Project Completion Review - Top Sheet

This Top Sheet captures the headlines on the programme performances performance over the course of its lifetime.

Agencies should use Section M to provide a short summary from each Annual Review over the life of the programme (maximum 1 page per year).

Review Date:	31 August 2016

Title: WaterAid Programme Partnership Arrangement		
General		
Programme Code: 202621	**Start Date: 1 April 2011**	**End Date: 31 March 2016**

Summary of Programme Performance

Year	2012	2013	2014	2015	2016
Programme Score	**A**	**A+**	**A+**	**A+**	**A+**
Risk Rating	**Medium**	**Medium**	**Low**	**Medium**	**Moderate (new risk rating definitions apply)**

Financial Position

Original Programme Value	£12,604,920
Extensions/ amendments	£8,403,280
Brief details of the 3 most recent log-frame revisions with dates	Sept 2015 (AR 14/15) • To reflect our global strategy focus on sector strengthening and impact measuring, the impact weighting for Output 1 was reduced by 10% and Output 3 increased by 10%. • A number of targets were positively adjusted to reflect the overachievements made in 14/15. • The water and sanitation targets were adjusted to reflect our focus on meeting the globally off-target sanitation goal. June 2014 (AR 13/14) • Greater emphasis was placed on the use of findings from Post Implementation Surveys (PIMS') and Country Programme Evaluations (CPEs), rather than simply reporting the number conducted. • Indicator 3 was adjusted to include the focus on investing in quality partnerships • The milestones language was tightened to ensure continuity between years (such as Outcome Indicator 1, *significant* was replaced with *strong*).

	June 2014 (AR 12/13) • The traffic light system for reporting was replaced by consistent terminology (e.g. green replaced by good) with a detailed definition provided for each term against each outcome or output where relevant. • Outcomes 1 and 2 were updated to include Regional and UK evidence respectively to reflect the wider impact of our capacity building work. • An additional indicator was included to ensure that results of our learning and research could be reported.
Total programme spend	£21,008,200

Other DFID Funding

Please see Annex A.

Short Summary from each Annual Review over the life of the programme, 2011-15

Please see Section M.

A. Introduction and Context (maximum 2 pages)

DevTracker Link to Business Case:	https://devtracker.dfid.gov.uk/projects/GB-1-202621/documents
DevTracker Link to Log frame:	https://devtracker.dfid.gov.uk/projects/GB-1-202621/documents

Outline of programme and what it has achieved at the end of the PPA period
1. Summary of progress and key results from Year 5

In the past year, we have made great progress against all of our outputs, achieving or over-achieving against the majority of our indicators. We have overachieved against our access to water target, reaching 1.95 million people (↑15%) and achieved our ambitious sanitation goal, reaching 3.08 million people. We are particularly proud to see the culmination of four years of WaterAid (WA) advocacy on the post-2015 process, with the creation of Global Goal 6 of clean water and sanitation for all being achieved in September 2015. The external evaluation of our PPA supports this progress, "*WaterAid's advocacy and influencing work has gained greater profile (post-2015 WASH goal) and it has become more confident about leveraging other resources to reach the ambitious targets*". We are very pleased to see Country Programmes (CPs) taking forward learning from reviews and monitoring, leading to programmatic changes, with a greater number of CPs than planned presenting evidence of learning or improved programme design in response to the Post Implementation Monitoring Surveys (PIMS') and Country Programme Evaluations (CPEs) conducted. A significant finding of the evaluation was that "*sustainability is now seen by the majority as the precursor to sector strengthening"* and that "*PIMS appear to have increased the organisations sense of accountability"*. Both findings support the progress against the current Global Strategy and it is rewarding to have independent verification of this alignment. The 2016 repeated Keystone Survey has given us a huge boost. It confirms that the partnership training and toolkit has led to changes in behaviour, and that our investment in quality partnerships is being felt, with the findings of partner's feedback, presenting a positive score. The PPA evaluation concluded that "*there appears to be solid strategic thinking and partnering at the global level, a 'new' partnership at the regional level and a reinvigorated approach to partnership emerging at the country level".*

2. Outline of the 5 year programme, results achieved and, if relevant, contribution to the MDGs/recently agreed Global Goals, telling the story of the lifetime of the PPA

WaterAid has always used the PPA strategically, without programmatic or country level earmarking. This has allowed the funding to be used for building organisational effectiveness, supporting growth and innovation, areas that traditional restricted funding is not suitable or available for. The PPA funding has allowed us to be more dynamic in planning and to take bold strategic decisions. The three main areas of strategic investment over the last five years have been supporting programmatic growth, developing internal systems and processes and prioritising innovative and high risk programmes.

Programmatic Growth - The result of this five year commitment has been a substantial and sustained growth in programmes. We have been able to pilot programming in new countries, innovate within existing ones to trial new technologies, and to enhance our focus on sustainable services, supported through improved monitoring systems. During the life of this PPA we have grown as an organisation, increasing our reach from 22 to 37 countries (including members) and grew in staff numbers and turnover to match our ambition. The PPA support has also allowed us to take bold strategic decisions regarding funding portfolios in CPs. For example, we were able to use strategic funding to bridge CPs who were struggling with large numbers of small value grants that created a huge grant management burden on the staff and limited their ability to focus

on their own strategic direction. By creating this space, CPs were able to invest in systems and focus on delivering high quality programmes aligned to the Global Strategy.

Internal systems and processes - Through the long term funding commitment, we were able to embark on the PIMS journey (see Section B). The PPA supported the development of the theory, pilot and subsequent technological investment. This process has helped to inform our current approach to sustainable services in the Global Strategy *Everyone Everywhere 2030*. The PPA has supported our shifted focus from the direct delivery of sustainable Water, Sanitation and Hygiene (WASH) services to supporting governments and service providers to strengthen the systems and capabilities required to deliver sustainable WASH. This sector strengthening approach to service delivery is not only more sustainable, but also more empowering, aligning to Global Goal 17 of working in partnership for sustainable development. In the last five years, we have also developed new approaches to delivering or monitoring our work such as: the Programmatic Approach; the Programme Monitoring Evaluation and Reporting (PMER) Project; and the ability to hold duty bearers to account, such as WASHwatch.

Prioritising innovative and high risk programmes – The focus of two Outcomes within the logframe are based on our global, regional and national advocacy and influencing work, representing the focus we give this aspect of our work. We have been able to support the two Global Advocacy Priorities (GAP) through the last five years of PPA support, giving us the space to highlight financing of the WASH sector (GAP 1). Our work with the Sanitation and Water for All (SWA) High Level Meetings reaped great rewards. For example, in Mali, colleagues engaged with UNICEF to influence government financing, resulting in a national budget increase for WASH from 3% to 5%. In 2015, we launched the Healthy Start programme (GAP 2) taking a step forward in improving the health and nutrition of new-borns and children, aligning to DFID's *Leave No One Behind* agenda. The PPA evaluation found that "*It is too early for the positive movement of WASH for child health to be visible in country results. However the changes in approach, partnership, upskilling and general interest indicates that results will follow*". We have used PPA funding to develop an approach to advocacy monitoring, reporting and evaluation, in part a response to the annual report feedback from DFID, as well as a necessary step to ensure our advocacy M&E is robust as we deliver the Global Strategy 2015-2020.

There are many clear and impactful results over the last five years, as we have consistently over delivered against our expected targets, receiving an A+ rating for the last three years. Through the lifetime of the PPA we have provided water access to 9.19 million people, and sanitation services to 13.26 million people, making a substantial contribution to DFID's WASH target of 60 million people by 2015. It should be noted that over the five years, we have reached over 525,000 people more than planned with water and over 397,000 more with sanitation.

Within the last five years we have moved away from quantifying partners and partnerships as an output, and focused more on investing in the quality of these. We've used partnership training, toolkit development and conducting partnership reviews, and where necessary followed responsible exit approaches. We plan to continue this approach and will ask partners to assess us regularly. We have also changed focus from producing a certain number of publications or conducting CPEs, to looking at their impact. Through the extension period we have focused on how we are disseminating learning and research within the sector to improve practice and learning. We now ask CPs to report on learning and programmatic adaptation as a result of CPE and PIMS findings and recommendations.

There has also been added value by being driven by DFID to deliver more, improve year on year and respond to feedback throughout each year. This consistency of contact and appraisal has encouraged us to focus on diversifying our evidence base, commissioning more external evaluations, reviews or pieces of research to validate our work.

B: PERFORMANCE AND CONCLUSIONS (6 pages maximum)

Overall Outcome Assessment

Overview

In 2015, we commissioned an independent evaluation of the WaterAid PPA over the last five years. We elected to do this to assess the extent to which we had achieved our three consistent Outcome Indicators over this time, as well as to focus in on a number of thematic work streams that had emerged through the PPA and are priorities within our Global Strategy. The Final Evaluation Report[1] assessment of progress is used to validate the findings and results reported using our usual Annual Reporting process, with comments included to substantiate statements made regarding process.

It is important to note that the PPA logframe was developed and refined in relation to the Global Strategy 2010-15, and within the extension period there has been a tremendous shift in approach to the 2015-20 Global Strategy. This shift is being supported by a number of initiatives that were developed under the PPA, such as the Planning, Monitoring, Evaluation and Reporting (PMER) Project and PIMS, as well as sector changes. As such, the PPA funding has given us the flexibility and space to be reflective, pilot new ideas and tools, and to support the progressive steps in the way we now operate through our 2015-20 Global Strategy, *Everyone Everywhere 2030*[2].

Outcome 1 focuses on evidence of increased capacity for collective action by civil society and non-sector actors to campaign effectively for the rights of the poor to WASH. The evaluation established that we have "*made a systematic effort to internalise the rights based approach (RBA) through the Rights Based Approach Action Learning initiative".* The RBA is key to engagement for WASH access as it builds the voices of communities to hold duty bearers to account. It also reports that there were "*many positive examples of WaterAid informing and assisting through its campaigns the rights of the poor to WASH".* Internal reporting demonstrates that we slightly overachieved the target with all four Regions demonstrating strong capacity and eleven CPs (+1) reporting strong national capacity. This shows huge progress from the 2010 baseline, where there were no strong CPs or regions. Over the last five years, we have seen a gradual but sustained transition across all CPs, moving from weak to moderate or strong. At the Global Level over the last five years, we have assisted and informed the SWA partnership and the global level partnership behind the High Level Meeting (HLM).

Outcome 2 provides evidence that our global and national influencing work has contributed to more people potentially having access to water and sanitation. In the last Global Strategy, 'influencing' was seen as a type of programming, against which it may be hard to deliver. Within the current Global Strategy, there are five key operational approaches used to deliver the global strategic aims. Influencing is one of these and therefore fundamental to reaching everyone everywhere by 2030 and this outcome indicator set the foundations for this work. At the global level, the greatest influencing achievement over the last five years was the creation of a Global Goal on universal access to Water and Sanitation. There was strong evidence through the PPA evaluation (and through the Post-2015 external evaluation[3]) that we played a part in the achievement of Global Goal 6 (GG6). The Post-2015 evaluation found that: "*It was not the purpose of this evaluation to attempt to establish causal links between WaterAid's work and this eventual outcome, but circumstantial evidence reviewed during the exercise suggests, through*

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[1] PPA Final Evaluation, **Evidence Table #1**

[2] WaterAid's Global Strategy - http://www.wateraid.org/~/media/Publications/Everyone-Everywhere-2030-WaterAid-Global-Strategy-2015-2020.pdf

[3] Evaluation of WaterAid's Post-2015 Policy Advocacy Evaluation, **Evidence Table #2**

its role in the Joint Monitoring Programme consultation, as a leading member of the Communications Advocacy Group, and through its own actions at key moments in the post-2105 process (such as the African Ministers' Council on Water ministerial meeting in Dakar in 2014), that WaterAid played an important role in securing this SDG". Our contribution ranged from attending over thirty events to lobby, support and challenge UN colleagues, speaking at ten events between 2013-15, a policy secondment to the JMP to convene early technical discussions and creating an internal working group to mobilise CPs and UK departments with a dedicated Post-2015 thematic lead in our Policy and Campaigns Department (PCD). Following the agreement in 2015, we have invested in a new toolkit that provides background on the SDGs and gives advice on how to analyse the changes in country context.

The external Post-2015 evaluation highlighted a number of strength related to WAs advocacy work, for example, "*The Advocacy Working Group structure and cross-organisational membership should be retained, as it provided strong leadership and direction*". At the regional level, huge success was seen in West Africa where we led the successful advocacy at AfricaSan4 that resulted in the new sanitation action plan for Africa, the Ngor Declaration on Sanitation and Hygiene. This outlines achievable commitments intended to deliver dignity and equity in sanitation and hygiene in Africa in the next fifteen years. At the national level, there has been impressive progress with CPs reporting increased evidence of our influencing work leading to change. In our 2011 baseline, only three CPs reported significant evidence, with no regions being able to report this. Now we can report that all four regions and PCD reported significant evidence. Change through influencing work, such as securing GG6, can take years to yield impact, making it well suited to long term funding commitments such as the PPA. For example, in 2015, after three years of WA Pakistan discussions with UNICEF, they agreed to fund a national behaviour change campaign ($1m) if WaterAid also contributed (30% from unrestricted funding). WA Pakistan believes that a national campaign was required to create transformative change across the whole country.

Outcome 3 provides evidence of the number of African and Asian countries where WaterAid UK works where WASH is recognised as an essential element of health in national development frameworks and sector policies and implementation programmes. WaterAid believes access to safe water, improved hygiene and sanitation is a human right. These essential services underpin human development and transforms lives, enabling people to overcome poverty and better health outcomes are part of this. WA's GAP2 is the Healthy Start programme, launched in 2015, with the goal of improving the health and nutrition of new-born babies and children, by advocating for access to water, sanitation, and hygiene promotion to be integrated into health policy and delivery locally, nationally and internationally.

As with the Post-2015 work, the launch only signalled the start with huge amounts of groundwork invested in the preceding years, and this is already starting to show results. Progress towards this outcome over the first three or four years of the PPA was steady, but with the launch of Healthy Start, and the prioritisation of health in the current Global Strategy, we have seen a step change in progress, with eleven CPs reporting good progress. A shift from the baseline where only six CPs reported good progress. It is positive that we have been able to sustain the upward trend in country level progress, and as noted in the external evaluation (see Section A) the expected results of increased focus at the strategic level for WA will be felt in the future, thanks to the support from the PPA to invest in the foundations and launch of Healthy Start. As an example of the result of our efforts, WASH is now included in three development policies in Ethiopia: the recently developed Hygiene and Environmental Health Strategy and Strategic Action Plan; Integrated Urban Sanitation and Hygiene Strategy; and the National Strategy for New-born and Child Survival.

Changes to capacities in relation to results and sustainability of capacity changes

As many of the outputs from this PPA funding period are reported on within other sections of this report, we have selected three examples of changes in capacity that have been seen over the long term of this funding period. They reflect the significant and sustained contribution of the PPA support and have been mentioned in previous ARs. This gives us the opportunity to provide an update on early investments.

Restricted Income Project - RIP

WaterAid UK has grown its income stream significantly in the last five years, from an income of £43m in 2009/10 to a global turnover of more than £90m in 2015/16. Fund management has historically been treated at WaterAid as distinct and separate from general financial management and planning. As the organisation grew and fund management became more complex and varied, it became critical to have in place the right systems, processes and tools to enable and facilitate the management of funds across the organisation. The RIP was initiated in 2010 to develop these systems, processes and tools and involved the implementation of key changes in the management of restricted funding for WaterAid. Key changes implemented include the introduction of the Funding Matrix, Restricted Income Management Approval Process (RIMAP) and the three year Multi-year Plan and Budget process (MPB). Following the pilot in Nepal and Malawi, the rollout has now been successfully completed in all WaterAid UK country programme offices.

In 2013 there was an internal audit of RIP[4], where one of the four objectives was to establish the value for money of the project, finding that: "*The RIP rollout provides good value for money".* In Q1 2016, a second internal audit was conducted to assess whether the project objectives have been achieved and project benefits realised and document lessons learnt post rollout. One of the main findings was that RIP "…*had many successes, introducing processes and tools that enabled improvements in grant management and efficiency. We conclude that the achievements of this project justify the cost and effort put into the project*".

The audit confirmed that substantial steps forward have been achieved in terms of cost control and recovery. For example, the introduction of improved coding, making it easier to ensure all donor funds are claimed and increased accuracy of donor reports with no manual manipulation – improving the accuracy and audit trail. The Restricted Funds Management Manual now contains guidance on Full Cost Coverage and some CPs have their own policy, which has raised awareness of cost recovery. One aim, relevant to the PPA, related to ensuring transparency in the process of unrestricted funding allocation (currently 20% of budgets are funded through unrestricted). The 2016 audit found that 94% of CP staff surveyed understood the allocation of unrestricted funds, where previously some CPs had feedback that the process was not transparent or well understood.

RIP sustainability

This piece of work was prioritised by the Directors Team (DT) and is now fully embedded in our ways of working. There are no further costs involved as the systems are all in place and rolled out to all CPs. The RIP team who worked full time on the implementation has now been disbanded in recognition of the integration of RIP into the ways of working.

Post Implementation Monitoring Survey – PIMS

We prioritised the sustainability of interventions through the development of the Sustainability Framework (2011), setting out our understanding of sustainability and how it can be achieved. The PPA has supported this commitment, contributing to the development and rollout of PIMS

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[4] Final Internal Audit Report - RIP Evaluation, May 2016 (internal document)

across CPs, as part of our commitment to providing lasting services. PIMS enable us to monitor, assess and ensure that the WASH work implemented through local partners and governments have lasting benefits for all. Since 2012, CPs have been conducting PIMS on a regular basis to track the sustainability of past work and make changes to future work as necessary.

To improve the collection, analysis and ability to update data, we have invested substantial time and resources into trialling cost effective, appropriate and flexible information and communications technologies (ICTs) to support PIMS. After the trial, in 2014, we began using mWater, a free, open source offline mobile app. The mWater app empowers WA colleagues and partners to effectively monitor and evaluate the impact of their work and is providing improved data to the WASH sector, with over 6,000 users from communities, governments and NGOs globally accessing mWater for free. Since partnering with mWater, we have used PPA strategic funding to support further development of the software, benefiting not only WA, but the WASH sector as a whole.

The aim of PIMS is to raise 'red flags' where there may be potential issues in relation to sustainability, highlighting areas for further analysis. Arguably the most important part of a PIMS is how the results are used to shape future work, and the time taken to see impact as a result of changes made can be a number of years. A case study is being developed to reflect the journey and impact of PIMS in Mozambique. The large scale PIMS conducted in 2012/13 highlighted a number of areas where sustainability could be improved. An example finding was that the functionality of WASHCOMs (WASH committees) was lower than the CP expected, at 47%. To respond to this finding, WA Mozambique re-trained the WASHCOMs that were identified as non-functional and subsequently changed their WASHCOM training approach. This is now a longer and more in-depth process, aimed at improving the sustainability of WASHCOMs.

Another finding was that waterpoint (WP) functionality was 67%; with the majority of the non-functional WPs being hand dug wells. To respond to this, in 2013/14, WA Mozambique placed greater focus on training handpump mechanics in rural areas. These mechanics received training and were provided with tools and bicycles to enable them to set up their own businesses. The CPs decision to stop using hand dug wells was taken prior to the PIMS, and these findings re-enforced and legitimised the decision to stop using this approach in future programmes. PIMS was introduced to help emphasise the importance of sustainability within WaterAid and with the launch of our new strategy, sustainability has been included as one of WaterAid's four strategic aims – illustrating the impact that PIMS and other sustainability work has had in shirting the organisation's focus.

PIMS sustainability
Through the PMER Project, we are taking steps to further embed PIMS into our ongoing PME, aiming to make PIMS less of an 'event' and more business as usual. Through this we will address some of the challenges and burden faced by CPs. As there is naturally a cost involved with conducting PIMS, this is often absorbed by the CP's budget, with some costs to the Programme Support Unit (PSU) where staff support with training or through new developments. One suggestion currently tabled is to include a sustainability percentage budget line in proposals, similar to the current approach by many for an M&E line. To increase the impact of the PIMS' findings, WA plan to recruit a Programme Sustainability Officer to develop briefing notes on past PIMS. These will be shared externally and on our website. As part of this they will be able to follow up with the CPs to see if actions identified have been followed through.

Influential Leadership Programme - ILP
In 2009, WA identified that leadership was a key area of organisational effectiveness to the delivery of the Global Strategy. Prior to this point, there had been a great deal of organisational

growth and the Global Strategy 2010-15 aimed for this growth to continue, with increased focus on influencing and being a catalyst for change. To be able to deliver this, there was a need to focus on leadership to equip leaders with the right behaviours to lead and deliver on this agenda, and to build our management and leadership capability. Whilst the Global Employee Survey from 2008 highlighted many successes, it also identified a number of specific areas that investing in leadership could help to address, including:

- 55% felt that their line manager deals with conflict effectively **(63%)**
- 61% of people believed that they were given enough decision-making authority **(66%)**
- 56% of people agreed that the Directors and Senior Management Team (SMT) lead by example **(67%)**
- 52% agreed that Directors and SMT are in touch with the views and opinions of staff **(59%)**

In 2010, the ILP was launched with support from external experts, and the first round of senior managers were enrolled on the course. The programme is constantly reviewed in response to participant feedback and to keep it aligned to our strategy and challenges. It is now structured in three parts and delivered by internal facilitators. Part 1 identifies strengths and development objectives and includes 1:1 coaching, Part 2 develops influential leadership behaviours through a three day participative workshop, Part 3 applies the learning, with 1:1 coaching, webinar 'practice sessions' and participants running a 'pass on the learning' session with their own teams. The programme has now been running for over five years and 265 senior staff from the UK, Regions, CPs and WaterAid Members have participated. In the most recent Global Employee Survey (2014), all of the staff survey lines of questioning above had improved (2014 figures in **bold**). In addition, an external evaluation of the programme was conducted in 2013 with overwhelmingly positive findings. One quote from the evaluation was: "*The programme helped us realise the need for an SMT. This now exists and we have standard agendas and actions points. It has helped us facilitate growth from 7 to 20 people and income grew by 400%. Our leadership in the global survey is very high at 7.8/10*".

ILP sustainability
This training programme remains a corporate priority, and thanks to the PPA funding, we have been able to develop, pilot and finalise a set of training materials. We now run the programme with internal facilitators, with minimal costs relating to travel and accommodation. We also run webinars and remote 1:1 coaching over Skype4Business in the preparation for the three day workshop, and during the follow up phases.

Funding of partnerships
A. In the short term (1-3 years)

We have a diverse partner portfolio across our CPs, including those that are small and developing, often with limited capacity. With this comes an internal acceptance that in the early years of partnership, there may be limited ability to deliver to the high standard that we expect from our long-term partners. We use unrestricted funding, such as the PPA, to support the development of these partners, investing in their capacity and supporting them to work with restricted funding in the future. The expectation is that at the third year of this investment, the partners will be able to confidently approach donors directly and have greater self-reliance. Without PPA funding, there is a challenge for us to invest in these nascent partnerships to move through this step change, limiting our scope as an agent of change, however we will continue to work in this way, and will prioritise unrestricted funding to achieve this. It has long been a WaterAid priority to focus on individual giving and this has allowed us to retain a good balance between restricted and unrestricted income. In the last two years we focused our investment in support analysis and market segmentation which has allowed improved focus, for example towards digital natives.

Through this PPA period, we have focused heavily on partnership training and capacity building. The aim has been to shift the perception that our partnership is a funding relationship, controlled through performance measures and incentives. We are working to change behaviour and partnership language to be more equitable and respectful, where we value the qualities of our partners and have mutually beneficial relationships not based on power. The rollout of this approach has been through trainings and toolkits developed with PPA support. These are now in place and the training can continue with minimal additional funding. As behaviour change takes time, we are beginning to see the impact, as the language between CPs and partners is now using more relationship focused terminology. Implicit within this is the capacity building of partners, as mentioned in Section F. We have been supporting partners to become more autonomous and independent, enabling them to diversify their partner base, and access grant income directly in country. Through this we are supporting them to become self-sustaining.

B. In the longer terms (3+ years), post PPA funding

As reported in previous ARs, we have used PPA funding to support pilot countries, which has helped us to increase our reach and impact. We still plan to use unrestricted funding to do this, but have shortened the timeframe for these pilot countries to become fully fledged, now expecting them to reach income of 50:50 restricted/unrestricted by the third year, rather than having an open-ended timeframe to achieve this. We have also asked CPs through their financial planning to increase their restricted income and decrease the reliance on unrestricted. This is not directly linked to the loss of the PPA stream but a reflection of the changes to our funding portfolio and we view this as a positive change in financial planning. We expect that the partner training and toolkit will support behaviour change in both the short and long term; however, we would require additional funding earmarked to continue managing and investing in these partnerships. As such we would like to see funding in the future made available to support and nurture the partnership culture and strategic thinking approach and not to undo the good work to date by focusing on results driven funding streams.

Learning

We prioritised PPA funding to support the improvements in our planning, monitoring, evaluation and reporting systems (the PMER Project) and to build and roll out the service sustainability assessment tool (PIMS). We can confidently say these were absolutely the right areas for investment. Through this, our increased focus on sustainability, and our change in Global Strategy, has and will continue to be a priority. This focus on developing the right systems, processes and people to ensure WASH facilities can continue to reach the poorest and most marginalised and be affordable, adequate and accessible is part of our drive for sustainability. We have and will continue to invest in the core capabilities and capacity of our partners as they are the ones who need to manage the work. We could have revised our logframe to specifically include the PMER Project, as this has become one of our biggest areas of investment, with anticipated improvements expected to be substantial. However, as we provided annual updates through the M&E Section H and Indicators 2.1 and 2.2 for PMIS and CPEs, we felt that including it within a specific indicator would have limited the scope for change as the project grew and adapted over the last 5 years.

We also knew the sector was transforming earlier than some of our peers, and this allowed us to shift our thinking towards sector strengthening within the last five years. We have invested within this PPA period in activities that support the message of collaborative working and leveraging change through collective relationships. For example, the result of GG6 would not have been possible without the preceding years of investment. Through DFID's annual report feedback, we have been able to put greater emphasis on evidencing, and this has become organisationally

important, reflected through the current work in addressing the capacity gap we have related to monitoring advocacy. If we had included this more directly through the logframe, we may have been further on in this process. However, the support and direction from DFID and the PPA final evaluation have supported the momentum, and this is now well underway.

Output Score and Description

A+: Outputs moderately exceeded expectation

C: DETAILED OUTPUT SCORING (1-2 pages for the table and 1 for the narrative). This section should provide a summary of progress in Year 5 only, and should be repeated for each output.

Output Title	To develop and promote equitable and sustainable water, hygiene and sanitation services that are accessible, appropriate and affordable, ensuring these can be replicated and adapted in the 22[5] African and Asian countries where WaterAid works.		
Output number per LF	1	Output Score	A+
Risk:	Moderate	Impact weighting (%):	35%
Risk revised since last AR?	N	Impact weighting % revised since last AR?	Yes - detailed in 14/15 change log

Indicator(s)	Milestones	Progress
1.1 Number of people who have access to water as a result of our direct investment through partner organisations	1.7 million people have access to water sources Cumulative Target: 8.66 million	1.95 million people have access to water sources Cumulative Result: 9.19 million
1.2 Numbers of people who have access to sanitation services (improved and unimproved) as a result of our direct investments through partner organisations	3.1 million people have access to sanitation Cumulative Target: 12.87 million	3.08 million people have access to sanitation Cumulative Result: 13.26 million
1.3 Number of WaterAid Country Programmes where our work demonstrates strong evidence of our Equity and Inclusion approach (This includes inclusive representation & participation of community members in the planning, implementation & use of services)	18 Country Programmes report strong evidence of Equity and Inclusion. Annual Target	15 Country Programmes report strong evidence of Equity and Inclusion.
1.4 Number of key learnings actively disseminated into the WASH sector through global and regional conferences, academic journals and sector networks.	12 learnings disseminated Annual Target	19 learnings disseminated

Key Points - Summary of progress in Year 5

Indicator 1.1 and 1.2: We are enormously pleased to report in the year 2015/16 we reached 1,951,070 people with water, not only giving an overachievement this year by 15%, but also on the overall target by reaching an additional 525,000 people. Given the sector challenges relating to reaching sanitation targets, we are proud to be able to report that we achieved both the annual and overall target, with 3,088,053 in 15/16. The greatest overachievement has been in the South

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[5] WA UK has direct relationships with 22 CPs, whereas there are 37 Countries in the WA International family, including Members (such as India, Australia) and CPs where WA UK do not have management or reporting links (such as Cambodia, Nicaragua). All the indicators relate to WA UK CPs.

Asia Region, with India reaching 90,000+ more people than planned with water (in part due to a piped water programme). Rwanda has made amazing progress with sanitation access, reaching more than 61,000 people than they had planned, representing a 300% overachievement at the country level. WaterAid Rwanda used the learnings from other organisations to pilot Ecological Sanitation (ECOSAN) toilets. Experience of ECOSAN in the past had not been encouraging due community concerns about the reuse of human waste as manure. This was addressed by a thorough process of community discussion and learning visits by districts and community leaders, which not only addressed concerns but also raised the demand higher than expected. We recently reviewed our response and interventions to addressing the sanitation challenge. This indicated that we, as with many other organisations, had often fallen into the trap of using single approaches to addressing the complex and multi-faceted challenge of sanitation (such as CTLS). The most important lesson from the review was the need to apply a mix of approaches alongside a careful analysis of blockages. This differs from the mainstream 'silver bullet' approach of applying single approaches and this integrated fusion approach is now clearly articulated within our revised Sanitation Framework and will guide our future work.

Note on revised numbers for output indicators 1.1 & 1.2: We have made two adjustments to the numbers for these indicators:

- The first change is to remove the baseline from both the cumulative targets and achieved results. In the 2013/14 annual review feedback letter, DFID recommended that we add in the baseline figures to the cumulative totals. The baseline represented the number of people reached in the two years before the current five year PPA started (i.e. 2009/10 and 2010/11). We made this change and carried this forward so that the 2009/10 – 2010/11 baseline was included in the two year extension (2014/15 – 2015/16) cumulative targets and results. Adding these figures in meant that the cumulative totals reflected a seven year period from 2009/10 – 2015/16. To accurately reflect the five year period of the PPA (2011/12 – 2015/16), we have now removed the baseline and this has reduced the cumulative targets and results achieved to the figures shown in the table above (cumulative results for five year PPA: 9.19 million people have access to water and 13.26 million people have access to sanitation).
- The second change is to correct historical errors made in transcribing numbers into the logframe and narrative reports. In 2012/13 a typo resulted in us underreporting our annual result for indicator 1.2 by 180,000. The correct number for that year was 2,208,765 (as opposed to 2,028,765 which was the number reported in the 2012/13 annual review logframe). Similarly, in 2013/14 a typo meant we underreported our actual achievement by 5,000 people for indicator 1.1. The correct number for that year was 1,939,553 (as opposed to 1,934,553).

We have highlighted these adjustments in the final revised logframe. The net effect of these two changes over the five year period has not been significant. We have still over achieved against the revised targets. For output indicator 1.1 we have exceeded our target by 525,731 people and for output indicator 1.2 we have exceeded the target by 397,624 people.

Table 1: Number of People accessing water[6]

Water		Total	Men	Women	Boys (6-18 yrs)	Girls (6-18 yrs)	Children (<5 yrs)	With	Without
					Age/Gender			Disability	
South Asia	Bangladesh	293,586	78,610	79,027	55,400	51,882	28,667	1,353	292,233
	India	703,925	206,264	191,150	123,664	128,677	54,170	1,336	702,589
	Nepal	45,474	10,549	10,005	11,194	11,301	2,425	92	45,382
	Pakistan	229,982	31,436	32,298	68,802	65,983	31,463	211	229,771
	Total	1,272,967	326,859	312,480	259,060	257,843	116,725	2,992	1,269,975
East Africa	Ethiopia	76,381	20,150	20,983	12,852	11,977	10,419	154	76,227
	Rwanda	10,107	2,967	3,294	1,916	1,930	0	7	10,100
	Tanzania	69,475	15,285	20,843	17,369	13,895	2,084	10	69,465
	Uganda	27,315	6,256	6,623	7,078	7,358	0	72	27,243
	Total	183,278	44,658	51,743	39,215	35,160	12,503	243	183,035
Southern Africa	Madagascar	83,548	14,314	14,996	22,556	22,487	9,195	172	83,376
	Malawi	30,338	2,533	3,273	5,128	6,002	1,762	28	30,310
	Mozambique	18,640	3,725	4,926	3,948	3,737	2,304	27	18,613
	Zambia	78,130	11,395	15,618	22,782	21,231	7,104	73	78,057
	Lesotho	364	89	105	62	108	0	0	0
	Swaziland	4,494	92	125	2,263	2,014	0	0	0
	Total	215,514	32,148	39,043	56,739	55,579	20,365	300	210,356
West Africa	Burkina Faso	17,838	2,879	4,081	3,919	3,804	3,155	128	17,710
	Ghana	30,337	5,896	8,184	5,706	6,537	4,014	13	30,324
	Liberia	8,160	1,170	1,650	1,575	2,330	1,435	22	8,138
	Mali	72,100	13,699	14,420	11,536	12,257	20,188	207	71,893
	Niger	22,376	5,985	6,198	3,732	3,764	2,697	1,283	21,093
	Nigeria	109,875	24,289	29,402	29,601	26,583	0	89	109,786
	Sierra Leone	18,625	3,135	4,080	3,380	4,350	3,680	29	18,596
	Total	279,311	57,053	68,015	59,449	59,625	35,169	1,771	277,540
	Grand Total	1,951,070	460,718	471,281	414,463	408,207	184,762	5,306	1,940,906

Table 2: Number of People accessing sanitation[7]

Sanitation		Total	Men	Women	Boys (6-18 yrs)	Girls (6-18 yrs)	Children (<5 yrs)	With	Without
					Age/Gender			Disability	
South	Bangladesh	391,246	111,730	109,302	65,667	64,961	39,586	1,375	389,871
	India	1,123,180	313,466	266,349	215,936	215,475	111,954	2,071	1,121,109

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[6] There are some discrepancies within the disaggregated data provided due to the Southern Africa Region using Project Center for their annual reporting for the first time (through the PMER project). In addition, the pilot countries Swaziland and Lesotho are not yet providing disaggregation

[7] As for Table 1

	Nepal	82,455	27,984	27,108	12,092	10,946	4,325	100	82,355
	Pakistan	521,269	95,678	107,381	122,166	122,468	73,576	955	520,314
	Total	**2,118,150**	**548,858**	**510,140**	**415,861**	**413,850**	**229,441**	**4,501**	**2,113,649**
East Africa	**Ethiopia**	82,623	20,464	22,071	13,492	15,397	11,199	170	82,453
	Rwanda	91,744	22,142	38,458	8,099	8,945	14,100	320	91,424
	Tanzania	65,633	13,783	18,377	12,470	18,377	2,625	8	65,625
	Uganda	56,173	11,021	14,328	14,623	15,615	586	268	55,905
	Total	**296,173**	**67,410**	**93,234**	**48,684**	**58,334**	**28,510**	**766**	**295,407**
Southern Africa	**Madagascar**	56,514	9,399	10,212	15,371	15,566	5,904	95	56,419
	Malawi	97,984	13,455	14,696	33,080	30,580	6,149	25	97,959
	Mozambique	29,240	3,582	3,990	10,002	8,851	2,852	216	29,024
	Zambia	51,152	8,906	11,618	12,336	12,895	5,397	129	51,023
	Lesotho	412	4	9	189	210	0	0	0
	Swaziland	3,236	568	598	950	1,120	0	0	0
	Total	**238,538**	**35,914**	**41,123**	**71,928**	**69,222**	**20,302**	**465**	**234,425**
West Africa	**Burkina Faso**	141,792	29,611	33,305	27,723	25,339	25,814	923	140,869
	Ghana	33,586	4,881	6,285	9,532	10,001	2,887	0	33,586
	Liberia	5,700	760	1,160	1,060	1,760	960	21	5,679
	Mali	45,060	8,562	9,012	7,209	7,660	12,617	1,386	43,674
	Niger	14,185	2,718	3,170	2,590	3,141	2,566	377	13,808
	Nigeria	187,069	42,617	51,240	46,392	44,888	1,932	50	187,019
	Sierra Leone	7,800	1,225	1,895	860	2,210	1,610	16	7,784
	Total	**435,192**	**90,374**	**106,067**	**95,366**	**94,999**	**48,386**	**2,773**	**432,419**
	Grand Total	**3,088,053**	**742,556**	**750,564**	**631,839**	**636,405**	**326,639**	**8,505**	**3,075,900**

Indicator 1.3: There is a slight underachievement with three countries (Pakistan, Zambia and Uganda) yet to move from demonstrating moderate to strong evidence of our equity and inclusion (E&I) work. In 2012 we began testing and developed an inclusive WASH approach in Uganda and Zambia through the Undoing Inequity action research project. Staff involved in this project gained a better understanding of how challenging it is to put rights based principles of equality, non-discrimination and active and meaningful participation into practice at the community level. Staff now understand that the participation of women in a project cannot only be measured by the number of women on a water user committee, with now an increased awareness of the scale of participation - from tokenistic to having ownership and control. Facilitating that process is harder than recruiting women to a water user committee. That more nuanced understanding of an issue such as participation within our E&I approach has led staff to be more aspirational of what needs to be achieved and to hold themselves to a higher level of assessment, something that we are aiming for in all our CPs.

There are a number of examples of success, such as in Pakistan, which was the only 'weak' CP in the baseline, but moved to moderate in 13/14 and has been able to maintain this for the last three years. The West Africa Region celebrated all seven CPs reaching 'strong' in 13/14 and has maintained this since. In East Africa, significant focus has been given to reaching marginalised groups. For example, WA Ethiopia has been working with women in prisons and WA Rwanda has

prioritised a district suffering from existing WASH neglect, which has been exacerbated by an increased population with returnees and refugees from Burundi. In Malawi, influencing work with the government has resulted in the adoption and use of inclusive latrine designs by two District Councils, with inclusive sanitation facilities constructed in district schools.

Indicator 1.4: We overachieved by 58%, with the publication and dissemination of 19 research and learning documents in year five, covering a number of subjects from peer reviewed thematic research to a review of WaterAid's internal knowledge management processes. We have used social media channels and piggy-backed on events and conferences (such as World Toilet Day, World Water Day) to increase dissemination of these publications. One example is the research study conducted on how utilities setup and sustain low income customer support units in urban areas. Case studies were produced from Uganda, Bangladesh and Malawi[8] and a synthesis was shared at the African Water Association Congress in Nairobi[9] (see page 30, Section H for more detail). Research papers were disseminated at the 2015 Water, Engineering and Development Centre (WEDC) Conference to contribute to the sector learning and knowledge on WASH, aimed at professional audiences in the development sector. We shared our emerging understanding and experience of the human right to water and sanitation through two papers on the rights implications of WASH in India[10]. An example of our publications being championed by others can be seen by the journal Waterlines publishing[11] our paper on the role of handpump corrosion in the contamination and failure of rural water supplies.

Summary of responses to issues raised in the previous Annual Review (where relevant)

No issues raised by DFID in the AR 14/15. Disaggregated tables were lost last year due to the streamlined template, and we are pleased to be able to present that data above.

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[8] Low-income Customer Support Units case studies, **Evidence #3** http://www.wateraid.org/uk/what-we-do/policy-practice-and-advocacy/research-and-publications/view-publication?id=f399f0ea-fa75-437e-b8c8-8b221c0c5af2

[9] WaterAid News article http://www.wateraid.org/news/news/wateraid-at-the-congress-of-the-african-water-association

[10] WaterAid at the 2015 WEDC Conference http://www.wateraid.org/news/news/wateraid-at-the-2015-wedc-conference

[11] Waterlines - The role of handpump corrosion in the contamination and failure of rural water supplies, **Evidence #4**
http://www.developmentbookshelf.com/doi/full/10.3362/1756-3488.2016.006

Output Title	To ensure and improve the effectiveness and sustainability of our service delivery by scaling up monitoring and review processes.			
Output number per LF	2		**Output Score**	A
Risk:	Moderate		Impact weighting (%):	20%
Risk revised since last AR?	N		Impact weighting % revised since last AR?	N

Indicator(s)	Milestones	Progress
2.1: Number of Country Programmes (CPs) using findings from post - implementation surveys (PIMS) to improve programme effectiveness including functionality, sustainability and use of water and sanitation facilities and hygiene practices.	15 CPs conduct PIMS Cumulative Target: 25 6 CPs show evidence of learning from PIMS conducted in previous PPA period Cumulative Target: 11	8 CPs conducted PIMS Cumulative result: 18 (10+8) 7 CPs show evidence of learning from PIMS conducted in previous PPA period Cumulative Result: 12 (5 + 7)
2.2: Number of Country Programmes (CPs) evaluated that report an improvement to their programme design in response to evaluation findings.	4 CPs conduct evaluations Cumulative Target: 10 2 CPs show improvements in programme design Cumulative Target: 7	4 CPs conducted evaluations Cumulative Result: 10 (6+4) 4 CPs showed improvements in programme design Cumulative Result: 9 (5+4)

Key Points - Summary of progress in Year 5

Indicator 2.1: Burkina Faso, Mali and India conducted large PIMS, whilst Madagascar, Malawi, Ghana, Nigeria and Pakistan conducted small PIMS. There have been substantial staffing challenges in the East Africa Region, with many Regional Staff taking on interim CP management roles. The knock on effect has been the reduced scope for the Region to support the planning and implementation of PIMS in CPs. Consequently, we elected to protect CPs capacity and retain the value and significance of PIMS, and so did not conduct those planned in that region, resulting in an underachievement in the number of PIMS conducted. Recent discussions as part of the PMER Review have proposed that the small scale PIMS should be replaced, by integrating the lines of investigation within the continuous monitoring process. This would provide the chance for more immediate actions to be taken in response to challenges, rather than an annual view, as well as reduce the time strain on CPs.

However, importantly we have overachieved against implementing PIMS' learning, with seven CPs making programmatic adjustments based on the PIMS' findings (Bangladesh, Pakistan, Nigeria, Ghana, Mali, Madagascar and Zambia). In Zambia, the small scale PIMS identified the sustainability of water point management as an issue. As a result, sustainability trainings have been conducted with District stakeholders, partners and the community. WA Zambia are also working with the community and schools to develop sustainable plans for operation and maintenance given that the functionality rate of water points in the 2014 PIMS was 85%. In West Africa, the results were shared with all partners and global and specific action plans have been developed to respond to the findings. To support this, there was a session at the Programme Effectiveness Meeting, for CP programme staff, on using research finding, where potential

barriers for the application and integration of research findings were discussed in relation to CP planning. In Ghana, the previous PIMS findings guided the CP to rehabilitate water points in the six districts in Northern Ghana, and re-capacitating community and district staff to ensure sustainability of WASH services. In Madagascar, a two-day sustainability strategy workshop in January '16 included the sharing and discussion on the PIMS findings over the last few years.

There is significant evidence that CPs are building the learnings from PIMS' into their subsequent programme design from previous years, but unfortunately we have limited our reporting by focusing on the PIMS from the previous year. For example, WA India's country strategy and plan has a focus on universal access and strengthening local institutions, particularly on operation and maintenance (O&M). This is a direct response to the sustainability gaps identified through PIMS conducted in 12/13 and 13/14. To support this approach, WA India is integrating sustainability assessments as part of the district wide approach to ensure that functionality and the role of local institutions are regularly tracked to allowed rapid action. An example of programmatic shifts in response to findings can be found in Section B from Mozambique.

Indicator 2.2: We successfully completed the four CPEs planned (Zambia, Burkina Faso, Uganda and Nigeria). This year the CPEs have been of great significance as CPs have been able to use the results of the evaluation when developing their Country Strategies and shaped the evaluation TORs with additional questions intended to focus on forward thinking recommendations to guide their core focus over the next five years. As a result, all four CPs that conducted evaluations this year have integrated the findings into their programme design, resulting in an overachievement of two CPs. In Zambia, the findings were of such significance that they delayed the finalisation of the country strategy to be able to address the CPE results and findings. One finding in Uganda from the 2010 CPE was that the geographic focus was too large, hampering quality and effectiveness. The 2015 CPE found that WA Uganda had scaled back its work to focus on Kampala and two district clusters in the north-east. It found that this concentration of effort was "*to be commended and has the potential to help WAU achieve real impact and demonstrate the value of its district wide approach*".[12] To promote learning and in the interests of transparency aligned to IATI requirements, a number of CPE summaries can be found on our external website.

Summary of responses to issues raised in the previous Annual Review (where relevant)

No issued raised, but DFID were interested to hear examples of changes in countries where the PIMS' findings identified a sustainability issue, for example in Bangladesh. The Bangladesh 14/15 PIMS' findings were disseminated amongst the CP staff and NGOs in a workshop where discussions were held on the technical aspects of water facilities and the effectiveness of management committees. The M&E team has compiled the findings and shared them with the programme staff to be taken into account in the upcoming programme design workshop.

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[12] WaterAid Uganda Country Programme Evaluation Report, August 2015

Output Title	To support governments and service providers in developing their capacity to deliver safe water, improved hygiene and sanitation.			
Output number per LF	3		**Output Score**	**A+**
Risk:	Moderate		Impact weighting (%):	30%
Risk revised since last AR?	N		Impact weighting % revised since last AR?	Yes as detailed in 14/15 change log

Indicator(s)	Milestones	Progress
3.1: Number of Country Programmes (CPs) conducting partnership self-assessment to inform support to partners	6 CPs conduct new assessments Cumulative Target: 18 CPs conducted assessments	5 CPs conducted new assessments Cumulative Result: 17 (12+5) CPs conducted assessments
3.2: Number of partners reporting improved satisfaction of support from WaterAid Country Programmes.	Improved satisfaction as demonstrated through increased net promoter scores* (* # of people who score positively minus # of people who score negatively)	The overall net promotor score increased from 11 to 13, demonstrating improved satisfaction.
3.3: Number of CPs in Africa supporting sector level planning, coordination and performance monitoring.	15 CPs Annual target	16 CPs support sector level planning, coordination and performance monitoring.

Key Points - Summary of progress in Year 5

Indicator 3.1: Nepal, Malawi, Madagascar, India and Mali conducted self-assessments, resulting in a slight underachievement against the target of six. We anticipated there would be a downturn in self-assessments through previous logframe revisions downwards, as we expected the intensity of the CP strategic planning process would be prioritised. It also coincides with partnership reviews, and in some cases, partnership exits, highlighting that 15/16 was not the most opportune time for the self-assessment during a period of transition.

A great move forward has been the uptake of partnership language, with the Country Programme Operational Plans (CPOPs) illustrating greater recognition of partnerships as *relationships* that require sufficient time, resource and consideration in order to get the best benefit for all parties. In response to the partnership training, participants noted the need for more staff to participate to allow all staff in CPs to have the same understanding. To support this, the Head of International Finance has led the development of a partnership guide for finance staff, which supports a more nuanced and risk-aware approach to managing the financial and compliance aspects of partnerships, which will be rolled out in 2016/17. The training is not yet designed for partner staff (limitations around language, accessibility etc.) however, WA staff are encouraged to involve partners in the assignments so that they can also learn the tools and techniques, as well as ensuring their perspective is reflected in the discussions. A small number of partners have completed the training as members of the CP learning team.

Indicator 3.2: We undertook the Keystone partnership benchmarking survey in 2014 and repeated a 'light touch' version again in 2016[13], in response to one of the recommendations from the 2014 report. The findings show that even though the partners had a shorter response window, and fewer reminders were sent, there was still huge appetite to respond and engage in the process. The areas where there is the greatest increase in net promoter scores (NPS) are those that relate to understanding and involvement of strategy development, completely reflecting the focus of our partnership investment over the last 18 months as we developed the 2015 Global Strategy. The findings show partners were engaged in the process and felt included. While there were a few areas where the score decreased, overall, we are presented with an increased NPS from 11 to 13. It's important to note that our focus between surveys has been on developing the WA and partner strategies and these are understandably the areas to have improved the most, potentially at the cost of some other areas. However, in discussion of the results with Keystone, they noted that a slight dip between years is quite normal. We are continuing to work on strengthening our partnership practice. The training is being held each year to develop a more mutually respectful attitude towards partners, improve communication and also to develop exit strategies even from an early stage of the relationship.

This year we included the question 'How strongly do you recommend WaterAid?', something other NGOs have not yet done. Here we received a NPS of 42, placing us between the likes of Harvard Business School and Microsoft in terms of partner/customer satisfaction[14]. A net promoter score means that everyone is asked to rate a question on a scale of 1 – 10. In this case how likely are you to recommend WaterAid to others, all those who answered 9 or 10 are promoters, all those who answer 1 – 6 are detractors, 7 and 8 are considered passives and discounted. Therefore, the net promoter score of 42 is strongly positive. It means that the percentage of promoters *minus* the percentage of detractors equals 42. The Keystone Paper states: *A positive NP score is the target here, with WaterAid's 42 comparing favourably to many other organisations.* We will include this question in future surveys to act as a tracker over time, and plan to continue repeating the survey and will conduct the next to align with the mid-term review of the CP strategies.

Indicator 3.3: Progress here has been consistently strong, representing an overachievement, with all Africa CPs supporting sector level planning, coordination and performance monitoring (with the exception of Lesotho, a pilot country still at the initial stages of building viable programmes). In Southern Africa, Swaziland (another pilot CP) piloted water point mapping in two constituencies, with the results prompting the Government and UNICEF to support a Water Point GIS mapping exercise designed with support of WA Malawi in all remaining constituencies. The results are expected to form the basis of the sector development plan. In collaboration with UNICEF, WA Nigeria supported the review of national indicators for WASH programme delivery, and also supported the analysis of WASH sector bottleneck and the development of a national monitoring and evaluation framework.

Summary of responses to issues raised in the previous Annual Review (where relevant)

DFID were interested to understand where CPs were in terms of improved support to partners, given our current focus on partnership. The 'light' repeat of the Keystone Survey that was conducted in 2016 has supported this and is reported above. DFID also wanted to know if the post-training surveys were being repeated again to understand if and how the participants applied the learning. The participant survey was carried out again with the results demonstrating improved learning and practice against all training goals. The greatest areas of changes in partnership practice related to understanding the different types of partner relationships (↑ score by 2.1), confidence in managing effective partnerships and establishing clear roles and responsibilities of

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[13] Keystone WaterAid 2016 Partner Survey **Evidence #5**
[14] https://npsbenchmarks.com

WA and partners (↑ score by 1.8 for both). This evaluation process highlighted how participants are applying the learning and improving against all areas, but stressed that in order to really change practice more colleagues should take part in the training and continued support is necessary. The responses also indicated that learning has been applied through the development of the CP Operational Plans (CPOPs), and all CPOPs now mention partnership. All CPs noted the need for new and different partnerships to support the new strategy, and the need to re-assess existing partners in relation to their fit in the new strategy. For example, WA Nigeria has developed a process map to develop a partnership strategy and other countries have been encouraged to do a similar process. Many have asked for support to do this, which our Programme Support Unit will provide during 2016/17.

Output Title	To advocate for the essential role of safe water, improved hygiene and sanitation in human development.			
Output number per LF	4		**Output Score**	**A**
Risk:	Minor		Impact weighting (%):	15%
Risk revised since last AR?	N		Impact weighting % revised since last AR?	N

Indicator(s)	Milestones	Progress
4.1: The number of WaterAid UK CPs where the profile of WASH is raised within health policy priorities and incorporated into policies, plans and programmes at various levels.	16 CPs report very strong or strong WASH policy situation. 12 CPs report very strong or strong WASH programming situation. Annual Target	15 CPs report very strong or strong WASH policy situation. 10 CPs report very strong or strong WASH programming situation.
4.2: The number of WaterAid UK CPs where mechanisms for the management and sustainability of school WASH services and facilities are incorporated into National WASH programming and policy.	2 CPs reporting baseline weak performance, now report 80% of achievement of the **moderate** school WASH definition indicators. Annual Target	2 CPs reporting baseline weak performance, now report 80% of achievement of the **moderate** school WASH definition indicators.

Key Points - Summary of progress in Year 5

Indicator 4.1: Against the specific milestone, we appear at first to have underachieved. However, the bigger picture is one of huge success. Progress has been very clear within the policy side, with great gains over time. In our 2012 baseline survey, there was only one CP reporting 'very strong' policy level, and now there are eleven. There have also been impressive gains from the programmatic side, with a baseline of five weak and zero very strong CPs, now we can present only one weak CP and four very strong, reflecting enormous upward movement.
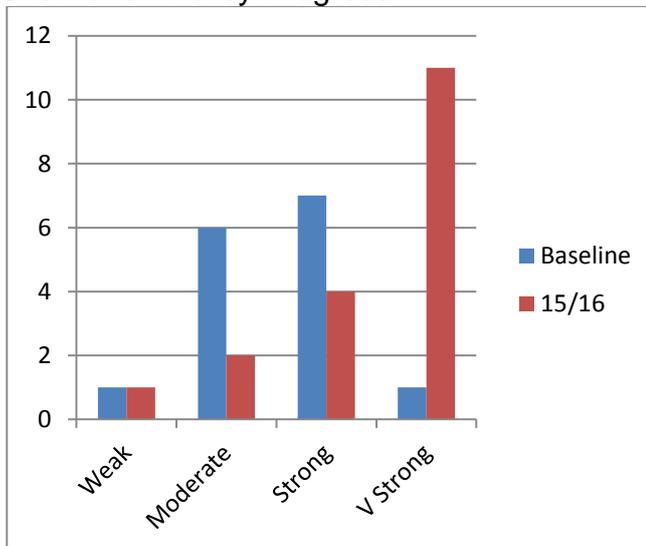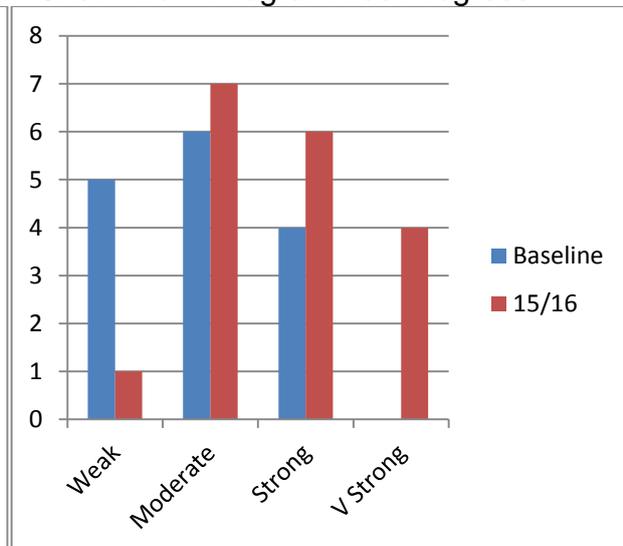
Chart one - Policy Progress

Chart two – Programmes Progress

Another success is the increased response rate from CPs to conduct assessments in these areas, improving from 15 in 2012 to 18 in 2016, reflecting the increased prioritisation of WASH in health. In addition, it is important to note the significant shifts that a number of CPs have made over this time. Three (Bangladesh, Madagascar and Nepal) have moved from 'moderate' to 'very strong' against Policy (a two-step jump), and Ethiopia moving from 'weak' to 'very strong' (an impressive three-step jump) against programme and Uganda from 'moderate' to 'very strong'. These results are validated by the changes and improvements seen through the policy commitment and programmes delivered. For example, in Malawi where we are delivering the WASH component of the trachoma programme with Sightsavers. This would not have been included without the involvement of WA Malawi, reflecting their input to raise the profile of WASH in programmes. In Nepal WA collaborated with the Child Health Division under the Department of Health Services and launched a joint hygiene promotion programme through the routine immunisation programme. Here all hygiene promotion topics are discussed while vaccinating children under 2. This approach will be externally evaluated in early 2017.

In this period, WaterAid Bangladesh took part in consultations to ensure that WASH was included in the National Nutrition Policy that was approved in 2015. It is a great success that the policy reflects the importance of WASH under its strategy section. Following the policy approval, a National Plan of Action for Nutrition was developed, and WaterAid Bangladesh is working as a core member of the group to incorporate WASH issues within the action plan. In Nigeria, although the policy level is still moderate (having moved from weak), the programme level work has moved from weak to strong. WASH is not yet mentioned in the National Neglected Tropical Diseases (NTDs) master plan, but the National Steering Committee on NTDs in Nigeria is leading the integration of WASH in NTDs control. As a result, WaterAid Nigeria is a member of the steering committee and supports the effective integration of WASH in NTDs control programmes. This illustrates our strategic shift from purely advocating the importance of WASH and its links to health impact, to working alongside health stakeholders to increase access to sustainable, quality services. This approach helps to ensure that improvements in infrastructure deliver an improved health impact by better targeting, promoting healthy behaviours, and by helping to improve health service quality.

Indicator 4.2: The target of two baseline weak CPs moving to moderate was achieved in this period, with both Pakistan and Zambia demonstrating improved performance. An example of progress can be seen in Pakistan. In 2012, School WASH was exclusively the remit of districts and local governments, where there were no resources dedicated to SWASH policy or programming, or even an understanding of the need to focus on this. Currently WA Pakistan is engaging with government and other actors, and is beginning to make progress on raising the agenda of SWASH. The attention has not been simply on facility provision, but also on more subtle issues, such as improving school retention, highlighting difficult issues such as Menstrual Hygiene Management (MHM), and along with other sector partners, including UNCIEF and the Government of Pakistan ministry's organised a national MHM day. This is a hugely significant progress given the cultural context in Pakistan. In Zambia, new partnerships were fostered to implement a School WASH project for the period 2015 – 2018. These partnerships have helped us extend our influence on equity and inclusion through designs and strategies that partners have taken on board in implementation of activities. WA Zambia also organised and hosted national strategic partners to discuss issues of equity and inclusion in WASH sector in Zambia.

Summary of responses to issues raised in the previous Annual Review (where relevant)

DFID requested more detail in the PCR on lessons from the MHM work, specifically on ensuring girls are not excluded from school due to lack of access. MHM was a centre stage in 15/16 for WA with a strategic aim focusing on hygiene, resulting in CPs focusing on the integration of community level actions with institutional responses for sustainability. The West African Region

conducted research to understand the barriers to MHM programming in four CPs. This revealed gaps and inhibitors around cultural practices, communication and a lack of awareness of the implications of poor MHM. This research has subsequently informed current and future programme design as CPs articulate their strategies and operational plans. A practical example is in Rwanda, where there has been an increase in the construction or adaptation of menstrual hygiene management rooms by partners and even government adopting the practice. These rooms, plus the investment in capacity building of teacher and support staff, have led to indications of an increase in the number of young girls remaining in schools.

DFID also wanted to hear more about how links and lessons have been made through connecting WASH with other sectors, such as health and schools. As noted in Section B, integrating WASH into other sectors is key to reaching everyone everywhere by 2030, and is one of our four interlinked aims in the Global Strategy, ensuring that we work with others to accelerate change through WASH integration. WA Tanzania has made great process, demonstrated by the request from the Government to WA Tanzania to support it in developing WASH in healthcare settings guidelines. This buy-in came after a series of discussions between the CP and the Government of Tanzania. The Ministry of Health, Community Development, Gender, Elderly and Children is now developing an action plan for execution of this piece of work.

Key cost drivers (maximum of 5 key cost drivers per key cost)

Key costs	% total budget (FY15/16)	Cost drivers	Actions to manage key costs
Service delivery to beneficiaries, including, cost of implementation by partners and cost of management and oversight by WaterAid	64%	Volatile inflation and exchange rates leading to high material prices	We continue to monitor these rates, hold funds in a balance of hard currencies with low levels of soft currencies held locally. VfM is integrated in procurement processes, ensuring we maintain balance between quality and cost.
		Capacity building of partner capabilities	Costs are managed by integrating VfM in all processes.
		WaterAid staff	Staff numbers are controlled through the annual budget process. Salaries and benefits are regularly benchmarked against the local market.
Influencing, campaigning and advocacy	12%	Travel, meetings and workshop costs	Annual team, department and CP budgets. Unit costs are tracked over time and across function.
Fundraising activities	21%	Staff, media, events, publications, advertising	Teams budget a return on their activities, monitored through the year. In a difficult market WA has continued to maintain fundraising cost at a stable return on investment of above the industry standard of 1:4, whilst retaining strong and healthy supporter relationship
Investment in new major systems and processes	1%	Project teams, system development and licenses	Change projects have business cases, budget and oversight boards. Project managers are held to account against budget and project board approval is required for extensions.

VfM performance

We have used a VFM framework to assess the adequacy of our mechanisms for achieving economy, efficiency and effectiveness. The Framework has been shared with SMT to help embed VfM across the organisation and we assess the framework on a six monthly basis. Although we aim to achieve the optimal use of resources at all times, we have not calculated specific cost or numerical savings. This is because we consider the results to have limited benefit or lesson learning opportunities to the organisation and the requirement to obtain the information is not considered to be an optimal use of resources and time. All measures have been in place since the beginning of the programme, except where stated otherwise.

	How have you assessed VfM in this area? What measures have you used? State whether this has been measured as part of the enhanced VfM offer or since the beginning of the programme.	Performance in this area (if possible, compare performance over the life cycle of the programme).
Economy – whether organisation has	Procurement Process: procurement policy in place, including maintenance of key documentation	The International Finance Team has reviewed all CP Finance Manuals to ensure the procurement process is appropriate and

		consistent. Internal Audit visits to CPs and partners make economy improvement suggestions and review procurement processes, and CPs assess and track performance through partner monitoring and partner reporting.
bought inputs of the appropriate quality at the right price?		
	Budgeting Process and Variance Analysis: budget holder training, monthly management accounts are reviewed by Directors and quarterly finance reports are presented to the Board.	Budget setting is reviewed and approved by the UK Finance Team with ongoing review by budget holders on a monthly basis and to take action on significant variances. A monthly management accounts pack is issued to the Directors Team and Quarterly Finance Reports, highlighting key budget information is issued to the Board
	Internal Audit: undertaken with a focus on economy, including achieving VfM on flights.	As a result of the audit, we have negotiated the fees paid to our authorised travel booker on certain flights, reducing the cost by 50%, saving approximately £10,000 a year.
Efficiency- how well organisation is converting inputs into outputs? ('Spending well')	Development of management information systems: for quicker access to accurate programme and project information and data, developed within this PPA. This will allow for faster, more accurate data review to adapt programmes during implementation.	Initially assessed as 'red' the status of this indicator is now 'amber' as the new customer relationship manager (CRM) database is being implemented.
Effectiveness- how well the outputs produced have had the intended effect/ achieved the outcome? ('Spending wisely')	Country Programme Evaluations (CPEs): specifically designed to assess effectiveness and relevance of programme work.	CPE are undertaken in every CP every 3 - 5 years. Reports are presented to a steering committee to identify any further areas to improve effectiveness. CP Management Responses ensure actions are taken against recommendations and accountability is held by the CPs.
	Post Implementation Monitoring Surveys (PIMS): to review sustainability of programme work and utilise learning in future programme planning	PIMS are undertaken every 1, 3, 5 and 10 years, though further embedding is required through investment in developing capacity in PIMS analysis and reporting.
	Embedding of programmatic approach (PA) in programme design: to promote high quality effective programme work	Since rating 'amber' the PA has been defined and embedded and will be assessed through CPEs.
	Aligning Country Strategies and Country Programme Operational Plans (CPOPs) with the Global Strategy 2015-20 and ensure they includes core commitment to VfM in order to set appropriate effectiveness tone and culture for the organisation All of the above were commitments made in our Enhanced Offer.	A robust tracking system is in place to test the quality of CPOPs (explanation of where CPs are in relation to VfM and how they intend to address the E's). Initially rated as 'red' this indicator is now 'amber'. CPOPs now include a section that outlines their approach and commitments towards VfM.
Other ways in which you have assessed VfM that do not sit within the 3 'Es' set out above	n/a: WaterAid use the 3E framework. Equity is threaded through our 3E approach. The incorporation of our Equity, Inclusion and Rights Framework in PMER illustrates how it is embedded, not a standalone principle.	

VfM Good practice over the lifetime of the PPA programme

Briefly - what are the **top 3 VfM good practices** that your organisation has implemented to maximise VfM? (this should cover the lifetime of the PPA)	**Please give an example** of this good practice being used and the impact it had. If there were any VfM savings please state what they were.
Increasing recognition and action from Country Programmes to ensure Country Strategies and CPOPs include a core VFM statement with local obligations and priorities.	From 2015, CPs were asked for the first time to develop a VfM chapter in their operational plan. They provide statements on the 3E's, how they are being applied at CP level and proposed plans to further integrate. This has triggered some cases where support is needed, learning from CPs in terms of promising approaches and practices in VFM and VfM support discussions at the Regional planning stage. (See the example of Uganda on page 12, 2.2).
WA's Procurement Process supports obtaining the best value on goods and services purchased. For example, the Global Accounts Manual Procurement Policy sets out clear delegation of authority, quotations, preferred suppliers.	Finance inductions and support from Finance Business Partners ensures budget holders receive information and training to ensure procurement policies are applied. The best procurement practice takes into account not just least cost solution but focuses on cost and quality. E.g. in commissioning consultants for CPEs, following an open tender procedure, we identified a number of preferred service providers, based on quality and cost, who have maintained their fixed rates over time. We also have preferred IT suppliers, which makes purchasing much more efficient however, we do test the market periodically to ensure rates remain competitive (e.g. every 2 or 3 years depending on context/type of supplier/location etc.), which is much more efficient than going out to tender regularly.
Development of appropriate management information systems to improve efficiency and effectiveness.	The scope of the PMER project has broadened to include two additional projects, the financial planning system (FPS) and the Restricted Income System (RIS). This has ensured the alignment of organisation wide systems projects, which increased effectiveness of programme and financial management.

VfM learning

Significant investment has been given to the development of the Global Accounting System (GAS), rolled out in 2009/10, followed by the Restricted Income Project (RIP) in 13/14. RIP has improved funding visibility and enabled improved tracking of spend against donor budget by managers. The tools have supported our use of timesheets in CPs, allowing for accurate donor staff time recharging, in line with our principles of donor fund reallocation. The implementation of RIP has led to improved collaboration between Finance, Programme and Fundraising teams. The project has helped us to streamline partnership finance processes; reducing time spent previously spent conducting multiple budget reconciliation work. In addition, our cost recovery process has improved, with a Global Full Cost Coverage Policy to guide programme in recovery of all costs in place, resulting in more effective use of unrestricted funds for strategic programmes and provided a more balanced funding stream for our programmes. The internal audit conducted in 2016 found that all six of the RIP objectives had been partly or fully met. See Section B for more detail on the audit findings.

Quality of financial management during programme

The quality of financial management reporting has improved during the programme. The implementation of the GAS in 2010, the completion of the RIP in 2014 and the Restricted Income System (RIS) have enabled transparent accounting of funds, visibility of expenditure and timely production of management information at the CP, regional and global level. The monthly financial report includes management action plan, which are tracked through the assurance reviews. All countries are audited at a minimum every two years, with recommendations followed up through management reporting. We continue to improve financial management competencies through SMT refresher training and new initiatives (e.g. costing toolkit) to provide a structured and consistent approach to developing our budgets.

Assessment of whether programme represented good Value for Money

a) Reflection of VfM performance over the lifetime of the programme

WaterAid's PPA represents good value for money, as noted in Coffey's fund level evaluation[15] and DFID feedback to previous ARs. Through this section WA have used the DFID Principles[16] of VfM to demonstrate how we maximise the impact of each pound spent to improve poor people's lives. WA's Procurement Policy ensures we obtain the best value on goods and services, budgeting process and variance analysis allows for cost comparisons with prior years and expenditure analysis, supporting our understanding of costs and improving our ability to take cost reduction actions. Measuring specific costs is an important process we follow, however, we don't calculate detailed unit costs for benchmarking as it is generally acknowledged to be highly time consuming, expensive and doesn't produce helpful results. The CPEs have provided the opportunity to make changes and improvements, the Programmatic Approach has been developed within the lifetime of this PPA to address impact at scale and deliver national relevance and the PIMS has developed a 'red flagging' assessment to determine the sustainability status of WASH hardware. These three examples all illustrate our understanding and focus on increasing the benefits of our actions to end users, ensuring their sustainability.

WaterAid's unique contribution to the sector is as a catalyst, driving transformational, systemic changes. Like many others championing change through advocacy, we consider the counterfactual, and our approach has been to work in partnership with other major WASH partners such as WHO/UNICEF and JMP to ensure alignment and a reprioritisation of resources towards post 2015 goals and targets. Our role from the last few years in shaping this post 2015 agenda has recently been evaluated and we are confident that our involvement, along with others, helped to make Global Goal 6 a reality. Our shift in direction through '*Everyone Everywhere'*, encouraged us to explore alternatives, supporting a move from a primarily service delivery orientation to one whose programmatic approach is geared towards transformational change through policy, practice and advocacy activities.

This new direction will catalyse development of the country-led processes and institutions needed to deliver universal access to sustainable WASH services and illustrates we are not content to deliver business as usual, and challenge ourselves to explore credible alternative ways of working. There is no doubt the new Global Strategy and the Programmatic Approach will continue to deliver value for money, as our focus on sector strengthening will leverage greater impact than direct service delivery. There will be a mid-term evaluation of the Global Strategy which will assess the extent to which this new direction is being delivered.

b) Assessment of progress against enhanced VfM offer

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[15] Primary Research Feedback Report – WaterAid UK Feedback Report, 2015, Coffey.
[16] DFID's Smart Guide Approach to VfM, pg. 2.

In the VfM enhanced offer we proposed to focus on the PMER rollout, Beneficiary Feedback, rolling out the VfM Framework and IATI. Over the PPA period we have been developing an appropriate management information system (MIS) to improve programme efficiency and effectiveness. The MIS project then grew to incorporate an organisation wide assessment of our; 1. Planning monitoring evaluation and reporting, 2. Financial planning system and 3. Restricted income system and is now known as the PMER Project. A key output from this consolidation of work areas was the need to establish clear organisational accountabilities, resulting in a Programme Accountability Framework, establishing nine non-negotiable commitments WaterAid will hold itself accountable to. These include commitments on VFM, cost efficiency and effectiveness, programme quality, partnership, inclusion, learning, human resources, risk and transparency. In addition, commitment six focuses on beneficiary feedback through 'Listening and responding to feedback'. It focuses on CPs developing country-specific feedback and response mechanisms at project level, raising feedback issues CP SMT, and supporting partners in the development and application of relevant feedback and response mechanisms. We have prioritised this area for further development and have built this into our nine month extensions Results Framework, with a beneficiary feedback mechanism and staff and partner training package developed and piloted as a concrete set of deliverables.

The VfM framework was reviewed, refined and the traffic lights recalibrated in 2015, making it more streamlined and the self-assessment ratings more realistic. This updated framework was then presented to the Global Leadership Team, made up of Country Teams, Country Representatives, Senior Management, Head of Departments and the Directors Team and CEO. Since then, the new Country Planning Process has incorporated a VfM section in the CPOPs, detailed in the table on page 24.

In 2013, we reported that we used the IATI as an opportunity to help strengthen new and existing internal effectiveness processes, and were starting to embed our data publication as business as usual rather than additional reporting requirement. Over the 2014-2016 period, IATI publishing has helped us to increase the quality of our data, both externally and internally. This, in turn, has permitted us to reduce the effort involved in publishing IATI data, improving our data publishing efficiency. We also use components of the IATI initiative to define some of the data standards that we use across our systems, which helps to ensure our systems are compatible.

There have also been a number of useful conversations sparked by people looking at our IATI data. For example, Concern Malawi contacted us having explored IATI to establish potential partners that could bring WASH expertise into their health and nutrition programme. We are intending to follow this example by analysing data to create our own internal dashboard of organisations that work in similar areas to WaterAid, to allow our programme staff to directly identify potential collaborations without having to understand IATI data.

Date of last narrative financial report	31 July 2016
Date of last audited annual statement	31 July 2016

Quality of risk management over the life of the programme

To enable us achieve our global strategy aims, visions and mission, it is necessary to take managed risks and to capitalise on opportunities. WaterAid has a risk management process in place consistent with good management practice. WaterAid aims to manage risk where this is possible by ensuring appropriate policies and procedures are in place to protect people, funds, other resources, information, relationships and reputation. WaterAid also aims to manage risk in a way that enables opportunities to be taken, where this supports the delivery of objectives. For example, testing new technologies (such as mWater), working in new CPs or shifting direction (as in the new Global Strategy to influencing and advocacy versus direct implementation). We also test potentially risky fundraising and campaigning opportunities, such as the 'If men had periods' launch on menstrual hygiene day. There is a global standard on risk which applies to all WaterAid Members and Country Programmes. It requires each WA Member and CP to implement a risk management process that is active and ongoing, and which involves Trustees, where applicable. The risk management process involves identifying organisational risks, evaluating the likelihood and impact of potential consequences, putting in place appropriate mitigating controls to minimise the risk and undertaking any subsequent actions needed to strengthen the control. Each department maintains a risk register and considers their relevant risk (such as the Fundraising Department) which feed into the organisational risk register, subsequently reviewed by the DT and Trustees. We consider a range of risks, such as media scrutiny, new fundraising regulations, new data protection requirements etc. and build these into the risk management process.

Our annual risk management plan, highlighting key organisation risks are presented to the Board of Trustees each March. In the financial / legal category, these include compliance with legislative changes such as the General Data Protection Regulation, fundraising regulation and local laws on NGO operations. To help manage this, WaterAid employs a Compliance Manager to ensure the organisation is aware of and compliant with legislative, regulatory and best practice requirements. WaterAid is a member of the Direct Mail taskforce, actively contributing to their discussions, in additional to other consultations on the changing regulatory landscape. In Ethiopia and Rwanda, we have worked on a new Country Strategy approach and reviewed our portfolio of partners and restricted income so that is consistent with the new legislation, to ensure we continue to work in the country but stay compliant with legal requirements.

Key strategic and operational risks include implementing the Global Strategy 2015-20, developing indicators to measure the progress and success of the Strategy and the risk of overrun in terms of timing and costs of a series of corporate systems projects being delivered in 2016-17. In order to mitigate these risks, the Strategic Planning and Performance team has expanded and has prioritised developing indicators to monitor the progress in implementing the Global Strategy. The prioritisation of change projects has been identified under the Enabling Framework, which sets of the key 'enablers' (projects, process, skills and ways of working) to help us prioritise and integrate work that supports organisational effectiveness. Hazard risks include civil unrest and insecurity in countries where WaterAid works, impacting upon the delivery of our work and security of staff. We are prioritising good security and safety management, including security training and employing a full time Security Advisor, to ensure we are providing the right duty of care for our staff, partners and supporters. We hold global Health and Safety policies which relate to safety in the field. These are adhered to and applied by partners and their relationship with communities as rigorously as by WA staff, and this forms a component of our Partnership Agreement.

In order to provide WaterAid's Management and Trustees with assurance that WaterAid has a risks management process in place that is appropriate and operating effectively, our Internal Audit team undertook a review of the organisational risk management process in November 2013. Recommendations were made in respect to documenting updates against previously identified actions and the consistency of Directorate risk registers. A subsequent review, as part of the ongoing process to provide assurance of the robustness of our risk management systems is planned to be undertaken in 2016-17. Audit Committee also discuss key areas of risk and review risk management arrangements on behalf of the Board and consider various scenarios, such as the possible outcomes of Brexit and how this may impact us.

Delivery against planned timeframe

WaterAid uses the PPA as part of its core funding and is allocated by the Directors to major systems and process change initiatives (see Section B) as well as supporting the delivery of our CP projects and programmes. Due to the unrestricted nature of the PPA, there is no specific financial reporting on this income, however the individual initiatives are managed through a governance structure and follow our reporting structure. As reported in Section C, we have achieved or over-achieved the majority of our targets, and have been able to overachieve against the core focus of this PPA, water and sanitation user numbers.

Performance of partnership (s)

WaterAid's vision and mission can only be achieved through collaboration with others. Our role in helping to strengthen the WASH sector means we must work effectively with others at all levels to improve policy and practice. We see our role as catalysts and agents of change so that long term change is sustained by local institutions. Our aim is to support CP partners become more self-reliant and have always invested in partner capacity development. The Keystone Survey from 2014 reflected the amount of capacity development that partners have received from WA, and confirmed that this support is effective. The survey also shows that our programme partners value the opportunity to learn from each other, and we often act as a convener, brining partners together in country to share learning, and we would like to do more of this; however, funding is at times a restriction to this. We are also seeking to move our relationships more towards application of our partnership principles, whereas in the past many of our partners have seen us primarily as a donor. The partnership training is strengthening skills and capacity in our staff to apply these principles and develop more equitable relationships with other organisations to maximise the value added by each partner.

Alongside working with CSOs in our CPs, we call on governments to provide and sustain services for their populations. We believe it is only governments who can create an environment where public and private investments and civil society can all operate effectively and we work with them to develop national strategies, based on strong governance, financial and technical systems to reach all of their citizens with sustainable WASH services.

We have a long history of corporate partnerships and ensure we have a diverse funding mix to support our organisational sustainability as well as build the two-way benefits of private sector engagement. We work with companies across the world in a variety of ways including brand partnerships, strategic partnerships, payroll giving and partnerships to support them to achieve their CSR objectives including customer and employee engagement. Current major partners include HSBC, Diageo, BHP Billiton, Aveda, Belu water.

Asset monitoring and control

Asset monitoring and control is a cross organisational issue and all staff are responsible for the custody and security of the assets in their care. For example, line managers are responsible for continually reviewing and raising awareness of the risks of poor asset management to their teams and all staff have a general responsibility for the security of WAs assets, avoiding loss and for the effective use of resources. In line with our Global Accounts Manual, all CPs keep a Fixed Asset Register to record and account for items over £500, and those under £500 are listed on a separate inventory list. The Heads of Finance within each CP are responsible for reviewing the list and

carrying out physical checks to ensure it is accurate and up to date. All vehicles are kept in secured office premises overnight or when not in used. Logbooks are used to record and charge mileage to budget holders.

In the UK, we maintain an asset register, reviewed twice a year with a physical verification at the end of each financial year. WA external auditors provide an independent opinion on financial statements and carry out examinations of the statements and underlying records and control systems as are necessary to reach their opinion on the statements. Our internal audit function provides assurance to management and Trustees that there are sufficient controls in place in order to mitigate key risks including those in relation to asset management. Every year Internal Audit undertakes an office sweep to ensure all assets are sufficiently secured. Any areas of concern are reported to management to address through staff reminders and performance management actions where necessary.

G: CONDITIONALITY

Partnership principles assessment

Not relevant to PPA funding.

Evidence and evaluation

Details relating to this at the global level can be seen in Section C, 2.1 and 2.2 where we have been reporting on programmatic changes as a result of conducting PIMS and CPEs. The last five years has seen a strategic shift in focus to sustainability of services, largely due to PIMS' findings and this underpins our current Global Strategy. We prioritise WASH services that continue to function permanently, and without this, the goal of universal access will not be achieved. To support the increased commitment to sustainable services, we have been putting greater emphasis on the active follow up of management responses to PIMS and CPEs. For a CP example, we led a cross country initiative looking at the design of pro-poor, low income customer service units provided by local utilities with the support of WA CPs. This produced a set of case studies on Uganda, Bangladesh and Malawi. With the addition of desk reviews in Kenya and Zambia, the case studies[17] were used to produce a synthesis report.

WaterAid is collaborating with the Global Water Operators Partners Alliance (GWOPA) to use the lessons from these to develop a peer to peer support programme, to help willing utilities (mentee) to establish low income customer services units, with the help of an experienced utility (mentor). The cross-country exchange visits and support programme are expected to leverage donor support and funding in improving services to the urban poor and in the establishment of more pro-poor units across more countries. The development of the case studies and synthesis report gave us the legitimacy, space and confidence to begin engaging with GWOPA and to influence the global utilities association to set up this programme. The first set of three exchange peer-to-peer support programmes are to be implemented in South Asia and Africa.

Monitoring progress throughout the programme

As reported throughout this and previous ARs, investment in M&E has been a significant area for WaterAid over the last five years and has been a priority area for investment of PPA funding. In 2011, WaterAid launched the first generation of revised CP and Regional Team (RT) reporting systems, aligned to the Global Strategy 2010-2015. The PIMS methodology was developed internally, piloted and linked to the Sustainability Framework. In 2012, annual performance indicators were developed to address challenge that CPs and RTs were finding in reporting against the Global Strategy. The use of mobile data collection technology to support PIMS was piloted and in 2012 the Global Programme Management Information System (GPMIS) scoping was launched.

In 2013, a PIMS learning review was conducted and a decision made to progress with securing software to support PIMS data collection. A DT decision to halt GPMIS in 2014 was made, to reflect the need for a broader review of PMER. A review of overall organisational business processes and systems architecture commenced and in 2014, Southern Africa and East Africa conducted M&E reviews and developed context specific protocols. A CPE meta-analysis was conducted and iterative work to improve planning and reporting process and content, based on feedback was conducted. A PMIS pilot began in all the Southern Africa CPs, building on the previous GPMIS work. In July 2015, the PMER review and PMIS project were merged (along with RIS) into the 'PMER Project' and the rollout of the global PMER Project was given the go-ahead by Directors following an evaluation of the Southern Africa pilot. A PMER rollout team was recruited in 2015 and have been coordinating the three initiatives under one umbrella, developing training materials, writing minimum standards and developing a change management process.

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[17] See Evidence #3

The final stage of the PMER project is the rollout to all Regions and CPs, which will commence in September 2016 and is part of our extension framework, representing the culmination of this long term PPA investment.

The PMER Project is a priority business change project identified within our Enabling Framework. This project will improve our organisational planning, monitoring, evaluation and reporting globally and is being taken forward in three work-streams:

1. People: focussing on attitudes and behaviours, which promote increased accountability and effectiveness
2. Processes: improving programme and project management practices and processes, embedded in programme operations and supporting delivery of the Global Strategy
3. Systems: delivering new systems that meet the needs of Country Programmes, Fundraising and Finance, and enhance delegation of authority and empowerment

This will be achieved via the four key deliverables of the PMER Project; the Programme Accountability Framework that describes the nine commitments - for which WaterAid can be held to account, the development of core procedures for PMER at the programme and project level – what are the minimum project/programme requirements that all CPs should meet, the software platform – to allow real-time, accurate grant management, and the building of staff capacity. The expected result will be a coherent, joined up programme and project management cycle that support CPs in managing the implementation of their strategy, supporting CP management decision making and providing increased opportunities to reflect, learn and adapt programmes throughout their lifetime.

Another investment was the external evaluation of the five years of PPA funding, conducted between Dec '15 and May '16. The two main areas of focus were to assess the extent to which we had met our three Outcome Indicators and to evaluate in more detail our work on adaptive programming and partnership. These two programmatic areas are core to our new strategy and the evaluation was designed to assessing the impact of what has been achieved to date and providing learning to support future development plans. The process was highly consultative and staff across Departments were extremely engaged in the process, making it one of the most active evaluations for WaterAid. Main findings have been weaved into this PCR, notably in Sections A and B, and a synopsis of the report will be shared with DFID.

I: TRANSPARENCY (1 page)

Assessment of progress against enhanced Transparency offer

Since the submission of our enhanced offer, the number of IATI activities reported have tripled from 100 to 300, with total file size 100 times it was in 2014. We planned to investigate how we might visualise WaterAid's IATI data on our website, making this data more accessible. Although we are very close to publishing our visualisation, web browser changes have required more investigation than anticipated. Meanwhile we have open-sourced our IATI publishing tool that can take simple Excel spreadsheets and automatically produce the complex IATI XML files required for publication. This function is of benefit to the wider sector and supports WAs and DFIDs transparency aims. The tool requires no installation and works offline, which is particularly useful when working in the field and was featured in the IATI Global Annual Report in 2015[18].

We have continued to support technical advancements within the IATI community, for example supporting Bond's project on 'investigate the drivers and barriers to "better IATI"' as well as posting seven separate threads on the IATI standards webpage, covering clarifications, suggestions and helping to debug the IATI registry[19]. We publish on behalf of all our WaterAid country programmes and are facilitating our fundraising members to also consider publishing IATI data. We do not currently support our implementing partners to publish although we do publish quarterly IATI data that includes disbursements to our partners for each sub-activity they are involved in. We have also supported WaterAid America to reuse our IATI data for their own publication needs, for example in their new collaboration on InterAction's 'NGO AidMap'.

Continued efforts to learn from and act on the sustainability findings from PIMS have been noted in Section B and C of this report. In the enhanced offer we indicated that the monitoring framework may become part of our core performance framework, linked to the current Global Strategy. Over the last two years, we have embedded PIMS into our M&E systems and processes and have been reporting on PIMS to the Board, ensuring it is integrated within our performance mechanism and part of our core performance framework. We planned to start publishing some of the analysis data sets on our website, to be viewed alongside the IATI data, and where possible, abridged datasets will go into global platforms such as the Water Point Data exchange (WPDx) or UN-based systems. We have been sharing our anonymised data with the sector at conferences as well is through our external Annual Reporting process.

As noted in Section B, the recruitment of the Programme Sustainability Officer this year will help us to take greater steps in the global level analysis and data presentation. They will develop ways in which we can represent our PIMS data on our website. This will be based on the visualisation tools we have invested in on the mWater platform (building on our previous WaterPoint Spreadsheet Mapper). The webpages will specifically provide reflections on learning and adaptations to our programming that result from these analytics. Our focus also remains on supporting national and district level monitoring systems where we can as part of our new strategic approach. We have held discussion with the Directors Team regarding the external publishing of this data, and this was agreed in late 2015. We are currently working across departments to agree an approach that will be beneficial to the sector while also protect County Programme and WaterAid UK's reputation due to the specific and sensitive nature of the PIMS findings.

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[18] IATI Annual Report, text box page 44 - **Evidence Table #6**
[19] IATI Support website - http://support.iatistandard.org/

Since the enhanced offer, we've continued to engage with sector stakeholder to ensure access to the WASHwatch project, working with End Water Poverty and the Global Monitoring and Harmonisation Task Team of the Sanitation and Water for All partnership to ensure awareness and use of the site by both civil society and government. We've also partnered with the African Ministers' Council on Water (AMCOW) to support the monitoring of the Africasan declarations and have presented WASHwatch at four side events during Africasan for different stakeholders, engaging directly with civil society in thirteen countries as well as supporting the Sacosan monitoring process with Freshwater Action Network South Asia (FANSA).

WaterAid's approach to disaggregated data closely mirrors that of DFID. We have disaggregated data by disability, gender and age for a number of years, sharing this with DFID through the PPA reporting and responding to additional enquiries. In addition, we piloted using the Washington Group Short Set (WGSS) questions in the Undoing Inequity action research project in Uganda and Zambia[20] supported by the PPA. This research aimed to understand and address barriers faced by disabled, older and chronically ill people. The WGSS questions have also been applied in the DFID South Asia WASH Results Programme in Bangladesh.

We aim to engage people with disabilities systematically through all of our work, at all stages of the programme cycle, addressing attitudinal barriers by awareness raising at the household, community, district, and national levels, as well as within WA and our partners. We address institutional barriers through improving the participation of disabled people in our programmes, partnering with Disabled People's Organisations (DPOs) and disability networks. We are continually striving to make WA a more inclusive organisation, and have recently developed a diversity policy to support this. At the design and implementation stage, we aim to understand, and support partners to address the barriers people with disabilities face when accessing and using WASH facilities, aiming to construct facilities that can be used by people with disabilities, applying accessibility and safety audits to facilitate this. For example, in Mali, safety audits have been conducted before waterpoint and toilet construction is completed, allowing for disabled people to test the facilities and feedback, influencing the final design.

WaterAid and the Plateforme Des Federations Des Personnes Handicapees De Madagascar conducted a human rights based approach action learning project in Madagascar. Through this, disabled people gained more access to microfinance and education, and increased engagement with local authorities. WaterAid Bangladesh and partners' focused investment on gender inclusive programming approaches that have yielded positive results, particularly in Menstrual Hygiene Management. The review[21] found that focusing on developing adolescent girls' skills and confidence has led to a greater awareness of their rights and are advocating for these independently; "*There aren't many people like me in this community. There are some further away. When we meet I tell them what's possible. I tell them at temples and sometimes at IDEA* (WA Partner) *meetings*" (Lokhi, a physically impaired girl, aged 18). We also work with a number of disability advocacy partners, supporting them to affect change at policy and programme level. In response to the Nepal earthquakes, WA Nepal collaborated with the national disability network to promote the rights of people with disabilities and the need for inclusive WASH in the humanitarian response. An article on this has been written up and will be included in DFIDs disability newsletter as an example of shared learning.

We are already matching DFID's ambition for disability inclusion by disaggregating data by gender, disability and age, through our equity and inclusion (E&I) approach and framework, the recently launched global diversity policy, focus on reducing inequality in our Global Strategy, and through advocating other organisations to mainstream disability inclusion in the WASH work. The reduction of inequity is one of the four strategic aims of our current Global Strategy and we systematically raise awareness through trainings of WA and partner staff on disability rights principles and how to translate those into practice, regularly linking with DPOs to deliver training. In all CPs we have partnerships with DPO networks and are working in increase this. We use

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[20] Undoing Inequity Process Review Report, Zambia and Uganda, 2014 - **Evidence Table #7**
[21] WaterAid Bangladesh Equity and Inclusion Review, 2015 - **Evidence Table #8**

research findings to inform the sector, for example, the *Undoing Inequity* research data (analysed through another report[22]), was presented at the WEDC conference in Ghana, 2016. Findings suggested that head of household provided similar responses to vulnerable individuals when questioned about water sources, but when assessing consumption and daily access to drinking water and sanitation facilities, using the head of the household as a verifier was less reliable than asking questions directly to the vulnerable individuals. This intra-household approach to monitoring is informing the WHO/UNICEF JMP monitoring programme approach.

As noted in Section D, equity is embedded in our work through the Equity, Inclusion and Rights Framework and is being integrated into the PMER Project. As such we have not included disability as a specific focus area in the Extension Results Framework. However, we will continue to address findings and recommendation from the Equity and Inclusion Review.[23] One finding identified that although WA used the E&I approach and training, the application by staff and partners was not always evident. Addressing this is a focus for our Programme Support Unit, and the WGSS questions were discussed in all CPs and welcomed as potential basis of future practice to add to existing monitoring tools. Another step has been ensuring equity, inclusion and rights is mainstreamed throughout our new internal guidance on School WASH.

Update on requests made in the 2014-15 Annual Review feedback

The main area of interest for DFID in the 14/15 AR related to how partners work with disabled people, the extent to which we support and guide partners and barriers or challenges partners faced. In the Partnership Toolkit there is guidance on working with DPOs and we now have experience of this. For example, we have been conducting and are promoting joint monitoring visits, which include partners, WA and DPOs. This allows for access improvement suggestions to be made as well as promoting the participation of excluded groups. In some partnership training assessment feedback, this has been highlighted as an area for additional support, and our focus looking forward is to provide further support through experience sharing webinars.

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[22] Intra-household access to WASH in Uganda and Zambia – do variations exist? **Evidence #9**

[23] Review of Equity & Inclusion, Phase 2 report: Country Programme reviews & visits - Mali, Nepal, Bangladesh. **Evidence #10**

Any additional updates relevant to DFID, focusing on the Leave No One Behind agenda

While the Healthy Start advocacy programme has been mentioned within the report, it is worth highlighting the link to DFID's *Leave No One Behind* agenda. *Healthy Start* is WaterAid's global advocacy priority, which seeks to urge and support governments and donor agencies (including DFID) to prioritise the integrated approaches required to achieve the Global Goals and Leave No One Behind. Planning and targeting cross-sectoral interventions to support the most marginalised will achieve gains across priority areas. For instance, we are supporting efforts to strengthen the evidence base for what works in effectively integrating WASH and nutrition and health programmes to tackle child malnutrition, particularly stunting, which is frequently associated with inadequate access to water, sanitation and hygiene. This is a four year advocacy and programme priority, until 2019, and as such we would value continue engaging with DFID to help us realise the ambition of the Healthy Start programme.

To achieve the Global Goals and meet the ambition of Leave No One Behind, inclusive, transparent and participatory Agenda 2030 monitoring, follow up and review processes are essential. We are actively engaging with the High Level Political Forum including supporting a proposed side-event at the 2016 summit to highlight the importance of integrated approaches and the Voluntary National Review process in countries with WaterAid representation. We would welcome DFIDs support with this work by leading by example, participating in Voluntary National Reviews, high level engagement at the HLPF summit in July 2016 and around the 2019 heads of state process as the first major point of review.

Evidence 1 – External Evaluation of WaterAid's PPA Funding 2010 – 2016, Currie, C.& Watson, S. IOD Parc, May 2016. A synopsis of this report will be available on the WaterAid website in July/August 2016.

Evidence 2 – External Evaluation of WaterAid's Post-2015 Policy Advocacy, Simon Trace, May 2016. A synopsis of this report will be available on the WaterAid website in July/August 2016.

Evidence 3 - Low-income Customer Support Units case studies - How utilities are successfully serving poor people:
http://www.wateraid.org/uk/what-we-do/policy-practice-and-advocacy/research-and-publications/view-publication?id=f399f0ea-fa75-437e-b8c8-8b221c0c5af2

Evidence 4 - Waterlines Volume 35, Issue 1, The role of handpump corrosion in the contamination and failure of rural water supplies:
http://www.developmentbookshelf.com/doi/full/10.3362/1756-3488.2016.006

Evidence 5 - Keystone WaterAid 2016 Partner Survey:
http://www.wateraid.org/what-we-do/our-approach/research-and-publications/view-publication?id=94b392e1-e029-4964-a8a1-72c3cb8b1093

Evidence 6 – IATI Annual Report 2015, textbox page 44:
http://www.aidtransparency.net/annualreport2015/downloads/IATI_Annual_Report_2015.pdf

Evidence 7 - Undoing Inequity Process Review Report, 2014:
Zambia - http://www.wateraid.org/uk/~/media/Publications/Undoing-inequity-inclusive-water-sanitation-Zambia.pdf?la=en-GB
Uganda - http://www.wateraid.org/~/media/Publications/Undoing-inequity-inclusive-water-sanitation-hygiene-Uganda.pdf?la=en

Evidence 8 - WaterAid Bangladesh Equity and Inclusion Review, 2015:
http://www.wateraid.org/~/media/Publications/WaterAid-Bangladesh-Equity-and-Inclusion-Report.pdf?la=en

Evidence 9 - Intra-household access to WASH in Uganda and Zambia – do variations exist? Danquah, D., & Wilbur, J. 2016. This is a WEDC paper and will be online after the conference in July 2016.

Evidence 10 - Review of Equity and Inclusion, Phase 2 report: Country Programme reviews and visits - Mali, Nepal, and Bangladesh. Coe, S & Wapling, L. May 2015:
http://www.wateraid.org/~/media/Publications/Equity_and_Inclusion_Review.pdf?la=en

M: Summary Sheet of each Annual Review (Years 1-4) (maximum 1 page per year)
This section should be used to provide a short summary of progress (and any follow up actions)
from Years 1 to 4 of the PPA. This section should complement the information provided at
Section A.

Summary Sheet 2011/12

Summary of achievements

Most targets were met, but not exceeded in 2011/12, resulting in a Programme Score of A. In all subsequent years, we have been delighted to consistently receive an A+ rating, reflecting our improved focus on programme delivery and strengthened M&E systems. We were successful in overachieving against our access to water target, reaching 1.56 million people and 1.9 million people with sanitation services. In this year we rolled out the Equity and Inclusion Framework[24] and country programmes made excellent progress in developing approaches and ways of working that supported inclusive representation and participation of community members in affecting their own WASH services. The four pilot Post Implementation Monitoring Surveys (PIMS) were successfully conducted, signifying the start of our journey and focus on assessing sustainability, with additional guidance developed needed to rollout PIMS. This year provided the foundation for the scale up and subsequent rollout of the PIMS which has fundamentally changed the way we programme by informing our strategic approach applied in the Global Strategy 2015-20. A substantial number of partners received capacity building support (over half were local or district governments). This ranged from training on water point mapping to conducting needs assessments of human resourcing and financing gaps to inform national planning. Reporting on investment in integrating WASH into health policy and programmes began with successes reported in Ethiopia, Tanzania, Madagascar, Mali, Ghana and all four South Asia CPs. An early notable example of this was the collaborative working with UNICEF in Ethiopia where we jointly designed and implemented a manual for WASH in healthcare facilities, and signed MoUs with the Ministry of Health to provide technical support on WASH.

Recommendations and Actions

The main focus of the DFID feedback to the first Annual Report was that our narrative was descriptive, with not enough evidence provided to justify the statements made. Year on year we have worked to improve on this, within the word count limitations of the changing format. We have developed a reporting system that draws on the Country Programme and Regional reports, which provides us with detailed programmatic updates with the context and evidence of activities and impact. Since this recommendation was received, we have prioritised investing in external evaluations and reports to provide a triangulated evidence base. The Country Programme Evaluations have been an example of where we have taken this forward and the methodology is now embedded in our ways of working and are now seen as having huge value, informing Country Strategies under the current Global Strategy. The second significant area of feedback related to our Value for Money section. Since this report, we have developed and reported annually on the WA VfM Framework and the Learning Partnership has supported our VfM journey. We believe in each subsequent Annual Report we have been able to better reflect our VfM approach and organisational changes. We have also ensured active engagement in the VfM learning partnership group, which has supported our own learning.

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[24] Equity and Inclusion Framework http://www.wateraid.org/what-we-do/our-approach/research-and-publications/view-publication?id=d98d98ad-b605-4894-97cf-0c7682e62b04

Summary Sheet 2012/13

Summary of achievements

In 2012/13 there was an improvement in our achievements and results reported on in 2011/12, allowing us an A+ Programme Score. We supported 1.71 million people with access to water and 2.2 million people to access sanitation. At this point, our water access was 15% overachieved but the sanitation was 5% under. This was a reflection of our push to focus on sanitation, and our upward revision of our own target.

The most significant highlight for WaterAid was at the outcome indicator level, specifically our influencing and advocacy, both running up to and importantly following the Sanitation and Water for All (SWA) High Level Meeting (HLM) in Washington in April 2012. An enormous success for us was the agreement of 402 specific commitments being made by 37 developing countries and 11 donors/development banks, committing to providing an additional 224 million people with access to water and 307 million with access to sanitation facilities.

This year, three Post-Implementation Monitoring Surveys (PIMS) were conducted using mobile data collection methods, to address the issue of accuracy and time. The thirteen PIMS conducted (seven more than planned) helped us to gain a clearer understanding of the factors that enable or hinder sustainability of the work delivered, drawing lessons, and using evidence for our planning and to advocate for improved practices within the WASH sector.

A final highlight was the positive outcome and findings of our PPA Independent Progress Review, which through engagement with other stakeholders, was able to fully capture the extent of activities and influence and our role within the WASH sector. We were very pleased that the external review recommended that *"DFID should continue funding WaterAid with a PPA"*, and saw this as the highest level of endorsement of our success and alignment to DFID's aims.

Recommendations and Actions

The recommendation to replace the 'traffic light' assessment system was very welcome and taken into account. Each indicator was given a specific wording (such as 'good' for green, with a detailed definition of success). This was presented with the updated AR and Logframe and used for all future reporting. This revision helped to improve the quality and specificity of our reporting against the logframe in all future ARs and was a welcome change. General feedback requested that we detail, with explanations, significant over or under achievement against indicator targets. This was welcomed and has been done in all future reporting, and has helped us to celebrate success as we have overachieved against many targets.

A broader issue of attribution of our role to successes with advocacy work, and our need to look externally to triangulate our evidence based reporting, were both acknowledged and taken forward. This has helped drive the process of developing a robust PMER system for all our advocacy work, and has pushed us to conduct a wider range of reviews and evaluations of our work (such as the Global Equity and Inclusion Reviews in 2014/15) to support our reporting process and help us to look more critically at our successes.

Learning from our Global Strategic Progress Review (GSPR) identified the need to consider partnerships with aim of higher quality and partner scale rather than adopting more partnerships towards aim of quantity, as such this was specifically included within the two year extension logframe.

Summary Sheet 2013/14

Summary of achievements

Progress was strong in 2013/14 with a number of indicators showing either moderate or substantial overachievement, particularly around access to water and sanitation services where there was an overachievement of 1% and 6% respectively (1.9m and 2.9m). The latter is a great achievement given the WaterAid report, '*Off Track, Off Target'*[25], highlighting challenges faced by the sector in delivering the sanitation MDG, and mirrors our earlier decision to refocus on sanitation. There was a significant, organisation-wide refreshed thinking around WaterAid's Programmatic Approach (PA) to drive transformational changes through our work. This helped address some of the challenges identified in the 12/13 PPA Annual Report. Through a more in-depth programmatic context analysis during 2013/14, country programmes developed more integrated programmes and projects responding to the local context and this informed planning for 2014/15 and beyond. These developments supported the achievement of our global strategy 2010-15, to which the PPA is aligned, and as such ensured our continual PPA success.

A key success in this period was the development, publication and roll out of two new organisation-wide guidance documents; the *Hygiene Framework* and the *Disasters Framework,* addressing core issues relating to provision and access to water and sanitation. These have supported the thematic capacity building of WaterAid staff and partners, as well as being tools for the wider WASH sector to influence change and increase awareness and are still as relevant to us and the sector as they were three years ago. A very positive and output strengthening change in this year was a logframe revision to reflect a shift towards qualitative reporting where this would deliver better outputs. For example, learning products (focus on dissemination rather than publication) and adjusting the focus to building quality partnerships rather than reporting on numbers of partners. This change helped us to push ourselves more and to focus on change rather than simply numbers.

Recommendations and Actions

This year we developed a full Management Response to the feedback from DFID on the 13/14 Annual Report, and was a useful process to ensure that the internal cross organisational engagement with the PPA did not finish with the submission of the report. Beneficiary Feedback was noted ourselves within the report as a new and developing theme for us, and an area with significant scope to grow. This has been taken forward in the two year extension (as noted in Section K of this report) and has become a specific result in our nine month extension, reflecting the prioritisation of this within our current Global Strategy. We expect to be able to report more confidently and thoroughly on this in the future as a result of the current and planned investments and prioritisation of this. There was significant investment during this period on the partnership training delivery and toolkit. A sign of applied learning has been seen in the development of the CPOPs, where partnership is clearly considered. We also encouraged (through training and toolkit) regular reviews of our partnerships, asking questions about roles and responsibilities, incentives, participation etc. to monitor partnership quality. There is evidence of more people talking the language of quality of partnerships and some shift in practice. All countries noted the need for new and different partnerships to support the new strategy, and the need to re-assess existing partners in relation to their fit in the new strategy. The immediate focus was on continuing to roll the training out to staff in CPs, involving partners in the assignments so that they can also learn the tools and techniques.

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[25] Off Track, Off Target http://www.wateraid.org/~/media/Publications/off-track-off-target-report-wateraid-america.ashx

Summary Sheet 2014/15

Summary of achievements

WaterAid made excellent progress in 2014/15. Most notably at the global level where we made a significant contribution in the UN post-2015 process by engaging decision makers to ensure that the new Sustainable Development Goals (SDGs) include ambitious targets for universal access to water, sanitation and hygiene (WASH). The Africa Water Week in Dakar, in May 2014, was an important moment for our advocacy, successfully securing a dedicated goal on water and sanitation, which was then included in the Dakar declaration. In 2015, we launched our Global Advocacy Priority on WASH and Child Health, '*Healthy Start'* and in 14/15 invested energy and thinking in developing and launching our new Global Strategy '*Everyone, Everywhere 2030*'.

We directly supported 2,021,673 people with access to water and 3,145,419 people to access sanitation, which was respectively in-line and significantly above expectations and contributed directly to DFID surpassing their own WASH target. We continued to make progress in embedding our Programmatic Approach, helping us to link learning from our practice work to our policy influencing work. Through our Programmatic Approach, we worked within a continuum that enabled us to act and reflect based on constant analysis of what works, what doesn't and where we can make the greatest impact, support our developing adaptive programming approach. We prioritised and invested in developing our equity, inclusion and rights based work, and continued our focus on strengthening sustainability to ensure we are delivering services that last.

Emphasis was placed on strengthening partnerships, both in diversifying partnerships to meet our strategic aims and improving the quality of our existing ones. Using our first ever partnership survey and Partnership in Practice trainings, we examined the outcomes to better inform our partnership approaches. With recognition that the Millennium Development Goal for sanitation was off-track, we broadened our sanitation approaches, looking beyond community-led total sanitation (CLTS), to develop sanitation marketing and school sanitation with varying levels of results in our countries. We also convened important workshops on sanitation and on the Human Rights Based approach. From learning and experience in previous PPA years, we were better able to respond to challenges faced during the year. These ranged from political instability in Burkina Faso, the Ebola crisis in West Africa and the earthquakes in Nepal.

Recommendations and Actions

We made excellent progress in addressing recommendations from the 2013/14 report. Our tracking tool focus has shifted from the number of research pieces carried out to instead tracking dissemination of this research. We have broadened our evidence base for this report to increase the credibility and reliability of our reporting, for example devising an external final evaluation that assessed the extent to which we had delivered against the three Outcome Indicators. A key action for 2015/16 arose from our Post Implementation Monitoring Surveys (PIMS), which highlighted weaknesses in long-term on-going support to users in the form of management, financial and technical assistance to keep services running. We will be prioritising these areas as part of our programme design as well as addressing wider sector capacity through our sector strengthening work. While not a specific action, there was a desire to learn more about the integration of WASH in health, reported here through the Healthy Start programme. This is has been built into this final report, as well as the external evaluation.

Annex B - Acronyms

AMCOW	African Ministers' Council on Water
ARs	Annual Reports
CLTS	Community Led Total Sanitation
CPEs	Country Programme Evaluation(s)
CPOPs	Country Programme Operational Plan(s)
CPs	Country Programme(s)
CRM	Customer Relations Management
DPOs	Disabled People's Organisation(s)
DT	Directors Team
E&I	Equity and Inclusion
ECOSAN	Ecological Sanitation
FANSA	Freshwater Action Network South Asia
FPS	Financial Planning System
GAP	Global Advocacy Priority
GG	Global Goal
GPMIS	Global Programme Management Information System
GSPR	Global Strategic Progress Review
GWOPA	Global Water Operators Partners Alliance
HLM	High Level Meeting
ICT	Information Communication Technology
ILP	Influential Leadership Programme
M&E	Monitoring and Evaluation
MHM	Menstrual Hygiene Management
MIS	management information system
MPB	Multi Year Planning Budget
NPS	Net Promotor Score
NTDs	Neglected Tropical Disease(s)
O&M	Operation and Maintenance
PA	Programmatic Approach
PCD	Policy and Campaigns Department
PIMS	Post Implementation Monitoring Survey
PMER	Programme Monitoring Evaluation and Reporting
PSU	Programme Support Unit
RBA	Rights Based Approach
RIMAP	Restricted Income Management Approval Process
RIP	Restricted Income Project
RIS	Restricted Income System
RT	Regional Team
SDGs	Sustainable Development Goals
SMT	Senior Management Team
SWA	Sanitation Water for All
VfM	Value for Money
WA	WaterAid
WASH	Water, Sanitation and Hygiene
WEDC	Water, Engineering and Development Centre
WGSS	Washington Group Short Set
WP	Water Point

DFID Management Response to WaterAid PCR

Programme Partnership Arrangement Project Completion Report. WaterAid has produced a clear, evidenced Programme Completion Report (PCR) demonstrating the impact of their Programme Partnership Arrangement (PPA); both from an institutional and programming perspective. The PCR has scored an A+ and has a 'Moderate' risk rating.

The PCR illustrates how WaterAid has, in most cases, achieved the outcome and outputs targets agreed within the programme logical framework. WaterAid worked to resolve any challenges faced during the PPA period for example, adjusting targets to contribute more towards meeting the globally off track Millenium Development Goal (MDG) sanitation target. There is strong evidence demonstrating how the PPA contributed to work on developing and promoting equitable and sustainable water, hygiene and sanitation services and influencing service providers and governments to deliver more and be accountable.

The PPA programme has supported a number of key improvements in respect to WaterAid's organisational capability. A key highlight has been the development of WaterAid's new Global Strategy for 2015-2020, Everyone Everywhere 2030. The new strategy shifts the focus of WaterAid's work further, moving from direct delivery of sustainable Water, Sanitation and Hygiene (WASH) to doing more to support governments and service providers to strengthen systems and capabilities to deliver sustainable WASH. There is evidence that this global influencing work has contributed to more people having access to water and sanitation – a great result for all.

In addition, the PPA enabled WaterAid to innovate, invest in systems and processes and grow programmes and the PCR demonstrates the importance of the PPA in enabling WaterAid to reach more people, monitor and adapt their work. Over the 5 year PPA period, WaterAid have provided water access to 9.19 million people, and sanitation services to 13.26 million people - reaching over 525,000 people more than planned with water and over 397,000 more with sanitation. Those

results made a substantial contribution to our WASH target of reaching 60 million people by 2015. This is an impressive performance and WaterAid continue to represent good value for money while reaching out to the poorest, most vulnerable and most difficult to reach.

WaterAid also played a major influencing role in high level discussions such as Sanitation and Water for All and making an important contribution to ensuring a Global Goal on clean water and sanitation was created. The engagement with us on key issues relating to accessible WASH for example, on the central role played by women and adolescent girls and collaboration on promoting menstrual health and inclusive programming has been mutually beneficial. Tackling deep-rooted systematic barriers to women and girls' engagement is a key development agenda and we encourage WaterAid to continue this work.

We acknowledge WaterAid's honesty in reporting retrospective errors in two previous annual reports and note the revised, corrected targets did not impact on previous annual reporting scores nor do they impact on the achievements noted in this PCR.

Going forward, we encourage WaterAid to maintain their influencing work across the globe, embedding their Equity and Inclusion Framework, over the Global Strategy period to ensure that clean water and safe sanitation are accessible for the poorest and to ensure that no one is left behind. DFID wishes WaterAid continued success for the future.

PPA Extension reporting

* This report will be included as an Annex to agencies' PPA Project Completion Reports *

Review Date:	28 February 2017

Title: WaterAid		
Programme Code: 202621	**Start Date: 1 April 2016**	**End Date: 31 December 2016**

A. SUMMARY AND SUSTAINABLITY (maximum 1 page)

Summary of key achievements during the nine month extension period: We are delighted to report we have achieved, or overachieved, all of our results. Aligning closely with the **Sustainable Development Goals**, the extension period has allowed us to: 1) embed two key priorities of our global strategy (sector strengthening and integration) across country-level plans; and 2) continue to play a leadership role in the Sanitation and Water for All (SWA) partnership, encouraging partners to implement the Collaborative Behaviours which will support the achievement of universal access to clean water and adequate sanitation. Building on the improvements made to **strengthen organisational effectiveness** under the PPA, we are pleased to report excellent progress in the rollout of our new Planning, Monitoring, Evaluation and Reporting (PMER) processes and systems, which embed adaptive programming as a key component of our ways of working. The extension period has also allowed us to continue to **innovate and test new ideas** relating to value for money and accountability. We have successfully piloted a social return on investment (SROI) approach in Rwanda and also driven forwards work on beneficiary feedback through 4 countries piloting community feedback mechanisms, a global webinar and integration into our new PMER processes.

Building on the success of our global **Healthy Start** programme (reported on in our PCR, and linking to our strategic aim of integration), we wanted to highlight the local launch of the campaign in a WaterAid country, where relationships with key WASH health stakeholders were strengthened, with the aim of increasing integration of WASH into Government health programmes. In this Country Programme (CP), from a baseline of 14 relationships classed as "strong", we now have 6 "very strong" and 11 "strong" relationships with key health sector stakeholders. We have also supported WASH assessments in 426 health facilities, launched a national social media campaign and mobilised communities with a petition reaching 80,000.

Summary of the key changes and/or improvements that will be sustained at the end of the extension period: We anticipate improvements being sustained well beyond the end of the extension period:

- WaterAid will continue to **chair SWA's Country Processes Working Group** (CPWG) and participate in processes and activities. As the Collaborative Behaviours have become known by more and more partners (particularly at country level) their reach and impact has increased, and this in turn helps ensure sustained attention.
- The **regional PMER rollout** has equipped CP staff with an understanding of the new streamlined processes and systems. Following the remaining CP-level trainings, changes will be seen across all CPs from April 2017 and this will be sustained by an active community of practice as well as regional and global support. The expected impact is improvements in CP performance: more realistic targeting, re-planning, learning, programme quality, greater effectiveness in resource allocation and more informed decision making at all levels.

- The achievement of agreeing a global "Common Approach" to **PMER of advocacy** aims to bring about long-term improvements such as: advocacy planning processes that are flexible and responsive to change and periodic critical reflection as part of monitoring for learning.
- The **SROI pilot** will enable us to provide strong evidence from a social valuation perspective of the social and economic benefits of investment in sustainable WASH services for poor people. Two further CPs are planning work in this area (e.g. SROI evaluation in Uganda).
- The 4 countries that piloted **community feedback mechanisms** intend to continue to use them and embed them in their M&E frameworks. Learning from the pilots will be integrated into new guidance to be shared with all CPs. The increased discussion and debate has raised the profile of our accountability to the communities we serve.

B: PERFORMANCE (maximum 3 pages : approx ½ page for each principle – with a max. of 1 page per principle)

Principle 1	Consolidation of current PPA/SGA work to contribute towards the new Sustainable Development Goals (SDGs)		
1.1 At least 9 Country Programmes (CPs) have Programme Plans, Operational Plans or Country Strategies which focus on sector strengthening and integrated approach, to support the strengthening of the sector building blocks needed to deliver and sustain universal access to WASH.			
1.2 The Sanitation and Water for All (SWA) 4 'Collaborative Behaviours' are recognised and understood by SWA partners and partners are working to implement these to ensure effective use of development resources in support of sustainable water and sanitation for all.			
Risk**:**	*Moderate*	Impact weighting (%):	40%

Key Points - Summary of progress during the nine month extension
In line with the SDGs, WaterAid's global strategy 2015-2020 reflects our shift in approach from directly delivering WASH access, to a strategic refocus on influencing and supporting service providers across sectors to strengthen their systems and capabilities to deliver sustainable WASH. Under **result 1.1**, CPs have developed strategies and planning documents which embed and contextualise this global shift in the national context. All CP strategies have been completed and approved, including the pilot countries: Niger (pending sign-off), Rwanda and Transboundary (Sierra Leone and Liberia); this is a key step in their transition to fully-fledged CPs. South Asia region CPs have also developed five-year business plans for implementing the strategy, while CPs in East, Southern and West Africa regions have completed transitional one-year business plans, now being developed into full five-years plans (by 31 January 2017).

Detailed context analysis in each country has resulted in the prioritisation of sector strengthening and integrated approaches throughout these CP-level documents. All 18 CP strategies, including the 9 mentioned in the results framework, have included **sector strengthening as a strategic objective**. Similarly all 9 identified CPs (15 in total) are **prioritising integration** with other sectors (e.g. health and education) as a strategic objective, approach or key shift. This **overachievement** illustrates the organisational priority to contribute to achieving Global Goal 6 and universal access to WASH.

Under **result 1.2**, through our involvement with the SWA partnership, good progress has been made in building recognition and understanding of the 4 **Collaborative Behaviours** among SWA partners and the broader WASH sector. There is also evidence that work to implement these is underway, with ongoing efforts needed to maintain momentum and increase scope. Under WaterAid's leadership, the CPWG (formerly CPTT) of SWA has continued to ensure the Behaviours are embedded into ongoing political dialogue at global and country level (including meetings in July and December). The CPWG has led work to build broader **awareness and understanding of the Behaviours**, for example through a roundtable discussion (convened by WaterAid with support from UNICEF and USAID) at the Kampala WASH symposium in June; at

the [6th Africa Water Week](#) in July; and at the [UNC Water & Health Conference](#) in October where we co-convened a session. Dialogue is also slowly gaining momentum at country-level, including in Madagascar and Kenya (who shared their experiences at the UNC Session).

WaterAid and other CPWG members have also contributed to efforts to further embed the Behaviours in SWA activities and messages, particularly around the forthcoming SWA Sector and Finance Ministers Meetings. A framework for action around the Behaviours was adopted by the SWA Steering Committee in December. In addition, WaterAid is actively supporting work to develop a mechanism for **monitoring and reporting on the Behaviours**, including hosting a meeting in November to refine indicators. As anticipated, operationalising the Behaviours at country level remains a challenge due to entrenched incentives, structures, and ways of working. There is therefore value in documenting and sharing success stories and those where progress has been slower, to facilitate learning and ensure accountability for behaviour through peer review. Experiences shared through fora such as the UNC conference were particularly valuable, and the consolidation of further case studies will be a priority in 2017.

Principle 2	Organisational effectiveness		
*2.1 All 4 regions will have participated in a writeshop to develop core **Planning, Monitoring, Evaluation and Reporting** (PMER) processes for WaterAid. In 2 regions, at least 100 staff will have had a full training on the new PMER processes, capacity building in M&E and use of Project Center, resulting in at least 60% of staff trained feeling more confident and knowledgeable about WaterAid's M&E systems and processes post training. These 2 regions will have Project Center in place.*			
*2.2 10 CPs provide evidence of the use of tools and methods to support **adaptive programming** approaches. An approach to logframe training will incorporate sessions on using the logframe as an adaptive programme management tool. In addition, at least 3 WaterAid Members sign up to the new **Programmatic Approach**.* [N.B. our processes now refer to results frameworks instead of logframes]			
Risk**:**	*Moderate*	Impact weighting (%):	30%

Key Points - Summary of progress during the nine month extension
Building on progress made under the PPA, we have overachieved for both results under principle 2. The **PMER** project enables an organisational shift, increasing CP accountability for programme/project identification, funding, design, effective implementation and reporting. It also supports and embeds **adaptive programming** approaches. Under **result 2.1**: in May, 35 staff (from UK, 8 CPs, 4 Regions) participated in a **PMER Writeshop** to develop the first draft of the **PMER Core Procedures**: minimum requirements for PMER at CP level. Following extensive consultation, the final version was approved in September and the system updated.

Regional Training of Trainers (ToTs) were conducted in **3 regions** (Southern Africa, South Asia and West Africa). Following the ToTs, 4 CPs (Zambia, Madagascar, Pakistan and Nepal) have delivered their own, context specific trainings. The training combined Core Procedures theory with practical sessions. Participatory methods were used to develop the training capacity of the participants. We have significantly overachieved against our target of 100: **153 staff were trained** in the period (93 through regional trainings and 60 though CP trainings). Against a target of 60%, the results of pre- and post-training assessment for the regional ToTs include:

- 71% of participants showed improvement in '*confidence in talking to others about the PMER Core Procedures*' and rated this as at least a 4 (on a scale where 1 = none, 5 = very strong)
- 76% showed an improvement in their '*ability to use Project Center in their daily work*' and rated this as at least a 4 (see scale above).

The assessment will be repeated in the next 3-6 months to assess sustainability. The remaining country level trainings will be completed by 31 March 2017 with implementation from 1 April.

For **result 2.2**, the use of **better adaptive management practices** is demonstrated through our new annual planning processes, outlined in the Core Procedures. 19 CPs have conducted

external and internal context analysis highlighting changes in the political, social and WASH context in their countries and the impact on the delivery of our work in the year ahead. Also built into the Core Procedures, and a component of the ToT PMER trainings is the **programme performance reflection process** which links progress and performance with the ability to analyse, respond and adapt to changing context, enabling us to regularly re-visit and update programme/project results frameworks. Work on WaterAid's approach to **PMER of advocacy** has placed emphasis on adaptive programming. In September a [workshop](#) to develop a "Common Approach" was held in Malawi with staff representatives from UK, all 4 regions and 2 other members. Flexibility, adaptation and more frequent cycles of reflection were identified as key components. In December the Global Executive (Chief Executives of WaterAid members and UK Directors) approved this document, ensuring federation-wide commitment to implementing the approach. Learning from a wide-range of studies/sources have informed CP strategy and programme development (see result 1.1), including CP Evaluations and **Post Implementation Monitoring Surveys (PIMS)**. For example, previous PIMS have highlighted low levels of handwashing facilities and CPs are addressing this with a strategic focus on hygiene. PIMS continue with surveys underway in Zambia and Mozambique and plans to conduct surveys in Nigeria and Pakistan. All 7 WaterAid International federation members are already on board with the **Programmatic Approach** in principle. The new incoming Executive Director of WaterAid International will assess the best way forwards in formalising the programmatic approach and other programme standards across the federation.

Principle 3	Diversification and innovation		
3.1 A model of **social cost benefit analysis** in WASH interventions is developed and piloted with staff and partners in one (DFID focus) CP.			
3.2 A **Beneficiary Feedback (BF)** mechanism and staff and partner training package is developed and piloted in at least 4 CPs.			
Risk**:**	*Moderate*	Impact weighting (%):	30%

Key Points - Summary of progress during the nine month extension
Under Principle 3 we achieved both results by **piloting approaches to: analysing social value** and **community feedback,** generating important learning. For **result 3.1**, we undertook a baseline study in Rwanda in August to quantify the anticipated benefits for stakeholders in an integrated WASH programme focused on health facilities and maternity services. 26 individuals were trained in **Social Return on Investment (SROI)**, including staff from Rwanda, Uganda, Tanzania as well as partner and UK staff. Social valuation was identified as the best method to capture meaningful yet intangible outcome change. This training (led by the New Economics Foundation) led to the development of a comprehensive programme baseline and building of an economic forecast model, based on anticipated targets. We found that by reaching 31,776 adults, 5,254 children, 60 health facility staff and 3,414 pre- and post-natal women, a SROI of 1:3.16 could be achieved over the first 2 years of the programme i.e. for every £1 invested in the project, £3.16 would be generated in the form of social and economic value. This represents a healthy return; a comparison with figures from a SIWI/WHO [report](#) 'Making Water a Part of Economic Development' (2005), shows the return on investment for the health sector, individuals, households and agriculture was between 1:3 and 1:34 (depending on region). We found the top 3 outcomes for community adults and children were: avoidance of WASH related illness (44% of the outcome value), improved social well-being (16%), and avoided economic loss related to poor WASH (14%). The full report will be shared separately with DFID.

Two other CPs are planning further work in this area: Uganda is implementing an SROI evaluation February-April 2017 and Tanzania is planning a cost benefit study. Studies of this nature will enable us to better define aspects of our **value for money approach**. By placing the stakeholder

at the heart of the analysis and the use of social valuation techniques, we are maintaining a focus on ensuring value for money is value for both beneficiary and donor.

We adapted our approach to **result 3.2** and, rather than developing one standardised beneficiary feedback mechanism centrally, we encouraged CPs to propose their own context and needs specific ideas, to compete for internal seed funding. Following a selection process, pilots were conducted in 4 countries (Nepal, Bangladesh, Sierra Leone, Tanzania). Across the pilots, a key finding was that community members were engaged and interested in the mechanisms and valued having their experiences and voices heard. Another finding was that some local partners were initially wary and were concerned that this would become a way for WaterAid to police their work. Close engagement with our partners allayed these fears but a key learning is the importance of building in discussions with partners early in the process.

All 4 CPs plan to continue using the mechanisms they piloted and are embedding them in their M&E frameworks. Nepal is applying their approach to their UK Aid Match-funded project. The pilots will now serve as models to other CPs developing their own community feedback mechanisms and lessons will be used to inform WaterAid's **community feedback guidance** (to be completed in February 2017). A key session was integrated into the PMER regional ToTs (see result 2.1) which raised awareness of WaterAid's **Accountability Framework** commitments and encouraged CPs to reflect on how they could improve accountability to communities by building on existing initiatives and integrating into M&E frameworks. In December, to continue the organisational discussion about community feedback, lessons and experiences from the pilots were shared across WaterAid through a webinar attended by 49 staff, representing all 4 regions as well as UK teams. We also plan to share learning externally with the sector (e.g. through a blog, or the Bond Beneficiary Feedback Learning Group).

DevTracker Link to Business Case:	https://devtracker.dfid.gov.uk/projects/GB-1-202621/documents
DevTracker Link to Log frame:	https://devtracker.dfid.gov.uk/projects/GB-1-202621/documents