Mid Term Review of: WaterAid / FAN – Governance and Transparency Fund Programme

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Acknowledgements

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The consultants are also grateful for the information and advice given to them by representatives of development partners and other organisations directly involved with the programme. A list of the people consulted is provided in Appendix 3.

Acronyms

AALO	Advocacy and Action Learning Officer
APRM	African Peer Review Mechanism
CAPS	Comités de Agua Potable (Community Water Boards)
CRF	Childs Rights Foundation
CSO	Civil Society Organisation
DFID	Department for International Development
FAN	Freshwater Action Network
FANCA	Fresh water Action Network Central America
FANSA	Freshwater Action Network South Asia
GGWG	Good Governance Working Group
GTF	Governance and Transparency Fund
GWP	Global Water Partnerships
JSR	Joint sector Review
LDP	Local Development Plan
LDMGI	Local Millennium Development Goal Initiative
M&E	Monitoring and Evaluation
MTR	Mid-term Review
NGO	Non-governmental Organisation
PEU	Programme Effectiveness Unit
PROSEA	Programme Sectoriel Eau et Assainissement (Water and Sanitation Sector Programme – Mali)
PRSP	Poverty Reduction Strategy Paper
RAPA	Regional Advocacy and Policy Advisor (WaterAid)
RTI	Right to Information Act
TOR	Terms of Reference
UN	United Nations
VFM	Value for Money
WA	WaterAid
WASH	Water, Sanitation and Hygiene
WIN	Water Integrity Network

Glossary

Big Meeting	A term used by the GTF programme to refer to the annual global workshops attended by all GTF focal points as well as other key stakeholders. The first was held in Accra, Ghana in February 2009; The second was held in Mombasa, Kenya, in May 2010; The third was held in Hyderabad, India, in May 2011 and was an integral part of this MTR.
GTF Focal Point	The person responsible for coordinating GTF activities in a country or region. They are either core staff within a WaterAid country programme whose salary is not covered by the GTF programme, or they are staff within a regional FAN network, and paid by the GTF programme to coordinate GTF activities within their region.
Implementing partner	A term used to refer to the 'grantees' of this programme. Apart from the 15% overheads retained in London, the full amount of the budget for this programme goes directly to local CSOs or CSO networks in country to implement the GTF programme. Many of these primary implementing partners carry out activities in partnership with a lower level of CSOs, either network members or local community based organisations.
Output	Output is used throughout the report to refer to one of the four key objectives of the programme. The term is used interchangeably in this report with the term 'objective'.

Executive Summary

Background and methodology

The mid-term review (MTR) of the WaterAid/Freshwater Action Network (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 the partner civil society organisations (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".* 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 al 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 responsive-ness 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 WASH sector.

The programme has a budget of £5m 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 thirty 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 UK office, as well as its regional secretariats in Central America, South Asia, and Africa[1].

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[1] Note that the FAN regional network in Africa is currently no longer involved in the GTF.

The MTR 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.

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 countries[2] (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' workshop[3] 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.

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[2] 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.

[3] Referred to throughout the report as Big Meeting 3

Findings

The MTR 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 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 MTR 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 fully to 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 (M&E) framework, and in to 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, with the reasons for this raising 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* (VFM). 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 VFM since the programme was designed and approved, it would also be useful to develop a definition for VFM within the context of the GTF programme and ensure that from now on relevant data for assessing VFM 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 as 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 MTR developed ten overarching recommendations aimed at enhancing the programme's performance over the next three years. Each of the recommendations listed below is explained in detail in the Recommendations section of the report, and each has a number of sub-recommendations attached, with clearly identified lines of responsibility for implementation. 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 MTR '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 VFM for the GTF programme and ensure that VFM 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 the programme of 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.

1 Background

1.1 Purpose, scope, and audience of the review

This report details the findings of the Mid-Term Review (MTR) of a programme being implemented by WaterAid and the Freshwater Action Network (FAN) with funding from the British Department for International Development (DFID), under its Governance and Transparency Fund (GTF).

The review was commissioned by WaterAid UK, in accordance with the requirement for such a review outlined in its contract with DFID. Its main purpose was *"to provide an independent assessment on the progress and performance to date, to measure and report on achievements and early signs of change and impact, 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"* (see TOR, Annex 1).

During initial discussions with WaterAid, it was agreed that the study should be carried out in as participatory a way as possible, to promote learning and reflection within the programme and to ensure that the findings and recommendations of the review were owned by those involved in implementing the programme. The review methodology, described in detail below, therefore included a strong element of reflection and self-assessment by those involved in implementing the programme.

Although the primary audience of the review is WaterAid and FAN, the review is also of interest to DFID. Their guidelines for commissioning mid-term and end-stage evaluations of programmes funded under the GTF have been followed in the TOR for this review, and the review team talked early on with KPMG and TripleLine, the agencies representing DFID in the overall management of this contract, to ascertain their key expectations for the work.

The scope of this review was to assess the programme against the five standard criteria for evaluating development assistance[4]: relevance, impact/evidence of change, effectiveness, efficiency and sustainability. In addition, the review team was required to assess the extent to which the programme represents *value for money* and is being implemented with sufficient focus on *equity*, and to identify any aspects of the programme that can be considered *innovative*, as well as the extent to which aspects of the programme have been, or are likely to be, *replicated* elsewhere.

It should be noted that the purpose of this review was to consider performance to date of the **overall** WaterAid/FAN GTF programme. While it is of course not possible to undertake such a review without considering the individual partner projects and country programmes that make up the global programme, it was beyond the scope

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[4] Organisation for Economic Cooperation and Development's Development Assistance Committee (OECD/DAC) criteria

of this review to look in detail or with equal depth of analysis at individual country or partner project level. Thirteen[5] of the 15 participating countries were looked at in order to inform the review, but the review should not be seen as a substitute for individual reviews and evaluations commissioned by, and specific to, each country project.

1.2   Background to the programme under review

The official title of the programme under review is "Developing Southern Civil Society Advocacy in Water and Sanitation in Sub-Saharan Africa, South Asia and Central America (CN-010)", although it is referred to throughout this report as the WaterAid/FAN GTF Programme or just 'the programme'. It is being implemented in 15 countries across Africa, Central America and Asia[6], with a budget of £5 million over five years. It aims to increase the capacity and resources of civil society in the targeted countries to participate in effective evidence based dialogue with decision makers in the water and sanitation arena and build pressure to secure pro-poor service delivery.

WaterAid UK is responsible, under its contract with DFID, for managing this programme. It is implementing it in partnership the Freshwater Action Network (FAN), which is a global network of national and regional level CSO networks with a mandate is to influence water and sanitation policy and practice around the world. FAN was established as a project by WaterAid following the second World Water Forum in 2000 and its international secretariat is based at the WaterAid UK headquarters.

The WaterAid/FAN GTF programme was developed from the bottom up, with both WaterAid and FAN inviting their partner or member organisations to develop concepts for projects related to the overall purpose of DFID's GTF. These were then pulled together into a global programme to be managed jointly by WaterAid and FAN. The initial proposal was submitted by WaterAid in September 2007 and was approved a year later in October 2008.

Following the approval of the proposal, there was a six month inception period which was used to clarify the overall purpose of the programme and develop a global logframe that reflected the objectives and indicators of each country implementing the programme. The inception period was also used to gather baseline data and to identify synergies and linkages within the programme. During the inception phase, it was also decided to introduce regional level management structures to help mitigate the risks of having two entities managing in effect two parallel programmes.

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[5] Two of the fifteen countries currently involved in the programme have only just begun the implementation phase, and the TOR specifically excluded them from this review.

[6] Bangladesh, Burkina Faso, Costa Rica, Ethiopia, Ghana, Guatemala, Honduras, India, Kenya, Madagascar, Malawi, Mali, Nicaragua, Nigeria and Uganda.

The implementation phase officially started in April 2009 and is due to finish at the end of September 2013. It was envisaged during the proposal stage that 16 countries would be involved in the programme. Following problems encountered with the Zimbabwe based organisation that was to implement the programme in Zambia and Malawi, activities in Zambia have been stopped and the Malawi programme has been re-developed under the management of WaterAid Malawi. This new Malawi programme has only started being implemented in the past few months. The Bangladesh partner, NGO Forum, has also only recently started working using GTF funds as there were delays in getting approval from the Bangladeshi government.

The GTF programme is implemented using local partner organisations or networks. At proposal stage, 28 partner organisations were identified. However, over the life of the project some of the original partners have dropped out, and others have come on board. In addition, some of the primary implementing partners (grantees) are working with another layer of community based organisations to implement the programme. There are now 32 main partners (see Annex 2 for an updated partner list).

1.3   Methodology

1.3.1   Review team
The review was carried out by a core team of two consultants from *TheIDLgrou*p Ltd., with additional inputs at key stages by the GTF focal points based in Central America and India. The team leader has eighteen years' experience in international development and a strong background in review and evaluation of development programmes, including complex, multi-country programmes such as this one. She has worked for an official donor organisation as well as a number of international non-governmental organisations (INGOs) in over 19 countries worldwide. The second independent member of the team has a strong background on governance and social development with a specific focus on CSOs including networks, in both Africa and South Asia. The curriculum vitae of the consultants are available on request.

1.3.2   Review methodology
The review was conducted over a period of five months (January to May 2011) and culminated in a workshop attended by key programme stakeholders, at which preliminary findings were discussed and explored, and key recommendations jointly developed. This workshop is referred to throughout this report as Big Meeting 3.

The first stage of the review was the development of a detailed work plan, which identified the key stakeholders to the review; the information needed to answer each key review question; the methods to be used for data collection and analysis; and the risks and limitations to the review. The work plan is attached as Appendix 6.

Following the approval of the work plan, the review team developed a self-assessment questionnaire, which was sent to the programme's focal point in each of the 13 countries covered by the review. This questionnaire asked a number of open-ended questions in relation to each of the review criteria and asked the focal point to rate their programme for performance in that criterion along a scale of one to five. Basic guidelines were given to aid decisions as to which score to opt for, and space was provided for a brief explanation behind the elected score. The self-assessment questionnaire was translated into French and Spanish, and sent out in the appropriate language to each focal point, with a request that it be completed and returned, where possible, within two weeks. A copy of the self-assessment questionnaire is attached as Appendix 1.

In addition to the responses of the self-assessment questionnaire, the review team referred to a number of key documents associated with the programme, including the programme's inception report and final design report, annual reports, reports of reviews and monitoring visits, and key correspondence between the programme manager and KPMG. A list of the documentation reviewed is attached as Appendix 5.

To clarify, supplement, and triangulate information identified from the literature review and self-assessment questionnaires, the review team conducted interviews with stakeholders to the programme in each of the 13 countries included in the review. These were conducted either face to face, during visits to London and five participating countries, or over the phone. A list of all those interviewed is attached as Appendix 3, and key interview questions for each stakeholder group are available upon request.

Information gathered during the review was coded and collated using a review matrix (see Appendix 2), with a different matrix being established for each country programme. A generic matrix was also established for data associated with the overall programme. These matrices were filled in over the course of a few weeks, and gaps in information were often able to be identified in time for follow up during interview, or by email.

The review involved field visits to five of the participating countries: Uganda, Mali, Costa Rica, Nicaragua and India. These countries were selected by the GTF Programme Manager based on availability of key stakeholders in each country at the time of the review. Both of the independent consultants carried out the interviews in Uganda and Mali. In Central America and India, interviews were carried out by the junior of the independent consultants along with the programme's focal point in each of those regions.

Once key data gathering was complete, the review team worked together to complete the review matrices, and to identify key findings from each country programme. These were pulled into summary documents which allowed the team to

identify common themes or findings across the programme as a whole. The summary documents also were used to generate a rudimentary 'traffic light' assessment as to the extent to which each country programme can so far be considered to be on track (see findings under the *Effectiveness* section of the report).

The final part of the methodology was for the review team to participate in the programme's third annual learning workshop, known as Big Meeting 3, held in Hyderabad, India, from 16-20 May. The workshop was attended by all but one of the programme's focal points, by two of the four implementing partners in India, and by some of the stakeholders from the London office of WaterAid[7]. The purpose of the review team's presence at the workshop was to present and discuss preliminary findings from the MTR, to work through issues that required further consideration, and to develop jointly with programme stakeholders the key recommendations for action coming out of the review. A separate report of the workshop is available from the GTF Programme Manager.

1.3.3 Limitations to the review

While key documentation relating to the majority of partners' projects was reviewed, the team did not examine each project to an equal depth, with some receiving considerably more attention than others. Field visits were only made to five of the 13 countries currently implementing the programme, and even within those countries not all partners were met. Similarly, 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, with implementing partner organisations being interviewed in some countries, and in others only the GTF focal point.

While the review team involved the GTF focal point from Central America and from India, nobody involved with implementing the programme in Africa was able to be involved in the review team. This meant that independent consultants' understanding of the programme being implemented in Africa might have been compromised, compared with that of the programme in India and Central America, and also posed the risk that there might be bias in the findings.

A further limitation to the review was the variation in the quality of reporting. While 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.

Finally, it should be mentioned that although self assessment questionnaires were translated into French and Spanish before being sent to GTF focal points in Central America and francophone countries, the responses were not translated back into

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[7] See Appendix 4 for list of Big Meeting 3 participants

English. While the review team members have good French and Spanish language skills, it is likely that some nuances in the replies were lost in translation.

1.3.4 Layout of the report

In the report below, analysis and key findings are presented under the main key areas of enquiry of this review, namely *relevance, impact, effectiveness, efficiency, value for money, equity, and sustainability*. Issues of *replication* are touched on under the sections on *impact, value for money,* and *sustainability*. Key findings under each heading are clearly outlined in bullet points at the start of each section. Where key findings have led to specific recommendations by the review team, these are identified in brackets next to the finding. Following the key findings section, a brief description is provided of aspects of the programme that are seen as being particularly *innovative* by those implementing the programme. Finally, ten recommendations, each with a number of sub-recommendations, are presented, along with a clear identification of lines of responsibility for implementing each recommendation.

2 Findings and analysis

2.1 Relevance

> - The programme's objectives and approaches remain highly relevant to the priorities for improved governance within the Water and Sanitation sector at international, national and local levels.
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> - The programme is relevant to the strategic priorities of both WaterAid and FAN internationally, regionally and nationally. It has been well integrated into the work of WaterAid in the countries in which it is being implemented, and is synonymous with the regional programme of FAN in Central America.
>
> - There is less obvious integration of the programme into the wider work of FAN in South Asia, however. Similarly, awareness of the programme and its significance to WaterAid's priorities is still largely limited to those individuals and country programmes involved in its implementation.

2.1.1 International relevance

*"If we are to meet poor people's demands for clean water and adequate sanitation, and if the right to water is to be realised, **governments will have to be more responsive and accountable to poor people…***The best way we can do this is to work with governments **and civil society to help enable the voices of those without water and sanitation to be heard**, and then for governments to act on what they hear."*[8]

The proposal for this WaterAid/FAN GTF programme acknowledges the above statement and articulates sound rationale for the need for urgent action in this area. The programme's Theory of Change recognises the fact that to achieve the vision of improved responsiveness and accountability of governments in the Water, Sanitation and Hygiene (WASH) sector, several approaches are needed. Firstly, the capacity of civil society to carry out evidence based advocacy, to influence policy, and to engage in decision making processes in the Water and Sanitation sector needs to be increased (outputs 1 and 2). Secondly, citizens need to be made more aware of their rights and responsibilities in the WASH sector, and empowered to identify and make use of opportunities to hold duty bearers to account (output 3). Finally, the willingness and capacity of duty bearers, in particular local governments, to be responsive and accountable to citizens in the WASH sector needs to be enhanced (output 4).

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[8] Global Call to Action on Water and Sanitation, DFID, 2006 (http://www.dfid.gov.uk/pubs/files/global-action-plan-water.pdf)

These objectives, and the approaches adopted by the programme's grantees to achieve them, remain as relevant today as they were when the inception report was submitted in 2009.

The programme represents an excellent fit with the vision and objectives of DFID's overarching Governance and Transparency Fund, with each grantee's project addressing several of the indicators from DFID's own GTF logframe[9].

2.1.2 National and local relevance

The context of governance and accountability issues within the WASH sector varies considerably from country to country. Each of the grantees of the WaterAid/FAN programme has developed its GTF project with sound knowledge of this local context, and prioritises their work in a way that reflects this local context and works effectively within it.

In some countries, such as Uganda, Ghana, and Mali, national governments are opening up to the idea of involvement of civil society in WASH sector policy and decision making. The relevance of the GTF is in its focus on building the capacity of home grown CSOs to effectively take up the spaces available to them, rather than relying on WaterAid (an international NGO) to be the voice of civil society in the country. In others, such as the Central American countries, there is a need to develop, update or improve implementation of WASH sector legislation and policy.

In other countries, such as Ethiopia, Honduras, and Madagascar, there are very limited opportunities for CSOs to engage in national level policy dialogue, and the GTF programme is working effectively within the constraints of those countries to identify and expand on the opportunities that do exist.

Almost all of the projects involved in the programme are addressing a low level of awareness among citizens of their rights and responsibilities in the Water and Sanitation sector. In some, the focus is on making people aware of existing mechanisms available to them to hold duty bearers to account (e.g. India's focus on the Right to Information Act). In others, emphasis has been given to developing such opportunities, such as the promotion of local public hearings in Mali, and the innovative use of community radio in Uganda. In others, particular emphasis is given to ensuring that communities are aware of their responsibilities, as well as their rights, in the WASH sector, such as in the Central American countries where there is a limited understanding of the need to pay for water services.

2.1.3 Relevance to WaterAid

Although historically focused on service delivery, WaterAid has been gradually increasing its work in governance and accountability issues over the past six or seven years. Prior to the GTF, several country programmes were carrying out some governance work, often with discrete project funding that was specific to the country

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[9] http://www.dfid.gov.uk/Documents/funding/gtf/gtf-general-logframe.pdf

(in Uganda and Malawi, for example), or to the region (such as the Local Millennium Development Initiatives programme in West Africa, which focuses on building the capacity of local governments).

Each of the WaterAid country offices involved in implementing the GTF programme expressed enthusiasm for the programme and a recognition of its intrinsic relevance to the wider priorities of their country programme. The Uganda country office has placed so much value on the work of the GTF that it has heavily subsidised GTF activities from its own unrestricted programme budget. Most have mainstreamed the GTF programme into their new country programme strategy. In Burkina Faso, for example, the work they started under GTF is now referred to as *"informed programme networks improve access to water services"* and is funded jointly by the GTF and by their country programme budget to expand access. According to the Head of Advocacy in the Ghana country office, *"GTF is setting the agenda for what the agency will be doing in the future – it is adding huge value".*

Within WaterAid UK, the decision within the past year to manage the GTF under the umbrella of the Programme Effectiveness Unit (PEU) indicates strong commitment to the programme and recognition of its strategic importance to the agency. The head of PEU has demonstrated considerable commitment for the GTF programme since its inception, and has actively participated in all three of the annual global workshops (Big Meetings) convened so far by the GTF programme manager. Furthermore, he has recently approved the creation of a new position within his department to support the GTF Programme Manager and the AALO in their work, paid for out of his department's budget. The GTF programme's focus reflects the aims and objectives articulated in WaterAid's latest Global Strategy (2009-2015), and some of the indicators developed for the GTF programme have influenced the selection of WaterAid's global level Strategic Performance Indicators.

Beyond the country programmes implementing the GTF and the PEU, however, the level of awareness of the programme within WaterAid varies. The GTF programme manager has not enjoyed as much support from the wider agency in managing the programme as he might have hoped. The programme has been less obviously integrated into regional priorities and management structures than was envisaged, and there has not been an active reference group for the programme within WaterAid (see section 2.3.1 below for more details).

2.1.4 Relevance to FAN
The Freshwater Action Network was set up as a project within WaterAid following the second World Water Forum in 2000. Its mission is to improve water governance by strengthening the role of civil society in decision-making[10]. The GTF programme, therefore, is fundamentally in line with FAN's raison d'être.

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[10] http://www.freshwateraction.net/sites/freshwateraction.net/files/FAN_Strategy_2010_Eng.pdf

In Central America, the GTF programme is integral to the wider work of the regional FAN network (FANCA), and GTF funding has been used to expand upon work they were already doing. The Central America GTF programme has no purpose level statement specific to the GTF, as it is taken to contribute directly towards the achievement of the purpose statement for the FANCA Regional Programme as a whole: *"To consolidate the process of strengthening the network, increase the level of political advocacy and the positioning in the processes in which we participate and support communities in the issue of managing water resources".*

In South Asia, the link between the GTF programme and the wider FAN regional network (FANSA) programme is less evident. This might be partly because the FANSA network is newer than the FANCA network, having only been established in January 2008, after GTF programme had first been conceptualised. There is as yet no regional FAN strategy in South Asia, although this is in the process of being developed.

2.2 Impact and Evidence of Change

- 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 change anticipated at different levels. (See Recommendation 5.1)

- There is 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 achieves its overall purpose of influencing WASH sector policy and practice at national level and beyond, 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. (See Recommendations 1.2; 2; 5.4. and 6)

2.2.1 Theory of change

As described in Section 1.2 above, the WaterAid/FAN GTF programme logframe was developed jointly by those overseeing the programme at global and country level, based on the work being proposed by partner organisations and with reference to the objectives of DFID's overarching Governance and Transparency Fund.

According to this logframe, the programme's goal is *"to improve the accountability and responsiveness of governments and service providers in the water sector in Asia, Africa and Central America",* and its purpose 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".*

Interviews conducted by the MTR team found that most who were familiar with the global level logframe felt comfortable with the hierarchy of objectives and the wording of the output statements. There was a sense that output 1, building the capacity of CSOs and CSO networks, is a necessary precursor to the achievement of subsequent outputs.

This wasn't uniformly true, however. One country programme (Uganda) had decided not to include output 4 in its own country logframe, feeling that it merely repeated the goal statement. TripleLine felt that the wording of the purpose statement in the logframe did not capture a high enough level of aspiration, talking as it does only of 'engagement', and also that there is a lack of clarity as to the difference between output 2 and output 1, with the sorts of achievements listed under each output in annual reports being similar.

Interestingly, in the self-assessment questionnaires carried out as part of the MTR, respondents scored themselves marginally higher on Impact than on Effectiveness. There could be several reasons for this, but one might have been that indeed the wording of the purpose level statement, and the indicators associated with it, were somewhat lower level than some of those at output level.

During Big Meeting 3, the logframe was re-visited with a view to both identifying progress to date against global objectives, and also to discuss whether or not the objectives and indicator statements included in the logframe are deemed by those implementing the programme to be still valid and sufficiently clear.

A lively and productive discussion resulted in a conclusion that the overall output statements continue adequately to reflect what the programme is trying to achieve, but that some clarity was required as to the exact meaning of some of these statements. It was acknowledged that there is an overlap between the four different outputs and that any given activity or outcome is sometimes attributable to more than one output.

It was also felt that making a distinction between achievements at output/objective level and those at purpose level was sometimes difficult in a programme such as this, working as it does at many different levels, in a range of different political contexts, and in an area (governance and transparency) where change is gradual and continuous. What might be seen as a significant *impact* at community or district level, for example, might contribute simply to an achievement at output level in the country level or global level logframe. Similarly, while ensuring that a CSO network has a place at the policy table might be a very significant change in the context of one country, in other countries the programme is aiming to go beyond this in terms of achievements. In others even this small achievement may take longer than the time available within this programme.

Nevertheless, it was agreed that within the global level logframe, the purpose level statement ought to describe more clearly what the programme is ultimately trying to

achieve, at global level, by the end of its five years. In order to improve the clarity of the logframe, workshop participants decided to adapt the indicators associated with each objective statement.

In addition to the *explicit* intentions of the programme, as outlined in the programme's logframe, those involved in implementing GTF have broader expectations from the programme. When asked by the MTR team *"in your own words, what are you ultimately trying to achieve with the GTF programme?"*, respondents from the FAN Secretariat and WaterAid UK expressed the hope that implementation of the GTF would influence the work and practices of both entities:

> *"This is the only solely global governance programme in the whole of WaterAid. I think the overall goal is to enhance our governance work".*
> (GTF Programme Manager)

> *"It has two high level goals. One is about delivery, obviously... But also it's for us to have the experience and expertise in developing and leading and managing that type of work…..* (Head of PEU – WaterAid)

> *"..to capitalise on FAN's knowledge of [rights based approaches] and WaterAid's link to the donor"* (AALO, FAN)

2.2.2 Evidence of Change

Despite the relatively short period of time that has elapsed since the start of this programme (the implementation phase officially started in April 2009), there is already evidence in a number of participating countries that the GTF programme funding has contributed to a change in the direction sought.

It should be noted that it was not always easy for the MTR team 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. This was partly because the GTF programme is so well integrated in to the other work that implementing organisations are doing, and partly because focal points and partners did not always report sufficiently clearly against indicators and baselines, or provide concrete examples of change. This latter point is discussed further in Section 2.3.2.3 below, Effectiveness of M&E arrangements.

The table provided in Annex 3 shows the most significant change to date brought about by each country programme, as identified through responses to the self-assessment questionnaires and during interviews. The third column provides comment on the level of attribution to the GTF programme of this change, and the fourth indicates the degree of confidence the review team has in this judgement, given that for some country programmes the team developed a much deeper level of understanding than for others.

While the programme has already had an impact, the change brought about to date is often at quite local levels. The challenge for the remainder of the programme is to

identify how best to ensure that good practices established or demonstrated at local level are effectively used to promote change in policy and practice at national level and beyond.

In terms of influencing the work of WaterAid and FAN, the *implicit* purpose mentioned above, there is evidence that the programme has influenced the work of both entities at strategic levels.

According to the programme's Advocacy and Action Learning Officer, the programme has influenced FAN in its strategic thinking and planning:

> *"In a lot of ways in which it's changed Secretariat practice in terms of planning ahead towards more concrete outcomes. It has supported FAN to think more broadly about outcomes (rather than outputs) E.g. they've been working on the right to water for ten years but it's only now looking at right to sanitation".*
> (FAN AALO)

Similarly, within WaterAid, the programme has influenced thinking regarding governance and transparency work within the country programmes implementing the GTF. In WaterAid Uganda's new country strategy, for example, advocacy activities have been aligned with service delivery work and the potential for the GTF work to feed into policy discussions at national level has been actively recognised.

At the level of WaterAid's international headquarters, the GTF programme is beginning to influence thinking: some of the indicators developed for the GTF programme have influenced the selection of WaterAid's global level Strategic Performance Indicators, for example. However, as was noted under *Relevance* above, the MTR found that there is still more work to be done to ensure the GTF is widely known about, across all levels of WaterAid.

In terms of building a more solid alliance between FAN and WaterAid, and using the relative strengths of each entity to add value to the GTF programme, there is less evidence that this has happened. This is discussed below in Section 2.3.2.2, Effectiveness of Partnerships.

2.2.3 Coverage and wider impacts
As was mentioned in the introduction (section 1), the programme is now being implemented in 15 countries, rather than the 16 initially involved. The number of implementing partners has increased from 28 to 32.

Within country programmes, coverage has sometimes been greater and sometimes less than expected so far. For example, in Uganda GTF partners have produced more community radio programmes than originally planned and through them have reached audiences beyond the specific target areas. In Ghana, only about 30 of the implementing networks' members have been involved with the project so far, as opposed to the 50 that are eventually planned to be included.

Strategic alliances that have been built between GTF implementing partners and other organisations have also served to increase the coverage of GTF activities and principles. The evaluators noted that seven out of 13 countries have already formed strong alliances or are in the process of establishing partnerships with other organisations. Examples include one of the partners in India, CRSD, which has been working closely with another local organisation called the Child Rights Foundation (CRF). The CRF has adopted GTF models and experiences and integrated these into their own work with children, for example carrying out water and sanitation surveys in school. In Mali, the GTF partners have been working closely with government agencies in charge of promoting governance such as the national commission for governance of the African Peer Review Mechanism (APRM), and in Central America, FANCA and GTF partners are working in partnership with the Global Water Partnership (GWP) to implement their water agenda at the regional level.

In Central America and in Western Africa, the Water Integrity Network (WIN) has been in discussion with GTF partners and other stakeholders to set up national integrity and dialogue networks to work on broader governance and transparency issues (e.g. corruption). One national network has been set up in Mali (REMID) and the process has been started in Central America. The GTF plans to use these networks as additional platforms to broaden their advocacy agenda.

FAN has been invited by DFID (and others) to present at a session in Stockholm Water Week in August 2011 on Right to WASH, and to base this on case studies from the GTF programme in India.

While there are examples of such strategic partnerships and leveraging of additional funding, further efforts in this regard will be required in the second half of programme implementation phase if the programme is to maximise its potential for wider impacts.

2.3 Effectiveness

2.3.1 Achievement of set objectives

- 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 MTR 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. (See Recommendation 3)

- Good 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 fully to 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.

2.3.1.1 Achievement of set objectives at country level

In the self-assessment questionnaires, GTF focal points were asked to report progress in each of their stated objectives (outputs) with reference to their country level logframes and baseline information. In practice, few provided responses in quite as much detail as to report progress indicator by indicator, and none referred to baseline data. In completing the review matrix and summary report for each country programme, the review team assessed progress against individual country level logframe indicators as far as was possible from the available information. However, the level of confidence the team is able to attribute to its findings varies from country to country, for the reasons given in the Methodology section above (Section 1.3.)

Based on the information available from each country programme regarding progress to date against their country specific objectives, the review team scored each country programme according to a Traffic Light system. Green was used to denote programmes that are well on track to achieve their intended objectives and to demonstrate measurable impact by the end of five years; Amber was given to programmes that are making progress but will require minor adjustments to achieve their purpose level objectives by the end of the five years; and Red was attributed to programmes that are unlikely to achieve purpose level objectives by the end of the five years.

On the basis of this analysis, the review concluded that of the sixteen countries originally intended to be included within this programme, five (31%) can be seen to be performing well; seven (44%) are mostly on track but in need of closer monitoring and support to ensure full achievement of objectives by the end of the programme

period; and the other four (25%) were deemed unlikely to achieve their intended purpose by the end of the programme period. Of these, one country (Zambia) is no longer to be included in the programme due to performance issues experienced with the agency that was to implement this project. A further two (Bangladesh and Malawi) have only just started implementation within the past few months, the first due to hold ups with government approval of the programme and the second due to problems with the original implementing partner. Table 1 below shows the traffic light scores given to each country. In Annex 4, the reasons for these scores are summarised.

Table 1:   Traffic Light Scoring of Country Programmes

Country	Traffic Light score	Level of confidence in findings
Costa Rica	Green	High
Nicaragua	Green	High
Honduras	Green	Medium
Uganda	Green	High
Mali	Green	High
Madagascar	Amber	Medium
India	Amber	High
Ghana	Amber	Medium
Burkina Faso	Amber	Medium
Nigeria	Amber	Medium
Guatemala	Amber	Medium
Ethiopia	Amber	Medium
Kenya	Red	Medium
Bangladesh	Red	High
Malawi	Red	High
Zambia	Red	High

2.3.1.2 Achievement of set objectives at global level
Table 2 below provides clarification of each indicator in the original global logframe, as well brief assessment on progress to date of each indicator based on the information that was available to the MTR team. The table also includes the clarification around each indicator that resulted from the discussion at Big Meeting 3. As can be seen, progress to date has been good for most indicators. However, the targets set for achievement by mid-term would seem to have been fairly conservative. In order fully to 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.

Table 2: Progress Against Global Logframe

Indicator	Comment/clarification	Progress to date
Output 1: Strong and well functioning CSOs and networks capable of influencing the design, implementation and evaluation of effective WASH policies at all levels.		
1.1. Increase to at least 50% the number of CSOs and networks that have organisational structures and systems in place by 2011(advocacy strategies, plans, capacity needs assessments etc)	The 50% in this indicator refers to 50% of those CSOs and networks involved as primary implementing partners in this programme, i.e. 50% of 32. The MTR found that there has been varying interpretation and focus of this indicator across the country programmes. While it was initially planned to carry out capacity needs assessments of each of the main implementing partners in the first year of the project, these have not yet been universally carried out. The team also found that the focus for capacity building (implementing partner organisations themselves or on their network members/community based organisations) was not always clear.	Achieved: From the information available to the review team, 20 of the 32 main partners (63%) now have effective organisational structures and systems in place. A further five (16%) have made progress in getting such systems in place but more work is needed. In the remaining 7 (22%), capacity building focus has been on the member organisations of the primary partner rather than on the capacity of the primary partner organisation itself.
1.2. At least 50% of the organisations have developed/increased skills to implement effectively their advocacy agenda by 2011.	The 50% was taken to mean 50% of implementing partner CSOs or networks. The first two years of the GTF were focused on building the capacity of partners to implement advocacy programmes by providing training on citizen engagement processes, advocacy / CAR frameworks, and how to use tools such as social audits, water mapping etc. The extent to	Achieved: According to the MTR analysis, just over half of the main implementing partners (17 out of 32, or 53%) have been able effectively to implement their advocacy agenda. However some partners still need to continue working on this output.

Indicator	Comment/clarification	Progress to date
	which the partners have been able to effectively put this training into use varies.	
2.1 Evidence of policy and practices reflecting pro-poor changes and recommendations due to CSO advocacy actions (disaggregated into marginalised groups and pressure groups)	There is no evidence that data is being gathered in a way that allows for assessment of the extent to which CSOs specifically representing the marginalised are engaging in decision making processes. This is discussed further under the Equity and Inclusions section of the report below.	Progress made: There is some evidence that policy and practice are reflecting recommendations taken on from GTF advocacy activities. Examples are cited in Annex 9 in the most significant change chart. In Central America, the CAPs law (no.722) was passed in Nicaragua. In parts of Africa (Mali, Burkina Faso), CSO recommendations were part of formalising and institutionalising public hearing spaces at local levels.
2.2 Increase to at least 30% number of CSOs that are participating consistently and adding value to dialogue and decision making platforms / processes at all levels by 2013	The 30% refers to the number of CSOs and networks involved as primary implementation partners in the programme. The term 'adding value' that is used in this indicator has not been clearly defined.	Achieved: There has been very good progress under this indicator. Partners in every country are now participating in decision making platforms and spaces, some at very local levels, some nationally, and in Central America partners have also been involved (via FANCA) in dialogue at regional level via the Central American Presidents' Summit.
3.1. Evidence of people (including poor and marginalised) being informed and better able to demand accountability from governments and providers in at least 3 countries	Note that although some partners are effectively documenting their work in this area (e.g. CIDI in Uganda), there is generally insufficient documentation of the processes being used, which is an area that needs considerable focus	Achieved: All but one of the country programmes is working on output 3 and there is good evidence of achievement in this area in more than 3 countries. For example:

Indicator	Comment/clarification	Progress to date
by 2011	in the remaining years of the programme if the good work of this programme is to be replicated and sustained (see comments under Learning and Sharing in Section 2.3.2.4). The similarity between the two indicators associated with this output was noted and discussed at Big Meeting 3. It was suggested that from now on indicator 3.1 should be to do with awareness raising and information, while output 3.2 should focus on the use of this information to demand accountability and responsiveness.	Uganda has been using the community radio programme as an effective platform for citizens to demand accountability. Similar tools have been used in Burkina Faso. Uganda has also been using water point mapping as a tool to provide better information on the sector. Mali has translated the water code and disseminated the document through awareness raising activities. The partners in India have been disseminating information on the RTI Act. Over 180 applications have been filed in their targeted communities. Some of the partners have also been helping communities develop local development plans working with local authorities. In Central America, Water codes have been simplified and disseminated to water boards who are now demanding for recognition from government institutions. In Nicaragua, an Alternative Report has been submitted to government authorities and UN agency highlighting the current situation of water and sanitation services and also re-introducing the concept of the human right to water.

Indicator	Comment/clarification	Progress to date
3.2 Evidence of citizens (pressure groups / platforms etc) able to demand accountability and responsiveness from government and service providers in at least one region by 2013.		Achieved: as examples can be seen in more than one region. These examples include the public hearing spaces at local and national level in Mali, Uganda, and Burkina Faso. Citizen platforms in Ghana, citizen score cards in Uganda and the use of social audits in India. In India, Village Water and Sanitation Committees have been set up and / or supported by the GTF. In Central America, the GTF has been supporting community water boards in their management arrangements and in their ability to meet with government to discuss water and sanitation policy and practice (e.g. draft CAPs laws). The CAPs Law was recently passed in Nicaragua in May 2010.
4.1 Evidence of increased availability and access to sector information at appropriate levels in at least one targeted region by 2012	Note that there is lack of clarity within the programme as to which activities or outcomes should be attributed to this Output. None of the Central America programmes include this outcome in their logframes, and neither does Uganda. In practice, however, Uganda is doing work under this output. There was recognition that several activities that are primarily carried out under outputs 2 and 3	Achieved: Using the RTI Act in India, more than 180 applications have been filed an estimated 78 have been responded to In Uganda, partners mentioned that in some communities the budget and information on water and sanitation is displayed on the notice-boards of the local area council offices.

Indicator	Comment/clarification	Progress to date
4.2 Government systematically involve citizens in constructive decision making processes resulting in legal regulatory frameworks in accountability and responsiveness in at least 5 countries by 2013.	also address output 4 as they imply involvement of local or national level authorities. In the West Africa countries WaterAid is implementing the Local Millennium Development Initiatives (LMDGI), which builds the capacity of local governments and hence essentially focuses on this 'supply' side of CAR work. In these countries, the GTF is working alongside the LMDGI. Hence there tends to be less focus on output 4 within the GTF. Engaging effectively with local authorities has been recognised as being a key strategy for success to this programme. Examples include from Uganda, where two partners carried out water point mapping, one in partnership with the local authorities, the other as a parallel process. The first was a more successful approach as it ensured ownership of the findings from local authorities and at the same time built their capacity. In Ghana, they have experienced resistance from district authorities to release financial information for the purpose of budget tracking. In response, WA Ghana plans to organise regular platforms involving local authorities to share and learn about the value of budget tracking on the lives of poor people and the overall development of the targeted districts.	Progress made: There are examples of government involving citizens in decision making processes but there is less evidence that this participation has resulted in changed legal regulatory frameworks. Examples of government civil society platforms are: The involvement of CSOs in the PROSEA steering committee in Mali, the invitation of CSOs to participate in public hearing spaces (especially at the local level) in Mali, Uganda, Burkina Faso. In India, civil society is invited to government meetings at district and mandal level using the RTI Act. In Madagascar, where the district level authority is one of the partners of the GTF programme, output 4 is central to their work. Through the GTF, the local authority to improve the way they work with available data, how they target, and how they listen to community voices to include these as part of their prioritisation process.

2.3.2 Effectiveness of management, partnership, M&E and learning arrangements

- Managing the programme as a global level programme, rather than as a collection of 28+ local level projects or as two global programmes (one FAN and one WaterAid), has sometimes 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 or Steering Committee for the programme, and weaknesses in communication between WaterAid and FAN (See Recommendations 1.1; 1.2; 2; 5.2; and 6)

- As a result there has been a concentration of monitoring and management responsibilities in the GTF Programme Manager in London, with the support of the AALO. Their capacity to provide feedback and support to this many different levels is therefore stretched.

- Extensive consideration has gone into the M&E framework, and in to 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 (See Recommendations 5 and 6).

As described in the Introduction section above, the WaterAid/FAN GTF programme comprises over 28 different component projects, with implementing partner organisations having come on board through two different channels – via their partnership with WaterAid country programmes or via their membership of FAN. It was recognised from the beginning of the programme that managing it effectively as one global programme would prove challenging. Consideration had to be given to developing management, M&E, communication and reporting systems that would ensure:

- supervision and support to programme partners at country level;
- the filtering up of information relevant and sufficient for accountability requirements;
- the extraction and documentation of lessons that would provide evidence for national, regional and global level advocacy and policy influencing;
- a sense among partners of being part of a global programme whose impact would be greater than the sum of its parts.

while at the same time ensuring:

- the integration of GTF activities and processes into national and regional level strategies;
- efficient disbursal of programme funds and implementation of planned activities;
- a strong sense of ownership among partners;
- reporting requirements that were not unreasonably burdensome.

Much consideration has gone into how best to address these often conflicting requirements. The systems and arrangements that have been put in place as a result have evolved over the life of the programme and are still changing at the time this MTR is being carried out.

In the paragraphs below, these interrelated arrangements and systems are discussed under the headings: Effectiveness of management arrangements; Effectiveness of partnership arrangements; Effectiveness of the M&E framework; and Effectiveness of learning and sharing.

2.3.2.1 Effectiveness of management arrangements

The lines of reporting and monitoring of the programme are complex. They differ from region to region, and have evolved over time. As an example of this complexity, the diagram in Annex 6 illustrates reporting lines in East Africa set up during the inception phase of the programme.

At *implementing partner* level, a project officer dedicated to the GTF programme is in charge of coordinating programme activities. At *country* and *regional levels*, management arrangements vary according to whether the implementing partners in the country are members of FAN, or partners of a WaterAid country programme.

For the *WaterAid* partners, a core member of staff from the WaterAid country office has been identified as the GTF focal point, and is responsible for managing, coordinating, monitoring and evaluating the implementation of the GTF programme among the partners as an integral part of their own country strategies. At regional level, teams including the Finance Officers and the Regional Advocacy and Policy Advisors (RAPAs) support the coordination of the GTF programme. They are primarily accountable for national level implementation, and for consolidating regional reports to send to the GTF programme manager in London. The GTF programme budget does not cover the costs associated with the work of the GTF focal point or RAPAs, as the GTF programme is seen to be integrated into the national and regional plans of WaterAid.

For the *FAN* implementing partner organisations, a position has been created and funded by the GTF programme to sit within each of the FAN regional networks to fulfil the GTF focal point role.

At *international level* part of the 15% overheads allowable for managing the programme have been used to cover the salaries of two full time staff. The first is for a Programme Manager, a WaterAid staff member who has ultimate responsibility for managing the programme and the contract with DFID. The Programme Manager is supported by an Advocacy Action and Learning Officer (AALO), who sits within the FAN Secretariat and whose job description is to provide support in monitoring and learning across the programme, and advocacy and capacity building support to FAN partners.

To support these management structures, it was originally envisaged that two advisory groups would be established. The first, an Advisory Reference Group, would comprise representatives from within the GTF programme and would be mandated to meet six times a year to review progress against global objectives and monitor the effectiveness of learning within and beyond the GTF programme. The second was to be an external Steering Group, which was to meet twice a year to discuss the more strategic considerations of the programme, such as how WaterAid is maximising its inputs to the GTF and how the programme is contributing to DFID's wider goals on governance and transparency. The plan to establish such a group recognised the importance of using the GTF programme to step up WaterAid's influence on the wider sector: *"the purpose of the group is to challenge WaterAid in the first instance to ensure it provides added value on each aspect of this work. The GTF programme is a great opportunity for WaterAid to make a clear impact on the sector. It is particularly opportune as WaterAid embarks on its next global strategy period with its increasing focus on influencing the wider sector"*[11].

In practice, the management arrangements described above have not worked as smoothly as was hoped. The MTR identifies several reasons for this:

- *Lack of effective Steering and Reference groups*: Although individuals were identified to sit on both the Advisory Reference Group and the Steering Group described above, in practice neither has been operational. The GTF Programme Manager has recently set up two new groups, both internal to the GTF family. The first, the Programme Performance Review Group, has an authority function and is responsible assessing the effectiveness and efficiency of partner and country level programmes. The second, the Programme Management Group, is to provide strategic advice and recommendations on the key decisions to take for the success of the programme. The groups have

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[11] WaterAid/FAN GTF Programme Inception Report, March 2009, page 27

not yet become fully functional. The idea of having an external steering committee whose role would be to discuss the more strategic considerations of the programme, has been dropped.

- *WaterAid Regional Structures have not fully owned the GTF:* The roles and responsibilities of positions within the regional structures of WaterAid have been in flux since the start of the GTF programme. Consequently, the GTF programme has not been effectively integrated into the regional strategies, plans, and management structures of WaterAid.

- *The FAN regional networks have varied in their effectiveness at coordinating GTF activities* within their regional strategies and managing the GTF funding as a regional programme. In Central America, the GTF programme was designed to be fully integrated into the work of FAN's regional network (FANCA), and the GTF programme is very much seen as a regional programme. The same is not true in South Asia, where the GTF programme is less well integrated into the work of FANSA. To date the GTF programme has only been implemented in India (by four partners). However, the programme in Bangladesh is now coming on stream, and there is a lack of clarity as to how this will feed into a regional GTF programme (there is currently no regional GTF logframe) or to the work of FANSA. In Africa the FAN Regional Network (ANEW) has been dropped from the programme due to concerns over misappropriation of funds and because its role was considered to have become redundant[12].

The lack of management support from an effective reference group, plus the weakness in reporting structures at regional level, have resulted in a concentration of management and monitoring responsibilities reporting channels for GTF Programme Manager and the AALO in London. This has been recognised by WaterAid, which has since recruited an additional staff member to support the GTF programme manager. Furthermore, the potential for the programme to maximise its impact beyond the £5m of programme funding, is hampered by the lack of an external steering committee.

2.3.2.2 Effectiveness of partnership arrangements
The WaterAid/FAN GTF programme is built on partnerships. At the highest level, it is a partnership between two different entities, WaterAid and FAN. Below this, within each region and country involved in the programme, several

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[12] One of the three partners whose GTF work it was originally to oversee (WLWRSA) is no longer involved in the programme and another (NAPE) was put under the management of the WaterAid country programme, leaving only one FAN Africa partner (KEWASNET).

local CSOs or CSO networks are implementing the programme. The FAN partners are regional and national level networks. The WaterAid partners are a mixture of national level CSOs or networks, and are often themselves members of their national and regional FAN network. Several of the WaterAid primary implementing partners are working through grassroots implementing partner organisations. The success of the programme relies heavily on the effectiveness of these complex partnerships.

The potential added value to the programme of the partnership between FAN and WaterAid was identified from the beginning, as articulated in the inception report:

> "*This collaboration between WaterAid and FAN presents not only mutual opportunities for both but also considerable added value to the GTF programme as a whole. It brings:*
>
> - *Experience in making governments accountable*
> - *Strong networking experience*
> - *Recognised voice*
> - *Reputation and capacity*
> - *Work with local governments at local level*
> - *National and regional knowledge*
> - *Civil society space within government platforms"[13].*

The roles and responsibilities identified for each organisation in the management of the programme reflect their respective strengths. WaterAid's role is to focus on the overall management of the GTF contract and support partners in their capacity to comply with management requirements (e.g. finance, governance, management and planning systems), and FAN is to focus on building strategic communication systems and support effective networking across the GTF.

In practice, however, the differences between FAN and WaterAid in their experience, their structures, and their modus operandi, have tended to serve more as a barrier to effective implementation of the GTF programme than as a catalyst for added value. Communication barriers, due both to systemic issues such as FAN GTF focal points not having access to the WaterAid intranet and online resource library, and to different working styles within the international headquarters of both entities, have prevented the free flow of information between WaterAid and FAN partners. Poor communication and a lack of transparency in decision making surrounding the GTF at high levels was commented on by five out of the six FAN partners interviewed as part of the MTR.

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[13] WaterAid/FAN GTF programme Inception Report, March 2009, p 23

"In Central America, we feel left out and excluded from the GTF. We are not informed of the decisions made within the management in WaterAid UK." (Nicaragua).

"We didn't know that WaterAid India would now be part of the reporting system. We had not been informed. There is an overall communication problem within the GTF which is not good in a governance and transparency programme. There are many things which are unclear to us."(India)

"With all the changes with the reporting, we were not clear on how the regional level would be managed. These issues were not clearly communicated" (Kenya).

The recent problems that WaterAid has experienced with the financial systems of some of the FAN partners and the arrangements that have put in place to mitigate these risks in future, together with the imminent independence from WaterAid of the FAN Secretariat[14], could widen these differences still further over the life of the GTF programme. The MTR concludes that conscious efforts need to be made as a matter of priority to acknowledge and address these issues. The establishment of an external steering committee for the programme, with membership comprised of senior staff within both WaterAid and FAN, as well as from outside the two entities, would help address this.

2.3.2.3 *Effectiveness of the Monitoring and Evaluation framework*
During the inception phase of the project (September 2008-March 2009), emphasis was placed on developing a shared vision for the programme and developing global level output statements and related indicators that would be used as the basis for the programme's Monitoring and Evaluation Framework. Following development of the global logframe, regions were asked to develop regional, and then country level logframes. These were to be developed in a participatory way with implementing partners to reflect their own work in a way that would enable demonstration of contribution to global level indicators.

The inception report outlines the M&E framework in detail, and stresses the M&E framework was not intended to add extra layers of reporting to WaterAid and FAN, but rather to be integrated into their existing reporting frameworks.

Data collection methods to be used to identify progress against indicators included the compilation of scrapbooks by partners (documenting activities and outcomes using photos, case studies, newspaper cuttings etc.), questionnaires, surveys, and workshops. Annual review meetings at national

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[14] Having been established as a project within WaterAid in 2000, the FAN Secretariat is currently not a legal entity in its own right. This is to change over the next twelve months, and FAN will be independent of WaterAid by the summer of 2012.

and regional level were also planned, to allow partners to share lessons with each other and with other stakeholders.

In addition to routine monitoring of activities and lessons, the M&E framework identifies specific evaluative activity that would be used to analyse changes over time, including specific studies and consultations focused on documenting evidence of change, joint evaluation between governments/service providers and citizens, and assessments using surveys and questionnaires[15] .

In practice, this detailed M&E framework has not to date been fully implemented as planned. Challenges faced by GTF focal points in adequately reporting progress against national level indicators were discussed in some depth at Big Meeting 2, held in Mombassa in May 2010. Challenges identified included:

- The need to find the right balance (given the limited finances and time available to support GTF partners) between monitoring, learning and documenting GTF outcomes, and supporting actual implementation.

- Weak capacity of implementing partners to report on outcomes rather than just list activities.

- Limited funding available for GTF specific M&E requirements (note the conflict between the intention that the GTF be integrated into national and regional strategies and reporting systems, while at the same time the need to report against GTF specific indicators).

- A discomfort with using logframes to monitor progress.

Seven percent (£373,639) of the overall programme budget is dedicated to M&E. Of this, 27% (£100,000) is in addition to the 15% overheads budget and is to cover the cost of the mid-term review and end of programme evaluation of the global programme. The remainder sits at GTF grantee level. Their M&E line items are used to cover routine monitoring and planning activities. While the M&E framework identifies the need for specific thematic and evaluative studies to complement routine monitoring data as a way of assessing progress against output and purpose level indicators, financing for such studies has not been built into budgets.

As was mentioned in the methodology section above, this MTR was at the level of the overall global programme and did not look in-depth look at each participating partner programme or test the effectiveness of specific

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[15] WaterAid/FAN GTF Programme Inception Report, p29

strategies. For individual country programmes to ensure that they are on track to achieve their country level objectives, to identify the changes that they could make to enhance performance, and to extract lessons for sharing with others, more specific reviews should be carried out at country level. These do not have to be externally commissioned, independent reviews. Whether in-house or independent, they should take the form of a dedicated period of reflection to re-visit baselines, logframe indicators, risks and assumptions, and to assess the effectiveness of particular activities and identify key success strategies.

Without such investment in evaluation studies, it will be difficult for the programme effectively to identify progress towards its global level aims and to synthesise lessons that can be shared within and beyond the programme.

2.3.2.4 Effectiveness of learning and sharing

The importance of lesson learning and sharing has been acknowledged within the design of the GTF programme, and the focus of considerable discussion at Big Meeting 2 in May 2010. It is recognised that learning within the GTF programme is important to promote enhanced effectiveness of the programme – learning lessons from each other as to what works and what doesn't. Similarly, documenting and disseminating lessons beyond the 'GTF family' is crucial to promote the adoption of successful models and approaches by others, and hence broadening the impact and enhancing the sustainability of the programme. Finally, collating lessons and evidence from the programme and feeding these into national, regional, and international level policy dialogue is crucial for the achievement of the Programme's global purpose.

To date, strategies for promoting such lesson learning and sharing have included the convening of annual national, regional and global level workshops (the latter being known as the Big Meetings referred to throughout this report), and the hiring of an Advocacy, Action and Learning Officer (AALO) for the programme, based at the FAN International Secretariat in London. The AALO role has been to provide guidance to GTF focal points as to how to extract lessons and case studies from country level programmes, to collate such lessons and compile into various documents, such as the GTF Sunshine Newsletter, and the recently published "Learning from Experience: Rights and governance in the water and sanitation sector".

The effectiveness of this role has not been optimal, due largely to the systemic communication barriers, some perceived, some real, mentioned in Section 2.3.2.2 above. In the words of the first AALO[16],

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[16] The first AALO joined the programme in March 2009 and left in March 2011. She was replaced in April 2011.

WaterAid/FAN GTF MTR June 2011, theIDLgroup.

> *"There is an obstacle to extracting learning, in that WaterAid is a separate organisation and the country partners aren't accountable to me at all. For FAN it's been okay because they're used to reporting to me. It's a disadvantage to the WaterAid partners as well in that they don't then get the feedback from me either".*

While the Big Meetings, and the work of the AALO, has been appreciated by GTF focal points, there is still a sense, expressed consistently to the MTR team, that more needs to be done to promote learning. Of the five GTF focal points who were asked by the MTR team *"if you could change three things to improve the GTF for its remaining 3 years of implementation, what would they be?",* all five mentioned improved learning.

> *"We need to maintain and strengthen meetings of GTF partners... We need to go beyond statutory meetings and use other framework e.g. world water week".* (Burkina Faso)

> *"I know there has been a lot of effort to make sure the partners are learning from each other but I'm not sure it's working very well. At one point it was suggested that we have an internet based system of sharing information. We need to start up an active way of sharing information"* (Kenya)

> *"We want WaterAid UK to play more of a role to catalyse close learning and cross fertilisation – This was raised in Mombassa but this needs to be expanded upon. Partners lack technical people so this learning and sharing is vital. Need some ideas / capacity model".* (Ethiopia)

Blockages to improved learning within the GTF family are the same as the challenges listed under the sections above, namely: systemic communication problems; weak capacity of partners to document change and lessons as opposed to just activities; and insufficient time and resources to collect such information.

These issues were discussed in depth at Big Meeting 2 in May 2010, but the fact that the subject featured so prominently in interviews during the MTR suggests that it has not yet been satisfactorily resolved. During Big Meeting 3 in May 2011, participants again expressed a sense of urgency that more attention be given to ensuring better learning and sharing in the second half of the programme. The MTR team suggests that urgent consideration be given to this issue within the next three months, with Programme Management Group being tasked specifically with following up on the recommendations identified by workshop participants during Big Meeting 3. Some programme funding may need to be redirected specifically to ensure that these are put in place.

2.4 Efficiency

- Expenditure to date for the overall programme is in line with expectations.

- Six of the fifteen countries involved are behind with spending, with the reasons for this raising 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. (See Recommendation 7).

- Risk identification has been comprehensive, but some mitigation strategies need more urgent emphasis.

Table 3: Expenditure to Date of Country Programmes

Countries/Regional bodies	Original five year budget (GBP)	Expenditure to date (GBP)[17]	Balance (GBP)	% of total budget spent to date
Malawi[18]	117,740	**23,344**	94,396	19.8%
Uganda	291,600	**145,469**	146,131	49.9%
Kenya	207,147	**45,182**	161,965	21.8%
Ethiopia	106,500	**26,795**	79,705	25.2%
Ghana	186,044	**38,489**	147,555	20.7%
Burkina Faso	132,978	**59,902**	73,076	45.0%
Mali	448,290	**212,705**	235,585	47.4%
Nigeria	591,138	**116,430**	474,708	19.7%
Madagascar	179,092	**67,161**	111,931	37.5%
Guatemala	130,000	**61,512**	68,488	47.3%
Honduras	130,000	**60,644**	69,356	46.6%
Nicaragua	130,000	**60,864**	69,136	46.8%
Costa Rica	130,000	**56,652**	73,348	43.6%
Bangladesh	132,177	**7,473**	124,704	5.7%
India	743,295	**320,342**	422,953	43.1%
FANSA	84,000	60,584	23,416	72.1%
ANEW	275,000	**77,701**	197,299	28.3%
FANCA	135,000	**164,362**	-29,362	121.7%
SUB TOTAL GTF	**4,150,001**	**1,605,611**	**2,544,390**	**38.7%**

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[17] These figures are preliminary as financial reports for 2010-11 financial year had not been reconciled by the time this MTR report was finalised.
[18] This budget represents the budget that was initially to cover both Malawi and Zambia, to be implemented by WLWRSA, which is no longer involved in the programme. GTF activities in Malawi are now to be overseen by WaterAid Malawi.

Table 3, above, shows that overall the WaterAid/FAN GTF programme had spent 39% of its total five year budget by April 2011. Given that implementation of programme activities only started two years ago and has two and a half years left to run, this represents a good level of expenditure.

Within individual components of the programme, however, there is a wide variation in expenditure. As can be seen in Table 3, FANCA has spent more than was originally budgeted for this network, and FANSA has spent 72% of its original budget. However, it was acknowledged early on by WaterAid that the original budgets for these two networks were too low for them to perform the coordinating role expected of them within the programme. To rectify this, they have both since been allocated more money from a redistribution within the overall programme budget, so this apparent overspend is accounted for.

Six out of the fifteen countries implementing the programme (40%) have spent less than 30% of their budget to date. Furthermore, one of the three regional structures that were initially involved in implementing the programme, ANEW, is no longer involved, leaving a balance of almost £200,000 that will need to be redirected to other parts of the programme.

Reasons for this relative under-spend vary from country to country. They include:

1. Partners having been dropped due to concerns about financial management or performance (ANEW, and WLWRSA, the partner that was originally to be implementing in Malawi)

2. Partner government bureaucracy slowing down implementation (Bangladesh, Ethiopia)

3. Lack of sufficient support to partners due to changes in reporting and monitoring channels (Kenya).

4. Problems with recruiting and/or retaining personnel in implementing partner organisations (Ethiopia and Ghana).

5. Lack of full integration of the GTF into WaterAid country programmes and changes in GTF focal points (Nigeria).

The reasons listed bring into question the efficiency of the programme in terms of its complex managing, reporting and partnership arrangements, and the sufficiency of its risk assessment and mitigation measures. These are discussed below.

2.4.1 Efficiency of management, reporting and partnership arrangements

As was discussed in the Effectiveness section above, the systems in place for reporting, monitoring, and management of this programme are complex, vary from country to country, and for some partners have changed more than once over the past two years. The channels for financial reporting and for disbursement of funding for the most part mirror the channels for narrative reporting and technical support, although not always.

In the self-assessment questionnaires completed by GTF focal points as part of this MTR, Efficiency was given the second lowest mean score after Equity. Recurring themes under the questions relating to efficiency in the questionnaire and in interviews were that delays had been experienced in financial transfers, to the detriment of timely implementation of activities (nine out of 13 countries identified late fund disbursement as being a problem); and that budget forecasting and reporting cycles required by the GTF are out of phase with partners' and focal points own planning cycles.

During discussion with the GTF Programme Manager and with participants at Big Meeting 3, it was acknowledged that most of the reasons for the above concerns were unavoidable due to the rigid reporting and accounting requirements of both WaterAid and DFID. On the whole it was felt that the problems that had been experienced in the early stages of the programme were 'teething issues', often due to partners having to get to grips with the required reporting and financial management arrangements.

"There were a few challenges at the start e.g. it was hard to get the funds every 3 months (rather than monthly) and the financial year of each organisation is different – which has meant but the time the reports are submitted in April, we don't get funds till May and then we only have two months to do the work. Sometimes have to lend from GPAE and then reimburse" (Nicaragua)

Given that some new partners and GTF focal points have recently come on board, it was agreed at Big Meeting 3 that the GTF Programme Manager should ensure once again that the so called 'non-negotiables' surrounding the use of GTF funding and financial reporting requirements are clarified with GTF focal points. It was also agreed that issues affecting the efficient implementation of the programme should be considered on a regular basis by the newly established Management and Review Group, which should have this role clearly expressed in its TOR.

2.4.2 Appropriateness of risk analysis and mitigation measures

The 2009/2010 Annual Report contains a detailed risk assessment and mitigation matrix, identifying ten internal and four external risks. The review

team found that this list of risks was sufficiently comprehensive, that the assessment of the probability and potential impact of most of the risks has proved accurate, and that the actions identified to mitigate such risks are appropriate. Table 4 in Annex 5 provides the MTR team's comment on each of the identified risks.

There are two risks, however, which have proved more significant than their original 'probability' and/or 'potential impact' rating implied. Furthermore, several of the mitigation measures and further actions identified in the matrix are yet to be fully implemented. The particular areas that the MTR team feel need further consideration are:

Compliance with contractual requirements:

It is felt that this risk should be re-categorised to reflect the fact that partners have quite frequently had problems with financial reporting, which has delayed funding disbursements, and that this has negatively affected the efficiency of the programme.

Institutional collaboration changes - proposed independence of FAN:

In the summer of 2012 FAN will become its own legal entity and independent from WaterAid. The GTF programme will continue beyond this split. The contract for this programme is between DFID and WaterAid, as FAN was not a legal entity at the time the programme was developed. Consideration needs to be given within the next six months as to the implications for the GTF programme of FAN's independence. In particular, urgent consideration should be given to improving communication between the two organisations with regard the GTF programme implementation, to ensure that the respective strengths of each organisation are fully exploited in the implementation of this programme (see Section 2.3.2.2 above)

2.5 Value for Money

- There is as yet no established definition of VFM within the WaterAid/FAN GTF programme, and hence no guidance to focal points or grantees as to the sorts of data that should be collected and reported for its assessment.

- Based on the information that was available to this MTR, it would seem that the programme represents fairly good VFM. 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 is achieving good results (effectiveness).

- However, to enhance VFM still further, consideration should be given to routinely monitoring the efficiency of management and reporting arrangements (efficiency); improving the extent to which the programme is being managed with a focus on outcomes (effectiveness); and ensuring that lessons and successes from the programme are documented and shared with a view to increasing replication of the programme (effectiveness) (See Recommendations 5, 6, and 7)

- The MTR team recommends that the programme works to identify its own definition of VFM, and clarifies how best to integrate VFM principles into all aspects of its management and M&E systems (See Recommendation 8)

 "Value for Money (VFM)… is about achieving the right local balance between economy, efficiency and effectiveness, or spending less, spending well and spending wisely to achieve local priorities. VFM is high when there is an optimum balance between all three elements"[19]

In this "3Es" definition of value for money, *economy* refers to a measure of what goes into a programme – the cost of inputs. *Efficiency* is a measure of productivity, or the relationship between inputs and outputs. *Effectiveness* examines the relationship between outputs and outcomes, focusing on the extent to which a programme has been successful in achieving its intended objectives. There is recognition that it is the *balance* between these three measures, and not the absolute level of each of them, that is important to ensuring VFM. It is not about always cutting costs, if this leads to a reduction in the efficient or effective use of those resources that are available.

Assessing VFM in governance programmes is recognised as being particularly challenging. Such programmes necessarily adopt diverse and complex approaches to achieve desired outcomes, making it difficult to identify benchmarks that can be used for comparing different interventions. Furthermore, the achievement of outcomes is often a gradual process, and

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[19] Taken from Audit Commission Website, accessed 12 October 2010 by ITAD.

attributing outcomes to any one intervention is often not possible. Reaching an informed judgement on each of the 3Es in a governance programme will necessarily rely heavily on the use of qualitative data to compliment and enrich any quantitative data available[20].

The TOR for this review suggested three questions in relation to VFM: (i) Could the same results have been achieved for less money? *(efficiency)* ; (ii) Are salaries and other expenditures (e.g. overheads, running costs etc) appropriate to the context? *(economy)*; and (iii) Are there obvious links between significant expenditures and key programme outputs/outcomes? *(effectiveness).* In the section below we provide comment and analysis under each of the 3Es, using the suggested questions as a starting point and exploring some additional issues that might also usefully be looked at.

2.5.1 Economy

"Are salaries and other expenditures (e.g. overheads, running costs etc) appropriate to the context?"

It was beyond the scope of this review team to carry out an in-depth audit of expenditure grantee by grantee. Instead, qualitative data was sought by asking the above question in interviews and in the self assessment questionnaire. All those who responded to the question felt that the salaries and overhead costs being offered by the WaterAid/FAN GTF programme were not excessive. In many instances respondents felt they were insufficient for the needs of the programme and that the programme relied on the commitment and dedication of poorly paid staff.

> *"I think that the salaries of technical staff of our GTF partners are not very competitive compared to other similar programs. Fortunately, these staffs are highly motivated for the challenge"* (Mali)

> *"More could be achieved if adequate funds could be allocated to hiring of a qualified and competent coordinator for the network"* (Kenya)

2.5.2 Efficiency

"Could the same results have been achieved for less money?"

This question was also asked in the self-assessment questionnaires, and again the sense was that most grantees are achieving a lot with very little money. Several respondents expressed the view that the money available to each grantee, and the ambitious scope of the programme, might in fact

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[20] Note that some useful thinking has been done by others into how best to assess VFM within governance programmes, such as the work by ITAD in 2010 ("Measuring Impact and Value for Money in Governance and Conflict Programmes", and the DFID-funded programme Strengthening Accountability, Transparency, and Responsiveness in Ghana (STAR-Ghana) in 2010.

represent a somewhat 'false economy'. While they felt that the same results could not have been achieved for less money, some expressed the view that more could have been achieved if the money were concentrated on fewer activities, or fewer partners.

> "The fund is thinly spread to address at least the three outputs the partner is contributing. It would be better to reduce the out puts in to two and some of the activities and use the fund for most essential activities" (Ethiopia).

> "WAU had to supplement GTF funds since they couldn't meet the desired level of ambition" (Uganda).

> "The funds are tiny compared to the ambitions of the programme" (Mali)

There were some questions raised by focal points and grantees about the discrepancy in the funding levels received by different partners. The total budget for each grantee for the five year programme ranges from just over £41,000 for each of the three WaterAid partners in Uganda, to £254,000 for one of the partners in Mali. The quite considerable differences in the amount allocated to each partner is largely historical, based on the budgets outlined the original proposal submitted by each organisation to WaterAid and FAN in 2007. It is not always clear, however, whether these differences in input costs are reflected in terms of outputs achieved. While some of the partners receiving the largest budgets are performing well and fully utilising their allocations, others are not. There was a sense expressed by some that better VFM would be achieved by investing more in those that are performing well and less on those struggling.

Efficiency of financial flows

Another way of looking at *efficiency* when considering VFM is to look at the extent to which financial disbursements were made in a timely enough manner to spend on planned activities, and at the extent to which the programme has been able to spend within budget. This issue has been looked at in the Efficiency section above.

Ratio of 'input' to 'output' costs.

Seventeen percent (17%) of the overall £5m grant is spent overheads and global level evaluations, managed by the Programme Manager in London. The remaining 83% of the budget goes directly to implementing partners (grantees). Of this 83%, on average 47% has been spent on salaries and running costs. FAN partners on average spend more on overheads as they do not have the benefit of being embedded within a WaterAid programme. This MTR has not looked at

comparing this ratio of input to output costs with other similar programmes, but this might be a useful indicator to look at in future when considering VFM of the programme.

Benchmarked costs of standard products.

Several of the grantees of the WaterAid/FAN GTF project are involved in activities such as community score cards/citizens report cards, the use of community radio etc. whereby the costs to this programme of such products could in theory be compared against the costs incurred by others producing similar products. While this review was not able to collect information on costs that could realistically be compared, this also might be a useful indicator to use in future considerations of VFM in this programme.

2.5.3 Effectiveness

"Are there obvious links between significant expenditures and key programme outputs/outcomes"?

In reporting to the GTF programme manager, focal points are asked to report expenditure under the nine line items listed in the overall budget (see Table 4), which includes a line item for each of the four programme outputs (or objectives). Table 5 below, shows the expenditure on each of the four outputs as a percentage of the total expenditure attributed to outputs (as opposed to overheads, M&E, and learning) in each full year of implementation to date. As can be seen, in the first year 43% of expenditure was on output 1 and 27% on output 2, whereas only 18% and 12% were spent on outputs 3 and 4 respectively. In the second year of implementation, there was a marked shift away from outputs 1 and 2, towards output 3. This is in line with what was envisaged by this programme, with the focus at the start of the programme being on building the capacity of CSOs and networks.

Table 4: Expenditure by line item

	2008/09 spend	2009/2010 Spend	2010/2011 Spend	TOTAL spend to date
Output 1	0	141,059	109,958	251,017
Output 2	0	87,555	62,104	149,659
Output 3	0	59,586	76,201	135,787
Output 4	0	39,922	34,983	74,905
Salaries	23,161	249,251	252,383	524,795

Running costs	14,445	111,581	98,034	224,060
publications/conferences	1,008	34,851	35,734	71,592
Regional Coordination, Dissemination and Learning	14,139	31,219	48,211	93,570
Monitoring and evaluation	0	36,764	43,462	80,226
TOTAL in GBP	**52,753**	**791,788**	**761,070**	**1,605,611**

Table 5: Percentage Expenditure on Each Output

	2009/10	**As % of spend on outputs**	**2010/11**	**As % of spend on outputs**
Output 1	141,059	43%	109,958	39%
Output 2	87,555	27%	62,104	22%
Output 3	59,586	18%	76,201	27%
Output 4	39,922	12%	34,983	12%
Total spend on outputs	328,122		283,246	

It is important to acknowledge that analysis of expenditure data in this way is not one hundred percent reliable as an indication of how expenditure links with outputs, as there is a degree of variation between GTF focal points as to where they attribute expenditure and achievements. This is understandable given the grey areas between the different output statements. Often a particular activity might arguably contribute to achievement under two or even three different outputs. Similarly, it is tempting to allocate any expenditure on training or capacity building to output one, when in fact the result of the training is often more attributable to output two or three.

It is also worth pointing out that this analysis of expenditure does not really answer the question as to how expenditure links to *outcomes* as such, but rather looks at how expenditure is linked to *activities* carried out in the *hope* of achieving outcomes.

The review team felt that two other potential indicators might be useful to look at in relation to the *effectiveness* component of VFM.

The first is the _achievement of planned results_. This is covered under the Effectiveness section of the report, which concluded that 31% of countries involved in the programme are achieving well within expectations, and another 44% only need marginal adjustments to be on-track. It also concluded, however, that there should be more focus in the second half of the programme on 'managing for results'. This will require a greater investment in evaluative activity to understand the link between outputs and outcomes, and also a more rigorous focus on reporting against agreed objectives and indicators.

A second aspect of effectiveness that could be looked at when considering the VFM offered by a programme such as this, is the extent to which the programme has promoted achievement over and above the amount invested. "_If we don't make it worth more than the £5m, then we've failed_" (Head of WaterAid's PEU).

This will come about both due to both _leverage_ and _replication_. Leverage, in this context, refers to the extent to which the programme has managed to secure additional funds to expand its activities or coverage. Replication refers to the extent to which the approaches used by the programme have been adopted and replicated by others.

The review team found some examples to date of leverage. In several countries in Africa the WaterAid country programme supplements the GTF budget, either directly (as in Uganda) or indirectly by covering the costs of overheads associated with managing and monitoring the GTF programme. While this might represent VFM for DFID, it is not necessarily seen as VFM for WaterAid. Several of the country programmes expressed concern that the budget for GTF does not allow for any overhead costs at country programme level.

In Honduras and Guatemala, where the GTF programme is working at the community level, communities have themselves contributed small amounts of money to be involved in the programme. In Madagascar, where the regional authority is one of the key partners to GTF, they themselves cover the cost of playing the Executive Secretary role for the project.

In terms of replication there are not yet many examples of the GTF programme having been replicated by others outside the 'GTF family'. In Uganda the Country Programme will be replicating the GTF approach in the five areas of country prioritised under its new Country Strategy. In Guatemala and Honduras the pilot approaches being developed with Community Water Boards are being shared with, and adopted by, others such as the JADE environment project being funded by the Dutch. In India, the four GTF partners have shared experiences with each other and other local

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organisations on a regular basis. The Water Security plans done at local/village level are being replicated at state level. Gram Vikas has also helped MARI set up the 100% inclusive model in their villages.

In order to promote greater leverage and replication over the next three years of the programme, concerted effort will need to be made in terms of documenting and sharing lessons from the programme. See the discussion under Section 2.2.3 Wider Impacts.

2.6 Equity and Inclusion

- The GTF programme has the empowerment of citizens and civil society, including the most marginalised, as one of its core objectives and works through organisations dedicated to 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 on equity and inclusion issue should be built in to programme monitoring and evaluation in future. (See Recommendation 9)

An extract from the GTF Annual Report 2009 -2010 states that *"WaterAid's new global strategy includes equity and inclusion as a core principle of a Right-Based Approach towards ensuring that issues of marginalised and excluded groups are addressed at all levels for better access to water and sanitation. As a result, an organisational Equity and Inclusion Framework, which the GTF programme contributes to, has been developed. The GTF programme is embedded within the WaterAid Global strategy and contributes to the achievement of the organisational aims which means that equity and inclusion is an integral part of our GTF programme".*

Despite these claims, equity scored the lowest in the self-assessment questionnaires sent out to the GTF focal points of all country programmes. When discussed at Big Meeting 3 the participants claimed that equity is an area that they know little about in terms of how to address, monitor and report on which is why they scored themselves lower on this in their self-assessment questionnaires and during the interviews. Information also provided by the GTF focal points on equity was quite limited - few of the GTF programmes clearly identified and addressed equity in their self-assessment questionnaires and the majority made generalised statements on equity issues.

By its very nature, the GTF is a programme with a strong focus on equity as partners in every country programme work in the poorest and most deprived areas of the country. In some country programmes, there is a more explicit

focus on equity in that they work with partners that represent groups such as women, the disabled or the marginalised communities. For example, the GTF partners in India are focused on empowering women and children's groups as well as tribal communities. Partners in Uganda are working with urban poor and are focused on promoting more equitable distribution of services through their water point mapping.

The MTR team noted several intervention strategies used to include the voices of the most marginalised. For example, in India, the GTF programme is being implemented by partner organisations that work primarily with tribal communities to raise their awareness on the Right to Information Act (RTI) to use this constitutional provision to improve WASH services for their own communities. Moreover, tools such as the Citizen Audit Report have been influential in empowering the marginalised groups to raise their voice and demand for more responsiveness and accountability from government and service providers.

It is not clear however, how issues of equity were considered during the design of the projects and what tools if any, are being used to identify constraints to equity and inclusion on a routine basis to ensure that there is a more strategic focus on equity. Data being collected and reported on by country programmes is not disaggregated and does not enable analysis of the differential impacts of the programme on disadvantaged groups. There is recognition from the GTF 'family' that this is an area where they need to increasingly focus. WaterAid's Programme Advisor in charge of Equity and Inclusion was present at the recent Big Meeting, which was very much appreciated by other workshop participants, and represents a clear commitment from WaterAid to ensure that equity is indeed addressed more explicitly in the programme in future.

Participants at Big Meeting 3 welcomed the participation of WaterAid's Programme Advisor in charge of Equity and Inclusion, and felt they learned from her presentations how they might more explicitly address equity and inclusion issues in the programme in future. In particular they felt they could use the 'barrier analysis tool' in the first instance to help them review the status quo of equity issues within their programmes and to appraise the data from partners from an equity and inclusion perspective.

The MTR concurs with the suggestion at Big Meeting 3 that WaterAid's Programme Advisor in charge of Equity and Inclusion continue to be available to advise and support on the programme on equity and inclusion issues from now on, so that more disaggregated analysis can be embedded within the programme in future. It is recommended that she be made a member of the Programme Management group to this end.

2.7 Sustainability

- The GTF programme was designed with sustainability in mind.

- It is implemented entirely through local partner organisations which themselves work with local directly with communities, and 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 does pay for 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 as to identifying alternative sources of funding for these areas, a more strategic focus on exit strategies is needed over the next year.

2.7.1 Aspects that promote sustainability

Strengthening of community organisations and local NGOs or networks

As mentioned in the introduction, GTF is implemented using locally based partner organisations and in some cases these partner organisations have community based implementation partner organisations working with them. The strength of this approach is identified by WaterAid in its original programme proposal: *"we work with local partners who understand local issues and are able to directly support communities to establish practical and sustainable projects"[21].* The majority of activities funded by the GTF have given emphasis to establishing and/or building the capacity of these community based organisations, NGOs or networks.

The emphasis given to building capacity of these organisations in areas such as development planning, financial management, organisational management as well as specific technical training on advocacy, implies a good prognosis that these entities will have the capacity to continue beyond the life of the project and to become credible partners within the sector.

The design of the GTF, having been developed through a bottom up approach by consolidating a variety of proposals submitted by different partners under WaterAid and FAN, has also meant that the partners are very much involved in the management of the programme. In the original proposal, WaterAid

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[21] *WaterAid/FAN GTF Programme Proposal, September 2007, p9*

stated that "*it is they who have designed the programme and will decide how best to approach the various activities they've identified*"[22]. This approach helps reduce dependency on the GTF teams within WaterAid and FAN as neither of these organisations is directly implementing the work.

Transfer of essential knowledge and skills to communities

In addition to building the capacity of partner organisations, the majority of GTF funded activities have focused on transferring key skills and knowledge to targeted communities to build their awareness of legal frameworks and their constitutional rights to access better services. Such knowledge and skills are likely to be retained in the communities once the GTF Programme funding ceases.

"Communities at the grassroots now realize that safe drinking water and sanitation is a right and entitlement. They now feel that they have a role in governance and demand information and immediate action from the government officials. A healthy relationship is being built between the communities and government officials and other stakeholders."(CRSD, India).

The integration of the GTF into WaterAid and FAN strategies

As discussed in Section 2.1.3 on Relevance, the GTF has been fully integrated into WaterAid country programmes and become integrated into their broader advocacy agendas. This alignment with the work that they are already doing creates a strong likelihood that the processes carried out with the GTF will remain part of their agenda. The GTF funds have also in most cases, been topped up and integrated into country programme budgets.

The GTF has also become fully integrated into the FANCA network strategy as previously mentioned. FANCA has been working on advocacy issues within the sector for over ten years therefore the GTF is deeply embedded within their overall agenda. This is less the case however, for FANSA, which is a much younger network and as yet, has no regional strategy. It is clear however, that the GTF is in line with their objectives.

Building strategic alliances and collaborations both at national, regional and global level

At national level and as a result of GTF, there has been an increased collaboration with governments and WASH providers. As highlighted in Section 2.2, several of the partners have been involved in decision-making processes, such as the Joint Sector Review and the PRSPs and others have been working effectively with government organisations and external

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[22] Ibid, p18

stakeholders in working groups and multi-stakeholder platforms. There are some examples of these alliances also being built at regional level.

The GTF is also working closely with the Water Integrity Network (WIN) in Central America and Western Africa, where pilot projects have been set up using the GTF as a platform for developing a framework on broader governance and transparency issues

Replication within the GTF

There have been examples of replication within the GTF programme itself which is an important part of sustainability.

In India, exposure visits coordinated by FANSA has resulted in great learning and sharing amongst the partner organisations. Partners are now supporting each other to replicate similar models in their targeted areas e.g. Gram Vikas has been supporting MARI in implementing the 100% inclusive model when working on the construction of latrines in their villages. Sathee has been helping partners learn from their work on water security plans.

In Central America, significant work has been done documenting processes in drafting new laws and legislation using tools such as the Peoples Initiative Mechanism. This is being shared amongst the region with partners who are interested to learn about these models. The community water fair which was an initiative led by FANCA and other regional networks and institutions in Central America (2010), has also been of interest to other countries.

In Africa, Mali and Burkina Faso, GTF partners have been working to formalise and institutionalise local public hearing spaces, an initiative begun with GTF funding in Mali.

2.7.2 Risks and constraints to sustainability

Despite the achievements mentioned above, interviews conducted as part of this review revealed a number of common themes emerging in terms of constraints to achieving sustainability of outcomes, or risks to the positive achievements that have so far been achieved. These include:

Dependency culture

The GTF teams recognise that it can be hard to promote sustainability of a rights based programme. There is a tension between service delivery and the longer term processes of working on systemic changes towards the realisation of rights.

"Sustainability is very much at the heart of what we do but it's hard to do. Communities can be very passive about development interventions so when

there is a programme that breaks away from this 'aid' mentality to take on ownership and based on rights, is hard as it requires a change in attitudes. We can already see change – it may be small in scope but the fact that it is happening at all is encouraging. We need to market advocacy models to other partners to show that it's working so that they can replicate and so the same. The people own the processes in GTF as we are working around community management structures" (Nigeria).

<u>The need to find alternative funding for some project-funded activities</u>

As mentioned above, most projects have been designed with sustainability in mind, and have avoided the provision of high-cost inputs that are unlikely to be sustainable beyond project completion. However, the GTF programme recognises that alternative funds need to be secured for discrete programme activities that rely on GTF funding such as those activities that are carried out under output 3 (e.g. the radio programmes in Uganda). Sustainability was an issue discussed in the Big Meeting 3 as participants recognised a need to think more strategically about these issues for the remainder of the programme and what exit strategies will be adopted.

<u>Capacity gaps</u>

It is clear that a lot has been done on building the capacity of partner organisations. However, as was mentioned in (see Section 2.3.1.2) not all partners have carried out a capacity needs assessments and the extent to which partners' capacity has been built has also varied. It was identified during the MTR and also discussed in Big Meeting 3, that there needs to be a stronger emphasis on more strategically identifying capacity gaps, and focusing on specific organisational capacity gaps, such as fundraising and proposal development skills (to ensure that organisations are able to raise funds to continue their governance agendas), communication, and documentation of outcomes and lessons.

<u>Use of GTF funds for overhead costs</u>

As part of its focus on building the capacity of CSOs, the GTF programme has covered staff salaries within some of the partner organisations and within the FAN regional networks. FANCA, in particular, has been reliant on GTF funding for the functioning of their secretariat. They have been preparing to submit fundraising proposals and are active in identifying other partners, and will need to concentrate their efforts on this during the remainder of the GTF programme. FANSA is also planning to carry out a strategic regional meeting

to discuss this issue and to develop a clearer fundraising strategy. Ensuring the sustainability of the FAN regional networks is seen as a key priority for the FAN Global secretariat as it prepares to become independent of WaterAid next year.

Lack of systematisation and dissemination of lessons learned

As has been discussed in earlier sections of this report, greater emphasis should be placed in the remaining years of this programme on systematic learning and sharing of lessons from the GTF. This will promote greater replication of successful approaches, which is a key element of sustainability.

3 Innovation

The MTR TOR require an assessment of whether the programme has identified any new ways of working that should be shared with others. Accordingly the GTF focal points were asked to comment in the self-assessment questionnaire on the extent to which the GTF activities were innovative for their partner organisations, and also to provide examples of innovation.

On a whole, the GTF focal points claimed that the GTF programme was not innovative to their work on governance and transparency. As mentioned in Section 2.1 on relevance, the GTF is highly relevant to the work of both WaterAid country programmes and FAN regional networks. The GTF funding has been used to enhance and expand work they were already doing in governance and transparency, and the programme has now become integrated into their advocacy agendas. However, it was noted by the GTF Focal Persons in the self-assessment questionnaires and interviews, that some of the approaches and strategies adopted through the GTF have identified new ways of working for their partner organisations. Common examples have been highlighted below:

> *"Our community radio is innovative in terms of anchoring the power of community voices and giving them direct access to policy makers. A lot of people run community radio programmes but what's different about ours is that we go to the communities and capture their voices and then bring them back to the studio and get service providers to respond"* (Uganda)

> *"the thought of CSOs being full partners is very new. We had worked with them in partnership before (we would spend the money etc), the GTF has been an opportunity to test the management capacity of CSOs to take on full responsibility for the programme e.g. manage funds"* (Mali)

1). *A focus on evidence based advocacy*: the GTF has been effective in showing that evidence based advocacy is stronger for influencing policy dialogue. Therefore, there has been a strong focus on data collection e.g. information collected through social audits and water mapping surveys to inform dialogue on water and sanitation policy.

2). *The use of media*: a common strategy used throughout the GTF has been the strong use of the media either directly through media partner organisations or the use of media as a tool e.g. the radio programme in Uganda.

3). *A focus on networking and forming strategic alliances*: these include partnerships with local CBOs, NGOs, government organisations.

4). *Working through local partners*: in some countries this has been part of the process in which civil society organisations are recognising the importance of their role in governance and are shifting away from service delivery models. This focus on the ownership of local CSOs, was recognised as a new way of thinking.

"The LDP and the citizens engagement process while not exclusive to GTF has been a new way of working for the organisations involved. The CSOs are gradually making a shift from service provision to influencing and working to improve governance in the WASH sectors. Community members are now aware that they can tackle WASH issues through engagement with the government"

4 Conclusions and Recommendations

4.1 Conclusions

In conclusion, the MTR found that the WaterAid/FAN GTF programme is highly relevant to the priorities for improved governance within the WASH sector at international, national and local levels, and is finding entry points to enhancing the participation of civil society in decision making, often in adverse contexts and conditions.

The programme is performing well, with achievement over and above what might be expected by mid-term. Seventy five percent (75%) of countries covered by the programme are largely on track to achieve their intended purpose by the end of five years. Two programmes have only just started and will need close support to ensure that they achieve as much as is possible within the short time available to them for implementation. One country programme is considered to be failing. Excellent progress has been made against the programme's global level logframe, with targets for achievement by mid-term largely having been met or surpassed.

There is already evidence of change having been brought about by the programme in most of the countries in which it is being implemented. To date most of this change has been at fairly local level. In order to ensure that the programme 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 three years to demonstrate good practice and to ensure that evidence from work at local level is fed into higher level dialogue. In order for this to happen, increased emphasis and investment should be given to extracting and sharing lessons from the programme and to ensuring that these lessons are feeding in to high level advocacy. In addition, concerted effort needs to be made by WaterAid to improve the extent to which the programme is being managed as a global programme rather than as a collection of discrete country level activities, and to promote wider awareness about the GTF programme within and beyond the agency.

During the second half of the programme, there should also be a more explicit focus on ensuring issues of equity and inclusion are sufficiently identified and addressed. Similarly, exit strategies should be developed over the next year by each country programme to ensure that sufficient consideration is being given to the sustainability of programme outcomes.

4.2 Recommendations

Recommendation	See section	Who responsible	By when[23]
1. Effectively utilize programme reference groups and establish external steering committee:			
1.1. Ensure that the TOR and membership for the proposed Programme Management Group and Programme Performance Review Group are finalised and widely communicated within the GTF, and that they have a regular meeting schedule and agenda.	2.3.2.1	GTF Programme Manager	August 2011
1.2 Re-establish a wider steering group for the GTF programme that is made up of stakeholders external to the GTF programme, but whose support for, and knowledge of, the GTF programme are crucial for the wider success and influence of the programme.	2.2, 2.3.2.1 and 2.3.2.2	GTF Programme Manager	Sept 2011
2. Clarify the roles and responsibilities of WaterAid and FAN regional structures in relation to the GTF programme, with a view to:			
2.1 Providing appropriate support and feedback to GTF focal points, managing for results, extracting lessons for use in regional level advocacy, promoting effective communication within the programme and between the programme and WaterAid and FAN.	2.2, 2.3.2.1 and 2.3.2.4	WaterAid and FAN senior management (or preferably Programme Steering Group - see recommendation 1.2)	Nov 2011
3. Consider implications of the MTR 'traffic light' scoring of country programmes			
3.1. Consider whether or not to continue with the Kenya programme, and if to continue,	2.3	Programme Performance Review Group	August 2011

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[23] Note that some of these dates were generated and/or agreed by participants at Big Meeting 3, while others have been identified and suggested just by the MTR team in completing the report. They are therefore to be seen as guidelines only, for discussion within the GTF programme.

Recommendation	See section	Who responsible	By when[23]
how the programme can best be supported to improve its performance in the remaining phase of the programme.			
3.2. Identify steps to enhance support for Amber countries over next twelve months. Examples could include fast tracking country level mid-term review process.	2.3	Programme Management Group	October 2011
4. Consider and develop a clear statement as to the implications to the GTF for the imminent independence of FAN.			
	2.4.2	WaterAid and FAN senior management (or preferably Programme Steering Group - see recommendation 1.2)	Dec 2011
5. Enhance extent to which programme is documenting outcomes and 'managing for results'			
5.1 Revise overall logframe to make clearer what the overall purpose of the programme is and to clarify terminology, and to update indicators for remainder of programme.	2.2	GTF programme manager, London (on basis of Big Meeting 3 discussion)	End June 2011
5.2 Ensure country and regional level logframes feed in to revised global level logframe	2.3.2.3	GTF focal points in discussion with partners	October 2011
5.3 Ensure country programmes report more directly against agreed objectives and indicators at output and purpose level	2.3.2.3	GTF focal points,. Programme Performance Review Group	Ongoing
5.4 Plan and budget for specific country level evaluative studies, such as mid-term reviews (to include re-visiting baselines and logframes, revisiting risks and assumptions, appraising progress against agreed	2.3.2.3	GTF focal points in discussion with Programme Manager and Programme Management Group	Dec 2011 (so that studies can be carried out in next FY).

Recommendation	See section	Who responsible	By when[23]
indicators and towards agreed aim) and specific studies aimed at testing effectiveness of particular activities and identifying key success strategies.			
6. Identify clear resources (financial, human, and systems) to enhance communication and sharing of lessons within and beyond the GTF programme:			
6.1 follow up on the discussion on learning and sharing that took place at Big Meeting 3 and the recommendations that came out of that meeting including: • Identifying the blockages to effective communication between the GTF programme partners and between the partners and GTF management; • Considering any budgetary requirements for improved documenting and disseminating of lessons; • Conducting a global stakeholders analysis to identify key audiences for advocacy and policy influencing at national, regional and international levels; • Clarifying how lessons will be extracted, documented and disseminated. • Setting up virtual learning groups on specific themes; • Setting up of a GTF website or learning portal	2.2, 2.3, 2.5 and 2.7	AALO, Programme Manager, and Programme Management Group	Oct 2011
7. Ensure that efficiency of financial disbursements is improved where possible:			
7.1 Clarify for GTF focal points and implementing partner organisations the 'non-negotiables' surrounding disbursal, management, and accounting of programme funds.	2.4	GTF Programme Manager, London (to GTF focal points) and GTF focal points to partners.	Oct 2011
7.2 Routinely assess whether systems can be streamlined (within the non-negotiables) to improve efficiency of	2.4	Programme Management Group	On-going

Recommendation	See section	Who responsible	By when[23]
programme implementation.			
8. Develop definition of VFM for GTF programme and ensure that VFM principles are built into programme monitoring and evaluation from now on:			
8.1 Draft short discussion paper on how to assess Value for Money within a programme such as GTF (based on current thinking within donor and NGO community and with focus on VfM in CAR work), for circulation to all GTF focal points and WaterAid Regional bodies.	2.5	Head of PEU, WaterAid	October 2011
8.2 On basis of VfM discussion paper and the thoughts on this received from GTF focal points, amend GTF reporting formats to promote capture of information relevant to the assessing of value for money of the programme by end-term evaluation.	2.5	Programme Management Review Group.	January 2012
9. Enhance focus on equity and inclusion in programme design, monitoring and evaluation from now on:			
9.1 Country programmes to use the 'barriers analysis' tool to get a snapshot of the current issues surrounding Equity and Inclusion in their programme	2.6	GTF focal points with their implementing partners.	Ideally by Nov 2011
9.2 WaterAid's Programme Support Advisor in charge of Equity and Inclusion to become a member of the Programme Learning and Review Group and to be available to GTF country programmes to assist with thinking on Equity and Inclusion issues.	2.6	GTF programme manager and WaterAid's Equity and Inclusion Advisor	June 2011
10. Enhance focus on sustainability			
10.1 Give emphasis to fundraising capacity within the capacity needs assessments and capacity building planned for this year.	2.7	GTF focal points	Dec 2011
10.2 Develop clear exit strategies for each country programme.	2.7	GTF focal points	May 2012

5 Annexes

Mid Term Review – WaterAid/FAN Governance and Transparency Fund (GTF) programme

Background and rationale

The Governance and Transparency Fund (GTF) resulted from DFID's 2006 white paper: '*Making governance work for the poor*' which defines good governance around the CAR framework (State *Capability, Accountability* and *Responsiveness).* In line with this framework, the overall goal of the GTF programme is to make governments more capable, accountable and responsive to meet the needs of poor people through the strenghening of the civil society and to help citizens effectively represent their views and interests and hold governments to account for their actions at different levels in the governmental system.

WaterAid and the Freshwater Action Network (FAN) GTF programme, which started in October 2008, aims to increase the capacity and resources of civil society in 14 targeted countries (across Africa, Asia and Central America) and 28 civil society organisations, in order to participate in effective evidence-based dialogue with decision-makers in the water and sanitation arena and build pressure for securing pro-poor service delivery. The WA/FAN GTF programme is a £5 million DFID funded programme over 5 years (until 30 September 2013).

After more than two years of implementation and in line with the DFID contractual requirements and for programme effectiness, it is necessary to look back and assess the progress and performance against the set targets in order to support the future programme management and direction towards achieving our set objectives.

The WA/FAN GTF programme Goal and purpose

To improve Accountability and Responsiveness of governments and service providers in the WASH sector in Asia, Africa and Central America by increasing the capacity of civil society in 14 countries in Asia, Africa and Central America to engage in effective evidence based dialogue with decision makers in water and sanitation

Set objectives

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

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

3. Informed and empowered citizens are better able to demand accountability and responsiveness from governments and service providers in WASH sector

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

Programme structure (see annex 1)

Purpose of the Mid Term Review (MTR)

The main purpose of the MTR is to ***provide an independent assessment on the progress and performance to date*** (successes, challenges and potential niches), ***to measure and report on achievements and early signs of change and impact***, 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.

This includes 1) the assessment of the relevance and effectiveness of the GTF programme to bring about sustainable change in terms of equitable WASH services to the poorest communities through increased accountability and responsiveness of governments and service providers. It will also examine the extent to which the GTF programme has also contributed respectively to WaterAid and FAN global strategies.

The objective of this MTR's project is to answer to the following questions:

1. **Relevance** – details of the programme significance with respect to increasing voice, accountability and responsiveness within local context

   a. How well does the programme relate to governance priorities at local, national and international levels?

   b. How well does the programme relate to DFID's country assistance plans?

   c. How well does the programme relate to WaterAid and FAN strategies and plans at country, regional and global levels? How

has the GTF programme been mainstreamed within the organisation and other organisational projects?

2. **Impact and Evidence of change –** details of the broader economic, social and political consequences of the programme and how it contributed to the overall goal of GTF - progress against the logframes

   a. What is the programme's overall impact to date and how does this compare with what was expected at the beginning of the programme (e.g. baseline) and in line with the set objectives?

   b. What are the evidence of change brought about by the programme at all levels in terms of increasing accountability and responsiveness of Governments and service providers?

   c. Has the programme addressed the intended target group and what was the actual coverage?

   d. Who are the direct and indirect/wider beneficiaries of the programme?

   e. What difference has been made to the lives of those involved in the programme?

3. **Efficiency** - How far funding, personnel, regulatory, administrative, time, other resources and procedures contributed to or hindered the achievement of results?

   a. How well have the partnership and management arrangements worked in comparison to what was stated in the inception report and how have they developed over time?

   b. How well are the financial systems work at all levels?

   c. How are the local partners involved in programme management in terms of skills and capacities towards contributing to the efficiency of the programme? How effective was this and what have been the benefits of or difficulties with this involvement?

   d. Are the risks properly identified and well managed at all levels?

4. **Effectiveness:** Assessment of how far the intended outputs and results are being achieved in relation to targets set respectively in the partner/country/regional logical framework as well as the overall logical framework submitted and approved by DFID.

   a. Have the interventions achieved or are likely to achieve the set objectives at local and global levels?

   b. How appropriate are the interventions to contribute effectively to WaterAid and FAN strategies and plans at country, regional and global levels?

c. How effective and appropriate are the support mechanisms in the programme approach and methodologies applied to achieve the set objectives at all levels?

d. How effective are the programme M&E systems at partner/country and global levels? With hindsight, how could they have been improved?

e. How effective and appropriate is the overall partnership in terms of risks associated to the programme in relation to the number of partners or patrners' capacities etc?

5. **Sustainability:** Potential for the continuation of the impact achieved and of the delivery mechanisms following the withdrawal of DFID support.

   a. What are the prospects for the benefits of the programme being sustained after the funding stops? Did this match the intentions?

   b. How have collaboration, networking and influencing of opinion support sustainability?

   c. What are the factors that may impede or determine sustainability across the programme?

6. **Value for money:** Has value for money been achieved in the implementation of programme activities

   a. Could the same results have been achieved for less money?

   b. Are salaries and other expenditures (e.g. overheads, running costs etc) appropriate to the context?

   c. Are there obvious links between significant expenditures and key programme outputs/outcomes?

7. **Equity:** Discussion of social differentiation (e.g. by gender, ethnicity, socio-economic group, disability, etc) and the extent to which the programme had a positive impact on the more disadvantaged groups.

   a. How does the programme actively promote gender equality?

   b. What is the impact of the programme on children, youth and the elderly?

   c. What is the impact of the programme on ethnic minorities?

d. How are the needs of excluded groups, including people with disabilities and people living with HIV/AIDS addressed within the programme?

8. Innovation

Has the programme identified a new way of working that should be shared with others? For example, is there a new way of tackling a governance issue or unusual alliance to bring about change? This may include:

- **Our experience:** How does this differ from what we (including the partners) are currently doing? Does this involve a new approach, or a tested approach (existing good practice) in a new context?

- **The geographic region of operation:** Does this represent a new innovation for the country/region? Who are the other players in the country and what is their current practice? How does this initiative compare with others – scale, operations and approach? How is this different from what others do?

- **Conditions of operation:** Does the approach represent an innovation for this type of operational environment? (E.g. remoteness, conflict-affected location etc). What is the prevailing practice and how is this different and/or better from what other organisations are currently doing?

9. Replicability: How replicable is the process that introduced the changes/impact? Refer especially to innovative aspects which are replicable.

　　　a. What aspects of the programme have been replicated/scaled up from one programme locations to another across the programme?

　　　b. What aspects of the programme are replicable elsewhere?

　　　c. Under what circumstances and/or in what contexts would the programme be replicable?

Approach and deliverables

Interested parties will be asked to tender a short outline methodology of how they would tackle this evaluation, both on a theoretical and practical basis. This should include:

- Significant amounts of desk research (plans, monitoring data, internal learning documents, annual reports etc)
- Interviews with key internal stakeholders
- Interviews with key external stakeholders including allies and targets
- Visits to 5/6 countries (countries to be confirmed during the discussion with reviewers)
- Collation of evidence and stories useful for both evaluation and communication work
- Linking with existing country plans and strategies

The selected evaluation team would then work collaboratively with WaterAid to refine the methodology and develop a detailed evaluation plan. One area to take into special consideration when planning the methodology is the different timescales of the country programmes and projects, as some programmes started before others. It is possible that one peer (focal point or partner) from the region a country is visited joins the evaluation team. We consider this as crucial capacity building opportunity for our focal points or colleagues within the programme.

WaterAid will endeavour to contract the same consultant(s) to do both the Mid-Term Review and the Final Evaluation in order to ensure consistency of approach, deeper learning by all parties in the evaluation process and above all evaluation products that help WaterAid, FAN and partner organisations in their work. However, the final evaluation will be negotiated separately, in order to make sure that the terms of reference are up to date and reflective of what has gone on in the project. These will be negotiated in due course (2013).

It has to be pointed out that a review team within WaterAid will sign off the consultant's work.

Timeframe

The consultancy is expected to begin in January 2011 – with field work ending by March 2011 and all reports accepted and approved by 15 April 2011. The MTR will also inform the year3 annual report, which will be submitted in June 2011.

The following table indicates approximate timings for the selection process and the Mid Term Review:

Action	By when	By who
Final TOR signed off	17 Nov 2010	WaterAid
Terms of Reference out to tender	18 Nov 2010	WaterAid

Tender bids received by	3rd Dec 2010	WaterAid
Review applications/short list/	13 Dec 2010	WaterAid /Consultants
Interview consultants (face to face, videocon) and appoint	17 Dec 2010	WaterAid /consultants
Refine methodology, develop overall evaluation plan and agree contractual details with successful consultant	7 Jan 2011	Consultants/Water Aid
Begin desk research for Mid Term Review	10Jan 2011	Consultants
Evaluation undertaken	Jan 2011 – March 2011	Consultants
Presentation and discussion of initial findings/first draft with wider WaterAid team and partners	March 2011	Consultants/Water Aid
Meeting to review nearly final draft in detail	March 2011	Consultants/Water Aid
Final evaluation report submitted	15 April 2011	Consultants
Write and issue management response	30 April 2011	WaterAid
Evaluation published + disseminated	30 April 2011	WaterAid

Outputs

Outputs expected include:

- A MTR plan, which clearly laid out the and will be discussed as part of the start up processes
- A presentation of initial MTR findings/first draft for face to face discussion with the WaterAid team.
- A full Mid Term Review report, approx 40 pages, of publishable quality.
- Executive Summary, stand alone, 'communicable' to a wider audience, 4 pages.
- WaterAid may also wish to communicate the evaluation findings in different forms for different audiences. This will be discussed at the interview stage.

Consultant profile

Skills and competencies

We are looking for consultants with a strong record in conducting evaluations, including those of good governance and policy influencing projects. The organisation/team leader will need respect and credibility within the field, excellent knowledge of monitoring and evaluation in theory and practice, and a good understanding of good governance, advocacy and policy influencing work. The consultants should have the following skills and competencies:

- Demonstrable experience of producing high-quality, credible evaluations including institutional donors such as DFID (examples required).
- Experience with different methodologies for evaluation, and the additional factors involved in good governance and policy influencing evaluation.
- Demonstrable experience of working with/evaluating civil society work in developing countries including Africa, Asia and/or Central America
- Demonstrable experience with participatory methodologies and how they work in developing countries including Africa, Asia and Central America.
- Familiarity with Governance advocacy work and demonstrable political sensitivity within the local context.
- Familiarity with the politics of working with civil society in developing countries including Africa, Asia and Central America
- Experience of working in, or assessing, CSOs and coalitions/networks
- Experience in managing evaluation teams, and the capability to handle necessary logistics and any sub-contracts.
- Ability to write concise, readable and analytical reports and understanding of public communications.
- Excellent writing and verbal communication skills in English and desirably in french and spanish

Tenders/bids

We invite bids from organisations, or individuals, with the experience and skills described above. Joint bids are also welcome. Tenders should include:

1. A cover letter introducing the evaluators/organisation and how the skills and competencies described above are met, with concrete examples.

2. A two-page outline of the proposed evaluation process including:

   a. Proposed outline methodology
   b. Management arrangements

3. A one-page budget covering all major costs:

   a. Researcher fee.
   b. Reimbursable costs envisaged (WaterAid will pay only actual costs incurred, up to this amount, on the production of all receipts or other evidence).

   Please note, costs will be paid in instalments.

4. A one-page CV for each evaluator

5. One example of a previous evaluation (one each for joint bids)

Tenders should be emailed or sent to Papa Diouf (papadiouf@wateraid.org) by close of business on Thursday 3rd December 2010.

Papa Diouf

Governance and Transparency Fund (GTF) Manager

WaterAid

47-49 Durham Street

SE11 5JD

London

Tel.: (Landline) - +44(0) 207 793 4947

   (Mobile) - +44(0) 78 2482 0103

Criteria for selection will be:

- Clear, credible, structured proposed methodology
- Excellent track record and reputation in evaluation/research on good governance involving civil society organisations (CSOs) and CSO networks, media, etc.
- Demonstrable experience of conducting complex evaluations
- Experience of policy influencing work, using evidence based approaches
- Ability to manage the totality of the evaluation, including logistics, recruitment and management of other team members where necessary
- Excellent interpersonal skills and adaptability
- Time available during the critical periods
- Value for money

Short-listed candidates will be contacted **by 13ᵗʰ December 2010**.

 Further information

If you have further questions on this opportunity please get in touch with Papa Diouf (papadiouf@wateraid.org)

Attachments

Annex 2:   List of Partner Organisations

Continent (from DFID Country Profiles except Oceana)	Country	Partner	Address
Asia	Bangladesh	NGO Forum for Drinking Water Supply & Sanitation	F4/6, Block-E, Lalmatia, Dhaka-1207, Bangladesh
Africa	Burkina Faso	Associations and NGOs Network in the Water, Hygiene and Sanitation Sector (CCEPA)	01 BP 1043, Ouagadougou 01, Burkina Faso
	Burkina Faso	Information and Communication Network on Water, Hygiene and Sanitation (RICHE)	01 BP 584, Ouagadougou 01, Burkina Faso
Latin America & Caribbean	Costa Rica	Environmental and Natural Resources Law Centre (CEDARENA)	P.O. Box 134-2050, San José, Costa Rica
	Costa Rica	ARCA	P.O. Box 1852-2050, San José, Costa Rica
	Ethiopia	Christian Relief and Development Association - CRDA/WSF	Kality, Debrezeit Road, Akaki Kality Sub city, Kebele: 10, Opposite drivers and Mechanics Traning Centre, PO BOX 5674 Addis Ababa
	Ghana	Association of Water and Sanitation Development Boards (AWSDB)	P.O. Box 1876, Tamale, Ghana

Continent (from DFID Country Profiles except Oceana)	Country	Partner	Address
	Ghana	Ghana Coalition of NGOs in the Water and Sanitation Sector (CONIWAS)	P.O. Box 16185, KIA, Accra, Ghana
	Guatemala	Fundemabv	18ki 7-41 zona 5 Cantón Xeul, Quetzaltenango, Guatemala
	Honduras	Asociación Hondureña de Juntas Administradoras de Sistemas de Agua (AHJASA – Honduran Association of Water Systems Administration Boards)	Barrio San Rafael, avenida Terencio Sierra, Edificio 502-b, Apartado Postal 1360 Tegucigalpa, Honduras
	India	Centre for Rural Studies and Development (CRSD)	12-5-118, New SBI Lakshminarasaiah Colony, near AP Housing Board, Anantapur – 515 001, India
		Gram Vikas	Mohuda Village, Berhampur 760 002, Ganjam, Orissa, India
		Modern Architects for Rural India (MARI)	1-8-499, Balasamudram. Hanamkonda – 506001, Warangal, Andhra Pradesh, India

Continent (from DFID Country Profiles except Oceana)	Country	Partner	Address
		FANSA	
		Society for Advancement in Tribe, Health, Education and Environment (SATHEE)	Chitragupt Colony, Godda, Jharkhand, India
	Kenya	African Civil Society Network on Water and Sanitation (ANEW)	c/o Maji na Ufanisi, P.O. Box 58684 – 00200, Nairobi, Kenya
		Kewasnet	
	Madagascar	Regional Local Government	Bureau de la Région d'Analamanga, Génie Rurale Nanisana, Antananarivo 101, Madagascar
		WASH Analamanga Committee Diorano	Lot II M77 Ter Antsakaviro, Antananarivo 101
		Network of Civil Society Organisations (7)	Not yet available
	Mali	Coalition for Access to Water, Sanitation and Hygiene (CAEPHA)	c/o WaterAid Mali, 03 BP: 97/Hamdallaye ACI 2000 - Bamako, Mali
		National Steering Committee for the	c/o WaterAid Mali, 03 BP: 97/Hamdallaye ACI

Continent (from DFID Country Profiles except Oceana)	Country	Partner	Address
		International Campaign for Water, Sanitation and Hygiene (CNP-CIEPA)	2000 - Bamako, Mali
	Nicaragua	Grupo de Promoción de Agricultura. Ecológica (GPAE)	P.O. Box: A-136, Managua, Nicaragua
	Nigeria	Dadur Bol Development Association (DBOLDA)	P.O. Box 21, Langtang North, Plateau State, Nigeria
		National Network on Water and Sanitation (NEWSAN)	123 First East Circular Road, Benin City, Edo State, Nigeria
	Country	Partner	Address
		Women empowerment in Nigeria(WEIN)	Kaduna Chapter, AK7, Yoruba Road, Kaduna, Nigeria
	Uganda	Association Of Professional Environmentalists (NAPE)	P.O. Box 29909, Kampala, Uganda
		CIDI - Community Integrated Development Initiatives	Plot 2809 Tank Hill Road Muyenga PO BOX 692
		Health Through Water and Sanitation (HEWASA)	Diocese of Fort Portal PO BOX 756
		UWASNET	

WaterAid/FAN GTF MTR June 2011, *theIDLgroup.*

Continent (from DFID Country Profiles except Oceana)	Country	Partner	Address
	Malawi	WES Netwok	

Annex 3: Most Significant Change Table

Note that the changes listed in column two below represent the **most significant** change brought about by each country programme to date, as reported in self-assessment questionnaires and during interviews, as opposed to all changes achieved. Therefore, if evidence of change is listed under, for example, output 2, it does not mean that change has not been achieved in other areas.

Country	Most Significant Change	Comment on attribution	Level of confidence in findings
Burkina Faso	Increased recognition within the WASH sector of the two implementing partners, and strengthened relationships between these partners and government, e.g. participation in joint sector reviews. (Outputs 1 and 2) Enhanced level of information available to the public about WASH sector issues via the media (i.e. through their radio programmes and awareness raising campaigns). (Output 3)	Insufficient information to assess. High level of attribution as one of the GTF partners is a journalists network.	Low Burkina Faso was not visited and was not represented at Big Meeting 3). Reporting did not clearly articulate change attributable to the project. Language differences impacted on review team's level of understanding of self-assessment questionnaire and interview responses.
Costa Rica	Partner organisations have become credible partners within the sector. Capacity building initiatives have helped them be more strategic with their advocacy work and also helped them to develop codes of conduct within their own management (output 1/2).	In Costa Rica it is difficult to attribute change directly to the GTF programme, as the GTF is fully integrated into their wider work and has allowed them to step up work they were already implementing. The GTF represents	High

Country	Most Significant Change	Comment on attribution	Level of confidence in findings
	The use of the People's Initiative Mechanism to present to the Legislative Assembly the Bill for the integrated management of water resources (Bill No. 17742), accompanied by 175,000 signatures. This process was brought about by the GTF partner in Costa Rica, in partnership with others, such as the National Alliance for Water Defence. (Output 2)	33% CEDARENA's budget.	
Ethiopia	The Water and Sanitation Forum (the GTF implementing partner) has been strengthened by way of: expanded membership; enhanced linkages with networks beyond the borders of Ethiopia; the development of an engagement strategy; and enhanced skills of member institutions in areas such as policy analysis and preparing policy briefing papers. (Output 1) Given the political context in Ethiopia for CSOs, the GTF programme has made slower progress here than in many of the other countries, with the focus to date	Good attribution.	Medium

Country	Most Significant Change	Comment on attribution	Level of confidence in findings
	very much on strengthening the capacity of the Water and Sanitation Forum, which will then focus largely on gathering evidence for evidence based advocacy.		
Ghana	The relevant duty bearers responded quickly to a community score card activity in Accra by mending a leaking pipe (Outputs 3 and 4) The various water boards now recognize the need for effective and sustained tracking of all expenditure and documenting them for use and accountability (Output 4). The District Assemblies are beginning to cooperate with AWSDB by releasing the required information (Output 4).	Good attribution	Medium Ghana was not visited by the review team, but the self-assessment questionnaire was clear and interviews were held with both the GTF focal point and the head of advocacy within WaterAid Ghana.
Guatemala	The formation of a national network of FANCA in Guatemala, and the building of this network's credibility and recognition among national level policy making bodies. (Output 1). The participation in these spaces has allowed the local FAN partner to make the GTF activities visible at national level.	Good attribution	Medium Guatemala was not visited as part of this review and the reporting from Guatemala was not as clear as that from other Central America countries.

Country	Most Significant Change	Comment on attribution	Level of confidence in findings
Honduras	To have developed successful examples of community water management, including changes in attitudes, behaviour and practices, and improved sustainability and quality of water and sanitation services. These examples are boosting the evidence base available to FAN nationally and regionally for its evidence-based advocacy (Output 3) Note that the GTF programme in Honduras had to be significantly changed after the 2009 coup. It now focuses at the grassroots level, with a view to developing evidence for how community water boards can effectively improve water and sanitation services at community level. Evidence from these pilot communities is then used by FANCA to inform their advocacy and policy dialogue.	Good attribution.	High. The review team did not visit Honduras but the Central America GTF focal point was involved in the review team.
India	More than 150 applications have been filed by local communities under the Right to Information Act, to demand for their rights in the WASH sector. Government has provided more information on budget and development	Good attribution.	High The review team visited India, and included the India GTF focal point as a team member.

Country	Most Significant Change	Comment on attribution	Level of confidence in findings
	plans as a result of the RTI applications. (output 3 / 4). In some communities, budgets for water and sanitation have been published and displayed in panchayat offices (output 4). Partner organisations have made effort to strengthen people's federations and joint monitoring committees in program areas with ensuring participation of local federations and local governance members which has resulted in enhanced government service delivery at village level (Outputs 2 and 3) Over 70 village level micro plans and 10 village water security plans have been developed (Output 3/4). Through the Right to Information Act more than Rs. 7 crore of government resources has been leveraged for the delivery of WASH services to rural people. (Output 4/Purpose level)		
Kenya	The self-assessment questionnaire stated that the GTF implementing	Not at all clear.	Low. The review team did not visit Kenya

Country	Most Significant Change	Comment on attribution	Level of confidence in findings
	partner (the national WASH sector CSO network, KEWASNET) played a key role in unearthing corruption in some sector institutions leading to termination of contracts of senior government officials in some cases. (Output 2).		and the partner from Kenya was not at Big Meeting 3. An email was sent requesting further information following the interview and receipt of the self assessment questionnaire but no reply was received.
Madagascar	Water and Sanitation is now given greater priority by the regional authority of Anamalanga, which is one of the GTF partners in the country (Output 4) At local level, communities are now asking for more information about their rights and responsibilities in WASH sector and are beginning to raise concerns on WASH issues with the mayor and local representatives (Output 3).	Likely to be good attribution as local authority is partner in GTF programme.	Medium. The review team did not visit Madagascar but the self-assessment questionnaire was detailed, and in-depth interview was held with the GTF focal point and three other members of staff from WaterAid. Partner organisations were not interviewed.
Mali	The 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 PRSPs and the joint sector reviews. (Output 2) Advocacy by CN-CIEP on blocks within the sector has also led to the revitalisation of the steering committee	Attributable to WaterAid via its work with funding under both GTF and Local Millennium Development Goals initiative.	High The review team visited Mali and held interviews with GTF focal point, GTF implementing partners.

Country	Most Significant Change	Comment on attribution	Level of confidence in findings
	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. (Output 2/3) The establishment of local level public hearings in the WASH sector that mirror the national level public hearing (an annual day of open dialogue between citizens and duty bearers). (Output 3) The Annual Accountability Framework is a GTF initiative where civil society invites government technical departments to comment on the work that they've been doing. Government have been responsive and two meetings have been held so far one in Dev 2009 and another in Dec 2010 (output 3/4). Membership of public authorities such as the Ministry of Energy and Water and the initiative called 'social connections' initiated by CAEPHA (in partnership with CREE) for improving equitable and		

Country	Most Significant Change	Comment on attribution	Level of confidence in findings
	sustainable access of poor urban of WASH services (output 4).		
Nicaragua	The adoption of the Water and Sanitation Committee CAPs Law (no. 722) and its regulations in May 2010 was cited as the most significant change (output 2 / 4). The completion of an Alternative Country Report which includes the universal human right to water – through GTF partners, CODA, FANCA and CAPs members for improved information of the sector - has been circulated to government, civil society and UN. There has also been the development of supplementary data collection tools (output 2 and 3).	It is difficult to attribute the changes to GTF as the work is part of long term processes carried out by the partners. The GTF has become very integrated into their broader advocacy agendas.	High The review team visited Nicaragua and held interviews with the GTF focal point and CODA network members.
Nigeria	Through policy advocacy to the state government in Bauchi state, Nigeria GTF programme partner has become a member of the state WASH forum (Output 2). The production of a Local Development Plan (LDP) supported by one of the GTF partners for Bogoro Local Government Authority in Bauchi state, has provided	Good attribution	Medium.

Country	Most Significant Change	Comment on attribution	Level of confidence in findings
	the Local Government Authority a critical planning tool and has provided the a platform where community members can be heard and effectively engage with the government (Output 3 and Output 4)		
Uganda	UWASNET as a network has made governance 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 (Output 1) Mapping of water facilities in the targeted sub counties showing location and functionality of different water resources has provided information to the local authorities for better planning and allocation especially to the least served area (Output 3) Increased community responsiveness towards WASH - voluntary clean ups and policing of drainages (Output 3) The radio programmes have become platforms for the community to inquire about WASH Government programmes	Good attribution	High. The review team visited Uganda and met with the implementing partners.

Country	Most Significant Change	Comment on attribution	Level of confidence in findings
	and policies (Output 3). Increased WASH infrastructure developments e.g. 14 toilets, construction of drainage channels, 19 pre-paid water meters (Output 4) Increased prioritization of WASH by Division (evidenced by the recent budget conference) (Output 4) Community advocacy structures have been strengthened and are effective in demanding for better service delivery (output 3) In some areas policy makers have been very responsive to citizens demands e.g. committing themselves to improve quality of services and targeting of services (output 4) In some communities the budget and information on water and sanitation is displayed on the notice-boards of the local area council offices (Output 4). There is also evidence that when there are technical planning meetings and council meeting some resolutions have		

Country	Most Significant Change	Comment on attribution	Level of confidence in findings
	been passed and minuted in regard to strengthening the involvement of the Village Water and Sanitation Committees (VAWSCs) (Output 3)		

Annex 4: Traffic Light Scoring

Country	Traffic Light score	Why?	Level of confidence in findings
Costa Rica	Green	The programme in Costa Rica is doing well. They have been working on both high level policy work and also with community water boards. There are good examples of change shown by direct result of the programme and they are on track with achieving their objectives stated on their logframe especially with their work with the community water boards (capacity building and awareness raising). FANCA and CEDARENA have been working well on the legal framework of the water and sanitation sector including the draft CAPs law – they are also documenting these processes well. The GTF is part and parcel of work they've already been doing but the GTF has been helping the partners strategise and plan their advocacy work more effectively. The GTF partner has been very active both at national and regional level (comparative studies, community water fair etc) and has a strong working relationship with FANCA. Few questions about attribution.	High
Nicaragua	Green	Similar to Costa Rica. They have been working at the higher level on legal frameworks and water and sanitation policies. The recent adoption of the CAPs Law no.722 was a result of the work carried out by GPAE (the GTF implementing partner). Spending is on track and there has been good learning and sharing within the region of the strategies and processes used. Good working relationship with FANCA	High
Honduras	Green	The programme responded quickly to the coup in 2009 by re-designing the focus of their work and identifying work that they could usefully do locally to demonstrate effective models of community managed water and sanitation services, with a view to demonstrating the effectiveness of this approach and advocating for such an approach from the bottom up. They are mostly on target with their work at community level (although not yet working to the level they'd envisaged in all 8 communities). But	Medium

Country	Traffic Light score	Why?	Level of confidence in findings
		will need to concentrate efforts from now on in using this model to advocate for policy change – by identifying appropriate spaces for advocacy at municipal level, doing as much as is possible at national level, and sharing their model with FANCA for influencing discussions and policy making at Regional level.	
Uganda	Green	Doing well. Has good examples of change brought about directly as a result of the programme. WaterAid Uganda fully supportive of the programme and has cross-subsidised activities, and committed to replicating the approach in their country strategy. Commissioned their own MTR of the GTF project. Should do some thinking now as to how to involve NAPE more effectively.	High
Mali	Green	There has been some change at purpose level (of country level logframe) with CAEPHA and CN-CIEPA becoming more credible partners within their sector and through forming strong working relationships with government technical bodies. Their capacity building work has been effective and focused on building the capacity of partner organisations (in both organisational management and in technical skills) and their network members. The programme has been efficient with spending and the programme has been well integrated with WaterAid's country strategy. Their models with the local public hearing spaces have been replicated elsewhere (in West Africa). Regional learning centre (West Africa) for GTF is based in Mali.	High
Madagascar	Amber	Started late, so a bit behind schedule. But managed to achieve over and above their expectations in their first year of full implementation. A really interesting model, partnership arrangements at all levels, have good performance related partnership agreements with each partner.	Medium
India	Amber	A lot has been achieved through the India GTF programme but the change has been very much at the local level (through the RTI Act and filing of applications, awareness raising campaigns etc). The India programme is also in effect, a collection of different state level programmes and there has been less evidence of the work bringing about	High

Country	Traffic Light score	Why?	Level of confidence in findings
		any real change at national or regional level as yet (this is also due to the GTF not being efficiently integrated into FANSAs work). However, there has been strong learning and sharing between partner organisations and there is evidence of replication between them e.g. Gram Vikas has supported MARI in taking on their 100% inclusive policy. Needs stronger links with FANSA to scale up their work and to broaden their learning and sharing with external stakeholders. More documentation needed.	
Ghana	Amber	An enabling environment in Ghana and yet have only spent 21% of budget so far and things seem to be going slower than you would expect in a country like Ghana. Attribution of evidence of change not entirely clear, as CONIWAS was already involved in high level discussions with government before GTF. But on the right track, good quality of reporting, and know where they want to be going. And identifying good strategies to overcome difficulties, for example working with authorities. WaterAid Ghana seemingly supportive of the programme.	Medium
Burkina Faso	Amber	Weak self assessment report, not at all clear exactly what the outcomes of what they're doing are, and what the coverage is. Spending is on track.	Medium
Nigeria	Amber	Very under-spent, and issues with use of the funds. One of the partners more effective than the other two. Really need to sort out their logframe! Good on equity.	Medium
Guatemala	Amber	Reporting was not as clear for Guatemala as for the other CA countries and it was difficult to get a real sense of what they are achieving. The main partner (ADP) lost interest in the project half way through so now FUNDEMABV has taken over overall management of the project. Not enough detail available as to their absorptive capacity to manage and spend the full amount, and not clear that they are the right organisation to be the sole focus of the GTF project in Guatemala. It is an environmental education organisation working in just one department in the country. They are working at very local level, like Honduras, but using a different approach to	Medium

Country	Traffic Light score	Why?	Level of confidence in findings
		training/capacity building of local organisations (workshops, and cascade training), and seem to be slightly slower going than in Honduras. So far just one successful community model has been established. Claimed to want to use Community Radio in the way that Uganda has used it (rather than just to disseminate info) but that couldn't afford to. But not clear why.	
Ethiopia	Amber	The Programme has been very slow going but perhaps understandable given the political context in Ethiopia – given the recent Proclamation on Charities and Societies. The programme has focused to date very much on strengthening the capacity of the Water and Sanitation Forum, which will then focus largely on gathering evidence for evidence based advocacy.	Medium
Kenya	Red	Very little progress to date, not sufficiently supported as ANEW no longer involved and Regional Coordination in East Africa in WaterAid not sufficiently taking GTF into account.	Medium
Bangladesh	Red	Only just starting	High
Malawi	Red	Only just starting	High
Zambia	Red	Dropped	High

Annex 5: Risk Matrix

Internal risks

Risk	Potential impact	Probability	Mitigation measures	Further actions	*MTR comment*
Limited organisational capacity of the partners eg • Weak skills in advocacy, financial management etc • Weak internal governance • Lack of advocacy Strategy	High (<£250 K)	Medium	1 Gaps identified in the partners' organisational structures are addressed 2 Strategies (organisational and advocacy) are Developed	Review of the implementation of the capacity needs assessment being carried out at the beginning of the programme Who? Local points/regional coordination bodies When? Q2/3	*Capacity needs assessment not fully completed for all partners. On going requirement.* *In practice x out of x partners have proved to have weak financial systems.*
Staff turn over at partner level	Medium (<£50K)	Medium	Support provided partners to develop HR policy and in recruitment	Create a favourable/enabling working environment through the review of the	*Of the sample of partner organisations interviewed as part of the MTR, it would seem that high level of staff*

Risk	Potential impact	Probability	Mitigation measures	Further actions	*MTR comment*
			of staff. Support to staff development including induction	capacity needs assessment Who? Head of partner organisation When? Q3/Q4	*commitment has been ensured. Some partner organisations (as listed in Attachments Annex 2) have left the programme altogether.*
Compliance with contractual requirements eg • Timely report submission • Respect of contractual Terms	High (>£1 million)	Low	1 Clear reporting processes in place 2 Regular monitoring and capacity building/training; accompaniment to partners when necessary	Regular review of contract compliance by partners with the support of programme funding. Who? GTF manager/PFO When? Six monthly basis	*Capacity constraints at partner level to comply fully with contractual requirements has occurred quite frequently within the programme (see Section 2.3.2.3), hence 'probability' rating of '**low**' has proved unrealistic. These problems negatively impact on the efficiency of the programme.* *Continued emphasis should be given to support partners in this aspect, and to review*

Risk	Potential impact	Probability	Mitigation measures	Further actions	MTR comment
					whether any contractual requirements can be downscaled to improve efficiency of the programme without unduly enhancing risk. *It should be noted that the extra layers of accountability and reporting that have been introduced to mitigate some of the concerns with financial management may further negatively impact on the efficient disbursal of funds.*
Difficult programme coordination mainly due to wide geographical spread of the programme in some countries	Medium (< £50k)	Medium	Close links built with the WaterAid regional offices (where they exist) in the different targeted areas to get support for the programme coordination	Formalise the relationship between the partners and WaterAid for a better streamlined approach	*The difficulties involved in managing this programme as one global programme have been mentioned in Section 2.3.2.1 of the report. In addition to the broad geographical spread of the programme, the problems*

Risk	Potential impact	Probability	Mitigation measures	Further actions	*MTR comment*
				Who? Regional coordination body and WaterAid country programmes When? Q3	*are caused by the fact that two distinct entities are involved in managing it. Improved communication channels between FAN and WaterAid, and a greater involvement by WaterAid Regional Structures are needed to mitigate this risk.*
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	*This risk is deemed to be appropriately graded (see Section2.3.2.2.* *Capacity needs assessments are on-going.* *A thematic study to test the assumptions/effectiveness of the network model might be warranted.*

Risk	Potential impact	Probability	Mitigation measures	Further actions	*MTR comment*
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	*The GTF activities and principles have been well integrated into the plans and strategies of FANCA and of the relevant WaterAid country programmes. FANSA is in the process of developing a regional strategy. It must ensure that the GTF is well integrated into this strategy.*
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	*Adequate risk assessment and mitigation measures. Capacity needs assessments still on-going.*
Financial sustainability after	High (> £1	Medium	Strategy development to	Support to the development of	*Adequate risk assessment and mitigation measures.*

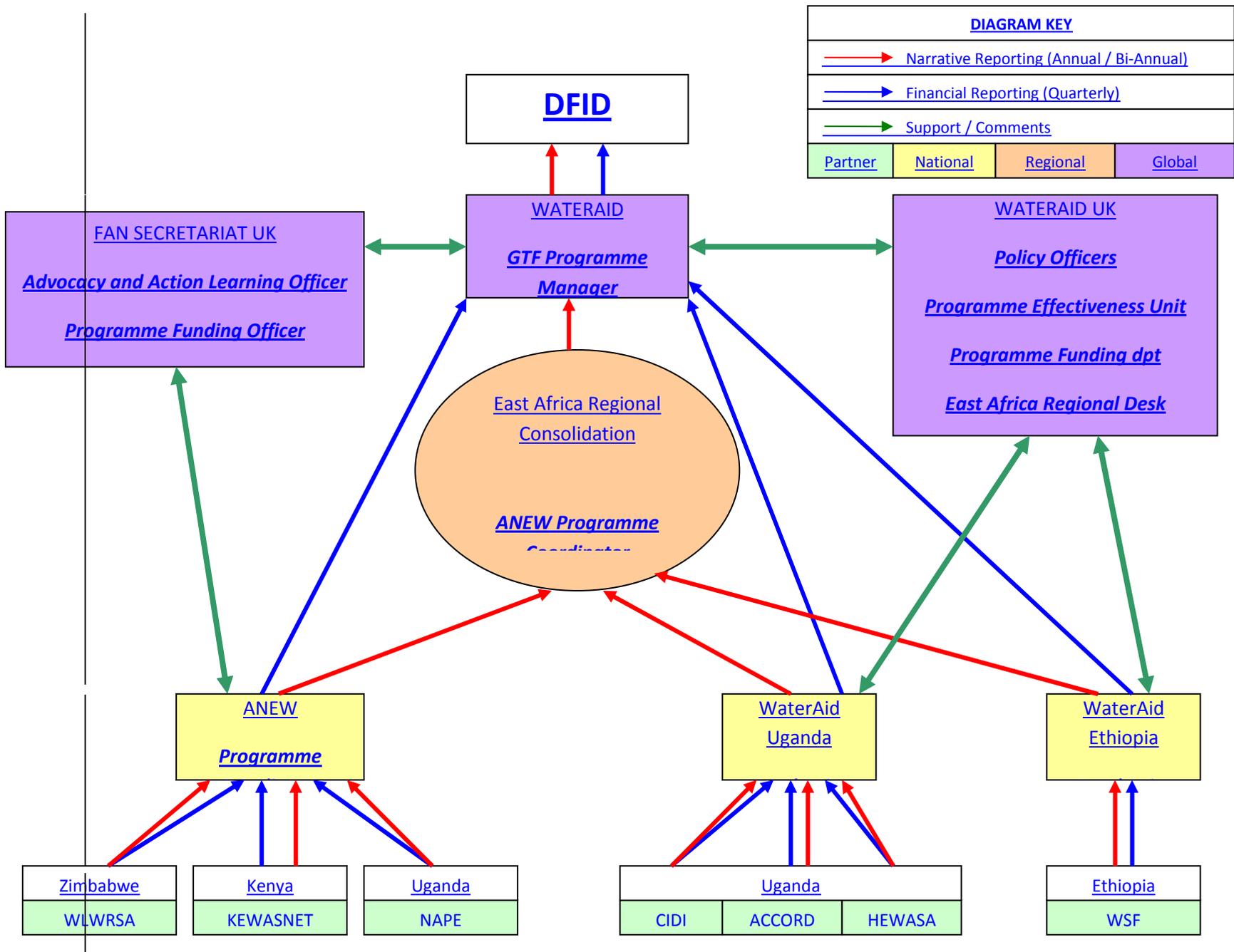| Risk	Potential impact	Probability	Mitigation measures	Further actions	MTR comment
the GTF programme	million)		anticipate any scenarios Regular discussions with the Fund Manager on possible post GTF funding	organisational fundraising strategy in line with their organisational strategy Who? Regional coordination bodies When? Ongoing	*See Section 2.7 of the report on Sustainability.*
Fraud and misuse of funds	Low (< £50k)	High	Regular partners' 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 Who? GTF Manager and Internal Audit When? Annually	*To date one incident of misappropriation of funds has affected the programme, which put at risk about £15,000 of programme funds. Concern about the financial management arrangements have also arisen with three other partners, although these did not amount to fraud or misuse of funds. The MTR*

Risk	Potential impact	Probability	Mitigation measures	Further actions	*MTR comment*
					feels comfortable with the level of risk attributed to this issue and with the mitigation measures put in place. Note, however, that the changes in reporting/monitoring roles set up to mitigate these risks themselves present additional risks in terms of communication issues and efficient disbursal of funds.
Institutional collaboration changes	Medium (> £250k)	Medium	Regular discussions between FAN and WaterAid	Ongoing discussions	*Note that FAN is due to become a separate legal entity in the summer of 2012. It has not yet been made clear what the implications are of this split for the GTF programme. The MTR feels this issue needs urgent consideration.*

External risks

Risk	Potential impact	Probability	Mitigation measures	Further actions	*MTR comment*
Lack of political will eg • Weak prioritisation of WASH issues (Central America) • Legal framework not conducive (eg Ethiopia with CSO legislation)	High (>£1 million)	Medium	Iinteractions/ consultation and dialogues with the 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	*The GTF has run into issues of political instability in Northern India, Nigeria in particular for WEIN in the Bauchi State and parts of Burkina Faso. There has also been a lack of political will in Honduras, Madagascar and Ethiopia. In each case it partners have effectively adapted to the situation.*
Political instability at all levels eg • Upcoming presidential elections (Uganda	High (>£ 1 million)	Medium	Close monitoring of the situation and regularly taking stock of the	Ongoing monitoring of the situation Who? GTF manager	

Risk	Potential impact	Probability	Mitigation measures	Further actions	*MTR comment*
and Ethiopia) • Impacts of the political unrests (Honduras and Madagascar) to the work being done by civil society • Impacts of political unrest in one of our targeted districts in Ghana			prevailing situation Regular communication with partners on the situation and potential impacts	When? 6 monthly	
Change in UK political scene – and impact on the UK Aid and the GTF programme	High (> £1 million)	High	Regular communications with the GTF Fund manager on the potential impact or changes on the programme	Support to KPMG/Triple Line relationship with UK Aid	*The GTF Programme Manager maintains excellent communication with the Fund Manager and with other GTF grantees.*
Inadequate water legislation impacting on the public nature of water and the communities rights to	High >£500k)	High	Programme focused on communities to inform and empower them on their entitlements and	Continue the work done around legalising the community water	*FANCA is primarily focused on this issue.*

Risk	Potential impact	Probability	Mitigation measures	Further actions	MTR comment
water			rights	boards.	

DIAGRAM KEY

→(red)	Narrative Reporting (Annual / Bi-Annual)
→(blue)	Financial Reporting (Quarterly)
→(green)	Support / Comments

Partner	National	Regional	Global

Annex 6: East Africa Reporting Example

DFID

WATERAID
GTF Programme Manager

FAN SECRETARIAT UK
Advocacy and Action Learning Officer
Programme Funding Officer

WATERAID UK
Policy Officers
Programme Effectiveness Unit
Programme Funding dpt
East Africa Regional Desk

East Africa Regional Consolidation
ANEW Programme Coordinator

ANEW
Programme

WaterAid Uganda

WaterAid Ethiopia

Zimbabwe	Kenya	Uganda
WLWRSA	KEWASNET	NAPE

Uganda		
CIDI	ACCORD	HEWASA

Ethiopia
WSF

6. List of Appendices

Appendix 1: Self-assessment Questionnaire

Country Focal Points

Part 1: Summary of country level programme

1.1. Country level programme

Name of country	
Name of GTF focal point	
GTF focal point FAN or WA?	
GTF country budget (for full five year period)	
Objectives of country level programme *(from country logframe)*:	
Goal:	
Purpose:	
Output 1:	
Output 2:	
Output 3:	
Output 4:	
Target groups/wider beneficiaries	
Description of GTF management arrangements	*E.g.* • *Flow of financial transfers to partner organisations (e.g. via WaterAid country office or direct to partner?)* • *Channels of reporting from partner organisations to GTF Programme Manager*

2.1 Details of partner organisations and their GTF projects

For each GTF partner organisation in country please provide the following information:

a) Name of partner organisation
b) Location and geographic coverage
c) Start date of GTF project
d) Budget for GTF project
e) Purpose of their GTF project and related indicators (referring to their project logframe)
f) Objectives/outputs GTF project and related indicators (referring to their project logframe)
g) Description of key activities to date
h) Description of any key achievements to date
i) Specific issues/constraints/challenges of which the mid-term review team should be aware

Part 2: Self Assessment Questionnaire

Please provide as much information and description as possible in the boxes below, including specific examples where relevant.

Relevance	Evidence/description
To what extent is the overarching/global level GTF programme (goal, purpose and four outputs) relevant to the situation in your country?	
To what extent did up to date and relevant awareness of the governance constraints in the WASH sector at national and local level feed into the design of the individual projects and country-level GTF programme in your country?	
How well does the GTF programme fit in with other WaterAid and/or FAN priorities and activities at country and regional levels?	
To what extent has the GTF programme been mainstreamed within other WaterAid and/or FAN projects and programmes in the country/region?	
Rating: Given the above information, please rate the programme from 1-5 in terms of its relevance:	
1 (extremely) 2 (fairly relevant) 3 (somewhat relevant) 4 (not very relevant) 5 (not at all relevant)	
Reason for rating given:	

Impact and evidence of change	Evidence/description
With reference to your country-level logframe, how likely are the Activities and Outputs/Objectives of the GTF programme to lead to the intended change at _purpose_ level and to contribute to the wider _goal_? How realistic do you feel the _purpose_ and _goal_ statements to be?	
With reference to the descriptions of desired change and the indicators outlined at _goal_ and _purpose_ level in your country-level logframe and to any baseline information collected for your country, what _impact/outcome/result_ has the programme had to date?	
To what extent do you think the programme is on track to achieve its intended _impact/outcome/result_ by 2013? What are the constraints and enabling factors to achieving this change?	
What has been the largest/most significant impact to date of the programme at the country level? Why have you identified this example?	
Is the programme being implemented in your country also having an impact at regional and/or global level? If so, describe how.	
What are the opportunities for the programme to increase its impact?	
Rating: Given the above information, please rate the programme from 1-5 in terms of impact (please consider both impact to date and likelihood of future impact):	
1 (several instances of impact to date and good likelihood of future impact)	

2 (some evidence of impact to date, and/or fairly good chance of future impact)	
3 (limited impact to date and/or limited chance of future impact)	
4 (negligible impact to date and only limited chance of future impact)	
5 (no impact to date and little chance of impact in future)	
Reason for rating given:	

Efficiency	*Evidence/description*
Please describe the partnership, management and financial arrangements of the GTF programme in your country, and how (if at all) these have developed over time?	
How efficient are these partnership, management and financial arrangements (including efficiency of disbursal of funds; efficiency of management and monitoring of financial disbursements; and efficiency of monitoring of programme achievements)?	
How could programme efficiency be improved?	
Rating: Given the above information, please rate the programme from 1-5 in terms of efficiency:	
1 (optimally efficient); 2 (mostly efficient); 3 (fairly efficient); 4 (fairly inefficient); 5 (very inefficient)	
Reason for rating given:	

Effectiveness	Evidence/description
With reference to your country level logframe and to any baseline information collected for your country, to what extent have each of the programme outputs been achieved as planned (please provide specific examples where possible).	
Output/Objective 1:	
Output/Objective 2:	
Output/Objective 3:	
Output/Objective 4:	
How effective and appropriate are the programme's current support and management mechanisms for promoting the achievement of programme objectives. (*Consider the support you are able to offer partner organisations and the support you get from WaterAid and/or FAN at national, regional and London offices*)	
What do you see as the added value to the programme of FAN Regional Coordinators and WaterAid Regional offices in terms of supporting national programmes and also influencing WASH issues at regional	

level?	
How effective are the current systems for monitoring and evaluation at partner/country and global levels? With hindsight, how could they have been improved?	
Rating: Given the above information, please rate the programme from 1-5 in terms of effectiveness:	
1 (optimally effective); 2 (mostly effective); 3 (fairly effective); 4 (fairly ineffective); 5 (very ineffective)	
Reason for rating given:	

Sustainability	*Evidence/description*
Describe issues of increased capacity, networks built, collaboration, and influencing of opinion that have been initiated under the programme.	
To what extent (and how) are these likely to continue when GTF funding ceases?	
Describe the risks to the success of the programme that have been identified and the process for routinely reflecting on and managing these risks.	
What are the prospects for the benefits of the programme being sustained after the funding stops? Or these prospects better or worse than originally envisaged?	
How can the programme improve the prospects for sustainability after the funding stops?	

Rating: Given the above information, please rate the programme from 1-5 in terms of sustainability:	
1 (optimally sustainable); 2 (mostly sustainable); 3 (fairly sustainable); 4 (mostly unsustainable); 5 (not at all sustainable)	
Reason for rating given:	

Value for money / Cost Effectiveness	Evidence/description
Are the budgets you are asked to provide linked to programme activities or outputs?	
Do you feel that the salaries and other GTF related expenditures of your partner organisations are appropriate to the local context?	
Do you feel more could have been achieved through different uses of the same funds? If so, please elaborate.	
Rating: Given the above information, please rate the programme from 1-5 in terms of Cost Effectiveness (CE):	
1 (excellent CE); 2 (good CE); 3 (fairly good CE); 4 (mostly poor CE); 5 (very poor CE)	
Reason for rating given:	

Equity	Evidence/description
To what extent has gender analysis fed into programme design and monitoring? *(e.g. was any gender analysis undertaken during programme design, was gender disaggregated data collected during baseline survey, is any gender disaggregated data collected routinely now and if so, how is it analysed and used in project management?)*	
To what extent were the differential needs and issues affecting appropriate marginalized groups *(consider young and old, excluded and marginalized communities, and ethnic minorities)* identified and addressed in project and programme design and implementation, and to what extent are the differential impacts of the programme on these groups monitored?	
To what extent have these groups been identified and actively engaged in project design, decision-making and assessing results?	
To want extent have any of the impacts to date of the programme (such as any change in government/service provider policies relating to the WASH sector) been explicitly concerned with the interests of these groups?	
Rating: Given the above information, please rate the programme from 1-5 in terms of equity:	
1 (Excellent focus on equity); 2 (good focus on equity); 3 (fairly good focus on equity); 4 (not much focus on equity); 5 (no focus on equity)	
Reason for rating given:	

Innovation	Evidence/description
Has the programme identified a new and innovative way of working for WaterAid and/or FAN? If so, please describe how.	
Has the programme identified a new and innovative way of working for others (either those working in the WASH sector or in governance issues in other sectors) that should be shared with others? For example, is there a new way of tackling a governance issue or unusual alliance to bring about change? Please describe.	
Rating: Given the above information, please rate the programme from 1-5 in terms of innovation:	
1 (Extremely innovative); 2 (mostly innovative); 3 (fairly innovative); 4 (not very innovative); 5 (not at all innovative)	
Reason for rating given:	
Replicability	Evidence/description
Has the experience of the programme in your country been communicated to others, who may want to replicate some or all of its practices? If so, please elaborate.	
What (if any) aspects of the programme have been replicated/scaled up from one programme locations to another across the programme?	
What aspects of the programme are likely to be replicable elsewhere and under what circumstances and in	

what contexts would the programme be replicable?	
Rating: Given the above information, please rate the programme from 1-5 in terms of replicability:	
1 (Extremely replicable); 2 (likely to be replicable); 3 (partly replicable); 4 (mostly unlikely to be replicable); 5 (not at all replicable)	
Reason for rating given:	

Appendix 2: Evaluation Matrix

WaterAid/FAN GTF MTR

Evaluation Matrix

Source and date of information:

- *List below all the documents reviewed*

Key information about the country/region: *Copy and paste the summary information requested in the Self-Assessment Questionnaires.*

Area of interest/ evaluation question	Findings, evidence, judgements
Relevance	
1. How well does the programme relate to governance priorities at local and national levels?	
2. How well does the programme relate to DFID's global strategy and priorities for the GTF programme?	

Area of interest/ evaluation question	Findings, evidence, judgements
3. How well does the programme relate to WaterAid and FAN strategies and plans at country, regional and global levels? How has the GTF programme been mainstreamed within the organisation and other organisational projects?	
Impact and Evidence of change *Note that the programme did not get underway until June 2009 and that it is likely to be too early to see much evidence of change at purpose or goal level (impact). Questions under heading 4 below (Effectiveness) will look at evidence of change/achievements at output level. Under this section the evaluation team will focus more on identifying the extent to which the programme is on track to achieve, document and assess impact / change at the purpose level later on in the programme.*	
4. How realistic is the current purpose statement, and how logical the programme's theory of change?	
5. What is the programme's overall impact to date and how does this compare with what was expected at the beginning of the programme (e.g. baseline) and in line with the set objectives? What is a realistic timeframe for impact (with the current approach)?	
6. Has the programme addressed the intended target group and what was the actual coverage?	
7. What difference has been made to the lives of those involved in the programme? (*note that 'those involved in the programme' is interpreted here as participating CSOs and networks'*)	

Area of interest/ evaluation question	Findings, evidence, judgements
8. Is there any evidence of impact from this programme at regional or global levels?	
Efficiency *How far have funding, personnel, regulatory, administrative, time, other resources and procedures contributed to or hindered the achievement of results?*	
9. How well have the partnership and management arrangements worked in comparison to what was stated in the inception report and how have they developed over time?	
10. How are the local partners involved in the programme management in terms of skills and capacities towards contributing to the efficiency of the programme? How effective was this and what have been the benefits of or difficulties with this involvement?	
Effectiveness *Assessment of how far the intended outputs and results are being achieved in relation to the targets set respectively in the partner/country/regional logical framework as well as the overall logical framework submitted and approved by DFID*	
11. Have the interventions achieved or are likely to achieve the set objectives at local and global levels?	
12. How appropriate are the interventions to contribute effectively to WaterAid and FAN strategies and plans at country, regional and global levels?	
13. How effective and appropriate are the support mechanisms in the programme approach and methodologies applied to achieve the set objectives at all levels? *Note this is linked to question 7 under efficiency, and refers to e*vidence *that the*	

Area of interest/ evaluation question	Findings, evidence, judgements
mechanisms in place for the GTF focal points to support the partner organisations (WaterAid) and networks (FAN) to achieve the programme objectives are effective and sufficient.	
14. How effective are the programme M&E systems at partner/country and global levels? With hindsight, how could they have been improved?	
15. How effective and appropriate is the overall partnership in terms of risks associated to the programme in relation to the number of partners or partners' capabilities etc.?	
Sustainability *Potential for the continuation of the impact achieved and of the delivery mechanisms following the withdrawal of DFID support.*	
16. What are the prospects for the benefits of the programme being sustained after the funding stops? Did this match the intentions?	
17. How have collaboration, networking, and influencing of opinion support sustainability?	
18. What are the factors that may impede or determine sustainability across the programme?	
19. Are the risks properly identified and well managed at all levels? *Note from 7th Feb briefing: include a look at extent to which <u>political</u> risks are being accurately identified and managed.*	
Value for Money: Note that at briefing meeting on 7 Feb it was acknowledged that value for money will be hard to assess	

Area of interest/ evaluation question	Findings, evidence, judgements
in the absence of anything to compare this to. Given the very tight time limitations of this review, it is proposed that analysis of value for money be limited to an analysis of expenditure by output where possible, and also a comment on the relative cost of the existing management structure as compared with issues of perceived effectiveness and efficiency that may be brought out under sections 3 and 4 above.	
20. Could the same results have been achieved for less money?	
21. Are salaries and other expenditures (e.g. overheads, running costs etc.) appropriate to the context?	
22. Are there obvious links between significant expenditures and key programme outputs/outcomes?	
Equity *Discussion of social differentiation (e.g. by gender, ethnicity, socio-economic group, disability, etc.) and the extent to which the programme had a positive impact on the more disadvantaged groups.*	
23. How does the programme actively promote gender equality?	
24. What is the impact of the programme on children, youth and the elderly?	
25. What is the impact of the programme on ethnic minorities?	
26. How are the needs of excluded groups, including people with disabilities and people living with HIV/AIDS addressed within the programme?	

Area of interest/ evaluation question	Findings, evidence, judgements
Innovation and replicability	
27. Has the programme identified a new way of working that should be shared with others? For example, is there a new way of tackling a governance issue or unusual alliance to bring about change?	
28. What aspects of the programme have been replicated/scaled up from one programme locations to another across the programme?	
29. What aspects of the programme are likely to be replicable elsewhere and under what circumstances and in what contexts would the programme be replicable?	

Appendix 3: Interview List

London	
Papa Diouf	GTF Programme Manager (WaterAid)
Anne Cropper	Funding Unit (WaterAid)
Louisa Gosling	Programme Advisor in charge of Equity and Inclusion (WaterAid)
Jerry Adams	Programme Effectiveness Unit (WaterAid)
Ken Caplan	Building Partnership for Development (BPD)
Tom Slaymaker	Governance
Kolleen Bouchane	Advocacy, Action and Learning Officer (FAN)
Danielle Morley	FAN Executive Secretary
Lydia Zigomo	Head of East Africa Region (WaterAid)
Mark Lomas	Head of Audit (WaterAid)
Richard Burge	Tripleline
Telephone Interviews	
Mike McDonald	KPMG
Ethiopia:	
Gulilat Birhane	Director of Policy and Communications
Aycihalim	CCRDA/Water and Sanitation Forum (WSF)
Kenya:	
Henry Ochieng	WaterAid
Stephen Mutoro	KEWASNET

Ghana:	
Michael Lumor	Line Manager of GTF Focal Point (WaterAid)
Ibrahim Musah	GTF Focal Point (WaterAid)
Danumim Subiniman	AWSDB
Basilia Nanbigne	CONIWAS
Nigeria:	
Juanita During	Head of Governance (WaterAid)
Saheed Mustafa	GTF Focal Point (WaterAid)
Mrs Lydia	WEIN
Burkina Faso:	
Celestin Pouya	GTF Focal Point (WaterAid)
Halidou Kouanda	Country Representative (WaterAid)
Dieudonne Soubeiga	RICHE
Madagascar:	
Jean Eugene	GTF Focal Point (WaterAid)
Lovy	Country Representative (WaterAid)
Dennis	PME
Lanto	Finance
Guatemala:	
Mario Mendez Prera	FUNDEMABV
Honduras:	
Omar Nuñez	AHJASA

Iris Zavala	FUPNABIB
Country Visits:	
Uganda:	
Davis Ddamulira	GTF Focal Point (WaterAid)
Juliet Abaliwano	GTF Focal Point (WaterAid)
Alice Anukur	Country Representative (WaterAid)
Doreen Kabasindi Wandera	Executive Director (UWASNET)
Mary Namweebe	Advocacy and Policy Analyst (UWASNET)
Chris Gabelle	Governance Advisor (DFID)
Gilbert Kimanzi	Chair (GGWG)
Henk Mulder	Financial Advisor (GGWG)
Judith Schule	Secretary (GGWG)
Timothy Mukeele	NAPE
David Azoora	HEWASA
Paul Dunstan Ddamulira	ACORD
Simon Ddeuibe	CIDI
List of attendants at partner roundtable	
Paul Dunstan Ddamulira	ACORD
Timothy Mukeele	NAPE
Jane Nalatto	Kichwa Association, Central Division
Oduma Swaiman	Kichwa Association, Central Division
Isabirye Al-Hassan	Action for Slum Health and

	Development
John Kisembo	Partners for Health, Environment, and Community
David Azoora	HEWASA
Simon Ddeuibe	CIDI
Josephine Namugga	CIDI
Francis Kalema	CHC
Godfrey Sseswato	CIDI – Bumalseli Parish
Godfrey Mulindrwa	CIDI – Kyebardo Parish
Racheal Mirambe	ASHD
Representative	DANIDA
Mali:	
Kadiatou Aw	Head of Policy (WaterAid)
Fatoumata Haidara	Country Representative (WaterAid)
List of attendants at partners' roundtable	
Bamba Sory	GTF coordinator, CAEPHA
Boureima Tabalaba	GTF coordinator, CN-CIEPA
Seydou Ba	Intern, CAEPHA
Kadiatou Keita	Secretary/Accountant, CN-CIEPA

Aoua Dembele	Intern, CN-CIEPA
Fatimato Diawara	Secretary/Accountant, CEAPHA
Dounantre Dao	President, CN-CIEPA
Souleymane Diallo	Member, CN-CIEPA/CAEPHA
Saumake Lalla	Administrator, CAEPHA
Diana Couliboly	President, CAEPHA
Sow Aly	Secretary General, CAEPHA,
Haoua Bouené Ballo	Treasurer, CAEPHA
Maimouna Sidibé Niané	CAFO CEDRUD
Felix Dakouo	National Director (National Directory of Sanitation)
Modibo Diallo	Head of Sanitation Division
Yaya Boubacar	National Directorate of Water
Stefan Letchner	KFW (Donors Committee Representative)
Representative	HELVATAS (on REMID)
Representative	HELVATAS (on REMID)
Costa Rica:	
Vanessa Dubois	GTF Project Officer (FANCA)
Rolando Castro	GTF Focal Point (CEDARENA)
Esteban Monge	CEDARENA
Yamileth Astorga	University of Costa Rica –Institutional

	Integrate Environmental Management Programme-
José Antonio Zúñiga Castro Marcos Mellin Elmore Rolando Marin León Edgar Chacón	Volcan Water district Concepción de Naranjo Water district Water district Network of Grecia El Tanque Water district CORFORSA
José Miguel Zeledón –Director-	National Institute of Water
Virginia Cajiao Consultant	Vice President Office
Raymi Padilla –Advisor-	Citizens Action Party
Maureen Ballestero –President-	Global Water Partnerships
Nicaragua:	
Lourdes Garcia	GTF Focal Person (GPAE)
Amanda Miranda Ivonne Gutierrez	Financial (SIMAS)
Clemente Martínez	Comité de Acción Global CODA/FANCA member
Mirna Hing Rojas	ADEMNORTE CODA/FANCA member
	Water and Sewer System, National Institute
Luis Felipe Gonzáles Pallais –Riverbasim General Director	National Water Authority
India:	
Neelkanth Mishra	GTF Coordinator (FANSA)
Murali	FANSA / MARI
Roundtable discussion with MARI team	MARI
Roundtable discussion with CRSD team	CRSD
	NGO Alliance

	NGO Alliance
	NGO Alliance
	Govn't
	Govn't
	Govn't
300 plus participants (part of another meeting)	Interview at Mandal meeting

Appendix 4: List of participants at Big Meeting 3

Name of participant	Position
Mamadou Keita	GTF Focal point, Mali
Saheed Mustafa	GTF Focal point, Nigeria
Ibrahim Musa	GTF Focal point, Ghana
Girma Aboya	Representative for GTF focal point, Ethiopia
Juliet Abaliwano	GTF Focal point, Uganda
Jean Eugene Injerona	GTF Focal point, Madagascar
Joseph Halder	GTF Focal point, Bangladesh
Phaniso Kalua	GTF Focal point, Malawi
Vanessa Dubois	GTF Focal point, Central America
Murali Ramisetti	MARI/FANSA
Neelkanth Misha	GTF Focal point, Asia
Ms.Hilda Grace	CDRC (Implementing partner, India)
Mr.Rajamohan	MARI
Papa Diouf	GTF Programme Manager, London
Jerry Adams	Head of PEU, WaterAid UK
Apollos Nwafor	WaterAid, RAPA West Africa
Ken Caplan (Lead)	Workshop Facilitator, BPD, UK
Sarah-Jane Marriott	MTR Team leader, *theIDLgroup*
Emma Haegeman	MTR consultant, *theIDLgroup*
Ms. Indira Khurana	WaterAid India
Louisa Gosling	WaterAid, Equity and Inclusion Advisor

Appendix 5: Documentation List

Global level documents
GTF MTR TOR
DFID MTR Guidelines
GTF Inception Report 2009
Guidance notes for 2010- 2011 planning
Governance and transparency six month programme update template
Governance and transparency fund programme handbook
GTF Annual Reports 2009/2010, 2010 - 2011
WaterAid / FAN GTF Proposal Sept 2007
GTF 1st Big Meeting Report (Accra)
GTF 2nd Big Meeting Report (Mombassa)
WaterAid Global Strategy
FAN Global Strategy
DFID GTF logframe
Kolleen Bouchane – "Learning from Experience: Rights and governance in the water and sanitation sector".
Regional level:
East Africa Annual Report 2008 – 2009   Anew Annual Report 2009 – 2010   ANEW annual report 2010 – 2011
South Asia Annual Report (FANSA) 2008 – 2009   South Asia Annual Report (FANSA) 2010 – 2011   FANSA Annual Plan   Regional visit and field visit report by AALO
Central America Annual Report (FANCA) 2008 – 2009   Central America Annual Report (FANCA) 2010 – 2011   FANCA context statement   Regional visit and field visit report by AALO
West Africa Annual Report 2008 – 2009
Country Level documents:
Ethiopia:
Country strategy   CRDA baseline   CRDA annual report 2009-2010
Mali:

annual report Country strategy Annual plan Logframe
Ghana:
Baseline surveys / tables annual report Annual plan 2010/11 CONIWAS Advocacy capacity assessment 2009 AWSDB baseline 2009
Kenya:
KEWASNET Annual Report KEWASNET baseline KEWASNET year 2 planning
Uganda:
Governance and Transparency Fund Project Mid-term Evaluation: WaterAid Uganda annual report WaterAid / FAN strategy Country plan Logframe NAPE Annual Report NAPE baseline
Nigeria:
annual plan 2010 - 2011 WaterAid strategy Annual report yr 2 Logframe
Burkina Faso:
Country strategy Country plan 2010 - 2011 Logframe
Madagascar:
Annual report
India:
annual report 2009-2010/2010-2011 Gram Vika logframe/baseline MARI logframe Sathee logframe
Costa Rica:

Baseline surveys / tables annual report Country strategy Country plan Logframe
Guatemala:
6 month reports annual report WaterAid / FAN strategy Country plan Logframe
Nicaragua:
6 month reports annual report Logframe
Honduras:
6 month reports annual report Country plan Logframe

Appendix 6: Workplan

Introduction

This document constitutes a detailed plan of work for the mid-term review (MTR) of the Governance and Transparency Fund (GTF) programme being implemented jointly by WaterAid and the Freshwater Action Network (FAN) with funding from the UK's Department for International Development (DFID).

On 7 February 2011 the independent evaluation team (from *theIDLgroup*) met with the GTF programme manager and two other members of the programme's Steering Committee at the WaterAid offices to discuss in detail the Terms of Reference (TOR) for the MTR. This discussion was focused on developing a more detailed and mutual understanding of the purpose, scope and key priorities for the review, as well as to discuss methodology, team membership, and roles and responsibilities. This work plan has been developed subsequent to that meeting. It should be shared with the remainder of the evaluation team and with the evaluation's steering committee for comment, and when agreed and signed off by the client (WaterAid), should be seen as an addendum to the original TOR.

Summary of the programme to be reviewed.

With funding from the UK's Department for International Development (DFID) under its Governance and Transparency Fund (GTF), WaterAid and the Freshwater Action Network (FAN) are together implementing a programme aimed at increasing the capacity and resources of civil society to participate in effective evidence-based dialogue with decision-makers in the water and sanitation arena and build pressure for securing pro-poor service delivery. The programme represents a collection of around 28 different projects being implemented by local civil society organisations (CSOs) and CSOs networks in 14 countries across Africa, Asia and Central America. The £5m programme is being implemented over five years, with a completion date of September 2013.

The programme was developed in a bottom-up fashion, with both WaterAid and FAN inviting their partner organisations (WaterAid) and members of their network (FAN) to develop concepts for projects related to the overall purpose of DFID's GTF, and these then being pulled together into a global programme to be managed jointly by WaterAid and FAN. While there is an overarching goal, purpose and set of four specific objectives (or outputs) for the overall programme, the way in which these are interpreted and implemented at the individual country and project level varies.

The Stakeholder Analysis table attached (Appendix 1) details the key stakeholders of the GTF programme and hence this MTR.

Summary of the purpose and scope of the MTR

The TOR describe the main purpose of this Mid-Term Review as being to *"to provide an independent assessment on the progress and performance to date [of the GTF], to measure and report on achievements and early signs of change and impact, 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".* Specifically the review is intended to look at relevance, effectiveness, efficiency, value for money, sustainability and replicability of the programme, as well as looking at the extent to which it has addressed issues of equity, and whether or not the programme represents any innovative aspects that should be shared with others. Early evidence of change (impact) will also be looked at, bearing in mind that the start date for individual projects varied, with some components of the programme having only recently come on stream.

The meeting on 7 February highlighted that a particularly pressing area for investigation from the point of view of the client are issues surrounding the effectiveness, efficiency and value for money of the current management structure of the programme. It was also felt that questions surrounding evidence of change or impact of the programme might best be looked at by way of looking at the existing Theory of Change and Monitoring and Evaluation systems. In other words, looking at how the desired change/impact has been articulated and understood, and the extent to which the programme is on track to achieve, measure, and demonstrate this change.

It should be pointed out that this is a review of the overall programme, and as such should take the broad view of how the programme as a whole is performing. It is not intended to look in detail at each individual project, although some projects will be looked at in more detail than others with a view to providing case study descriptions to illustrate key review findings.

Team approach and learning

The review will be led by two consultants from the independent development organisation, *theIDLgroup.* However, in order to maximise the internal learning afforded by the MTR, the core evaluation team will also include three individuals employed by WaterAid or FAN and with responsibility for overseeing the GTF programme in the countries in which they work. In addition, a local consultant from West Africa will join the team for data collection in Ghana (and to lead on data collection in Mali) and one of *theIDLgroup*'s principal consultants will carry out the field work in Ethiopia. These team members will be brought into the discussion surrounding the further development of the methodology to be used in this review,

will be fully involved in field work, and will share responsibility for document review, data analysis and identification of findings.

Following the final tranche of field work (in India in May), five of the team members[24] will work together to identify the key findings from the review and will then present these to the programme's third Big Meeting on 16 and 17 May (at which implementing partners from all 14 countries will be present) with a view to inviting feedback and developing recommendations that are mutually agreed and hence owned.

Data collection methods, and sources of information

The majority of primary data will be collected using qualitative methods (semi-structured interview, self-assessment questionnaires, and direct observation). The review will also make use of considerable secondary data sources by way of project design, progress, financial and evaluation reports.

Five countries will be visited as part of the review (Ethiopia, Ghana, Mali, Costa Rica and India). In these countries, the review team will be able to seek the views of a wide range of stakeholders to the programme. For those countries not being visited as part of the programme, the views of the GTF focal point will be sought by way of a self-assessment questionnaire and telephone interview. Telephone interviews will also be carried out with some (but not all) partner organisations and WaterAid Country Representatives.

The review team will also interview key staff in the London office of WaterAid and FAN, as well as staff at TripleLine and KPMG, who are contracted by DFID to oversee their wider GTF programme.

See the attached data collection table (Appendix 2) for details of how data will be collected to answer each of the specific evaluation questions that have identified for this review. The list of questions is taken from those outlined on pages 2-5 of the original TOR, but reflects some changes and omissions that were discussed during the 7 February inception briefing.

Cross-checking of information

For each evaluation question and sub-question, information will be gathered from at least two sources, and wherever possible from three sources. If responses from these two or more different sources seem to vary considerably, further sources of information for that question will be sought.

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[24] Neither Terry Green nor the West African local consultant will be present.

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Data analysis

The data for this review will be extensive and come in many forms: written documents and reports; summary documents and self-assessment questionnaires prepared by the GTF focal points; notes taken from semi-structured interviews; and quantitative data regarding financial information and responses to the closed questions and self assessment rankings contained within the email questionnaire.

Analysis of this data will need to be focused and efficient, while at the same time open-minded and iterative.

Before starting the review the team will work together to identify which evaluation questions we are seeking answers to from each data source. We will identify whether or not there are likely to be biases associated with any of the data sources and if so, what additional sources of data can be looked at with alternative points of view that are likely to provide a balanced response to a particular question. We will also develop an Evaluation Matrix, which will list the key evaluation questions and sub-questions down one side and allow room for key observations, findings and judgements related to each one of these to be noted down next to each one. This matrix will facilitate systematic and efficient coding of reports and the easy jotting down of notes during interviews. It will hence allow for ready analysis of key themes emerging, as well as the level of convergence in responses and any areas in which there are inconsistencies that require further investigation.

Quantitative data (such as financial information) will be analysed using Excel spreadsheets.

Risk identification and mitigation
See Appendix 5 for the constraints and risks that have been identified as being associated with this MTR, and how they will be mitigated. Where other constraints or risks are identified during the course of the review, they will be brought to the attention of the client and appropriate risk mitigation strategies developed.

Ethical issues

In order to ensure that the review is carried out in a way that respects and upholds the rights of those participating in and contributing to it, the following approach will be adopted:

- Prior to each interview the review team will give a brief but comprehensive introduction as to who we are, the nature of the evaluation, and the purpose of this particular interview in contributing towards the evaluation. The evaluators will invite questions before proceeding with the interview/FGD

- Individuals interviewed on a one-to-one or group basis will be asked at the end of the interview if there is anything that they have said that they would rather be kept anonymous/not attributable to them in the evaluation report.

- The evaluators will ask in-country counterparts to let them know of any cultural sensitivities of which they should be aware and how to behave in the face of these sensitivities. The field work in Mali will be carried out by a French speaker, and in Costa Rica an interpreter will be made available so that where individuals and participant groups met with as part of the field-work are more comfortable speaking in Spanish rather than in English, they are free to do so. Telephone interviews with stakeholders in the other Central American countries will be carried out by the Spanish speaking member of the IDL team.