

Governance and Transparency Fund

Developing Southern Civil Society advocacy in water and sanitation in sub-Saharan Africa, South Asia and Central America

Annual report 2010/11



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Acronyms

ACORD	Agency for Cooperation and Research in Development
AWSDDB	Association of Water and Sanitation Development Boards
CAEPHA	Coalition for Access to Water, Sanitation and Hygiene
CN-CIEPA	National Steering Committee for the International Campaign for Water, Sanitation and Hygiene
CSO	Civil Society Organisation
ENACAL	Nicaraguan State Enterprise of Aquaducts and Sewers
FANCA	Freshwater Action Network – Central America
INNA	Nicaraguan Institute of Aquaducts and Sewers
KEWASNET	Kenya Water and Sanitation CSO Network
LMDGI	Local Millennium Development Goals Initiative
MARI	Modern Architects for Rural India
MPDO	Mandal Parishat Development Officer
NAPE	National Association of Professional Environmentalists
NREGA	National Rural Employment Guarantee
NREGS	National Rural Employment Guarantee Scheme
IBP	International Budget Partnership
PROSEA	Programme Sectoriel Eau et Assainissement (Water and Sanitation Sector Plan – Mali)
PRSP	Poverty Reduction Strategy Papers
RICHE	Information and Communication Network on Water, Hygiene and Sanitation
RE MID	Malian Network for Integrity and Dialogue
RTI	Right to Information Act
SACOSAN	South Asia Conference on Sanitation
SATHEE	Society for Advancement in Tribe, Health, Education and Environment
SWA	Sanitation and Water for All
UWASNET	Uganda Water and Sanitation Network
WASH	Water, Sanitation and Hygiene
WEIN	Women Empowerment Initiative Nigeria
WIN	Water Integrity Network

1 Executive summary

This annual fiscal year, which covers April 2010 to March 2011, was marked by some significant achievements at all levels in terms of our governance work and in contributing to our set objectives and organisational aims.

Over the past year there have been significant improvements in the capacities of our local partners in terms of strengthening their organisational capacities to engage more effectively with duty bearers in decision-making processes at all levels. There have also been notable increases in partners' resources and skills in areas such as governance advocacy and policy influencing, communication, negotiation and other areas of work which has been crucial in influencing duty bearers and ensuring sustainability of the programme's achievements at all levels.

Partners at local and national levels have thrived in increasingly engaging with governments and service providers which, in some cases, has led either to improved WASH services for the most marginalised. In countries such as Ethiopia and Mali, our partner CSOs have improved and/or strengthened their relationships with duty bearers in the WASH sector. Moreover, in India, the use of the Right to Information (RTI) Act has played a crucial role in addressing corruption and in improving access to WASH for the most excluded communities (for example, the dalhits). In Central America, our partners have supported community water boards in their use of the 'populist initiative' to have a water bill passed by Congress.

Most countries have also shown progress in better informing citizens about their rights to WASH, and empowering them to demand more accountability and responsiveness from duty bearers. One of our greatest successes has been the use of community-based radio programmes in Uganda and local public hearings in Mali. These have been crucial in empowering citizens to demand their rights to WASH and to address some key sector blockages.

From a supply-side perspective, duty bearers in targeted countries have shown a willingness to be more accountable to end users. Their capacity to deliver sustainable and equitable services to marginalised groups has been strengthened by our local partners. This has definitely improved the accountability and responsiveness of duty bearers using the ongoing decentralisation process, for example in Mali with the institutionalisation of public hearings and in Nigeria with the Local Development Process (see case study 1).

This reporting period has also been characterised by the halfway point of our programme. An independent mid-term review exercise was conducted to reflect on our programme implementation and assess the contribution to our overall governance work. It led to critical findings mainly related to the impact and effectiveness components of the programme. Recommendations were made by the review team and it was unanimously agreed by the group to address the gaps identified in order to ensure we maximise the impact of our GTF programme within and beyond the project's lifespan.

2 Contribution to organisational aims

In this third year of implementation, our GTF programme has made considerable progress towards improving accountability and responsiveness of duty bearers at all levels. These achievements, which contributed significantly to the progress made against our organisational strategy, were made possible through an increase in the capacity of Civil Society Organisations (CSOs) – one of the key underlying principles of the programme. As described in last year's Annual Report, the four GTF programme objectives constitute an integral part of our organisational strategy.

Aim 1: We will promote and secure poor people's rights and access to safe water, improved hygiene and sanitation

Output 1: *Strong and well-functioning CSOs and CSO networks capable of influencing the design, implementation and evaluation of effective WASH policies at all levels.*

Partners carried out activities to address the gaps identified in the Capacity Needs Assessment (based on the 7S framework) conducted at the beginning of the programme by each partner. This Capacity Needs Assessment was intended to identify organisational gaps at partner level that the programme would aim to address in order to achieve the programme's objectives and sustainability of the actions and services once funding stops. There has been a wide range of activities including training in various areas such as policy influencing and advocacy, governance issues and finance management, as well as exchange visits, staff recruitment, strategy development and development of systems such as a website, regular newsletter and member/phone directories etc. These various activities have contributed, in most cases, to raising the profile and credibility of our local partner organisations and resulted in them playing a more important role in WASH sector discussions – engaging more in decision-making processes at all levels. This increase in partner skills in areas such as governance advocacy and policy influencing, communication and negotiation etc has been crucial in influencing duty bearers and ensuring sustainability of the programme's achievements at all levels.

For most local partners involved in the programme, the GTF, which constituted their only funding at the beginning of the programme, has been an opportunity to let relevant staff have access to a building where they could operate from and develop strong and effective systems through the development of websites, newsletters etc. This significant change in terms of resources has been critical for their influencing work.

In **Madagascar**, the Regional Committee – **Diorano WASH Analamanga** – have developed an effective monitoring and evaluation system, capitalised on successes, supported the identification and capacity building of WASH stakeholders in the region, organised training workshops and exchanges, issued publications, and developed a synergistic collaboration at regional level.

Although the Capacity Needs Assessment was meant to be used as a framework for partner capacity, after an assessment conducted during the reporting period it was found that in most countries and with some local partners, the Capacity Needs Assessment was either not as comprehensive or detailed as it should have been or was not used as a reference or basis for any capacity development related activities.

Output 2: CSOs, including those representing marginalised groups, are effectively engaging in decision-making processes affecting the WASH sector.

Over the past year, there has been increasing engagement by our partners in decision-making processes at all levels across the programme, with clear evidence of duty bearers being more accountable and responsive to the needs of citizens in terms of access to WASH. It is worth pointing out that this output derives from the achievements of Output 1. For example, partners in **Uganda** have participated in WASH coordination committee meetings at local level that have then fed into national level joint sector review meetings and CSO sector contribution reports. In **Mali** and **Ethiopia**, our partners played a crucial role in organising multi-stakeholder fora to discuss and take decisions on WASH related issues which, for example, led to better synergy of actions in Mali and better implementation of the national WASH plan (PROSEA) by the Government.

The achievement of this output has also provided an opportunity to ensure that the concerns of the poorest and most marginalised are taken into consideration in policies and practices. In **India**, the RTI Act and social audits, which have been increasingly and systematically used by the poorest and most marginalised communities, were combined with a strong media

partnership in all our programme areas. All of these actions produced tangible evidence of change and impact in our governance advocacy work and in increasing the participation of CSOs in decision-making processes at all levels.



GTF partners in Uganda mobilised communities in the urban poor settlement of Kawempe, Kampala City, to demand for pro poor WASH services during World Water Day 2011.

Output 3: Informed and empowered people are better able to demand accountability and responsiveness from governments and service providers in the WASH sector.

Different innovative approaches were used to better inform people of their rights to WASH and empower them to demand more accountability and responsiveness from duty bearers. To that end, the use of the media as a critical means has been significant and crucial. For example, community-based radio programmes in **Uganda** have played a major role as a source of information and way for the community to voice their concerns, issues and rights that are then discussed and followed up by authorities. In **Burkina Faso**, our journalist network partner, Information and Communication Network on Water, Hygiene and Sanitation (**RICHE**), organised radio programmes to raise citizen's awareness of their rights to water and sanitation as well as publicise several newspaper articles on WASH issues. In **Central America**, various activities were conducted in order to inform and empower citizens to participate in decision-making platforms to demand more accountability and responsiveness from duty bearers. Among them, research on accountability mechanisms, simplification and dissemination of water codes across water boards and organisation of assemblies by water boards where activities and financial reports were presented to the municipal transparency commission.

Aim 2: We will support governments and service providers in developing their capacity to deliver safe water, improved hygiene and sanitation

Output 4: *Governments and service providers are more accountable to (willing and able) citizens and end users in the WASH sector.*

Over the past year there has been clear evidence of duty bearers being more accountable and responsive to their end users by providing relevant and quality WASH services. This output statement relies mainly on the fact that it is within the role and mandate of the state to deliver adequate and sustainable services to the poorest and most marginalised communities. For example, in **Ghana**, the various water boards now recognise the need for effective and sustained tracking of all expenditure and documenting of everything for use and accountability. In **India**, more than 150 applications have been filed by local communities under the RTI Act, demanding the necessary information to pursue their rights in the WASH sector. As a result, the Government has provided more information on budget and development plans and, in some communities, budgets for water and sanitation have been displayed in Panchayat offices.

As mentioned in our last report, in most of the targeted countries there are capacity gaps at national institution level in terms of skills and resources for addressing WASH issues. However, our GTF programme has been addressing some of these issues in relation to duty bearers' capacity to ensure the sustainability of the programme. In **Mali**, the PROSEA (WASH national plan), mainly funded by external donors, has suffered from a lack of capacity as a result of staff availability and bureaucratic procedures in the Government. However, the Annual Accountability Framework is a GTF initiative whereby civil society invites government technical departments to monitor the progress of the WASH national programme and provide recommendations on how to improve it. Through this process, the Government has been very responsive and engaged. In **Guatemala**, our work has shown significant improvement in influencing the Government by using legal instruments such as the People's Initiative mechanism and showcasing the positive experiences of the Village Development Committee for better sustainability of the resource.

In **Madagascar**, the programme has long suffered from the huge turn over at Anamalanga local government level. The local government has no mechanism for planning and feedback to ensure proper and effective implementation of projects funded at community level. With the GTF, local government is finding in the CSO partner the interlocutor it needs to exchange information to communities in the region, and to transmit the information to the grassroots level.

Aim 3: We will advocate for the essential role of safe water, improved hygiene and sanitation in human development

Over the past year, there have some clear examples of linkages with other sectors that have contributed to this aim. For example, in **India**, as part the implementation strategy, linkages were made with other key development sectors including education, housing and employment to ensure that improved WASH services for the most marginalised groups are improved. Another example is our partner **ACORD** in **Uganda** who have been able to link their water governance through the GTF programme with the HIV/AIDS programme they currently implement. This ensures that people living with HIV/AIDS are better informed and empowered to hold governments and service providers to account and participate actively in decision-making processes regarding their access to WASH services.

Although there are clear indications that the GTF programme contributed to this aim through various linkages at country level, this does not come out clearly in our planning and reporting. Over the next year we will endeavour to ensure that our programme shows a clear contribution to this aim.

Aim 4: We will further develop as an effective global organisation recognised as a leader in our field and for living our values

Our overall programme has seen its profile raised following the Department for International Development/KPMG/ Triple Line monitoring visit in three of our targeted countries: **Ethiopia**, **Uganda** and **Ghana**. These visits have provided us with an opportunity to share the evidence of change as a result of GTF funding as well as linking our programme with other grantees, for example, in Ghana. Likewise, our programme contributed significantly to various international fora such as the Local Millennium Development Goals Initiative (LMDGI) conference and the South Asian Conference on Sanitation (SACOSAN) by showcasing the global experiences of the GTF programme in ensuring increased accountability and transparency of duty bearers.

Throughout the year, our GTF programme has strengthened its collaboration with other organisations such as the Water Integrity Network (WIN) on issues related to water integrity and transparency, and the International Budget Partnership (IBP) to see how to get the most from each other. In both cases, the GTF programme has been used as a platform for organisational learning.

A mid-term review of our overall GTF programme was recently carried out by a team of external consultants. The objective of the exercise was to provide an opportunity to get *'an independent assessment on the progress and performance to date [...] and to identify the appropriate adjustments that need to be made to ensure the success of the programme at the end of the five years'*¹. The mid-term review led to some key findings and recommendations that will be covered throughout the report, mainly in relation to the effectiveness of our programme towards maximising our impact.

Furthermore, this third year of implementation witnessed the use of new innovative approaches that have been potentially critical to our objectives and contributed to the effectiveness of the programme. The innovations, which are classified in terms of processes, tools, technologies and finance, build on our experiences and conditions of operation across the programme. It is important to note that innovation can have different facets and considerations based on local contexts. In other words, an innovation in one project might not be considered as such in another. That does not, however, remove the value of the concept.

For example, in **Uganda** their community-based radio broadcasting programme is still considered an innovative, robust tool for water and sanitation governance. *'Unlike traditional interventions, community radio programmes are widely accessible across broad geographic areas, hence can create a multiplier effect beyond the target community, are inexpensive to scale up, allow immediate response on matters under discussion, can be delivered in a number of languages and can be tailored to a number of community [district] issues.'*²

In **Mali** our GTF partners set up 'intelligence and monitoring committees' comprised of technical experts from the executive bureau, organisation members and external people. These committees support the implementation of the programme by analysing strategic documents in relation to the sector, developing position papers and monitoring progress of the programme.

In **India**, two of our GTF partners, **Gram Vikas** and **MARI**, decided to work together in order to roll out the Movement and Action Network for Transformation in Rural Areas (MANTRA). This is an innovative approach developed by Gram Vikas which consists of providing access to good quality sanitation and water services such as toilets and bathing rooms and a 24 hour, seven

¹ WaterAid mid-term review ToR.

² WaterAid (2011) *Harnessing the power of community radio broadcasting to promote accountability, transparency and responsiveness of WASH service provision in Uganda*. Learning paper, WaterAid.

day a week water supply to poor people. This is done through a combination of government subsidy, Gram Vikas' subsidy and lobbying from MARI to the Government to provide additional parts. This has ensured 100% coverage for water and sanitation in the targeted communities and is being replicated by neighboring communities.

In **Central America**, our partners used the innovative 'negotiated approach' to policy and water legislation. This seeks to build consensus and offers alternative dispute resolution in areas of multi-sectoral dialogue in order to enable broad and equitable participation of all sectors involved in integrated water management. This approach complements the use of legal instruments that were used to legalise the water boards and present the water bill in **Nicaragua** and **Costa Rica** respectively. This approach has proven to be innovative across our GTF programme. For example, the People's Initiative Mechanism was used to present a bill to the Legislative Assembly in **Costa Rica** for the integrated management of water resources, and the water and sanitation committees (CAPs) law in **Nicaragua** which was adopted in May 2010.

3 Learning and case studies

Learning has played a crucial role in our programme since its inception and this has been acknowledged by our mid-term review.

Key factors that determine the ability of CSOs to have an impact on governance and transparency

The key determining factors for the ability of civil society to bring about changes in governance and transparency are underlined in our theory of change and therefore our hierarchy of objectives. There is a sense that civil society needs to increase their organisational capacities, which will then improve their effective engagement in decision-making processes through citizen awareness-raising of their rights and empowerment to demand more accountability and responsiveness from duty bearers. This has been the schema of interventions in place since the programme began and has proven its effectiveness by showcasing evidence of change across the programme. Moreover, this approach has been the most influential intervention strategy for bringing about meaningful social change at all levels.

However, there have been some discussions within our programme around GTF's focus on advocacy and strengthening civil society's ability to demand services through CSOs. *'In many cases our partner organisations are more traditional service delivery organisations who struggle somewhat to take on a larger advocacy role. Part of the problem is their recognition that working on aspects of governance and accountability can raise expectations of poor communities if not suitably linked up with other funded programmes that focus specifically on service providers' ability to meet these demands³.*

Can you attribute social change to your programme?

Although our GTF programme started only a couple of years ago and one could argue that it is too early to make an impact, there is some clear evidence of change in relation to accountability and responsiveness in a number of the countries our programme has contributed to. These changes, which are often at local levels, can be attributed in many cases to the GTF programme. However, *'it is not always easy [...] to identify all the changes brought about by the GTF programme or to be confident on the extent to which such changes could be deemed attributable to GTF because our 'programme is so well integrated in the other pieces of work that the implementing organisations are doing...'⁴*. The following are some examples of the most significant changes attributed to the GTF programme, with a high level of confidence from our mid-term review:

- GTF partners have been able to build relationships with technical departments and government officials which have led to an increased role of CSOs in decision-making processes. These processes include the Poverty Reduction Strategy Papers (PRSP) and joint sector reviews. **(Mali)**
- Advocacy by the National Steering Committee for the International Campaign for Water, Sanitation and Hygiene (**CN-CIEPA**) on blocks within the sector has led to revitalisation of the steering committee of the Water and Sanitation Sector Programme (PROSEA) which is the mechanism for coordination of the national sector. A civil society platform has also been created to feed into steering committee discussions. **(Mali)**

³ Extract from Big meeting 3 report.

⁴ Mid-term review report.

- Partner organisations have made efforts to strengthen people’s federations and joint monitoring committees in programme areas while ensuring participation of local federations and local governance members. This has resulted in enhanced government service delivery at village level. **(India)**
- Through the RTI Act more than Rs 7 crore⁵ of government resources has been leveraged for the delivery of WASH services to rural people. **(India)**
- Radio programmes have become platforms for the community to inquire about WASH government programmes and policies. **(Uganda)**
- The Uganda Water and Sanitation Network (**UWASNET**) has made governance a central focus in its advocacy work as well as establishing a parallel NGO working group on governance to directly feed into the sector working group on the same. **(Uganda)**
- CSOs are raising issues around water governance with clear and concrete proposals for solutions to the local elected decision-makers including the Mayor and local councillors. **(Madagascar)**

Access to human rights

The ‘backbone’ of our GTF programme is the rights-based approach in line with WaterAid and Freshwater Action Network (FAN) strategies. Through the programme we aim to raise awareness of citizens, with particular focus on the most excluded groups, on their rights to water and sanitation, and later empower them to put their demands to duty bearers who have the responsibility and mandate to provide these basic services. There has been strong evidence of the

contribution of our programme to the understanding of WASH as a human right over the past year and the increase in the demand of those rights at all levels as an underlying foundation to our programme. At global level and as mentioned in previous sections, most of our GTF partners contributed significantly to the international recognition of the right to water and sanitation through a UN resolution that was adopted in September 2010 and ratified by most of our GTF targeted countries.

This recognition at international level has given a certain legitimate and recognised framework to the countries’ governments and partners to use in order to strengthen water governance and accountability. At local level, our partner in Honduras strengthened the capacity of the local community water boards through training, advocacy and exchange of experiences in the presence of the media (through television forums on issues such as community management, water as a human right, Integrated Water Resource Management etc). This has supported the communities in using the UN resolution as a legal instrument to protest to the authorities against a hydroelectric project that threatens the sustainability of groundwater in their area and potentially jeopardises the availability of water resources for future generations.

Box 1

In India, training on the Right to Information Act (RTI) and advocacy processes conducted by our partners over the past year has helped targeted communities to develop their own strategies, submit increasing numbers of RTI applications and conduct state level campaigns using cultural troops in Andhra Pradesh or Jarkhand. In Jarkhand for instance, as a result of the RTI applications and state level campaigns, the high court has issued notices to two district magistrates to solve the drinking water issue. Likewise, other legal instruments in other sectors were also used (such as the Right to Education to ensure WASH services for children) as well as other government schemes such as the National Rural Employment Guarantee scheme (NREGA) or the Local Government and Housing Act.

⁵ 1 crore is equivalent to 10 million Rupees, or approximately £130,000.

Environmental governance

There are various examples across the programme of support given to local communities to increase their influence over natural resources which has resulted in an impact on livelihoods.

In **Ghana**, our partner, the Association of Water and Sanitation Development Boards (**AWSDB**), as a result of the GTF work, raised awareness of the need for traditional authorities in Gushegu, Yendi and Bongo to be involved in decision-making processes relating to their communities. Following this awareness-raising, the traditional authorities became actively and increasingly engaged in the dialogue process with the political leadership at local government level in relation to WASH issues. This led to service providers as well as other stakeholders, such as the town and country planning department, collaborating with community members to get every household connected to water systems.

Addressing corruption

Corruption has become a critical impediment to water governance over recent years and subsequently the delivery of WASH services for the poorest and most marginalised communities have suffered.

During the reporting period, a wide range of approaches were used at different levels to try and reduce either already existing corruption or the likelihood of corruption occurring, including community score cards, social audits, the use of the media, mapping and strategic alliances etc. At global level, and as mentioned above, our strategic collaboration with **WIN** has created opportunities to start the discussion (at organisational level) on the issues of corruption and its impact on WASH service delivery for the most excluded. For instance, this collaboration has resulted in the setting up of a national network to discuss water integrity and transparency issues among all sector stakeholders in **Mali** and a baseline study on the status of integrity in **Central America** with the active contribution of our partner the Freshwater Action Network – Central America (**FANCA**).

At national level there have been a few examples of anti-corruption actions initiated by our partners that have led to improvement in the access of services.

Box 2

In Kenya, our partner the Kenya Water and Sanitation CSO Network (KEWASNET), through close scrutiny of the activities of the Government, has identified malpractices in various sector institutions and shared the findings with the Minister for Water and Irrigation, the Permanent Secretary and the media. Through KEWASNET's efforts, it was possible to obtain facts on deep rooted corruption in one of the sector boards (Tana Athi Water Service Board). Whereas the Ministry was initially unwilling to take action when the issue was brought to its attention by KEWASNET, they were finally forced to act when the media and other anti-corruption agencies were involved. The resulting effect was that the Chief Executive Officer of the board was suspended and is currently under investigation.

Box 3

Example at local level: Using information technology as tools for advocacy in the village of Amarpur in Amarpur Panchayat of Godda district, India

The Indian Government department of Rural Water Supply has created a database related to village level delivery of its water and sanitation programme. The Indian Government website (www.ddws.gov.in) noted that there were 636 toilets in the Amarpur panchayat whereas our partner, the Society for Advancement in Tribe, Health, Education and Environment (SATHEE) and its team members could identify only 10-12 toilets and they were non functional. The village was informed of the discrepancies in the figures as a result of wider systemic corruption. The Gram sabha and Village Water and Sanitation Committee complained at district level and tried to claim the toilets and funding reported at national level. Following the disclosure of corruption, some of the district level officials went to the village and tried to, unsuccessfully, bribe the community to keep quiet.

The Gram Sabha filed a Right to Information request and the District Information Officer provided vague and unsatisfactory answers. Then a village level official tried to bribe the person who filed the Right to Information to keep him/her quiet. The local contractors and government officials also came to the village and threatened villagers and workers. On 5 January 2011, villagers called a Gram panchayat level meeting. At that meeting some outsiders came and once again threatened our partner's workers who were protected by the Gram panchayat. Following this situation, a group of villagers went to the District Level Development Commissioner (whom SATHEE describes as an 'honest, strict person') and initiated an official process to assess the 'real' situation. They are currently waiting to get the findings of this investigation before taking any action. However, if the findings are not satisfactory then the Gram panchayat has already decided to go to the state court.

In **Uganda**, our partner, the National Association of Professional Environmentalists (**NAPE**) has been promoting water users' multi-stakeholder dialogues in order to provide feedback on the actions taken by the advocacy committees to hold their leaders to account, mainly in the districts of Mukono and Kampala. One of the results of the dialogue meeting has been the agreement to have WASH budgets displayed at every local zone for easy access by community members for monitoring purposes in order to mitigate corruption attempts.

Access to public services

Over the past year and across the programme, our interventions using different approaches, including community score cards, governance audit, policy dialogue etc, have significantly improved not only the quality and availability of WASH services for the poorest and most marginalised communities but also the relationships with duty bearers. These improvements in the relationships between governments and citizens have ensured better targeting and adequate WASH services for the poorest and most marginalised.

Box 4

In the district of Anantapur, India, communities have managed to get their local governments to invest in improving WASH services as a result of their advocacy and Right to Information work during 2009-2010 and 2010-11. The amount invested by the GTF is RS. 41,84,823/- for administration 'capacity building and staff support' during that period, and the amount raised by the community was Rs.52,16,500/- for just 40 villages out of the 162 villages that we cover under this project.

Additionally, the direct outreach with the same investment through our campaign on the right to water and sanitation was 44,749 in the villages and 4,269 community leaders participated in interface workshops with government service delivery personnel. The improvement in the response of the service providers is now 84% compared to 37% in November 2009, when we assess the number of advocacy written petitions that have been attended to.

The successful example of **Nicaragua**, where the water management committees were legalised as a result of advocacy work from our partner **FANCA**, was shared in last year's annual report. Building on this success, some of the CAPs have developed their own effective mechanisms for control and accountability which mostly apply to the regulatory entity – INAA. After having shared the tools with INAA they are considering, together with the Nicaraguan State Enterprise of Aqueducts and Sewers (ENACAL), the possibility of adopting what has been proposed by **FANCA** to improve the relevance and quality of WASH services to the poorest.

Decentralisation

Most of our targeted countries are characterised by decentralised governments that have been or are being transferred powers, including delivery of WASH services in most cases. As a result, our GTF programme has contributed to strengthening local governments' decision-making processes as well as service delivery using different approaches based on the local context.

In **Uganda**, our partners continued to participate in district water and sanitation coordination meetings.

These institutionalised structures are a convenient forum for information sharing and advocacy with local authorities. As a result of their participation, the Mbarara dialogue openly committed to install water meters for illegal connections, making it a model system. In addition, a number of districts provided written communication for financing rainwater harvesting which had been raised as an issue by participating implementing organisations on behalf of communities.

In **Nigeria**, our GTF programme, through the LMDGI and strong advocacy work conducted at local government level, led to upgrading of the water and sanitation unit in the Bokkos Local Government Authority into a stronger and well functioning department. The implications of this decision are that the water and sanitation unit will now have a separate budget line and dedicated staff rather than ad-hoc staff seconded from other departments. This should greatly enhance their ability to carry out their duties and WASH priorities, being more coordinated in the Local Government Authority.

Media and governance

Building on last year's considerable achievements, collaboration with and use of the media this year took another dimension in contributing considerably to improving accountability and responsiveness of duty bearers at all levels across the programme. Since the beginning of our GTF programme, the media has always been considered an ally and our partners have worked very closely with them in order to maximise our impact in terms of improved water governance.

In **Central America**, the media also played a crucial role in making WASH related issues public and in confronting duty bearers over addressing those issues. For example, in Honduras, television forums with community members were organised to voice their concerns on various issues and get the authorities to take action. In **Nicaragua**, press conferences were organised to share the CSO alternative report on the country WASH report for a wider audience.

Box 5

Our partners, the Coalition for Access to Water, Sanitation and Hygiene (CAEPHA) and CN-CIEPA in Mali, brought the annual national level public hearing to local government level, taking advantage of the growing decentralisation process and progressive transfers of power to local governments. These public hearings present an accountability space for citizens that local leaders can be held against. These spaces, in combination with the capacity building of communities in advocacy, have in some cases led to an increase of the WASH budget and/or improved the decision-making and service delivery at local level. Following its success, some local governments committed to institutionalise the local level public hearing by including it in their own plans and budgets (eg Kimeni, Kati and Tienfala local governments) as a unique way to respond effectively to the needs of the poorest and most marginalised and ensuring more transparency in decision-making processes.

Box 6

RICHE, one of our partners in Burkina Faso and the only journalist network within the programme, has organised training for its members (journalists and communicators) over the past year on media advocacy and writing WASH related articles. RICHE has made some significant efforts in enhancing the supply of information on the WASH sector in Burkina Faso through the production of its special newspaper 'H₂O info', the production of radio programmes in local and national stations 'Club H₂O' and published numerous articles on the sector's problems in the traditional press houses (with national and regional coverage). This has resulted in strengthening the level of information and awareness of population issues in relation to water and sanitation and human rights.

In **India**, there has been increased media coverage of the strong evidence of the outcomes from our programme implementation at district and state levels. For example, there have been up to 400 media coverage items on WASH related issues as a result of the close collaboration with the media and the orientation workshop that was organised for the journalists. In some cases, such as in Jarkhand, the media was an integral part of a campaign to have RTI applications processed and WASH issues addressed.

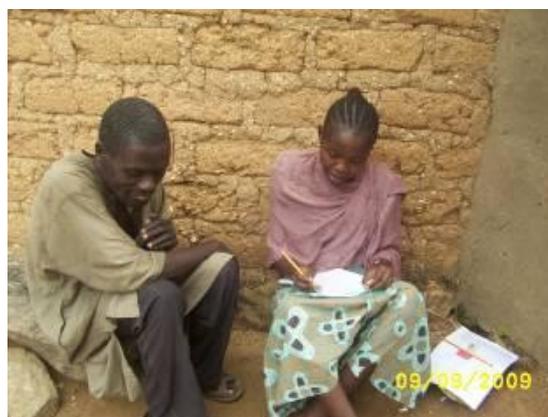
In **Kenya**, the use of the media has been crucial in getting the Kenya Anti-Corruption Commission (KACC) and parliamentary committee in charge of water and sanitation issues to launch investigations into the ministry and its sector institutions as a result of corruption allegations.

Case studies

Case study 1

Local Development Plan: WASH service planning for the people by the people

The Local Millennium Development Goals Initiative (LMDGI) is a rooted advocacy programming technique used by WaterAid. Rooted advocacy seeks to support local community representatives to engage in decision-making and planning processes that impact on their access to WASH. The basic concept of the LMDGI is to bring the Millennium Development Goals to the local level instead of the usual national level approach. The Local Development Plan is a component of the LMDGI approach which supports local governments to put in place development plans that will be used to motivate communities and their local authorities to recognise, mobilise and use potential resources available to them.



Data Collector, Leah Haruna, in Bogoro Local Government collecting information from a community member.

Most Local Government Authorities in Nigeria do not have an approach to planning and investment based on a situational analysis of facilities and services on the ground, and there are also no investment plans which explain the rationale behind annual resource allocations. Bogoro Local Government, a rural area in the north western part of Nigeria, is not an exception; while some communities have more than enough water, sanitation and hygiene services and facilities, others scarcely have access to improved water and sanitation. This results in the marginalisation of many communities and especially the poorest of the poor.

The consequence of this is that provision of WASH services is neither needs based nor rights based but rather mostly based on the whims of certain influential individuals and politicians. It is

as a result of this that the Women Empowerment Initiative Nigeria (WEIN), a GTF implementing partner of WaterAid in Nigeria, supported Bogoro Local Government Authority in developing a Local Development Plan document which is intended to be used by the local authority for planning and investment in WASH.

One of the objectives of the Local Development Plan development process in Bogoro was to assist the Local Government Authority and communities in building and developing sustainable capacities for effective local level service delivery, local planning and implementation of water and sanitation sector activities. The Local Development Plan, developed for the Local Government Authority, is a tool for developmental planning and investment and it is already bearing fruit.

In the words of Alhaji Abubakar Uthman, Director of Administration and General Services in the Bogoro Local Government Authority, *“There is a degree of accuracy in this year’s planning and budgeting because the estimates used in the Local Government Authority budget were from the Local Development Plan we developed with support from WEIN Bauchi through the GTF programme⁶”*. By this statement from a senior official in the Local Government Authority, it is evident that the Local Development Plan, if used effectively, will contribute enormously to the equitable distribution as well as investment in WASH services in local governments.

The success of the Local Development Plan in Bogoro will be used to market the approach to other stakeholders in the sector. The Local Development Plan will also make it much easier to carry out evidenced based advocacy for the provision of WASH services to un-served and underserved communities in Bogoro Local Government Authority. WASH governance will be greatly improved at the local level as allocation of resources will become more transparent. It will also position the Local Government Authority to become more accountable to people as they have improved access to information and are therefore empowered to make demands and engage effectively with the government.

Case study 2 Moving into government spaces for increasing transparency and accountability

The strategy to organise meetings/training within government premises has helped communities to develop confidence, better interaction and relationships with government officials and it is slowly but definitely leading to improved service delivery and increased transparency.

A mandal level convergence meeting was organised with communities at the premises of the Mandal Parishat Development Office, Atmakuru, India. By inviting officers of the departments at mandal level, ie the Mandal Parishat Development Officer (MPDO), Assistant Programme Officer, National Rural Employment Guarantee Scheme (NREGS), Medical Officer, Primary Health Center, Assistant Engineer and Work Inspector from the Rural Water Supply Scheme, Grama Sarpanches (Village Headmen) from Pampanuru and from Vaddipalli and the Special Nodal Officer of the mandal to participate, it ensures that decisions can be taken in consultation with each officer regarding the issues raised in the meeting. Nearly 135 water and sanitation committee members consisting of self help group members, Srama Shakthi Sanghas, from 15 Grama Panchayats participated in the meeting.



Women Panchayat representatives attending a meeting with a local government department and raising the issues around WASH.

⁶ WaterAid in Nigeria Annual report 2010-11.

The issues represented by the communities formed the agenda of the meeting. There was a lot of enthusiasm, energy, exchanges and information flow from both sides on the issues raised and finding options to resolve them. It was almost a three hour long deliberation. The people's representatives, ie the Grama Sarpanches, played their role in making decisions.

This kind of convergence meeting helped the dalit communities to gain confidence and led the leaders in B Yaleru village to represent their demands for equal access to quality piped water to their housing colony at one end of the village. Demanding their right to equal access to drinking water, irrespective of caste, and consistently advocating elected people's representatives to allocate funds for the new pipeline worth £3,000, succeeded in bringing hope to the most neglected people.

Before the GTF project started, communities were unaware of their rights and entitlements, the service delivery system (departments) was hardly responsible and drinking water sources were defunct for a long period of time. This caused hardship to rural communities, with dalit, women and children spending several hours collecting water. *"Earlier even lower level government officials were not providing us any details and information. We had to approach them so many times to know about the status of peoples' application..."* said Shekhar Babu, dalit leader from the Garladinna mandal of Anaparthi.

Through regular interactions and capacity building the communities have learnt that the right to water and sanitation is a human right, and they have become aware of the role and responsibilities of the government as well as the service delivery system. They have also learnt about the grievance addressal mechanism within the government structure and used the interface workshops at mandal level as well as district level to raise their issues in public to pressurise the system to deliver.

The marginalised dalit communities and public school children of 165 villages have benefited through the rights based approach by accessing improved water and sanitation facilities. There are also increased employment opportunities as a result of effectively taking advantage of the new employment guarantee scheme which provides 150 days of unskilled work per annum – this means £200 per family. This has made a huge difference in the lives of the rural poor, thereby proving this strategy to be successful in simultaneously working on the right to water and sanitation as well as the right to work in rural India. Hanumakka, a water and sanitation activist (right), revealed that *"We are proud to have achieved a public tap connection to each of our houses now and women have some time on their hands now"*.



Hanakuma – a water and sanitation activist who belongs to the Scheduled caste.

A positive result from the community and government official interface meeting was that all five mandal offices had started giving one day conferences within their premises for monthly meetings with community members under the leadership of the Centre for Rural Studies and Development. The process is helping communities to learn about government schemes as well as submit their applications directly to the officials concerned. The approach has been extremely successful because it now ensures regular follow ups of government official's service delivery claims as well as bringing a sustainability component to the community level of organisation.

4 Impact of external events on the programme

- During the reporting period, there have been a few events that have impacted positively on our GTF programme at different levels. These events played a key role in terms of the sustainability of our programme. For example, the presidential elections in **Nigeria** and **Burkina Faso** have created an opportunity for GTF partners to engage actively in policy dialogues and ensure that candidates prioritise WASH and good governance in their proposed programmes. This has been positive in both countries and there are already some elements of change such as the creation of a new Ministry of Water in **Nigeria**.
- Another key event is the recognition of rights to water by the UN. This has been ratified by most of the countries in the GTF programme whose partners have contributed strongly to our influencing agenda at national level.
- The new constitution in **Kenya** that recognises water and sanitation as a human right has been another key positive impact. Moreover, in **India**, our partners used different government schemes, such as the housing scheme, social welfare at district scheme, and the education as multi-sectoral approach, to improve water and sanitation services for the poorest and most marginalised. Their advocacy actions has mobilised the equivalent of 3.8 billion Rupees from government departments for WASH in our GTF programme areas.
- One of the key achievements of Sanitation and Water for All⁷ (SWA) has been the first high level meetings organised on 10 April 2011 which, for the first time, allowed a dialogue between finance ministries, ministries responsible for water and sanitation, and development partners. This led to the development of a concrete set of commitments from each government and allowed our partners' to contribute extensively to the meeting as well as monitoring the commitments made by the ministries.
- In Jarkhand, **India**, our GTF programme has suffered from political instability resulting from the President rule and the huge turn over in the government. This situation has impeded and slowed down progress of the advocacy actions carried out by SATHEE which could not adapt to the various changes with new local level officials in the water supply departments.

⁷ SWA is a global partnership between developing countries, donors, multi-lateral agencies, civil society and other development partners working together to achieve universal and sustainable access to sanitation and drinking water, with an immediate focus on achieving the Millennium Development Goals in the most off-track countries.

5 Partnerships

During the reporting period, our GTF programme developed strategic alliances and collaborations with a number of organisations at all levels which have impacted to some extent on the sustainability of our programme's objectives. Furthermore, in most of the countries there has been a significant increase in collaboration with the media that is critical to ensure the sustainability of our actions. For example, in **India**, through collaboration with the media, the coverage of our partners' work on accountability and transparency in WASH has considerably increased since the beginning of the programme. To date, more than 400 media clips were collected by GTF partners on programme and field level work. This provides a strong and effective platform for ensuring the sustainability of our programme's impacts.

As a result of the strategic partnership WaterAid has developed with WIN since last year, and in order to raise awareness of the different stakeholders on water integrity and create a multi-stakeholders' dialogue platform to discuss water related issues, a project has been piloted by WaterAid in **Mali** together with our GTF partners. This has resulted in the setting up of an independent network – the Malian Network for Integrity and Dialogue (REMID) – which is comprised of all stakeholders including civil society, trade unions, governments and service providers, the private sector and the media. This is a unique opportunity for the WASH sector in Mali to develop effective, streamlined mechanisms to sustain the GTF programme's objectives.

In **Central America**, our partners engaged actively with WIN and other regional stakeholders and contributed highly to the success of the first regional Central American forum to discuss transparency and water integrity issues. This forum led to the development of a baseline study on the integrity status in Central America which resulted in some clear recommendations for actors at national level.

During the reporting period, our GTF programme started some collaboration with the International Budget Partnership (IBP) – another GTF grantee focusing on improving governance and transparency through in-depth budget analysis. Through their partnership initiative, some of our partners in Mali benefited from training on budget analysis by CSOs. The training has been an eye opener on how national budget analysis and tracking can be used in our GTF programme to hold governments to account in the WASH sector.

6 Key findings and recommendations of the mid-term review⁸

A mid-term review of the overall GTF programme has recently been carried out by a team of external consultants. The objective of the exercise was to provide an opportunity to get '*an independent assessment on the progress and performance to date [...] and to identify the appropriate adjustments that need to be made to ensure the success of the programme at the end of the 5 years*⁹'.

The main conclusion of the mid-term review is that **our GTF programme is performing well with achievement over and above what might be expected by mid term** and with more than 75% of targeted countries largely on track to achieve their intended purpose by the end of five years. There is **already evidence of change having been brought about by the programme in most of the countries** in which it is being implemented although to date, most of this change has been at fairly local level.

However, it was recommended that during the second half of the programme, we aim to ensure that:

- Efforts are made to improve the extent to which the programme is being managed as a global programme rather than as a collection of country activities.
- Continued efforts are made to demonstrate good practice and to ensure that evidence from work at local level is fed into higher level dialogue.
- More explicit focus on ensuring issues of equity and inclusion, value for money and sustainability are sufficiently identified and addressed.

⁸ See Executive summary of the mid-term review in Annex A2.

⁹ WaterAid mid-term review ToR.

7 Financial analysis

	Agreed revised budget for period	Actual expenditure for period	Variance	Variance %
Output 1: Strong and well-functioning CSOs and CSO networks capable of influencing the design, implementation and evaluation of effective WASH policies at all levels.	108,016.86	109,916.75	-1899.89	-2
Output 2: CSOs (including those representing marginalised groups) are effectively engaging in decision-making processes affecting the WASH sector.	67,345.67	61,629.27	5716.41	8
Output 3: Informed and empowered people are better able to demand accountability and responsiveness from governments and service providers in the WASH sector.	86,016.61	78,196.90	7819.71	9
Output 4: Governments and service providers are more accountable to (willing and able) citizens and end users in the WASH sector.	35,411.97	35,865.91	-453.94	-1
Salaries	212,780.58	264,996.21	-52215.63	-25
Running costs	88,882.04	99,260.31	-10378.27	-12
Publications/conferences	27,100.25	35,894.64	-8794.39	-32
Regional coordination/dissemination and learning	57128.18	49,067.84	8060.34	14
Monitoring and evaluation	55195.96	42,909.48	12286.48	22
Sub-total partners' total	737,878.13	777,737.30	-39859.17	-5
Programme costs				
Sub-total UK	181,604.23	169,534.90	12,069.33	7
TOTAL (incl. non eligible amount)	919,482.36	947,272.20	-27789.84	3
Estimated non eligible amount		-6,239.88		
TOTAL YEAR	919,482.36	941,032.32	-21549.96.32	-2.34

In this revised budget it was anticipated that expenditures for salaries and running costs would be reduced along with programme delivery related expenditures, especially given the fact that two partnerships were terminated/suspended. However, the reports submitted by partners at the end of April 2011 revealed that salaries and running costs, as well as the publications budget lines, were spent in line with the original approved budget.

8 Conclusions and recommendations

This fiscal year has been characterised by considerable progress in our governance work through the GTF programme. The foundations laid by last year's achievements have played a key role in this year's significant achievements. There have also been some significant improvements in each of the programme's objectives which contributed to the organisational aims.

Local partners have seen their ability to influence the design and monitoring of WASH policies strengthened. The increase in their organisational capacity has made them more credible to confidently engage with duty bearers and to ensure equitable and sustainable WASH services are adequately provided to the poorest and most excluded groups. This increased engagement has led to some critical and considerable achievements, mostly at local level. For example, the use of the RTI Act in **India** has contributed to improving WASH services at community and district level, and the work with community water boards in **Central America** has led to the development of water bills to Congress to legalise them so that they can provide sustainable services to the communities they represent.

Through the creation of citizen platforms (such as local public hearings in **Mali**, the citizen engagement process in **Ghana** or use of the media across the programme), there have been clear indications that citizens have been better informed about their rights to WASH and have been empowered to hold local governments and service providers to account, mainly at local level. This has been critical in addressing key issues such as corruption. From a supply-side, duty bearers in most countries are increasingly more accountable and responsive to end users, showing willingness and an ability to provide sustainable WASH services. This is crucial and derives from the effective advocacy work carried out by our partners.

At global level, increased collaboration and strategic alliances with other key stakeholders have created some great opportunities to leverage the key achievements made over the past year. The mid-term review of the overall programme that was conducted during the reporting period has also been a great opportunity to learn from our key achievements and identify the challenges that need to be addressed in order to optimise the success of our GTF programme at global level. Maximising the effectiveness of our programme for greater impact and ensuring that local level impacts contribute to higher level discussions or dialogues in relation to WASH mainly at national level are some of the recommendations made by the review team which we will endeavour to address by the end of the programme.

Over the next year, our GTF programme will work towards putting into action the recommendations of the mid-term review while sustaining the current achievements of the programme in order to ensure that duty bearers are more accountable and responsive. We will also raise the profile of our programme internally and externally using the global experiences of the GTF programme as a key contributor to our governance work and organisational strategy.

Annex 1 – Risk assessment

The following table is a comprehensive and detailed risk assessment for our programme. As explained in the main section of this report, some of the risks identified at the beginning of the programme were re-evaluated due to changes in context.

Internal risks

Risk	Potential impact	Probability	Mitigation measures	Further actions
Limited organisational capacity of partners eg <ul style="list-style-type: none"> Weak skills in advocacy, financial management etc Weak internal governance Lack of advocacy strategy 	High (<£250K)	Medium	<p>Gaps identified in the partners' organisational structures are addressed.</p> <p>Strategies (organisational and advocacy) are developed.</p>	<p>An assessment was conducted and more in-depth support needs to be given to partners in identifying strategical capacity gaps and addressing them.</p> <p>Who? GTF manager with focal points/regional coordination bodies.</p> <p>When? Q2/Q3.</p>
Staff turn over	Medium (<£50K)	Medium	<p>Support provided to partners to develop HR policy and in recruitment of staff.</p> <p>Support to staff development, including induction.</p>	<p>This is a result of the detailed Capacity Needs Assessment (ongoing). However, it has been quite revealing that the resignation of focal points or partners' project coordinators has impacted on the delivery of some programmes. Ensure that there is a succession plan in each partner organisation as well as WaterAid and FAN.</p> <p>Who? Country Reps/Convenors and heads of partner organisations.</p> <p>When? Q3/Q4.</p>
Compliance with contractual requirements eg <ul style="list-style-type: none"> Timely report submission Respect of contractual terms 	High (>£1 million)	Medium	<p>Clear reporting processes in place.</p> <p>Regular monitoring and capacity building/training; accompaniment to partners when necessary.</p>	<p>Following the recommendations from the mid-term review, this has been reevaluated. This action has been done during a support visit or an individual case but not with the involvement of the Programme Funding Unit. Regular review of contract compliance by partners with the support of programme funding.</p> <p>Who? GTF Manager/Programme Funding Officer.</p> <p>When? Six monthly basis.</p>
Difficult programme coordination mainly due to wide geographical spread of the programme in some countries	Medium (< £50k)	Medium	<p>Close links built with the WaterAid regional offices (where they exist) in the different targeted areas to get support for the programme coordination.</p>	<p>Formalise the relationship between partners and WaterAid for a more streamlined approach. This was done and is ongoing for new partners and countries.</p> <p>Who? Regional coordination body and WaterAid country programmes.</p> <p>When? Q3.</p>

Risk	Potential impact	Probability	Mitigation measures	Further actions
Lack of engagement by CSOs' network members	Medium (< £50k)	High	Active promotion of the network for better ownership. Training and information benefits for members.	Review of the organisational Capacity Needs Assessment should provide guidance on the values shared by all members within the network. Who? Partner organisations' Boards. When? Ongoing.
Limited resources for programme implementation	Medium	Medium	GTF is fully integrated into countries' plans and strategies to show contribution rather than taking it as a separate programme.	Identify funding opportunities that can contribute to maximise and sustain the impact of the GTF programme. This will be part of the sustainability strategy to be developed by each partner. Who? Programme Management and Learning Group When? Ongoing
Political crisis within CSOs and networks eg leadership crisis	High (>£ 250K)	Low	Regular meetings to enable dialogue and concertation between strategic and executive bodies.	Review of the organisational Capacity Needs Assessment. Who? Focal points and regional coordination bodies. When? Q2/Q3.
Financial sustainability after the GTF programme	High (> £1 million)	Medium	Strategy development to anticipate any scenarios. Regular discussions with the Fund Manager on possible post GTF funding.	Support to the development of organisational fundraising strategy in line with their organisational strategy. Who? Regional coordination bodies. When? Ongoing.
Fraud and misuse of funds	Medium (> £150k)	High	Regular partner monitoring visits. Use of the organisational fraud policy.	Support from internal audit to carry out mini audit/spot checks to partners in line with the partners' collaboration agreement. GTF partners were audited as part of country programme internal audits. Another way to mitigate fraud and misuse of funds as it occurred last year – transitional arrangement – referred to in section 4, was agreed. Who? GTF Manager and Internal Audit. When? Annually.
Institutional collaboration changes	Medium (> £250k)	Medium	Regular discussions between FAN and WaterAid.	As FAN will become independent from WaterAid in June 2012, discussions are to take place on what the implications will be for the GTF programme. Regular discussions have to happen throughout the year. Who? Steering committee. When? Quarterly.

External risks

Risk	Potential impact	Probability	Mitigation measures	Further actions
Lack of political will eg <ul style="list-style-type: none"> Weak prioritisation of WASH issues (Central America) Legal framework not conducive (eg Ethiopia with CSO legislation) 	High (>£1 million)	Medium	Interactions/consultation and dialogues with duty bearers. Organisation of awareness creation forums/experience sharing/joint monitoring visits.	Continue with interactions and dialogues with duty bearers. Who? Focal points/regional coordination bodies and partners. When? Ongoing.
Political instability at all levels eg <ul style="list-style-type: none"> Upcoming presidential elections (Uganda and Ethiopia) Impacts of political unrest (Honduras and Madagascar) to the work being done by civil society Impacts of political unrest in one of our targeted districts in Ghana. 	High (>£1 million)	Medium	Close monitoring of the situation and regularly taking stock of the prevailing situation. Regular communication with partners on the situation and potential impacts.	Ongoing monitoring of the situation. Who? GTF manager. When? Six monthly.
Change in UK political scene – and impact on the UK Aid and GTF programme	High (> £1 million)	High	Regular communications with the GTF Fund Manager on the potential impact or changes in the programme.	Support to KPMG/Triple Line relationship with UK Aid. Who? GTF Manager When? Ongoing
Inadequate water legislation impacting on the public nature of water and communities' rights to water	High >£500k)	High	Programme focused on communities to inform and empower them on their entitlements and rights.	Continue the work done around legalising the community water boards.

Annex 2 – Governance and Transparency Fund (GTF) mid-term review executive summary

Background and methodology

The mid-term review of the WaterAid/FAN Governance and Transparency Fund (GTF) programme was commissioned to provide an independent assessment on the progress and performance to date of this global programme, and to identify the appropriate adjustments that need to be made to ensure the success of the programme by the end of its five years of funding.

The primary audiences for the review are relevant programme staff at WaterAid and FAN and partner CSOs working with them to implement this programme. The secondary audiences include wider personnel within WaterAid and FAN, as well as KPMG and Triple Line, the agencies managing this and other GTF programmes on behalf the UK Department for International Development (DFID), which is funding the programme.

The purpose of the WaterAid/FAN GTF programme is *'To increase the capacity of the civil society in 16 countries in Asia, Africa and Central America to engage in effective evidence-based dialogue with decision-makers in water and sanitation'¹⁰*. It has four specific objectives or 'outputs':

- **Output 1:** Strong and well-functioning CSOs and CSO networks capable of influencing the design, implementation and evaluation of effective water, sanitation and hygiene (WASH) policies at all levels.
- **Output 2:** CSOs, including those representing marginalised groups, are effectively engaging in decision-making processes affecting the WASH sector.
- **Output 3:** Informed and empowered people are better able to demand accountability and responsiveness from governments and service providers in the WASH sector.
- **Output 4:** Governments and service providers are more accountable to (willing and able) citizens and end users in the WASH sector.

The programme has a budget of £5 million over five years. The implementation phase started in April 2009 and funding is set to finish in September 2013. The programme is being implemented by over 30 local CSOs or CSO networks. While WaterAid has overall responsibility for managing the programme and the contract with DFID, FAN is also involved in the management of this programme via its International Secretariat, based in the WaterAid office in the UK, as well as its regional Secretariats in Central America, South Asia, and Africa¹¹.

The mid-term review was designed and led by two consultants at the independent consultancy firm *theIDLgroup* Ltd, based near Bristol in the UK. In addition, the GTF coordinators from Central America and India were involved in the team at key stages.

¹⁰ WaterAid mid-term review ToR.

¹¹ Note that the FAN regional network in Africa is currently no longer involved in the GTF.

The review was carried out over a period of five months, from January to May 2011. It entailed a comprehensive analysis of documentation surrounding the development and implementation of the programme, interviews with key stakeholders in London and in 13 of the 15 participating

countries¹² (both face to face and by telephone), and direct observation of some of the activities that have been funded by the programme. Five participating countries – Costa Rica, India, Mali, Nicaragua and Uganda – were visited as part of the review.

The process for analysing the wealth of qualitative data gathered during the review was systematic and rigorous. A detailed review matrix was developed and used to code the information associated with each country programme. Key findings and lessons from these matrices were pulled into summary documents, which were then used to identify preliminary findings which were then further explored in a global level 'interpretive' workshop¹³ involving those responsible for the GTF in each participating country. The workshop was an invaluable opportunity to engage in discussion aimed at refining these findings and jointly developing recommendations.

While the majority of data gathered during this review was qualitative, based on literature review, interviews and direct observation, quantitative data in the form of financial data and self-assessment scores were also analysed using Excel spreadsheets.

A number of limitations to the review should be noted when considering the findings and analysis presented in the report. Firstly, the team did not examine each country level programme to an equal depth, with field visits having been made to only five of the 13 countries currently implementing the programme. While telephone interviews were carried out with stakeholders in each of the countries not visited, the range of stakeholders interviewed in this way varied from country to country. In addition, although some responses to the self-assessment questionnaire reported quite systematically against stated objectives and performance indicators, others reported their successes in ways that were less obviously linked to such indicators, making progress against logframes difficult to assess. Thirdly, while the review team involved the GTF focal points from Central America and from India, nobody involved with implementing the programme in Africa was able to be involved in the review team.

Findings

The mid-term review found that the programme's objectives and approaches remain highly *relevant* to the priorities for improved governance within the WASH sector at international, national and local levels, and is enhancing the participation of civil society in decision-making, often in adverse contexts and conditions. The programme is relevant to the strategic priorities of both WaterAid and FAN internationally, regionally and nationally, and has been well integrated into the work of both entities in the countries in which the programme is being implemented.

The programme's theory of change is sound and remains relevant. However, minor changes are needed to the logframe indicators to clarify intentions and to distinguish between outcomes anticipated at different levels. There is considerable *evidence of change* having been brought about under each of the four output statements, and there are several *examples of impact* at community, local and occasionally national levels. In order to ensure that the programme

¹² Although 16 countries were initially to be covered by the programme, one is no longer involved and another two, Malawi and Bangladesh, have only started programme implementation in the past few months and were considered to be beyond the remit of this review.

¹³ Referred to throughout the report as 'Big Meeting 3'.

achieves its overall purpose of influencing WASH sector policy and practice at national level and beyond, continued efforts need to be made over the next two and a half years to demonstrate good practice and to ensure that evidence from work at local level is fed into higher level dialogue.

Of the 16 countries initially covered by this programme, one is no longer involved, two have just started, and the remaining 13 have been ongoing for at least a year. Of these 13, five are considered by the mid-term review team to be performing well and set to achieve their stated objectives by the end of the programme, seven are mostly on track but in need of some minor adjustments, and one is considered to be failing. This represents a good level of overall achievement.

Excellent progress has been made towards *achievement of global level objectives*, with targets for achievement by mid-term having largely been met. Indicators for achievement by mid-term were fairly conservative. In order to fully achieve global level objectives, and for the programme to have impact at purpose level by the end of its five years, efforts will need to be sustained and enhanced under some of the outputs.

Managing the programme as a global level programme, rather than as a collection of over 28 local level projects or as two global programmes (one FAN and one WaterAid), has proved challenging. Reasons for this are several, but include incomplete involvement and ownership of the programme by WaterAid regional level structures, the lack of an active Reference Group for the programme, and weaknesses in communication between WaterAid and FAN.

Extensive consideration has gone into the programme monitoring and evaluation framework, and into ways to best extract and share learning from the programme. In practice, however, neither system is yet optimal and both need to be given greater emphasis, possibly through more active targeting of resources, in the second phase of the programme.

Expenditure to date for the overall programme is in line with expectations. Six of the fifteen countries involved are behind with spending, however, the reasons for this raise some questions as to the *efficiency* with which funding in such a complex programme, based on such a large number of partnerships, can be managed. Risk identification has been comprehensive, but some mitigation strategies need more urgent emphasis.

The programme would seem to represent fairly good *value for money*. The costs of inputs are low (economy), the programme as a whole is spending within the range that would be expected by this stage in implementation (efficiency), and good results are being achieved (effectiveness). Given that DFID has increased its emphasis on value for money since the programme was designed and approved, it would also be useful to develop a definition for value for money within the context of the GTF programme and ensure that from now on relevant data for assessing value for money against this definition is being routinely collected and analysed.

The programme has the empowerment of citizens and civil society, including the most marginalised, at its heart, and works through organisations dedicated to pro-poor service delivery. Programme activities have looked to include a gender balance and have also focused on the needs of tribal communities and minority groups. However, a more systematised focus of *equity and inclusion* issues should be included in programme monitoring and evaluation in future.

The programme is designed and implemented with *sustainability* in mind. It is implemented entirely through local partner organisations which themselves work directly with communities. Furthermore, the focus of the work has been on the building of local capacities and the transfer of skills, rather than on the provision of financial inputs. The programme does, however, cover core staff costs in local partner organisations and in the regional FAN Secretariats, and pays for some specific activities for which alternative sources of funding will need to be sought before

the end of the programme. While some consideration has been given to date to identifying alternative sources of funding for these areas, a more strategic focus on exit strategies is needed over the next year.

The GTF programme funding is largely being used by WaterAid and FAN to expand and enhance existing governance and transparency work, rather than to experiment. Nevertheless, several aspects of the GTF, be it the partnership or networking approaches being used, the use of community media, or the development of advocacy messages based on evidence gathered by communities themselves, do represent innovative ways of working for implementing partners.

Recommendations

On the basis of the key findings summarised above, the mid-term review developed ten overarching recommendations aimed at enhancing the programme's performance over the next three years. In summary, the recommendations are:

- 1 Effectively utilise programme reference groups and establish an external steering committee.
- 2 Clarify the roles and responsibilities of WaterAid and FAN regional structures in relation to the GTF programme.
- 3 Consider implications of the mid-term review 'traffic light' scoring of country programmes.
- 4 Consider and develop a clear statement as to the implications to the GTF for the independence of FAN in June 2012.
- 5 Enhance the extent to which the programme is documenting outcomes and 'managing for results'.
- 6 Identify clear resources (financial, human, and systems) to enhance communication and sharing of lessons within and beyond the GTF programme.
- 7 Ensure that efficiency of financial disbursements is improved where possible through tasking the Programme Management Group with routinely investigating reported problems.
- 8 Develop a definition of value for money for the GTF programme and ensure that value for money principles are built into programme monitoring and evaluation from now on.
- 9 Enhance the focus on equity and inclusion in programme design, monitoring and evaluation through greater support to WaterAid's Programme Support Advisor in charge of equity and inclusion.
- 10 Enhance the focus on sustainability by increasing emphasis on fundraising capacity building and on the development of clear exit strategies.



WaterAid's mission is to transform lives by improving access to safe water, hygiene and sanitation in the world's poorest communities. We work with partners and influence decision-makers to maximise our impact.

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