity development within Ministries that is in line with the new SIG Code of Conduct and the new HR Management Strategy.

To ensure that cross cutting issues are being properly addressed, field monitoring will include activities to confirm that:

- Socially inclusive community engagement processes that involve all groups in the community are being implemented;

- Adherence to conditionalities in the agreement between communities and RWSS requiring a minimum representation of women (at least 30%) as a village technicians, and an equitable representation of women on the village committee managing the maintenance fund;

- Disabled persons in the community are being consulted on Watsan design features and that their needs are being addressed;

- Girls and boys of school age are not being exploited in the provision of Watsan goods and services; and

- Environmental guidelines for the construction and operation of Watsan facilities are being adhered to.

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[2] Where there are male field workers with access to cash, the risk of contracting sexually transmitted diseases, including HIV, increases so it is important that field workers are trained in minimising the risk of contracting or spreading diseases.

In addition to the above, field evaluations will be conducted to ascertain user perceptions (including women, men, girls, boys, poor, and people with a disability) of the functionality, reliability and quality of Watsan facilities in the community.

All baseline, endline and monitoring data will be disaggregated by sex and target social groups.

Performance management system implementation

An implementation plan for the performance management system will developed in consultation with RWSS and HPU at the start of program implementation. Implementation will be deliberatively inclusive of men and women throughout. Indicative activities to establish the system are given in Table 4:

Table 4: Indicative activities to establish the performance management system

System element	Main activities
Performance management system design	• Train RWSS managers in performance management system design • Work with sector groups to establish indicators, protocols, formats and responsibilities for sector-wide reporting • Explore opportunities with EHD to include standardised questions on access for all to safe water, access to improved sanitation and hygiene indicators in future demographic health surveys • Finalise the performance management system design
Field data collection	• Establish protocols and formats for RWSS/HPU field monitoring and issue tracking • Train RWSS/HPU staff in monitoring and reporting
Baseline surveys	• Train RWSS/HPU staff in survey design techniques • Develop and conduct baseline surveys on hygiene behaviour, use and maintenance of Watsan facilities • Report results to key stakeholders
WASH database	• Prepare system specifications • Develop and test prototype • Complete database development and train operators • Train RWSS/HPU managers in using data contained in the database • Review system
Organisational capacity assessment	• Assist EHD staff responsible for human resources management to develop an organisational capacity assessment tool that is inclusive of gender issues (OCAT) • Conduct baseline OCAT

System element	Main activities
Field Evaluations	• Train RWSS/HPU female and male staff in field evaluation techniques • Develop field evaluation tools • Conduct first round of field evaluations and report results to stakeholders

Documents

AusAID, 2009. Draft AusAID Water and Sanitation Strategy Performance Management System

EHP, 2005. Strategic Report 8, Assessing Hygiene Improvement, Guidelines for households and community levels. Environmental Health Project, US Agency for International Development

JMP, 2006. Core Questions on Drinking-Water and Sanitation for Household Surveys. World Health Organization (WHO) & United Nations Children's Fund Joint Monitoring Programme for Water Supply and Sanitation

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Annexes

Annex 1: SIACWSI logical framework

	Description	Performance Indicators	Means of Verification	Assumptions
	SIACWSI Goal Improve health and quality of life for the rural poor of the Solomon Islands	Number of additional locations with hand washing facilities and soap Number of additional communities with %100 percent open defecation free environments % of children < 5 years old with diarrhoea in the last 2 weeks	Hygiene and behavioural studies Demographic health surveys Hygiene and behavioural studies Hygiene and behavioural studies Hospital and clinic records Demographic health surveys	
	SIACWSI Purpose Improve capacity of the sector to respond to community needs and improve progress towards the MDG 7 target	Number of additional people with access to an improved water source Number of additional people with access to improved sanitation facilities Number of additional schools with water, sanitation and hand washing facilities	MHMS national reports on MDG 7 MHMS national reports on MDG 7 MEHRD records	SIG commitment to the provisions of the Partnership for Development
1	**Component 1: Increase coverage of WASH in rural areas**			
	Outcome: An increased number of people in rural areas using an improved water source and improved sanitation facility	Proportion of population in targeted communities using an improved water source Proportion of population in targeted communities using an improved sanitation facility Number of additonal schools in targeted areas with access to an improved water source Number of of additional schools in targeted areas with access to improved sanitation facilities Number of schools in targeted areas with separate toilets for boys and girls	WASH database WASH database WASH database WASH database MEHRD records WASH database	Adequate supply of partners (and competent organizations) able to comply with government guidelines to deliver Watsan services Communities understand the need for and request assistance in improving access to safe drinking water and basic sanitation Communities willing to develop Watsan facilities in schools

	Description	Performance Indicators	Means of Verification	Assumptions
	Outputs:			
1.1	Increased funding allocated	% of WASH investment delivered through RWSS financial management and procurement systems	MHMS financial and audit reports	MHMS finance and procurement systems are adequate to support the delivery of WASH services to rural areas
1.2	A community owned, socially and gender inclusive process to plan, implement and monitor WASH activities	Number of communities where improved participatory planning and implementation processes are being used	WASH database	All sections/representatives of the community (including women and most economically vulnerable) are able to come together to plan and implement WASH activities Sufficient numbers of skilled staff are available to support community engagement activities An effective community engagement model has been developed and tested
1.3	RWSS working with development partners and service providers to deliver Watsan programs	Number of improved water supply systems and improved sanitation facilities under respective programs	Completion reports by NGOs and other development partners	NGOs and other development partners work in accordance with RWSS strategy and standards
2	**Component 2: Improve sector coordination, capacity and equity**			
	Outcome: RWSS and HPU coordinating the sector-wide delivery of WASH activities to rural areas **Outputs:**	Sector-wide plans developed, implemented and reviewed Proportion of WASH Investments delivered through a coordinated sector plan	RWSS reports RWSS reports	Reform measures and sector improvements have ownership within SIG
2.1	Policy, strategic, legal and institution frameworks approved	Approval of national policy, sector strategy, and institutional reform plans % of RWSS/HPU establishment in place % of RWSS/HPU management positions occupied by women	Ministerial directives RWSS reports RWSS reports	Ownership of reforms by SIG Sufficient time and resources available during policy formulation for sector wide participation

	Description	Performance Indicators	Means of Verification	Assumptions
2.2	Improved planning and implementation frameworks	A process and structure has been formed for the regular development and review of sector plans	MHMS directives and regulations	Staff of key implementers are adequately skilled, including gender and disability issues
		Guidelines developed using participatory methods that include women and are considerate to the application of customary law and gender equality	Review of guidelines	
		Number of development partners applying national guidelines for WASH delivery	Sector planning group reviews	
2.3	Simple but effective M&E tools to support sector planning, monitoring and evaluation	Data collection tools for monitoring WASH activities are developed and used	Monitoring and evaluation reports	Sector actors are willing to systematically collect and provide data
		WASH database in place with data formally reported to the sector and adopted for MDG assessment	WASH database reports	
		Number of RWSS provincial offices and development partners using standardised M&E tools to monitor and evaluate the implementation of sectors plans	Sector planning group reviews	
2.4	RWSS as the effective focal point for the sector	RWSS's role as sector focal point supported by legislative changes	RWSS reports to the Audit and Finance Committee	Effective and sustained relationships between RWSS and key sector actors
		Improvements in the organizational capacity of RWSS to coordinate the sector	Annual assessments of organisational capacity	
3	**Component 3: Establish sustainable and inclusive operation and maintenance models**			
	Outcome: Targeted communities able to operate and maintain Watsan facilities using available resources	% of Watsan facilities fully operational after 3 years	WASH database	Communities can mobilize resources to support O&M
		% of targeted communities with functioning WASH committees	WASH database	
	Outputs:			
3.1	Fees for sustainable O&M introduced	% of targeted communities with O&M funds established and functioning	WASH database	Communities are able to afford and manage fees
		% of women members in WASH committees in targeted communities (at least 30%)	WASH database	Men will support the equitable participation of women in decision

	Description	Performance Indicators	Means of Verification	Assumptions
				making
3.2	Communities skilled in O&M	Number of female and male community members trained in O&M (at least 30% women)	WASH database	Trained resources are retained in the community Men will support the equitable participation of women in O&M
3.3.	Rehabilitation of Watsan facilities	Number of additional people in targeted communities using an improved water source through the rehabilitation of old systems	WASH database	Communities maintain the ownership of Watsans
4	**Component 4: Establish sustainable systems for improved hygiene awareness and develop demand for socially inclusive sanitation**			
	Outcome: People in targeted schools and communities demonstrating good hygiene practices – especially the use of latrines and hand washing **Outputs:**	Number of targeted communities with %100 percent open defecation free environments % of households in targeted communities with a hand washing facility and soap that is being used. Number of schools in targeted areas with hand washing facilities and soap that are being used	Hygiene and behavioural studies Hygiene and behavioural studies School visit reports	Cultural barriers to hygiene behaviour change are understood and addressed
4.1	Enhanced awareness in schools and communities	Number of schools with health promotion programs that include a hygiene behaviour change component Number of communities participating in hygiene behaviour programs	School visit reports MEHRD records WASH database	MEHRD will support the introduction of a hygiene awareness component to the school curriculum
4.2	Resources for hygiene awareness and education available at the provincial level	% of WASH funds directed to provincial hygiene activities Number of provincial staff (women and men) accredited in hygiene awareness and education	EHD financial reports RTC certificates	People requiring training obtain approval and time to participate in training Employment conditions are adequate to retain staff in the long term

Annex 2: Performance management framework indicators and questions
(All data disaggregated by sex and target group where possible)

Indicator/Performance Question	Description	Information Source
Goal: Improve health and quality of life for the rural poor of Solomon Islands		
1 Number of additional locations with a hand washing facilities and soap	Based on UNICEF/WHO JMP surveys which include three questions on presence of hand washing facilities (place where people most often wash hands, whether water is available at this place, whether soap or detergent is available at this place)	Hygiene and behavioural studies Demographic health surveys
2 Number of additional communities with %100 percent open defecation free environments	In rural areas, achievement of "open defecation free" significantly increases public health outcomes and this indicator measures a collective behaviour change towards use of sanitation facilities.	Hygiene and behavioural studies Procedures for declaring a community open defecation free to be determined by RWSS/HPU
3 % of children < 5 years old with diarrhoea in the last 2 weeks	Based on EHP and uses recall of primary caretaker	Hygiene and behavioural studies Hospital and clinic records Demographic health surveys
Purpose: Improve capacity of the sector to respond to community needs and improve progress towards the MDG 7 target		
4 Number of additional people with access to an improved water source	Based on UNICEF/WHO JMP definitions of an improved drinking water source	Data collected using RWSS site diaries and stored in WASH database Demographic health surveys (for national coverage)
5 Proportion of population in rural areas using an improved sanitation facility	Based on UNICEF/WHO JMP definitions of an improved sanitation facility	Data collected using RWSS site diaries and stored in WASH database Demographic health surveys (for national coverage)
6 Number of additional schools with water, sanitation and hand washing	Based on UNICEF/WHO JMP definitions of an improved drinking water source and improved sanitation facility	MEHRD records
Component 1: Increase coverage of WASH in rural areas		
1.1 Proportion of population in targeted communities using an improved water source	Based on UNICEF/WHO JMP definitions of an improved drinking water source.	Data collected using RWSS site diaries and stored in WASH database
1.2 Proportion of population in targeted communities using an improved sanitation facility	Based on UNICEF/WHO JMP definitions of an improved sanitation facility.	Data collected using RWSS site diaries and stored in WASH database
1.3 Number of additional schools in targeted areas with access to an improved water source	Based on UNICEF/WHO JMP definitions of an improved drinking water source. This data should also be used to identify schools that meet minimum education standards for water (ratio of drinking taps to students)	Data collected using RWSS site diaries and stored in WASH database Options for establishing national data collection for this indicator

	Indicator/Performance Question	Description	Information Source
			will be explored with MEHRD
1.4	Number of additional schools in targeted areas with access to improved sanitation facilities	Based on UNICEF/WHO JMP definitions of an improved sanitation. This data should also be used to identify schools that meet minimum education standards for sanitation (ratio of toilets to students)	Data collected using RWSS site diaries and stored in WASH database Options for establishing national data collection for this indicator will be explored with MEHRD
1.5	Number of schools in targeted areas with separate toilets for boys and girls	Indicator for the number of schools where girls have access to Watsan facilities that better meet their specific feminine hygiene needs and physical needs for safety	Data collected using RWSS site diaries and stored in WASH database Options for establishing national data collection for this indicator will be explored with MEHRD
1.6	% of WASH investment delivered through RWSS financial management and procurement systems	Indicator of the effectiveness of RWSS in delivering WASH programs. The percentage of total WASH funds for sanitation and hygiene activities will be reported to ensure a balance between water, sanitation and hygiene investment	MHMS financial and audit reports
1.7	Number of communities where improved participatory planning and implementation processes are being used	Effective community engagement is critical to the success of WASH activities.	Data collected using RWSS site diaries and stored in WASH database
Q1.1	Have some water supply facilities been more successful than others for different groups in the community? Why?	The failure rate of rural water systems in the Solomon Islands is very high (>50%). Factors contributing to the poor sustainably of systems must be understood and addressed in system design and implementation	Baseline survey to assess the success and failure of existing systems in terms of key water supply characteristics: access, water quality, reliability cost and management.
Q1.2	Have some sanitation approaches been more effective than others for different groups in the community? Why?	Sanitation coverage is very low in the Solomon Islands and the reasons for this need to be clearly understood and addressed in program delivery. Various approaches to delivery improved sanitation need to be considered e.g. Community Led Total Sanitation (CLTS) "zero hardware" approach versus subsidy-based approaches	Hygiene and behavioural studies Assessment of other sanitation approaches used in the region e.g. CLTS program supported by East Timor RWSS
Q1.3	What are the user perceptions (women, men, boys, girls, poor and people with a disability) of functionality, reliability and quality of Watsan facilities in this community	User perceptions provide important evidence of change in the functionality, reliability and quality of water supply and sanitation facilities in a community. Focus group discussions will be used during mid-term and completion evaluations to address this question	Field evaluations conducted mid-term and at project completion
Q1.4	Is the attendance rate of girls improving as a result of improved sanitation facilities in schools	Across the developing world, the lack of appropriate and adequate sanitation facilities prevent girls from attending school, particularly when they are menstruating. There is evidence to show that girls' attendance increases once	Hygiene and behavioural studies Field evaluations

Indicator/Performance Question		Description	Information Source
		hygiene, water-sanitation facilities are available.	
Component 2: Improve sector coordination, capacity and equity			
2.1	Proportion of WASH investments delivered through a coordinated sector plan	Ratio of WASH funding delivered through a coordinated sector plan to total WASH funding in the Solomon Islands	RWSS reports
2.2	Number of development partners applying national guidelines for WASH delivery	Used to identify the guidelines that are not being applied and may require review	Sector planning group reviews
2.3	% of RWSS/HPU establishment in place	Leading indicator of capacity of RWSS/HPU to deliver WASH services	RWSS Reports
2.4	% of RWSS/HPU management positions occupied by women	Indicates whether or not gender equality is being addressed	RWSS Reports
2.5	Number of RWSS provincial offices and development partners using standardized M&E tools to monitor and evaluate the implementation of sector plans	Definitions of access to water, sanitation etc. often vary across donors and sector actors. Similarly data collection formats used by various actors are often different thus making it difficult benchmark progress towards achieving MDGs	Sector planning group reviews
Q2.1	To what extent has RWSS institutional capacity been developed to function as a sector focal point and implement large scale WASH programs?	Institutional capacity focuses on the ability of an organization to influence, obtain resources and deliver results This performance question will be addressed by an annual organizational capacity assessment (OCA) that focuses on key areas of organizational capacity	Organisational capacity assessment tool
Q2.2	To what extent are women participating in sector coordination and decision making?	Determines whether or not gender equality is being addressed in organisational development and sector coordination.	Organisational capacity assessment tool
Component 3: Establish sustainable and inclusive operation and maintenance models			
3.1	% of Watsan facilities fully operational after 3 years	Used to assess the sustainability community water systems	Data collected using RWSS site diaries and stored in WASH database
3.2	% of targeted communities with functioning WASH committees	A functioning water committee is critical to the sustainability of Watsan systems. A functioning committee indicates that the community engagement and preparation was successful	Data collected using RWSS site diaries and stored in WASH database
3.3	% of women members in WASH committees in targeted communities (at least 30%)	Women often have particular roles in household WASH and their needs and insights are essential for sustainable planning, operation and maintenance of Watsan facilities	Data collected using RWSS site diaries and stored in WASH database
3.4	% of targeted communities with O&M funds established	Sustainable systems have sufficient recurrent funding to meet operation and	Data collected using RWSS site diaries and stored in WASH

	Indicator/Performance Question	Description	Information Source
	and functioning	maintenance costs	database
3.5	Number of female and male community members trained in O&M (at least 30% women)	For systems to be sustainable it is critical that there is sufficient expertise for ongoing operation and maintenance	Data collected using RWSS site diaries and stored in WASH database
3.6	Number of additional people in targeted communities using an improved water source through the rehabilitation of old systems	Based on UNICEF/WHO JMP definitions of an improved drinking water source.	Data collected using RWSS site diaries and stored in WASH database
Q3.1	How are women involved in planning, operation and maintenance of Watsan in the community? Do they have real influence in decision making?	The performance question addresses how women are involved in the planning process and the extent to which their needs have been heard and responded to (for instance, in placement of infrastructure)	Field evaluations
Component 4: Establish sustainable systems for improved hygiene awareness and develop demand for socially inclusive sanitation			
4.1	Number of targeted communities with %100 percent open defecation free environments	In rural areas, achievement of "open defecation free" significantly increases public health outcomes and this indicator measures a collective behaviour change towards use of sanitation facilities.	Procedures for declaring a community open defecation free will be determined by RWSS/HPU
4.3	% of households in targeted communities with a hand washing facility and soap that is being used	Based on UNICEF/WHO JMP surveys which include three questions on presence of hand washing facilities (place where people most often wash hands, whether water is available at this place, whether soap or detergent is available at this place)	Hygiene and behavioural studies
4.4	Number of schools in targeted areas with hand washing facilities and soap that are being used	This data should also be used to identify schools that meet minimum education standards for hand washing facilities (ratio of hand washing facilities to students)	School visit reports
4.5	Number of schools with health promotion programs that include a hygiene behaviour component	Measures the extent to which hygiene is promoted in schools	School visit reports MEHRD records
4.6	Number of communities participating in hygiene behaviour programs	Used to monitor the implementation of behaviour change programs in communities	Data collected using RWSS site diaries and stored in WASH database
4.7	% of WASH funds directed to provincial hygiene activities	The ratio of WASH funds for hygiene to total WASH funds. Ensuring a balance between hygiene, water supply and sanitation is important if the SIACWSI goal is to achieved	EHD financial reports

	Indicator/Performance Question	**Description**	**Information Source**
4.8	Number of provincial staff (women and men) accredited in hygiene awareness and education	Use to determine if sufficient skilled resources are available at provincial level to deliver hygiene programs	MEHRD Regional Training Centre Records
Q4.1	Are the barriers to hygiene related behaviour change for women, men, girls and boys understood?	Hygiene promotion is a complex field and there are many different approaches with varying results in different cultures. Understanding the barriers to behaviour change is critical to the success development and implementation of successful programs	Hygiene and behavioural studies