



# Webinar Sustainability Assessment Tools



# Background to the Webinar

- Impressive gains in WASH coverage
- Poor levels of functionality
- Scrutiny of aid budgets
- Progress towards focusing on services and greater accountability
- Development of tools

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6 September 2013 Last updated at 15:49

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## Viewpoints: Should foreign aid be spent at home?

COMMENTS (318)



Prime Minister David Cameron has vowed that the UK will "lead the world" in humanitarian aid to Syrian refugees. At a time of economic austerity, should foreign aid be spent at home?

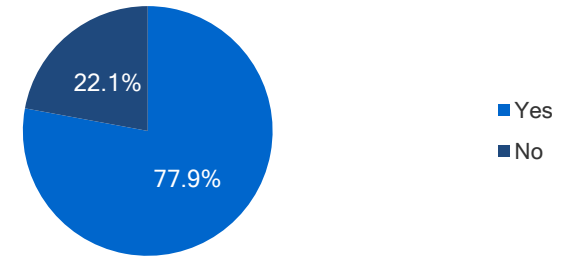
Related Stories



# People are using tools !

- Survey Monkey: 85 respondents
- Predominantly NGOs
- 62% respondents using their own tools
- Need to document, disseminate
- Triple S' mapping - Webinar

Do you or have you used a tool when designing, implementing, or monitoring WASH projects/programmes to ensure their sustainability?



At what stage of the development of a new programme would you like to be supported?

Answer options	Response percentage
Funding	13.8%
Policy and strategy	28.7%
Planning	11.5%
Regulation	2.3%
Programme/ project design	41.4%
Implementation of infrastructure	42.5%
Monitoring and evaluation	52.9%
Capacity support to service providers	43.7%
Service provision	20.7%
Learning and research	43.7%

# Our panelists

- Matteus van der Velden,  
**UNICEF Mozambique**
- Agnes Montangero- **Helvetas**
- Heather Skilling- **USAID**
- Julia Boulenouar-  
**Aguaconsult**



# What's in a tool? Mapping criteria

1. Uses comprehensive framework to assess multiple aspects of sustainability
2. Applied at operational level
3. Has track record of being applied
4. Produces objective and quantifiable “result”

Mapping sustainability assessment tools to support sustainable water and sanitation service delivery



Julia Boulenouar, Ryan Schweitzer and Harold Lockwood

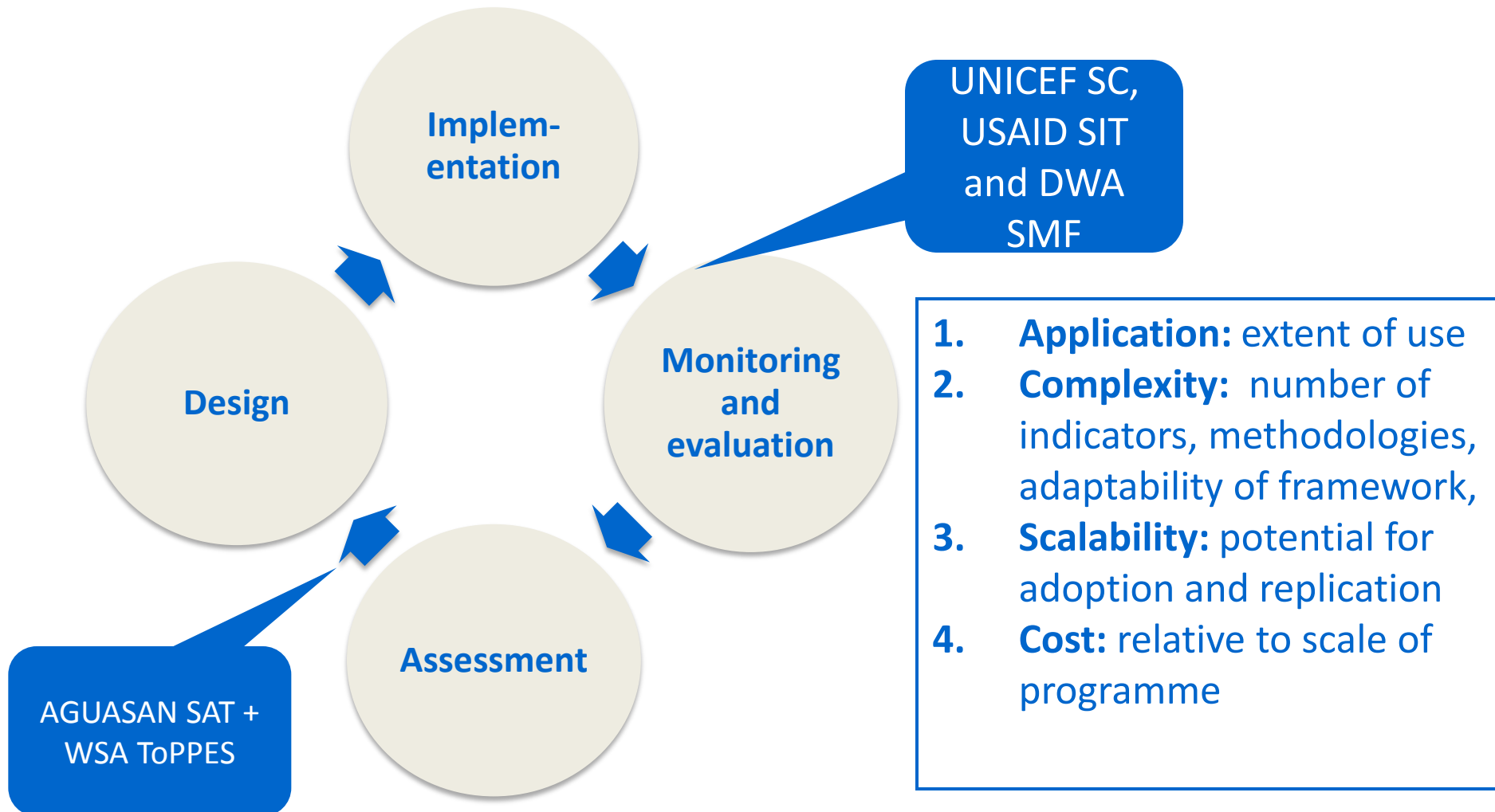
Aguaconsult

October 2013

# Overview of tools mapping

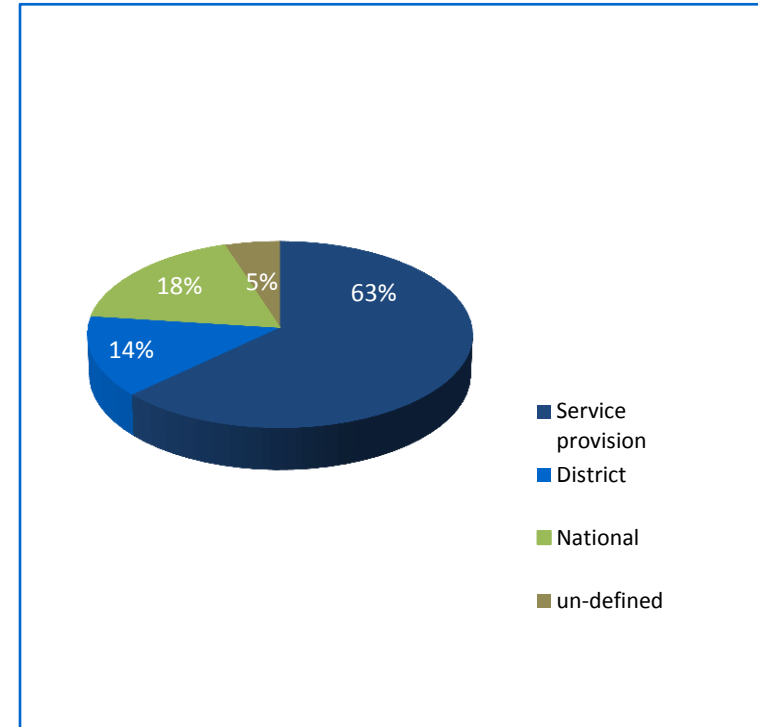
Organisation	Tool	Intended frequency	Country experience
<b>AGUASAN (network)</b>	Sustainability Assessment Tool	Initial detailed assessment then 3-4 years	Kosovo, Haiti, Nepal, Mali
<b>Dutch Water Alliance</b>	Sustainability Monitoring Framework	Unspecified	Ghana, Uganda
<b>UNICEF</b>	Sustainability Check	Annual during programme implementation	Mozambique (plus 3 other)
<b>USAID–Rotary Int’l</b>	Sustainability Index Tool	3,5,and 10 years following implementation	Philippines, Ghana, DR (Kenya and Tanzania)
<b>Water and Sanitation for Africa</b>	ToPPES	Annual	Ghana

# Stages of application varies



# Findings: commonalities

- **Scope:** Common understanding of dimensions to sustainability
- **Focus on provision level** – limited attention to national enabling environment or local government capacity





# Findings: Complexity

	Tool Framework			Data Collection Methods				
	Sustainability Factors	Indicators	Sub-Indicator	Focus Group	Key Informant	Household survey	Technical Audit	Document Review
AGUASAN-Sustainability Assessment Tool	6	22	110		X		X	X
DWA-Sustainability Monitoring Framework	5	45+	N/A	X		X		X
UNICEF-Sustainability Check	6	26	59	X	X	X	X	
USAID/RI-Sustainability Index Tool	5	14-23	56-92	X	X	X	X	X
WSA-ToPPES	7	23	92	X	X		X	

# Findings: Scalability

- Linked to complexity and clarity of process
- Adaptation and 'contextualisation' is important
- Examples of uptake/scaling up in almost all cases



# Findings: Costs

- UNICEF and USAID-Rotary: ~\$50 - \$60,000 = 1 – 3% of programme funding
- AGUASAN: ~\$2 - \$20,000
- Adapting or contextualising tools incurs one-off cost of between 25 – 35%

REMARKS	DATE	SPNO	ST
paid	31/10/11	46	7
<del>Cumulative</del> \$310083	31/10/11	47	1
27/10/11	31/10/11	35	3
	31/10/11	36	2
	31/10/11	37	1
Attitude	31/10/11	2	
paid	31/10/11	14	
paid	31/10/11	18	
paid	31/10/11	42	
paid	31/10/11	16	
paid	31/10/11	20	
paid	31/10/11	25	
Shortage is paid	paid		
<del>Cumulative</del> \$310090 28-10-11			

# Findings: Impact

Positive impacts :

- Changes to programme design
- Remedial actions to improve interventions

BUT

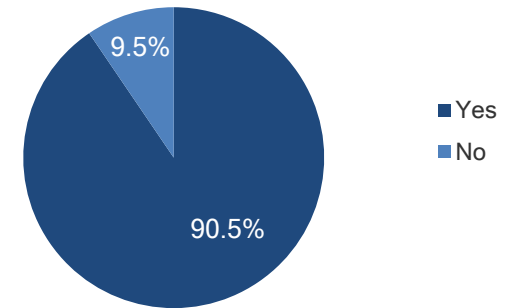
- Tools remain '*projectised*'
- Accountability remains primarily to the donor and/or implementer
- Results and outputs not immediately relevant or useful for permanent institutions



# Conclusion

- Emergence of cluster of sustainability assessment tools
- Welcome trend, but value in considering an “off the shelf” tool or an open source database
- Support strong capacity and systems, build the enabling environment

Would you like access to new tools to ensure greater sustainability of the WASH programmes?



At what stage of the development of a new programme would you like to be supported?

Answer options	Response percentage
When developing your WASH policy and strategy	43.30%
When establishing funding guidelines or aid instruments	30.00%
<b>At the programme design stage</b>	<b>70.00%</b>
During implementation	43.30%
For on-going monitoring	61.70%
For post-implementation monitoring	46.70%
For service delivery	36.70%

# Thank you!

**Julia Boulenouar**

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**Full report:**

**[http://www.waterservicesthatlast.org/media/publications/mapping\\_sustainability\\_assessment\\_tools](http://www.waterservicesthatlast.org/media/publications/mapping_sustainability_assessment_tools)**

# *Sustainability Checks*

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*Six years  
annual sustainability audits  
One Million Initiative, Mozambique*

**Samuel Godfrey**  
**Matteus van der Velden**  
**Americo Muianga**  
**Anglina Xavier**  
UNICEF

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# The One Million Initiative

Who	Government of Mozambique, Government of the Netherlands, UNICEF
What	Sustainable access to and use of improved drinking water, sanitation facilities and improved hygiene behaviour
Where	18 districts in the provinces of Sofala, Manica and Tete in Mozambique
For Whom	1 million people living in rural areas
When	7 years (2007-2013)
Budget	US \$ 42.8 million (GoN 66%, UNICEF 18%, GoM 13%, communities 3%)





# Water & sanitation infrastructure examined

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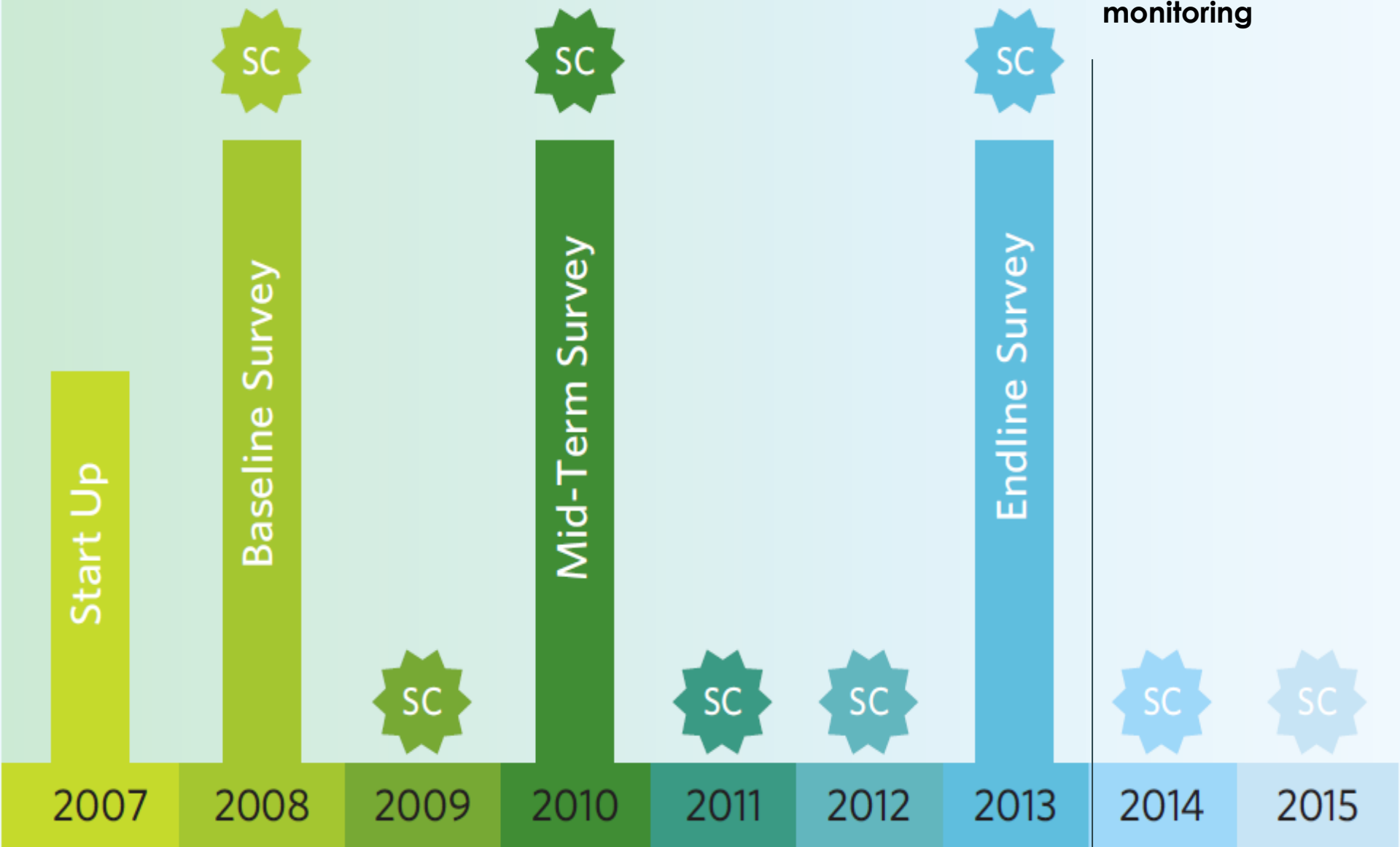
**Boreholes with Hand Pumps  
(‘Water Points’)**




**Open Defecation Free (ODF)  
Communities (triggered by CLTS)**

**Concurrent implementation monitoring**

**Post-implementation monitoring**



 Sustainability Check

*Major studies and evaluations in the One Million Initiative during and after programme completion*

# Design of check

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- ▶ Statistical design:
  - ▶ adapted from Howard *et al* (2004)
  - ▶ Stratified Sample: 10% sample in 50% of districts
- ▶ Survey Tools:
  - ▶ District focus group discussion
  - ▶ WP survey
  - ▶ ODF community survey
- ▶ Data scoring, analysis
  - ▶ Weightage for each sustainability dimension
  - ▶ Composite of these indicators categorised

	Very Good	Good	Fair	Poor	Very Poor
Percentage	>90%	76-90%	51-75%	51-75%	<50%

# Sustainability: Outcomes & Determining Factors

Water & Sanitation  
Combined

Institutional (10%)

Social (40%)

Technical (30%)

Financial (10%)

Sanitation (10%)



Overall sustainability score

Separate Water & Sanitation Indices

Institutional (10%)

Social (40%)

Technical (30%)

Financial (10%)

Sanitation (10%)

ODF Status (15%)

Latrine Quality  
(50%)

Handwashing  
Station & Supplies  
(25%)

Institutional (10%)

2008

2009

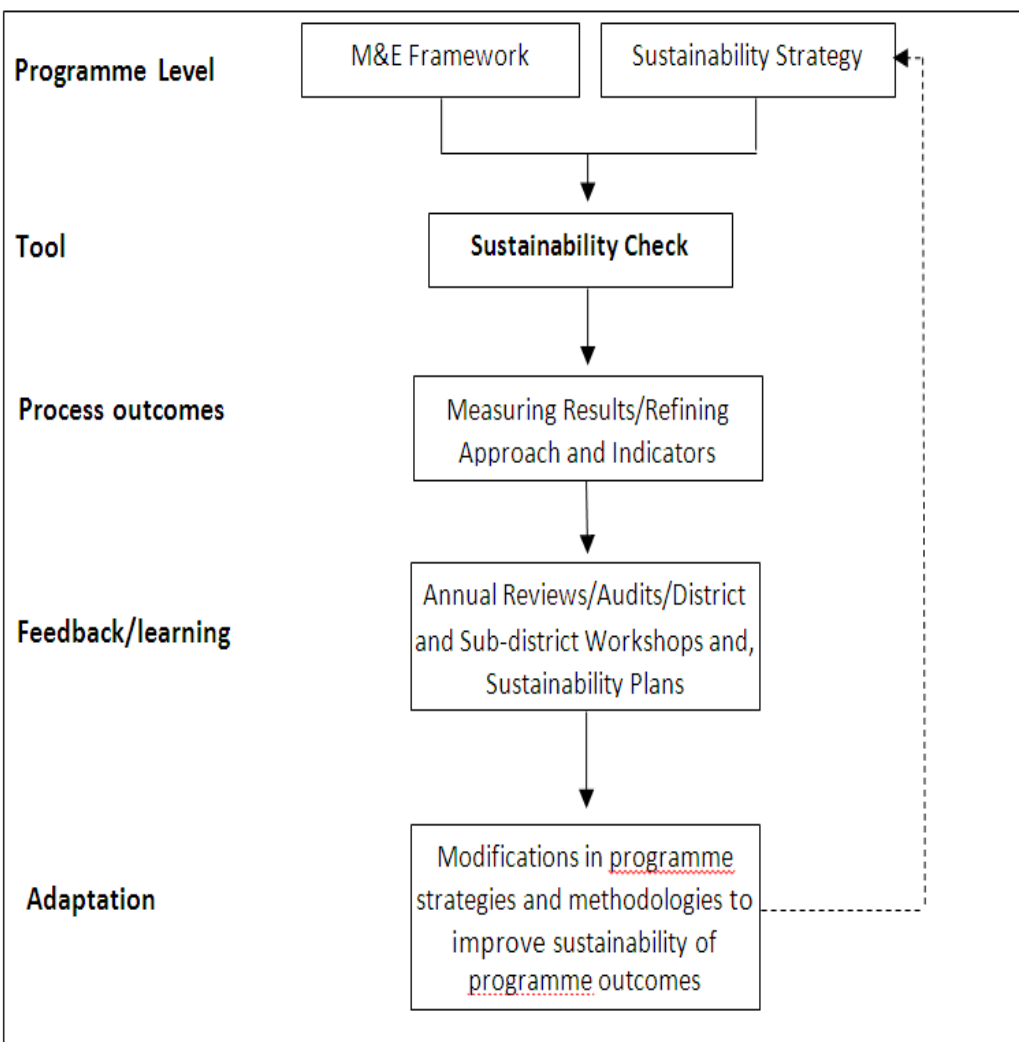
2010

2011

2012

2013

# Feedback loop

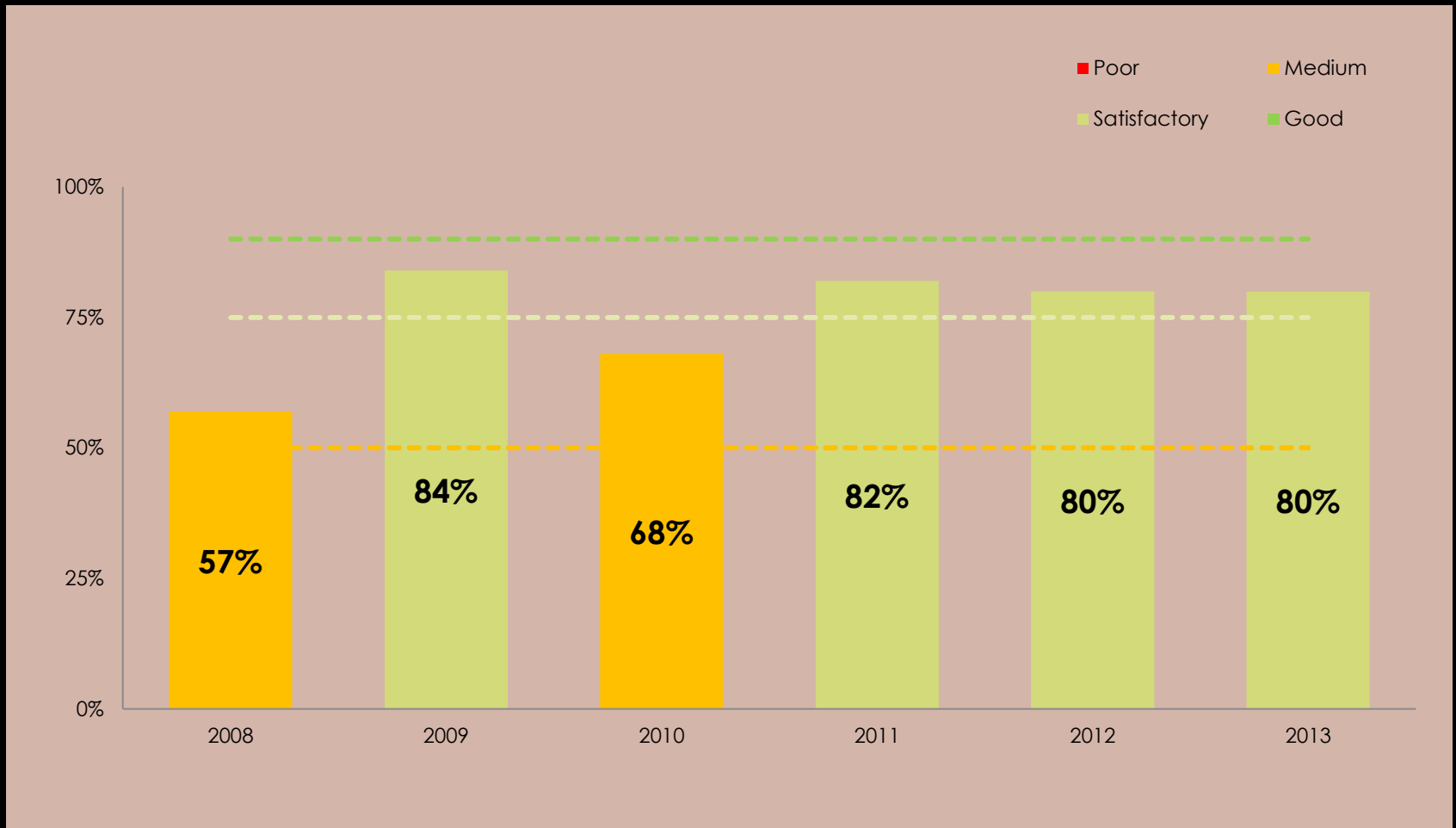


- ▶ November year X: Sustainability Check Management Memo/Audit statement
- ▶ December year X: Provincial planning meeting for next year
- ▶ January year Y: Social mobilization NGO planning meeting
- ▶ February year Y: Programme Annual Review Meeting
- ▶ May-August year Y: District and Administrative Post Sustainability seminars

2008		
2009		
2010		
2011		
2012		
2013		

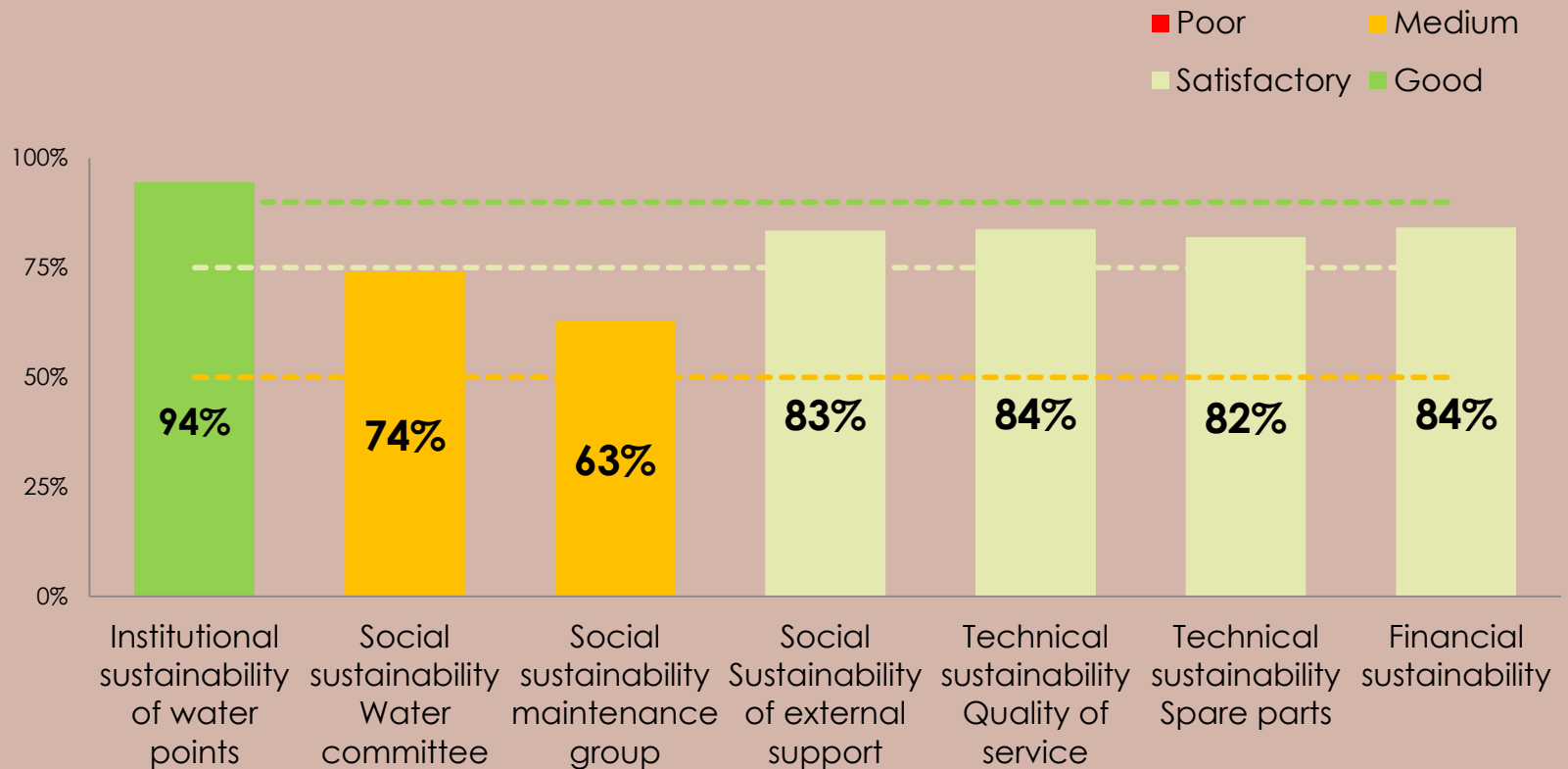
# Sustainability Check Results

## Overall Programme sustainability 2008-2013



# Sustainability Check Results

## Water supply 2013



# Sustainability Check Results

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Functionality of water points	%	n
No problem	84%	67
Functional with minor problems	9%	7
Not working due to broken handle	2.5%	2
Not working due to broken rods	2.5%	2
Not working due to other issue	2.5%	2

## Water supply 2013 - Functionality

Duration of last breakdown	%
≤ 1 day or never	65%
1-2 days	5%
3-5 days	3%
6-7 days	6%
More than 7 days	21%

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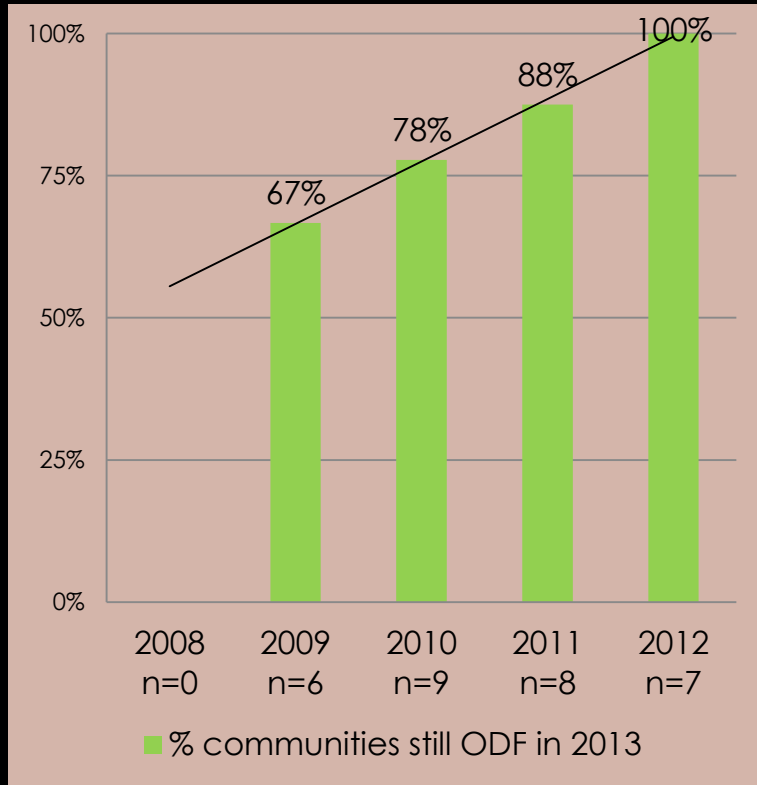
# Sustainability Check Results

## SANITATION 2013

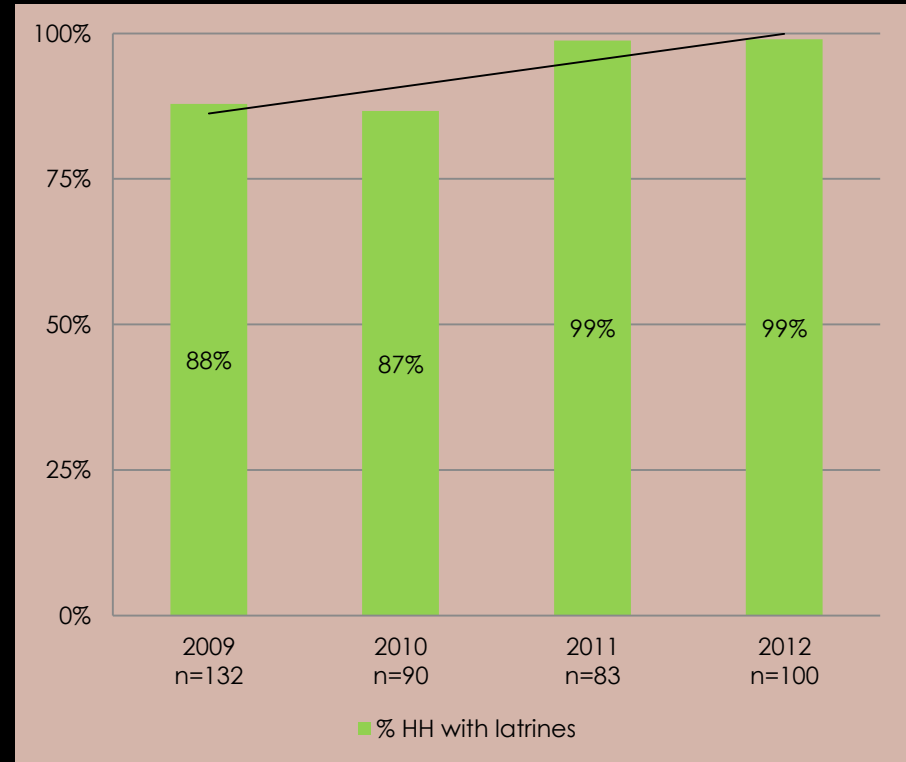


# Sustainability Check Results

## Zero OD in 2013 by ODF declaration year



## Year of ODF declaration and % households with latrines



# Lessons learned

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- ▶ Annual “snapshot”
  - ▶ on the sustainability and functionality (not continuous, no census)
  - ▶ effective bottleneck analysis instrument
- ▶ Advocacy
  - ▶ Tool to improve planning and programme implementation
  - ▶ Fostering buy-in from Government
- ▶ Harmonize approaches
  - ▶ Off-the-shelf tool required to enable integration into government system (using innovative technology)

**Thank  
you!**



**WC**

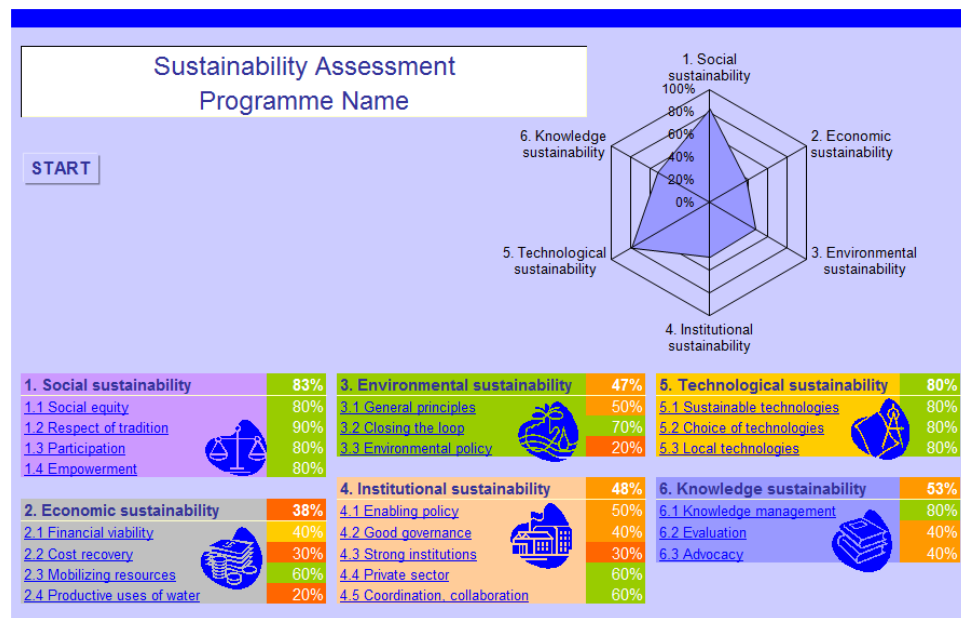


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## The AGUASAN Sustainability Assessment Tool

A tool to support the reflection among main stakeholders on priority actions to improve sustainability of WASH services

Webinar, 4<sup>th</sup> March 2014



## Objective and Background

[Objective and Background](#)

[The Tool](#)

[The example of Kosovo](#)

[Added value](#)

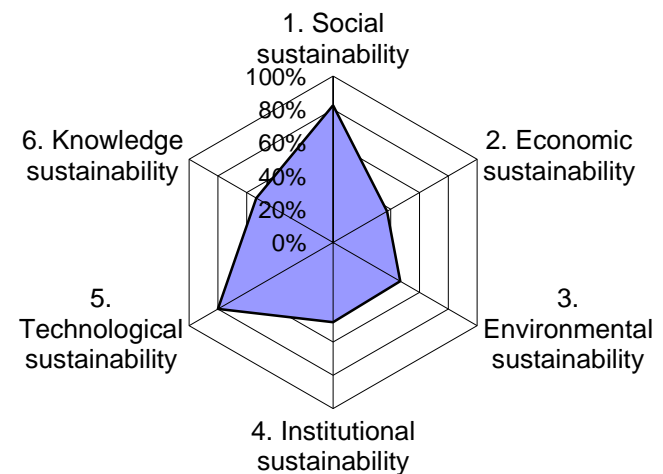
[Challenges and way forward](#)

### Why such a tool?

- To support the sustainability assessment of WASH services...
- ...by considering social, economic, environmental, institutional, technological and knowledge issues

### Previous applications of the tool

- Detailed assessment in Kosovo: review of the policy framework + analysis of 50 water & sanitation schemes (Skat/SDC and local partners, 2010)
- Rapid assessment within the frame of project evaluations in various countries: Haiti, Nepal, Mali, Benin between 2011 and 2013



## The AGUASAN sustainability assessment tool

Obj  
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Sustainability Assessment

1. Social

Programme Name

START

<b>1. Social sustainability</b>	<b>83%</b>	<b>3. Environment</b>
1.1 Social equity	80%	3.1 General principles
1.2 Respect of tradition	90%	3.2 Closing the local
1.3 Participation	80%	3.3 Environmental
1.4 Empowerment	80%	
<b>2. Economic sustainability</b>	<b>38%</b>	<b>4. Institutional</b>
2.1 Financial viability	40%	4.1 Enabling policy
2.2 Cost recovery	30%	4.2 Good governance
2.3 Mobilizing resources	60%	4.3 Strong institutions
2.4 Productive uses of water	20%	4.4 Private sector
		4.5 Coordination

### 1 Social field

#### 1.1 Social equity

Are the specific needs and potentials of all groups: women, men, children, elderly, marginalized, disabled, the different religious and ethnic groups, etc. addressed?

#### Evaluation

80



#### Indicators

- Are the specific needs and potentials of all groups: women, men, children, elderly, poorest, marginalized, disabled, the different religious and ethnic groups, etc. identified?
- Are mechanisms planned/effectively implemented to target resources to meet the needs of the poorest and marginalized?

#### Justification

#### Actions

When Who

Actions	When	Who

## **The example of Kosovo**

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### **Coverage and Sustainability Study of Rural Water Schemes in South Eastern Kosovo**

*Skat/SDC and local partners, 2010*

#### **Assessment rationale**

- The SDC Rural Water and Sanitation Support Project has implemented more than 50 schemes between 2005-2010
- But sustainability of the schemes has been put into question
- Therefore the sustainability of the water and sanitation schemes implemented so far has been assessed
- In particular the appropriateness of the institutional/legal framework
- The results have been used to enable the key stakeholders to design sustainable strategies for the planning, implementation, management, operation and maintenance of rural water and sanitation systems in Kosovo

[Objective and Background](#)

[The Tool](#)

[The example of Kosovo](#)

[Assessment rationale](#)

[Approach](#)

[Main outcomes](#)

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[Challenges and way forward](#)



## The example of Kosovo

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[Assessment rationale](#)

[Approach](#)

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[Added value](#)

[Challenges and way forward](#)

### Approach

- Using the tool as red threat
- Review of the legislative framework
- A series of semi-structured interviews
- Field observations of 27 rural water systems and 15 rural sanitation schemes
- Analysis and synthesis by the main stakeholders (workshop with Ministries, municipalities, water utilities, communities)
  - Identification of weaknesses and strengths
  - Elaboration and prioritization of actions to take

### Link to national stakeholders / monitoring system

- National stakeholders involved in the assessment (key informants) and in assessing and taking decisions on options
- National indicators part of the assessment (e.g. tariff setting guideline, water source protection directives, cost recovery, etc.)

## The example of Kosovo

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### Main outcomes

The conclusions and recommendations have been discussed with the key stakeholders. On the basis of these discussions, consolidated recommendations have been made on selected issues.

### What has changed in the sector on the basis of the assessment?

- **Increased accountability** towards municipalities: New law on Publicly Owned Enterprises amended (Regional Water Company's board must comprise 50% municipalities )
- **Increased equity** (tariffs have been leveled within service areas, whereas before rural inhabitants had to pay more than urban inhabitants in certain areas)
- **Improved protection of water sources**: Ongoing efforts to establish protection zones (but progress is impeded mostly by property issues) & several wastewater treatment systems in development
- **Improved capacity/knowledge sharing** related to the management of rural water supply systems: Ongoing efforts to create a centre of competence

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## Added value

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- Support **systematic assessment** of *the enabling environment* for sustainable WASH services delivery
- Support **process / reflection** among main stakeholders on
  - what are **weaknesses and strengths** with regard to the enabling environment and
  - what **actions** need to be taken to improve sustainability:  
**consensus on strategies / jointly developed action plan**

[Objective and Background](#)

[The Tool](#)

[The example of Kosovo](#)

[Added value](#)

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## Challenges and way forward

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[Added value](#)

[Challenges and way forward](#)

- Detailed assessment: requires **resources** (local expertise, time) even though different levels of details are possible
- Needs to be **adapted to the local context** and the specific sustainability assessment objectives
- Kosovo assessment: **project-driven**, designed to assess a model as basis for scaling up and not as basis for regular monitoring

### Future of the tool?

- The tool is currently being used for project evaluations in various countries (rapid assessment/project-driven)
- How to better link the tool with **permanent (national) frameworks**?
- Kosovo: possible integration of certain elements in **Water & Waste Regulatory Office**'s responsibilities (regular monitoring)?

**THANK YOU VERY MUCH  
FOR YOUR ATTENTION!!!**

More information...

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# Questions to the panelists

- Can you add additional thoughts on how the tools can be integrated into a larger process?
- How can these tools be used to help build the ability of local governments and stakeholders to fulfil their roles?
- What have you identified through your work as the specific next steps needed to improve sustainability of sanitation?

# Next steps

- Next webinar
- E-discussion on RWSN D-groups?
- Fill in the Survey Monkey to tell us what you think about tools

<https://www.surveymonkey.com/s/WN3CYX9>

# Thank you!

**Julia Boulenouar**

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**Full report:**

**[http://www.waterservicesthatlast.org/media/publications/mapping\\_sustainability\\_assessment\\_tools](http://www.waterservicesthatlast.org/media/publications/mapping_sustainability_assessment_tools)**