



Oxford Policy Management



Strengthening evaluation
effectiveness and impact

Evaluation of the DFID WASH Results Programme: Mid-term evaluation findings

Internal webinar for Supplier staff

June 2017

Purpose of this webinar

- Ensure Supplier Staff are **aware of the key findings and lessons from the midline evaluation**, and have an opportunity to ask clarifying questions
- Give Supplier staff (especially country teams) an **opportunity to learn more about the approach chosen by different Suppliers**, in order to broaden learning on PBR
- Obtain an update on **progress regarding the recommendations made** in the Evaluation Report

Structure of this webinar

1. Background

- Brief overview of the WASH Results Programme
- Evaluation aims & activities

2. Findings on programme design

- Comparing Output Phase activities
- Comparing verification approaches

3. Findings on the Output Phase

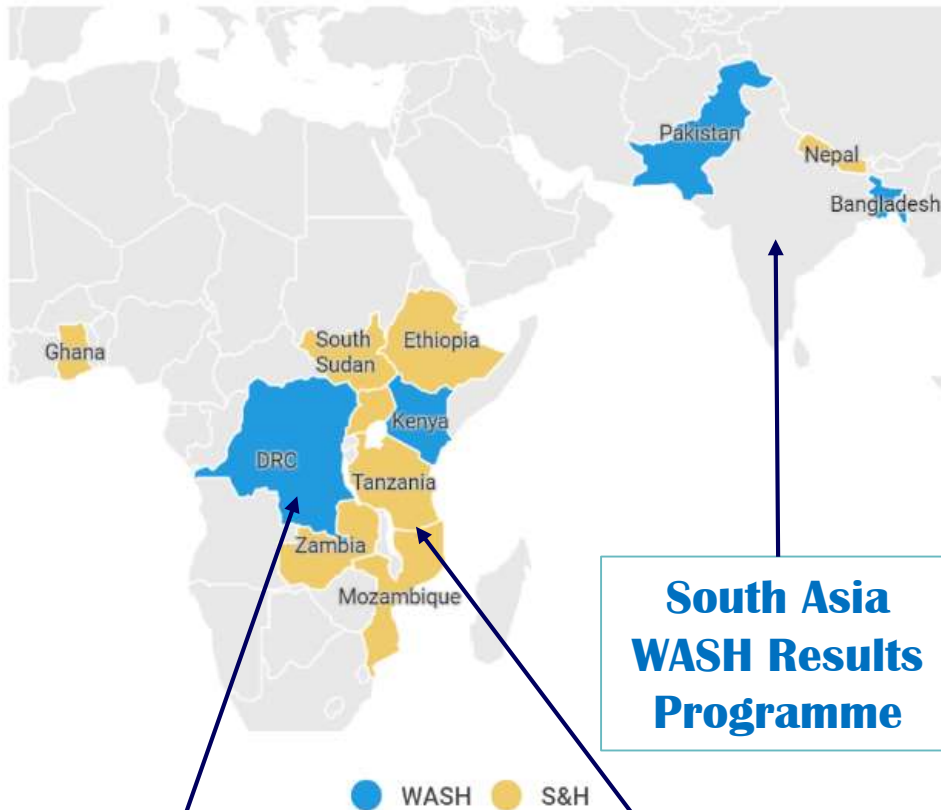
- How were output targets met
- How were monitoring systems strengthened
- How was risk managed

4. Revisiting the recommendations



Background

The WASH Results Programme



- Improving water, sanitation, and hygiene services for 4.5 million people
- Over 4 years (2014 to 2018)
 - Outputs by Dec. 2015 (*MDG deadline*)
 - Outcomes by Mar. 2018
- Delivered by three NGO consortia
- Across 12 countries



**Sustainable
Sanitation and
Hygiene for All**

Aims of the evaluation

- **Primarily for learning purposes**, namely to assess:
 - Whether the programme successfully achieved its stated objectives;
 - The influence of programme design, including the PBR modality, on this achievement; and
 - Lessons for applying PBR in WASH programming going forward.

Evaluation questions

Covered by the Midline

- **Relevance** of programme design (theory of change)
- To what extent were the **verification systems** fit-for-purpose (relevance and efficiency)
- Which **outputs** were achieved (those paid for, and those outside of the PBR framework)
- In what ways did the **PBR modality** affect implementation

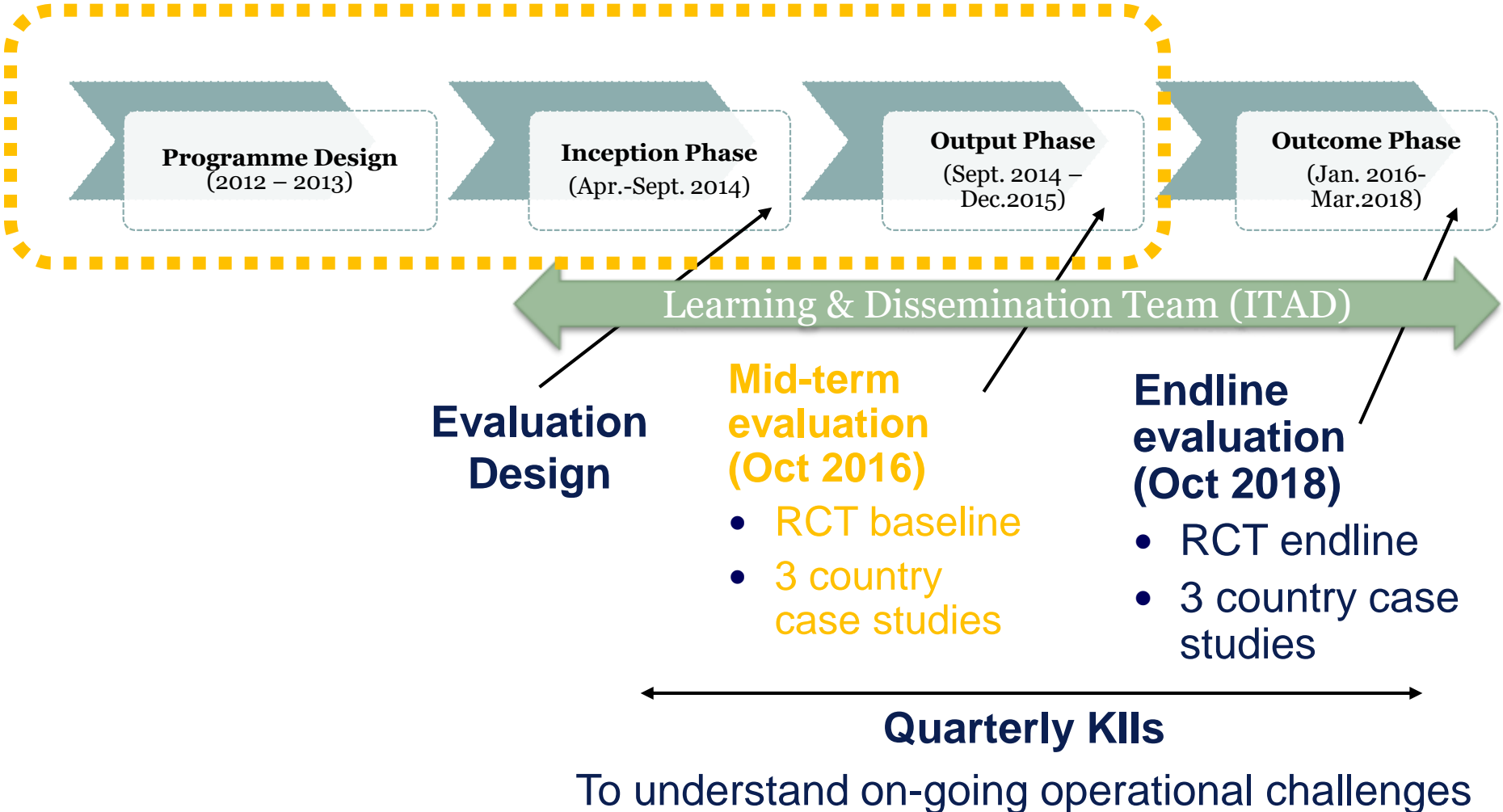


Covered by the Endline

- Which **outcomes** were achieved (those paid for, and those outside of the PBR framework)
- In what ways did the **PBR modality** affect outcomes
- **Cost-effectiveness** of programme activities
- Likelihood of **sustainable and equitable outcomes**
- Likelihood of health and non-health **impacts**

Evaluation activities

Two rounds of data collection:



Pausing for questions!



*Questions on the
evaluation design?*

**Please type them into
the comment box**



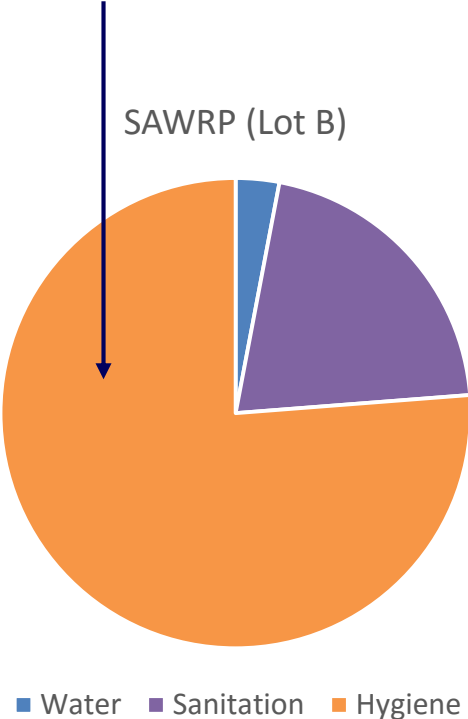
Programme design



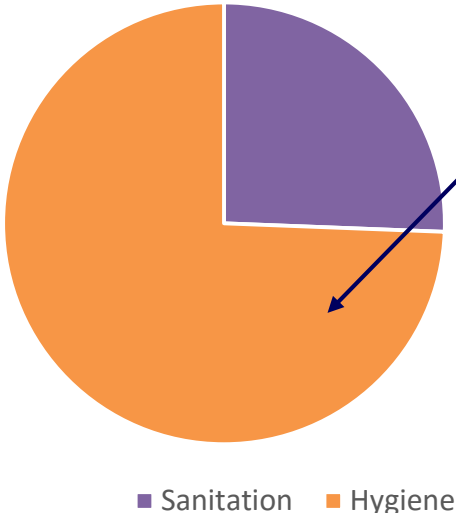
Comparing Output Phase activities

Different WASH activities – at varying scales

7m beneficiaries
across 2 countries
(30% in communities,
70% in schools)



SSH4A (Lot B)

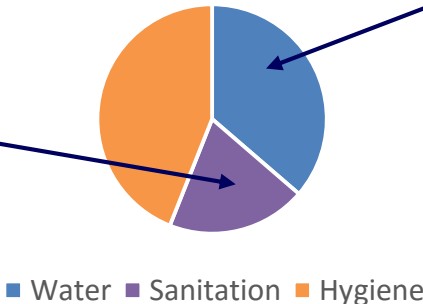


7.8m beneficiaries
across 8 countries
(all in communities)

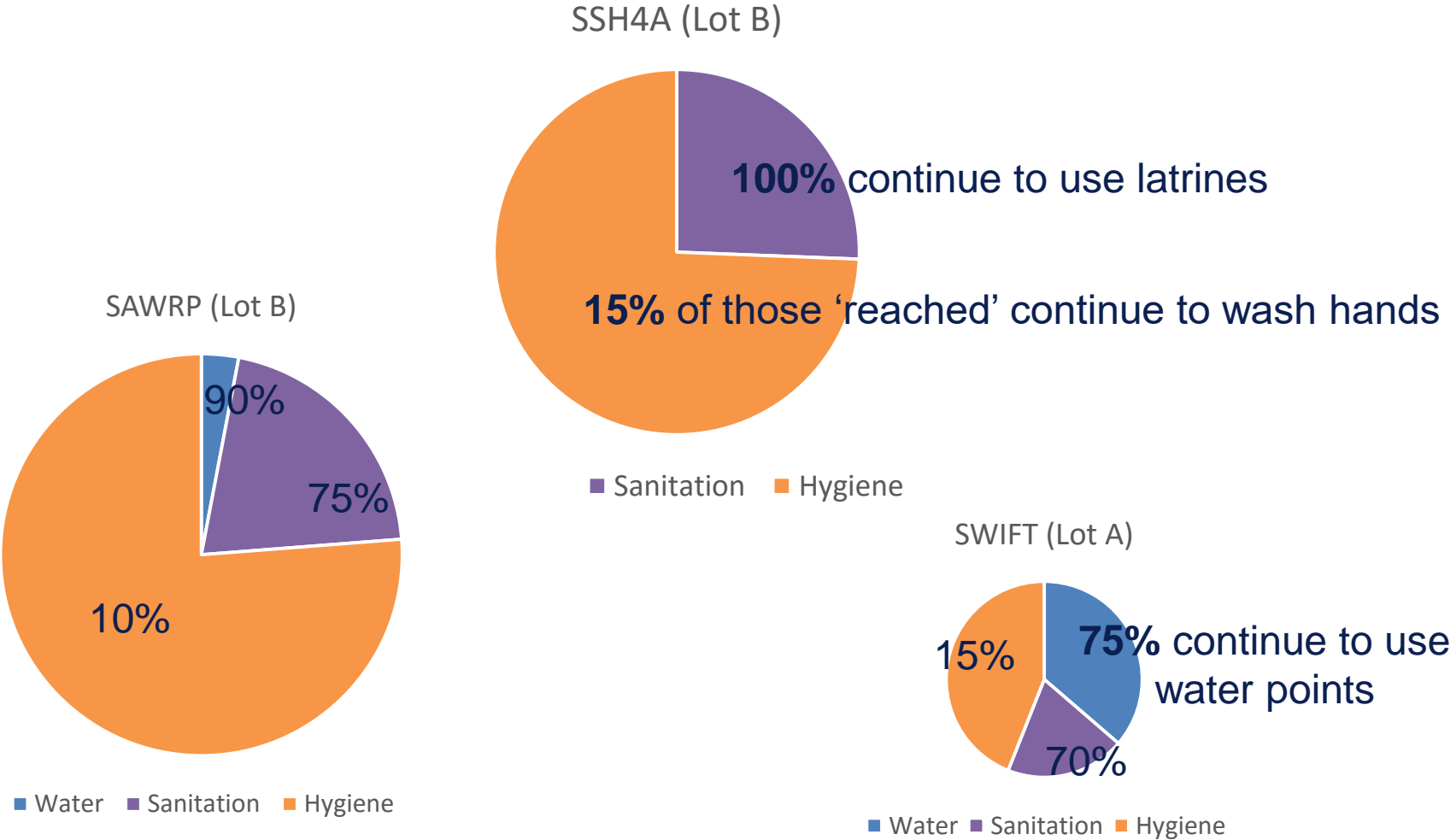
800k beneficiaries
across 2 countries
(70% in DRC)

SWIFT (Lot A)

450k beneficiaries
across 2 countries
(95% in DRC)



Different outcome ambitions



Black box of PBR – huge variety of implementation activities

Largely tried & tested approaches = expansion of existing programmes

	Water	Sanitation	Hygiene
Rural	Drilling and rehabilitation of boreholes Solar-powered water pumps Water point as ODF reward	CLTS Some implemented through government programmes / staff Sanitation marketing Subsidised toilet slabs	Door-to-door hygiene promotion Mass-gathering hygiene promotion Hand-washing in schools
Urban	By utility Water supply provision through a utility	Toilet social enterprise model	Radio-based hygiene promotion

Comparison of monitoring activities (Output Phase only)

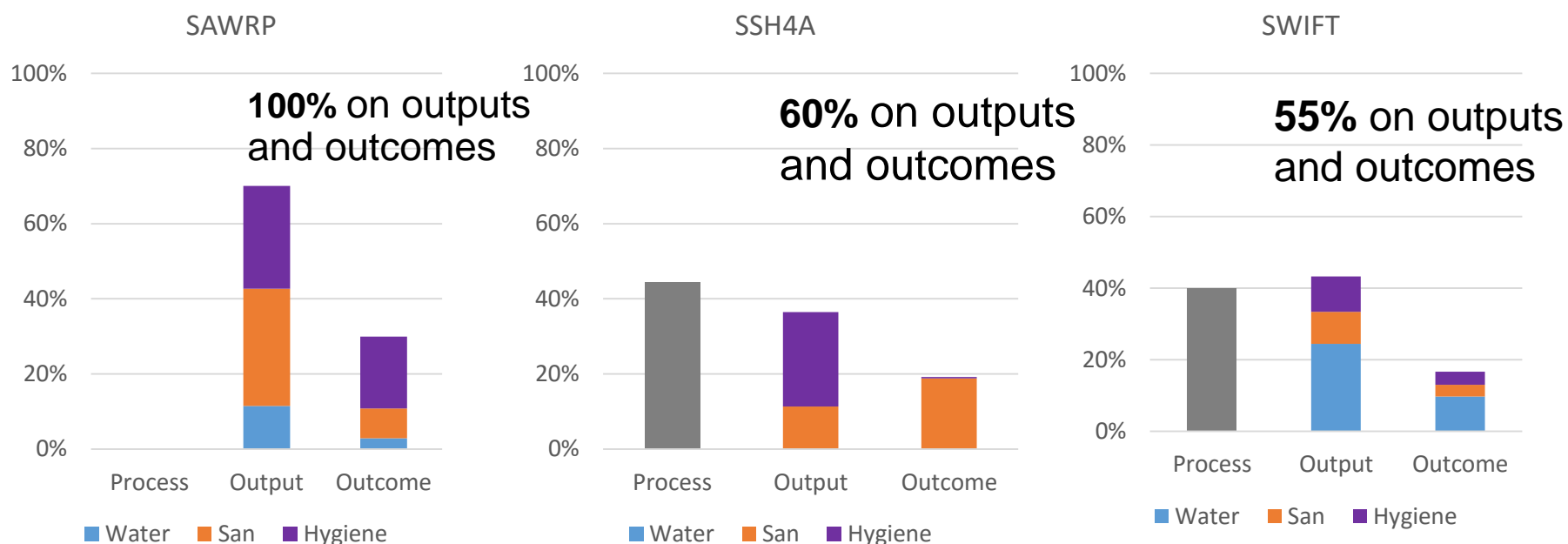
	Monitoring outputs	Monitoring sustainability	Monitoring equity
SWIFT	Separate activity tracking for each NGO partner	Via a Sustainability Assessment Framework (Outcome Phase only; not linked to PBR payments)	n/a
SAWRP	One output database for each country which provides each water-point and latrine with a unique ID	Via a Sustainability Assessment Framework (Outcome Phase only; not linked to PBR payments)	n/a
SSH4A	Mobile-based household surveys	10 sustainability indicators tracked (Outcome Phase only; is linked to PBR payments)	Survey data disaggregated by wealth quintiles (not linked to PBR payments)



Comparing verification approaches

Comparison of payment milestones

- SAWRP put most weight on outputs
- SSH4A put equal weight to processes & outputs
- All put least weight on outcomes



* **Processes** = Payments for MEL partners; and for intermediate steps towards the delivery of outputs (e.g. community mobilisation, training, development of IEC materials)

Verification framework

Systems-based verification = using monitoring data collected by Suppliers

	Systems Appraisal	Desk-based verification	Field checks
SWIFT	Appraisal at HQ + at country-mgt level + at partner level	Submission of a sample of evidence for each partner + spot check on the data + quality check + checking assumptions on #people reached	<i>After</i> submission of verification report (to explore quality of implementation and sustainability risks, and flag these for the next verification cycle) – <i>for both countries</i>
SAWRP	Initial desk review of the systems + subsequent a 'systems monitoring' to check if the intended procedures were being used as planned	Submission of full output database + spot check of database + checking assumptions on #people reached	<i>Prior</i> to evidence submission (to confirm if monitoring and reporting processes were being implemented as intended) – <i>for both countries</i>
SSH4A	Distinct appraisal before every Results Package (as each one was a different deliverable)	Submission of raw survey data* + checks of sample size, map check, spot check of data + checking assumptions on #people reached	<i>Prior</i> to evidence submission (to do a spot check on submitted survey data) – <i>for a rotating subset of countries each round</i>

Form2 comparisons

- Indicators tailored to each activity, by each partner, in each country
- First 11 Form2s of SSH4A are verifying processes

Supplier	Number of Form 2s	Description
SWIFT	30	Forms differed for water, sanitation, and hygiene, all of which had separate forms for intermediate results, early sustainability systems and outputs (3x3 forms). These forms varied widely across the five different types of implementing partners in DRC and Kenya (two partner groupings did water/sanitation/hygiene, one did sanitation/hygiene, one did only hygiene and one only water)
SAWRP	8	One for water, one for sanitation, one for hygiene in communities and one for hygiene work in schools (Unilever only) – for Bangladesh and Pakistan respectively (4x2)
SSH4A	13	13 Form 2s across six results packages (including one for sanitation and one for hygiene)
Total	42	

Example: verifying beneficiaries “reached by hygiene promotion”

Output indicators were tailored to each consortium, in order to match the differences in intervention types and the types of monitoring data easily available

Supplier	Definition of hygiene ‘output beneficiary’
SWIFT	A person who received a household visit <u>and</u> attended a group hygiene outreach event (data from NGO activity reports)
SAWRP	Where community-wide hygiene outreach had taken place, a beneficiary was counted for each community member who had also gaining access to sanitation (as S & H activities were usually implemented together)
SSH4A	A person who recalled a sufficient number hygiene messages (data from a household survey)

Pausing for questions!



Questions on the Output Phase activities and the verification set-up?

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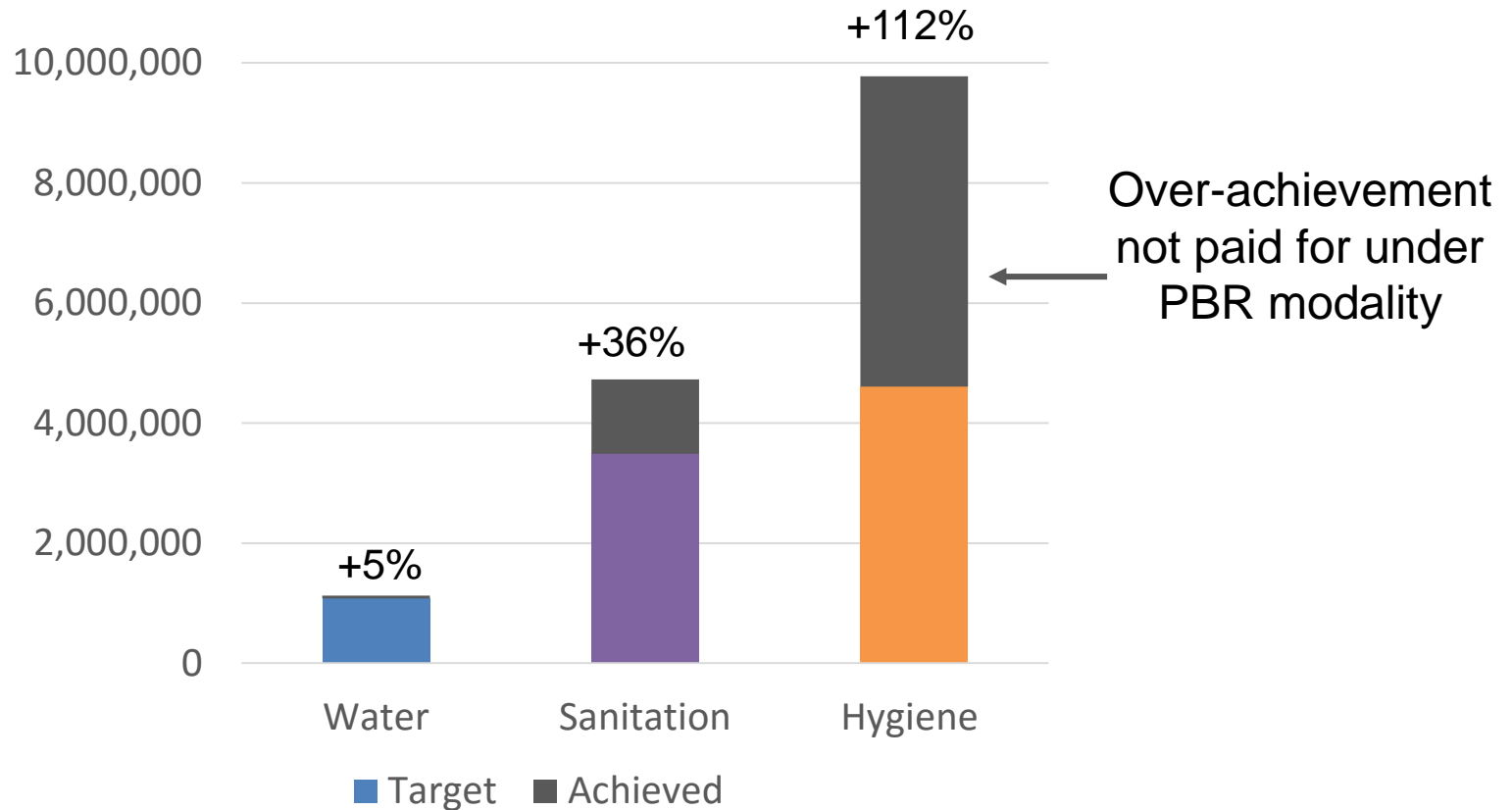


Key findings of Output phase

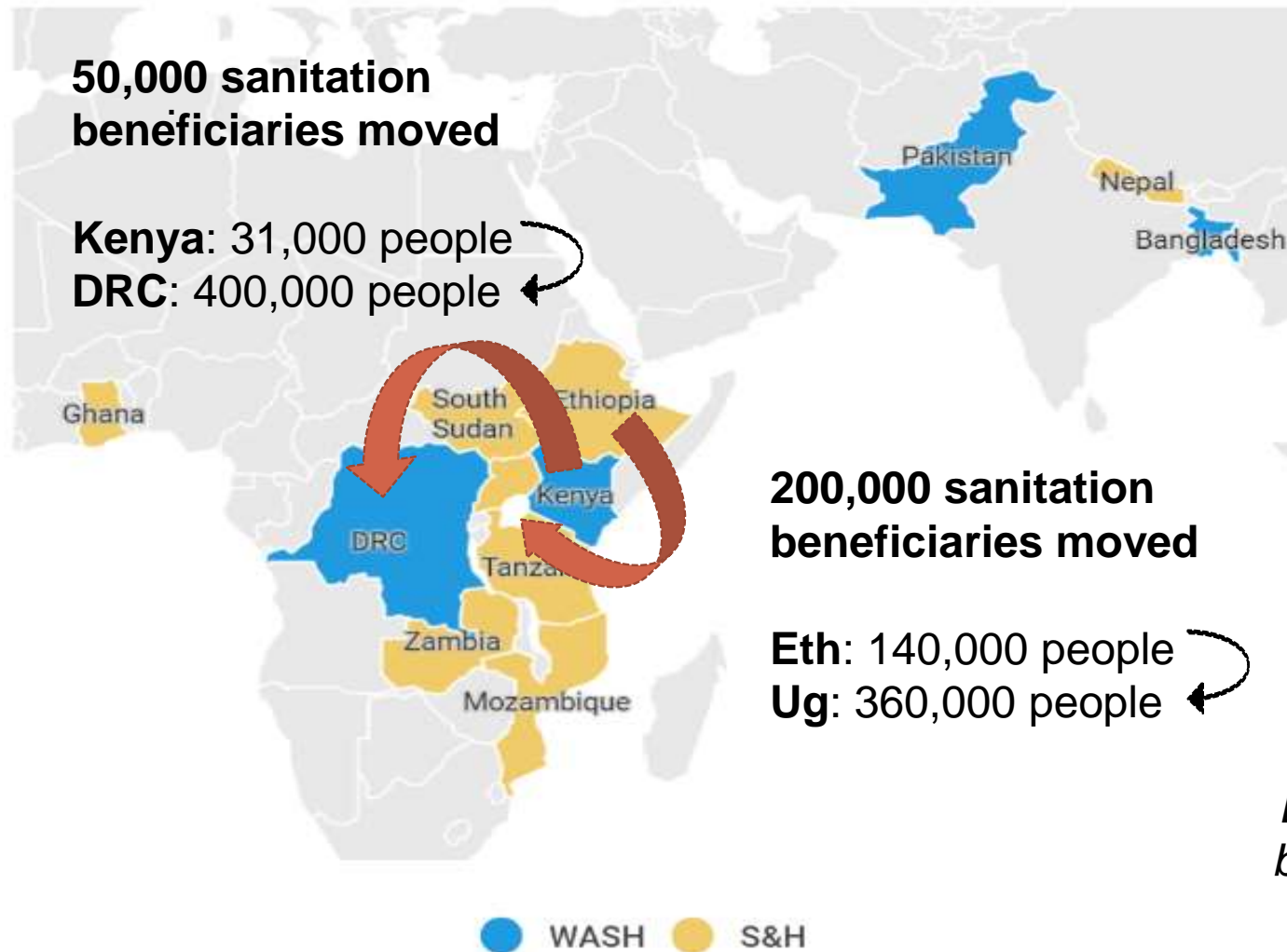


**All output targets
were met**

Output targets met – with significant over-achievement

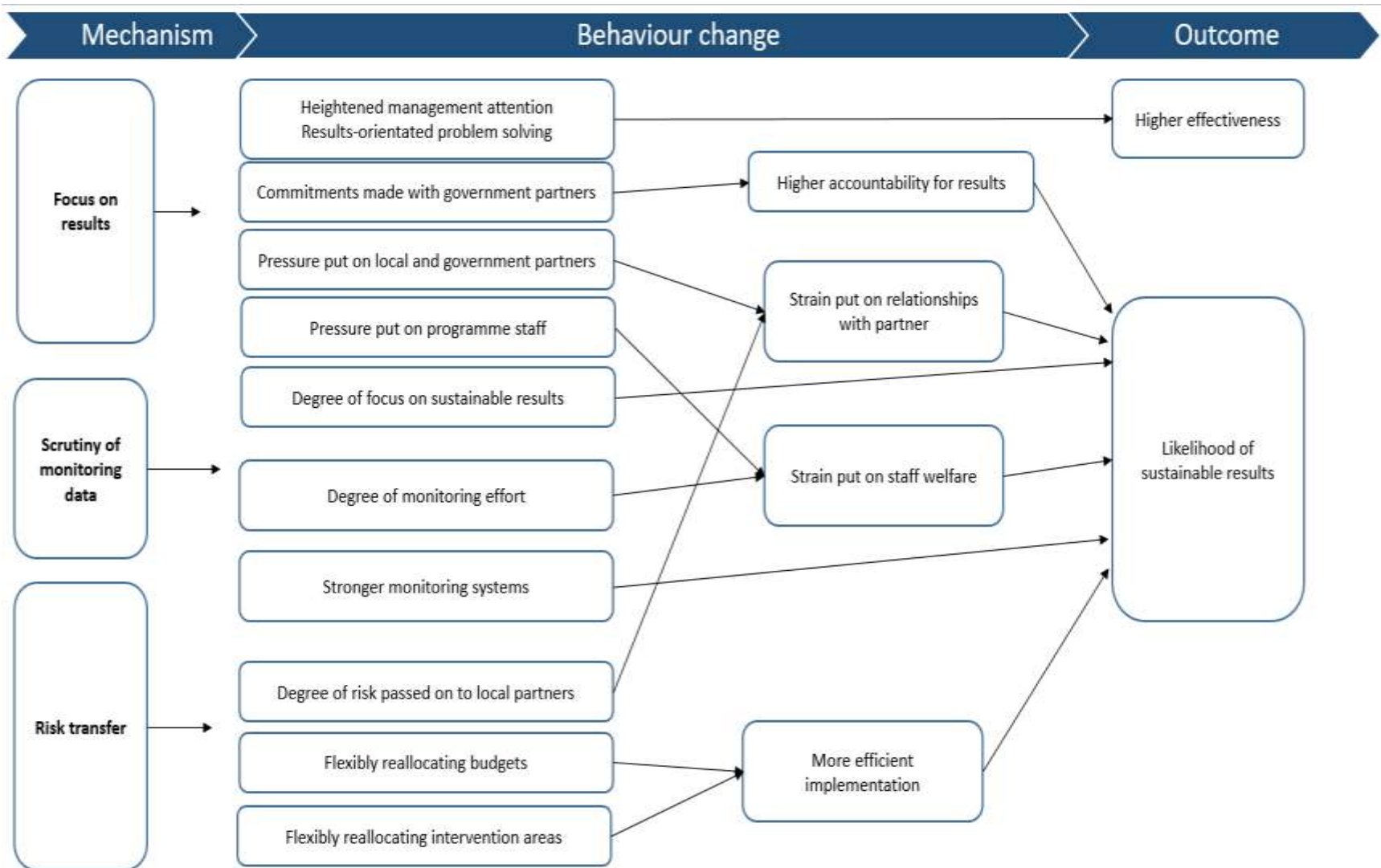


Targets met – but not always in planned locations

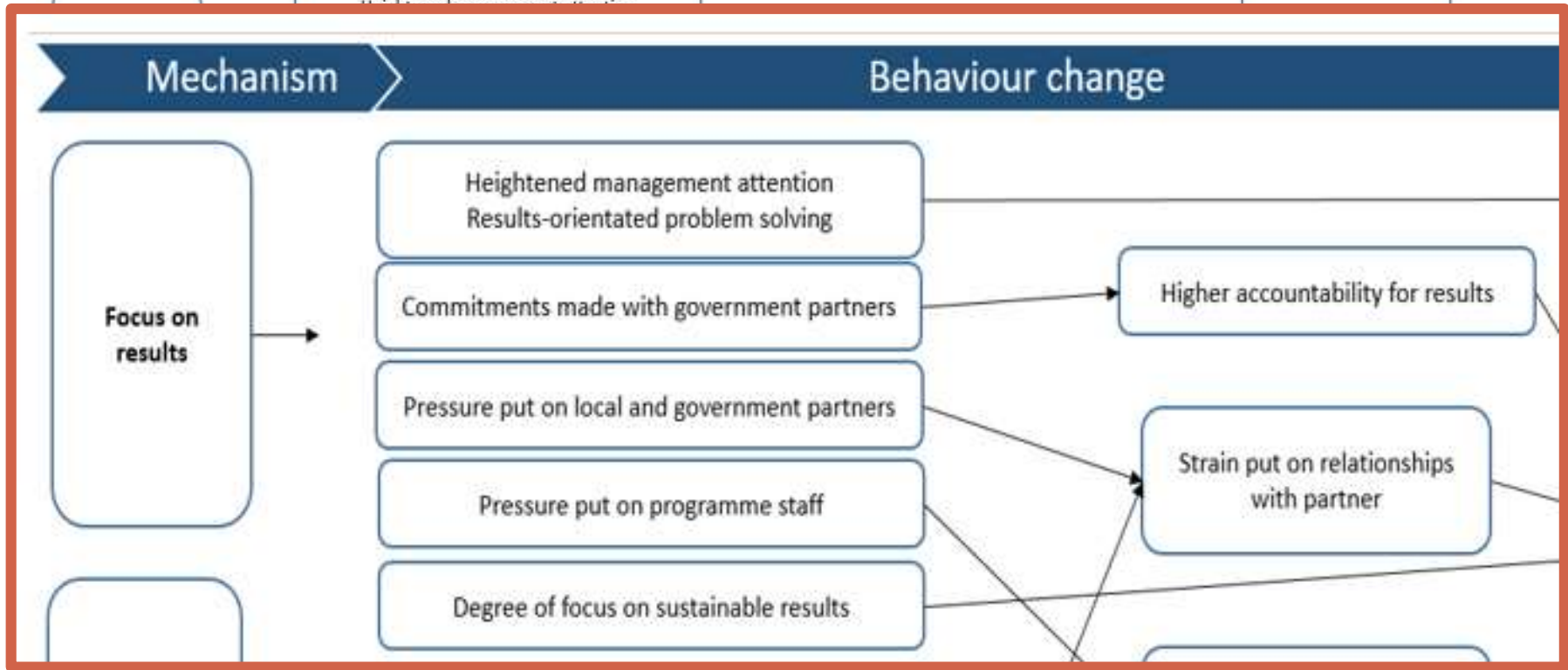
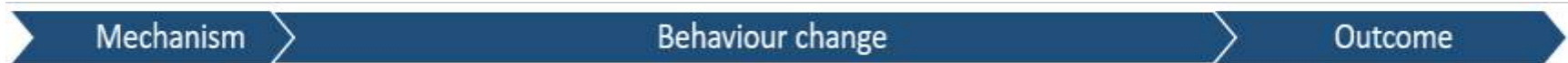


Benefit of flexible budgets thanks to PBR

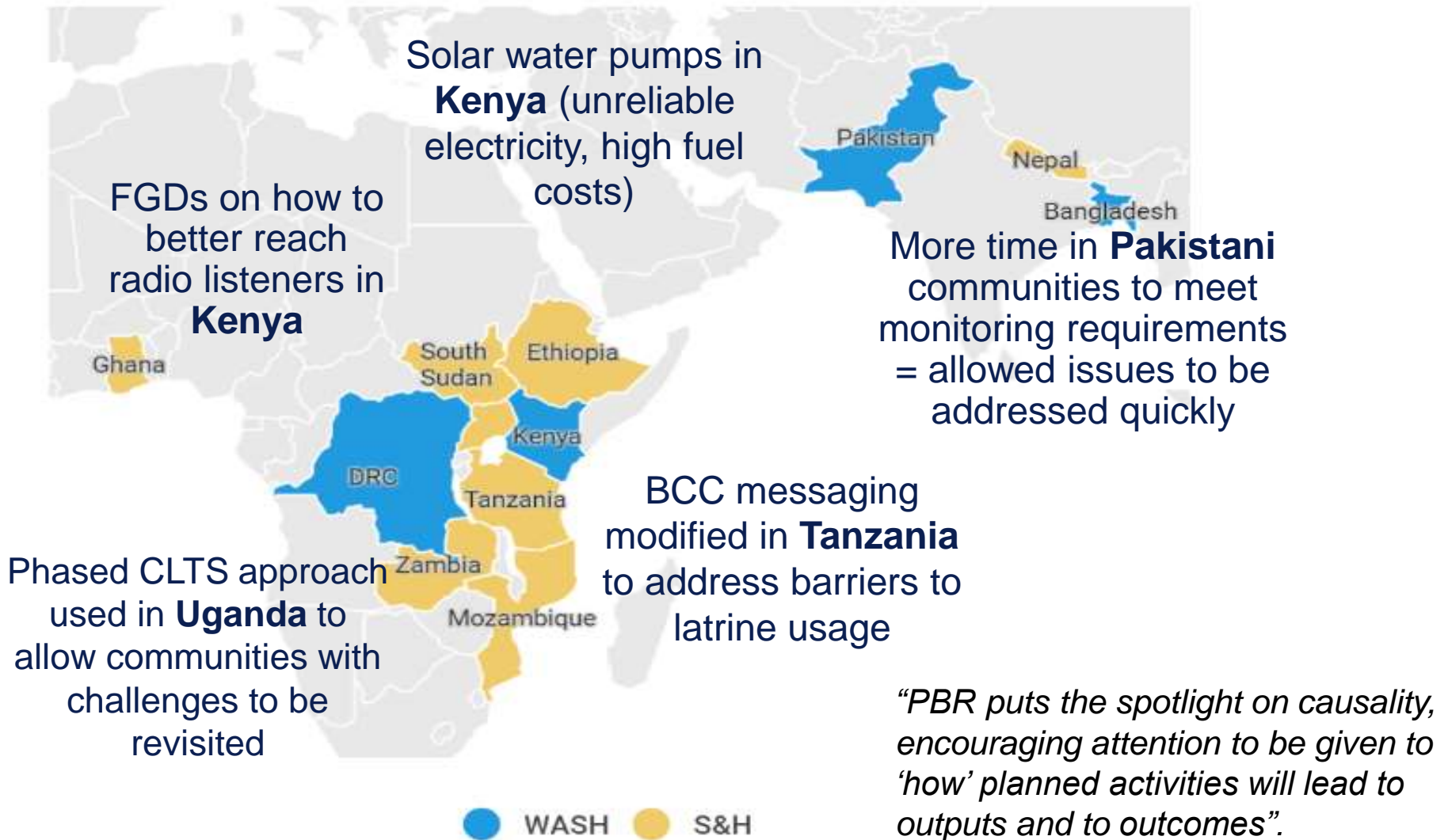
How were targets met? *Overview of mechanisms*



How were targets met? *Overview of mechanisms*



Results-oriented problem-solving



Targets met – but burden on staff & partners?

Strong social capital needed

Necessary to have tight control over implementation activities

If implemented through government partners

If implemented by NGO partners

- Clear commitments signed with government staff/utilities (*SSH4A, SWIFT Nairobi*)
- Deploy/second extra NGO staff to support government (*SSH4A Kenya/Moz, SAWRP Bangladesh*)
- Apply pressure on partners/utility (*SSH4A, SWIFT, SAWRP*)
- Add funds to complete work (*SWIFT*)

Targets met – but burden on staff & partners?

Strong social capital needed

Necessary to have tight control over implementation activities

If implemented through government partners

If implemented by NGO partners

- Additional management personnel deployed (SWIFT DRC)
- Long hours for field staff (SAWRP)
- Staff turnover in some NGO partners
- Some partners used own funds to cover unexpected expenses (SAWRP)
- One NGO partner on PBR contract (SSH4A)

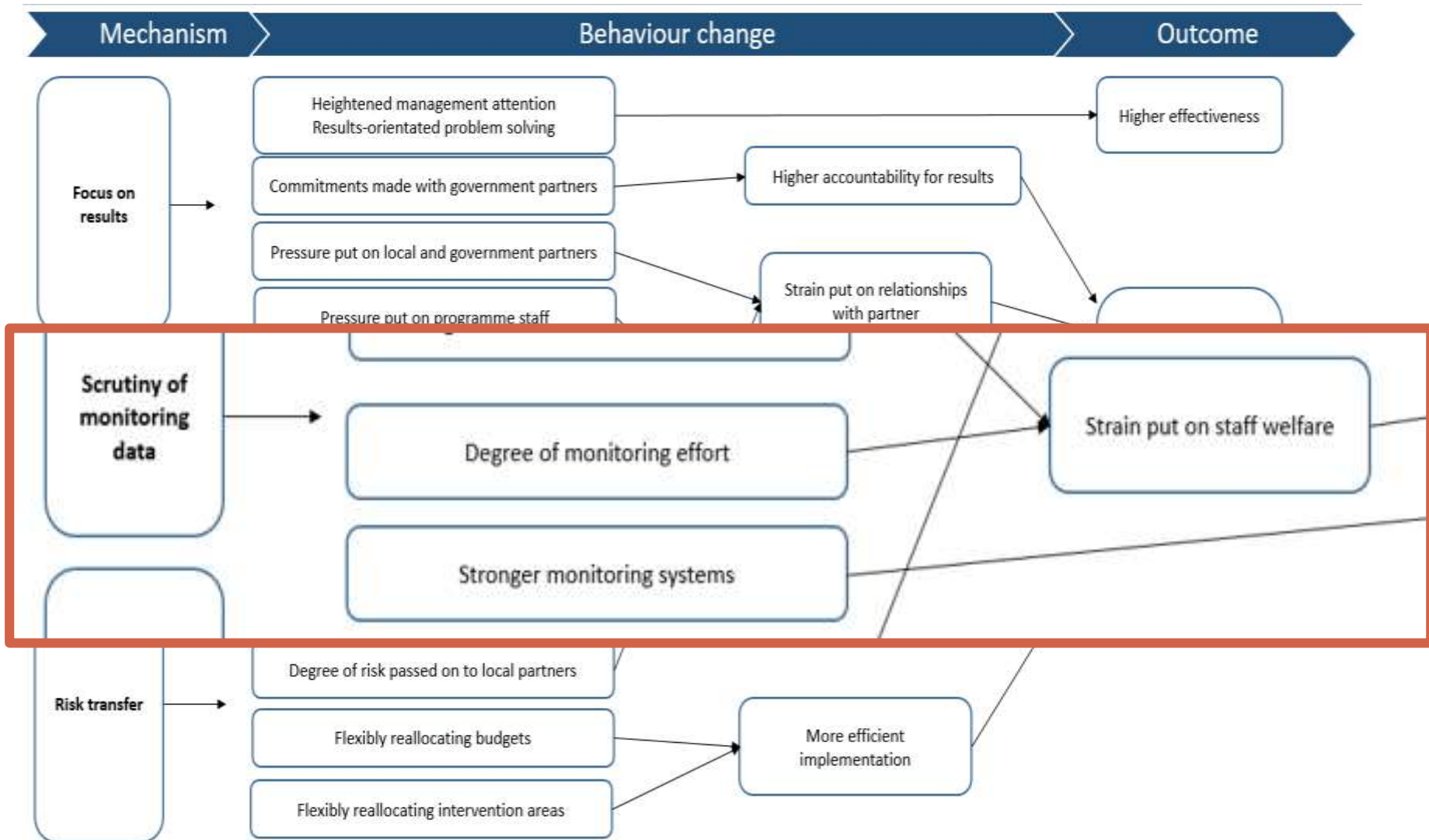
Targets met – but other aspects given less emphasis?

- Less time to **understand the local context before implementation began** – meaning activities (and budgets) were adjusted on the go
- Less time to **take stock of lessons** – more feasible after end of Output Phase
- **Some sustainability considerations delayed until Outcome Phase**
 - Capacity building scheduled for Outcome Phase (SAWRP Pakistan)
 - Capacity building of Water Users' Associations scheduled for Outcome Phase (SWIFT Kenya)
 - Targets moved elsewhere, if unsuccessful triggering (SWIFT)
 - Reduced time spent triggering each community (SAWRP Pakistan)
 - Reduced focus on door-to-door BCC: opted for mass-BCC (SSH4A)



Monitoring systems strengthened

How were targets met? *Overview of mechanisms*



Did PBR strengthened monitoring systems?

Increased scrutiny = led to increased monitoring effort

- Unexpected verification requirements
- Needed adjustments in M&E budgets and M&E staffing

Increased scrutiny = YES it strengthened monitoring systems

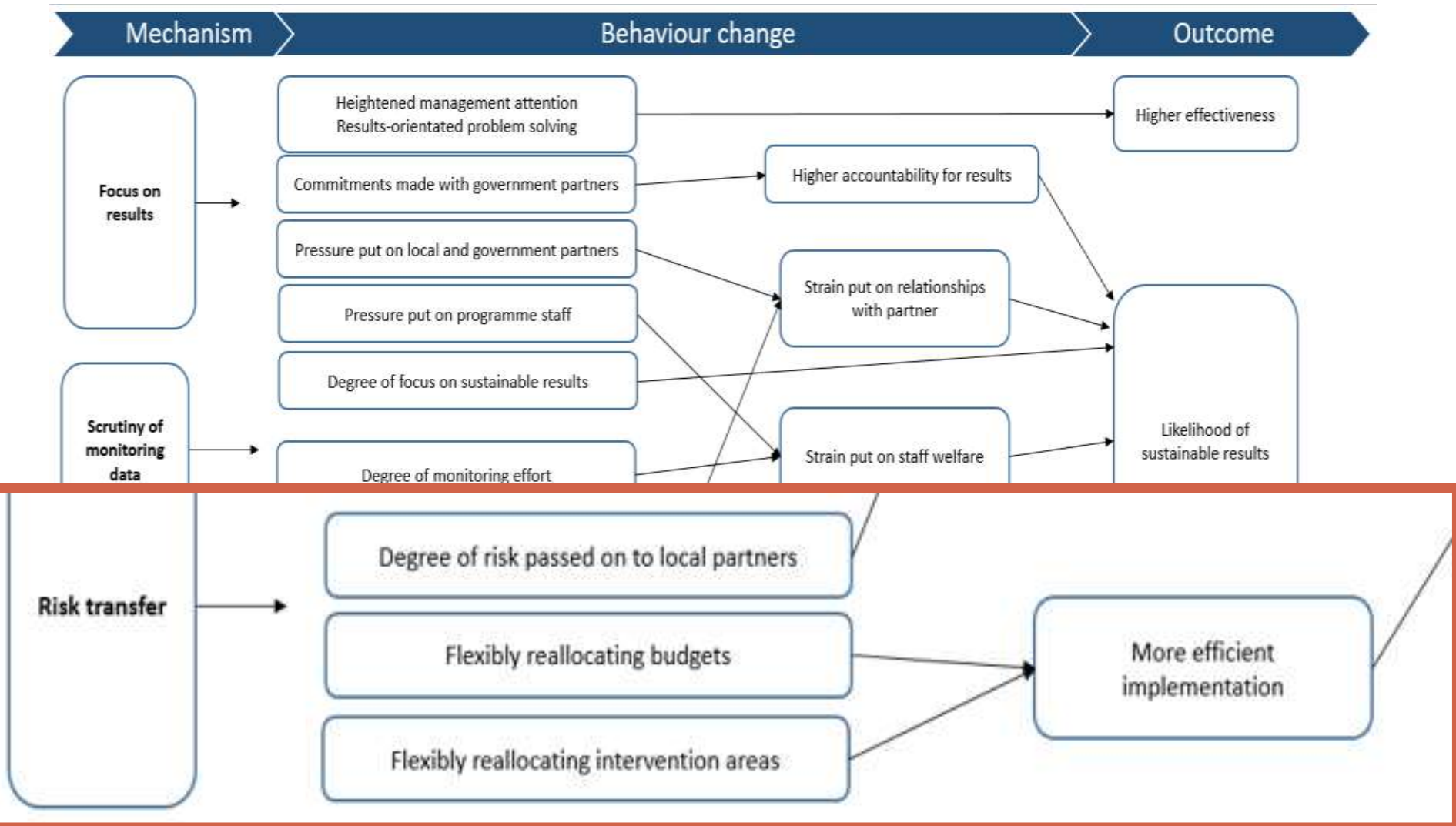
- SWIFT: More regular (monthly) monitoring requested from partners
- SAWRP: Database cleaned up to avoid double counting
- SAWRP & SSH4A: Opted for mobile monitoring – allows data quality checks and live data
- SAWRP & SSH4A: More QA set up, ground-truthing data before submission
- ALL: more regular interaction between M&E and technical teams

BUT only improved **accountability / visibility** *if reporting was linked to government district plans (e.g. SSH4A used districts governments to monitor progress)*



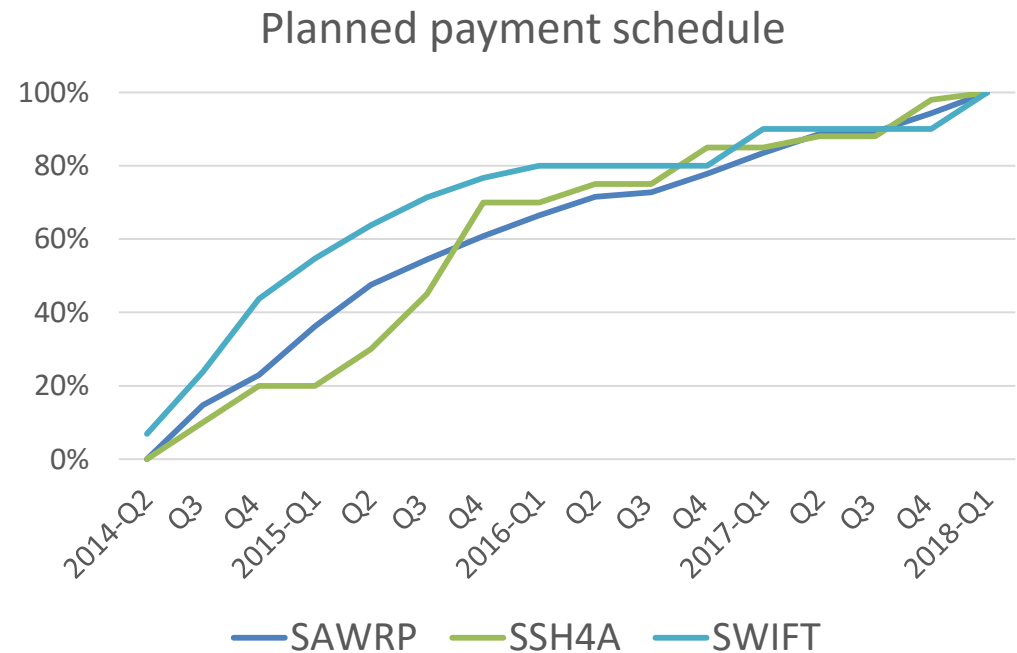
**Risk managed in a
variety of ways**

How were targets met? *Overview of mechanisms*



Risk management

- **Consortium Leads able to pre-finance other partners**
 - Vast majority of local partners not on PBR contracts
- **Challenge to manage mutual liability *within* a consortium**
 - SSH4A opted for no consortium partners
- **Flexibility to move targets between countries**
 - SSH4A: benefit of 8 countries across which to spread risk
- **Flexibility to move funds between budget lines**
- **Front-loading of payments – 60-70% by Dec. 2015 (first 18 months)**



Pausing for questions!



Questions on the findings?

Please type them into the comment box



Revisiting the Recommendations



For the Outcome Phase

Recommendations for Suppliers

- **Ensure equity is monitored:** Suppliers recommended to disaggregate their outcome results by gender and wealth quintile
 - Risk that PBR shifts focus to easier-to-reach communities
- **Ensuring sustainability is prioritised in Supplier activities:** through strengthening of local government agencies, and strategies drawn up to finance the maintenance of infrastructure
 - Risk that sustainability beyond programme-end may be sidelined, as it is not explicitly part of the PBR payments

Recommendations for DFID

- **Clarifying the advisory function of the MV team** – especially regarding advising Suppliers on sustainability monitoring frameworks
 - For SAWRP/ SWIFT: not clear to Suppliers how recommendations by the MV team should be addressed (because sustainability frameworks are not linked to payments)

Recommendations for MV team

- **Capitalising on learning:** Ensure that MV (and Suppliers and DFID) capture the substantial learning on PBR, through guidance notes*
 - Risk that learning is side-lined by implementation pressures

*e.g. Suggested Guidance Notes on

- How to measure hygiene promotion activities & hygiene behaviour change
- How to assess the adequacy of survey design
- How to design a systems-based verification approach



**For future PBR
programmes**

Recommendations for Suppliers

- **Where possible, aim for equitable and inclusive WASH approaches that are likely to deliver long-term health benefits**
 - Under the WRP, community-wide ODF approaches were not required by the TOR (some Suppliers chose ODF despite this). There is a risk that not focussing on community-wide/district wide sanitation approaches may limit the long-term health benefits of an intervention.
- **Ensure monitoring activities are adequately resourced**
 - Under the WRP, some Supplier teams struggled with the monitoring burden
- **Explore options for facilitating the verification of evidence – for example by using mobile-based monitoring for output and outcome results**
 - Under the WRP, some Suppliers used mobile-based monitoring systems which made verification and spot checks less burdensome on Suppliers
- **Clarify mutual liability risks, by clearly specifying responsibilities for results delivered by partners**
 - Under the WRP, some of the results which relied on inputs from government partners/utilities were particularly challenging to deliver on time

Recommendations for DFID

- **Clarify the intended benefits of using PBR** (e.g. indicate the mechanism in the Theory of Change) so that it can be checked under which circumstances intended benefits have/have not been manifested = sector learning
 - Under WRP: the intended PBR mechanism was not included in the ToC
- **Review the size of the PBR component**, considering under which circumstances a hybrid design (grant + smaller PBR incentive) would be more appropriate
 - The WRP is 100% PBR (unusual compared to PBR in other sectors)
- **Be more prescriptive on which ‘results’ payments will be linked to** in order to deliberately incentivise sustainability and equity*
 - Under WRP: payments linked to sustainability and equity (except SSH4A)
- **Consider using upside incentives** to reward over-achievement or reward more high quality/sustainable results**
 - Under WRP: Downside incentives, punishing under-performance
- **Include a substantial inception phase** (and appoint the verification provider before contracting Suppliers) to ensuring that verification requirements are clear before implementation budgets are finalised and implementation activities begin
 - This aspect posed substantial challenges under the WRP

Recommendations for DFID

Footnotes

* Examples of how sustainability and equity could have been incentivised in the WRP:

- Work in under-served geographical areas could be rewarded by allowing a higher unit price-per-beneficiary.
- Bonus payments could reward survey results which confirm that equity targets and water-point functionality targets have been met after a certain period.
- (Bonus) payments could be explicitly linked to capacity building and systems strengthening
- Pro-poor channels can be promoted, by allowing a higher unit price-per-beneficiary for beneficiaries reached through door-to-door hygiene promotion than mass gatherings.
- (Bonus) payments could be linked to achieving ODF status
- Some limits could be applied to supplier flexibility to transfer programme activities to areas where it is easier and/or cheaper to deliver the results, in order to ensure sufficient attention is given to equity considerations.

** Lessons from using PBR in the health sector from: Fritsche *et al.* 2014.: When implementation quality is already fairly high at baseline, a downside incentive is more effective at rewarding the best-performing implementing agencies or facilities. When quality is low at baseline, an upside incentive better protects basic implementing agencies' income, while penalising low-quality implementing agencies.

Recommendations for MV – *when implementing systems-based verification approaches*

- **Explore options for reducing the verification burden on suppliers**
 - for example by verifying only a portion of results for every milestone
 - Under WRP: reporting & verification requirements have been heavy
- **Having separate verifiers for separate sub-programmes can hinder cross-programme learning**
 - Under the WRP, assigning a different Lead Verifier to each Supplier in part led to different verification approaches being developed

Pausing for questions!



*Which recommendations
are you already
implementing?*

**Please type questions
into the comment box**



Next steps on the evaluation

Endline evaluation activities

- Oct 2017 – March 2018: **Endline of the RCT in Pakistan**
- Jan – March 2018: **Country case studies to Kenya, Pakistan and Uganda**
 - One per Supplier
- Jan – March 2018: **Key informant interviews with Lead Suppliers, DFID and the MV team**
- April – July 2018: **Analysis**
- Sept. 2018: **Endline report (date TBC)**



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Thank you

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