



CIVIL SOCIETY  
WATER, SANITATION AND HYGIENE FUND  
MANAGEMENT FACILITY



# Effective WASH Approaches and Innovations in the Civil Society WASH Fund Research Report





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**Cover photo:** Chin Sunly and Chey Vanna, latrine business owners in Svay Rieng Province Cambodia, have used revenue from toilet sales to support their daughters' education (Credit: iDE Cambodia/ Tyler Kozole)

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## ACRONYMS & ABBREVIATIONS

ARC	Australian Red Cross
CBSE	Community-based Sanitation Enterprise
CLTS	Community-led Total Sanitation
CS WASH	Civil Society Water, Sanitation and Hygiene
CPC	Commune's Peoples Committee (Vietnam)
CSO	Civil Society Organisation
DFAT	Department of Foreign Affairs and Trade (of the Australian government)
EC	European Commission
FMF	Fund Management Facility
FSM	Faecal sludge management
GBV	Gender based violence
GDI	Gender Development Index
GNI	Gross national income
K&L	Knowledge and Learning
KALM	Knowledge and Learning Manager (of the Fund)
KII	Key Informant Interview
MDGs	Millennium Development Goals
MERP	Monitoring, Evaluation and Review Panel (of the Fund)
MFI	Microfinance institutions
MHM	Menstrual hygiene management
OBA	Output Based Aid
ODF	Open-defecation Free
PAF	Performance Assessment Framework
PATS	Pakistan Approach to Total Sanitation
PLWD	People Living with Disabilities
PNG	Papua New Guinea
KP	Khyber Pakhtunkhwa (a province of Pakistan)
RCT	Randomised control trial
RLE	Regional Learning Event
SDGs	Sustainable Development Goals
WASH	Water, sanitation and hygiene
WHH	Welthungerhilfe
WSP	Water and Sanitation Program (formerly of the World Bank)





## Executive Summary

The Civil Society Water, Sanitation, and Hygiene (CS WASH) Fund is a five-year programme supported by the Australian government with the objective of enhancing the health and quality of life of the poor and vulnerable by improving sustainable access to safe water, sanitation and hygiene. Between 2013 and mid-2018, the Fund will have supported 13 Australian and international Civil Society Organisations (CSOs) to deliver 29 WASH projects with an investment of AUD103million across 19 countries. The Fund is expected to provide direct benefits to 3.5 million people and indirect benefits to over 10 million people.

Toward the end of 2017 the CS WASH Fund commissioned a team from Aguaconsult to conduct in-depth research of CSO project experiences in cross-cutting areas of interest including: i. WASH policy influencing; ii. Gender and social inclusion (GESI); iii. WASH market facilitation; and iv. Innovation integration and uptake. The researchers worked with Fund administrators to prioritise the CSO interventions by focusing on those which have displayed promising approaches in these themes. Working together, they prioritised 23 CSO interventions, with 43 different unique interventions across the four themes.

The research involved secondary data review as well as primary data collection via interviews and an online survey. Data collection from different sources across the prioritised projects was structured using a research framework to facilitate information management and resulted in 1,503 individual citations or data points. By using methodologies to quantify qualitative information the research team was able to collate, score and analyse the data by theme and a range of associated learning questions. Data were tabulated to facilitate quantitative evaluation and presentation. This document includes a summary of the study methodology, detailed findings and recommendations by theme for Australian donors, CSOs and WASH practitioners more widely.

## Overview of Findings

### Policy Influencing

The CS WASH Fund has, through its implementing CSO partners, been able to play a substantive role in influencing policy in 10 countries, including both national level policies and local guidelines, with a focus on sanitation and hygiene, but also including financing. The principal reasons for CSOs to engage in policy influencing are lack of or incomplete policies, the failure of existing approaches and efforts to improve pro-poor outcomes.

The most common ways CSOs assessed policy context was by relying on long-term presence or by carrying out sector analyses. Only one CSO used a specific tool or methodology to understand the policy context and political economy of the WASH sector. The more successful cases were carried out by CSOs with a premeditated strategy of collaborating with other organisations. The most effective engagement was found via government-led working groups at all institutional levels. CSO policy influence was able to leverage most effectively when aligned with, and complementary to, larger bi-lateral and multi-lateral development players. Informal lobbying through one-on-one engagement was also found to be very effective in certain country contexts. Field visits and learning exchanges facilitated by the Fund proved highly useful as they allowed space for such 'soft influencing'. Unsurprisingly, those CSOs with an organisational mandate for policy influencing performed best.

The majority of effective CSOs had good insights into policy reform cycles and approached influencing by aligning with government priorities. CSOs used field evidence as the most important tool for influencing policy. A smaller number also engaged with political champions as entry points to affect policy change. Equally, political influence and resistance by decision makers were cited as the most critical barrier, along with the difficulty for CSOs to influence change on their own. Frequent government staff rotation was also a challenge and often resulted in 'lost investments' for CSOs which take time to re-establish.



## Gender and Social Inclusion (GESI)

Just under half of the prioritised countries had strong national policies for GESI. In these cases, with stronger enabling environments in place, there were also improved linkages between GESI and WASH policies and more effective integration of GESI objectives at the community level. However, only three countries exhibited strong institutional frameworks and processes down to decentralised levels that are able to support GESI-specific interventions.

The CSO interventions under the Fund utilised different approaches and methodologies to identify potentially marginalised groups and to assess the barriers to their integration into development programmes, including adopting a country's own poverty ranking system, conducting research and using third-party assessment tools. The most common approach to mitigate barriers faced by marginalised groups was to raise awareness and increase participation; developing policy guidelines and the use of targeted financial subsidies were also important strategies. CSO projects demonstrated a clear integration of GESI initiatives in their Theory of Change, which supported the meaningful mainstreaming of GESI objectives. The majority of CSO project interventions were mindful of the need to monitor for any negative or unintended impacts of their activities.

The majority of projects provided good evidence that their activities supported some elements of gender transformation through WASH. All projects supported interventions that contributed to a broader change in gender relations by working to achieve more equitable influence between women and men over WASH-related decisions at the household level and thereby improving women's influence and decision-making power in the community. Only a limited number of CSOs provided strong evidence to support the assumption that when menstrual hygiene management is implemented in schools, it supports the likelihood that girls' attendance in schools will increase.

## WASH Markets Facilitation

The most important condition conducive to the creation of markets for WASH products and/or services was government-led policy and prioritisation of sectoral targets. Surprisingly, and contrary to common thinking, population density was found to be of only marginal relevance to stimulating market demand based on available evidence from the Fund. CSOs found opportunities for market facilitation in remote areas as well as in peri-urban settlements. The three most frequently cited barriers to market creation were difficulty reaching those most in need of services; limited availability of capital for purchase or market entry; and the absence of existing suppliers of products and services.

Despite the need for a comprehensive assessment of potential markets, less than one-third of CSOs conducted rigorous market analysis in advance of interventions. Few CSOs did a rigorous market analysis to guide interventions and this was reflected in their generally *ad hoc* approaches to market creation or support. The largest number conducted no analyses, but several conducted simple planning sessions. Customer outreach was highly conventional and despite the fact that communication technologies, social media and e-information penetration is increasingly prevalent, there was little indication that CSOs invested in using these channels to optimise customer contact and engagement.

Only three of eleven market facilitation interventions could provide specific descriptions of sources and values of revenue for commercial operations, two core components of basic business planning, which is fundamental to identifying approaches to support profit-making social enterprises; a similarly small number developed any form of branding or marketing plans. There is evidence that support to developing markets takes many years to



mature, so realistic expectations are needed by practitioners and donors. Several different market pathways and levels of scale were identified across the Fund, from local to sub-national to truly national. The majority of CSOs engaged in market-based activities had no exit strategy in place that would leave behind a locally sustainable WASH market after funding or project input was completed.

### **Innovation Integration and Uptake**

Innovations under the Fund were identified under two broad categories; the first and largest grouping included CSOs simply adapting good practices in the global WASH sector which were either new to themselves or their country context. The second group, comprising of only three CSOs, introduced untested solutions new to the global sector.

Most CSO innovations reached the piloting and adaptation stage but did not advance further along the four-stage innovation cycle. Of those that reached the adaptation stage, none showed significant impact on WASH service delivery, but most affected one aspect of delivery to some extent. Barriers of time, funding and public-sector capacity interfered with progress to the next level. The research team found two adapted good practices and two for-profit innovations achieving scale.

According to the evidence, none of the other innovations advanced to the final scaling stage of the cycle. While the innovations rarely completed the cycle, there is evidence that several have begun radiating out from the CSO originator. Continued ownership by the innovating CSO was found to hamper cycle completion, whereas government or other stakeholder ownership makes adoption and scale more likely; this was the case in the examples of the two adapted good practices and one of the for-profit enterprises.

### **Highlights of Recommendations**

1. CSOs intending to work in specific thematic areas should ensure they have the requisite capacity, skills, staff profiles and tools to operate effectively, particularly for those intending to work on (national level) policy influencing and in WASH market development;
2. CSOs working in policy influencing should invest in understanding the political economy of the WASH sector and national governance more broadly as a starting point to interventions;
3. Both CSOs and donors should support investment in collecting, documenting, and dissemination robust evidence for both its intrinsic learning value and its utility for influencing policy;
4. CSOs should work to address the more strategic areas of impact for GESI, including pre-intervention analysis and strategic support for institutional and policy frameworks and long-term investment in women's leadership;
5. At a minimum CSOs should adopt a 'do no harm' approach for their GESI work and both CSOs and donors should continue to place strong emphasis on monitoring and assessing unintended impacts in GESI programming;
6. CSOs intending to engage in market activities should always carry out ex-ante, rigorous market analyses and demonstrate the required commercial capacities to work in (social) marketing, either provided in-house or bought in;
7. Donors and CSOs should encourage investment in market-based approaches and innovation across the full sanitation service chain and not stop at only addressing the access element of SDG 6;
8. All CSOs should think through and develop medium-term exit strategies before they enter WASH markets;
9. Future commitments to support innovations should include investments from both the CSO and private sector actors that may benefit from the success of the innovation.





10. Both the donor (DFAT) and the future Fund management should have realistic expectations about the time frames involved in transformational change for any of these thematic areas of intervention and the balance between long-term impact and meeting short-term, numeric targets.

## 1. Introduction

### 1.1 Background: The CS WASH Fund as a Learning Initiative

The Civil Society Water, Sanitation, and Hygiene Fund (CS WASH Fund) is a five-year programme supported by the Australian government through its Department for Foreign Affairs and Trade (DFAT). The objective of the CS WASH Fund is to enhance the health and quality of life of the poor and vulnerable by improving sustainable access to safe water, sanitation and hygiene. Expected outcomes of the Fund are: (i) improved performance of actors in the WASH enabling environment, (ii) improved gender equality, (iii) improved WASH evidence and knowledge base, (iv) improved hygiene behaviours, (v) increased use of improved and equitable sanitation services and (vi) increased use of improved and equitable water supply services.

Between 2013 and mid-2018, the Fund will have supported 13 Australian and International Civil Society Organisations (CSOs) to deliver 29 WASH projects with an investment of AUD103million (approximately USD\$81million) across 19 countries. The Fund is expected to provide direct benefits to 3.5 million people, as well as indirect benefits to over 10 million people.

The CS WASH Fund is managed by a Fund Management Facility (FMF) and has included a strong dimension of knowledge and learning (K&L), employing a dedicated Knowledge and Learning Manager (KALM) and a three-member Monitoring Evaluation Review Panel (MERP). Collectively the Fund has generated a large amount of data and reporting through its internal monitoring and reporting processes, as well as organizing and documenting regional and global learning events. The Fund has also encouraged individual CSOs to capture new project experiences through the development and dissemination of knowledge products.

Toward the end of 2017 the CS WASH Fund commissioned an end-of-programme research exercise to carry out an in-depth analysis of CSO project experiences in cross-cutting areas of interest defined by DFAT, the MERP and the FMF. These four cross cutting areas of interest, or themes, are: i. **WASH policy influencing**; ii. **Gender and social inclusion (GESI)**; iii. **WASH market facilitation**; and iv. **Innovation integration and uptake**.

The research was conducted by Aguaconsult, a UK consulting company, between October 2017 and March 2018, with the primary aim of deepening the Fund's knowledge base and providing lessons for the design of future programmes and the sector more broadly. This report contains the findings of the research; it begins with an explanation of the methodologies used by the team, as well as an assessment of the various country contexts in which the CSO partners have operated. The main findings are then presented by theme with an analysis of primary data collected. The report closes with recommendations relating to the research themes.

### 1.2 Research into Effective Approaches and Innovation

The research team were tasked with assessing the CS WASH Fund's portfolio of projects by interrogating the extensive M&E data and reporting available, as well as carrying out new primary research to address the following specific objectives:

- 1) To capture learning in each of the four thematic areas from trends and highlights demonstrated by the Funds' data and experience; and
- 2) To document cross-project and cross-context lessons to inform and improve future DFAT and CSO programming consistent with common sector good practice in the four thematic areas.



## 2. Research Overview

### 2.1 Research Approaches, Frameworks and Learning Questions

The research into effective approaches employed by CSOs under the Fund employed a logical, step-wise framework to guide information management, analysis and documentation. Given the disparate nature of the topics and in the absence of pre-conceived theories of change regarding the four themes, the study team took an inductive approach by looking across different sets of empirical evidence, both quantitative and qualitative, to identify patterns and trends. To aid this process the team developed a series of simple conceptual frameworks to guide the enquiry and to link the different sets of learning questions (LQs) with the different types of interventions carried out by implementing CSOs and their partners through the Fund. These frameworks with the associated LQs are presented by theme in Annex 1.

### 2.2 Selection of Focus CSO Interventions

Given the scope of the assignment and the available resources, it was established in the design phase that not all 29 CSO interventions could be included for each of the four thematic areas of interest. Moreover, as the research is an attempt to understand the more promising and effective approaches within each theme, a short-list of interventions was agreed upon by the research team and the CS Fund Management Facility.

This final short-list of CSO interventions was then used to limit the boundaries of the research per theme; a number of the same CSOs interventions were assessed for one or more of the different themes in the same country. In total 23 CSO interventions (out of a total of 29) were assessed, with 43 different thematic entry points across the four themes, with the following breakdown:

- Policy influencing: 12 CSO interventions across 10 different countries;
- GESI: 13 CSO interventions across 11 different countries;
- WASH markets: 11 CSO interventions across 9 different countries;
- Innovation: 7 CSO interventions across 7 different countries.

### 2.3 Sources and Methodologies for Data Collection

Information was collected from multiple sources, including direct contributions by the FMF and MERP; monitoring data generated by CSOs; internal learning documents generated during the lifetime of the Fund and additional documentation provided directly by CSOs or from other sector or national sources. Primary data was collected from Key Informant Interviews (KIIs) held remotely by the research team and an online survey aimed at CSO staff.

The online survey was designed by the assessment team using the LQs for each theme as the entry points for enquiry. This provided the CSOs with the opportunity to self-report against key questions and allowed the assessment team to confirm or deepen analysis of other information collected through document review. The survey invitation was sent to a total of 90 potential responders via email, including multiple people from each CSO project. Survey responses were collected from 32 individuals representing 19 of the 29 CSO projects.

Key Informant Interviews were held primarily with CSO project staff; given the time constraints and limitations of organizing interviews remotely, it was not considered possible to obtain impartial third-party (e.g. government, civil society partner or beneficiary) inputs through the KIIs. A small number of interviews were held with one representative of a CSO, but most involved two or more representatives from both country and international headquarter offices. In total, 50 individuals were interviewed (including 20 individuals from CSO interventions, three members of the MERP, two from DFAT and one independent with experience of the Fund).



## 2.4 Data Analysis

Data collection from all different sources across the 23 projects assessed using the research framework resulted in 1,503 individual citations or data points, which were then collated and analysed in spreadsheets organised by theme and CSO and subdivided by LQ. As much of the data was qualitative, it was further classified as either i) **nominal**, being organised by categories which cannot be ranked or ordered, or ii) **ordinal**, being characterised by labels or categories which can be arranged in some order. The team developed a standardised coding system to connect each LQ with the source of information, the data collected and information from other themes; in total 15 specific sources of data were coded (see Annex 2). It was common for one LQ to have multiple citations in which case for the ordinal category it is given as an average (when necessary, the thematic expert identified the most representative value), and for the nominal category it was only presented once per project, regardless of how many times it was cited.

After all the data points (citations) were collected and inputted into the database, a descriptive data analysis was carried out per LQ and between LQs within each theme. In addition, selected LQs were compared between themes where there was seen to be potential for new insights and learning. However, because of the small sample size (once divided by theme, by CSO intervention and by LQ) the average number of data points became too limited to carry out any meaningful type of analyses of statistical significance. A summary of all data relating to the LQs by theme is presented in graphical format in Annex 3.

### Limitations to the study

The research approach adopted tended towards a wide, but shallow assessment of trends to inform the analysis. The merits and limitations of this approach were weighed against the alternative option of a narrower, but deeper focus on a small number of case studies. The following limitations on the research should therefore be noted:

- The study was desk-based and this limited the ability to field test or triangulate evidence;
- Due to the timing of grant finalisation, some sources of evidence made available by the FMF were incomplete, therefore the analysis did not reflect all latest information from CSOs or the Fund;
- Almost all data was based on self-reporting by CSOs, either directly or indirectly in the case of elements of the MERP trip-reports. Lack of independent verification of data may have had an influence on the analysis, but this is not possible to confirm; and
- There was no opportunity to interview government counterparts or other stakeholders, which meant that triangulation of CSO reporting is very limited.

## 3. Context Analysis: CS WASH Fund countries

### 3.1 Country Taxonomies and Implications for Research into Effective Approaches

The research team developed a simple landscaping tool to capture data about the broader context across the 19 countries in the Fund and to identify possible commonalities, trends and taxonomies which may inform the analysis of individual CSO interventions. This tool considered physical characteristics, including population, access to water and sanitation, as well as socio-economic dimensions such as gender and ease of doing business. The CS WASH Fund includes countries from across four main geographic regions of the world (see Annex 4). The country selection was determined during the original Fund design process, reflecting a combination of need in



terms of existing progress towards the Millennium Development Goals (MDGs), Australian Aid strategic regional focus and participating CSO strategies and presence in specific countries<sup>1</sup>.

Beyond obvious regional sub-groupings, the countries under the CS WASH Fund present a range of scenarios including population size, wealth (as reflected in gross national income or GNI per capita), dependency on aid and other characteristics (see table 1 below). No clear or strong taxonomy of countries emerged. The majority of the Fund countries fall into the lower-middle income band as established by the World Bank. Even within the Pacific region there is not a strong homogeneity across all four countries, with Papua New Guinea (PNG) having a far higher population and Fiji being significantly wealthier as measured by GNI per capita than others in this group. However, when considering countries with very small populations (i.e. under 1.5 million people, which includes Bhutan, Timor Leste, Solomon Islands, Vanuatu and Fiji), there is some convergence, with four of the five having higher rates of aid dependency and relatively low rates of access to sanitation. At the other end of the spectrum, the CS WASH Fund includes several large countries by population size, including Bangladesh, Indonesia, Pakistan and Vietnam which have a combined population of over 700 million, representing both challenges and opportunities of working at scale. It is possible to identify one set of countries that share low GNI per capita, high aid dependency ratios and poor levels of access to basic sanitation. Malawi, Mozambique, Nepal, Zimbabwe, Timor Leste and the Solomon Islands all fall into this group, although they clearly also have other differences, not least in terms of political economies, population size, topography and cultural dimensions.

### 3.2 Access to Sanitation and Water

Across the CS WASH Fund there is a general trend that as GNI increases, access to basic sanitation also increases; although this relationship could also be the inverse. There are a number of outliers however, including Malawi with relatively high access within the low-income group (but still poor in absolute terms) and PNG with a very low access rate of only 19%, despite being a lower-middle income country. Indonesia is notable as having achieved significant access levels within a large population. In regional terms, Southeast Asia tends to have made most progress in access (above 68%) than others in the Fund. Unlike for sanitation, there is no clear trend in terms of data for access to basic water services and GNI per capita. Poor performers include PNG, which has only achieved 37% access despite being a lower-middle income country and Mozambique which is also still below 50%. Nepal has achieved high rates of access, despite the fact that it is in the lowest income grouping of the CS WASH Fund countries.

### 3.3 Socio-economic Conditions

Countries within the CS WASH Fund are spread across the Fragile States Index<sup>2</sup>, with Zimbabwe being the highest scoring, and therefore the least stable, and currently sitting in the 'alert' group; Vietnam and Sri Lanka are the next highest according to the Index. At the other end of the spectrum, Bangladesh, Bhutan and Cambodia score the highest and are therefore to be considered as the most stable environments in which to operate. There are no obvious trends by region, income levels or population size.

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<sup>1</sup> AusAID. (2012, May). Design Document. Water, Sanitation and Hygiene Global Programs and Cross-Regional Support Civil Society WASH Fund.

<sup>2</sup> The Fragile States Index (FSI; formerly the Failed States Index) is an annual report published by the Fund For Peace, USA that assesses vulnerability to conflict or collapse. Ranking is based on the sum of scores for 12 indicators with a scale spanning 0–120; for further details see: <http://fundforpeace.org/fsi/>



**Table 1: Landscaping data for CS WASH Fund countries**

Economic classification (WB)	Countries	Population 2017 (millions)	GNI per capita, current USD (World Bank 2016)	GNI per capita (PPP, current USD) (WB 2017)	Access to water services (JMP%)	Access to sanitation services (JMP%)	Ease of doing business index rank (WB 2017)	Fragile state index (Fundforpeace 2017)	HDI ranking (/188) (UNDP 2015)	Gender development group 2016
Low income	Malawi	18	300.3	1,140	65	44	175	44	170	4
	Mozambique	28.8	382.1	1,190	44	24	73	40	181	5
	Nepal	28.9	729.1	2,520	87	46	131	33	144	4
	Zimbabwe	16.1	1,029.1	1,920	67	39	175	13	154	3
Lower middle income	Bangladesh	162.9	1,358.8	3,790	97	47	97	39	139	3
	Bhutan	0.8	2,773.5	8,070	97	63	91	83	132	4
	Cambodia	15.7	1,269.9	3,510	72	49	139	50	143	5
	Timor Leste	1.3	1,405.4	4,340	67	44	100	35	133	5
	Indonesia	261.1	3,570.3	11,220	88	68	133	94	113	3
	Laos	6.7	2,353.1	5,920	76	73	137	59	138	4
	Lesotho	2.2	1,039.7	3,390	71	44	170	62	160	2
	Myanmar	52.8	1,195.5	5,070	82	65	107	35	145	No data
	Pakistan	193.2	1,443.6	5,580	89	58	144	17	147	5
	Papua New Guinea	8	2,500.1	3,713	37	19	119	48	154	No data
	Solomon Islands	0.6	2,005.3	2,150	67	31	104	52	156	No data
	Sri Lanka	21.2	3,835.4	11,970	90	94	110	47	73	3
	Vanuatu	0.3	2,860.6	3,050	89	53	83	No data	134	No data
Vietnam	92.7	2,214.4	6,050	89	78	82	105	115	1	
Upper middle income	Fiji	0.9	5,233.5	9,140	94	96	161	76	91	No data





The countries in the CS WASH Fund grouping are also spread across the Ease of Doing Business ranking<sup>3</sup> which can be a useful proxy for a more benign operating environment for local (sanitation and hygiene) businesses to be set up and operate effectively. The most challenging environments in the group of 19 countries include Timor Leste, Zimbabwe and Bangladesh. At the other end of the spectrum, Bhutan, Indonesia, Vanuatu, Vietnam and Fiji all score under 102, meaning that they have more favourable conditions in place.

Available data for the Gender Development Index<sup>4</sup> (GDI) covering the CS WASH Fund places 14 of the 19 countries across five groups from Group 1 (having the highest GDI and therefore most favorable conditions for women's development) to Group 5 (having the worst conditions). The GDI shows how much women are lagging behind their male counterparts and how much women need to catch up within each dimension of human development. It is useful for understanding the real gender gap in human development achievements and is informative to design policy tools to close the gap. There are no obvious trends or groupings of regional countries, but Vietnam has the most favorable conditions, which in part may be a reflection of the country's political history and the emphasis placed on women's involvement in socio-economic development. The worst conditions are found in Cambodia, Timor Leste, Mozambique and Pakistan, all of which fall into Group 5.

### 3.4 Implications for CS WASH Fund Operations and Analysis of Effective Approaches

The landscaping tool analysis has not provided clear taxonomies of countries, which could be helpful in explaining more successful approaches across different contexts. One possible exception is the grouping of 'small countries' (i.e. populations under 1.5 million) which may enable some CSOs to have a disproportionately large influence, given the scale of a sector and the limited nature of networks; a so-called 'big fish in a small pond' scenario. Apart from this possible insight, the landscaping points to the importance of understanding each unique country context when assessing examples of promising approaches, including physical determinants and socio-economic and institutional factors.

## 4. Findings: Policy Influencing

### 4.1 Introduction and Context

The Policy Influencing theme looks at 12 individual CSO interventions by nine discrete CSOs across 10 countries, with Pakistan appearing twice as it is considered under a Federal system with two separate provinces included (Punjab and Khyber Pakhtunkhwa or KP).

The following findings are presented by considering the four broadly sequential stages<sup>5</sup> of the simplified framework describing the policy influencing process (see Annex 1). This starts with the identification of drivers for policy change in the first instance. The second step seeks to deepen the understanding of the policy context in which the issue or challenge exists, but also to generate evidence about what is currently not working and how this might be improved. The third stage speaks largely to advocacy and lobbying activities to generate support for a change in existing policy. Lastly, the policy change needs to be 'landed' in practice, which requires

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<sup>3</sup> The World Bank ranks economies on the ease of doing business, from 1–190; a high ease of doing business ranking (closest to 1) means the regulatory environment is more conducive to the starting and operation of a local firm. For further details see: <http://www.doingbusiness.org/rankings>

<sup>4</sup> The GDI measures gender gaps in human development achievements by accounting for disparities between women and using the same component indicators as in the HDI. For further details see: <http://hdr.undp.org/en/content/gender-development-index-gdi>

<sup>5</sup> See for example, <http://ctb.ku.edu/en/influencing-policy-development> and <https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/9011.pdf>



political champions and clear insights into the bureaucratic mechanics of how policy is set in the context in question.

The short-listed CSOs worked to influence policy at several levels of government, including via market-based approaches; Annex 5 provides a summary of these interventions. For the purposes of this research, 'policy' has been defined as follows:

- I. National policy relating to sanitation, hygiene or water set by a central government, or where relevant lower, sub-national levels (states or provinces);
- II. National or sub-national strategies providing a comprehensive set of actions required to achieve the broad principles and goals set out in the policy;
- III. National or sub-national guidelines are more specific still and relate mainly to technical approaches and standards, for example, guidelines on how to apply community-led total sanitation (CLTS) or other processes such as the application of subsidies;
- IV. Local government bye-laws or guidelines, as taken to mean any type of roadmap, action plan or guidance set at the decentralised local level (i.e. district, municipality or town/urban council) which should be in line with and support overall national policy.

## 4.2 Findings

### Stage 1: The Need for Policy Change

**Most policy contexts of countries within the Fund are only partially mature. CSOs working under the Fund have had success in influencing policy change at both national and local level, with a main focus on sanitation and hygiene, but also in financing and subsidies for latrine construction. The principal reasons for engaging in policy influencing are lack of policies, or incomplete policies; the failure of existing approaches and efforts to improve pro-poor outcomes. Increasing private sector participation was cited as a driver for influencing policy in a limited number of cases.**

The majority of CSO interventions for WASH policy influencing fall into the 'moderate' category when placed against the strength of the enabling environment and policy context. For the eight countries in this group it means that there may be policy in place, but it is not fully coherent, may have some gaps or duplications and that institutional frameworks are not fully developed to support the policy. It can also mean that although policies are in place centrally, these may not be being fully applied at sub-national levels. Weak policy contexts were assessed for two countries, namely Vanuatu and PNG, the latter having no policy at all for WASH until 2015; two CSO partners of the Fund, WaterAid and World Vision, played an important role in the development of this new policy.

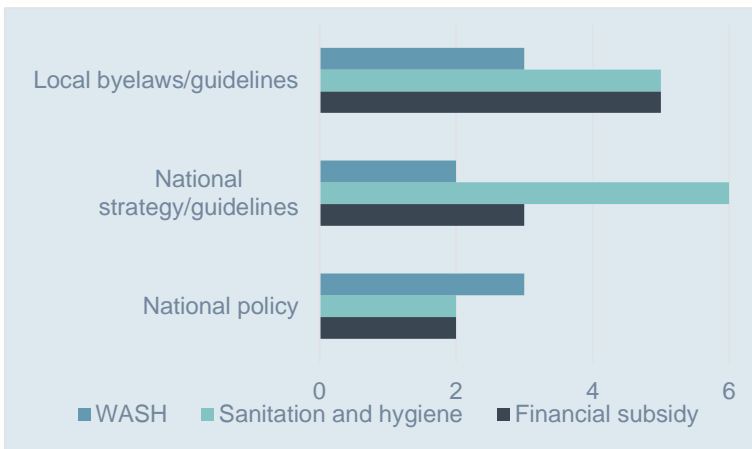
Only Vietnam was ranked as having a strong policy framework and enabling environment, with relatively well-developed institutional frameworks and fiscal decentralisation down to provincial and commune levels. However, even in this case there are regional differences in the extent to which these are being applied due to equity issues, marginalised ethnic groups and in some areas, specific water resource constraints. In both Pakistan and Nepal, there have been fundamental developments in governance frameworks, which had a significant knock on effect on the WASH sector enabling environment and in turn, the efforts of the CSOs to work on policy influencing and reform under the Fund (SNV in Nepal, Plan in Punjab province and IRC in KP Province, Pakistan). In both cases, centralised authority for policy and implementation has been devolved to sub-national levels.

Figure 1 provides a summary of how CSO policy influencing efforts have occurred across both national and sub-national levels, by theme or focus, mainly in sanitation and hygiene (which also includes CLTS), but also



for sector financing and subsidy policies and guidelines (being one third of examples), most of which have been in Southeast Asia (Cambodia, Vietnam and Indonesia).

**Figure 1: Distribution of policy influencing by level and by theme**



There is also evidence of linkages between policy influencing and other themes covered in this research, including strong examples from Zimbabwe where both Welthungerhilfe (WHH) and World Vision have worked with local government authorities and organisations focusing on people living with disabilities (PLWD), resulting in gender and disability policies and assigning focal persons within government to address these issues. In both

cases this has led to staff reportedly having an improved understanding of gender and disability issues and specific needs for women and girls with respect to menstrual hygiene. In Timor Leste, WaterAid developed a Manual for Facilitating Dialogue between Women and Men in Communities which has been adopted by the government as a national guideline.

The most common reason cited to engage with policy influencing and policy change in the first instance is the lack of policies or incomplete policies which are perceived as being inadequate to address sector challenges. The next two most common responses explained policy engagement due to the failure of existing approaches to deliver intended service outcomes and efforts driven by equity concerns by focusing on pro-poor outcomes. Increasing private sector participation was cited in four instances by the CSOs iDE, WHH, IRC and SNV. Improving gender and social inclusion as a specific reason for engaging in policy debate was only cited explicitly by one CSO (WHH).

Where the policy environment is relatively open or fluid, this can allow for different – and potentially contradictory – approaches to co-exist. A good example of this is highlighted when cross-referencing the policy influencing theme with the WASH markets theme in Cambodia, which historically has had a weak policy environment, especially for sanitation. Starting over ten years ago, iDE introduced a market-based approach with great success in terms of increasing coverage resulting in over 250,000 sales of improved pour-flush latrines working with private sector entrepreneurs. This model has produced impressive outputs but struggled to reach the poorest households. Thrive Networks introduced a new approach in Cambodia under the Fund, Output Based Aid, providing cash rebates to low-income households installing latrines, but made the explicit decision to partner with government from the outset. Each of these two quite distinct CSO interventions has had an influence on government policy for sanitation subsidies, and each in its way has benefited from a relatively open policy environment.

## Stage 2: Understanding the Policy Context

The research found that the most common ways CSOs assess policy context is by relying on long-term presence and by carrying out sector analyses. Only one CSO, WaterAid, uses a specific tool or methodology to understand the policy context and political economy of the WASH sector. There appears to be some link



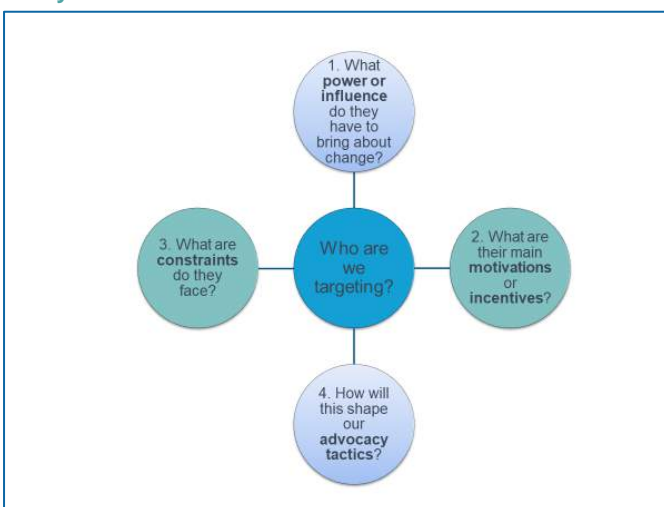
**between successful policy influencing by CSOs with those countries that include WASH as a topic (with aspirational targets) in broader national development plans.**

Two approaches or tools were identified as the most common to understand policy environments in which CSOs work; see Annex 6 for a summary of tools by theme. The first of these is simply having a long-term presence and engagement in a country and a WASH sector, through extensive country programmes and staff working closely with sector stakeholders. This was reported in the case of six CSOs (iDE, Plan, SNV, Thrive Networks, WaterAid and World Vision), several of which were found to have had the most promising experiences with policy influencing. Long-term presence and exposure provides CSOs with strong insights into the enabling environment and the issues, challenges and opportunities facing sector institutions, as well as their policy responses, including gaps or lack of policy.

The second major approach that CSOs reportedly use is to conduct a sector analysis to understand the enabling environment at different levels, the institutions and policy frameworks; such CSOs included iDE, IRC, Live & Learn, Plan and SNV. These analyses were conducted either by the CSOs themselves, or by relying on other sector players, most notably those employed by the Water and Sanitation Program (WSP) of the World Bank (e.g. the Service Delivery Assessment framework) or UNICEF (e.g. the bottleneck analysis tool). In the case of one CSO (WaterAid) a bespoke tool was used to analyse the political economy in two countries, namely PNG and Timor Leste. This is an organisation-wide tool that WaterAid promotes across all of its country programmes and reflects a corporate commitment to understanding the dynamics under-pinning its sector strengthening activities (see Figure 2).

The majority of countries had some type of national development plan or vision document which mentions WASH but not in explicit terms (i.e., WASH does not have a specific chapter or sub-section, nor are there aspirational targets for WASH service delivery mentioned in the document). The four countries where there is a stronger reference to WASH, linked to medium- or long-term national targets include Bhutan, Cambodia, Pakistan (Punjab province) and Timor Leste. Only one country, Nepal, makes only a minimal reference to WASH in its overarching development plan.

**Figure 2: WaterAid's Political Economy Analysis Map, analysis of stakeholder incentives<sup>6</sup>**



No examples of promising policy influencing by CSOs was found in the weakest group of countries for profiling WASH in national development plans. This finding would indicate that successful policy influencing requires that WASH is at least included in such broader development instruments, but that this does not necessarily need to be explicit. Several CSOs mentioned that references to the sector in over-arching national strategy documents provided a useful leverage or 'hook' with which to engage different line ministries on policy (e.g. Vanuatu, Pakistan, Timor Leste and Zimbabwe). However,

<sup>6</sup> For the full toolkit see: <https://washmatters.wateraid.org/publications/political-economy-analysis-toolkit>



this should not be considered as a causal relation as other factors such as the capacity of the CSO, its credibility in the sector and the evidence it brings to the influencing process, may also explain the apparent link.

### Stage 3: Influencing Policy Change

**The more successful cases of policy influencing included CSOs with a pre-meditated strategy of collaborating with other organisations. CSOs can play a highly effective, complementary role, with larger development partners as part of policy change processes. The most effective engagement was found via government-led or sanctioned working groups at all institutional levels. Informal lobbying through one-on-one engagement was also found to be very effective. Field visits and learning exchanges facilitated by the Fund allowed space for such ‘soft influencing’. Those CSOs which already have an organisational mandate for policy influencing - with associated staff profiles and tools – perform best.**

In all promising cases CSOs were found to be working with third party organisations in their advocacy and policy influencing efforts. The corollary is that none of the CSOs were working in isolation, which reflects the collaborative nature of sector dynamics and the need for collective action to bring about policy change. The CSOs then split more or less evenly between those claiming to work with a clearly developed strategy and more formal alliances, and those working on a more opportunistic or *ad hoc* basis. Those CSOs working with pre-meditated strategies also align more closely with the strongest examples of policy influencing, including WaterAid, SNV and Thrive Networks. Another strong example is from Plan’s work in Pakistan, where its office in Lahore became a ‘hub’ for coordination and lobbying around the fallout from the 18th Amendment on devolution.

In terms of the relative roles and effectiveness of CSO policy work, as compared to that of larger, more ‘powerful’ development organisations, a number of illustrative cases emerge from the research. Several examples of complementarity exist, including WaterAid working closely with the bi-lateral BESIK Australian aid programme in Timor Leste; the World Bank and WSP together with the European Union in PNG, where WaterAid and World Vision collaborated closely; and SNV’s work with UNICEF in Bhutan. In these cases, there is clearly a strong degree of contribution by the CSO to policy influencing, rather than a direct and exclusive attribution through which the CSO can have been considered to be solely responsible. These examples highlight the benefits of working in partnership with other organisations – often larger partners with the resources, leverage and status with government - but at the same time underline the critical role played by these CSOs as important stakeholders. The types of CSOs funded by the CS WASH Fund are often more ‘nimble’ or agile than these bigger players, can develop close and long-term working relationships with key government departments, operate on a permanent and continuous basis in country and often have the ability to ‘learn fast’ and link field level interventions research findings with policy dialogue at central level. All of these attributes bring added-value to the work of the larger development partners and offer complementary functions and inputs which can help bring about policy change. From the analysis of these cases of influencing national policy the issue of ‘contribution versus attribution’ therefore emerges as a critical distinction to make, with most CSOs recognising the role of other agencies in influencing government. This reflects the nature of the principles and approaches of Collective Impact, central to these types of policy change processes.





Across the range of CSOs there is a clear pattern of engagement through government sanctioned working groups (see Figure 3 below); these are often referred to as WASH ‘task forces’ and exist at distinct institutional levels. Such working groups were the most common mechanism cited by CSOs and include **national** task forces for WASH as is the case for the influencing work in Bhutan, Cambodia, PNG and Zimbabwe; **provincial** groups such as the WASH coordination committees in Nepal and Pakistan; and **district** WASH working groups in

**Figure 3: What are the mechanisms for WASH policy debate and dialogue and how do CSOs engage with these platforms?**



Indonesia and Pakistan. CSOs also engaged with policy debate via broader (non-sector specific) bodies, such as district or municipal coordination platforms (Timor Leste) and Provincial Committees in Vietnam. Some CSOs established project-specific coordination committees as a means to influence local level policies (e.g., in IRC, KP Pakistan).

Despite only being applied in a small number of cases, the approach of **informal lobbying** is important to mention, as these are cases with some of the strongest evidence of policy influencing (e.g., SNV in Bhutan, WaterAid in PNG and Timor Leste). In these cases, informal lobbying was used alongside – but not as a replacement for - more formal mechanisms such as government-led task forces but was nonetheless seen as a vital element to ‘nudge’ key individuals and use soft influencing power through one-on-one meetings and continuous engagement over time. In some cases, more personal and social relationships can play a role, for example in Bhutan where some SNV staff belong to the same professional cohort as senior government leaders (i.e., attending the same school and university). Based on these social relationships, staff meet with policy decision-makers in more informal gatherings and even have established networks via ‘wechat’ and ‘whatsapp’ to communicate more informally about sector events.

Another common success involves CSOs taking senior government officials to the field to see specific interventions and meet community members as a means of exposing them to realities on the ground and providing the opportunity to informally discuss policy. This is extended to the CS WASH Fund learning and professional development events. As one CSO reported, these were very helpful as an incentive for government partners and as *‘a way of influencing government thinking through this (soft power)... where people pick up ideas and internalise them which is much more effective’*.

The majority of CSOs (75%) were cited as having good access and of being strategic partners of government (at different levels). It is also interesting, and logical, that some of the most impactful interventions are carried out by CSOs that have policy reform or sector strengthening as part of their organisational mandate, as one put it, *‘this (sector strengthening) ... is part of our organisational DNA’*. SNV Nepal reflected that *‘influencing policy is embedded in their (SNV’s) approach, with four key components of country programme ‘plus one’ which is knowledge sharing – so as part of the project it is all about SNV’s own policy of taking up lessons from the field to local, provincial and central government.’*

Four of the nine CSOs cited as having ‘good access and recognised as a strategic partner’ also rate themselves as having competency in the areas of strategy and advocacy in the online survey (IRC, Plan/Indonesia,



SNV/Nepal and WaterAid/Timor Leste). Only one of the three cited in the next category (some access to government and a degree of rapport with decision-makers) also rated themselves as having competency in these same areas (Live and Learn, Vanuatu).

#### Stage 4: Affecting Policy Change

**The majority of effective CSOs had good insights into policy reform cycles and approached influencing by aligning with government priorities; taking human rights and accountability approaches were also common. CSOs employed evidence as the most important tool for influencing policy. A smaller number also engaged with political champions and focused on budgetary commitments as entry points to affect policy change. Equally, political influence and resistance was cited as the most critical barrier, along with the lack of scale and leverage of CSOs to influence change on their own. Frequent government staff rotation is also a key challenge and can result in ‘lost investments’ for CSOs which take time to re-establish.**

The majority of CSOs (80%) were assessed as having good insights which enable them to understand the way in which policy is developed, reviewed and applied at different levels of government. However, even with a strong understanding of the policy context, in certain environments with high levels of politicisation, there is a limit to how far CSOs can influence. For example, in Zimbabwe, WHH states that it has a good understanding of the policy environment but cannot do much more than just try to ‘*avoid political landmines*’ and analyse the implications of the tensions between central and local government.

The most common approach taken by CSOs is to align with, or be supportive of, government. This is reflected by CSOs across almost all contexts with strong alignment and engagement with government seen in nine countries from district to national level interventions. The logic is that by supporting and aligning with government priorities there is a greater likelihood of influencing what government does and ultimately to change policy. As one CSO staff reflects: “*Being seen as a supporter and financier of what Government wants to do gets you further than confrontation*”. The next most common rationale is to use accountability and human rights as a justification for pushing for policy change; this was found in a diverse set of countries including Bhutan, Indonesia, Pakistan, Timor Leste, Vanuatu and Zimbabwe. In some cases, an indirect approach was taken by CSOs to raise awareness amongst citizen and civil society groups which then in turn advocated with government. Several CSOs have made a focus on financing and budgetary commitments as a rationale. For example, this was an explicit lever used by Plan in Indonesia when working to support the STBM (CLTS approach); see Box 1 below; it was also cited as a rationale for WaterAid in PNG and in WHH in Zimbabwe.

In terms of the ‘how to’ for effective policy influencing the most commonly adopted approach is to provide an evidence base to government about what works and use this to inform policy review (see Figure 4 below). This emerged repeatedly as a highly valued tool to influence policy. In the case of iDE in Cambodia whose work is primarily partnering with private sector sanitation entrepreneurs, provision of robust evidence was a means to engage in the policy debate around subsidies, including the commissioning of a randomised control trial (RCT) study to compare the impact of subsidy approaches.

Linked to the use of evidence as an entry point for policy influencing is having robust and efficient monitoring systems. Those CSOs having well developed monitoring systems that can produce reliable data in real time are better able to demonstrate the effectiveness of their interventions. Both iDE and Thrive Networks in Cambodia and Thrive in Vietnam, were particularly adamant about the value of such systems.



**Box 1: Pathways to improving sustainability of WASH services: Influencing government planning and decisions, Indonesia**

Plan Indonesia implemented the CS WASH Fund project in five districts of NTT Province, with the aim to operationalise Indonesia’s national STBM policy at scale with a focus on sustainability through a government-led approach. At the core the project’s theory of change have been a number of strategic pathways to address key barriers for improving sanitation and hygiene coverage, including working with government partners to influence government planning and funding decision-making processes.

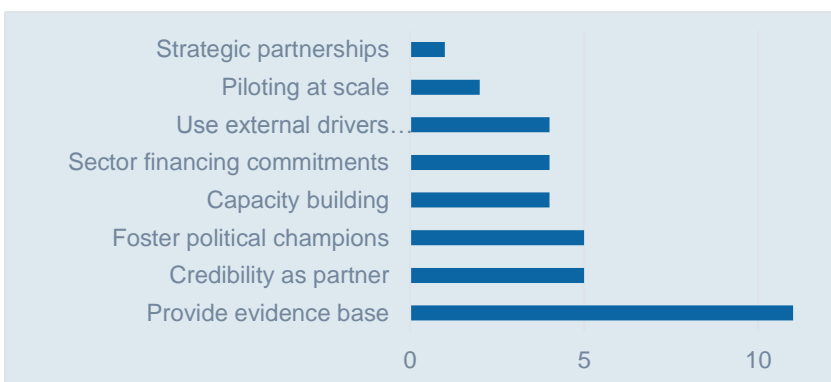
Firstly, Plan together with district WASH working groups and sub-district STBM teams mapped the current government planning and funding decision making processes. In general Indonesia’s budgeting process is conducted in a bottom-up manner from sub-district level up to district level with a series of planning and budgeting meetings attended by government officials and stakeholders. The budgeting cycle takes place every year simultaneously across Indonesia and comprises a series of sequential stages.

The project’s strategy for influencing government planning and funding decision making processes, has resulted in significant outcomes. In particular, five-year government funding for STBM implementation has been secured across the project’s five target districts, allowing WASH working groups and sub-district STBM teams to continue with their STBM roles and responsibilities independent of any donor funding and using government’s own budget. To date STBM replication has extended to 169 villages across the five NTT districts with government budget allocation raising by ten-fold over a three-year period from 2013 to 2016

Mapping the Government’s planning, budgeting and decision making-cycle was one of the key contributors to success. It was important to understand when and how to intervene as the timing of advocacy was important for each budgeting stage to ensure there were no missed opportunities, otherwise it would have been difficult to influence decisions that had been made at an earlier stage.

Source: Ferdian, H., Putra, R.R. and Leong, L. (2017) Pathways to improving sustainability of WASH services: Influencing government planning and decisions, Indonesia (40th WEDC International Conference, Loughborough, UK, 2017)

**Figure 4: What are the most effective ways for CSOs to drive policy change?**



Credibility as a partner of government and fostering political champions were the next two most common entry points. Credibility was explained by both having long-standing presence in a country, with the institutional memory this brings, and the quality of staff and standing in the sector. Several of the most promising interventions for policy

influencing were demonstrated by CSOs with 20 or even 30 years programming presence in a country, such as SNV in Bhutan and Nepal, Plan in Pakistan, and WaterAid in PNG and Timor Leste. These examples illustrate that some of the successful cases of policy leverage have only come about by standing on the shoulders of previous interventions (whether supported by Australian aid funding or not).

Finally, although political influence can be a negative barrier (see below), identifying and working with political champions was equally cited as a success factor by several promising interventions; Plan Pakistan in particular took an ambitious approach by working with both provincial parliamentarians and district level elected



officials to provide support for their work with promoting the Pakistan Approach to Total Sanitation (PATS) approach in Punjab, Pakistan. Plan Pakistan cites political buy in as an important pre-requisite for integrating support for WASH into public sector planning cycles and budgetary allocations; identifying and building working relationships with high-level government officials with an interest in WASH can help to *'negotiate and navigate through government systems'*.

When considering barriers to policy influencing, the research indicates political influence as one of the most critical; as one CSO stated *'the lack of opportunity to obtain money or benefit financially from a change in policy'*, which then manifested in political influence blocking progress. Bureaucratic processes and lack of available financing to support proposed policy changes are also significant barriers, along with the lack of influence of the CSO to affect real change. Another important factor was lack of capacity and staff turnover, meaning that the often lengthy and patient processes of building relationships with key government policy-makers could be undone with rotation of staff, thereby necessitating the re-starting of the process.

### 4.3 Policy Influencing: Conclusions

The CS WASH Fund has, through its implementing CSO partners, been able to play a substantive role in influencing and changing policy in ten countries, including both national level policies and local guidelines. Greatest success has been in cases where CSOs already have policy influencing as part of their organisational mandates. Other key lessons are set out below.

**P.1 The ability to influence policy takes time and requires CSOs to be (seen as) credible partners:** credibility was explained both by having long-standing presence in a country, with the institutional memory this brings, and the quality of staff and standing in the sector. Several of the most promising interventions for policy influencing are for CSOs with 10, 20 or even 30 years programming presence in a country.

**P.2 Country size and scale of the sector can be a factor in creating opportunities for CSOs to have direct impact in policy influencing:** under certain conditions working in small countries (including small island states) with small total population sizes and small sector networks and institutions, the influence of CSOs is likely to increase. In these contexts, international CSOs have more ready access to key decision-makers through tight professional (and social) networks. Dynamic and strong individual CSO leaders can be a bigger factor in small country contexts, providing thought-leadership and the ability to exert influence on policy makers.

**P.3 Influencing policy is more successful when CSO interventions are aligned with, and supportive of, government, rather than acting in a more confrontational way:** being a 'critical friend' of government is more likely to yield results in terms of policy influencing, than in being openly hostile or directly confrontational to government. Although this has been the most common position to take, it does not rule out the use of advocacy positions based, for example, on holding government to account as the ultimate duty bearer for the human right to water and sanitation.

**P.4 Influencing policy requires collective action: CSOs can contribute to influencing policy change, sometimes in very substantive ways, but they rarely achieve this alone (direct attribution):** CSOs can perform important functions and can complement the scale and leverage brought about by much larger bi-lateral and multi-lateral development partners. Some of the most promising cases happen when CSOs and larger partners work in unison, with reinforcing messaging and advocacy positions. CSOs are particularly effective at bringing in lessons from the field and linking with policy dialogue at central levels. They are also able to 'learn fast' unlike some of the bigger agencies.

**P.5 Politics can be a barrier to change, but when understood and harnessed well, politics (and politicians) can also be positive contributors to policy influencing:** political influence, including rotation of technical line



ministry staff for political ends, is a common challenge for policy influencing processes, as is the tension between central and local government. Having a good understanding of the political economy of the sector is an important factor for CSOs to operate effectively.

**P.6 Understanding the broader governance and enabling environment beyond the WASH sector is important:** the WASH sector does not operate in isolation and taking the time to understand broader governance, public financing and decentralisation frameworks is very important for the success of policy influencing work. Many core functions of line ministries and local government are linked with, and set by, broad laws and policies for decentralisation and public administration frameworks.

**P.7 Participating in and engaging with national or sub-national sector task forces or coordination platforms is one of the most effective ways of influencing policy:** being present and an active participant on national or sub-national working groups or task forces sanctioned by government has proven to be one of the most important pathways for CSOs to be able to position themselves in an advocacy role and to be able to get across key messaging to a broad sector constituency.

**P.8 Robust, credible and relevant evidence from operational interventions and linking practice to policy dialogue is a crucial part of influencing policy:** well-documented and credible evidence is a key factor in being able to influence both government thinking and market stakeholders. The old adage of ‘seeing is believing’ seems to then hold true, at least when moving to influence government positioning.

**P.9 Informal lobbying and ‘soft-power’ can play a very important role in influencing policy, alongside other more formalised mechanisms:** informal lobbying can be a critical complement to – but not a replacement for – more formal mechanisms such as government-led task forces. This approach can be a vital element to ‘nudge’ key individuals and the use soft influencing power through personal one-on-one continuous engagements over time. The ability to apply this type of soft influencing is closely linked to the calibre and capacity of CSO staff.

**P.10 The ability to influence policy often reflects the mandate of a given CSO, their own organisational policy objectives (including to influence policy and strengthen sectors), staff profiles and the availability of tools and resources:** simply put, some CSOs are in a stronger position to influence policy than others and this plays out in the insights, understanding and leadership they are able to bring to the policy reform space.

## 5. Findings: Gender and Social Inclusion

### 5.1 Introduction and Context

Gender Equality and Social Inclusion interventions focus on ensuring equal opportunities with the aim that everyone can achieve their full potential in life. This includes policies and actions that promote equal access to public services, as well as enabling citizens’ participation in the decision-making processes that affect their lives, regardless of race, gender, class, generation or physical disability. The GESI theme looked at 12 individual CSO interventions implementing 13 projects, across 11 countries, with Nepal and Zimbabwe appearing twice. An overview of the GESI interventions included in this analysis by CSO and country is presented in Annex 7.

The research examined CSOs interventions and how effectively they were able to understand and work within GESI policy frameworks both in the WASH sector and more broadly. The research also assessed the extent to which GESI goals were mainstreamed into CSO project design and implementation. The Conceptual Framework developed for investigating GESI approaches within the Fund included three stages of assessment as shown in Annex 1.





The first stage examines the policy environment within a country to mandate the acceptance and normalisation of concepts such as equality and inclusion generally and specifically within the WASH sector. The second stage assesses the effectiveness of gender mainstreaming which requires planning, resources and dedicated staffing to ensure that commitments are translated into action and change on the ground. To do this a checklist of GESI mainstreaming was applied. This focused on aspects such as whether a baseline and situational analysis were conducted to identify marginalised groups and to understand reasons for exclusion or barriers to equal access to resources and opportunities. Another critical element for assessment was whether or not GESI interventions were monitored to understand their impact and to ensure that negative impacts were carefully assessed, accounting for culturally and socially entrenched patterns of behaviour around marginalised groups. The third stage assessed the intent of CSO interventions to formulate initiatives that seek social transformation and the extent to which these were realised through GESI approaches.

## 5.2 Findings

### **Stage 1: Assessing the enabling environment: policy environments and institutional arrangements for GESI**

**Just under half of the countries in the Fund demonstrated strong linkages between WASH and GESI policies, which facilitated effective roles and responsibilities and supporting legislation. A much smaller number (only three countries) were assessed as having strong institutional structures in place to support GESI interventions. Where strong policy environments and institutional structures and processes were in place, CSOs were able to tap into this enabling environment to support GESI initiatives more effectively.**

Conceivably, a strong policy environment for GESI filters down to each development sector including WASH, to provide an enabling environment to link GESI objectives with access to WASH services. Such ‘cascading’ of GESI policy commitments from the national to the district and lower institutional levels is critical to achieving improved GESI outcomes at the community and household levels. Through the research it was evident that six of the countries examined under the GESI theme demonstrated strong linkages between WASH and GESI policies, which facilitated effective roles and responsibilities and supporting legislation.

One of the strongest policy environments linking GESI and WASH is in Nepal, where the new constitution affirms sanitation and hygiene as a basic human right. This commitment is further strengthened in the Master Plan for Sanitation and Hygiene and specifically in the Gender Equality and Social Inclusion Operational Guidelines issued by the Ministry of Urban Development (2013). These guidelines set out GESI aspects to be considered during WASH project cycle implementation, giving priority to communities with a high population of ultra-poor and poor by using a disadvantaged group mapping tool and sets standards for the design of toilets to be more women, children and PLWD-friendly.

Across 11 countries a total of 29 different citations to the ordinal categories were identified and scored. These responses indicate that eight of the countries in which the CSOs work have basic institutional structures in place to support GESI in Fund projects. Institutional structures are defined in this research as the processes and institutions in place within a country to support the delivery of GESI policy mandates. Three countries, Zimbabwe, Nepal, and Vietnam, demonstrate strong institutional structures in place to support GESI, reinforcing linkages between policy and implementation processes from the central level of government to regional and district levels. This strong commitment of the government to GESI policy mandates resulted in CSOs being able to more effectively support strategic GESI initiatives than in contexts where institutional structures are less robust.

For example, in Zimbabwe there was evidence of strong structures in place at the central and district levels to support the institutionalisation and decentralisation of GESI WASH policies to the district and local community level. Despite, or perhaps because of, the political context in Zimbabwe, structures to support local authorities



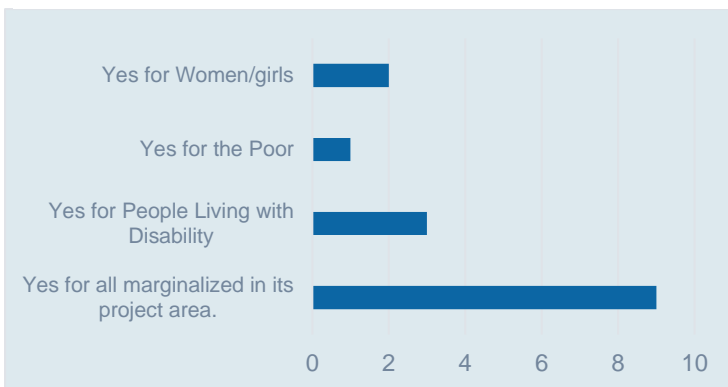
to deliver services were established. The World Vision and WWH projects both utilised and built upon an existing network of volunteer home-based carers as well as local people with disabilities identified through social services records to recruit a cohort of volunteers who became known as “GESI Champions”. Volunteers were selected on the basis of having a commitment to learn about gender and social inclusion and willingness to attend regular training, meetings and community activities. Additionally, the WWH project supported GESI focal persons in local authority offices and officers from Ministry of Women's affairs to mainstream GESI and promote inclusivity. In the World Vision Zimbabwe project, GESI Facilitators and Gender Focal Point Persons within local government authorities were quite closely involved in coordinating the engagement of GESI Champions in project activities.

### Stage two: Assessing the implementation environment and mainstreaming GESI in project delivery

**The CSO interventions under the Fund utilised different approaches to identify potentially marginalised groups and to assess the barriers to integration in development processes. The most common approach to mitigate barriers faced by marginalised groups was to raise awareness and increase participation; developing policy guidelines and the use of targeted financial subsidies were also important strategies. CSO partners demonstrated a clear integration of GESI initiatives in their Theory of Change, which supported the meaningful mainstreaming of GESI objectives. The majority of CSO project interventions were mindful of the need to monitor for any negative or unintended impacts of their activities.**

Identifying specific groups of women, poor, people with disabilities, ethnic groups and the vulnerable to understand why and how access to WASH services is constrained, are all critical to achieving GESI objectives. All CSO interventions did specify marginalised groups (see Figure 5) using a variety of processes and methodologies to carry out these types of assessments.

**Figure 5: Did projects specify marginalised groups?**



For example, iDE Cambodia operationalised a model targeting vulnerable households by using the national government’s system that identifies and categorises populations according to a poverty index (the ID Poor system). Similarly, in Vietnam, Thrive/East Meets West utilised the government’s well-defined process (involving Commune’s Peoples Committee or CPC and hamlet officials and community consultations) to identify such sub-groups. Plan Indonesia conducted formative research at the

commencement of the project implementation on gender and disability including ways to identify PLWD. SNV Nepal used formative research and frameworks such as FOAM7 or SaniFOAM to provide insights into the key behavioural determinants, opportunities and motivators of the target groups of men, women and school children (see also Annex 6 for a list of tools). In Bhutan, SNV undertook joint qualitative research with government partners to better understand what poverty means in terms of sanitation access (see Box 2 below).

Across the 12 CSO interventions, the most common approach utilised to mitigate barriers was to raise awareness of GESI issues around WASH access. Developing policy guidelines, and providing financial subsidies or incentives were the next two most common strategies.

**Box 2: Qualitative research to understand barriers to vulnerable groups in Bhutan**

Joint qualitative research was undertaken by SNV in Bhutan with government partners to better understand what poverty means in terms of sanitation access, to analyse the barriers and constraints (beyond financial means) for poor and socially excluded groups, and to identify solutions and develop strategies with local government for proposed pro-poor support mechanisms. In Bhutan, the challenge of including households and/or individuals that face genuine difficulties in improving their sanitation situation was identified by local and national government. As part of developing a national approach it was important to explore ways in which support from local government and communities could be mobilised. The objective of the research was therefore to identify appropriate support mechanisms to assist people living in poverty to meet their aspirations for improved sanitation and hygiene. Findings in Bhutan showed that a shortage of labour was the main barrier for rural people living in poverty in accessing improved sanitation. The findings helped to set the stage for more effective targeting, with the identification of different dimensions of poverty relating to sanitation access by the community members themselves. These dimensions included: those who lack manpower; single female headed households; elderly people living alone; people with financial constraints; and people with disabilities.

Source: Halcrow, G., Rautavuoma, P., Choden, T. (2014). Tailoring pro-poor support strategies with local governments to improve sanitation services. Phnom Penh, Cambodia and Thimphu, Bhutan, SNV Netherlands Development Organisation,

[http://www.snv.org/public/cms/sites/default/files/explore/download/snv\\_practice\\_brief\\_-\\_pro\\_poor\\_support\\_to\\_improve\\_sanitation.pdf](http://www.snv.org/public/cms/sites/default/files/explore/download/snv_practice_brief_-_pro_poor_support_to_improve_sanitation.pdf)

In the case of Save the Children in Myanmar the project identified men's attitudes as a key barrier to women's participation at the community level and subsequently developed strategies to raise awareness for men to facilitate women's participation in WASH committees, including in leadership roles. The project recognised that gender training and awareness-raising events supported women to become increasingly influential in decisions about their roles on WASH Committees. In the WHH Zimbabwe project, GESI Champions continuously sought to educate residents and provided training to raise awareness of gender issues in the communities. This has reportedly resulted in increased awareness of more equitable distribution of water-related chores between men and women and has brought about behaviour change, with men assisting with water collection, although admittedly still on a limited scale.

The development of policy guidelines to address barriers was a strategy employed by World Vision in Zimbabwe where the project facilitated the drafting, endorsement, implementation and monitoring of gender mainstreaming plans at municipal level. In Timor Leste the Water Aid project also developed a manual for facilitating dialogue between women and men in communities, which was then adopted by the government as a national guideline. The process built up the confidence of facilitators to stimulate positive change for GESI in the communities and now has country-wide dissemination.

Financial subsidies were an important strategy to reduce barriers to access for the poor, including women and girls and other marginalised groups. In Cambodia, for example, iDE supported the development of markets for WASH products with an emphasis on affordability and accessibility that sought to directly benefit poorer households, which are often female-headed. By facilitating affordable financing and enabling families to purchase a latrine and install it close to the household, this project intervention has helped to improve the lives of disabled people who found it difficult to practice open defecation far from the house or without assistance. In Bhutan a shortage of labour was the main barrier for rural people living in poverty accessing improved sanitation; Box 2 above provides the findings of qualitative research carried out by SNV and the government, which helped to set the stage for effective targeting, with the identification of different dimensions of poverty relating to sanitation access.



Gender mainstreaming implies political change and redistribution of power and resources. Inequalities are manifested through a complex web of forces, socially, culturally, and economically entrenched in societies and relationships, which cannot be easily changed by isolated or one-off interventions. If the overall goal of GESI is to effect social transformation, a critical area for the sustainability of GESI initiatives is to ensure that such objectives are mainstreamed into implementing the overall Fund Theory of Change. This implies ensuring GESI has been included in interventions to strengthen the governance and capacity of Change Agents to deliver improved water and sanitation outcomes and hygiene behaviours<sup>7</sup>.

Across all of the CSOs interventions, more than half (seven examples, including World Vision PNG; World Vision and WHH Zimbabwe; SNV Bhutan; Thrive Networks Vietnam; Plan Indonesia; and SNV Nepal) show strong evidence that GESI issues were mainstreamed in the project's Theory of Change. A further five projects (ARC, Nepal and Bangladesh; iDE Cambodia, Live & Learn Vanuatu, and Save the Children, Myanmar) showed some evidence of GESI in their Theory of Change. A strong example of such mainstreaming is from the SNV Nepal SH4A project, which aimed to ensure that the practical needs and strategic gender interests of women and men (including from the disadvantaged Dalit groups) were taken into account across the project and that effective participation was promoted at all levels. Monitoring tools tracked participation and influence at different levels. Specific gender and social inclusion strategies (with a focus on Dalit groups and PLWD) for maximising their meaningful participation were further developed and implemented. These interventions were reflected in an increase of gender and social inclusive programming in the District WASH Coordination Committee decisions at the district local government level as documented by SNV.

Allocation of resources to GESI initiatives is critical to achieving mainstreaming, including time, operational budgets and qualified human resources. Across the 12 CSOs and 13 projects, ten projects provided some evidence of a pro-poor, gender or social inclusive approach to budgeting in their project processes. For example, in Nepal ARC facilitated a sanitation fund for 500 ultra-poor households, allowing them to upgrade their sanitation facilities to government standards and 45 households with PLWD to gain improved access to sanitation facilities. Consultation with a range of local government and civil society was done in order to select the ultra-poor families to receive support through this sanitation fund. In Cambodia, iDE focused on enhancing marketing strategies for poor people and women to access sanitation facilities. In Bhutan, SNV supported the capacity of local authorities to plan and budget WASH activities in order to ensure that local pro-poor support mechanisms were in place to assist households such as single-headed female households and people living in informal settlements. The Thrive/EMW, Vietnam project's financial incentives and comprehensive implementation approach provided the necessary conditions for a woman to purchase a latrine or a water connection.

Lastly, the research assessed whether CSO interventions uncovered any unintended outcomes through their monitoring processes. Societies are based on power relations between genders, social classes, ethnic, religious and other groups. Empowering specific groups in a community often means reducing the influence of other groups who previously held power. As such, there can be a risk that the implementation of GESI strategies may create tensions in communities and may cause a backlash against the intended beneficiaries of the strategy itself. Applying a 'do no harm' approach therefore considers both the intended and unintended consequences of any intervention.

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<sup>7</sup> CS WASH Fund (2017) Enabling Environments in the Civil Society WASH Fund: Synthesis Report from the Fund Learning and Reflection Event



Across 12 CSOs and 13 project interventions, eight CSOs demonstrated some evidence that they monitored the unintended outcomes of WASH programmes. For example, L&L Vanuatu reported that they sought to engage men in their efforts to “feminize sanitation and hygiene” and to ensure that men were promoted as engaged change agents and role models. In its risk strategy Plan Indonesia flagged the importance of formative research on gender and disability to determine the current gender relations at the household and community levels (particularly decision making and leadership in WASH). This also included disability perceptions within the target population and provided guidance on strategies for engaging women and PLWD within a do-no harm framework. World Vision in PNG stressed the need to use a do-no-harm approach because of the high rate of gender-based violence (GBV) in the project intervention areas. Both IRC and Plan worked within very challenging cultural conditions in Pakistan, but because of their very deliberate and considered approach to involving women in project activities, specifically within WASH committees, they reported no unintended or negative impacts. Box 3 below, provides perhaps the strongest example across the Fund from the work of Thrive/EMW, in Vietnam which had an explicit approach to monitoring for unintended

**Box 3: Thrive - East Meets West, Vietnam: on-going assessment of negative or unintended impacts of GESI interventions as part of the OBA programme**

Thrive - East Meets West undertook in-depth qualitative research in partnership with the Institute for Sustainable Future, University of Technology Sydney to identify whether their systematic engagement of the Women’s Union (WU) to implement OBA had resulted in specific gender outcomes at the household level, and among (WU) volunteers themselves.

In the research investigating impacts on WU volunteers, of 20 village promoters interviewed, 14 (70%) reported experiencing at least one positive gender related outcome that could be linked back to their involvement in the OBA programme; many of the promoters reported more than one positive gender outcome which shows the breadth of their experiences. The most commonly reported change overall was a positive impact on gender roles and an increased in status of the Vietnam WU promoters in their communities with a focus on greater respect and appreciation from the community. Examples included people giving compliments and honour, people giving thanks and rewards, people being friendlier and people recognising and appreciating woman’s efforts. One promoter from Long Toi Commune reflected: *“when I started doing OBA for sanitation, I went to mobilise people [and] the men in the hamlet stigmatised me; “This woman asks many things, why don’t women stay at home and look after the family? You come to my house and interfere our things”. But now, it is these people who respect me, they often ask me questions and pay regards to me. That makes me happy. Then my activities in the village now are not only hygiene and sanitation, but also street lights for roads, and many other issues.”*

Only one negative impact was reported from the research being that women who took on the work as WU volunteers sometimes had a high workload. Five out of 20 volunteers (25%) reported drawbacks or negative aspects of their involvement in OBA including significant investments of time, travel to cover large areas and persistent and repeated household visits required to persuade households and assist with loan applications in order to achieve latrine coverage targets.

Source: CS WASH Fund. (2017). Key Performance Questions. Thrive Vietnam.

impacts.

**Stage three: Assessing the potential for GESI transformation**

The majority of projects provided good evidence that their activities supported some elements of gender transformation through WASH. Participation of women and marginalised groups in project activities is seen to be the most common feedback tool and indicator of the success of CSO GESI initiatives. All projects aimed to contribute to broader changes in gender relations by working to achieve more equitable influence



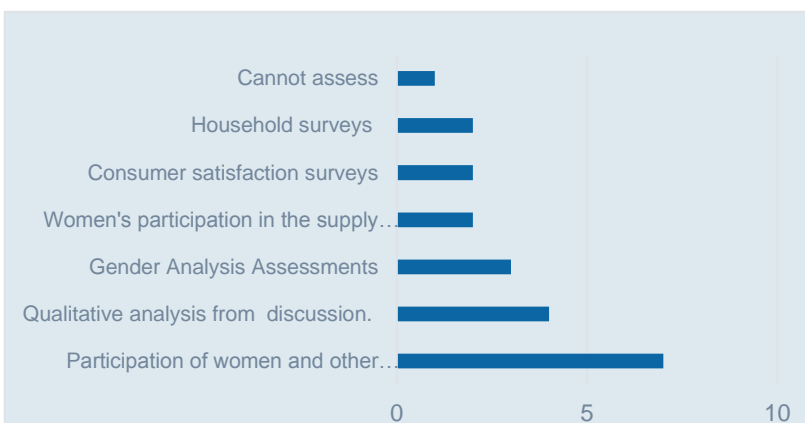


**between women and men over WASH-related decisions at the household level and improving women’s influence and decision-making power in the community. Only a limited number of CSOs provided strong evidence to support the assumption that when menstrual hygiene management is implemented in schools, it supports the likelihood that girls’ attendance will increase.**

The first step in enacting social change through GESI is determining if and where gender transformation is being supported. Gender transformation can be understood as a set of processes that create opportunities for individuals to actively challenge gender norms, promote positions of social and political influence for women in communities, and address power inequities between persons of different genders. The majority of projects studied aimed to contribute to a broader change in gender relations by working to achieve more equitable influence between women and men over WASH-related decisions at the household level and broadening women’s influence and decision-making power in the community. Across the 12 CSOs and 13 project interventions, ten projects provided good evidence that their activities supported gender transformation through WASH, including ARC Nepal and Bangladesh, L&L Vanuatu, SNV Bhutan and Nepal, Thrive/EMW Vietnam, WWH Zimbabwe, World Vision Zimbabwe and Papua New Guinea, and Plan Indonesia. Three others (iDE Cambodia, WA Timor Leste, and SC Myanmar) also demonstrated some evidence of gender transformation. The majority of these project interventions contributed to a broader change in gender relations by working to achieve more equitable influence between women and men over WASH-related decisions at the household level and broadening women’s influence and decision-making power in the community.

The majority of projects utilised participation of women or marginalised groups in project activities as the most common feedback tool to assess the success of GESI initiatives towards GESI transformation; see Figure 6 below. Additionally, the most significant measure of success from the perspective of the CSOs was the increase of influence that women and marginalised groups had around the implementation of WASH activities in the communities (see Figure 7 on the following page).

**Figure 6: What feedback tools have been used to assess the success of these gender transformation initiatives/approaches?**



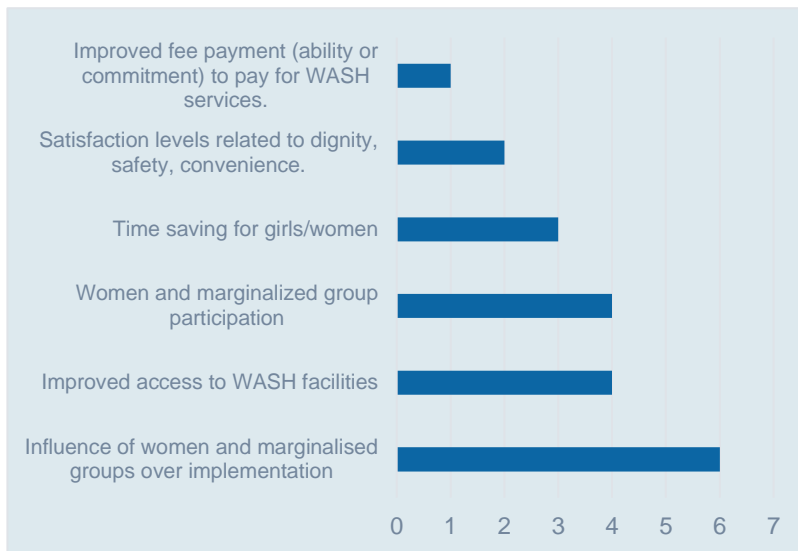
Examples illustrating that increased participation will lead to both a greater capacity of women and an enabling environment for women to be involved in decision-making in the household and the community more broadly, can be found within projects across the Fund. For example, The Live & Learn project in Vanuatu reported that as a result of women’s participation in the leadership of the Community-based Sanitation Enterprise (CBSE) there was

an increase in respect from community members and that the men in the business enterprises supported their leadership. The project also reported the gender awareness sessions carried out by the project have contributed to breaking down some of the traditional barriers of women not actively participating or being involved at decision making level in community development projects





**Figure 7: What measures have been used to assess the success of disability and socially inclusive initiatives/approaches?**



In the SNV Nepal project, a focus on inclusion has seen women's participation in various project activities increase, resulting in what is most often described as a corresponding increase in confidence of women or people from other marginalised groups to express their needs to make WASH facilities gender sensitive and inclusive. Through these experiences women were then able to become more engaged in wider community issues and more self-assured in presenting their ideas, concerns and even to lead debates.

The SNV project in Bhutan provided operational guidance on how to increase women's participation and influence on WASH decision making at all levels. The resultant higher rates of female participation and the corresponding rates of improved sanitation and hygiene reflect the change in how women and men participate and influence decisions. The formative research on gender led to a commitment to enhance women's economic empowerment by establishing collaboration with local women's CSOs, resulting in 58 women trained in masonry, a role that was traditionally seen as purely a man's job. This had a knock-on benefit of the additional source of income for women, which helped increase their decision-making power within their families.

However, a useful analysis by Plan Australia cautions that participation is just the first step in gender transformation. It highlights that the quality of participation, and not just quantity (of both women and men), is an essential starting point to open up space which can be built upon to bring about change, particularly for practical gains. Participation alone may not result in an advancement of gender equality, however it can serve to provide the foundation for other forms of gender strategies beyond participation, such as more equitable sharing of roles for WASH and power relations.

Lastly, the research questioned whether the underlying premise or assumption by CSOs that menstrual hygiene management (MHM) strategies would have an intended and positive impact on increasing girls' attendance at school. This could be done, for example, by comparing baseline with end line data on school attendance in programme areas with those not receiving such MHM interventions. Only three CSOs provided strong evidence of sufficient quality regarding the impact of MHM strategies on girl's attendance, namely, World Vision, Zimbabwe; Live & Learn, Vanuatu; and ARC in Bangladesh.

In the case of ARC Bangladesh teachers and student leaders attending a project workshop reported a significant increase in school attendance by girls, which they attributed to the availability of toilets in schools with facilities to manage menstrual hygiene. The CSO projects which integrated MHM issues indicated that their activities resulted in positive impacts on girls and women in terms of access to facilities which supported their need for privacy and dignity. In the World Vision project in Zimbabwe, training in MHM for School Health Masters and School Development Committees subsequently led to some schools budgeting for MHM



resources such as sanitary napkins and pain-relief tablets. Both girls and boys are now being taught reproductive health at school, resulting in an improved general awareness of menstrual hygiene, which was previously a source of much teasing of girl students by boys, as well as creating a more friendly environment in schools for adolescent girls.

### 5.3 Gender and Social Inclusion: Conclusions

The CS WASH Fund has, through its implementing CSO partners, been able to implement a wide range of GESI initiatives and play a substantive role in promoting positive change both in direct terms, through increased participation of women, girls and marginalised groups in WASH activities, and contributing to broader transformation at community and institutional levels. Further conclusions and lessons are set out below.

**G.1 Supportive national GESI policy mandates and linking with institutional structures can improve GESI interventions at the community level:** GESI initiatives at the community level are more sustainable and effective where there are supportive policies for GESI within the enabling policy environment and where programme interventions link well with institutional structures that operationalise such policy mandates. This reflects the fact that the sustainability of interventions is ultimately dependent on overall national context and mandates for gender equality and social inclusion through legislation, and executive structures, as much as bottom up social transformation.

**G.2 Fund interventions included a strong focus on participation as a means of achieving social transformation:** Every CSO sought to increase women and/or marginalised peoples' participation, largely by increasing the number of women in leadership positions and in some technical roles. The majority of projects contributed to broader changes in social relations by working to achieve more equitable influence between women and men over WASH related decisions at the household level and broadening women's influence and decision-making power in the community.

**G.3 CSOs successfully employed a range of approaches to identify potentially marginalised groups and to assess the barriers to integration in development processes, including qualitative research methods:** Utilising existing government systems for identification of poor and marginalised households was particularly effective, although not possible in all countries.

**G.4 The majority of CSOs monitored negative or unintended impacts linked to GESI interventions:** This is a positive finding and reinforces the importance of adopting a 'do no harm' approach, particularly considering some of the very challenging social and cultural environments for women and other minorities across countries in the Fund.

**G.5 The impact of menstrual hygiene management was well monitored by a minority of CSO interventions, but such good practice could be expected to be more widespread:** Although there was limited evidence to assess whether interventions actually measured an increase of girls' attendance at school due to MHM strategies across the Fund, the few strong examples illustrate the important contribution of such practical interventions to longer-term strategic gender impacts.

**G.6 Standardising and institutionalising operational guidelines can be an effective way of promoting GESI:** The development of tools such as operational guidelines on "how to do GESI" and formulating them as national guidelines can be critical to support more effective implementation. Government endorsement of



GESI guidelines at national or local level provides additional credibility and leverage for use across a range of implementing partners.

**G.7 Doing “GESI work” is slow and painstaking and requires dedicated resources and focal points to be most effective:** Addressing GESI most often requires slow, step-by-step action to change often very entrenched attitudes and customs which are matched or supported by social structures which inhibit equality. Mainstreaming GESI in the Theory of Change, by capacitating Change Agents, provides an effective framework for social transformation. Allocating adequate resources – human expertise and time – as well as operational allocations to support GESI objectives is essential. Realistic expectations of the speed and scope of GESI objectives are also needed.

## 6. Findings: WASH Market Facilitation

### 6.1 Introduction and context

Before deciding to implement a market-based approach, a CSO must work with potential market actors to establish that a market opportunity exists by examining fundamentals and understanding options for the viability of any given intervention. With this understanding, the CSO can work to identify gaps in market operations and can then either position itself to fill those gaps or support third-party “gap-fillers” who are on the ground and will be part of the functional market after CSO support ends. Most importantly, each market actor – or potential market actor – must be part of a comprehensive business plan. The focus of the market analytics in this research is on the key components of such plans. These components are reflected in the conceptual framework to the WASH Market Facilitation theme taken by the researchers (see framework in Annex 1).

The following findings emerge from application of the learning questions in the conceptual approach to 11 CSO interventions across 9 countries, with Cambodia and Bangladesh appearing twice. An overview of the WASH Market Facilitation interventions included in this analysis by CSO and country is presented in Annex 8.

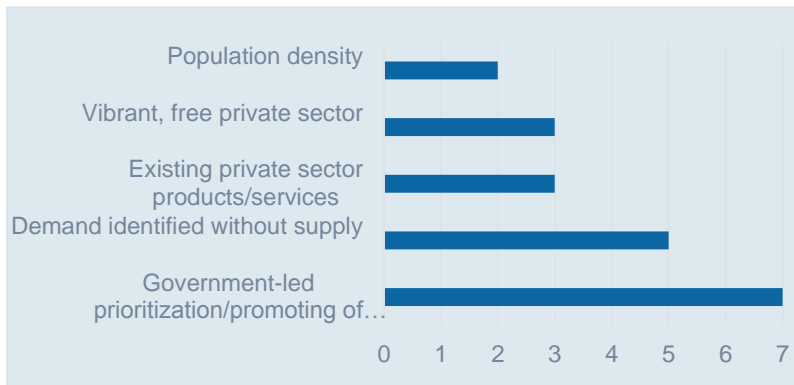
### 6.2 Findings

#### Stage 1: Establishing the Market Opportunity

**The most important condition conducive to the creation of markets was the existence of a government-led prioritisation of private sector engagement. Population density was found to be of only marginal relevance to stimulating market demand. The three most frequently cited barriers to market creation are difficulty reaching those most in need of services, limited availability of capital for purchase or market entry and the absence of existing suppliers of products and services.**

Successful entrepreneurs operate in a comprehensive market comprised of discrete elements. When supporting market-based approaches to improve WASH service delivery, a CSO must gain an understanding of the market and support entrepreneurs’ ability to operate within its opportunities and limitations. Before deciding to implement a market-based approach, a CSO must work with potential market actors to establish that a market opportunity exists.

In the portfolio of CSO interventions studied, markets were analysed, understood and entered into in a variety of ways. Some CSOs began their work by systematically diagnosing operations across the whole market while others began by identifying a particular programme challenge that could be met through private sector provision of a specific product or service. Approaches sometimes included discrete analytical activities; other CSOs developed market understanding from experience and observation.

**Figure 8: What conditions were identified as conducive to market creation?**

Irrespective of approach, CSOs offered a sense of the local conditions conducive to a market-based approach. The most cited condition was the existence of a government-led prioritisation of private sector engagement (see Figure 8). This prioritisation was most commonly in the form of a national sanitation strategy or policy, a national programme that highlighted Community-led Total Sanitation (CLTS), or a timebound goal of achieving Open-defecation Free (ODF) status across the county. Consistent with this was the second highest cited positive condition where a national environment and/or local initiatives supportive of improved sanitation stimulated a demand for household purchase of sanitation facilities, products or services before supply chains were fully in place for private sector provision. This stimulation of demand created a conducive setting and incentives for entrepreneurs to enter and engage with the market. The combination of these two factors was the overwhelming programmatic context that made market-based responses viable to address WASH challenges: namely, when a CSO demand-generation programme aligned with a government-driven mandate for improved sanitation conditions.

This makes logical sense when viewed through the lens of private sector actors. They should be expected to be more willing to enter a low return sales market, as is typically found in WASH products and services, when they can see a likelihood of high volume business over time. The sector can provide a high volume business,

but only if families and institutions are convinced to prioritise investment in products and/or services. This is achieved through well-planned and implemented demand generation. With a government commitment also in place, commercial operators can better rationalise investment, entry, and/or expansion into the market with a long-term profit potential. The marginal relevance of population density in the reporting was somewhat surprising (see Box 4 below). Expert descriptions of conducive conditions for WASH markets often cite the need for a population size and density that supports a vibrant private sector and economies of scale for products and services. The only CSO that cited the importance of this condition was WHH in Zimbabwe which worked to establish a market for a sludge management technology that required the concentration of fecal volumes presented by an urban setting. There is apparently room for small

**Box 4: Size doesn't matter: sanitation marketing in Indonesia**

Plan International worked with Tyas Wotan, a local government sanitarian in Kupang, East Nusa Tenggara Province, to help him establish a business as a toilet bowl entrepreneur. His market is small but profitable. With a 115% margin and sales of 600 bowls in 2017, he generated US\$1,700 in profit. He advertises on Facebook!

Source: C.McGahey interview (2017)

entrepreneurial entrants into markets that do not rely on population density or critical mass for markets, as illustrated by the example in box 4 above.

This research also identified the three most frequently cited barriers to market creation: (1) difficulty reaching those most in need of services; (2) limited availability of capital for purchase or market entry; and (3) the absence of existing suppliers of products and services. CSOs typically found that they could facilitate purchase uptake in the well-off and less well-off population segments, but in all cases cited not reaching the poorest of the poor was unsatisfactory to the CSO and/or government in question.



The tendency of CSO to reach toward the “Bottom of the Pyramid” and thereby into the most challenging corners of the potential market is a common conundrum across many market-based approaches in the WASH sector. This segment of customers is where demand is often lowest due to limited awareness and unhygienic practices, capital is at its most restricted and affordable, reliable, and safe WASH products are least available in conventional markets. Markets can more easily function in higher wealth quintiles as demonstrated by the experience of Habitat for Humanity in Bangladesh which launched its CBO-operated revolving fund through loans made to, and fully repaid by, relatively wealthier families before engaging with poorer customers.

Limited capital investment was also a commonly cited example of a market barrier, mostly for households willing to invest in products or services and for very small-scale entrepreneurs (e.g., masons) who were capital poor and typically lacked a bankable business plan. Without such a plan, their need for capital cannot be met because of the inability to demonstrate to financial institutions that she or he is a viable loan candidate despite potential commercial opportunities.

A similar concern was the barrier created when private sector providers of products or services simply did not exist, which was a common finding in more rural locations. Habitat for Humanity in Bangladesh and Welthungerhilfe in Zimbabwe, both mentioned a total lack of suppliers of sanitation and hygiene products in their areas of operation which they responded to with a human centred design effort to identify products and/or services of interest to potential customers. Plan Indonesia described absence of suppliers of sanitation loan products and negligible private sector actors with business, marketing or managing capacity. In Vietnam, Plan cited the sanitation market as very small compared to other construction and supply demands resulting in limited motivation for hardware retailers to enter the sanitation market and availability of construction materials was limited at their commune level of operation; most suppliers were located at a distance at district or province levels. Without the presence of suppliers, demand creation initiatives were met with an intractable barrier; these widespread commonalities reinforce the importance of structured market analysis at the launch of market-based initiatives.

Of particular note is the less frequently cited, but stubborn, barrier created by in-country competition or conflicting programmes. This was cited as an issue by Live & Learn in Vanuatu where subsidies for household purchase of toilets were common and distorted markets and in Cambodia where the issue of rebates as part of OBA were perceived as a potential threat to full market-based response to demand.

## **Stage 2: Identifying Gaps in Market Operation**

**Despite the need for a comprehensive and upfront analysis of any potential market, less than one third of CSOs undertook rigorous market analysis before market interventions. Most CSOs did no market analysis to guide interventions. Although communication technologies, social media and technology penetration are increasingly prevalent, there was little indication that the CSOs invested in analysing or optimizing channels by which customers obtain information.**

A comprehensive and upfront analysis of any potential market, including the market gaps which CSOs could potentially fill, and the linkages between products and services and customers is a basic pre-requisite for any market-based approach. However, of 18 citations, only five described implementation of rigorous market analysis in advance of market intervention (see figure 9 below). Most CSOs did no market analysis to guide interventions. Rigorous analysis was a feature of Plan’s work in both Indonesia and Vietnam where external professionals experienced in market analysis were engaged. IDE’s work should also be noted in that although they did not conduct a rigorous market analysis at a single point in time, their organisational focus and duration of in-country operations provided them with a deep understanding of local market operations.



Where incomplete analyses were conducted, CSOs used community-based discussions, non-rigorous research, or even more cursory examinations of a few aspects of market operations.

**Figure 9: How was a market analysis conducted?**



The two most frequently cited market gaps that CSOs chose to fill were business acumen and capital finance. Filling these gaps was approached in several ways depending on the objective of the organisation. If the organisation's goal was to establish a viable market in which it is not an actor (e.g., Plan International, Habitat for Humanity, Australian Red Cross), then business acumen was provided to and internalised by market operators, and capital

finance needs were met from local formal or informal financial structures. In certain circumstances (e.g., Thrive Network Laos), the objective was not to develop a sustainable market but just to stand up private sector suppliers to meet local ODF status. In this case, unsustainable provision of products was appropriate. Finally, a small number of CSOs chose to become an actor in the market either providing specific services or operating at the centre of the market (e.g., iDE/Cambodia).

From the available documentary evidence, CSOs had not clearly articulated who the customers were for their market-based initiatives. It is unclear if this indicates a casual approach to beneficiaries and structuring a market response targeting them, or if the CSOs had an implicit understanding of the intended market customers. In either case, it highlights the tendency of CSOs to insufficiently examine market actors. Unsurprisingly, CSOs emphasised their classical core constituencies of rural households, woman-headed households, and PLWD. Of note, however, is the inclusion of government institutions in this list of customers. Most frequently, they were viewed as customer segments because of the economies of scale that service suppliers (e.g., large volume faecal sludge management) or product vendors (e.g., large facility construction) could obtain. Plan Pakistan viewed institutions as potential investors. WHH viewed government as potentially high-density paying customers for sludge management services. Plan Vietnam viewed schools as candidates for installation of latrines that were child-friendly, amenable to those with disabilities and part of hygiene promotion programmes.

Although communication technologies, social media and technology penetration are increasingly prevalent, there was little indication that the CSOs invested in analysing or optimizing channels by which customers obtain information. Only one example was identified where web-based communication was being used as a marketing tool for toilet bowl entrepreneurs associated by Plan in Indonesia. Most CSOs accessed conventional communication channels (e.g., community meetings, newspaper, radio and posters, calendars, flyers or billboards) irrespective of evidence of their reach to target audiences.

When asked about the products and/or services provided in market-based programmes, the most interesting observation was the heavy emphasis on products over services (i.e. latrine emptying). This emphasis is logical given the still pressing numeric targets for access (e.g., the MDGs), but will need to change as the Sustainable Development Goals (SDGs) influence governmental planning and, hopefully, CSO programming to more comprehensively address issues of system service delivery and safe management of infrastructure.





### Stage 3: Creating a Bankable Business Plan

**Basic business planning – both for the CSO or for its market partners – is fundamental to identifying the assistance required to become profit-making social enterprises. Typically, this information was not available to the researchers directly from the CSOs, but many could provide it when specifically asked. Only three CSOs could provide commercial details; a similarly limited number developed any form of branding or marketing plans.**

Learning questions related to awareness of cost structures and revenue streams illuminated a significant flaw in market-based programming, in that most CSOs lack documentation of fundamental aspects of business operation. Only iDE Cambodia was able to provide a detailed and realistic cost structure for its business operations, reflecting its more sophisticated in-house skills in financial planning for profit-making entities. Other CSOs provided information that described their only own CSO operations or omitted significant common costs such as capital investment.

Three CSOs (iDE Cambodia, ARC Bangladesh, and Live & Learn Vanuatu) provided specific descriptions of sources and values of revenue for commercial operations. Other respondents provided only anecdotal references to profitability, the importance of social motivations as opposed to profitability or, in the case of Thrive Laos, the importance of income from government and donor contributions as key sources of market revenue. Whatever the details behind the responses, it is clear that the majority of market-based programmes in the CS WASH Fund portfolio did not have a complete financial understanding of success or failure of market actors. With such an understanding of the daily operations of business partners and/or the market operation as a whole, CSOs would be better positioned to identify the viability of the market and the ways in which they could facilitate its operation and expand private sector participation.

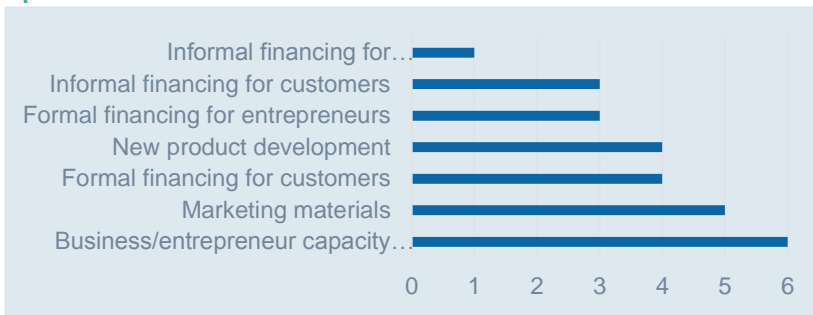
As noted earlier, the greatest number of responses to cost questions related to products: promotion, construction and delivery, or producer training. The second most frequent reported costs were training and promotion to authorities (e.g., government-affiliated sales agents, WASH Working Groups, government functionaries) divided between product promotion (e.g., iDE and Thrive in Cambodia) and business skills (e.g., Plan in Indonesia, Pakistan and Vietnam).

Consistent with the observed general weakness in business planning is the finding of only three citations related to branding and/or marketing plans. Although many CSOs introduced new products to markets, the only CSO that generated branding for a product under the CS WASH Funding cycle was Live & Learn in Vanuatu. Plan Pakistan developed a marketing plan for affiliated sanitation businesses to ensure their financial viability post-ODF achievement by supporting their incorporation of an expanded line of products and services for personal and household hygiene. Plan Indonesia accomplished the same goal by facilitating the formation of sanitation entrepreneur associations and providing broader reach for individuals to maintain business after ODF status was achieved locally.

During the implementation period of the Fund, CSOs appeared to realise that no single entrepreneur, market actor or external facilitator can provide all of the resources necessary for market functionality or to bring a specific product to market. This is clearly demonstrated by the wide-ranging responses seen in Figure 10. These strongly illustrate the need for those entering, facilitating or funding a market-based approach to understand the resource needs for full operation of the market; or, at a minimum, in advance of active engagement of private sector options for each to understand how the portion of the market they support relies on external resources and what are the requisite costs.



**Figure 10: What key resources can businesses use to support market operations?**



In order to obtain the required technical advice and resources, CSOs and associated market actors looked for partners to provide expertise and specialist counsel. Community health workers or sales agents were needed whether the CSO was an active market participant (e.g. iDE Cambodia) or

facilitator of demand and supply services (e.g. Plan Pakistan and ARC Bangladesh). In either approach, they served as a common link between households and the market. Collaboration with government staff also took other forms as needed by the objective of the CSO programme. For Thrive in Laos, taking an OBA approach by engaging government staff centred on their providing budgetary commitments to replace donor supported rebates. For Plan Vietnam, this engagement facilitated the government developing “one stop” sanitation shops and was primarily in the form of capacity building and operational support. WHH in Zimbabwe looked to government staff and institutions as potential markets for sludge management services. In several cases, market operators looked to government staff for assistance with pro-business regulatory reform supporting the gamut of options for involvement from full ownership, as with Plan Pakistan, to promulgation of national quality standards. The latter provided significant support to Plan’s work in Indonesia by solidifying markets for the entrepreneurial retail of quality-certified toilet bowls. In other cases, CSOs looked beyond in-country partners and engaged expatriates for support as researchers, product providers or programme documenters.

Microfinance institutions (MFIs) seem to be logical partners to small-scale entrepreneurs, at least superficially, but they have proven to be reluctant to lend to households as non-productive units or to entrepreneurs who cannot confidently demonstrate a logical business plan that includes debt repayment. At best, MFIs have provided loans to proven business operations, but the research found that more frequently CSOs opted to create or facilitate alternative financing schemes to support programme objectives.

#### Stage 4: Facilitating a Market

**The majority of CSOs focused on products including Human Centred Design for the creation of new products and support to their eventual suppliers. There is evidence that any form of market intervention takes many years and realistic expectations are needed to see markets mature over time. Several different market pathways and levels of scale were identified across the Fund, from local, to sub-national and truly national. However, the majority of CSOs had no exit strategy in place that would leave behind a locally sustainable WASH market.**

The following section identifies common critical programme elements and the extent to which the variety of market-based approaches applied by CSOs resulted in the ultimate goal of WASH sector investments: improvement in service delivery<sup>8</sup>. Despite the variations in approach cited in the previous discussions, there are common critical shared elements, largely focussing on products, as was found in analyses of other learning questions. Commonly cited critical elements of effective approaches were found to centre on application of Human Centred Design for the creation of new products and support to eventual suppliers (see Figure 11).

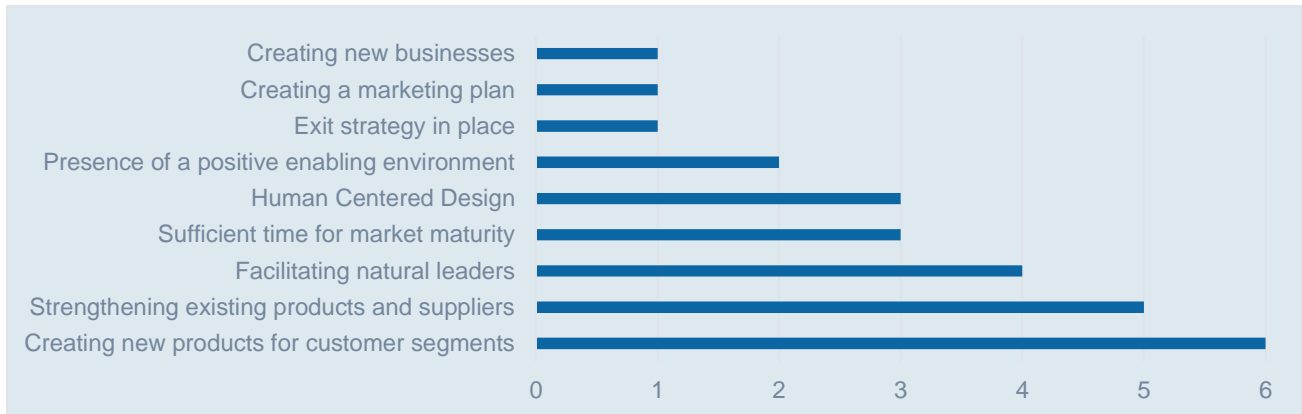
But, in terms of building a broader system of service delivery, the frequency of citations of facilitating natural leaders is of note. A natural leader displays the characteristics and personality traits of a leader including

<sup>8</sup> See definition footnoted in Section 7.2



vision, effectiveness, social ability, self-confidence, assertiveness, and boldness. Live & Learn Vanuatu perhaps best summarised their importance: identify the “*right people to take on the right roles*” both within the CSO and in businesses.

**Figure 11: What are the common critical elements of effective approaches?**



The final critical element is the importance of allowing sufficient time for market maturity. Thrive Networks in Cambodia cited the need for time to achieve full governmental adoption of OBA rebates. Plan Indonesia noted that they have been involved in sanitation market development for seven years and that the market is only now reaching equilibrium where supply and demand have aligned to indicate a sustainable marketplace. Live & Learn Vanuatu emphasised the slow, incremental nature of business in their programme, and iDE Cambodia’s multi-faceted programme developed incrementally over two decades of in-country market expansion.

As noted several times in the preceding discussion, the approaches taken by CSOs vary with context and objective. At community level, an approach to mobilise a cadre of small-scale entrepreneurs to meet immediate ODF objectives, as implemented by Habitat for Humanity Bangladesh and others, may be an optimal approach. Across districts or provinces, a focus on cost-effective pathways to complete WASH coverage or regional market-based approaches with marginal attention to building robust government capacity, as represented by iDE Cambodia, may be appropriate. But, if a sustainable, national system of service delivery is the objective, then approaches in which governmental capacity and authority are combined with a confident and competent private sector may be best, as epitomised by the work of Plan in Indonesia.

There are of course, blended approaches combining elements of each of the above scenarios. But, the research found that supportive government leadership combined with existing interested entrepreneurs is the bedrock of effective approaches (see Figure 12). The roles of a supportive government are three-fold: (i) to establish the framework, vision, objectives, and regulatory structure within which multiple approaches can exist; (ii) within that framework, and associated authority space, to allow private sector initiative and the consistency of policy and practice that gives the private sector the confidence to invest in markets; and (iii) to provide quality control over products and procurement.

In contexts without a supportive government, the work of the CSOs was made more difficult, but it could still lead to success. In order for them to succeed in this environment, CSOs needed to not only facilitate market actors but also contribute to modifying statutes and regulations, promoting private sector opportunities through policy change, and supporting the government to fulfil its roles.



**Figure 12: What are the contexts of effective approaches, and how much have approaches been tailored to specific contexts?**



iDE provided this support to the Cambodian government and as Thrive Networks moves their OBA programme into Laos, it is addressing the “restrictive” operations of governmental programmes.

The single disappointing finding from this line of questioning was the observation that of the 11 individual CSO interventions across 9 countries investigated, only two were

found to have an exit strategy in place that would leave behind a locally sustainable WASH market. For Plan Pakistan this was enabled by the government’s programme and accelerated by government’s closure of CSO operations across the country, including Plan itself. Thrive Networks’ exit strategy has a longer-term view as it advocates for full allocation of OBA rebates from governmental budgets. Of note, each exit strategy is contingent on government taking on the roles and responsibilities of a sanitation service authority and regulator and, especially in Pakistan, as a partial service provider of demand creation activities leaving the private sector as market actor and supplier.

The final learning question is perhaps the most important: have CSO efforts to support WASH markets resulted in improved WASH service delivery? Answering this begins with a defence of the worst-case scenario where CSO efforts resulted in no noticeable impact on WASH service delivery. This was the outcome of WHH Zimbabwe’s efforts at forming a desludging business, which was a high-risk gamble with a high upside potential. It is the kind of effort that is needed to address the global sanitation challenge, but in this case has yet to demonstrate service delivery impact. The remainder of the CSO interventions are evenly divided between significant and partial service delivery improvement. For example, only partial improvements are represented by ARC Bangladesh establishing a small number of community service providers and positively impacting the challenging area of MHM, Habitat for Humanity’s localised capitalisation of pro-poor revolving loan funds, and Live & Learn’s limited, but important, support to women-owned enterprises and socially marginalised groups.

The three Plan-implemented country programmes achieved a uniformly larger impact on WASH services within the context of strong government-led national programmes. Thrive Networks and iDE have each contributed to WASH service delivery in Cambodia (in the sanitation sector). They showed how government-supported subsidies can coexist with for-profit and cost-effectiveness objectives to expand sanitation access across wealth quintiles. WaterAid changed the supply side of sanitation service delivery by bringing about importation of a commercially viable product in Timor Leste that was sensitive to the needs of socially marginalised groups, the Sato Pan, and facilitating its market-led delivery through existing supply chains and adoption by other service providers.

### 6.3 WASH Market Facilitation: Conclusions

Provided with sufficient time, a business-oriented mind set, and an understanding of the multiple components of market operations, CSOs can be effective businesses or providers of business development services to local market actors. They can operate effectively at local, district or national scale. The three different pathways to market development taken by CSOs illustrate this potential:

1. **Working at local level under the policy radar:** Habitat for Humanity in Bangladesh worked in a very localised geography, creating demand and building supply with an exit strategy of establishing and handing over revolving loan fund to CBOs; WaterAid introduced the Sato Pan from Bangladesh into



- Timor Leste markets; ARC in Bangladesh facilitates linkages between commercial service providers and customers with demand for products – *minimal/no involvement of government*;
2. **'Become the market'**: iDE in Cambodia uses their experience to influence policy to sustain and grow markets and support all points along the market chain, initially in a context with *weak government policy and capacity*;
  3. **Work with existing markets and public policy**: Plan programmes in Pakistan, Indonesia, and Vietnam analysed market operations and filled functional gaps to operationalise policy at scale through existing market actors in support of *defined national programmes*.

**M.1 The private sector responds to the confidence provided by national mandates:** With national mandates for WASH in place, significant private sector engagement was more likely. This is probably due to the assurance of continued demand for products and service and the resulting increased opportunity for profit-making ventures. This was a hallmark of Plan's work in Indonesia and Pakistan that provides examples of CSO potential for achieving wide reach and sustainable influence on district and national-scale markets. The private sector is not easily enticed to participate in the WASH sector because it is a low margin business proposition that requires a large volume of sales to merit private sector investment. Well-conducted demand creation efforts have been shown by the CSOs to establish the potential for this volume. Government commitment augments this potential by providing the private sector with confidence in long-term revenue streams from WASH markets.

**M.2 Successful CSOs internalise business development skills needed to facilitate sustainable markets:** Markets are complex systems that require skills in, at a minimum, finance, marketing, pricing, financial management, communication, procurement, regulation, human resources, and facility maintenance. CSOs that moved new products to market (e.g., Water Aid Timor Leste, Live and Learn Vanuatu) typically presented many but not all of these skills. The full set of these skills were only found within iDE. Each of these achievements, however, show that CSOs need capacity in the indicated business development skills if they wish to provide value to entrepreneurs in the WASH sector to facilitate new markets, strengthen supply chains for products and services, or establish entrepreneurs as bankable providers of products and/or services.

**M.3 CSOs can be a particular market asset by guiding the creation of comprehensive business plans:** Business planning should be at the centre of market-based approaches. This is true whether a CSO's focus is on creating demand for existing market products, providing new products to match unmet demand or supporting improvements across a complete market system. Core elements of a business plan include: (1) identification of customer segments, (2) descriptions of communication channels that reach customer segments, (3) articulating how intended products or services meet customer needs, (4) compiling all market costs, (5) knowing where to access resources needed by the market intervention, (6) engaging partners needed to support the CSO or business, and (7) documenting a record of revenue to validate profitability and serve as loan collateral. Most CSOs were aware of much of this information when questioned during the online survey portion of this research, but most had not thought about each element in a structured way. In the WASH Fund portfolio, iDE provided the most readily available information on each element.

**M.4 CSOs benefit from clarity regarding their positioning and expected outcomes from market-based approaches:** CSOs benefit from clarity regarding their positioning and expected outcomes from market-based approaches: irrespective of the pathway chosen for market development, understanding local context, opportunities, obstacles and potential is critical. The most common element that supported success was aligning a market-based approach with its government context. In Cambodia, iDE established its footprint in periods of very low government capacity and Plan became partner to unified national efforts receiving significant government and donor investment. Thrive Networks presents an interesting case as they have



adapted OBA subsidies to three very different governmental contexts in Vietnam, Cambodia, and Laos. Each of these examples presents a market-based response tailored to a governmental context with a shared view of sustainable sanitation improvement. Each CSO proposing a market-based solution must know where it lies with respect to context and have a clear notion of how the market will function and their ultimate role in it.

**M.5 Donors with limited funding horizons should set realistic expectations.** Functioning markets take time to mature. Most of the markets in which the CS WASH Fund CSOs participated are nascent and should not have been expected to mature within the Fund's window of support. The three markets that are most mature – Cambodia, Pakistan, and Indonesia – have benefited from CSO support for over seven years or more.

## 7. Findings: Innovation, Integration and Uptake

### 7.1 Introduction and Context

The Innovation theme looked at 18 CSO interventions across 7 countries. Findings are presented by learning question and by stage of a simplified framework (see Annex 1) based on the conventions of commonly found innovation cycles, namely: (i) concept development, (ii) piloting and adapting, (iii) adopting, and (iv) scaling. The following sections include the most relevant research metrics and short interpretations per learning question that expand on the key findings. The primary interest of the research and the definition of an innovation's success was the trajectory of an innovation: did it advance to the stage of broad uptake where it has potential to become standard practice across the local or national WASH sector? But, what qualifies as an innovation? For the purposes of this research, the definition of what constitutes innovation, agreed with the FMF, is the following:

- New approaches, methods, techniques, or technologies adopted and applied to WASH challenges, including the application of existing approaches to local challenges in new contexts – incorporating both original creation and adaptation.

The CSO interventions that satisfied this definition and were examined in depth during this research are tabulated in Annex 9.

### 7.2 Findings

#### Stage 1: Concept Development

**Concept development is the process of generating new ideas regardless of practicality with no wrong or right outcomes. Consistent with the working definition developed during this research, innovations were placed into one of two broad categories: (i) seven instances were reviewed of CSO simply *adapting good practices* in the global WASH sector new to themselves or their country context, and (ii) only three CSOs put forward *untested solutions* new to the global sector and which could be adapted outside the country of development.**

Adaptation of good practices seen in the Fund included mobile monitoring, localised hygiene promotion techniques, latrine product design, training and capacitation of mechanics, conventional forms of pro-poor financing, faecal sludge treatment technologies, contracted water scheme operation and incorporating environmental risk into a national sanitation demand generation programme. Untested solutions implemented by CSOs include using RCTs to evaluate the potential distortion of pro-poor sanitation markets by OBA subsidies and the efficacy of a new approach to hygiene promotion; CSO investment of financial resources into creation of loan products and tools to target subsidies; and establishing for-profit entities using





carbon credits to meet WASH needs. Each contributed both methodologies and findings with sectoral implications.

This range of innovations was developed or adapted to address some of the most intractable challenges in the global WASH sector: (i) supporting government-led pro-poor initiatives; (ii) addressing the needs of the elderly and the disabled; (iii) meeting the financial needs of the extreme poor and nascent businesses; and (iv) increasing the efficiency of CSO activities. In summary, each innovator had identified a need, whether internal or external, that drove the innovation rather than the decision to innovate being driven by the opportunity for funding (e.g., the Fund's Innovation and Impact Grant cycle). Concepts of each of the 18 innovations were reviewed and each was then assessed into the next stage: piloting and adapting.

## Stage 2: Piloting and Adapting

**Most CSO innovations reached the Piloting and Adapting Stage but did not advance further. Of those that reached this stage, none showed significant impact on WASH service delivery; most affected one aspect of delivery to some extent. Barriers of time, funding, and public-sector capacity interfered with progress to the next level and serve as indicators of poor planning in innovation development. Innovations that were designed to address these barriers were most likely to progress further in the innovation development cycle.**

In this stage, a prototype of the innovation was put into practice to test its ability to perform as intended and its potential to be replicated or learned from. During piloting, each new concept was tested on a small scale focusing on quality, validation, time, cost, adverse events and initial short-term impact. The same criteria were applied when adapting a good practice into a new context.

Because few of the CSO interventions advanced from this stage to the next, learning questions include the magnitude of its impact on WASH service delivery<sup>9</sup> and the barriers that prevented advancement. These were characterised through CSO self-reporting, desk review of documentation and interviews with a wide range of those involved in development and approval of each innovation.

None of the innovations that reached this stage or advanced to further stages were found to have significantly changed WASH service delivery. Only one was found to have had no impact and the remainder improved some aspects of service delivery. Representative examples of aspects of service delivery improved by CSOs include the following:

- Habitat for Humanity in Bangladesh improved sanitation access locally, established ODF communities and documented 100 percent collection efficiency of a first round of loans that established a locally-managed household sanitation revolving fund aimed at poor households.
- iDE in Cambodia applied RCT methodologies in three of their districts of operation to investigate market expansion to a new customer segment, established for-profit entities, introduced new products to market, and piloted others;
- Plan Vietnam found credible success with their work integrating Water Safety Planning into government-led sanitation demand programmes;

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<sup>9</sup> The research apply the following criteria to describe service delivery: (1) Emphasising the life-cycle of both the hardware (engineering or construction elements) and software (capacity building, institutional support, financial planning) required; (2) Building local capacity, particularly the capacity of government, to operate, maintain, monitor, and report on improvements; (3) Defining roles and responsibilities for multiple actors working at different institutional levels and improving lines of accountability, coordination, and harmonization among their activities; and (4) Applying indicators that cover aspects like reliability, affordability, safety and user satisfaction.



- SNV Bhutan improved behaviour change communication programming nationally as well as its local application in mother’s outreach clinics;
- Thrive Networks have begun to tip the scale in favour of government-provided pro-poor sanitation subsidies, but their focus is on expanded access rather than sector wide service improvement;
- WaterAid brought a mobile monitoring device to the level where it provides rapid and credible information on their programme; and
- WHH established locally certified “proactive plumbers” whose workforce includes both women and men.

The most common barriers to uptake and improved positioning to improve service delivery should have been addressed during the concept development stage. Research found that the most common barriers relate to challenges of funding, time and the capacity of government for uptake (see Figure 13). Where innovations were designed to account for these barriers, progress to the next stage was noted in the following examples:

- SNV Bhutan’s evidence-based behaviour change approach became part of an existing national programme aligned with applicable regulations and guidance;
- WHH in Zimbabwe advanced its plumbing entrepreneurs into the national registration system; and
- Plan Vietnam’s consideration of environment risk and better meeting the needs of ethnic minorities were incorporated into a national community-led total sanitation programme.

**Figure 13: What were the three most important barriers to uptake of the innovation and how were they overcome?**



An important element that set the stage for addressing these barriers was the elucidation of an exit or “handover” strategy, wherein the innovation launched by the CSO becomes the practice of the service delivery system, separating the CSO from the innovation. The absence of a handover strategy was the most frequently cited interference to adoption of an innovation beyond the timeframe of the CSO intervention.

### Stage 3: Adopting

**Completion of this stage is intimately linked with ownership of an innovation. Ownership by government of multiple sector stakeholders makes adoption and scale more likely. Ownership by a CSO hampers cycle completion. Funding was spent far more on innovation creation than on innovation diffusion limiting options for ownership. And, if an innovation appears viable, then investment from beneficiaries of the innovation should follow. This was never shown to be the case in the examples researched under the Fund.**

In the adoption stage, rollout beyond the limits of CSO programming is achieved and ownership transferred to one or more actors in the service delivery system. Learning questions for this stage included checking overall status, identifying current owners of the innovations, characterizing networks through which advocacy for the innovation might occur and identifying the common roles played by CSOs in advancing through the innovation cycle.

Several innovations advanced to the adoption stage. “Good practice” innovations that advanced included mobile monitoring by WaterAid, application of environmental risk methodologies and improved sanitation



product design by several CSOs, most prominently by iDE. “Newly developed” innovations that advanced include OBA rebates by Thrive Networks and findings from RCT market research by Thrive Networks and SNV. Ownership of SNV’s hygiene behaviour change methodology and Plan’s environmental risk methodology was transferred to the national government. OBA rebates were shared between the originating CSO and government. According to the documentation reviewed and KIIs, the remainder of the innovations that reached the adoption stage continue to be owned by the originating CSO and have remained as part of their internal standard practices.

This issue of innovation ownership is the pivot point on which sustainability and scale of an innovation rests. If an innovation that started under CSO ownership stays under CSO ownership, then the resources of the CSO - and by extension, usually external donors - are required to ensure the innovation’s advancement to the final stage of the innovation cycle. If government or other sector stakeholders adopt and resource the innovation as part of its standard delivery of WASH services, then the innovation’s advancement is more likely.

Of equal interest are the investments required to operationalise an innovation. The fact that such costs are rarely considered was highlighted when the researchers asked CSOs to identify relationships and/or networks that were needed to help their innovation succeed. The importance of external investment to stimulate innovation and specialist expertise not found within the CSO became clear, essentially reducing the CSO’s direct investment in innovation success. The reliance of CSOs on external specialists and funding should be of concern to donors as they weigh the cost of innovation support against the anticipated outcomes. In addition, unconditional external funding positioned the CSOs to freely experiment to whatever degree they wished with no risk of financial loss due to innovation failure. This could be viewed as a positive in that it positioned them to take creative risks or as a negative as there was no risk to the CSO from a poorly executed effort.

Of note overall is the absence of private sector investment in innovation in the portfolio reviewed. This is especially significant when considering that the private sector is frequently the beneficiary of innovation and development (e.g. product design). While producers affiliated with iDE in Cambodia were often investors in the equipment needed to manufacture products developed under project funding, an interesting experiment that would contribute to a more fully market-driven program would be to identify private sector investors to contribute to innovation development in exchange for, for example, a unique market relationship with the result of the innovation.

An innovation’s success depends on multiple skill sets. The data on the roles that CSOs played in the development of innovations shows that some CSOs took on all roles within the cycle, whilst others focused more on particular aspects. The clear strength of CSOs, as shown in Figure 14, is in identifying a challenge, creating or imagining a solution and putting that into action. As needed by the innovation or as a requirement

**Figure 14: What roles have CSOs played in supporting WASH innovation, demonstration and uptake?**



of the CS WASH Fund Innovations and Impact Fund Grant Proposal Form, CSOs also acted as contractors, particularly for expatriate technical assistance from research organisations or consultants. Such assistance included engagement of IRC (Netherlands) by WHH Zimbabwe to help with business model analyses, Water Aid’s hiring of mWater as an IT platform developer in Timor Leste, and SNV Bhutan working with the London School

of Hygiene and Tropical Medicine on development of a hygiene behaviour change programme and materials. If the innovation advanced far enough, CSOs served as testers in pilot situations. But, too often CSOs ended



up being the owner of an innovation that was not taken up by other actors in the service delivery system. Of particular note is the limited identification in the data of the CSO serving as trainer as part of handover of ownership.

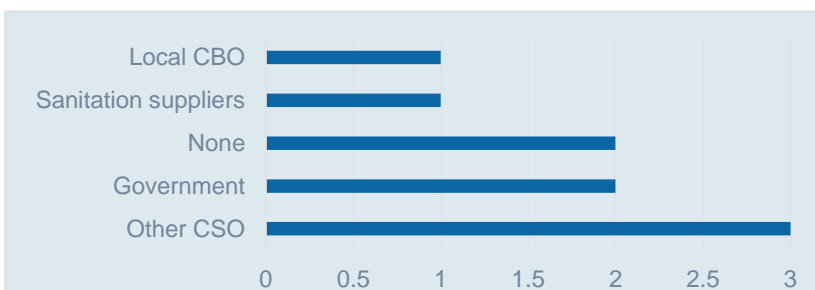
#### Stage 4: Scaling

**Scaling of innovations can take place in two ways. The first, uptake by government as part of a national programme was observed. The second, more subtle and less frequently discussed pathway, is the slow diffusion of an innovation from location to location or from sector actor to sector actor. The first can be seen within common project time frames. The latter is less likely within conventional time frames and may require longitudinal tracking to fully assess the likely success and impact.**

In order to qualify in this research as a successful innovation, an original concept needed to be taken all the way from inception to implementation at scale: diffusion and adoption. The research team found two adapted good practices and two for-profit innovations achieving scale. For example, iDE Cambodia’s for-profit internal entity, Hydrologic, and separately its network of product suppliers has each reached a credible level of scale that is poised for larger scale influence beyond the CSO’s target locations. SNV Bhutan’s adaptation of an Indian-originated behaviour change methodology and Plan Vietnam’s environmental risk approach are adaptations of good practice that have become standard elements of national, at-scale programmes. According to the material reviewed, none of the other innovations has yet advanced to the scaling stage of the cycle, although some already show promise. For example, payment of OBA rebates initiated by Thrive Networks are now partially being made by government.

While several innovations did not complete the innovation cycle, there is evidence that several have begun radiating out from the CSO originator. The research uncovered a rarely discussed aspect of scale: the

**Figure 15: What organisations other than the funded CSO are making use of the innovation in their programming?**



incremental, and frequently slow, uptake of an innovation by other actors in the sector. Adoption beyond the developer and incremental uptake, as shown in Figure 15, indicates some non-conventional success in scaling. This potential should not be overlooked when developing programmatic indicators of uptake and scale for

innovations. It appears necessary to allow time for innovations to be taken up into the normal practice of practitioners and authorities and it appears necessary to apply a broader lens to analyse scaling.

### 7.3 WASH Innovation Integration and Uptake: Conclusions

Proper design of a beneficial innovation programme requires more than an original idea, a gadget and a need to fill. Landscape analysis, funding sources, ownership and/or ‘handover’ plans should be essential components of innovation proposals, particularly where public aid funding is involved. Equally necessary are clarity of definition, learning objectives, designing to address barriers, programming for the cycle and ensuring “skin in the game”. These conclusions for WASH innovation are elaborated as follows:

**I.1 Innovation is widespread in CSO WASH programming:** Innovation was present through much of CSO implementation with numerous instances of innovation identified. Many innovations were new; i.e. untested solutions to overcome specific challenges new to the global sector that could be adapted outside the country of development. Many other “innovations” were actually adaptations of existing good practices new to the CSO or to a country sector.



**I.2 “Innovation” tends to be over-labelled:** Care must be taken to establish a clear and commonly accepted definition of “innovation”, particularly before providing external support. One organisation’s innovation may simply be another organisation’s slightly different way of addressing a challenge. Alternatively, an innovation may represent a genuinely unique response to a need or challenge. Initially, the Fund had no operational definition of “innovation” to guide support. The definition presented at the beginning of this section is defensible but was to a great degree retrofitted to the existing portfolio during the research. Future programmers should acknowledge that there are two distinct kinds of innovation that can be included in a programme. Most importantly, programme designers must settle on an applicable definition – primarily whether or not to include adaptation of good practices to new locations as a valid innovation.

**I.3 Innovation ownership is a deal-breaker for scaling:** Innovation ownership is the pivot point on which sustainability and scale of an innovations rests. If the innovation started under CSO ownership stays under CSO ownership, then the resources of the CSO – and therefore by extension external donors – are required to ensure progress to the final stage of the innovation cycle, namely to scale. If government, the private sector or other stakeholders have adopted and resourced the innovation as part of WASH services, then the innovation is more likely to advance.

**I.4 There can be merit in failure and partial implementation:** It is extremely difficult to support an innovation through the four stages of the innovation cycle. Benefit and learning can be found from efforts that do not complete the cycle. But, this is only the case when the innovation effort is designed to provide learning or address a hypothesis that can tolerate failure or partial completion. If this is not the case, then the success of an innovation should be defined by its ownership, sustained use and operation at scale.

**I.5 Common barriers to innovation success and uptake included unrealistic understanding of public capacity, funding and time boundaries:** Innovation development requires clear strategies with end goals and the resources to achieve them. Too many innovations studied in the Fund failed due to poor planning: (1) insufficient critical assessment of the capacity of the public sector – the ultimate facilitator of scale and uptake; (2) lack of budgeting to cover innovation needs from development to end point and (3) inadequate consideration of the time required to bring an innovation to maturity.

**I.6 Investments in innovations tend to be exhausted early and quickly risking completion:** Allocated resources were found to be typically overspent to support concept development and testing. As a result, there were few resources available to support dissemination and transfer to a sustainable ownership regime.

**I.7 End users did not have significant investment in innovations:** The innovations studied were each developed by CSOs using external financing, effectively “free money”, without incentives for success or scale or penalty for failure. This arrangement allowed CSOs to define their own success points and take higher risk gambles than would be expected if they had more “skin in the game” that made them accountable for risk and failure. Failure, defined here as not completing the innovation cycle, was allowed to happen without learning or accountability.

## 8. Recommendations

The following sets of recommendations are derived from the findings across each of the four thematic research areas.



## 8.1 Recommendations for Policy Influencing

PR.1 If future civil society funding mechanisms include an explicit aim of influencing sector policy, then the initial selection of CSO by the CS Fund (and by extension by DFAT) becomes of critical importance<sup>10</sup>. The selection of CSO partners should therefore include a careful screening of track-record, history in a sector, relative standing in terms of reputation and profile and ability to navigate politically. This could be achieved by applying a simple policy-influencing ‘audit’, which asks questions such as “is policy influencing part of the core CSO mandate?”; “does the CSO have the calibre of staff to understand political dynamics of a sector?”; and “does the CSO invest in processes, tools and methods for undertaking political economy analyses?”.

PR.2 CSOs working to influence policy should themselves invest time and resources in better understanding the political economy of the WASH sector in the country in which they intended to operate, as well as broader dynamics beyond the WASH sector and how these may affect policy decisions.

PR.3 Understanding of the political economy asked for under PR.2 can be facilitated by the use of tools, such as Political Economy Mapping and sector enabling environment assessments; these tools are available in the public domain and CSOs should familiarise themselves with them and apply them regularly.

PR.4 CSOs working on policy influencing should ensure that they invest in monitoring and reporting systems that can produce timely, reliable and credible evidence from data collection. Moreover, they should be able to disseminate this in accessible and relevant formats that can feed into and inform policy dialogue. Such data collection and learning, is essential, both for its intrinsic (content) value and its utility for policy influencing.

## 8.2 Recommendations for Gender and Social Inclusion

GR.1 Future CSO interventions seeking to address GESI should invest in analyses of policy frameworks at national and lower levels and the linkages between WASH, gender and social inclusion, as well as the institutional structures associated with policy mandates. Donors supporting such CSO implementation programmes should support and encourage this up-front investment to inform design and maximise impacts.

GR.2 Donor-funded programmes should continue to include, and strengthen where needed, the monitoring of unintended negative impacts of CSO interventions on women and vulnerable groups. This should include assessment of whether women’s workload increases and what changes in men’s participation in WASH activities has been affected. It is also important to measure men’s perspectives around women’s participation, abilities and roles and so to understand changes in the division of labour.

GR.3 CSOs should incorporate a ‘do no harm’ approach to GESI strategies in WASH interventions, especially where high rates of GBV are prevalent in communities. Additionally, if the concept is that women’s participation will contribute to a more equitable influence between women and men over WASH-related decisions at the household level and broadening women’s influence and decision-making power in the community, then these impacts and changes need to be measured more effectively.

GR.4 Importantly, it should be recognised that participation and training does not necessarily lead to, or equate with, systematic societal change for women to gain strategic gender needs. Indicators to assess the increase in influence of women in decision making at various levels of society should be developed and

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<sup>10</sup> In this regard, it should be noted that the original Fund design document included an assessment of the weaknesses of the current CSO pool, highlighting ‘..... Main weaknesses identified include poor monitoring and evaluation and low levels of engagement with government and the enabling environment’ (AusAID Water, Sanitation and Hygiene Global Programs and Cross-Regional Support Civil Society WASH Fund Design Document; May 2012).





applied; for examples see the tool kit on Tool Kit on Gender Equality Results and Indicators developed by Australian Aid and the Asian Development Bank in 2013<sup>11</sup>.

GR.5 Future CSO interventions should monitor and assess the ability of women to build on their enhanced capacity, as a result of positive WASH interventions, into other aspects of their lives. There is no doubt that such initiatives within WASH programmes can lead to wider gains in terms of women's and other marginalised peoples' standing within their household and their community. The better this can be documented, the more that lessons learned and best practices can be disseminated across the Fund and more broadly. The resource cited in GR.3 above provides examples of how WASH initiatives can lead to economic empowerment.

GR.6 Future Fund CSO programmes should include GESI sensitive project design, including the identification of needs/barriers, a GESI sensitive capacity building approach and certainly, the inclusion of changing attitudes to support GESI objectives. The potential to enhance service delivery through stronger GESI approaches can be increased by understanding the factors that contribute to this potential linkage.

GR.7 CSOs should build on the more informal capacity building that has been evident under the Fund (e.g. training women masons, establishing women as business owners and sales agents etc.) and link these initiatives with access to more formal education opportunities. Institutions in the WASH sector are heavily male dominated and breaking into that world can start with educating girls and women to become engineers and project managers, for example. Introducing more formal education opportunities for women and other marginalised people can be an effective strategy to support strategic GESI needs and social transformation as part of enhanced WASH outcomes.

### **8.3 Recommendations for WASH market facilitation**

MR.1 A set of core elements should be included in any market-based programme that aims to significantly impact upon WASH service delivery; evidence from this research shows the importance of a number of different elements, including GESI-sensitive product design, facilitating customer financing, better use of alternative communication channels and provision of business development support packages. None of these programme elements are mutually exclusive and each can easily be an element of a single programme in a conducive environment.

MR.2 Ensure rigorous market analysis is carried out by all future market-based programmes as it is the equivalent of the formative research needed to guide social change or the technical analyses conducted in advance of infrastructure construction.

MR.3 Those CSOs who understand market functionality should be engaged in future market-based efforts, potentially in partnership with private sector actors, particularly where such organisations can offer significant in-house communication and financial management expertise. Examples of this approach exist<sup>12</sup>. CSOs rarely offer expertise in these skilled areas, and these types of potential partners have proven readily available to apply their strengths for either corporate or corporate social responsibility rationales.

MR.4 In future market-based programmes, CSOs should be obligated to identify how and from whom they will access skills that they do not have in-house. A typical market-based initiative requires a wide range of resources and expertise, and as such proposals and work plans should identify how these will be provided and the costs involved.

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<sup>11</sup> <https://www.oecd.org/derec/adb/tool-kit-gender-equality-results-indicators.pdf>

<sup>12</sup> For example, Colgate-Palmolive, Procter and Gamble, and Unilever in the Global Handwashing Partnership; Pepsi-Cola; Nestle; telecommunications operators; Cirque du Soleil; and The Coca-Cola Company in other aspects.



MR.5 WASH market-based programmes need to shift focus to align with the SDGs. Future investments in market-based approaches need to move from the provision of products and coverage to more comprehensive alignment with SDG-mandated requirements for service management, including an expanded focus on commercial approaches to FSM. Particular attention is needed with relation to SDG 6<sup>13</sup>.

MR.6 In future, those CSOs undertaking WASH market-based approaches should demonstrate capacity to apply profit and loss statements to their work. Review of the CS WASH portfolio of CSOs has shown a critical shortage of the core business skills needed to apply these to quantify market-based success. Little evidence was found of profitability in the market-based efforts within the portfolio. Without this effort, private investment in the sector, and a diminished role for injections of donor funds, will remain a distant hope.

MR.7 A realistic timeframe and donor expectations must be aligned with reasonable objectives in all market-based programme design.

## 8.4 Recommendations for Innovation, Integration and Uptake

IR.1 Settle on a functional definition of “innovation” that addresses issues of adaptation, uniqueness, potential of sector application, end point and ownership.

IR.2 In the context of the SDGs and their mandate for sustainable system management, future rounds of CS WASH funding should support new interventions but should also track the dissemination of the innovations created in this phase of investment to identify which become adapted best practices of tomorrow.

IR.3 Future efforts at innovation support should ensure that reasonable and defensible estimates of time, cost and owner capacity are provided in advance of funds being handed over to implementers.

IR.4 Future efforts to support innovation should ensure that budgets are allocated equitably to each stage of innovation development from concept design and testing through to the identified end point of the effort.

IR.5 Future efforts could include accommodation for risk and failure, but they should specify how findings from failure would be captured and put to beneficial use.

IR.6 In future commitments to support innovations, those expected to benefit from an innovation should invest in its development. End users should be investors if they anticipate benefiting from an innovation. Investors should include both the CSO and private sector actors that may benefit from the success of the innovation. Their “skin in the game” would be expected to drive innovation further toward end points, user ownership and sustainable operation than has been observed in the use of risk free funds from donors.

## 8.5 Recommendations for Thematic Integration

As part of the analysis the research included an assessment of the linkages between thematic areas. This was done in part during the review and collation of evidence under each theme and partly by attempting to cross-reference different LQs which had potential for reinforcing linkages between themes. Although the insights from the data analysis were limited (due to the small data sets per LQ), the following observations can be made to improve thematic integration in any future Fund design:

- Efforts to facilitate WASH markets can benefit from associated engagement with national policies which can stimulate demand generation and set in place frameworks that are conducive for private operators to enter the market. Additionally, influencing policy and guidelines on financing and subsidies can help to drive private sector entrepreneurs to serve poorer segments of the market;

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<sup>13</sup> (SDG 6: Ensure availability and sustainable management of water and sanitation for all; Target 6.b: Support and strengthen the participation of local communities in improving water and sanitation management)



- To maximise the impact of innovation in WASH service delivery, the evidence shows that innovative projects benefit from GESI sensitive capacity building, which according to data analysis appears to support progression along the innovation cycle;
- Similarly, a positive correlation was noted between GESI-sensitive design and the likelihood of a market-based programme improving some aspects of WASH service delivery; and
- Policy influencing efforts can be effective in tackling GESI issues in a more systemic manner, both at national and local levels; where this is a desired outcome, evidence from the research shows that collaboration with gender or disability-focused organisations can be effective.



## Annex 1: Conceptual frameworks by thematic area of research

### Conceptual Framework for Policy Influencing





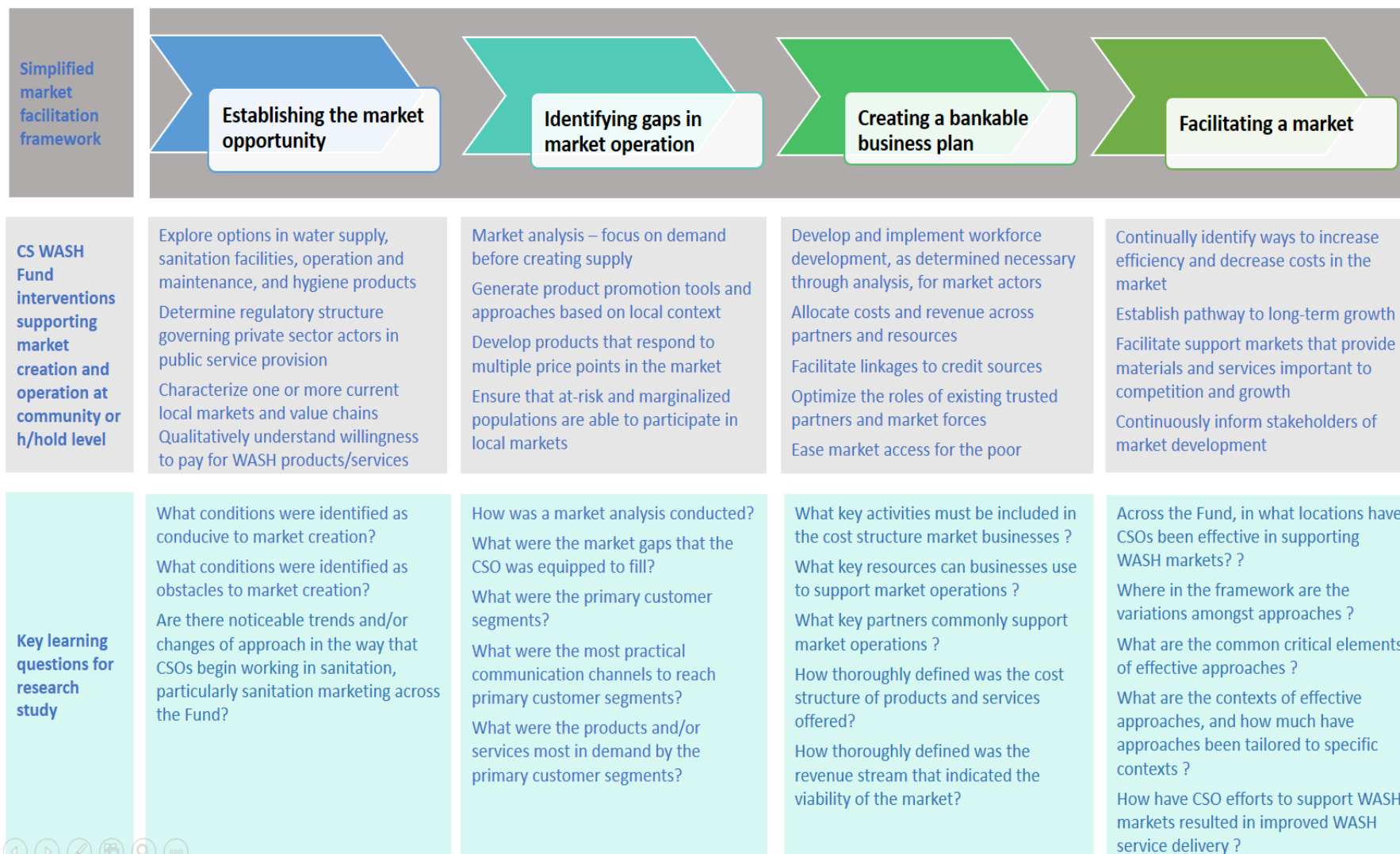
## Conceptual Framework for Gender and Social Inclusion

<p>GESI Research Framework for Change</p>			
<p>Assessment of GESI activities</p>	<p><b>GESI Policy Environment Institutional Arrangements for GESI</b></p>	<p><b>Mainstreaming GESI in Project Delivery</b></p>	<p><b>Assessing the potential for GESI transformation</b></p>
<p><b>Key learning questions</b></p>	<p>What are the policy mandates to address gender equality and social inclusion issues in WASH?</p> <p>What potential do the policies have to transform existing relations of inequality related to the resources and benefits to bring about change in the socially prescribed division of labour, access to resources and decision-making power between women and men, and between people of excluded and non- excluded groups?</p> <p>What kind of institutional/ organizational structures, mechanisms and processes for GESI are there in the operating contexts of The Fund?</p> <p>Can those structures facilitate the institutionalization of GESI policies, through sound operational guidelines all the way down to the local community level?</p>	<p>Did the project identify specific groups of women, poor, excluded and the vulnerable and the reasons for their exclusion/vulnerability regarding access to WASH services and opportunities?</p> <p>Were projects designed to address barriers to women's and other marginalised groups in the program cycle?</p> <p>Was the data (assessments and surveys) collected for project preparation and planning been disaggregated?</p> <p>Was there been a thorough needs analysis of barriers to understand the constraints that women and excluded groups face in accessing water and sanitation service?</p> <p>How mainstreamed is GESI in the RBM approach including the Theory of Change.</p> <p>Are there pro poor gender responsive budgeting processes integrated into project processes?</p> <p>How gender sensitive and socially inclusive is the capacity building approach?</p> <p>Did projects monitor/find out who is not able to access WASH facilities and address any barriers they face?</p> <p>Were the unintended outcomes of WASH programs monitored? For example, did women's access to public spaces decreased due to the new water source? Or did women's' workload increase in the home because of the water source? Has there been an impact on the division of labour in the household related to WASH related activities?</p>	<p>Across the Fund, where have CSOs tried to support gender transformation through WASH?</p> <p>What measures have been used to assess the success of these initiatives/approaches?</p> <p>Across the Fund, where have CSOs tried to promote disability inclusive and socially inclusive programming WASH programming?</p> <p>What measures have been used to assess the success of these initiatives/approaches?</p> <p>Has there been a positive impact on the strategic gender needs of women? For example, has the focus on GESI strategies such as increasing participation/involvement in WASH programs, and specifically, representation in Water Committees, been compensated by a realignment of duties within the household?</p> <p>Has there been a positive impact on the practical gender needs of women? For example, has access to improved water supplies decreased the burden of women, girls, men, or boys in transporting water? Or has it increased their burden due to greater access? Does this have positive impacts on the health and development objectives?</p> <p>Has menstrual hygiene management strategies had the intended impacts of improving the attendance of girls in schools? Does this impact on improved academic performance? Does it transform the aspirations of girls in education and careers? Does greater education correlate to enhanced equality in the household or community?</p> <p>What approaches have been most effective in strengthening the capacity of stakeholders to plan, implement, monitor and evaluate gender sensitive, pro-poor and socially inclusive WASH service provision?</p>





### Conceptual Framework for WASH market facilitation







### Conceptual Framework for Innovation Integration and Uptake





## Annex 2: Data summary and sources of data and information

### Key numbers from the research

Total number of CSO interventions in the Fund	29
Total CSO interventions assessed	23
Total number of countries in the Fund	19
Number of CSOs in the Fund	13
Number of interviews carried out for the research	27
Number of documents reviewed for the research	419
Volume needed to store the document reviewed	2.35GB
Number of people contacted for the online survey	90
Number of individual answers to the online survey	32
Number of CSO intervention projects that answered the online survey	19
Citations (data points)	1,503
Source of information by category	15
Average number of different sources of information per citation	5.8

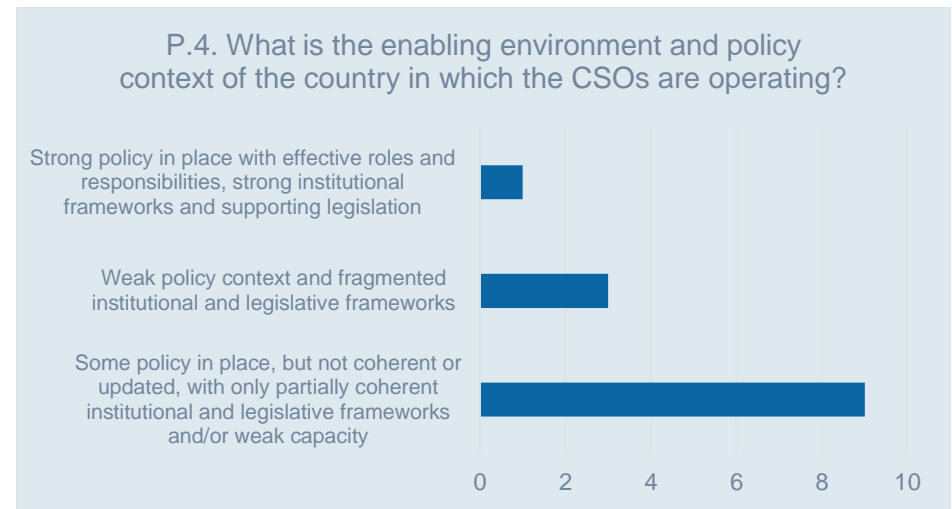
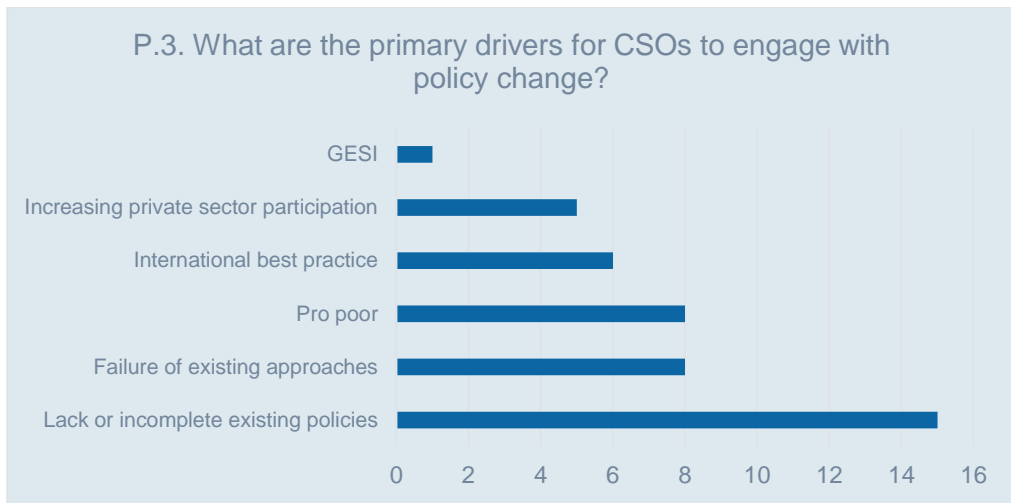
### Source of data and information

	Source code	Notes
1	Key Informant Interviews	Carried out by the research team research team as part of the primary data collection process, primarily with CSO staff
2	E-discussion	Outputs of several different online discussions organised by the FMF over the lifetime of the Fund
3	FLARE synthesis reports	Generated by the Fund's Learning and Reflection Event
4	RLE synthesis reports	Generated by four Regional Learning Events in South Asia, Southeast Asia, Southern Africa and Pacific
5	Operational Plans	Developed by CSOs at the start of the Fund
6	CSO PRT	Project Reporting Tools filled in by each CSO in the Fund on an annual basis
7	IIG documents	Documentation generated under the Fund's Innovation and Impact Grant mechanism
8	MERP M&E Trip Report 1	Reports generated by the Fund's Monitoring Evaluation Review Panel (MERP) following in country visits to CSOs
9	MERP M&E Trip Report 2	Reports generated by the Fund's Monitoring Evaluation Review Panel (MERP) following in country visits to CSOs
10	Key Performance Indicators	KPIs set by the FMF and reported on by each participating CSO on a regular basis
11	Key Performance Questions	Narrative KPQs set by the FMF and reported on by each participating CSO on a regular basis
12	K&L products	Knowledge and Learning documents produced by various CSOs under the Fund
13	Online survey	The online survey developed by the research team as part of the primary data collection process
14	Other CSO documents	Includes any reports or document that are not directly related to the CSO WASH Fund but produced by the CSO, for example, CSO country strategy documents or KM products
15	National documents	Any document including WASH sector specific reports or plans or strategies produced by national government or other stakeholders

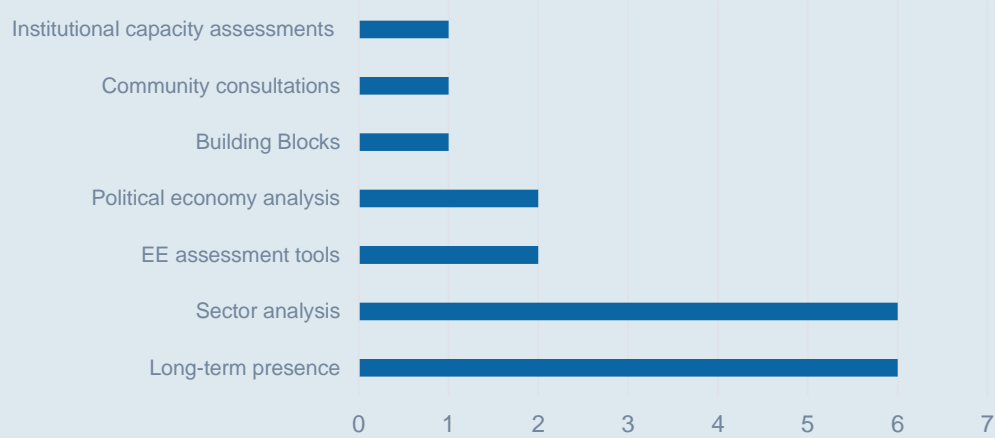
### Annex 3: Summary of data by thematic area and by Learning Question

The following graphs present the results of the descriptive data analysis carried out for this project on the four themes. The x-axis on every graph represents the number of the total different evidences per category, which vary depending on the nature of the specific learning question.

#### Policy Influencing results



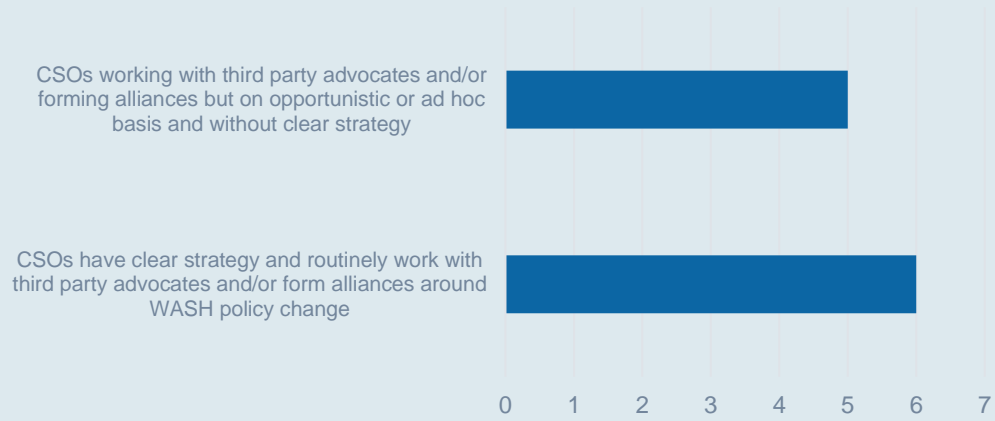
P.5. What are the most appropriate approaches and tools employed by CSOs to understand the policy environment?



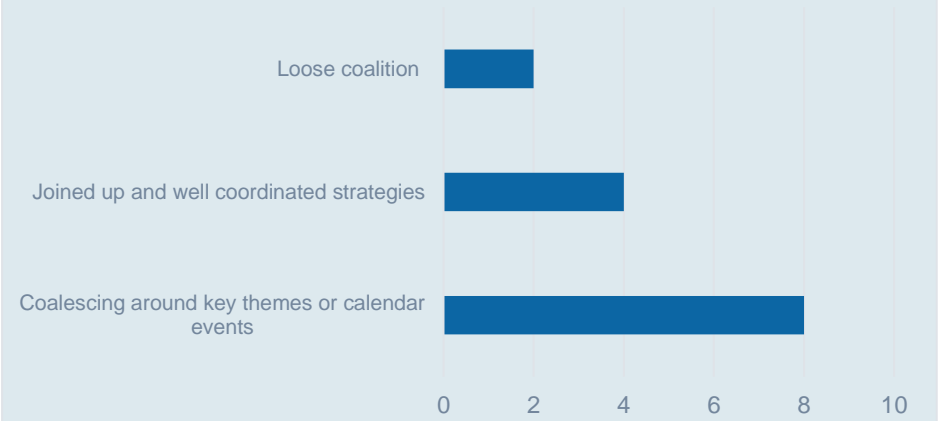
P.6. How are WASH policies linked to, and influenced by, broader national policies or strategies?



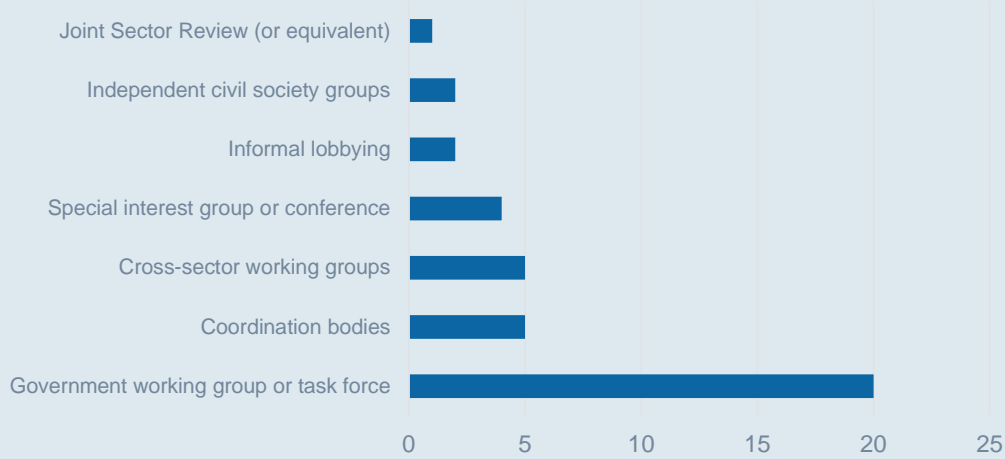
P.8. What evidence is there of CSOs forming alliances or working with other advocates for policy change?



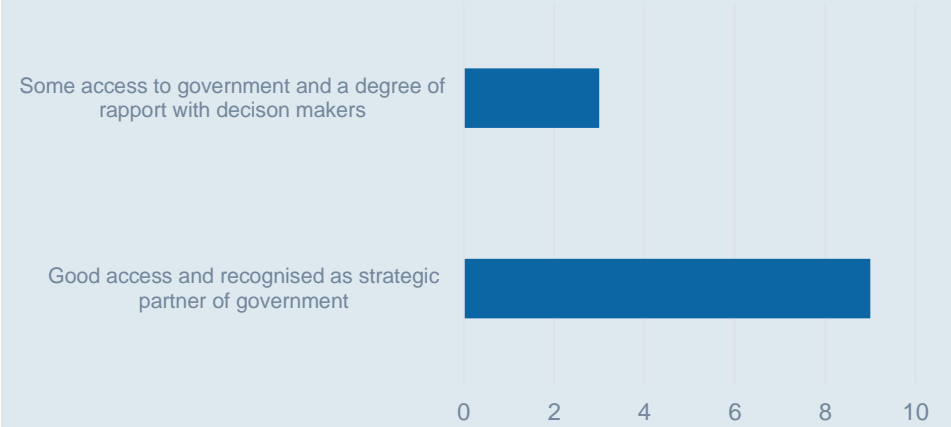
P.9. How have CSOs worked with other policy advocates to support policy change?



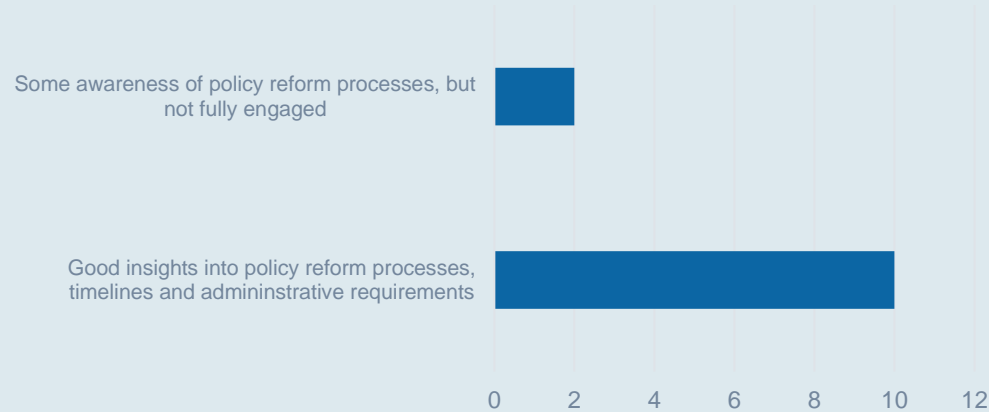
P.10. What are the mechanisms for WASH policy debate and dialogue and how do CSOs engage with these platforms?



P.11. Where do CSOs in each effective intervention 'sit' in terms of relative size, scale of operation or strategic 'positioning' vis-a-vis the government?



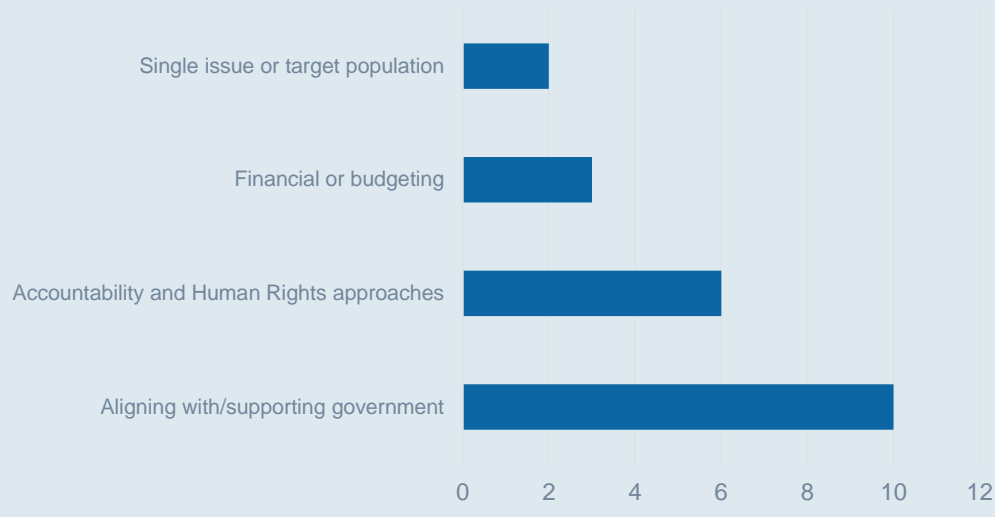
P.12. How successfully have CSOs understood current status (validity) of the policy, policy review and reform cycles?



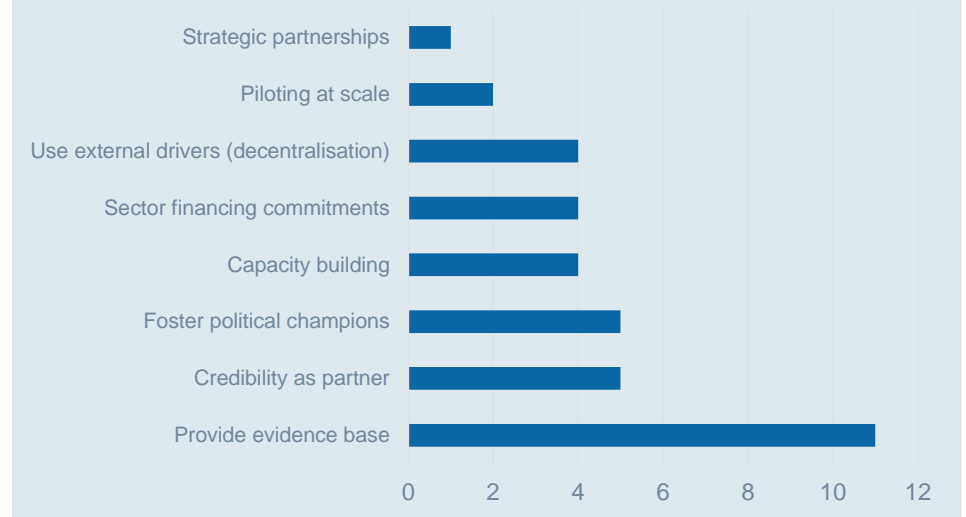
P.13. Across the Fund, where have CSOs effectively influenced WASH policy?



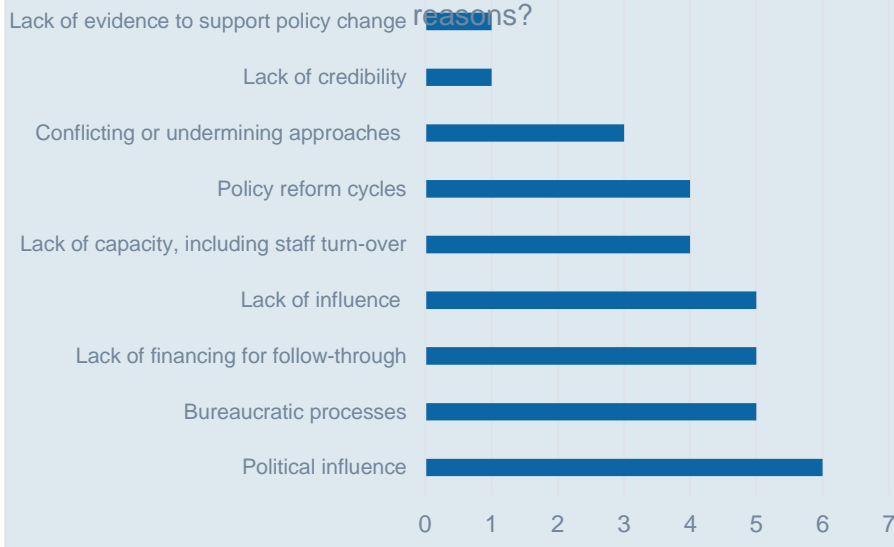
P.14. What rationale have CSOs adopted to engage with policy change?



P.15. What are the most effective entry points and approaches for CSOs to drive policy change?



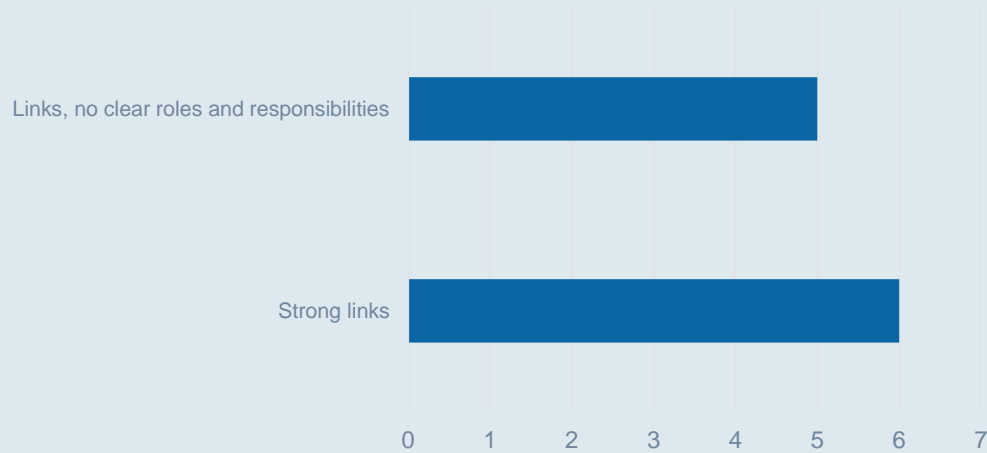
P.16. Where CSO engagement with policy change has been frustrated or failed, what are the main reasons?



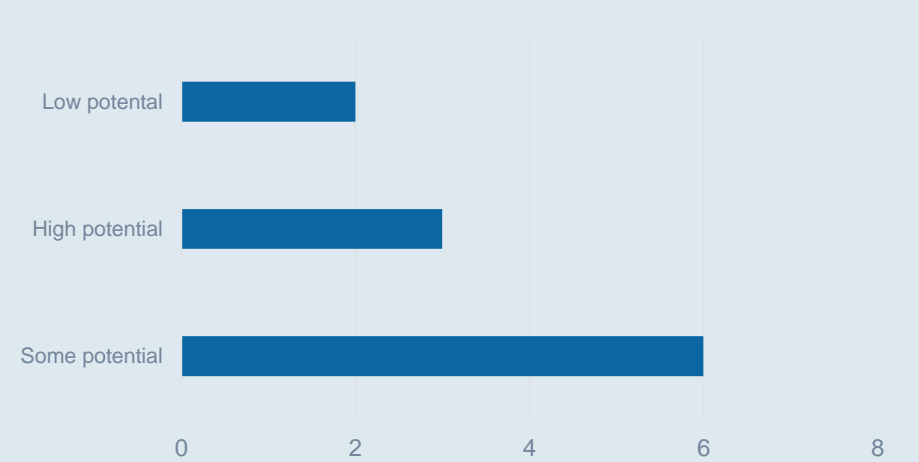


## Gender and Social Inclusion results

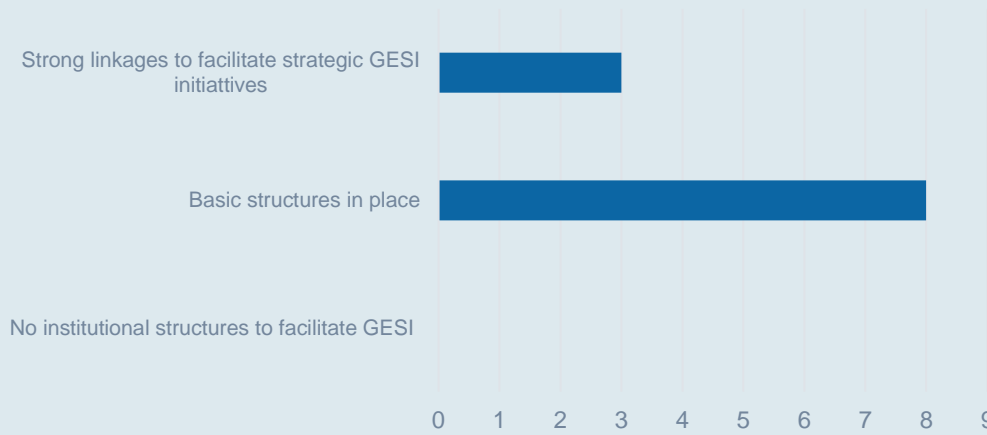
G.1. What are the policy mandates to address gender equality and social inclusion issues in WASH?



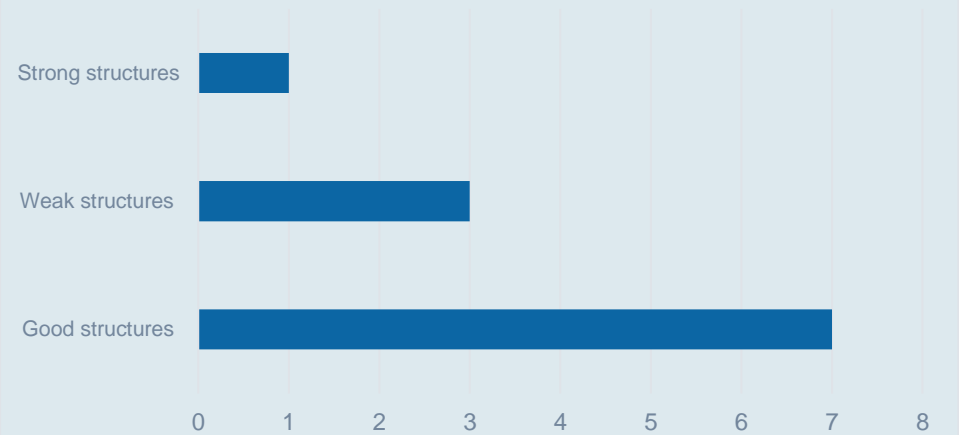
G.2. What potential do the policies have to transform existing relations of inequality ?



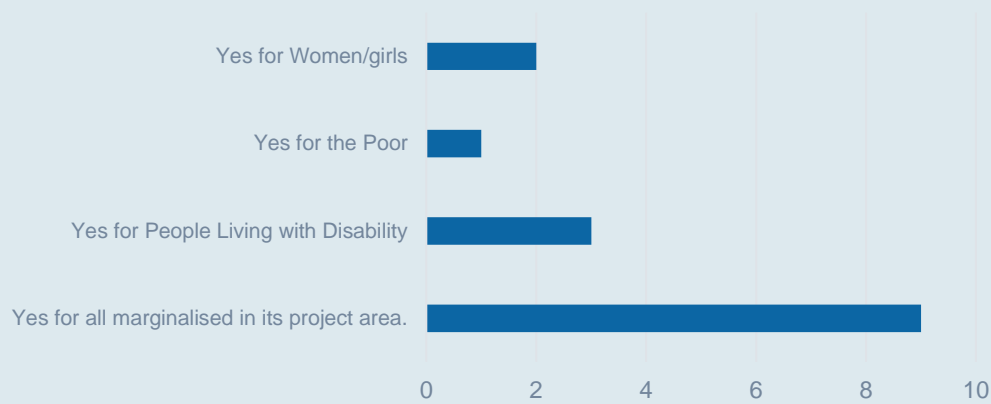
G.3. What kind of institutional/ organisational structures, mechanisms and processes for GESI are there in the operating contexts of The Fund?



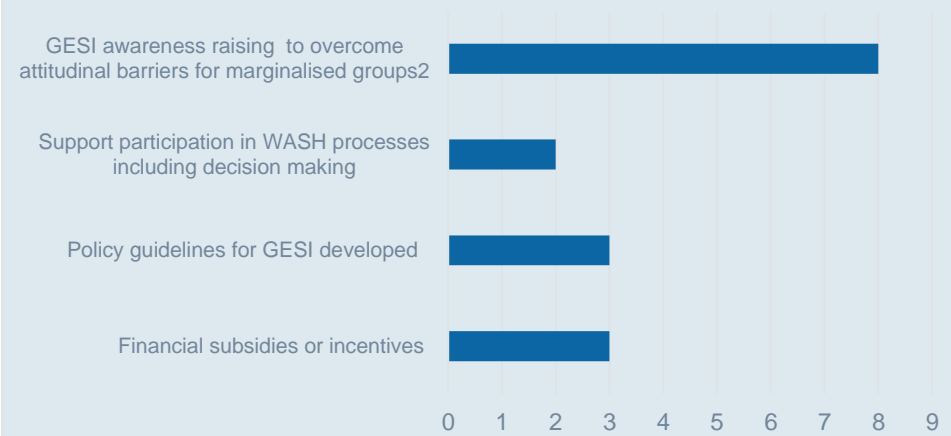
G.4. Can those structures facilitate the institutionalisation of GESI policies, through sound operational guidelines all the way down to the local community level?



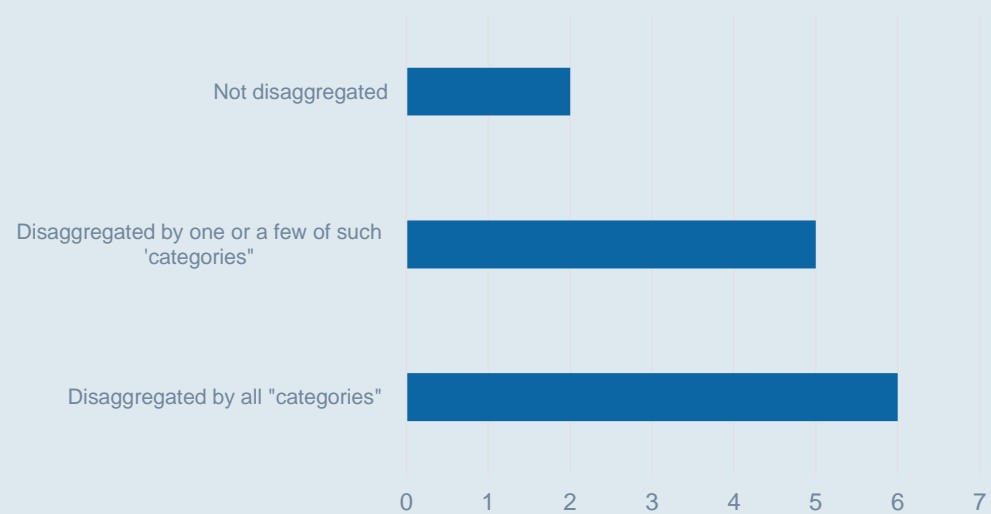
G.5. Did the project identify specific groups of women, poor, excluded and the vulnerable and the reasons for their exclusion/vulnerability regarding access to WASH services and opportunitie?



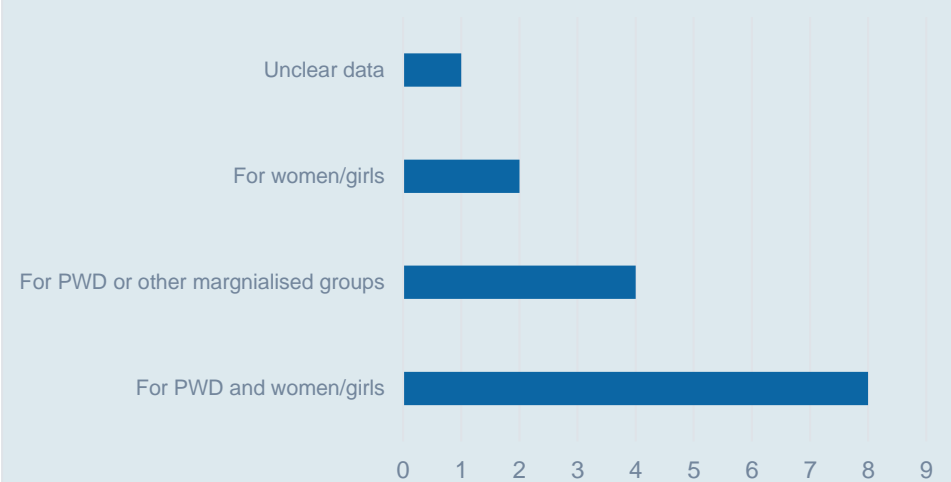
G.6. Were projects designed to address barriers to women's and other marginalised groups in the programme cycle?



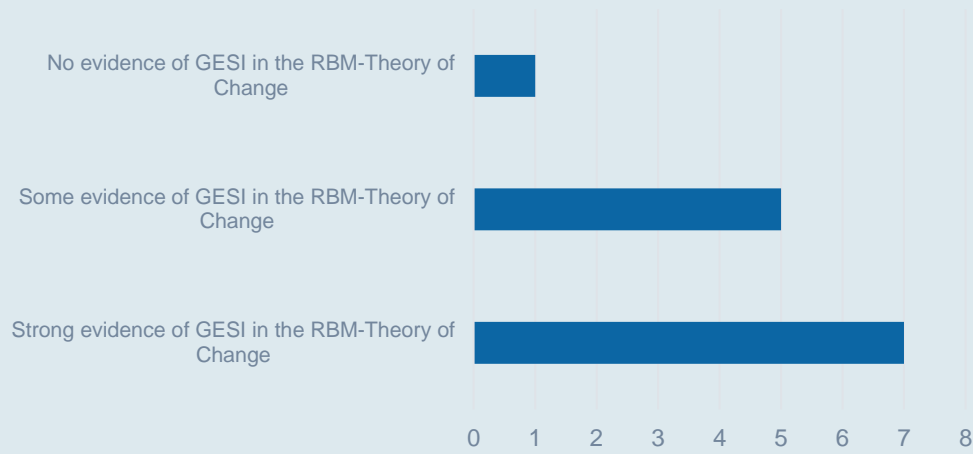
G.7. Was the data collected for project preparation and planning disaggregated?



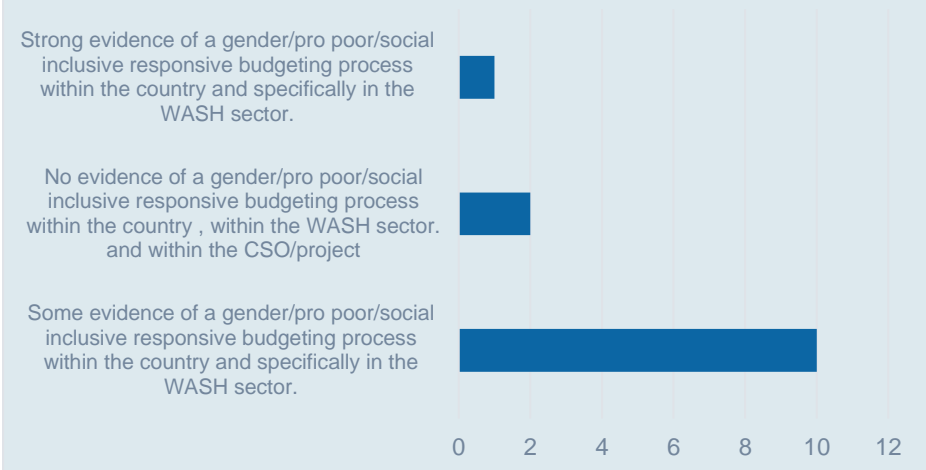
G.8. Was there a thorough needs analysis of barriers to understand the constraints that women and excluded groups face in accessing water and sanitation service?



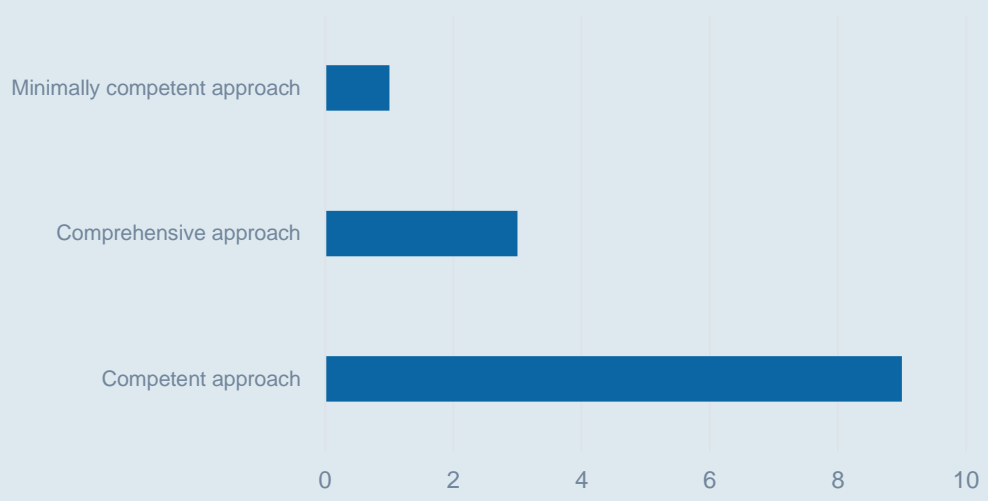
G.9. How mainstreamed is GESI in the RBM approach including the Theory of Change?



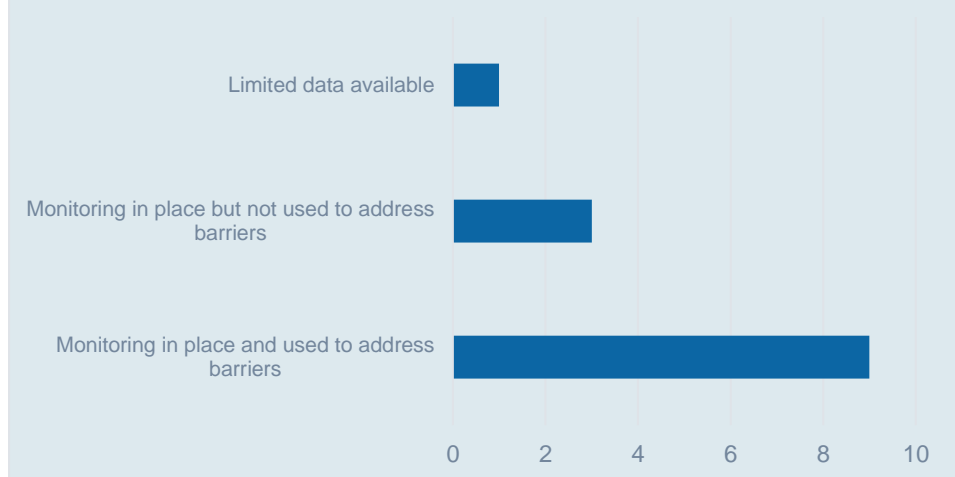
G.10. Are there pro poor gender responsive budgeting processes integrated into project processes?



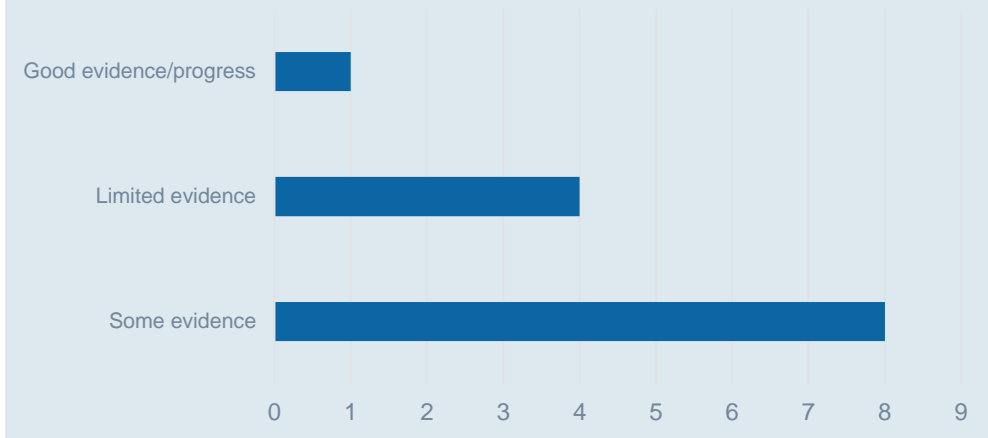
G.11. How gender sensitive and socially inclusive is the capacity building approach?



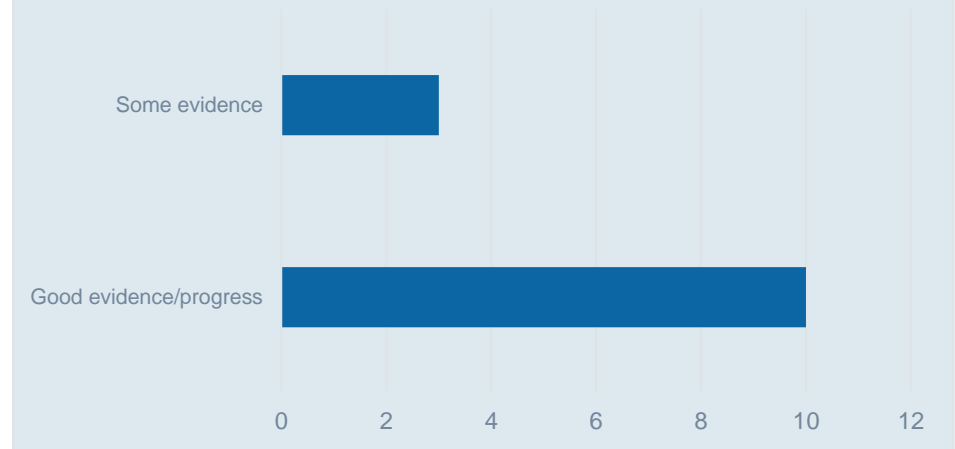
G.12. Did projects monitor/find out who is not able to access WASH facilities and address any barriers they face?



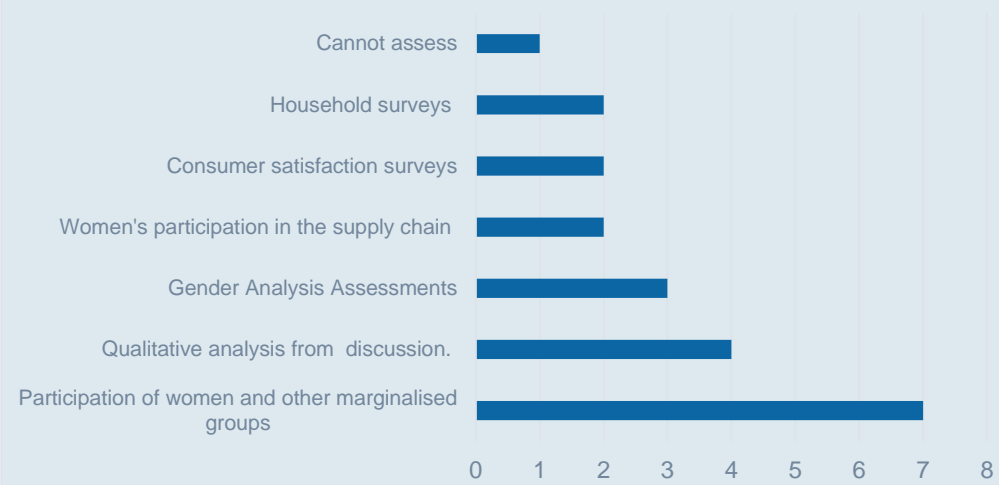
G.13. Were the unintended outcomes of WASH programmes monitored?



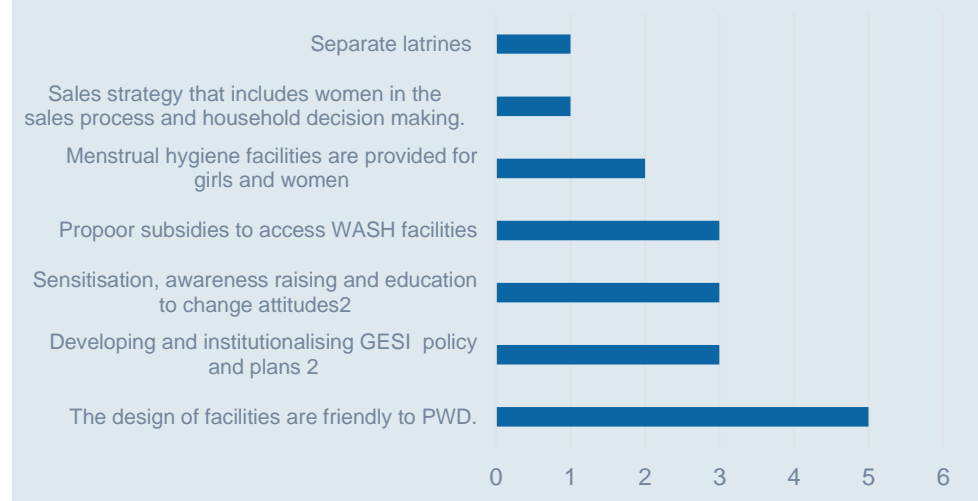
G.14. Across the Fund, where have CSOs tried to support gender transformation through WASH?



G.15. What feedback tools have been used to assess the success of these gender transformation initiatives/approaches?



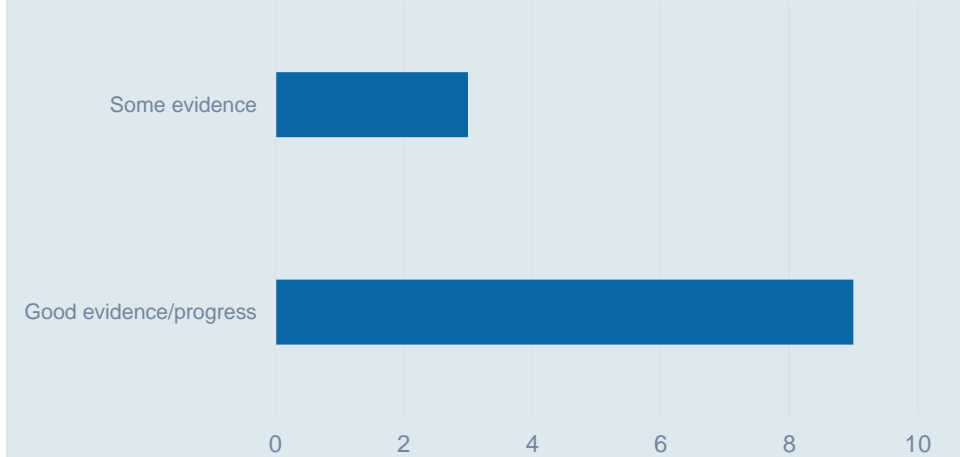
G.16. Across the Fund, where have CSOs tried to promote disability inclusive and socially inclusive programming WASH programming?



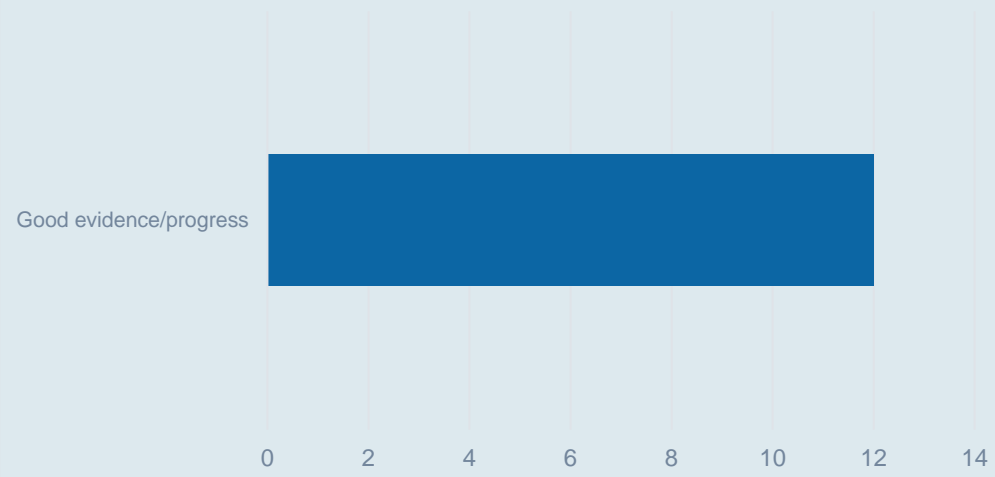
G.17. What measures have been used to assess the success of these disability inclusive and socially inclusive initiatives/approaches?



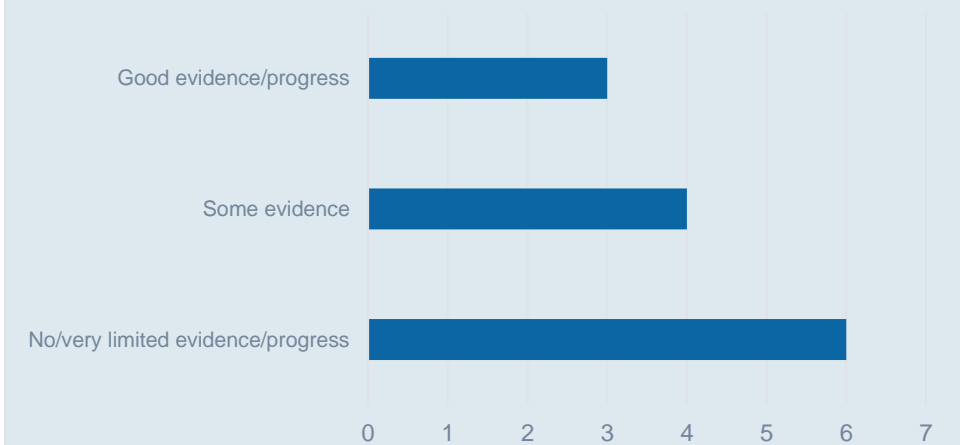
G.18. Has there been a positive impact on the strategic gender needs of women?



G.19. Has there been a positive impact on the practical gender needs of women?

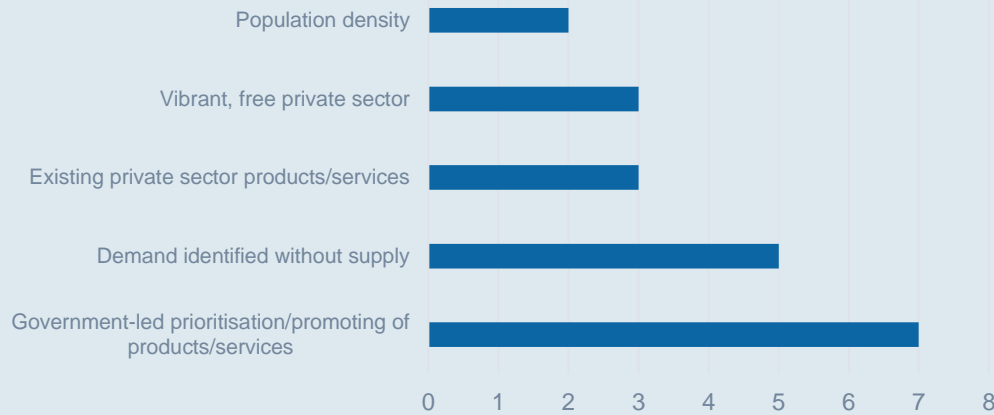


G.20. Has menstrual hygiene management strategies had the intended impacts of improving the attendance of girls in schools?

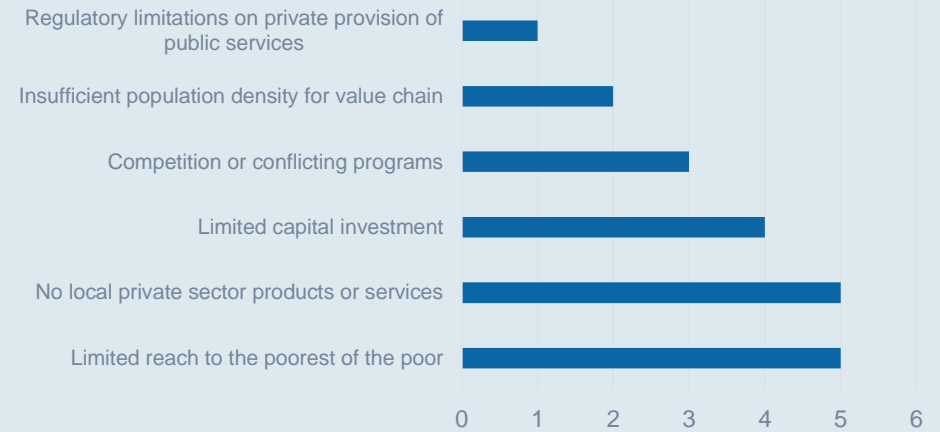


## WASH Market Facilitation results

M.1. What conditions were identified as conducive to market creation?



M.2. What conditions were identified as obstacles to market creation?



M.3. Are there noticeable trends and/or changes of approach in the way that CSOs begin working in sanitation, particularly sanitation marketing across the Fund?

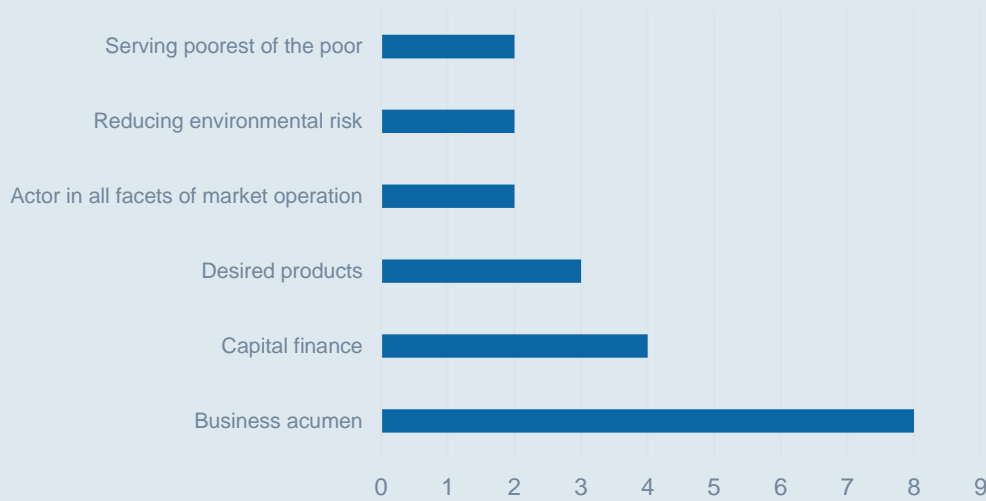


M.4. How was a market analysis conducted?

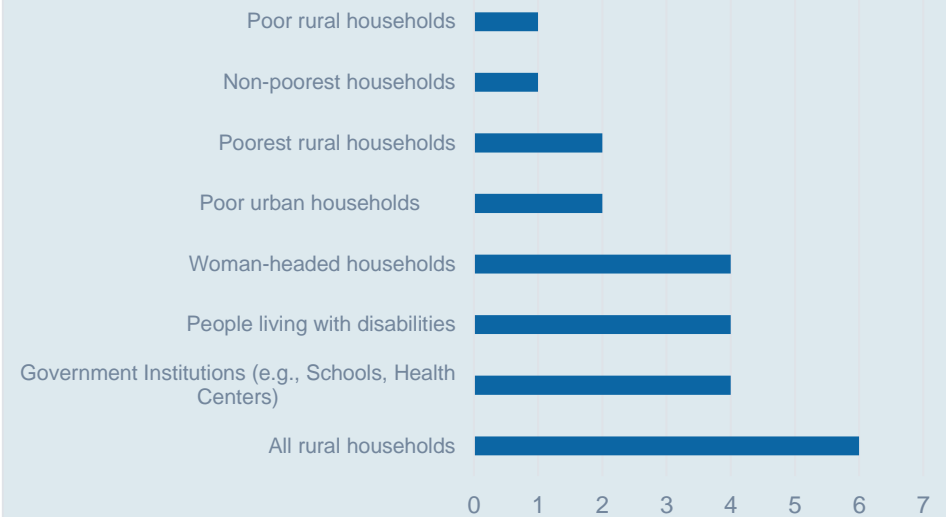




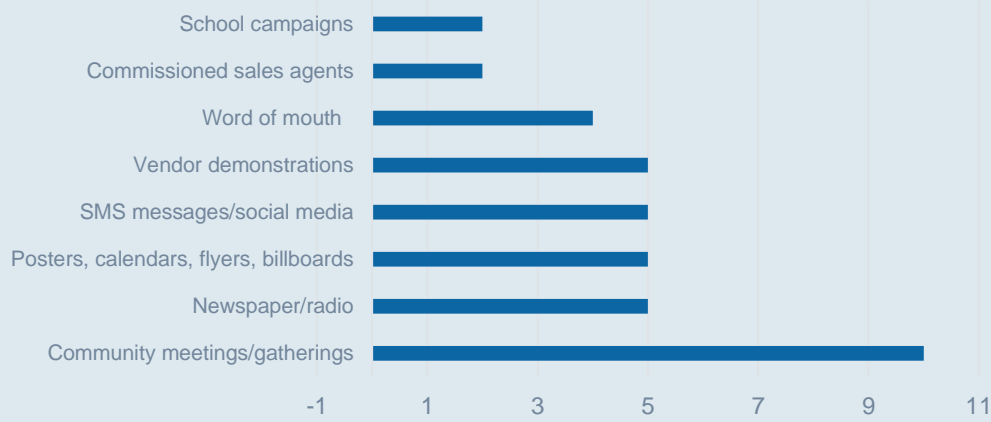
M.5. What were the market gaps that the CSO was equipped to fill?



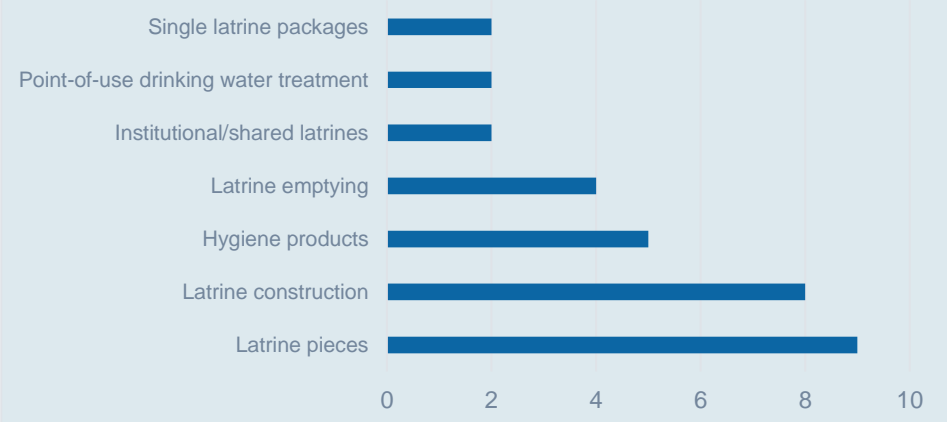
M.6. What were the primary customer segments?



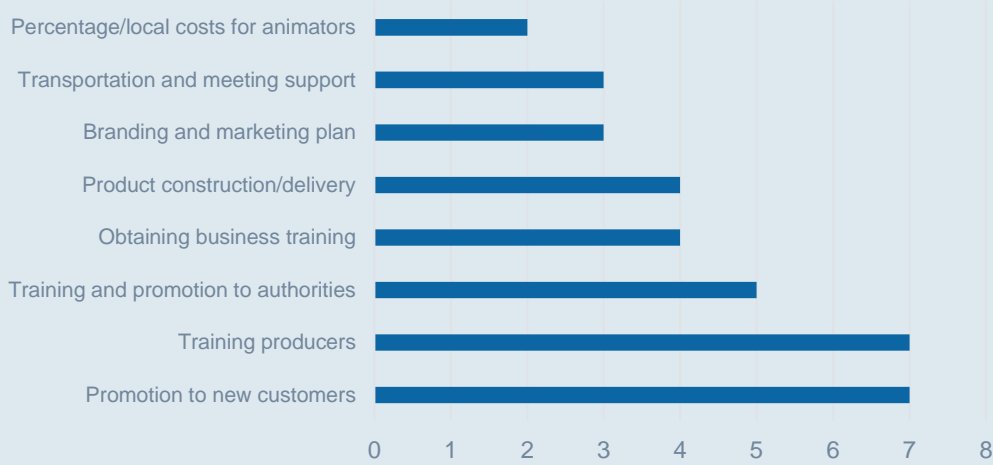
M.7. What were the most practical communication channels to reach primary customer segments?



M.8. What were the products and/or services most in demand by the primary customer segments?



M.9. What key activities must be included in the cost structure or market businesses?



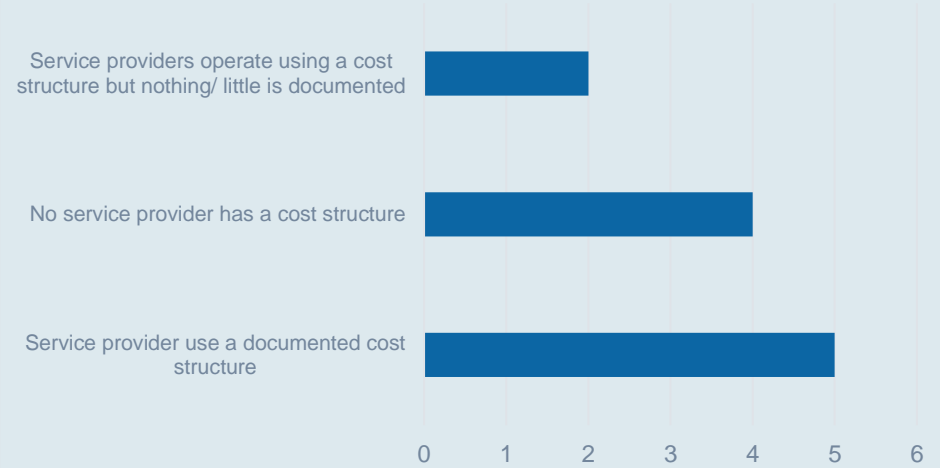
M.10. What key resources can businesses use to support market operations ?



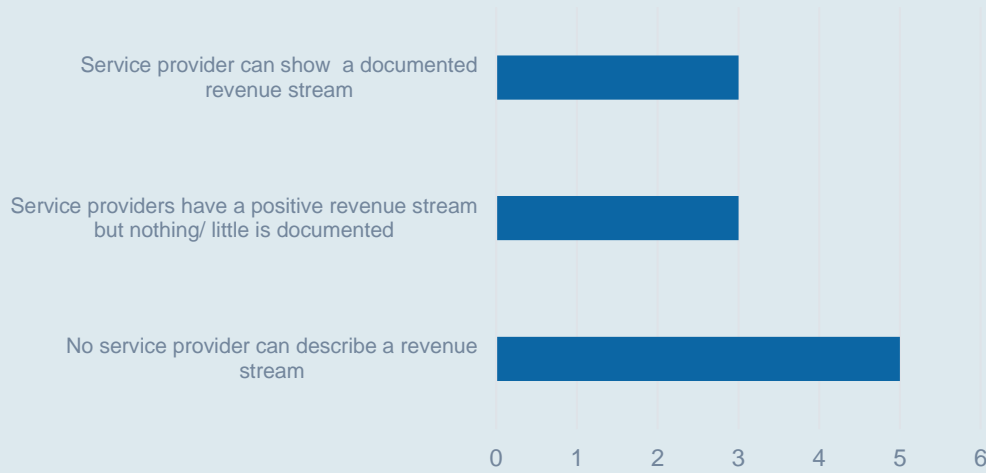
M.11. What key partners commonly support market operations ?



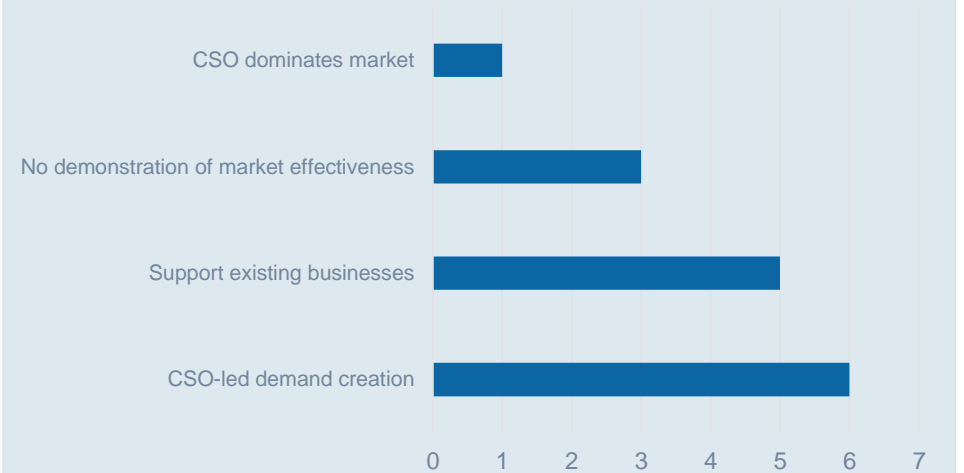
M.12. How thoroughly defined was the cost structure of products and services offered?



M.13. How thoroughly defined was the revenue stream that indicated the viability of the market?



M.14. Across the Fund, in what locations have CSOs been effective in supporting WASH markets?



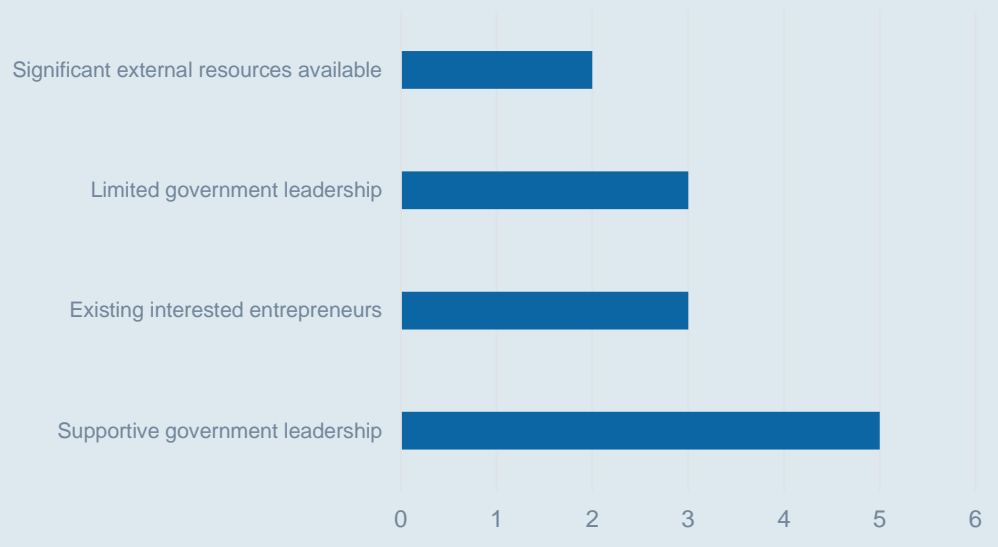
M.15. Where in the framework are the variations amongst approaches ?



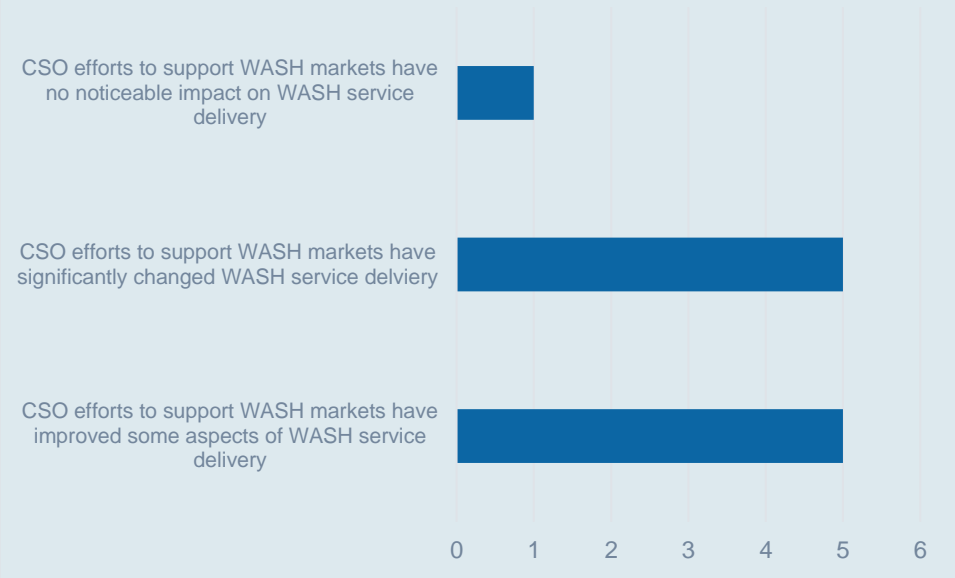
M.16. What are the common critical elements of effective approaches ?



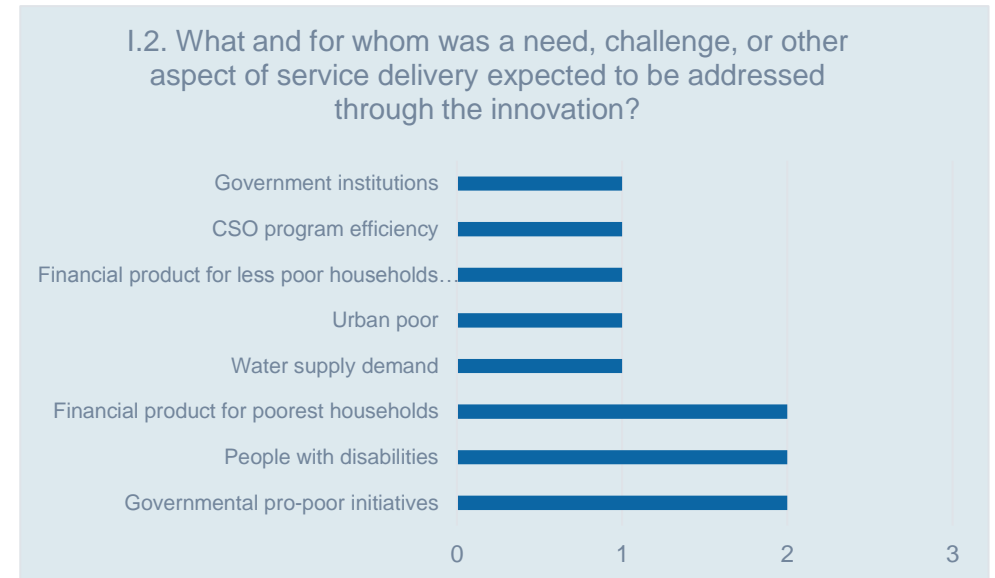
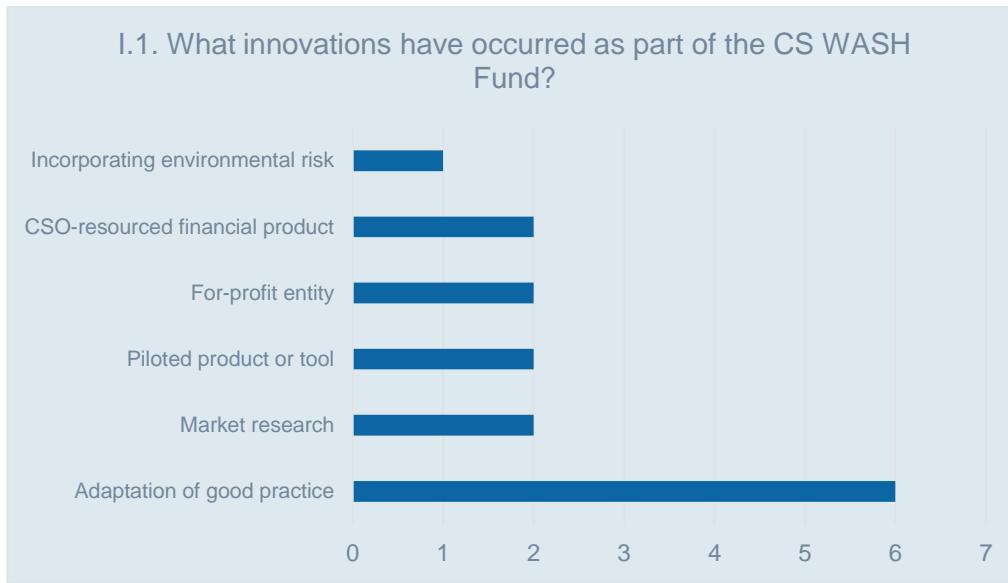
M.17. What are the contexts of effective approaches, and how much have approaches been tailored to specific contexts ?



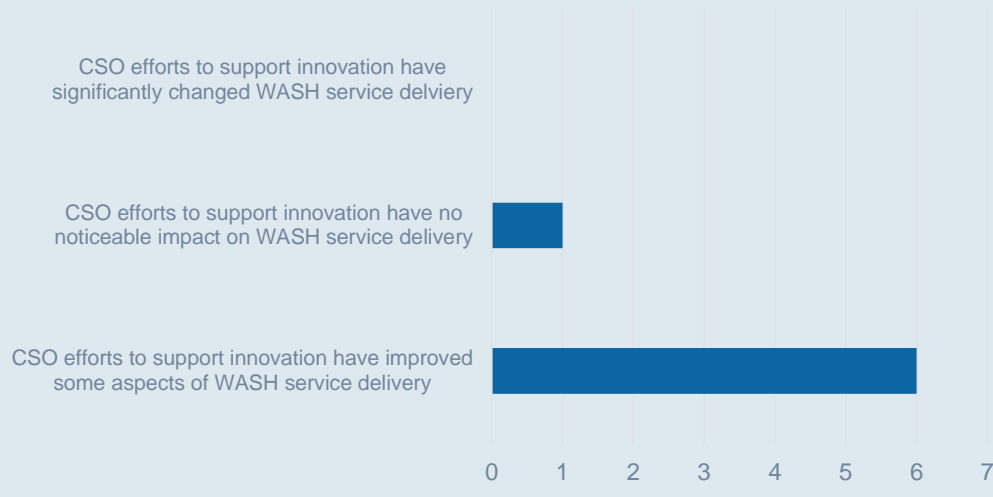
M.18. How have CSO efforts to support WASH markets resulted in improved WASH service delivery ?



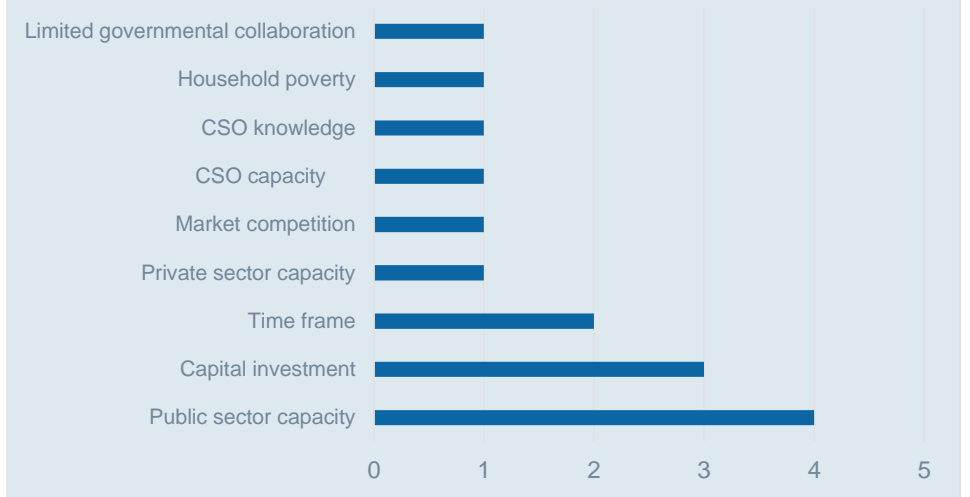
## Innovation, Integration and Uptake results



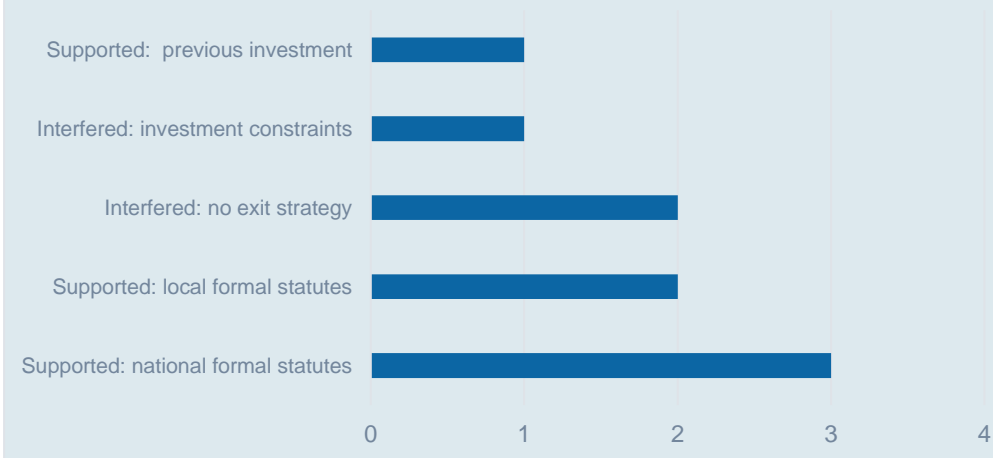
### I.3. How effective have innovations been in improving WASH services?



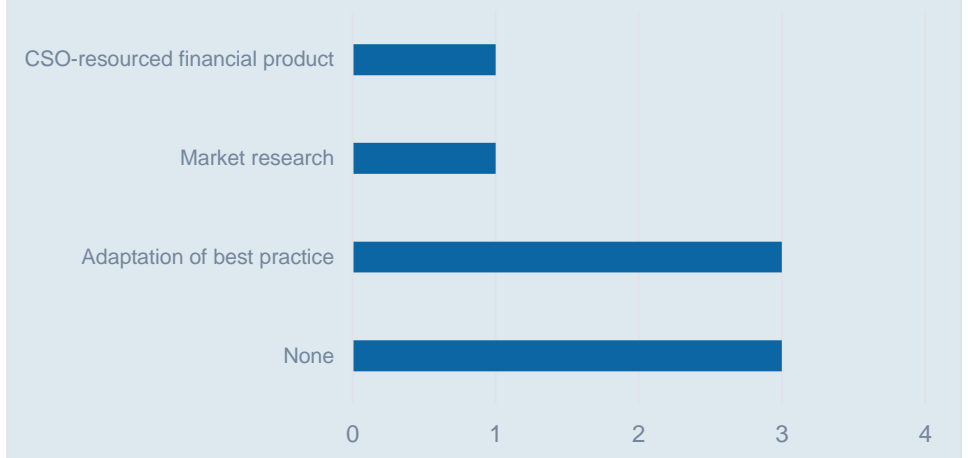
### I.4. What were the three most important barriers to uptake of the innovation and how were they overcome?



### I.5. What formal or informal rules existed that supported or interfered with the development of the innovation?

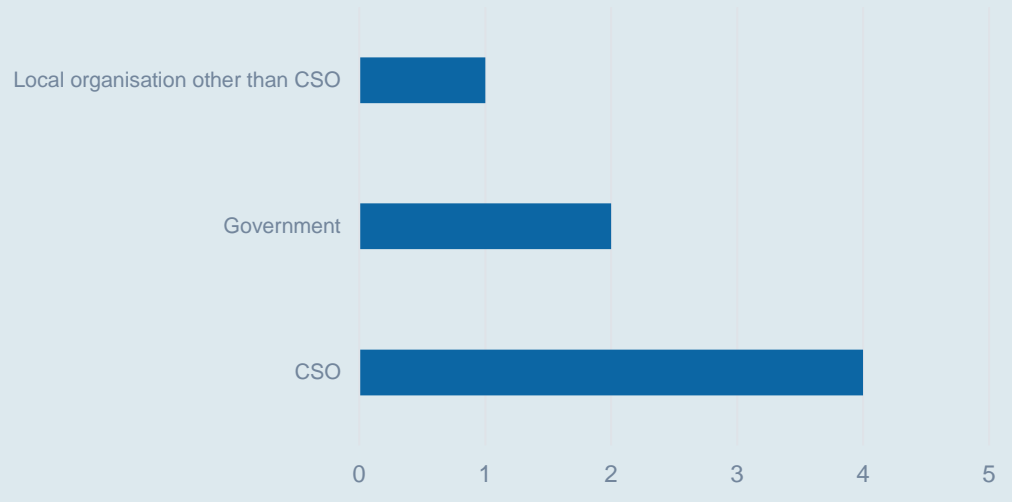


### I.6. Which innovations progressed to the adoption stage of the innovation cycle?





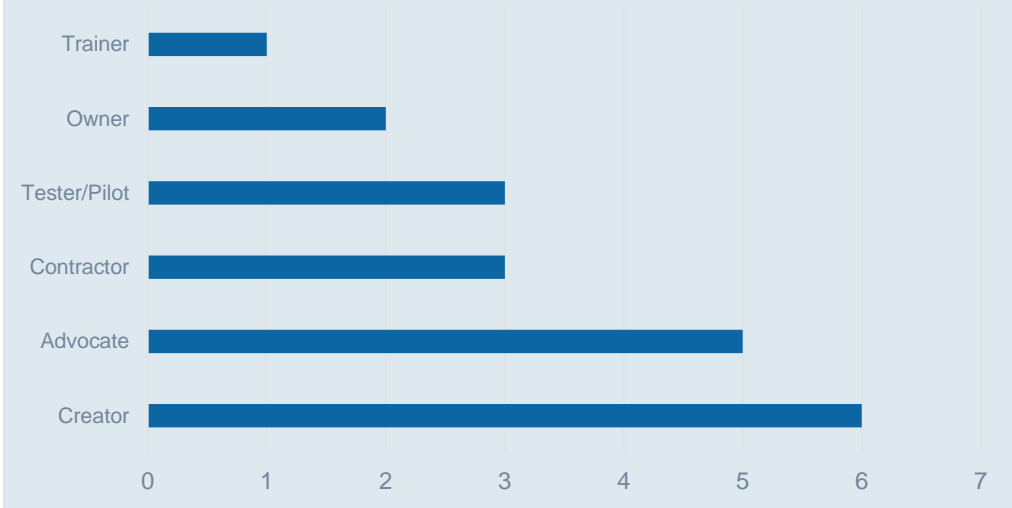
I.7. Who currently “owns” the innovation and is responsible for its maintenance and further diffusion/adoption?



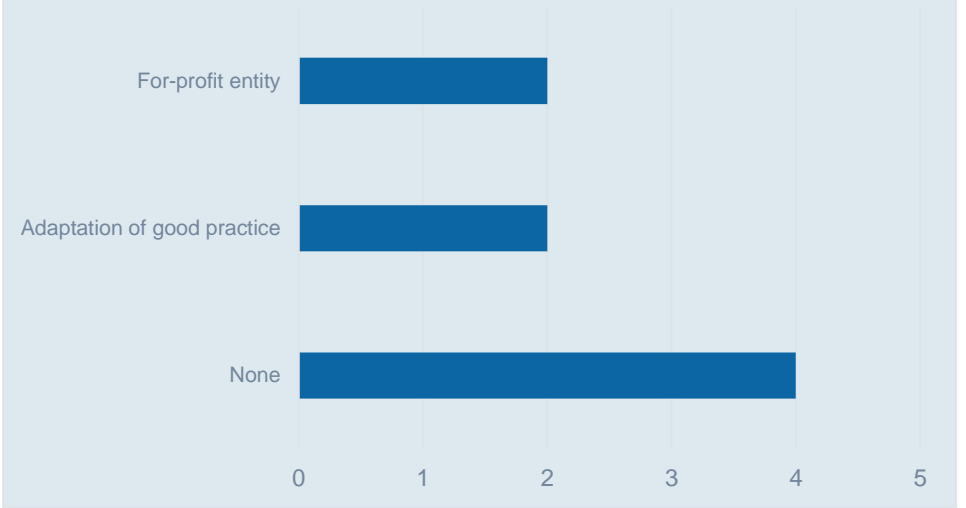
I.8. What relationships and/or networks were needed to help the innovation succeed?



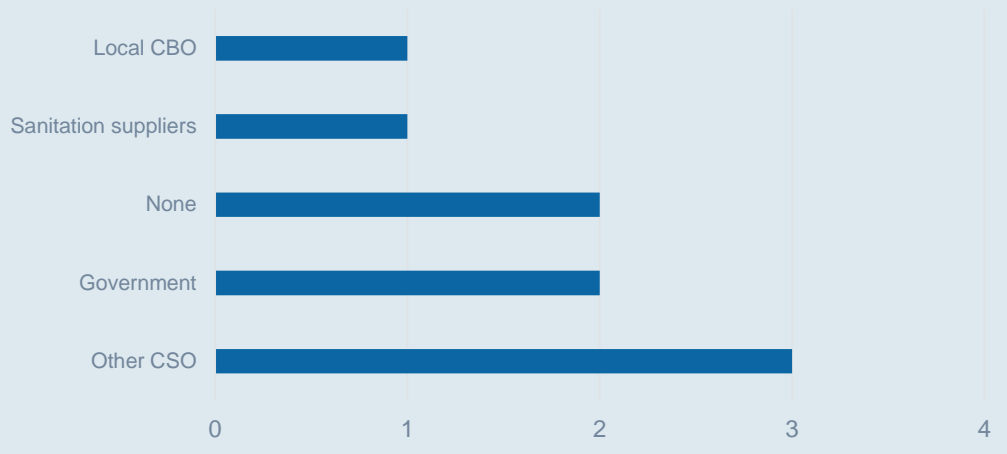
I.9. What roles have CSOs played in supporting WASH innovation, demonstration, and uptake?



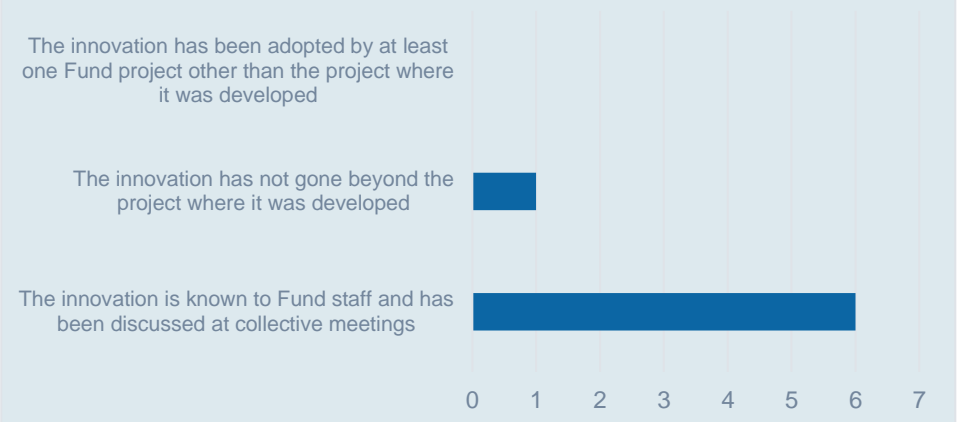
I.10. Which innovations progressed to the scaling stage of the innovation cycle?



I.11. What organizations other than the funded CSO are making use of the innovation in their programming?



I.12. How well and how extensively has innovation been an integrated component of Fund projects and Fund-wide knowledge learning?





## Annex 4: Distribution of CS WASH Fund interventions

Distribution of CS WASH Fund interventions by region and country

Region	Countries	CSO
<b>Pacific</b>	Fiji,	Live and Learn
	Solomon Islands	Live and Learn
	Vanuatu	Live and Learn
	Papua New Guinea	Live and Learn, WaterAid, World Vision
<b>East Asia</b>	Cambodia	iDE, Thrive Networks
	Indonesia	Plan
	Lao PDR	Thrive Networks
	Myanmar	Save the Children Australia
	Timor Leste	WaterAid
	Vietnam	iDE, Plan, Thrive Networks
<b>South and West Asia</b>	Bangladesh	Australian Red Cross, Habitat for Humanity
	Bhutan	SNV
	Nepal	Australian Red Cross, SNV
	Pakistan	IRC (KP), Plan (Punjab)
	Sri Lanka	World Vision
<b>Southern Africa</b>	Lesotho	Australian Red Cross
	Malawi	Concern Universal, Plan
	Mozambique	WaterAid
	Zimbabwe	Welthungerhilfe, WaterAid



## Annex 5: Overview of CSO interventions assessed for WASH Policy Influencing

CSO	Country	Project	Summary of policy influencing work	Type of influence (LQ 13)
iDE	Cambodia	Water Sanitation Hygiene Scale-Up Project (WASH-SUP)	iDE helped to draft sector guidelines for targeted subsidies based on its own piloting and research to help improve pro-poor latrine uptake iDE also works with local government to ensure buy-in before sales agents, also known as Sanitation Teachers, with a strong gender component	National or sub-national guidelines Local govt. bye-laws or guidelines
IRC	Pakistan (KP)	Community Driven Environmental Health Programme in Khyber Pakhtunkhwa (KP) Province	IRC worked with provincial government authorities to develop guidelines for CLTS in line departments and to standardise implementation approaches which then was disseminated to over 25 districts.	National or sub-national guidelines Local govt. bye-laws or guidelines
Live & Learn	Vanuatu	Western Pacific Sanitation Marketing and Innovation Programme	L&L worked on development of national sanitation guidelines with Department of Public Health which are adopted for urban and peri urban areas.	National or sub-national guidelines
Plan	Pakistan (Punjab)	Pakistan Approach to Total Sanitation in Punjab— Implementation Phase	Plan co-wrote national Hygiene Policy and has been instrumental in supporting the roll out of the policy in Punjab province and forging working partnership between the two key government departments (HUD&PHED and LG&CDD)  Plan has also worked with 4 district governments to develop road maps for Pakistan Approach to Total Sanitation (CLTS)	National policy National or sub-national strategies  Local govt. bye-laws or guidelines
Plan	Indonesia	Community Based Total Sanitation (STBM) in Nusa Tenggara Timur (NTT) Province	Plan worked with the MoH to revise the national STBM (CLTS) National guidelines for implementation of existing national policy  Plan also worked with 5 districts to develop local roadmaps, with action plans, strategy, targets and a strong focus on district budget allocations	National or sub-national guidelines  Local govt. bye-laws or guidelines
SNV	Bhutan	Rural Sustainable Sanitation and hygiene for All (SSH4A)	SNV played a central role in supporting the development of the National Sanitation and Hygiene Policy and associated strategy and (technical) guidelines.  SNV also working at district and sub-district levels to develop action plans for sanitation and hygiene as part of roll out of the new policy and strategy.	National policy National or sub-national strategies National or sub-national guidelines



CSO	Country	Project	Summary of policy influencing work	Type of influence (LQ 13)
				Local govt. bye-laws or guidelines
SNV	Nepal	Sustainable Sanitation and Hygiene for All (SSH4A)	<p>SNV worked as part of the national task force to develop guidelines for total sanitation approaches with a focus on ODF sustainability (reverification), needs of special groups (disabled and socially excluded) and institutional sanitation.</p> <p>SNV also working at regional and district levels with local strategies for implementing CLTS; strategies endorsed in four districts and scaling up.</p>	<p>National or sub-national strategies</p> <p>Local govt. bye-laws or guidelines</p>
Thrive	Vietnam	Water, Sanitation and Hygiene Output-Based Aid Project	<p>Evidence from Thrive’s OBA approach has influenced sector policy on approach to sanitation subsidies and PSP in rural water service delivery, which have been adopted by provincial governments</p> <p>Thrive also carried out a review and update of PPP guidelines for water supply to integrate gender; these guidelines will be approved by local government</p>	<p>National policy</p> <p>Local govt. bye-laws or guidelines</p>
WaterAid	PNG	Community-led, sustainable WASH in PNG	<p>WaterAid has been an active member of the National WASH Taskforce that has driven the development and ratification of PNG’s first WASH Policy; this involvement has continued as the Taskforce operationalises the policy through the development of guidelines.</p> <p>WaterAid is working on WASH in schools to develop guidelines as part of working group; looking to use nationally endorsed guidelines to work at lower levels of government</p>	<p>National policy</p> <p>National or sub-national strategies</p> <p>National or sub-national guidelines</p>
WaterAid	Timor Leste	Strengthening WASH Approaches in Timor Leste	<p>WaterAid provided significant inputs and influence on development of the national water supply policy, including drafting a policy discussion paper</p> <p>WaterAid tested social audits at municipal level as part of broader drive to increase community participation across multi sectors including WASH</p>	<p>National policy</p> <p>Local government guidelines</p>
World Vision	PNG	WASH in Western Province	<p>World Vision inputted into the process of developing a new national WASH policy in 2015; now World Vision is part of task force which is developing strategy to implement the policy and to transform the PMU overseeing WASH policy into a full national authority</p>	<p>National strategy</p> <p>Local government guidelines</p>



CSO	Country	Project	Summary of policy influencing work	Type of influence (LQ 13)
			World Vision's Healthy Islands Concept has led both Middle Fly and South Fly district health departments to consider a similar approach for other communities.	
WHH	Zimbabwe	Sustainable SERVICES for EVERYONE beyond the LIFETIME of the project at a FAIR price (SELF)	WHH worked with local authorities (LA) to develop guidelines to implement the WASH policy 2013 and customer charters, as well as standards for LA performance; LAs have also drafted gender and disability policies. WHH also worked with other DPs and government on a national initiative to develop a benchmarking system for bigger towns (with World Bank, UNICEF and CAFOD) but timeframes meant this was not possible to finalise	Local govt. bye-laws or guidelines



## Annex 6: Summary of Tools used by CSOs by Theme

Theme	Tool (and source or link)	Notes
<b>Policy Influencing</b>		
	<p><b>WaterAid - Political Economy Analysis Toolkit</b>  <a href="http://www.wateraid.org/what-we-do/our-approach/research-and-publications/view-publication?id=e8fe3f84-2ef0-4105-b90b-489646e5ffb3">http://www.wateraid.org/what-we-do/our-approach/research-and-publications/view-publication?id=e8fe3f84-2ef0-4105-b90b-489646e5ffb3</a></p>	<p>This is a tool developed by WaterAid, based on an existing World Bank PEA tool, which is used to understand how change happens, helping to identify how best to influence change and make more politically informed decisions. The PEA toolkit provides a structured approach for analysing how change happens, from the national to the local level</p> <p>The toolkit has four levels of entry points with different tools:</p> <ol style="list-style-type: none"> <li>1. Country strategy tool</li> <li>2. Sector strategy tool</li> <li>3. Tactical tool</li> <li>4. Everyday tool</li> </ol>
	<p><b>Water and Sanitation Program (World Bank) - Service Delivery Assessment</b>            It is difficult to find the SDA as a standalone open source tool, but it is explained as part of the UNICEF Enabling Environment toolkit here:  <a href="https://washenablingenvironment.wordpress.com/2017/01/18/132/">https://washenablingenvironment.wordpress.com/2017/01/18/132/</a></p>	<p>The SDA tool builds on the previous Country Status Overviews (CSOs) which were developed by WSP in close partnership with the African Development Bank, UNICEF, WHO, and the governments of 32 countries in sub-Saharan Africa. This initiative was replicated in seven countries in East Asia and the Pacific and two countries in South Asia under the title of the Service Delivery Assessment (SDA), and three countries in Latin America under the Monitoring Country Progress on Drinking Water and Sanitation initiative (or MAPAS in its Spanish acronym).</p> <p>Each of the four scorecards consists of nine 'building blocks' of service delivery which are classified into three categories or 'pillars': 1) enabling conditions for putting services in place, 2) actions that relate to developing the services, and 3) functions that relate to sustaining the services. Every building block is assessed against specific indicators (3 or 4 indicators per building block), which are different for each sub-sector. Indicator scores are converted into a building block score (from 0 to 3), which is also given a colour indicating the status of the building block and the extent to which remedial action is needed. The sub-sector scorecards are utilised in the context of an overall sector assessment, which includes a financial assessment component.</p>





	<p><b>Water and Sanitation Program (World Bank)</b>            Enabling Environment Assessment:  <a href="https://www.ircwash.org/sites/default/files/enablingenvironmentassessment.pdf">https://www.ircwash.org/sites/default/files/enablingenvironmentassessment.pdf</a>            An example of the application of the tool can be found here:  <a href="http://documents.worldbank.org/curated/en/567221468325172546/Synthesis-of-four-country-enabling-environment-assessments-for-scaling-up-handwashing-programs">http://documents.worldbank.org/curated/en/567221468325172546/Synthesis-of-four-country-enabling-environment-assessments-for-scaling-up-handwashing-programs</a></p>	<p>The World Bank worked with stakeholders to develop the Enabling Environment Assessment, which can be used to systematically assess, strengthen, and monitor progress in sanitation and hygiene programmes at the national and sub-national levels. The tool is composed of eight essential dimensions used to describe the enabling environment. Each dimension has six indicators or ‘components’, which are structured as a checklist. There is one point possible for each component, and once all components have been assessed they are aggregated per dimension to produce a score of low’ (0-2), ‘medium’ (3 or 4), or ‘high’ (5 or 6). Low scores demonstrate a weakness in the enabling environment that needs to be addressed to reach sustainable service delivery at scale. Some of the indicators may be country-specific, and therefore a knowledgeable WASH expert should assist in developing the final checklist. An independent consultant carries out a 2-3 week baseline assessment and an additional 2-3 week end line assessment. This is combined with a consultation process whereby stakeholders are engaged a dynamic process of meetings and workshops.</p>
	<p><b>UNICEF Bottleneck Analysis Tool (WASH-BAT)</b>  <a href="http://www.washbat.org/">http://www.washbat.org/</a></p>	<p>UNICEF’s WASH-BAT is a tool which aims to assess the enabling environment for WASH service delivery by identifying and tracking the barriers to delivering sustainable and efficient services at national, regional, service provider and community levels. The performance of key factors in the enabling environment are scored, bottlenecks are identified, and activities for the removal of bottlenecks agreed, sequenced and prioritised. Costs are estimated, funding sources assessed, and additional funds are allocated to the activities according to their priority level.</p>
	<p><b>UNICEF - Enabling Environment toolkit</b>  <a href="https://washenablingenvironment.wordpress.com/guidance">https://washenablingenvironment.wordpress.com/guidance</a></p>	<p>This Guidance Note is designed to allow UNICEF staff and professionals interested on working towards the Strengthening the Enabling Environment (EE) for WASH to become familiar with the concepts and the importance of the EE for WASH, to define the functions that it comprises, to understand the logic behind the support process for addressing it, and where to get additional information as needed. It is essentially a guidance document to walk users along a process or road map to understand and analyse the EE and includes a conceptual framework to locate users as well as referencing a number of other tools.</p>
<p><b>Gender and Social Inclusion</b></p>		
	<p><b>Water and Sanitation Program (World Bank)</b>            A Framework to Analyse Sanitation Behaviours to Design Effective Sanitation Programmes  <a href="http://www.wsp.org/sites/wsp.org/files/publications/GSP_sanifoam.pdf">http://www.wsp.org/sites/wsp.org/files/publications/GSP_sanifoam.pdf</a></p>	<p>SaniFOAM is a conceptual framework designed to help programme managers and implementers analyse sanitation Behaviours to design effective sanitation programmes. It was developed in Durban, in February 2008, at a workshop attended by participants from 6 organisations including UNICEF, the London School of Hygiene and Tropical Medicine and USAID.</p>
	<p><b>Toolkit on Gender Equality Results and Indicators</b>            (Asian Development Bank (ADB) and the Government of Australia)</p>	<p>This tool kit aims to assist development practitioners to ensure that gender perspectives are incorporated into development initiatives, and to monitor and evaluate gender equality results.</p>



<p><a href="https://www.oecd.org/derec/adb/tool-kit-gender-equality-results-indicators.pdf">https://www.oecd.org/derec/adb/tool-kit-gender-equality-results-indicators.pdf</a></p>	<p>It presents a menu of gender equality outcomes, results, and indicators that may be selected or adapted by users.</p>
<p><b>GESI Tools and Guidelines Update</b> The Climate Resilient Infrastructure Development Facility (CRIDF), Department for International Development's (DFID) <a href="http://cridf.net/wp-content/uploads/2017/10/Extlib23.pdf">http://cridf.net/wp-content/uploads/2017/10/Extlib23.pdf</a></p>	<p>The purpose of the GESI guidelines is to assist CRIDF Project Teams on how to consider and adequately address GESI issues throughout the project development stages, and when appropriate guide implementation. The GESI guidelines can be used on an ongoing basis during project design, implementation and monitoring and evaluation irrespective of whether the project is a new or ongoing intervention. It can also be used for a formal assessment at the end of the project execution.</p>
<p><b>Gender Equality and Social Inclusion (GESI) Operational Guidelines 2013.</b> (Government of Nepal, Ministry of Urban Development) <a href="http://moud.gov.np/wp-content/uploads/2016/08/GESI-Guidelines-en.pdf">http://moud.gov.np/wp-content/uploads/2016/08/GESI-Guidelines-en.pdf</a></p>	<p>The main objective of this guideline is to provide guidance on implementation of gender equality and social inclusion in all aspects of Ministry of Urban Development policies, institutions and in its programme/ project implementation processes in an integrated manner.</p>
<p><b>Checklist for mainstreaming protection in WASH programmes Protection Cluster &amp; WASH Cluster, occupied Palestinian territory</b>  (United Nations Human Rights and EWASH)  <a href="http://www.globalprotectioncluster.org/.../oPt_PC_Checklist_PM%20in_WASH_program">www.globalprotectioncluster.org/.../oPt_PC_Checklist_PM%20in_WASH_program</a></p>	<p>This checklist is a tool to assist in incorporating protection in water and sanitation interventions. The questions are intended to assist organisations in identifying issues that should be factored into the design, implementation, monitoring and evaluation of their programmes and projects.</p>
<p><b>Sectoral Perspectives on Gender and Social Inclusion Water Supply and Sanitation. Gender and Social Exclusion Assessment 2011. Sectoral Series Monograph 7</b> (Asian Development Bank, Department for International Development, UK, and The World Bank)  <a href="https://think-asia.org/bitstream/handle/11540/856/spgsi-monograph-7-water-supply-sanitation.pdf?sequence=1">https://think-asia.org/bitstream/handle/11540/856/spgsi-monograph-7-water-supply-sanitation.pdf?sequence=1</a></p>	<p>The document first assesses the current situation of gender equality and social inclusion (GESI) in Nepal's water supply and sanitation (WSS) sector. It identifies the barriers faced by different groups in accessing WSS services and how the various policies, sector modalities and project mechanisms have worked to address them. Second, it provides practical guidance on how to improve existing responses and take further action for more equitable access to WSS facilities and services.</p>
<p><b>Resource Guide: Working effectively with women and men in water, sanitation and hygiene programs</b> (IWDA and ISF UTS, Australia. 2010).</p>	<p>A tool kit of materials (resource guide, flash cards and a poster) has been developed to assist programme and field staff involved in the design, implementation and/or evaluation of community-based water, sanitation and hygiene (WASH) programmes to work effectively with both women and men.</p>



	<a href="http://www.genderinpacificwash.info/guidance-material.html">http://www.genderinpacificwash.info/guidance-material.html</a>	
	<p><b>WEDC Dialogue Circles</b> Plan International and WEDC <a href="https://wedc-knowledge.lboro.ac.uk/resources/learning/El_Dialogue_circle_on_social_inclusion_guidance_note.pdf">https://wedc-knowledge.lboro.ac.uk/resources/learning/El_Dialogue_circle_on_social_inclusion_guidance_note.pdf</a></p>	<p>The objectives are to:</p> <ul style="list-style-type: none"> <li>• To raise community awareness of the problems some users face in accessing and using latrines;</li> <li>• To support families and the community to identify problems and possible solutions to improve access to latrines;</li> <li>• To encourage vulnerable groups and individuals to participate actively in the meeting by voicing their problems and opinions and contributing to problem-solving.</li> </ul>
	<p><b>Working towards gender responsive water, sanitation and hygiene at the organisational level: Towards Inclusive WASH Sharing evidence and experience from the field. Case Study 16.</b> Lee Leong Plan International Australia <a href="http://www.inclusivewash.org.au/Literature/Case%20Study%2016_Working%20towards%20gender-responsive%20WASH%20at%20the%20organisational%20level.pdf">http://www.inclusivewash.org.au/Literature/Case%20Study%2016_Working%20towards%20gender-responsive%20WASH%20at%20the%20organisational%20level.pdf</a></p>	<p>Plan International's (Plan) global 2011 Gender Equality policy clearly establishes Plan International Australia (PIA)'s commitment towards gender equality in all of Plan's work (programmes, partnerships and organisational culture) (Plan International 2011), and water, sanitation and hygiene (WASH) are no exception to this. The intent of the tool is to critically review the Theory of Change for gender equality used for WASH interventions.</p>
	<p><b>Gender and WASH Monitoring Tool</b> Plan International Australia; March 2014 <a href="https://www.plan.org.au/~media/plan/documents/resources/gwmt-march-2014.pdf">https://www.plan.org.au/~media/plan/documents/resources/gwmt-march-2014.pdf</a></p>	<p>The GWMT enables local project staff and Government partners to explore and monitor gender relations with women and men in implementation of WASH related initiatives. It comprises a series of participatory rural appraisal (PRA) activities (in this booklet) as well as preparatory training. The GWMT seeks to address the following dual aims:</p> <ol style="list-style-type: none"> <li>1) In communities: <ul style="list-style-type: none"> <li>• To raise awareness about gender roles and relationships in household and community WASH activities.</li> <li>• To promote (aspirations for) gender equality by providing opportunities for women and men in WASH programme communities to discuss gender relations and to set their own agenda for change.</li> </ul> </li> <li>2) For WASH staff and partners <ul style="list-style-type: none"> <li>• To support WASH implementing staff to develop their understanding of gender analysis</li> <li>• To develop practical skills for gender monitoring</li> <li>• To collect sex-disaggregated information</li> </ul> </li> </ol>
<b>WASH Markets</b>		
	<p>Business Model Canvas (Strategyzer) <a href="http://strategyzer.com">http://strategyzer.com</a></p>	<p>The Business Model Canvas can be used to describe, design, or analyse a business model to assist with full market development and strategic management. It is used by iDE during market</p>



		analyses and was used by IRCWash to retroactively examine the business model of commercial sludge management for WHH in Zimbabwe.
	Introductory Guide to Sanitation Marketing and Toolkit <a href="http://www.wsp.org/sites/wsp.org/files/publications/WS-P-Introductory-Guide-Sanitation-Marketing.pdf">http://www.wsp.org/sites/wsp.org/files/publications/WS-P-Introductory-Guide-Sanitation-Marketing.pdf</a>	“With an <i>Introductory Guide to Sanitation Marketing</i> , the Water and Sanitation Program (WSP) seeks to contribute to the field by sharing practical guidance on the design, implementation, and monitoring of rural sanitation marketing programmes at scale.”
	Enterprise in WASH <a href="http://enterpriseinwash.info">http://enterpriseinwash.info</a>	Enterprise in WASH is a research initiative focused on the role of small-scale enterprises, emerging as important players in sustainable water, sanitation and hygiene (WASH) service delivery for the poor. Its products include: <ul style="list-style-type: none"> <li>▪ a systematic review of evidence to date</li> <li>▪ studies on the dynamics of private sector roles</li> <li>▪ value chain studies for sanitation</li> <li>▪ studies on motivators, drivers and barriers for enterprises</li> <li>▪ equity study for private water enterprises.</li> <li>▪ gender and entrepreneurship</li> <li>▪ associations and other business support mechanisms</li> <li>▪ cost structures for private water enterprises</li> <li>▪ entrepreneurship and rural water supply sustainability</li> </ul>
<b>Innovation</b>		
	Human Centred Design <a href="https://www.ideo.com/post/design-kit">https://www.ideo.com/post/design-kit</a>	Human centred Design is a repeatable approach to arriving at innovative solutions. The IDEO Design Kit provides exercises to be used to “unleash creativity, putting the people you serve at the centre of your design process to come up with new answers to difficult problems.”
	Mobile technologies for water and health <a href="http://www.mwater.co">http://www.mwater.co</a>	“mWater follows an open access business model. Anyone can use the platform for free, without a relationship with mWater. Large organisations apply their own software budgets as investments in technology the world needs. Investor-level organisations pay for new features they desire, customised implementations, dashboards, training and support. In turn, we are able to offer all mWater features built for these few partners to the public for free, encouraging more people to monitor WaSH with collaborative mobile data collection tools.”
	Output-based Aid Sanitation Subsidies <a href="https://www.wsp.org/sites/wsp.org/files/publications/WSP_OBA_sanitation.pdf">https://www.wsp.org/sites/wsp.org/files/publications/WSP_OBA_sanitation.pdf</a>	These are part of a development financing model launched by the Global Partnership for Output-Based Aid (GPOBA), a multi-donor facility administered by the World Bank where payments are based on pre-determined outputs and price, verified by independent agents. In this sanitation sector application, low-income families who installed a hygienic latrine receive an award in the form of a small cash rebate following verification. All funds are disbursed only upon verification of the delivery of the output – specifically, the construction and use of a hygienic latrine by a low-income family during the programme period.



## Annex 7: Overview of CSO interventions assessed for GESI

CSO	Country	Project	Summary of strong approaches to strengthen the capacity of stakeholders to plan, implement, monitor and evaluate gender sensitive, pro-poor and socially inclusive WASH service provision
iDE	Cambodia	Water Sanitation Hygiene Scale-Up Project (WASH-SUP)	In Cambodia, the iDE project started a gender taskforce to ensure continuous gender mainstreaming efforts. The project GESI strategy was based on two side of the demand-supply chain; women as clients/beneficiaries and how to support women on the demand side, as decision makers in the household, and on the supply chain side, as change/sales agents. The project was able to support women as sales agents simply by understanding that women needed more flexible working hours and that part time job opportunities greatly enhanced women’s ability to take on sales agents’ roles.
ARC	Nepal	Sanitation, Hygiene & Water Management Project	Used an approach to increase/target participation in WASH committees, including technical and leadership/decision making positions, and to create an enabling environment for women to be comfortable and capable of speaking out/leading discussions through training/capacity building plus GESI sensitivity awareness raising. Women gained confidence through project roles in technical and leadership positions. The sanitation fund increased access to facilities and enhanced dignity and safety. The Dalit community was targeted for inclusion.
ARC	Bangladesh	CDI 2 -WASH Programme (Community based Development Initiative – Water and Sanitation Hygiene Promotion)	The approach used was to work in communities to change attitudes in community towards women particularly towards women during menstruation. Within the target areas women are participating in UP WASH Committees and CPCs, and it is expected that this will continue past the end of the project. Their role and commitment are recognised and valued in their communities. DoE and SMCs will continue to promote good MHM at schools. Materials to support MHM promotion and training have been developed and can be replicated in other areas. School sanitation facilities including gender sensitive features were endorsed by relevant government entities and can be replicated in other areas in their jurisdictions. Government agencies including DPHE and DoE have recognised the importance of sex disaggregated school latrines and they are taking initiatives to replicate beyond the project target areas.
Live & Learn	Vanuatu	Western Pacific Sanitation Marketing and Innovation Programme	Women's and PLWD's participation in decision making was enhanced. The report on the Ladder of Participation identified how participation was increased and specifically also in leadership roles. Women were involved as sales agents to sell toilets as well. One of the most significant achievements has been to integrate GESI needs/issues into the design of latrines (location, safety issues, access, MHM facilities), and the impact that this has had on marketing strategies. The project



CSO	Country	Project	Summary of strong approaches to strengthen the capacity of stakeholders to plan, implement, monitor and evaluate gender sensitive, pro-poor and socially inclusive WASH service provision
			utilised a business approach (sales strategy) to facilitate an organic approach to support GESI objectives. Many of the community-based toilet enterprises were led by women.
Save the Children	Myanmar	Strengthening Community-based WASH Governance	In Myanmar, the SCF project reported that some of the women of the VCA members increased their capacity through training in communication, financial management, and leadership, and that consequently women were able to take a more active role in the committees and communities. It was reported that as women gained more chances to work in the project, their income increased in some cases. Women were also more able to take care of their families. Some of the committee members became staff Community development workers. The project was so successful in this aspect because the project did the work step by step – coupled with the provision of WASH infrastructure
Plan	Indonesia	Community Based Total Sanitation (STBM) in Nusa Tenggara Timur (NTT) Province	<p>Practical level: Step by step approach to GESI – first step is a study on GESI and then a training and training for sanmark; GESI awareness for community to overcome attitudinal barriers; fourth step is to ensure GESI gains is monitored – use GWMT tools developed by Plan Australia to monitor gender achievement.</p> <p>Strategic level: policy and advocacy to ensure gender inclusivity – this has been one of main successes</p> <p>Main gains: i) WASH STBM in 5 districts have GESI included; b) in 2 districts there are higher policy level regulation concerning WASH and which now mention GESI; iii) Currently 50% of WASH committees are made up of women; iv) increase from zero, now several female entrepreneurs; v) people with disabilities now more confident to speak out in the community, overcoming attitudinal barriers; previously they were hidden and now are more accepted</p>
SNV	Bhutan	Rural Sustainable Sanitation and hygiene for All (SSH4A)	<p>Sanitation demand creation: Ensuring adequate participation of all groups in demand creation processes; identifying and reaching those in greatest need through additional activities and avoiding marginalisation of the poorest in the community through coercion, exclusion and shaming.</p> <p>Behavioural change communication: Using messages targeted to different audiences both male and female; applying appropriate communication channels and contacts and avoiding stereotypes that serve to reinforce gender inequality.</p> <p>Sanitation supply chain development: Reducing construction costs for the poor; supporting the poorest and socially excluded groups to access supplies; involving women in sanitation related businesses, and; supporting informed choice to meet the needs of all users, including people living with disabilities, testing appropriate designs for people living with disabilities and schools.</p>



CSO	Country	Project	Summary of strong approaches to strengthen the capacity of stakeholders to plan, implement, monitor and evaluate gender sensitive, pro-poor and socially inclusive WASH service provision
			Improving WASH governance and multi-stakeholder sector development: Building women’s influence at district level; building strategic partnerships to provide leadership and decision-making opportunities for women, and; institutionalising this and monitoring the uptake of gender sensitive and inclusive approaches, promoting the integration of existing pro-poor support mechanisms. Partnerships with two key CSOs - Tarayana Foundation and Ability Bhutan Society both at District level and within the national stakeholder forums, to provide technical support to the GESI strategy.
SNV	Nepal	Sustainable Sanitation and Hygiene for All (SSH4A)	<p>Research framework helped to identify behaviour determinants and barriers that could be intervened to effect change. Gender and social inclusion strategy developed and integrated for the SSH4A components, including supply chain activities, monitoring of participation, increasing women's involvement in sanitation related businesses and services; increasing women’s effective involvement in WASH decision making processes and ensuring disability considerations are integrated. All strategies and guidelines reviewed for gender sensitivity and informed by gender analysis.</p> <p>8 partnership agreements signed and implemented with district women and child offices (one in each of the 8 districts) to support increased and more effective participation of females in DWASHCC. Worked with the government to develop a national-level guidelines on (rural) sanitation construction using local materials and is launched by the Secretary, and trying now to link with the private sector.</p>
Thrive	Vietnam	Water, Sanitation and Hygiene Output-Based Aid Project	In Vietnam, the Thrive/EMW project attributed much of the success of WASHOBA’s approach to the high level of cooperation and coordination between the health sector and the Women’s Union at the village-level. With training and technical support from the PMC and Commune Health Station staff, the Women’s Union volunteers quickly mobilised and worked collaboratively with community health workers to promote healthy WASH behaviours and motivate poor households to build hygienic latrines. The value-add of this close working relationship is reflected in the high sustainability score for commune and village mobilisers.
World Vision	Zimbabwe	Learning form the past, leading into the future. Saving lives through inclusive WASH	Given the financial constraints faced by the Bulawayo City Council and Gwanda Municipality, having a GESI framework to strengthen environmental and sanitation information increased institutional knowledge, as well as provided a constant source of information and ideas from other countries that positively informed future environmental and sanitation initiatives.
WaterAid	Timor Leste	Strengthening WASH Approaches in Timor Leste	In Timor Leste it was felt that the strength of the project in regards to GESI was the development of the Gender and Wash Facilitation Dialogue Manual which was then adopted by the government as a national guideline. The process built up the





CSO	Country	Project	Summary of strong approaches to strengthen the capacity of stakeholders to plan, implement, monitor and evaluate gender sensitive, pro-poor and socially inclusive WASH service provision
			<p>confidence of facilitators to stimulate change for GESI in the communities, and the guide has become the standard for the country.</p>
World Vision	PNG	WASH in Western Province	<p>IN PNG, gender-based violence is a significant issue, as well as the weak policy and institutional environment to achieve GESI objectives. There is virtually no reach into the communities for the community development government agency. The project works within a "weak" government policy and institutional environment to support GESI strategies. The Healthy Islands Approach integrated leadership training for women and PLWD. Training on leadership and advocacy on disability-inclusion in WASH was provided to PLWD (who are involved in/with PNG ADP and Callan Services) to take an increased role in participation and decision making in community structures (TB/WASH Taskforce, women's, Church and youth groups). This approach sought to bring awareness to the communities about inequality and social inclusion. The project also developed District level WASH guidelines on GESI.</p> <p>World Vision's partnership with local women's groups is intended to support and train staff and partners in improving gender equality, and to raise awareness of WASH gender issues among women's groups who can advocate for improved WASH gender outcomes in their communities.</p>
WHH	Zimbabwe	Sustainable SERVICES for EVERYONE beyond the LIFETIME of the project at a FAIR price (SELF)	<p>The overall approach was to mainstream GESI in all WASH interventions, explicitly targeting and meeting the needs of specific disadvantaged groups with community level organisations. A GESI Champion was nominated in the Delivery Team and Champions were appointed within the LAs and community groups. GESI champions, backed up by the Knowledge Management Units at LA level ensured a GESI focus was maintained in all trainings and provided a G&amp;SI "conscience" for the programme, challenging Government and LA officials, traditional leaders and community groups to ensure that normally excluded voices were heard and heeded.</p> <p>A comprehensive baseline in the first 3 months of the project (ref. Sanitation Plan) included a G&amp;SI audit and needs assessment on facility accessibility to identify critical issues, gaps, appropriate WASH interventions, and additional key indicators for monitoring and tracking the high-level project G&amp;SI outcomes.</p> <p>On a practical level, all WASH interventions were intended to be Available, Accessible, Safe, Acceptable and Affordable and do no further harm. Project funding was allocated to pay specific attention to the identified special needs of women and girls, the disabled and socially excluded.</p>



## Annex 8: Overview of CSO intervention assessed for WASH Market Facilitation

CSO	Country	Project	Summary of WASH Market Facilitation work	Type of approach (LQ M3)
Australian Red Cross	Bangladesh	Community Development Initiative – WASH	Conducted a participatory market assessment, applied human-centred design concepts to improve product quality, design, and cost, and then supported the establishment of commercial service providers (CSPs) as sanitation service centres providing high quality products in and around communities.	Facilitating new market
Habitat for Humanity	Bangladesh	Supporting the Enabling Environment for Better WASH Services in Northern Bangladesh	Sanitation support delivered through two phases: (1) project-capitalised loans to local CBOs enabling better off households to obtain or upgrade facilities, and (2) use of loan returns to capitalise a revolving fund managed by CBOs to cover future support and on-lending.	Entering the market
iDE	Cambodia	Water Sanitation Hygiene Scale-Up Project (WASH-SUP)	Actor in both the household water and sanitation markets by directly engaging demand creators and product suppliers. Provides capacity building, product development, and production support. Acts within market as the link between supply and demand.	Entering the market
Live & Learn	Vanuatu	Western Pacific Sanitation Marketing and Innovation Programme	Established woman-managed enterprises to provide branded household and institutional sanitation and hygiene products in urban areas to reduce health risks from flooding and natural disasters.	School-focused programme
Plan	Pakistan	Scaling Up Pakistan Approach to Total Sanitation in Punjab	Built on earlier demand creation efforts applying the national CLTS programme by facilitating sanitation marketing skills among Rural Sanitation Marts (RSMs). Initially applied subsidy to stimulate market, but later allowed market forces to govern commercial support to achieve and remain viable after achieving ODF status.	ODF-related subsidies  Strengthening supply chains to expand an existing market
Plan	Indonesia	Community Based Total Sanitation (STBM) in Nusa Tenggara Timur (NTT) Province	In parallel with on-going demand creation efforts in support of the national programme which features CLTS, facilitated private sector supply chain to provide affordable, improved sanitation products and services.	Strengthening supply chains to expand an existing market  Facilitating a new market



CSO	Country	Project	Summary of WASH Market Facilitation work	Type of approach (LQ M3)
			Built capacity and skills of entrepreneurs to establish local and other markets for products	
Plan	Vietnam	CS-WASHPro	Sanitation marketing and hygiene promotion conducted alongside CLTS including trainers from multiple offices of government and the Women’s Union. Developed lighter latrine pit rings that open opportunities to provide products to remote ethnic groups.  Collaborate with Ministry of Education and District Departments of Education and Training to install child- and disability-friendly WASH facilities in schools.	Facilitating demand to expand an existing market  Strengthening supply chains to expand an existing market  School-focused programme
Thrive	Cambodia	Water, Sanitation and Hygiene Output-Based Aid Project	OBA subsidy/rebate approach aligned with Cambodian government policy targeting the poor. First worked with Ministry of Rural Development locally to allocate sub-national budget toward rebates. Targeting district and commune level commitments then advancing toward nation institutionalization.  Significant proportion of urban dwellers access WASH services via private operators.  Private entrepreneurs have invested in providing water supply and sanitation products and services across the country.	Government-led prioritization/promoting of products/services  Vibrant, free private sector  Existing private sector products/services
Thrive	Laos	Water, Sanitation and Hygiene Output-Based Aid Project	Existing national CLTS programme committed to activating sanitation demand through ODF verification. Applied OBA rebates as an incentive for verification achievement rather than to create a sustainable programme due to limits on government financing. Developed and tested scorecard methodology to assist the government in identifying the poorest households – those eligible for the OBA rebate upon village-wide achievement of ODF status.	Government-led programme promoting relevant products/services
WaterAid	Timor Leste	Strengthening WASH approaches in Timor-Leste	Support to local entrepreneurs in proximity to the capital to sell toilet and water supply parts through an improved private supply chain.	Existing private sector products/services



CSO	Country	Project	Summary of WASH Market Facilitation work	Type of approach (LQ M3)
Welthungerhilfe	Zimbabwe	SELF - Sustainable SERVICES for EVERYONE beyond the LIFETIME of the project at a FAIR price.	<p>Trialled a mobile desludging business with initial focus on economy of scale provided by mines, schools, and INGOs generating large faecal volume, sharing proximity, and with ability to pay for services.</p> <p>Supported proactive mobile plumbers programme through which women and men created demand for services rather than reacting to immediate need.</p>	<p>Population density</p> <p>Demand identified without supply</p>



## Annex 9: Overview of CSO interventions assessed for WASH Innovation

CSO	Country	Project	Summary of WASH Innovations	Type of approach (LQ I01)
Habitat for Humanity	Bangladesh	Supporting the Enabling Environment for Better WASH Services in Northern Bangladesh	A CBO-led loan model providing households access to funds to construct improved latrines. Phase 1 loans are provided through local CBOs to enable better off households to build or upgrade latrines. Loan repayments are used to establish a revolving fund at the CBO to provide support for community WASH groups and loans to the poor for latrine upgrades or repairs.	CSO-resources financial product
iDE	Cambodia	Water Sanitation Hygiene Scale-Up Project (WASH-SUP)	<p>Application of randomised control trial (RCT) methodology to examine impact of subsidies on commercial latrine market.</p> <p>Mobile monitoring            Latrine product design improvement            Pro-poor household financing            Pit gauge to measure if latrine pits are filling up            Affordable disability friendly latrine            Hydrologic carbon credit income supporting profitability</p>	<p>Market research</p> <p>Adaptation of good practice            Adaptation of good practice            Adaptation of good practice            Pilot            Pilot            For-profit</p>
Plan	Vietnam	CS-WASHPro	Incorporation of environmental and climate related issues into water safety planning and community-led total sanitation (CLTS). Conducted environmental risk assessment, trained government on WASH standards and environmental protection, and incorporated environmental messages into hygiene promotion and awareness raising materials.	Incorporating environmental risk
SNV	Bhutan	Sustainable Sanitation and Hygiene for All	Application of randomised control trial (RCT) methodology to hygiene behaviour change approach.	Market research



CSO	Country	Project	Summary of WASH Innovations	Type of approach (LQ I01)
			Design and construction of Decentralised Wastewater Treatment System (DEWATS), Faecal sludge treatment plant, and sanitary landfill through government-allocated funds.	Adaptation of good practice
Thrive	Laos	Water, Sanitation and Hygiene Output-Based Aid Project	<p>Delivering water supply to rural communities through small public-private partnerships involving local government, local private sector, and community demand.</p> <p>Established categorisation scorecard approach for the poor to enable targeting of output-based aid (OBA) rebates to support latrine construction</p>	<p>Adaptation of good practice</p> <p>CSO-resourced financial product</p>
WaterAid	Timor Leste	Strengthening WASH approaches in Timor-Leste	Supported development of RapidWASH tool for mobile phone-based monitoring of WASH investments	Adaptation of good practice
Welthungerhilfe	Zimbabwe	SELF - Sustainable SERVICES for EVERYONE beyond the LIFETIME of the project at a FAIR price.	<p>WASH Wizards network of proactive mobile plumbers selling services door-to-door to fix leaking pipes or other small household needs.</p> <p>Business model development of mobile desludging unit</p>	<p>Adaptation of good practice</p> <p>Adaptation of good practice</p>