



## FINAL EVALUATION OF THE DRC WASH CONSORTIUM PROJECT FOR SUSTAINABLE WATER, HYGIENE AND SANITATION SERVICES IN RURAL AREAS OF THE DEMOCRATIC REPUBLIC OF THE CONGO (DRC)

Absolute Options 

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This publication was produced at the request of Concern Worldwide / Democratic Republic of Congo. It was prepared independently by Absolute Options LLC.

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This publication was produced at the request of Concern Worldwide / Democratic Republic of Congo under Call for Proposals: Consultancy for the final evaluation of the DRC WASH Consortium's project for sustainable water, hygiene and sanitation services in rural areas in the Democratic Republic of the Congo (DRC).

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**Cover photo:** Water users gathering around a rural water hand pump site in Manono Territory in Tanganyika Province, DRC (all photos by David Rinck / Absolute Options LLC for Concern Worldwide unless otherwise noted).

### **DISCLAIMER**

The views expressed in this publication do not necessarily reflect the views of Concern Worldwide or the United Kingdom Agency for International Aid (UK aid).

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# ABBREVIATIONS AND ACRONYMS

ACF	<i>Action Contre la Faim</i>	MPI	Ministry of Planning
AO	Absolute Options LLC	MEAL	Monitoring, evaluation and learning
AP	<i>Amides de Paysans</i>	MQSUN	Maximizing the Quality of Scaling Up Nutrition
BCZ	<i>Bureau Central de la Zone de Sante</i>	NGO	Non-governmental organisation
CCU	Consortium Coordination Unit	OECD-DAC	Organisation for Economic Cooperation and Development- Development Assistance Committee
CIM	<i>Communauté des Sœurs du cœur Immaculé de Marie</i>	PAFI	Small important doable actions (petites actions faisables importantes)
CDF	Congolese Francs	PNEVA	<i>Programme National Ecole et Village Assainis</i>
CNAEHA	<i>Comité National d'Action pour l'Eau, l'Hygiène et l'Assainissement</i>	ReCo	Community outreach volunteer ( <i>Relai Communautaire</i> )
CPAEHA	<i>Comité provincial d'action de l'eau, hygiène et assainissement</i>	REGIDESO	<i>Régie de distribution d'eau</i>
CRS	Catholic Relief Services	RISD	Research Initiatives for Social Development
DFID	Department for International Development	SDGs	Sustainable Development Goals
DRC	Democratic Republic of Congo	SILC	Savings and Internal Lending Communities
DRR	Disaster risk reduction	SNHR	<i>Service national d'hydrique rurale</i>
ET	Evaluation Team	TA	Technical assistance
ETD	Local decentralised authorities ( <i>entités territoriales décentralisées</i> )	TOC	Theory of Change
ETR	External Technical Review (meeting)	TWG	Technical Working Group
FGD	Focus group discussion	UK aid	United Kingdom Agency for International Aid
GBV	Gender-based violence	US\$	United States Dollars
GBWM	Girls boy, women and men	UNEP	United Nations Environment Programme
GWI	Global Water Initiative	UNICEF	United Nations Children's Fund
HH	Household	V4M	Value for Money
IYCF	Infant and young child feeding	WASH	Water, sanitation and hygiene
IGA	Income generating activity	WHO	World Health Organisation
IT	Nurse staff ( <i>Infirmière Titulaire</i> )	WMC	WASH Management Committee
KII	Key informant interview		
LogFrame	Logical Framework		
M&E	Monitoring and evaluation		
MDG	Millennium Development Goals		

## ABSTRACT

In July–September 2018, Absolute Options (AO) and its local partner Research Initiatives for Social Development (RISD), implemented a final evaluation of the DRC WASH Consortium project in the Democratic Republic of Congo (DRC). The project was funded by the United Kingdom Agency for International Aid (UK aid) and forms a component of the agency’s WASH programme in the DRC as defined in Business Case and Intervention Summary 203445 published in 2013. UK aid intended the project to complement the DRC Ministries of Health and Education *Programme National Ecole et Village Assainis* (PNEVA), implemented UNICEF to provide access to WASH services in rural communities. The project was implemented from 2013–2018 by a consortium led by Concern Worldwide, and including *Action Contre la Faim* (ACF), ACTED, Catholic Relief Services (CRS) and *Solidarités International*.

The Evaluation Team employed a mixed method, which included document review, key informant interviews (KIIs) and focus group discussions (FGDs) with a representative sample of stakeholders and a purposively selected sample of beneficiaries, site visits and observations in the provinces of Kasai Central and Tanganyika, a quantitative analysis of progress toward indicator targets, and value for money analysis (V4M) using methodology laid out in UK aid guidance. Evaluation topics were: progress against Project Results (Outcome and seven Outputs) according to the criteria of relevance, effectiveness, efficiency, impact, and sustainability; value for money in relation to the quality and quantity of the expected and achieved results; success of the project with regard to cross-cutting issues and small-scale pilot projects; and appropriateness and success of the Consortium governance structure.

# EXECUTIVE SUMMARY (ENGLISH)

## Project Description

The DRC WASH Consortium was established in July 2013, with the objective of providing sustainable access to water, hygiene and sanitation in over 600 villages in rural DRC. Funded by UK aid, the Consortium is comprised of five international NGOs: Concern Worldwide as lead agency, ACF, ACTED, CRS and *Solidarités International*. The Consortium project interventions, now in their final year, are currently implemented in two provinces, Central Kasai and Tanganyika.

## Evaluation Overview

This final evaluation of the DRC WASH Consortium project assesses the following topics:

1. Progress against **Project Results** (Outcome and seven Outputs) outlined in the project LogFrame based on the Organisation for Economic Cooperation and Development - Development (OECD-DAC) criteria of relevance, effectiveness, efficiency, impact, and sustainability;
2. Consortium financial and operational performance and assessment of the full extent to which the project represents good **value for money (V4M)** in relation to the quality and quantity of the expected and achieved results based on the UK aid V4M Framework;
3. The success of the project also with regard to **cross-cutting issues**, including: the Consortium “economic approach”; the influence of the DRC WASH Consortium on other projects (especially the PNEVA programme), overall contributions to sectoral sharing and learning, and; other issues;
4. The success of **small-scale pilot projects**, including: emergency preparedness and response to cholera; development of a provincial level knowledge management and learning network; development of local government capacity to plan and manage WASH investments; development of approaches to support user voice and accountability with service providers; development of local private sector (supply chains of hand pump spare parts), and; integration of nutrition-sensitive programming into rural WASH interventions; and
5. Appropriateness and success of the DRC WASH Consortium **governance structure**.

## Data Collection and Analytical Methodologies

The Evaluation Team (ET) utilized a sequential and parallel mixed-methods approach to implement this final evaluation of the DRC WASH Consortium project, which included both qualitative and quantitative methods of data collection and analysis to address the evaluation topics. These data collection and analytical methods included the following:

**Document and Secondary Data Review** – Prior to departure for fieldwork, the ET conducted an extensive review of project-related documents. In addition, the ET reviewed additional documents as they became available over the course of fieldwork.

**Key Informant Interviews (KIIs)** – For the purposes of this final evaluation, KIIs are in-depth, semi-structured interviews of an illustrative sample of various stakeholder groups. The KIIs employed an *evolving subject-driven approach* to KIIs, which refers to an iterative process of using pre-selected questions, focused on thematic subjects, aggregating issues forward as they arise into subsequent interviews. The ET also posed probing questions in order to obtain additional details related to the evaluation as issues arose. The ET utilized discussion guides for initial topic lists for non-Consortium key informants (see **Annex D: Evaluation Tools**).

**Focus Group Discussion (FGDs)** – FGDs are in-depth moderated discussions with small groups of six-ten participants (greater in the case of community members). For this final evaluation, FGDs



utilized a set of standard discussion guides, while employing a semi-structured, evolving subject-driven format and moderator probing, combined with group discussion dynamics, such as shows of hands. To ensure meaningful discussion, the FGDs took place in venues where participants were comfortable, especially at central outdoor areas of villages and at water points (see **Annex D: Evaluation Tools**).

**Site Visits and Observations** – Over the course of conducting FGDs, the ET also conducted site visits and observations at water points and other relevant sites in order to provide interviewees with an opportunity to demonstrate firsthand factors related to the evaluation topics. Site visits were selected to engage both male and female respondents.

**Indicator Target Analysis** – Prior to commencing fieldwork, the ET analyzed bi-annual progress toward indicator targets to assess the scale of activity impact against planned scale, and to identify potential challenges and successes that may have occurred over the course of implementation (see **Annex F: Indicator Target Analysis**).

### **Lessons Learned and Recommendations**

This section summarizes lessons learned and recommendations from the Final Evaluation based upon findings and conclusions detailed in Section 2.

**Demand creation activities** – An initial assumption posited by UK aid was “improving knowledge and skills relating to the delivery of WASH services through training leads to better accountability between stakeholders and empowers users to seek better quality in the delivery of that service”.<sup>1</sup> The Consortium approached this assumption through initially focusing on building experiential linkages between hygiene behavior change “knowledge and skills” and improved health outcomes through PAFI, using communities’ own resources. This approach was highly effective in creating user demand for WASH services, fostering community ownership, and likely prepared water users for the financial demands of paying for improved water services. On the other hand, many WMCs expressed the option that 18 months of sensitization and training was “too short” and expressed the desire for an extended training period to facilitate exposure to additional practices (see **2. Findings and Conclusions, Section 2.2 Project Results, Output 1**).

**Recommendation:** Implementing agencies in the WASH sector (as well as in other analogous sectors, such as agriculture and livelihoods) should consider an extended initial implementation of demand creation activities in advance of investments in community infrastructure. The period for implementing demand creation activities should be 18 months or more.

**Implementing WASH in Fragile States** – The DRC WASH Consortium project was implemented in the context of a “fragile” state. Working with government entities in weak states implies limitations on a broad range of expectations, including poor efficacy of information dissemination and leadership due to weaknesses of national entities (CNAEHA and the CPAEHAs), and the delivery of community services, due to fundamental logistics and resource constraints. As such, this context had far-reaching implications for multiple activities, outputs, and the project outcome, including community support from government entities to communities and WMCs at the micro level (BCZs, ETDs, territory administrations), coordination and planning, and knowledge management and sharing, at the meso and macro levels, and well as the project exit strategy. In this case, it is unlikely

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<sup>1</sup> *“Business Case and Intervention Summary 203445 - Increasing sustainable access to Water, Sanitation & Hygiene in the DRC”* UK aid, DFID, September 2013

that government activities encouraged by the Consortium will continue beyond the end of the project given public resource constraints and limited technical capacity.

**Recommendation:** Implementing agencies in the WASH sector in weak states should carefully evaluate the capacity of government entities to implement activities autonomously, taking into consideration the key governance metrics of competence to disseminate information between national and local levels, and capacity to effectively implement resource transfers (funding) between agencies. While ‘coordination’ and some level of ‘capacity building’ are reasonable, where these governance competencies are absent, implementers should focus more on community-led activities and plan for termination of government activities once project funding ends, rather than depend on continued government service provision to sustain outputs and outcomes.

**Taking a Supply and Demand Approach** - The DRC WASH Consortium project was successful in creating demand for improved WASH services, especially through PAFI over the “18-months sensitization” period. On the other hand, corollary supply-side activities, especially linkage to viable service providers such as private sector spare parts dealers and supply chains, were delayed and limited in scope. In turn, this results in limitations on the sustainability of WASH and water infrastructure as communities seek to maintain their infrastructure.

**Recommendation:** In addition to demand creation activities, implementing agencies in the WASH sector should place significant emphasis on corollary supply-side activities in order to ensure viable access to spare parts and technical assistance following the end of projects.

### Value for Money Analysis

**Lowest cost is not necessarily best value** - Although Consortium unit costs of water points and sanitation facilities were closely aligned with regional UK aid-funded WASH programme analogs (see **Section 2. Value for Money Analysis**), the overall DRC WASH Consortium initial planned cost per beneficiary number is higher than that of DRC counterpart projects (i.e., £43.21/beneficiary for the Consortium; approximately £30.33/beneficiary for UNICEF PNEVA support and; £23.82/beneficiary for the urban water supply project implemented by Mercy Corps). However, higher Consortium costs per beneficiary are driven by several factors including: 1) Consortium costs figures are actual while UNICEF and Mercy Corps figures are anticipated costs from original programme budgets; 2) Mercy Corps’ project has greater economies of scale due to its focus on urban water systems; 3) the UNICEF project did not involve the same intensity of WMC and community capacity development as the Consortium.

Data related to maintenance of Healthy Village certification, for example, indicates that the Consortium 12-step approach to achieve and maintain the seven norms resulted in enhanced sustainability compared to lower-cost UNICEF interventions. The most recent data available, for example, shows that 52% of Consortium-supported villages maintained certification six months after initial certification is achieved.<sup>2</sup> This compares favorably with the UK aid 2018 Annual Report finding that PNEVA “villages lost status very quickly due to nonconformity with a range of Healthy Village WASH norms. In 2017, for example, only 32% of the villages where follow-up occurred had

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<sup>2</sup> “DRC WASH Consortium LogFrame Q20 - Results” DRC WASH Consortium for DFID (forthcoming)

maintained or regained their status” after 24 months.<sup>3</sup> The two programmes differ significantly in the amount of time training and sensitizing villages before construction of water points. The Consortium 12-step approach (focusing on water service “software”) is more expensive than its PNEVA counterpart, but the degrees of backsliding suggest that UK aid investment in water service “software” may actually be more cost-effective in the long-term.

**Recommendation:** UK aid and WASH sector stakeholders should assess programme performance based upon long-term “best value” (cost of sustainable results), in addition to unit cost analyses during or shortly after implementation. Although this is stated in the UK aid V4M Approach, the difficulty of measuring long-term impact may discourage the best value approach in practice.

### **Economic Approach**

**Simplified Life-Cycle Approach** – Results related to the Consortium’s economic approach demonstrate that rural WMCs are capable of understanding and adopting at least some level of the life-cycle costing approach. Recent evidence suggests that 72% of Consortium-supported villages have achieved some level of financial self-sufficiency, with 56% able to cover basic operations and maintenance, 10% able to cover major system repairs, and 6% able to afford full water system replacement. However, formal life-cycle costing tools (i.e., spreadsheets, cost-benefit analyses, etc.) are less effective than practical tools such as ledgers and spare parts cost catalogs. Lastly, given the complexity implicit in life-cycle costing approaches (or even charging community members water user fees in DRC), adequate time and multiple trainings are necessary for the sustainability of financial self-sufficiency.

**Recommendation:** The life-cycle costing approach is feasible, even for WMCs in under-served rural areas. However, implementing agencies in the WASH sector should develop and deliver complicated economic concepts in easy-to-digest training modules, relying upon practical tools and training approaches to facilitate adoption of economic approaches such as life-cycle costing.

### **Improved Evidence for WASH Projects**

**Knowledge sharing limitations** – Implementers should not assume that sector knowledge sharing strategies result in information flow to local levels, or from local levels to national levels, through government entities. This especially true in crisis/post-crisis environments where government communication channels may not function well.

**Recommendation:** Implementing agencies in the WASH sector should establish mechanisms to transfer knowledge and learning to local levels, such as field-level learning events, newsletters and factsheets, for dissemination to local government partners.

### **Gender Equity**

**Gender Accommodating versus Gender Transformative** – As noted, the Consortium took several measures, such as women-only planning meetings, through which women’s perspectives were taken into account with regard to WASH-related safety. As a result, the project was able to successfully take safety into account with regard to issues such as siting of latrines and showers. Likewise, the project took proactive steps that successfully increased women’s participation in decision-making and leadership and achieved significant representation of women in leadership

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<sup>3</sup> “Annual Review – 2018” DFID, 2018

positions in WMCs (32% as of Q18) (see Section 2. Findings and Conclusions, Section 2.3 Cross-Cutting Themes, Gender and Equity). However, setting indicator targets (e.g., % of WMC leaders who are female) is insufficient to achieve gender transformative results, and gendered roles and constraints remained prevalent in the project target areas.

**Recommendation:** In order to change existing social norms and power dynamics impacting gender equity, implementing agencies in the WASH sector should establish gender equity as an integrated project component. Timely completion of gender analyses highlighting constraints on women's participation, adequate training of staff, and project activities that address the constraints identified should also be included. Projects should decide early on the level of engagement and desired outcomes, and whether such activities are viable as components of WASH projects, or should be addressed by corollary programmes.

### Exit Strategy

**Identifying Realistic Post-Project Support Sources** – The DRC WASH Consortium exit strategy is predicated upon three pillars: 1) community-managed WASH service delivery; 2) ability of local government actors to support WASH services and; 3) a functional service provider eco-system, primarily driven by private sector service providers (see section 2. Findings and Conclusions, Section 2.3 Cross-Cutting Themes, Exit Strategy). However, implementing partners and donors need make a realistic assessment of the capacity of government agencies to support, and eventually assume, support for WASH service delivery. This includes realistic assessments of fiscal resources at the local level to carry out technical service and monitoring activities (e.g., funding for fuel, motorcycles, telecommunications, etc.). Likewise, an accurate (and early) assessment of service provider capability and interest in serving the rural WASH sector is essential to inform activities designed to catalyze third-party service provision. In addition, strengthening of local stakeholders, whether government, private sector, or civil society, needs to be pursued in parallel with sanitation and hygiene promotion and WMC development activities, and with adequate scale and project budget.

**Recommendation:** Implementing agencies should undertake a realistic evaluation of government agency capacity to determine where their support is viable. If these entities are included in an exit strategy, local government and service provider capacity strengthening activities should start early and be accompanied by dedicated output and outcome targets, qualified staff, and sufficient budgets.

**Resourcing for Pilot Projects** – Key lessons from DRC WASH Consortium “proof of concept” pilots include: 1) inadequate pilot scale and scope constrain the efficacy of proving or dis-proving the underlying hypotheses of the pilot; 2) pilots occurring late in a project are not likely to inform implementation or adjustments to project approaches and activities; 3) more complex and relevant themes (e.g., supply chain development) should be part of core programme activities and; 4) pressure to achieve principal output targets and comply with reporting requirements lowers the priority of developing and implementing pilots. Although pilots by definition are small scale, pilot size and duration should be adequate to robustly test concepts being piloted. An example of lesson 2 is the Private Service Provider pilot. While the need and objective of the Private Service Provider pilot is sound, the private spare parts supplier tasked with stocking spare parts only began this line of business in July 2018, nine months before programme closure. The ETD-capacity building pilot

was similarly implemented late in the Consortium project, with capacity diagnostics completed only in February 2018.

**Recommendations:** Implementers should design “proof of concept” pilots with adequate scale and scope to ensure robust testing of underlying assumptions and hypotheses. Implementers should also launch pilots early in project implementation to allow changes in approaches and activities stemming from pilot learnings. Lastly, implementers and donors need to account for adequate staffing levels and budgets to truly test pilot concepts.

### **Consortium Governance**

**Coordinating administrative and technical oversight in a WASH Consortium** – Consortium member staff agreed that the “evolved” structure of the DRC WASH Consortium, with the CCU providing technical oversight and guidance and the Governance Board, comprised of Country representatives, approving recommendations, was an appropriate structure for integrating administrative leadership and technical teams at the member agencies (see **Section 2.5. Consortium Governance**).

**Recommendation:** Future WASH consortia should consider the “evolved” DRC WASH Consortium model for coordinating an administrative governance oversight structure and a strong technical project oversight unit led by a technical coordinating committee in order to facilitate effective project implementation.

# SYNTHESE (FRANÇAIS)

## Description du projet

Le Consortium WASH RDC a été créé en juillet 2013, dans le but d'assurer un accès durable à l'eau, à l'hygiène et à l'assainissement dans plus de 600 villages ruraux en RDC. Financé par l'Agence d'aide du Royaume-Uni UK aid, le Consortium est composé de cinq ONG internationales: Concern Worldwide en tant qu'agence lead, ACF, ACTED, CRS et Solidarités International. Les interventions du Consortium, qui sont maintenant dans leur dernière année, sont actuellement mises en œuvre dans deux provinces, le Kasai central et le Tanganyika.

## Aperçu de l'évaluation

Cette évaluation finale du projet du Consortium WASH RDC évalue les sujets suivants:

1. Le progrès par rapport aux **résultats du projet** (l'Outcome et les sept Outputs) décrits dans le cadre logique du projet, fondés sur les critères de pertinence, d'efficacité, d'efficience, d'impact et de viabilité de l'Organisation de coopération et de développement économiques-Développement (OCDE-CAD) ;
2. La performance financière et opérationnelle du Consortium et évaluation de la mesure dans laquelle le projet représente un bon **rapport qualité-prix** (V4M) par rapport à la qualité et quantité des résultats attendus et obtenus sur la base du cadre V4M de UK aid ;
3. Le succès du projet en ce qui concerne également les **questions transversales**, notamment: l'« approche économique » du Consortium; l'influence du Consortium WASH RDC sur d'autres projets (notamment le programme PNEVA), les contributions globales au partage et à l'apprentissage sectoriels et; et les autres issues ;
4. Le succès des **projets pilotes à petite échelle**, notamment : la réduction des risques et des catastrophes lié à la maladie choléra ; la mise en place d'un Système d'Information Géographique sur la WASH au Tanganyika ; le développement des capacités des Entités Territoriales Décentralisés en WASH ; l'élaboration d'approches visant à renforcer la voix des usagers et la redevabilité des fournisseurs des services hydriques ; le développement du secteur privé local (chaînes d'approvisionnement en pièces de rechange pour pompes manuelles) ; et l'intégration d'activités sensibles à la nutrition dans la WASH rurale.
5. La pertinence et le succès de la **structure de gouvernance** du Consortium WASH RDC.

## Méthodologie de collecte et d'analyse des données

L'Equipe d'évaluation a utilisé une approche séquentielle et parallèle des méthodes mixtes pour mettre en œuvre cette évaluation finale du projet Consortium WASH RDC, qui comprenait des méthodes qualitatives et quantitatives de collecte et d'analyse de données afin d'aborder les sujets d'évaluation. Ces méthodes d'analyse et de collecte de données comprenaient les éléments suivants:

**Examen des documents et des données secondaires** - Avant le départ pour le travail sur le terrain, l'équipe d'évaluation a procédé à une revue de la littérature déjà existante et cadrant avec le projet. En plus, l'équipe d'évaluation a examiné les autres documents supplémentaires au fur et à mesure qu'ils étaient disponibles au cours du travail sur le terrain.

**Entrevues avec des informateurs clés (KIs)** - Aux fins de la présente évaluation finale, les KIs sont des entretiens approfondis et semi-structurés avec un échantillon représentatif de divers groupes de parties prenantes. Les KIs ont utilisé une approche évolutive axée sur les sujets, qui fait référence à un processus itératif consistant à utiliser des questions présélectionnées, centrées sur des sujets thématiques, regroupant les thématiques au fur et à mesure qu'elles se

présentent lors d'entretiens ultérieurs. L'équipe d'évaluation a également posé des questions d'approfondissement afin d'obtenir des détails supplémentaires sur l'évaluation au fur et à mesure que des thématiques se présentaient. L'équipe d'évaluation a utilisé des guides de discussion pour les listes de sujets initiales pour les informateurs clés autres que les membres du Consortium. (Voir **Annexe D: Evaluation Tools**).

**Les Groupes de Discussion (FGDs)**- Les groupes de discussion sont des discussions approfondies modérées avec de petits groupes de six à dix participants (plus grand dans le cas des membres de la communauté). Pour cette évaluation finale, les groupes de discussion ont utilisé un ensemble de guides de discussion standard, tout en utilisant un format évolutif semi-structuré et déterminé par le sujet, associé à une dynamique de discussion en groupe, telle que des démonstrations à main levée. Pour assurer un débat constructif, les groupes de discussion ont eu lieu dans des lieux où les participants étaient à l'aise, en particulier dans les zones extérieures centrales des villages et aux points d'eau (voir **L'annexe D: Evaluation Tools**).

**Visites des sites et observations**- Au cours de la conduite des Groupes de discussion (FGDs), l'équipe d'évaluation a également effectué des visites et des observations sur les points d'eau et d'autres sites pertinents afin de fournir aux interviewés l'occasion de démontrer de première main les facteurs liés aux sujets d'évaluation. Les visites des sites ont été réalisées en impliquant les répondants masculins et féminins.

**Cible de l'indicateur Analyse**- Avant de commencer le travail sur le terrain, l'équipe d'experts a analysé les progrès semestriels par rapport aux objectifs en termes d'indicateurs afin d'évaluer l'ampleur de l'impact des activités par rapport à l'échelle planifiée et d'identifier les défis et réussites potentiels pouvant survenir au cours de la mise en œuvre. (voir **Annexe F: indicateur Cible Analyse**).

### **Leçons apprises et recommandations**

Cette section résume les leçons apprises tirées et les recommandations de l'évaluation finale en se fondant sur les constats et les conclusions détaillés à la section 2.

**Activités de création de demande** - L'une des hypothèses de départ de UK aid était « l'amélioration des connaissances et des compétences relatives à la prestation de services WASH par le biais de la formation entraîne une meilleure redevabilité entre les parties prenantes et permet aux utilisateurs de rechercher une meilleure qualité dans la prestation de ce service ». Le Consortium a abordé cette hypothèse en se concentrant initialement sur la création de liens expérientiels entre les « connaissances et compétences » relatives au changement de comportement en matière d'hygiène et l'amélioration des résultats en matière de santé grâce au PAFI (petites actions faisables importantes), en utilisant les ressources propres des communautés. Cette approche a été très efficace pour créer une demande des utilisateurs pour les services WASH, pour favoriser l'appropriation par la communauté, et probablement pour préparer les utilisateurs d'eau aux exigences financières liées au paiement de services d'eau améliorés. Par ailleurs, des nombreux membres de comités de gestion WASH ont déclaré que 18 mois de sensibilisation et de formation étaient « trop courts » et souhaitaient une période de formation plus longue pour faciliter l'exposition à d'autres pratiques (voir **2. Findings and Conclusions, Section 2.2 Project Results, Output 1**).

**Recommandation:** Les agences d'exécution du secteur WASH (ainsi que d'autres secteurs similaires, tels que l'agriculture et les moyens de subsistance) devraient envisager une mise en œuvre initiale étendue des activités de création de la demande avant les investissements dans les

infrastructures communautaires. La période de mise en œuvre des activités de création de demande devrait être de 18 mois ou plus.

**Mise en œuvre des Projets WASH dans les États fragiles** - Le projet Consortium WASH RDC a été mis en œuvre dans le contexte d'un État « fragile ». Travailler avec des entités étatiques dans des États fragiles pose des limitations de certaines attentes, notamment une faible efficacité de la dissémination de l'information et du leadership en raison des faiblesses des entités nationales (CNAEHA et les CPAEHA), et la prestation de services communautaires, en raison des contraintes fondamentales liées à la logistique et aux ressources. En tant que tel, ce contexte a des implications profondes pour de multiples activités, produits et résultats du projet, y compris le soutien communautaire par les entités étatiques aux communautés et aux Comités de gestion d'eau (WMC) au niveau micro (BCZ, ETD, administrations de territoire), la coordination et la planification, ainsi que la gestion et le partage des connaissances, aux niveaux méso et macro, ainsi que la stratégie de sortie du projet. Dans ce cas, il semble peu probable que les activités étatiques encouragées par le Consortium se poursuivent au-delà de la fin du projet, en raison de contraintes en matière de ressources publiques et des capacités techniques limitées.

**Recommandation :** Les organisations de mise en œuvre de projets WASH dans des États fragiles devraient évaluer avec soin la capacité des entités étatiques à mettre en œuvre des activités de manière autonome, en tenant en compte le niveau de compétence des acteurs étatiques dans la diffusion d'informations entre niveaux national et local et leur capacité de mettre en œuvre efficacement des transferts de ressources (financement) entre les organismes. Tandis que la « coordination » et un certain niveau de « renforcement des capacités » sont raisonnables, lorsque ces compétences en matière de gouvernance sont absentes, les responsables de la mise en œuvre devraient se concentrer davantage sur les activités menées par la communauté et s'attendre à une cessation des activités étatiques quand les fonds de projet se terminent, plutôt que compter sur la poursuite de la prestation de services étatiques pour soutenir les Outcomes et Outputs.

**Adopter une approche offre et demande** - Le projet Consortium WASH RDC a réussi à créer une demande pour des services WASH améliorés, en particulier par le biais des PAFI, au cours de la période de « sensibilisation de 18 mois ». D'autre part, les activités corollaires liées à l'offre, en particulier la liaison avec des fournisseurs de services viables tels que les revendeurs de pièces de rechange du secteur privé et les chaînes d'approvisionnement, ont été retardées et ont eu une portée limitée. Ceci a pour conséquence une limitation de la durabilité potentielle des infrastructures hydriques et WASH lors que les communautés cherchent à maintenir leurs infrastructures.

**Recommandation:** Outre les activités de création de demande, les agences de mise en œuvre du secteur WASH devraient mettre un accent particulier sur les activités corollaires liées à l'offre afin de garantir un accès viable aux pièces de rechange et à une assistance technique après la fin des projets.

### Analyse du rapport qualité-prix

**Le coût le plus bas n'est pas nécessairement le meilleur rapport qualité-prix** - Bien que les coûts unitaires des points d'eau et des installations d'assainissement du Consortium soient étroitement alignés sur les analogues de programme WASH régional financé par UK aid (voir **Section 2. Value for Money Analysis**), le coût total par bénéficiaire du Consortium WASH RDC initialement conçu est plus élevé que celui des projets de contrepartie en RDC (à savoir, 43,21 £ / bénéficiaire pour le



Consortium; environ 30,33 £ / bénéficiaire pour le soutien de l'UNICEF au programme PNEVA et; 23,82 £ / bénéficiaire pour le projet d'approvisionnement en eau en milieu urbain mis en œuvre par Mercy Corps). Cependant, les coûts par bénéficiaire plus élevés du Consortium dépendent de plusieurs facteurs, notamment: 1) les chiffres relatifs aux coûts du Consortium sont réels, tandis que les chiffres de l'UNICEF et de Mercy Corps correspondent aux coûts prévus dans les budgets du programme initial; 2) le projet de Mercy Corps permet de réaliser de plus grandes économies d'échelle grâce à l'accent mis sur les systèmes d'approvisionnement en eau urbains; 3) le projet de l'UNICEF n'a pas impliqué la même intensité de développement des capacités des comités et communautaires que le Consortium.

Les données relatives au maintien de la certification Village Assaini, par exemple, indiquent que l'approche des 12 étapes du Consortium pour atteindre et maintenir les sept normes s'est traduite en une durabilité accrue par rapport aux interventions moins coûteuses de l'UNICEF. Les dernières données disponibles, par exemple, montrent que 52% des villages soutenus par le Consortium ont maintenu la certification six mois après l'obtention de la certification initiale. Cela se compare avantageusement au rapport de la « Annual Review WASH 2018 » de UK aid en RDC, selon lequel « les villages de PNEVA ont perdu leur statut très rapidement en raison de la non-conformité à une série de normes WASH de Village Assaini. En 2017, par exemple, seuls 32% des villages ayant fait l'objet d'un suivi avaient conservé ou retrouvé leur statut » après 24 mois. Les deux programmes diffèrent considérablement par le temps consacré à la formation et à la sensibilisation des villages avant la construction d'un point d'eau. L'approche des 12 étapes du Consortium (axée sur le côté « soft » des services d'eau) est plus chère que son homologue du PNEVA, mais la comparaison des rechutes dans les deux programmes suggère que plus d'investissements de la part de UK aid dans le côté « soft » des services hydriques pourraient être rentable à long-terme.

**Recommandation** UK aid et les intervenants du secteur WASH devraient évaluer les rendements des programmes fondés sur la « meilleure valeur » à long terme (coût des résultats durables), en plus des analyses de coûts unitaires pendant ou peu après la mise en œuvre. Bien que cela soit indiqué dans l'approche V4M de UK aid, la difficulté de mesurer l'impact à long terme peut décourager en pratique l'approche de la meilleure valeur.

### **Approche économique**

**Approche simplifiée fondée sur le cycle de vie** - Les résultats liés à l'approche économique du Consortium démontrent que les Comités de gestion en milieu rural sont capables de comprendre et d'adopter au moins un certain niveau de l'approche de calcul des coûts du cycle de vie. Des données récentes suggèrent que 72% des villages soutenus par le Consortium ont atteint un certain niveau d'autosuffisance financière, avec 56% capables de couvrir les opérations de base et l'entretien, 10% capables de couvrir les réparations majeures du système et 6% capables de s'offrir un remplacement complet du système d'alimentation en eau. Cependant, les outils formels d'établissement des coûts du cycle de vie (tableaux, analyses coûts-bénéfices, etc.) sont moins efficaces que les outils pratiques tels que les livres comptables et les catalogues des pièces de rechange. Enfin, compte tenu de la complexité implicite des méthodes de calcul du coût du cycle de vie (ou même de la facturation des frais d'utilisation de l'eau par les membres de la communauté en RDC), un temps adéquat et des formations multiples sont nécessaires pour la durabilité de l'autosuffisance financière.

**Recommandation:** L'approche du coût du cycle de vie est réalisable, même pour les comités de gestion des zones rurales peu desservies. Cependant, les agences actives dans le secteur WASH

devraient développer et intégrer des concepts économiques complexes dans des modules de formation faciles à assimiler, en s'appuyant sur des outils pratiques et des approches de formation facilitant l'adoption d'approches économiques telles que l'établissement des coûts du cycle de vie.

### **Amélioration des données factuelles pour la programmation WASH**

**Limites du partage des connaissances** - Les responsables de la mise en œuvre ne doivent pas donner pour escompté que les stratégies de partage des connaissances sectorielles entraînent un flux d'informations au niveau local, ou du niveau local au niveau national, par le biais des entités étatiques. Cela est particulièrement vrai dans les environnements de crise / post-crise où les canaux de communication du gouvernement peuvent ne pas fonctionner efficacement.

**Recommandation:** Les agences active dans la WASH devraient établir des mécanismes de transfert des connaissances et de l'apprentissage aux niveaux locaux, tels que des activités d'apprentissage sur le terrain, des bulletins d'information et des fiches de synthèse, pour diffusion aux partenaires étatiques locaux.

### **L'égalité des sexes**

**La prise en compte du genre *contre* la transformation du genre** - Le Consortium a pris plusieurs mesures, telles que des réunions de planification réservées aux femmes, grâce auxquelles les points de vue des femmes étaient pris en compte en ce qui concerne la sécurité liée à la WASH. Le projet a donc pu prendre en compte la sécurité pour des questions telles que l'emplacement des latrines et des douches. De même, le projet a pris des mesures proactives qui ont réussi à accroître la participation des femmes à la prise de décision et à au leadership et à atteindre une représentation significative des femmes aux postes de direction dans les comités de gestion (32% au Q18) (voir Section 2. Findings and Conclusions, Section 2.3 Cross-Cutting Themes, Gender and Equity). Toutefois, la définition d'indicateurs de cible (par exemple, le pourcentage de femmes dirigeantes du comité de gestion) n'est pas suffisante pour obtenir des résultats transformationnels, et les rôles et les contraintes basés sur le genre sont restés prédominants dans les zones cibles du projet.

**Recommandation:** Afin de modifier les normes sociales et les dynamiques de pouvoir existantes ayant un impact sur l'équité de genre, les agences du secteur WASH devraient faire de l'équité de genre une composante du projet intégré. Des analyses de genre mettant en évidence les obstacles à la participation des femmes, une formation adéquate du personnel et des activités de projet tenant compte des obstacles identifiés devraient également être incluses. Les projets doivent décider dès leur début du niveau d'engagement et des résultats souhaités, et de la viabilité de telles activités en tant que composantes des projets WASH, ou si elles doivent être traitées par des programmes corollaires.

### **Stratégie de sortie**

**Identifier des sources de soutien post-projet réalistes** - La stratégie de sortie du Consortium WASH RDC repose sur trois piliers: 1) la fourniture de services WASH gérés par la communauté; 2) la capacité des acteurs étatiques locaux à soutenir les services WASH et; 3) un écosystème de prestataire de services fonctionnel, principalement par des prestataires de services du secteur privé (voir 2. Findings and Conclusions, Section 2.3 Cross-Cutting Themes, Exit Strategy).

Cependant, les agences de mise en œuvre et les bailleurs de fonds doivent évaluer de manière réaliste la capacité des autorités étatiques à soutenir, et éventuellement à s'assumer, l'aide à la fourniture de services WASH. Cela comprend des évaluations réalistes des ressources fiscales au niveau local pour la réalisation d'activités de services techniques et de surveillance (par exemple, financement du carburant, des motos, des télécommunications, etc.). De même, une évaluation précise (et à temps) de la capacité des fournisseurs de services et de leur intérêt à servir le secteur WASH en milieu rural est essentielle pour façonner les activités conçues pour catalyser la fourniture de services par des tiers. En outre, le renforcement des parties prenantes locales, qu'il s'agisse de l'Etat, du secteur privé ou de la société civile, doit être poursuivi parallèlement aux activités de promotion de l'assainissement et de l'hygiène et du développement des comités de gestion, et avec une échelle et un budget appropriés.

**Recommandation:** Les agences d'exécution devraient procéder à une évaluation réaliste de la capacité des agences gouvernementales afin de déterminer si leur soutien est viable. Si ces entités sont incluses dans une stratégie de sortie, les activités de renforcement des capacités des administrations locales et des prestataires de services devraient commencer tôt et être accompagnées de cibles spécifiques d'Output and d'Outcome, d'un personnel qualifié et de budgets adéquats.

**Financement des projets pilotes** - Les leçons clés tirées des projets pilotes de «validation du concept» du Consortium WASH RDC incluent: 1) une échelle et une portée insuffisantes des projets pilotes limitent l'efficacité de la démonstration ou de la réfutation des hypothèses sous-jacentes du projet pilote; 2) des projets pilotes intervenant tardivement ne sont pas susceptibles d'influencer la mise en œuvre ou de façonner des ajustements d'approches et d'activités du projet; 3) des thèmes très complexes et pertinents (par exemple, le développement des chaînes d'approvisionnement) devraient faire partie des activités de base du programme et; 4) la charge de travail nécessaire à atteindre les principaux Outputs et à respecter les exigences de rapportage réduisent le niveau de priorité accordé à l'élaboration et à la mise en œuvre de projets pilotes. Bien que les projets pilotes soient, par définition, de petite échelle, leur taille et leur durée devraient être suffisantes à tester de manière approfondie les concepts pilotés. Un exemple de leçon 2 est le projet pilote avec le fournisseur privé de pièces de rechange. La nécessité et le but du projet pilote de prestataire de services privé sont pertinents, mais le fournisseur privé de pièces de rechange chargé du stockage des pièces n'a démarré son business qu'en juillet 2018, neuf mois avant la clôture du programme. De même, le projet pilote de renforcement des capacités des ETD a été mis en œuvre tardivement dans le projet du Consortium, les diagnostics de capacité n'ayant été achevés qu'en février 2018.

**Recommandations:** Les acteurs de mise en œuvre devraient concevoir des projets pilotes de « démonstration du concept » avec une échelle et une portée suffisantes à garantir un testage solide des hypothèses sous-jacentes. Les acteurs de mise en œuvre devraient également lancer des projets pilotes vers le début du projet afin de permettre les modifications d'approche et d'activités découlant des expériences pilotes. Enfin, les acteurs de mise en œuvre et les bailleurs de fonds doivent prendre en compte des niveaux de ressources humaines et financières suffisants pour tester les concepts pilotes efficacement.

**Gouvernance du Consortium: Coordonner la supervision administrative et technique d'un consortium WASH** - Les membres du Consortium ont convenu que l'« évolution » de la structure du Consortium WASH RDC, avec l'Unité de Coordination du Consortium (CCU) assurant la

supervision technique et le leadership -et le Conseil d'Administration, composé des chefs de mission des agences, approuvant ses recommandations-, a été une structuration appropriée pour l'intégration de la coordination administrative et des équipes techniques des agences (voir **Section 2.5. Consortium Governance**).

**Recommandation:** Des futurs consortiums WASH devraient prendre en considération le « modèle évolué » du Consortium WASH RDC, pour la coordination d'une structure de contrôle administratif et d'une fonction forte de contrôle technique du projet à travers un comité de coordination technique, afin de faciliter une efficace mise en œuvre du projet.

# 1. OVERVIEW

## PROJECT DESCRIPTION

### Project Background

A 2011 assessment by the United Nations Environment Programme (UNEP) found that, despite a vast abundance of water resources, 83% of the rural population of the Democratic Republic of Congo (DRC) was dependent on unsafe drinking water sources.<sup>4</sup> This inability of vulnerable populations to access safe water has a significant impact on broader health indicators, and in 2011 the country was off-track for achieving Millennium Development Goals (MDG) for water and sanitation. Likewise, the Congolese state's ability to exercise core functions remained limited and public expectations were largely unmet. An estimated 60% of existing water infrastructure, most of which was 20-30 years old, was no longer operational due to lack of maintenance and spare parts. Since 2007, the *Programme National Ecole et Village Assainis* (PNEVA), implemented by the Ministries of Health and Education with support from the United Nations Children's Fund (UNICEF) and since 2008 with UK aid / Department for International Development (DFID) funding, has addressed this challenge by promoting seven "norms" or outcomes related to community hygiene behavior change to achieve "Healthy Village" certification, coupled with promotion of simple, cost-effective measures, such as hand pumps, to decrease contamination in available water sources. Between 2008-2012, this programme installed 7,500 water pumps. However, subsequent evaluations of PNEVA found the programme under-performing in sustainability, with only 7% of villages maintaining the seven norms and 33% of pumps malfunctioning in 2012.<sup>5</sup> In response, in 2013 UK aid planned to provide up to £164 million over a seven-year period (2013 – 2019) to increase availability of sustainable water, sanitation and hygiene (WASH) services in DRC for 3,755,000 Congolese men and women. As a component of this plan, the DRC WASH Consortium was established with United Kingdom Agency for International Development (UK aid) funding in July 2013.<sup>6</sup>

### Project Approach and Intended Impact

Key reasons for establishment of the DRC WASH Consortium include coordination with a wider range of government support structures and promotion of innovation and learning. Reasons also include achieving greater scale; the project complements the PNEVA programme by supporting about 645 communities and 640,000 beneficiaries from 2013-2018. In order to strengthen sustainability, the project's strategy focuses on support to government, civil society and communities based on its theory of change (TOC), which is "based on the assumption that creating stronger accountability structures across all levels of public sector service delivery will progressively lead to better services"<sup>7</sup>. In this regard, the project employs an 18 month "12-step approach" to capacity building focused on achieving the seven "norms" prior to installation of new or improved water systems, and subsequent a six month "follow-up" period. The project also employs an "economic approach" based on the "Life Cycle Costs Approach"<sup>8</sup> under which WASH

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<sup>4</sup> Partow, Hassan "Water Issues in the Democratic Republic of the Congo: Challenges and Opportunities- Technical Report" UNEP, Nairobi, Kenya, January 2011

<sup>5</sup> Black, M. "Scaling-up and Sustainability, the Elusive Double Quest: "Villages Assainis" in DR Congo" Waterlines, 2013

<sup>6</sup> "DRC WASH Consortium Programme Proposal submitted to the Department for International Development (DFID) - 1 July 2013 – 30 June 2017" DRC WASH Consortium for DFID, October 2013

<sup>7</sup> "Annual Review – 2018" DFID, 2018

<sup>8</sup> Fonseca, Catarina et al "Life-Cycle Costs Approach - Glossary and Cost Components" IRC International Water and Sanitation Centre, April 2010

Management Committees (WMCs) develop business plans to budget income from user fees and income generating activities (IGAs) to cover anticipated costs. This approach promotes access to private sector supply chains for parts, technical assistance (TA) and service.<sup>9</sup>

The DRC WASH Consortium is comprised of five international non-governmental organisations (NGOs) with significant experience in DRC and in the WASH sector: Concern Worldwide as lead agency, *Action Contre la Faim* (ACF), ACTED, Catholic Relief Services (CRS) and *Solidarités International*, managed under the Consortium Coordination Unit (CCU) based in Kinshasa. There is also a governance board made up of the directors of the five Consortium organisations and a Programmes Technical Working Group (TWG), as well as a Finance and Systems Technical Working Group (later merged into one TWG), comprised of relevant staff drawn from the five member organisations. In line with the Consortium logical framework (LogFrame) developed in coordination with UK aid and submitted with the project proposal, the Consortium specifically aims to realize the following impact, outcomes and objectives:<sup>10</sup>

Table 1: DRC WASH Consortium Impact, Outcome and Outputs

<ul style="list-style-type: none"> <li>• IMPACT: Improved health and productivity through reduced morbidity and mortality resulting from water-related diseases in rural communities in the DRC.</li> <li>• OUTCOME: Sustainable and integrated environmental and household health and sanitation which is adopted and managed by communities and integrated with local governance and service provision institutions.</li> <li>• OUTPUT 1: Individuals demonstrate knowledge of the economic, social, health and environmental advantages of improved water, sanitation and hygiene for their communities at community and household level.</li> <li>• OUTPUT 2: Functioning governance institutions and service providers with increased capacity to engage in WASH provision at the micro level.</li> <li>• OUTPUT 3: Representative, accountable and responsive Community Committees are established by community members.</li> <li>• OUTPUT 4: Communities have sustained and improved access to and availability of potable water.</li> <li>• OUTPUT 5: Communities have improved and sustained access to sanitation facilities.</li> <li>• OUTPUT 6: Increased coordination, participation and planning at the macro, meso and micro levels between Consortium members and governance structures, service providers and other stakeholders in the WASH sector.</li> <li>• OUTPUT 7: The Consortium produces and disseminates evidence for sustainable, community-based solutions to WASH needs in the DRC.</li> </ul>
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## Project Budget

The total cost of the DRC WASH Consortium project over the 2013- 2017 period was initially £23,944,441 with the highest percentage of costs, representing 49% of total, for the provision of water points to communities in the provinces of Bandundu, Equateur, Kasai Occidental, Kasai Oriental, Katanga and South Kivu.<sup>11</sup> Changes to the names of provinces and to the working areas of the Consortium have resulted in programme activities in the provinces of Equateur, Kasai Central,

<sup>9</sup> "DRC WASH Consortium Programme Proposal submitted to the Department for International Development (DFID) - 1 July 2013 – 30 June 2017" DRC WASH Consortium for DFID, October 2013

<sup>10</sup> "DRC WASH Consortium - Full proposal to DFID for Additional Funding 2016-18" DRC WASH Consortium for DFID, April 15, 2016

<sup>11</sup> Ibid

Kwango, Kwilu, Mai Ndombe, Sankuru, and Tanganyika. Over the course of the programme, certain changes to the budget were made:

- On April 15, 2016, the Consortium submitted a proposal to UK aid for additional funding to cover the years 2016–2018, which focused activities on the provinces of Kasai Central and Tanganyika and increased the total project budget by £6,055,559.
- Subsequently, the Consortium requested a budget revision on March 8, 2018 due to “deteriorating security in various parts of Kasai Central and Tanganyika between late 2016 and early 2017”, which resulted in a plan with UK aid to have a planned underspent of about £330,000.
- In March 2018, the Consortium proposed a budget revision to rebalance spending, and to meet UK aid’s request to fully utilize the previously identified potential underspend on activities to strengthen results, and to include a short 3 month no-cost extension for all final reporting and administrative documentation as UK aid did not allow any post-project “liquidation period” or similar.
- In late March 2018, UK aid’s required a budget cut of £200,000 due to unforeseen decisions by UK aid. This resulted in an agreed budget of £29.8million in April.

## EVALUATION OVERVIEW

### Evaluation Purpose

This final evaluation supports the Consortium key reason for establishment of promoting innovation and learning, as well as accountability to external stakeholders, and is intended for use by the DRCWASH Consortium, UK aid, and the WASH sector more broadly. The overall purpose of the evaluation is to assess the success of the project in delivering on the terms outlined in the project LogFrame, within the broader framework described in UK aid WASH Intervention Summary 203445 (see **Annex A: Terms of Reference**).<sup>12</sup>

### Evaluation Team

Between July and September 2018, Absolute Options LLC (AO) deployed a three-person Evaluation Team (ET) to implement this final evaluation, which included in-country fieldwork from July 26–August 25, 2018. The ET consisted of the Team Leader, a Sustainable WASH Services Technical Expert, and a Local Project Evaluation Expert, who supervised surveys and assisted with in-country logistics and translation of local languages (see **Annex B: Evaluation Team**). AO sub-contracted the Local Project Evaluation Expert from its in-country DRC partner Research Initiatives for Social Development (RISD). Home office staff at AO headquarters in Washington, D.C. and at the AO administrative office in Casablanca, Morocco, also supported the ET throughout the evaluation process remotely.<sup>13</sup>

### Evaluation Topics

This final evaluation of the DRC WASH Consortium project assesses the following topics:

1. Progress against **Project Results** (Outcome and seven Outputs) outlined in the project LogFrame based on the Organisation for Economic Cooperation and Development - Development (OECD-DAC) criteria of relevance, effectiveness, efficiency, impact, and sustainability;

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<sup>12</sup> “*Business Case and Intervention Summary 203445 - Increasing sustainable access to Water, Sanitation & Hygiene in the DRC*” UK aid, DFID, September 2013

<sup>13</sup> See: [www.absoluteoptionsllc.com](http://www.absoluteoptionsllc.com)

2. Consortium financial and operational performance and assessment of the full extent to which the project represents good **value for money (V4M)** in relation to the quality and quantity of the expected and achieved results based on the UK aid V4M Framework;
3. The success of the project also with regard to **cross-cutting issues**, including: the Consortium “economic approach”; the influence of the DRC WASH Consortium on other projects (especially the PNEVA programme), overall contributions to sectoral sharing and learning, and; other issues;
4. The success of **small-scale pilot projects**, including: emergency preparedness and response to cholera; development of a provincial level knowledge management and learning network; development of local government capacity to plan and manage WASH investments; development of approaches to support user voice and accountability with service providers; development of local private sector (supply chains of hand pump spare parts), and; integration of nutrition-sensitive programming into rural WASH interventions; and
5. Appropriateness and success of the DRC WASH Consortium **governance structure**.

### Data Collection and Analytical Methodologies

The ET utilized a sequential and parallel mixed-methods approach to implement this final evaluation of the DRC WASH Consortium project, which included both qualitative and quantitative methods of data collection and analysis to address the evaluation topics.

**Document and Secondary Data Review** - Prior to departure for fieldwork, the ET conducted an extensive review of project-related documents. In addition, the ET reviewed additional documents as they became available over the course of fieldwork. Types of documents reviewed included:

- DRC WASH Consortium internal and external documents and publications
- DRC WASH Consortium field reports and newsletters
- DRC WASH Consortium M&E documents and financial reports
- DRC WASH Consortium biannual and meeting reports
- (Secondary) background references

Where relevant, these documents are cited as footnotes throughout this evaluation report. A full list of documents reviewed also appears as an annex to the report (see **Annex C: References**).

**Key Informant Interviews (KIs)** - For the purposes of this final evaluation, KIs are in-depth, semi-structured interviews of an illustrative sample of various stakeholder groups. The KIs employed an *evolving subject-driven approach* to KIs, which refers to an iterative process of using pre-selected questions, focused on thematic subjects, aggregating issues forward as they arise into subsequent interviews. The ET also posed probing questions in order to obtain additional details related to the evaluation as issues arose. The ET utilized discussion guides for initial topic lists for non-Consortium key informants (see **Annex D: Evaluation Tools**).

Table 2: KIs by Site and Stakeholder Group

Site / Stakeholder Group	KIs
<b>Kinshasa</b>	
DRC WASH Consortium staff	7
Institutional stakeholders and community leaders	6
Private service providers	0
Sub-Total, Kinshasa	13
<b>Kasai Central (Kananga, Dibaya and Lubondaie)</b>	



DRC WASH Consortium staff	5
Institutional stakeholders and community leaders	4
Private service providers	1
<b>Sub-total, Kasai Central</b>	<b>10</b>
<b>Tanganyika (Ankoro, Kiyambi, Manono)</b>	
DRC WASH Consortium staff	4
Institutional stakeholders and community leaders	15
Private service providers	2
<b>Sub-total, Tanganyika</b>	<b>21</b>
<b>Evaluation Total</b>	
DRC WASH Consortium staff	16
Institutional stakeholders and community leaders	25
Private service providers	3
<b>Total KIs</b>	<b>44</b>

The ET conducted KIs with individuals or small groups of two to three informants drawn from key stakeholder groups, face-to-face, or by telephone or over Skype as determined by logistics. The ET identified three key stakeholder groups for participation in KIs: 1) DRC WASH Consortium staff drawn from the five Consortium members or their partners; 2) institutional stakeholders and community leaders, including UK aid, UNICEF and staff at DRC official entities, as well as village chiefs and other leaders, and 3); private service providers (spare parts vendors). The ET held in-person KIs in Kinshasa on July 27 and August 21-24, 2018, in the provincial capital at Kananga and in the Health Zones (*zones de santé*) of Dibaya and Lubondaie in Kasai Central from July

30-August 4, and in the Health Zones of Ankoro, Kiyambi, and Manono in Tanganyika from August 7-17. In total, the ET carried out 44 KIs, including 16 Consortium staff, 25 institutional stakeholders and three private service providers (see **Annex E: Contact List**).

**Focus Group Discussion (FGDs)** – FGDs are in-depth moderated discussions with small groups of six-ten participants (greater in the case of community members). For this final evaluation, FGDs utilized a set of standard discussion guides, while employing a semi-structured, evolving subject-driven format and moderator probing, combined with group discussion dynamics, such as shows of hands. To ensure meaningful discussion, the FGDs took place in venues where participants were comfortable, especially at central outdoor areas of villages and at water points (see **Annex D: Evaluation Tools**).

The ET identified three discrete stakeholder groups appropriate for FGDs: 1) CRS and Concern Worldwide DRC WASH Consortium field staff (as well as other WASH sector organisation staff); 2) WASH Management Committees (WMCs); and 3) community members (service users). To select sites for FGDs, the ET initially determined a purposively selected sample size based on available time and resources for visits to active project areas (health zones in the province of Kasai Central and Tanganyika). Subsequently, to select sites in each area, the ET used a random sampling method that entailed assigning a randomly generated ID number to global project site lists per area to create a “priority” ranking of sites. Next, senior project staff in each province reviewed these lists, and in cases where a visit to a priority site was not feasible due to logistics or security concerns, replaced sites with the next site according to ranking. Finally, the ET and project staff mapped the site selection and developed viable travel routes, which in some cases entailed further site replacement. However, in all areas, the ET ensured that final site selection included both “remote” sites as well as semi-urban sites located within major settlements within each project area.

Table 3: FGDs by Site and Stakeholder Group

Site / Stakeholder Group	FGDs
Kasai Central (Dibaya and Lubondaie)	

DRC WASH Consortium field staff and partners	1
WASH Management Committees	10
Community members/service users	6
Sub-total, Kasai Central (Dibaya and Lubondaie)	17
<b>Tanganyika (Ankoro, Kiyambi, Manono)</b>	
DRC WASH Consortium field staff and partners	2
WASH Management Committees	8
Community members/service users	7
Sub-total, Tanganyika (Manono)	17
<b>Evaluation Total</b>	
DRC WASH Consortium field staff	3
WASH Management Committees	18
Community members/service users	13
Total FGDs	34

The ET carried out FGDs at sites in the Health Zones of Dibaya and Lubondaie in Kasai Central Province from July 30-August 4, and at project sites in the Health Zones of Ankoro, Kiyambi and Manono in the Territory of Manono in Tanganyika Province from August 7-15. In total, the ET held FGDs with one group of CRS field staff, 10 WMCs and six groups of community members in Kasai Central. The ET held one FGD with Concern Worldwide field staff and one with a partner organisation, eight with WMCs and seven with water users in the Health Zones of Ankoro, Kiyambi and Manono in Tanganyika Province. In some cases, FGDs with WMCs and community

members were held concurrently due to attendance logistics (see **Annex E: Contact List**).

**Site Visits and Observations** – Over the course of conducting FGDs, the ET also conducted site visits and observations at water points and other relevant sites in order to provide interviewees with an opportunity to demonstrate firsthand factors related to the evaluation topics. Site visits were selected to engage both male and female respondents.

**Indicator Target Analysis** – Prior to commencing fieldwork, the ET analyzed bi-annual progress toward indicator targets to assess the scale of activity impact against planned scale, and to identify potential challenges and successes that may have occurred over the course of implementation (see **Annex F: Indicator Target Analysis**).

**Value for Money Analysis** – UK aid’s Value for Money (V4M) approach requires projects to design, implement, measure, and evaluate development programmes according to three core principles: Economy, Efficiency, and Effectiveness (the Three Es), plus Equity.<sup>14</sup> The ET reviewed Consortium budgets, financial information, UK aid Annual Reviews, Consortium monitoring and evaluation reports, and previous external assessments and evaluations to assess the Consortium’s V4M performance. Additionally, KIIs and FGDs provided data and insight to complement document review and analysis (for a full description of the V4M analytical approach, see **Annex G: Value for Money Methodology**).

### Data Analysis

Qualitative data obtained from document review, as well as from KIIs and FGDs, was compiled on a real-time basis to discern emerging trends and develop probing questions. Following the conclusion of data collection, the ET aggregated data obtained from these sources around common themes related to the evaluation topics in order to identify potential emerging findings. Data

<sup>14</sup> <https://www.gov.uk/government/publications/UK-Aids-approach-to-value-for-money-vfm>

analysis methods employed by the ET to generate findings included: **Content Analysis** – content analysis entailed the ET’s intensive review of project documents, as well as KII and FGD responses, to identify and highlight examples of factors related emerging findings, and **Trend Analysis** – the ET used trend analysis to identify patterns of convergence (or divergence) the affected project performance related to the evaluation topics.

### **Potential Biases and Limitations**

The design of this final evaluation includes several potential methodological biases and limitations:

**Halo Bias** – Key informants and FGD participants may have underreported socially undesirable answers and altered their responses in accordance with what they perceive as prevailing social norms. The extent to which these informants are prepared to reveal their true opinions may also vary for some questions that call upon the respondents to assess the performance of their colleagues or people on whom they depend upon for provision of services. The ET mitigated halo bias through extensive use of probing questions, and posing questions in a manner designed to mitigate reference to socially undesirable situations or norms, and to avoid assigning culpability to specific individuals or groups.

**Sampling Limitations** – Due to time and resource limitations, a survey of a representative, statistically significant sample of project stakeholders was beyond the scope of this final evaluation, and the ET relied on an illustrative sample of beneficiaries and a representative sample of key informants for findings and to draw conclusions. This limitation may have resulted in failure to capture certain trends and impacts that may have occurred over the course of project implementation. The ET mitigated this limitation by post-fieldwork triangulation of findings with references to project documents describing global trends and impacts, and expert opinion where possible.

**Subjective Measurements** – Qualitative approaches can result in performance analysis being dependent on the professional opinions and experience of the ET. This, in turn, may result in conclusions, and recommendations that are based upon the ET’s subjective interpretation of findings. The ET mitigated this bias by systematically triangulating findings across stakeholder groups questions and reference to project documents, as well as by drawing on expert opinion where possible.

**DISCLAIMER** – Prior to implementing this final evaluation of the DRC WASH Consortium, AO staff members contributed as an independent consulting firm to the production of four discrete research and training products related to this project, including:

1. *“Pièces de rechange pour pompe à eau manuelle: Analyse de la chaîne d’approvisionnement: République démocratique du Congo – Rapport Final”* Absolute Options and Concern Worldwide for Consortium WASH, September 2014
2. *“Operational Research and Support for Water Management Committee Capacity Development – Final Report”* Absolute Options and Concern Worldwide for Consortium WASH, May 2014
3. *“Community Water Services – Management Manual and Training Guide”* Absolute Options and Concern Worldwide for DRC WASH Consortium, 2015
4. *“Operational Research – Feasibility of Financial Relationship Models for Savings and Internal Lending Communities (SILC) Groups and WASH Management Committees – Final Report”* Absolute Options for CRS, October 15, 2015

The ET mitigated bias related to these tools by avoiding assessment of the quality of these products.

## 2. FINDINGS AND CONCLUSIONS

The following sections present the findings of the ET related to the evaluation topics. Each topic is followed by summary conclusions addressing these topics i.e. relevance, effectiveness, efficiency, impact, and sustainability, analytical outcomes of value for money, as well as success of specific project elements.

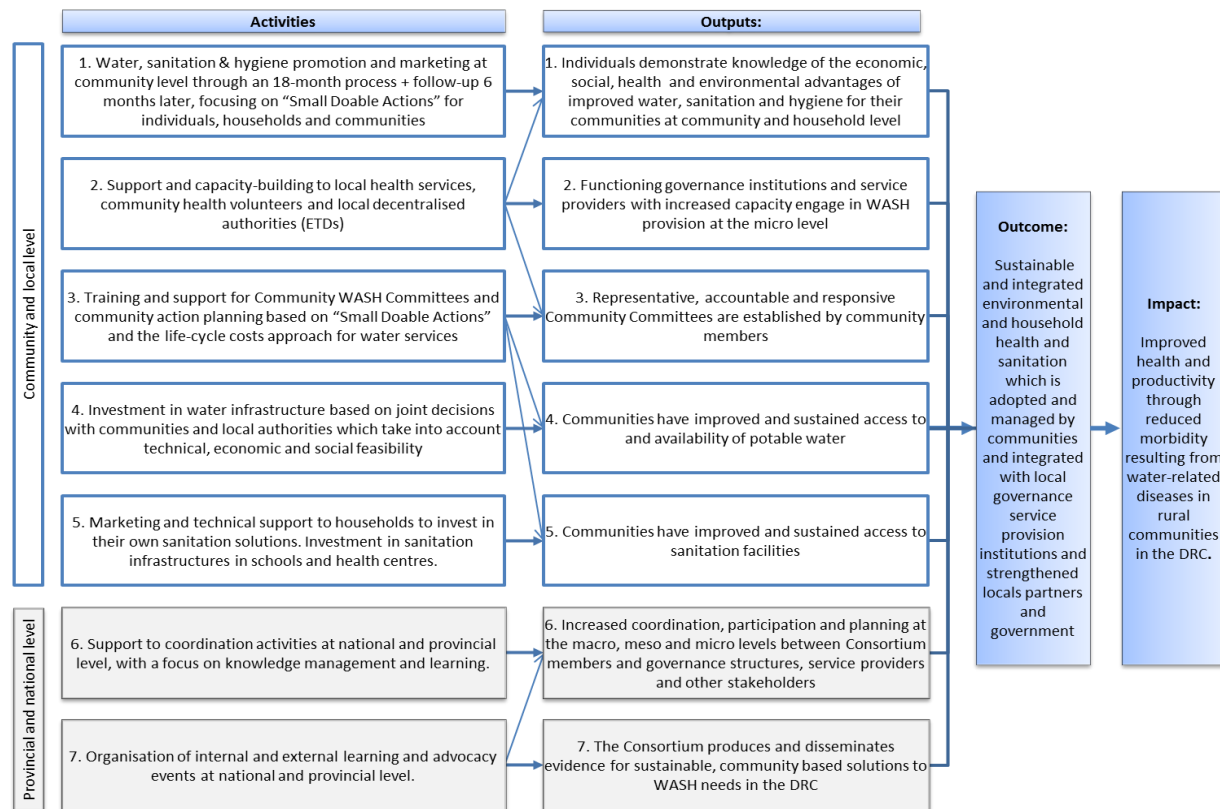
### PROJECT RESULTS

This section evaluates progress toward the DRC WASH Consortium project results as outlined in the project LogFrame based on the Organisation for Economic Cooperation and Development-Development Assistance Committee (OECD-DAC) criteria of relevance, effectiveness, efficiency, impact, and sustainability.<sup>15</sup> As such, this section focuses on discrete activities that supported the project outputs and outcome as expressed in the DRC WASH Consortium TOC (revised according to the “Scale-up 2016”, and formally approved by UK aid in July 2016). Findings are drawn from analysis of progress toward selected indicator targets related to each output or outcome (for the comprehensive analysis, see **Annex F: Indicator Target Analysis**), as well as project documents, KIIs and FGDs with project stakeholders, and site visits and observations.

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<sup>15</sup> “*Principals for Evaluation of Development Assistance*” OECD-DAC, Paris, France, 1991 and “*Glossary of Evaluation and Results-Based Management Terms*” OECD-DAC Working Party on Aid Evaluation, April 24, 2001

Figure 1: DRC WASH Consortium Theory of Change (revised June 2, 2016)



Source: “DRC WASH Consortium - Full proposal to DFID for Additional Funding 2016-18” DRC WASH Consortium for DFID, April 15, 2016

### Output 1: Individuals Demonstrate Knowledge

**OUTPUT 1:** Individuals demonstrate knowledge of the economic, social, health and environmental advantages of improved water, sanitation and hygiene for their communities at community and household level.

As noted in the Business Case for the UK aid DRC WASH programme, “generating lasting behavior change remains one of the most challenging aspects of delivering sustained WASH services”<sup>16</sup>. This document also recognizes that the skills required for a community to become “healthy” may not be the same as the skills required to *retain* that “healthy” status. Therefore, UK aid proposes building knowledge through existing community structures to “foster ownership, pride and a sense of individual responsibility” based on the key assumption that “community-wide coverage – to include schools and health clinics – will improve sustainability of behavior change.”<sup>17</sup>

The DRC WASH Consortium approached the creation of individuals’ knowledge of the advantages of improved water, sanitation and hygiene (Output 1) through two discrete activities designed to

<sup>16</sup> “Business Case and Intervention Summary 203445 - Increasing sustainable access to Water, Sanitation & Hygiene in the DRC” UK aid, DFID, September 2013

<sup>17</sup> Ibid

mobilize existing community resources around actions that demonstrate the linkage between sanitation improvements and health outcomes, while linking them to existing community-based structures: 1) Water, sanitation and hygiene promotion and marketing at community level through an 18-month process + follow-up six months later, focusing on “small important doable actions” for individuals, households and communities; and 2); Support and capacity-building to local health services, community health volunteers, and local decentralised authorities (ETDs). As of December 2017 (Q18 of the project), the Consortium had significantly exceeded targets for indicators related to this output, including the target of 420,622 individuals for Output Indicator 1.0 (Number of girls, boys, women and men [GBWM] with access to improved hygiene through hygiene promotion), which was exceeded by 121,887 (see **Annex F: Indicator Target Analysis**).

As defined in project documents, the concept of “small important doable actions”, or “*petites actions faisables importantes*” (PAFI), refers to the promotion of activities and behavior changes that are “possible within existing community resources”<sup>18</sup>. According to the initial project proposal, this concept was introduced as means of addressing sustainability through a community entry strategy focused on “marketing” hygiene and sanitation, and access to improved water, to improve demand in rural areas during the initial 12-month sensitization period, prior to installation of hardware.<sup>19</sup> As such, PAFI are intended to “identify and mobilize resources needed for progress towards the seven WASH standards required to achieve “Healthy Village” certification, and entail activities such as “community mobilization actions (football matches), home water treatment, construction of hygienic latrines and hand-washing stations with local materials, installation of garbage holes, etc.” (see **Annex H: Healthy Village Norms**).<sup>20</sup>

Subsequent implementation experience and research suggest strong community uptake of PAFI activities, as well as positive impact on demand for WASH services based on experiential linkage between these services and improved health outcomes by communities. For example, operational research related to PAFI adoption and dissemination undertaken by an external consultant in 2015 concluded that, despite facing obstacles such as the “absence of certain required products” i.e. filtering devices, purification solutions, receptacles, etc., community members demonstrate “promising capacity and interest to adopt useful practices... and dissemination of will occur naturally without external interventions”.<sup>21</sup> Furthermore, in site visits to project sites, the ET observed various PAFI outputs (latrines, hand-washing stations, etc.) in good condition and in active use. Likewise, in FGDs with community members/service users, respondents expressed enthusiasm for PAFI outputs and significant awareness of linkages between improved hygiene and sanitation

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<sup>18</sup> Jones, Stephen “*Adapting the Life-Cycle Costs Approach for Rural Water Supply in DRC through the DRC WASH Consortium*” Briefing Paper 2209, 38<sup>th</sup> WEDC International Conference, Loughborough University, U. K., 2015

<sup>19</sup> “*DRC WASH Consortium Programme Proposal submitted to the Department for International Development (DFID) - 1 July 2013 – 30 June 2017*” DRC WASH Consortium, October 2013

<sup>20</sup> “*Les Petites Actions Faisables Importantes pour améliorer l'accès à l'Eau, l'Hygiène et l'Assainissement - Des actions basées sur les ressources de la communauté pour atteindre progressivement les normes nationales relatives à l'adoption et au maintien de bonnes pratiques en Eau, Assainissement et Hygiène*” DRC WASH Consortium, January 26, 2016

<sup>21</sup> Thyberghien, Hildegarde, Georges Kasumbe, Hugues Mumbanza “*Rapport final: résultats & conclusions - Consultance: “Recherche opérationnelle pour l'amélioration de l'accès à l'eau potable par des petites actions faisables importantes (PAFI eau)”*” October 2015

and decreased incidence of diseases based on experience. For example, when asked to describe the impact of certain PAFIs, the response was universally related to “being healthier” and experiencing “less diseases”, while group questions related to experiencing less sickness were universally greeted by an enthusiastic show of hands.<sup>22</sup>

In addition, the initial project proposal envisioned support to local health services focused on the *Bureau Central de la Zone de Sante* (BCZ) and voluntary Community Outreach Volunteers, or *Relais Communautaires* (ReCos). In this regard, project activities were incorporated into BCZ planning, including training of ReCos, as well as staff nurses, or *Infirmières Titulaires* (ITs).<sup>23</sup> However, in its 2018 WASH annual review (of both UNICEF and the DRC WASH Consortium), UK aid assessed a high level of risk associated with capacity of BCZs to carry out their roles due to high demand for the time and logistics difficulties in covering rural areas.<sup>24</sup> Likewise, early Consortium field reports described “doubts about the long-term role of ReCos in continuing community mobilisation activities” due to “high demand” on their time from multiple projects, as well as due to lack of existing ReCos at some project sites.<sup>25</sup>

However, as of December 2017 (quarter 18 of the project), despite the demands on their time, 82% the ReCos established by project were still supporting the mobilization of activities, exceeding the target of “60% of ReCos established by the Consortium still doing mobilization activities”. On the other hand, the absolute number of ReCos established was below the target of 4,276 by 1,124 (see **Annex F: Indicator Target Analysis – Outcome Indicator 8**). Stressing their key role, a senior staff respondent at a BCZ described the ITs and ReCos as the “key interface” between the territory-level office and the communities.<sup>26</sup> In FGDs with community members, respondents described the ReCos, which are based in the communities, as “very knowledgeable”, and the most important form of “official” support related to hygiene and sanitation.

## Output 2: Functioning Governance Institutions and Service Providers

OUTPUT 2: Functioning governance institutions and service providers with increased capacity engage in WASH provision at the micro level.

The Business Case for the UK aid DRC WASH programme notes that, “there are many bottlenecks that constrain the sustainability of WASH services over the long-term in the DRC”.<sup>27</sup> These include lack of government ownership (covering regulation, coordination, financing), an unfavorable business climate for private sector operators coupled with the poverty and immobility of end users, and low-profitability (more specifically in the rural sector). In response, UK aid proposes, “to remove immediate sector bottlenecks, which will provide a base for longer-term change, such as the lack of qualified and effective service providers (provision of inputs and spare parts, technical skills for implementation, operations and maintenance)”. This approach is based on the key

<sup>22</sup> FGDs, Community Members/Service Users, various locations, July 30–August 15, 2018

<sup>23</sup> KII, Institutional Stakeholders, Manono, August 8, 2018

<sup>24</sup> “Annual Review – 2018” DFID, 2018

<sup>25</sup> “DRC WASH Consortium: Interim Progress Report 1 – 1<sup>st</sup> July to 31<sup>st</sup> December 2013” DRC WASH Consortium for DFID, February 7, 2014

<sup>26</sup> KII, Institutional Stakeholders, Manono, August 8, 2018

<sup>27</sup> “Business Case and Intervention Summary 203445 – Increasing sustainable access to Water, Sanitation & Hygiene in the DRC” UK aid, DFID, September 2013



assumptions that “improving knowledge and skills relating to the delivery of WASH services through training leads to better accountability between stakeholders and empowers users to seek better quality in the delivery of that service”, and “in rural areas, communities are able to access spare parts, and the skills developed for maintenance of water infrastructure are retained”.<sup>28</sup>

The DRC WASH Consortium approached Output 2 through Activity 2. Support and capacity-building to local health services, community health volunteers, and local decentralised authorities (ETDs). As of December 2017, the Consortium was on track to meet four of the Output 2 indicator targets. The Consortium has exceeded the target for 2.1 (Proportion (%) of *Zones de Sante* who function adequately in organisational, technical and response capacity), achieving 100% against a target 50%, although lagging in the planned numerical output by one health zone (four health zones versus planned target of five. For 2.4 (Proportion of planned stakeholder trainings completed) and 2.5 (Proportion of cholera DRR interventions launched  $\leq 72$  hours after the intervention threshold is reached and local authorities have requested support), the Consortium met the target of 100%. Similarly, with regard to 2.3 (Proportion (%) of *Relais Communautaires* with adequate WASH knowledge, capacity and level of activity), the Consortium significantly exceeded the target of 50% by achieving 73% of ReCos with adequate knowledge by Q18. On the other hand, in Q18, the Consortium fell behind the target for 2.2 (Proportion of WMCs established by the Consortium who are able to mention at least one source of spare parts or materials for water point maintenance), with only 38% of committees able to cite a spare parts source by Q18, against the target of 80% (see **Annex F: Indicator Target Analysis**).

The Consortium’s 2013 proposal to UK aid emphasizes the importance of working with decentralised government structures:

*“The Consortium members will focus their work at community level, however the importance of supporting capacity within emerging decentralised government structures and existing public service providers is recognized and will be an important aspect of this programme. The planned support will primarily focus on how government agencies, service providers at local level and communities themselves, can support the community structures established and strengthened to manage and ensure sustainability of the programme.”<sup>29</sup>*

The Consortium reinforced the role of local authorities in planning and investment decisions in WASH (Output 2). This was focused mainly on the Health sector (BCZs) as Local Authorities, and to some extent on the CNAEHA & CPAEHAs.

The Consortium advocated for the 2016 National Water Law. The passage of the 2016 National Water Law established an official role for ETDs in WASH. However, implementation measures and decrees detailing the exact mandate and role of the ETDs in WASH have not yet been adopted. The absence of these measures and decrees has limited the scope of Consortium ETD capacity development efforts. The Consortium also held workshops in early 2016 about the Water Law, and drafted guidelines about what involving ETDs in the WASH sector could look like. As ETDs did not have a role in WASH when the DRC WASH Consortium was conceived, and given the unclear role of

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<sup>28</sup> Ibid

<sup>29</sup> Ibid

ETDs even after the introduction of the Water Law, the Consortium has used the term “local authorities” when describing BCZs, but not ETDs. However, the Consortium has been coordinating field activities with ETDs since 2016 (despite their unclear legal mandate) and developed a pilot project as part of its Scale-Up. Please see section 2.4 “Pilots” for details.

The Consortium TOC for achieving Output 2 is predicated upon increasing the capacity of local actors (government, private service providers, and WMCs) and investment decisions based upon WMC business plans. However, findings suggest that implementation related to this capacity building was challenging. One institutional stakeholder at an ETD noted, “the Consortium is not coordinating its (post-investment) activities with the territory authority. The authority should be involved in supporting the supply of materials such as pump hardware and spare parts. Territory staff should receive technical training in water point maintenance and repair, but all of the training went to BCZ staff”.<sup>30</sup> Furthermore, although interviews with stakeholders BCZs unanimously expressed satisfaction with Consortium collaboration and training,<sup>31</sup> persistent public funding shortfalls call into question the ability of BCZs and ETDs to provide technical assistance and monitoring support after the close of the DRC WASH Consortium (see **Cross-Cutting Issues: Exit Strategy**). Stakeholder input during the January 2016 External Technical Review described this resource challenge:

*“So far, the decentralisation process in the DRC has remained unfinished. Although the provinces each have a provincial government and provincial assembly elected, the ETDs still do not have elected authorities and local capacity building remains very limited. This represents a significant obstacle to the accountability of local authorities and the implementation of local citizen participation processes. Also, for decentralisation to be truly successful, resources must be made available to communities. The transfer of skills must result in financial resource transfers and governance enhancements (improvement of public services, transparency and accountability).”<sup>32</sup>*

Similarly, when asked if the BCZ can implement Consortium-type activities independently without external support/funding, a senior institutional stakeholder responded, “Yes. If we have the continued presence of Concern [Worldwide], if our nurses receive additional training and certification, and Concern [Worldwide] expands into uncovered Health Zones, we can support WASH services on our own.”<sup>33</sup> This statement clearly identifies the challenge of continued WASH service delivery post-project. Additionally, respondents in FGDs with peri-urban WMCs indicated an additional governance challenge related to competition and tension with the *Régie de distribution d'eau* (REGIDESO), the government agency responsible for urban water delivery. Committee respondents in Tshimbulu (Lubondaie Health Zone) stated, “REGIDESO prohibited CRS from drilling much needed wells for drinking water but built nothing themselves”.<sup>34</sup> In another FGD

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<sup>30</sup> KII, Institutional Stakeholders and Community Leaders, Manono Center, August 8, 2018

<sup>31</sup> For example, KII, Institutional Stakeholders and Community Leaders, Manono Center, August 8, 2018 (unique comment)

<sup>32</sup> “Rapport de la Revue Technique - Janvier 2016 - La Loi sur l’Eau: Défis, Opportunités et Perspectives pour le secteur Eau, Hygiène et Assainissement rural en RDC” DRC WASH Consortium, January 2016

<sup>33</sup> KII, Institutional Stakeholders and Community Leaders, Manono Center, August 8, 2018

<sup>34</sup> FGD, WASH Management Committee, Tshimbulu, August 3, 2018

with committee members in Ankoro Health Zone, respondents also indicated competition with REGIDESO, with a member stating, “REGIDESO staff spread rumors that water from our pumps is unsafe so that households use more expensive REGIDESO water points”.<sup>35</sup>

However, KIIs with Health Zones Chefs and officials at BCZs indicated a high-level of satisfaction regarding Consortium collaboration. For example, according to one Health Zone Chief, “the Consortium did an excellent job coordinating their activities with the BCZ, including the development of workplans, chronograms, and information regarding their weekly activities. Consortium involvement of ReCos for community mobilization and trainings reinforced the cooperation between PNEVA and the Consortium.”<sup>36</sup>

The Second Interim Progress Report describes the development of a TOR for piloting an approach to reinforce the role of local authorities in planning and investment decisions for rural water infrastructure and to increase their capacity to support sustainable WASH services in the long-term.<sup>37</sup> However, despite this initial emphasis, project documents and KIIs indicate that successful facilitation of Output 2 was significantly more challenging than indicator performance suggests. For example, the subsequent Interim Progress Report explains that the “proposed pilot initiative to reinforce the role of local authorities at different levels in planning and investment decisions for rural drinking water infrastructure has been delayed given the time required for NGO staff to first assimilate the tools and approach themselves”.<sup>38</sup> This was prior to the promulgation of the National Water Law in 2016.

As suggested by Consortium progress towards Output Indicator 2.2 targets, project documents and field interviews indicate that increasing access to private and public service providers has been difficult. The Consortium has been operating in geographic areas that have few, if any private spare parts suppliers. The dearth of spare parts suppliers has hindered the ability of WMCs to source spare parts from non-NGO sources. For example, in 2016, working groups in the ETR meeting noted lack of availability of spare parts as a continuing challenge. Additionally, WMC focus group participants were either unable to name a source for spare parts or named a Consortium implementing partner as their provider for spare parts. One respondent stated “if we need spare parts, we notify the NGO technician so they can provide us the part”.<sup>39</sup> Consortium staff clarified that they are not supplying parts directly, but linking committees to a spare parts provider in the area.<sup>40</sup> The ET confirmed the operation of a local spare parts provider in Manono, but also learned that the provider has been in operation only since July 2018 and that its initial spare parts stock was 81% financed by a Consortium agency after a selection process and signed agreement that the provider

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<sup>35</sup> FGD, WASH Management Committee, Kisoko, August 10, 2018

<sup>36</sup> KII, Health Zone Chief, Manono Center, August 8, 2018

<sup>37</sup> “DRC WASH Consortium: Interim Progress Report 2 (end Year 1) -1 January to 30 June 2014” DRC WASH Consortium for DFID, August 11, 2014

<sup>38</sup> “DRC WASH Consortium: Interim Progress Report 3 (up to end of month 18) - 1 July to 31 Dec 2014” DRC WASH Consortium for DFID, March 2, 2015

<sup>39</sup> FGD, WASH Committees, Ankoro Centre, August 10, 2018

<sup>40</sup> KII, DRC WASH Consortium Staff, Ankoro Centre, August 10, 2018

would sell the parts and use the proceeds to restock the shop. The long-term compliance/viability of the provider is not yet clear.<sup>41</sup>

### **Output 3: Representative, Accountable and Responsive Community Committees**

OUTPUT 3: Representative, accountable and responsive Community Committees are established by community members.

Output 3 focuses specifically on community WMCs and builds on the UK aid key assumption that “improving knowledge and skills relating to the delivery of WASH services through training leads to better accountability between stakeholders and empowers users to seek better quality in the delivery of that service”.<sup>42</sup>

The Consortium implemented two discrete activities in order realize Output 3: Activity 2. Support and capacity-building to local health services, community health volunteers, and local decentralised authorities (ETDs); and Activity 3. Training and support for Community WMCs and community action planning based on “Small Important Doable Actions” and the life-cycle cost approach for water services. As of December 2017, the Consortium had met or slightly exceeded most Output 3 indicator targets, including: 3.2 (Proportion (%) of Water Management Committee members trained), achieving 92% against the target of 80%; 3.3 (Proportion (%) of GBWM satisfied with water management committee performance) achieving 87% versus the target of 80%; and 3.6 (Proportion (%) of WMC official positions that are occupied by women) reaching 32% versus the target of 33%. However, as of Q18 the Consortium was behind by 7% on its target of 80% for 3.4. (Proportion (%) of Water Management Committees that meet at least once every two months and take minutes of the meeting) achieving 73% against the target of 80%. As of August 2018, the Consortium has not yet finalized data assessment for 3.7 (Proportion (%) of water points that are managed by a water management committee after 2 years of certification) (see **Annex F: Indicator Target Analysis**).

Initiatives to establish sustainable village-based WMCs are especially relevant to rural wash service challenges in DRC. As noted in the 2013 UK aid Business Case,<sup>43</sup> the DRC was lagging behind MDG indicators for access to water and sanitation, with only 17% of its rural population having access to safe water (versus the MDG target of 70%), and 11% of its rural population having access to sanitation services (versus 60%).<sup>44</sup> UK aid specifically noted that limited public resources, low capacity of government agencies and staff, and the lack of community ownership of donor investments in WASH infrastructure were the primary drivers of poor WASH service delivery. In a comparative analysis, a 2013 survey of hand pump functionality in Sub-Saharan African reported that DRC had the highest rate of water point failure in the region, with 67% of installed hand pumps

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<sup>41</sup> KII, Service Provider, Manono, August 8, 2018

<sup>42</sup> “DRC WASH Consortium Programme Proposal submitted to the Department for International Development (DFID) - 1 July 2013 – 30 June 2017” DRC WASH Consortium, October 2013

<sup>43</sup> “Business Case and Intervention Summary 203445 - Increasing sustainable access to Water, Sanitation & Hygiene in the DRC” UK aid, DFID, September 2013

<sup>44</sup> “Water Supply and Sanitation in the Democratic Republic of Congo: Turning Finance into Services for 2015 and Beyond (English) - An AMCOW Country Status Overview” World Bank Group, Washington, DC, 2011

not functioning.<sup>45</sup> Finally, evidence from Phase I of the PNEVA indicated that the exclusive use of subsidies in the programme, with little or no focus on capacity building of government and local communities to manage water points, resulted in high rates of system failure.<sup>46</sup> Hence, the 2013-2019 Business Case demonstrates a shift in approach, focusing on community ownership and financial sustainability, as addressed in the initial proposal:

*“Our approach recognizes that in order to maximize the benefits of improved access to WASH services, some decisions can be more powerfully delivered by the community as a whole, through pre-existing, or nominated, representatives, rather than relying solely on individuals to make the required changes... We will, therefore, work through these structures in order to generate ownership of a community-wide perspective. This will call upon participatory approaches that foster ownership, pride and a sense of individual responsibility, for sustainability.”*

According to project documents and FGDs with WMCs, Consortium efforts to facilitate the establishment of representative, accountable and responsive committees have largely been successful. By Q18 (December 2017), the Consortium had facilitated the election of 714 WMCs, with a high community satisfaction of 87% for indicator 3.3 (Community members expressing satisfaction with WMC performance), an indication of a high-degree of “responsiveness”.<sup>47</sup> Additionally, a 2015 WMC capacity assessment identified several strengths of Consortium WMC development efforts including: 1) WMC leadership understood their roles and responsibilities well; 2) women held between 30% and 44% of leadership positions; 3) WMC leadership were concerned with community views on the performance of water systems and the committee itself; and 4) WMC leadership was elected by community members through open and transparent processes.<sup>48</sup>

FGDs with WMC members and water service users confirmed several findings from project documents. For example, participants in 18 FGDs with WMC members unanimously reported elections of leaders through community general assemblies, solicitation of community input on user fees and exemptions for vulnerable households and expressed a sense of mission to serve their communities.<sup>49</sup> Additionally, participants in 13 FGDs with water service users expressed general satisfaction with committee performance, and confirmed transparent election processes for leaders, as well as committee responsiveness.<sup>50</sup> The sole concern raised by water user groups in FGDs was that the number of water points was not adequate to satisfy community needs. As such, some users reported long wait times (one to two hours) at water points (although typically

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<sup>45</sup> Furey S. G. *“RWSN Handpump Survey 2013”* Rural Water Supply Network (RWSN)/Skat Foundation, St. Gallen, Switzerland, 2013

<sup>46</sup> Black, M. *“Scaling-up and Sustainability, the Elusive Double Quest: “Villages Assainis” in DR Congo”* Waterlines, 2013

<sup>47</sup> *“DFID DRC WASH Consortium LogFrame 2018 - Results”* DRC WASH Consortium for DFID, March 8, 2018

<sup>48</sup> *“Operational Research and Support for Water Management Committee Capacity Development - Final Report”* Absolute Options and Concern Worldwide for Consortium WASH, May 2015

<sup>49</sup> FGDs, WASH Management Committees, various locations, August 1 to 15, 2018

<sup>50</sup> Ibid

less than time spent collecting water from traditional sources), exacerbated in some cases by non-community members entering Consortium-supported villages to access water points.<sup>51</sup>

Next, in FGDs, WMCs stated that responsiveness was strengthened through Consortium trainings and capacity building activities. One FGD participant stated, “When we started, we didn’t know anything about good hygiene practices or how to repair pumps. (The Consortium) taught us ‘how to fish,’ so now we can repair the pump on our own and teach families about good hygiene”.<sup>52</sup> Another participant in the same FGD stated, “We were trained on water management, so we collect fees to pay for spare parts”.<sup>53</sup> Furthermore, another FGD participant stated, “We were trained how to manage arguments at water points. People listen to us because they know we are fair to everybody.”<sup>54</sup> Lastly, committee members also frequently cited Consortium sensitization on good sanitation and hygiene practices as especially useful, with one respondent stating, “the people now understand the link between clean water and reduced diseases.”<sup>55</sup>

However, in the medium and long-term, WMC responsiveness is constrained by a persistently weak enabling environment. Despite Consortium efforts, low local government capacity to deliver WASH services and a dearth of private service providers and spare parts suppliers persists.

#### **Output 4: Sustained and Improved Access to and Availability of Water**

OUTPUT 4: Communities have sustained and improved access to and availability of potable water.

The Consortium implemented two discrete activities to increase the number of communities that have sustained and improved access to water (Output 4): 3. Training and support for Community WASH Committees and community action planning based on “Small Important Doable Actions” and the life-cycle cost approach for water services, and; 4. Investment in water infrastructure based on joint decisions with communities and local authorities, which take into account technical, economic and social feasibility. As of Q18, the project was somewhat behind on three targets related to Output 4, including: 4.2 (Proportion (%) of water points that have acceptable bacteriological water quality [0 thermo tolerant coliform bacteria per 100ml]) where the Consortium had achieved a rate of 90% against a target of 100%; 4.3 (Number of households who collect ≥ 15 liters per person per day of water from safe water sources), where the Consortium achieved a rate of 29% against a target of 33%; and 4.4 (Proportion (%) of households who transport and stock water in hygienic manner), where the reported rate was 66% against the target of 80% (preliminary Q20 data suggests performance for this indicator has improved to 76%)<sup>56</sup>. On the other hand, the Consortium achieved a rate of 85% against a target of 80% related to 4.1 (Proportion (%) of GBWM that use an improved drinking water source all year round).

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<sup>51</sup> Ibid

<sup>52</sup> FGD, WASH Management Committee, Kisiko Village, August 10, 2018

<sup>53</sup> Ibid

<sup>54</sup> FGD, WASH Management Committee, Bele Village, August 1, 2018

<sup>55</sup> FGD, WASH Management Committee, Tshinkuku Village, August 1, 2018

<sup>56</sup> “DRC WASH Consortium: Interim Progress Report 10 (end Year 5) January to 30 June 2018” DRC WASH Consortium for DFID (unpublished)

Progress towards 4.1 is even more impressive considering that the Consortium, and UNICEF (implementing the PNEVA) used “slightly different” indicators in reporting access to improved water. While UNICEF reports that 99% of the target population gained access to safe drinking water, this data is based on the situation at the moment of achieving “Healthy Village” certification, whereas the Consortium measures the proportion of people who use an improved drinking water source *all year round*. As noted in the UK aid 2018 Annual Review of its WASH programmes, “the fact that the indicator includes 'all year round' makes it more robust, providing an explanation for the lower score”<sup>57</sup> (see **Annex F: Indicator Target Analysis**).

As access to clean drinking water is essential for the reduction of water borne diseases, the Consortium considered activities supporting Output 4 as critical to achieving the proposed impact. The Consortium’s 2013 proposal to UK aid describes this link:

*“Sustainable access to clean water and effective sanitation is essential for a healthy and productive population and environmental sustainability and thus has a catalytic effect on many aspects of human development. The World Health Organisation (WHO) estimates that 88 per cent of incidences of diarrhea are attributed to unsafe water supply, inadequate sanitation, and hygiene. High incidences of diarrheal disease and a range of other diseases in developing countries are strongly correlated with unsanitary practices and a lack of access to sufficient quantities of safe water.”<sup>58</sup>*

According to project documents, an early decision to expand the type of water point improvement projects increased access, lowered programme costs, and provided communities with water point improvements appropriate for their local context.<sup>59</sup> The collection of water user fees by nearly all Consortium-supported WMCs is a significant accomplishment that demonstrates an understanding of the economic approach and the need to generate revenue to cover repair costs. The Consortium is on track to reach water point construction targets (702 constructed against a target of 808) as of Q18 and the number of people accessing improving water points (532,000 achieved against a target of 584,173), but limited progress to catalyze improved public and private service provision, and the use of only basic business plans by WMCs may diminish the long-term sustainability of Consortium investments.

As discussed in detail above (see **Output 2**), the development of private service providers has largely been challenging, primarily due to the difficult business environment in the rural DRC, a *perceived* lack of demand from committees and working capital constraints of local spare parts suppliers.<sup>60</sup> An additional challenge to sustainable water service delivery mentioned by WMC members is competition for traditional water sources that are easily accessed and free of charge. For example, one committee member FGD participant stated, “because our two pumps cannot provide enough water for our village, many households are returning to springs and rivers for water . . . we also cannot charge too much for water or the people will collect water from the

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<sup>57</sup> “Annual Review – 2018” DFID, 2018

<sup>58</sup> “DRC WASH Consortium Programme Proposal submitted to the Department for International Development (DFID) – 1 July 2013 – 30 June 2017” DRC WASH Consortium, October 2013

<sup>59</sup> “DRC WASH Consortium: Interim Progress Report 2 (end Year 1) – 1 January to 30 June 2014” DRC WASH Consortium for DFID, August 11, 2014

<sup>60</sup> KIIs, CRS WASH Consortium staff and Private Service Providers, Manono Center, August 8, 2018

river”.<sup>61</sup>

The long-term economic sustainability of the Consortium-facilitated WMCs may be constrained by limited WMC understanding of the life-cycle cost approach (both in terms of the number of WMCs grasping the concept and the degree to which the concept is understood by individual WMCs) (see **Output 2** and **Section 2.3 Economic Approach**). For example, committee members were not able to articulate their “business plan” beyond the need to collect water fees for spare parts. Although the collection of water user fees is an important step towards sustainability (and represents the successful adoption of the Consortium’s economic approach), revenue generation in many cases will not be able to pay for major repairs, let alone system replacement. Additionally, several WMCs were not able to cite a source for spare parts.<sup>62</sup> Furthermore, a 2015 assessment of WMC capacity noted that both staff and WMC members felt that 18-months of capacity development and technical assistance from the Consortium was insufficient for WMCs to adopt the economic approach.<sup>63</sup> Despite these challenges, in FGDs with WMC members and water service users, participants consistently mentioned the importance and positive impact of Consortium activities to increase access to potable water. Every committee interviewed described a significant reduction in the incidence of disease, and the usefulness of Consortium trainings on good WASH practices.<sup>64</sup> Specifically, one respondent at a water service user FGD stated, “Before the Consortium, our village experienced much sickness, including diarrhea and cholera. Learning about washing hands, boiling water, and covering water we have collected have greatly reduced sickness.”<sup>65</sup>

### **Output 5: Improved and Sustained Access to Sanitation Facilities**

**OUTPUT 5: Communities have improved and sustained access to sanitation facilities.**

Consortium progress on Output 5 is important in the DR Congo context, where access to sanitation facilities in rural areas stood at only 11% in 2013.<sup>66</sup> Although the component on school and health center sanitation facilities was a relatively small part of the programme (both in terms of number of projects and budget), Output 5 activities also included household sanitation facilities and served as a key area of collaboration with PNEVA and means of supporting BCZ priorities.<sup>67</sup>

The DRC WASH Consortium implemented two discrete activities to achieve improved and sustained access to sanitation facilities (Output 5): Activity 3. Training and support for Community WASH Committees and community action planning based on “Small Important Doable Actions” and the life-cycle cost approach for water services, and; Activity 5. Marketing and technical support to households to invest in their own sanitation solutions, investment in sanitation

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<sup>61</sup> FGD, WASH Management Committee, Kisoko, August 10, 2018

<sup>62</sup> FGDs, WASH Management Committees, various locations, August 1 to 15, 2018

<sup>63</sup> “Operational Research and Support for Water Management Committee Capacity Development – Final Report” Absolute Options and Concern Worldwide for Consortium WASH, May 2015

<sup>64</sup> FGDs, WASH Management Committees, various locations, August 1 to 15, 2018

<sup>65</sup> FGD, Water Management Committees, Bele (Dibaya Health Zone), August 1, 2018

<sup>66</sup> “Water Supply and Sanitation in the Democratic Republic of Congo: Turning Finance into Services for 2015 and Beyond (English) – An AMCOW Country Status Overview” World Bank Group Water and Sanitation Program Washington, DC, 2011

<sup>67</sup> “DRC WASH Consortium Programme Proposal submitted to the Department for International Development (DFID) – 1 July 2013 – 30 June 2017” DRC WASH Consortium, October 2013



infrastructure in schools, and health centers. As of Q18, the Consortium was slightly or significantly behind on all targets related to Output 5, including: **5.1** (Number of GBWM with access to an improved sanitation facility at the household level) achieving 73% against the target of 80%); **5.2** (Number of GBWM in households with soap or ash and water at a handwashing station near the latrine) achieving 55% against a target of 80%); **5.3** (Proportion (%) of households who dispose of their solid waste properly) achieving 78% against a target of 80%); and **5.4** (Proportion (%) of schools that have improved toilets) achieving 81% against the target of 100% (see **Annex F: Indicator Target Analysis**). However, the Consortium is on track as of Q18 to reach non-LogFrame output targets including: 1) Number of schools with latrines (130 versus the target of 149); 2) Number of sanitation facilities at health centers (latrines and incinerators) (112 achieved against a target of 133) and 3); Number of sanitation beneficiaries (576,000 reached against the target of 641,623).<sup>68</sup>

Quantitative output numbers were confirmed through ET site visits, KIIs and FGDs. For example, household adoption of hygienic latrines using low cost locally available construction materials was evident in four of five Health Zones visited (Ankoro being the exception). Likewise, participants in several FGDs with WMCs listed the promotion of “hygienic latrines” as one of the more useful Consortium activities.<sup>69</sup> In addition, site visits in Kananga confirmed Consortium facilitation of school sanitation facilities and health center incinerators, which BCZ staff explicitly lauded. According to one KII respondent, Consortium construction of school and health center sanitation facilities “raised the profile of BCZ work in the field and created a lot of good will from the communities”.<sup>70</sup> Although the ET was unable to confirm school sanitation facility construction in the Ankoro health zone (three of three schools visited did not have improved sanitation facilities), improving school latrines was a relatively small component of Consortium activities in the area.<sup>71</sup> Further, the lack of observed school latrine projects may also be due to random sampling, as the Consortium constructed three latrines in 12 target villages, decreasing the likelihood that the ET would encounter Consortium latrine projects.

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<sup>68</sup> “DRC WASH Consortium: Interim Progress Report 9 (up to end of Year 4.5) - 1<sup>st</sup> July – 31<sup>st</sup> December 2017” DRC WASH Consortium for DFID, February 27, 2018

<sup>69</sup> FGDs, WASH Management Committees, various locations, August 1 to 15, 2018

<sup>70</sup> KII, Institutional Stakeholders and Community Leaders, Tshimbulu, August 3, 2018

<sup>71</sup> ET site visits, Kisoko, Kibungu, and Pandanjia villages, August 10, 2018

Figure 2: DRC WASH Consortium–Facilitated Sanitation Infrastructure in Kasai Central



However, similar to sustainable access to potable water (Output 4), multiple KII and FGD respondents provided comments expressing that the long-term sustainability of increased access to improved sanitation facilities is diminished by scarce public funding for sanitation at the local-level, low capacity levels of ETD and BCZ staff to provide technical assistance and monitoring services, and a lack of private sanitation service providers (although less of a constraint for sanitation services than drinking water services). These constraining factors are common throughout the DRC and demonstrate the difficult environment within which the Consortium has been operating (see **Output 2** and **Output 4**).

#### **Output 6: Increased Coordination, Participation and Planning**

OUTPUT 6: Increased coordination, participation and planning at the macro, meso and micro levels between Consortium members and governance structures, service providers and other stakeholders in the WASH sector.

Since 2007, the Ministry of Public Health has implemented the DRC national WASH programme (PNEVA), with the Ministry of Primary, Secondary, and Professional Education in charge of the schools component, in partnership with UNICEF, completing the first phase in 2008–2012. As noted by UK aid in 2013, external evaluation found that “the programme can be considered an effective approach on which the government of DRC should build to accelerate achievement of the MDGs”.<sup>72</sup> Amongst key reasons cited by UK aid for the creation of the DRC WASH Consortium was expanding the PNEVA approach through “work with other government structures in addition to the Ministry of Health”, as well as to provide a “crucial link between the development sector and the humanitarian

<sup>72</sup> “Business Case and Intervention Summary 203445 – Increasing sustainable access to Water, Sanitation & Hygiene in the DRC” UK aid, DFID, September 2013

sector”, facilitating a transition by NGOs from humanitarian assistance to longer-term development.<sup>73</sup>

As such, UK aid intended that the DRC WASH Consortium would “balance to UNICEF’s relationship with the Ministry of Health” to also “work with the *Service national d’hydraulique rurale* (SNHR) for monitoring and quality assurance”<sup>74</sup>, as well as with the Ministry of Planning *Comité National d’Action pour l’Eau, l’Hygiène et l’Assainissement* (CNAEHA), which was created by decree in 2015 to coordinate and harmonize policy and strategies related to the WASH sector. In addition, in each province there is a *Comité provincial d’action de l’eau, hygiène et assainissement* (CPAEHA). This would allow UK aid to “more flexibly respond to a changing context and... spread the risk across the portfolio”.<sup>75</sup>

The DRC WASH Consortium implemented two discrete activities in support of Output 6: 6. Support to coordination activities at the national and provincial level, with a focus on knowledge management and learning; and 7. Organisation of internal and external learning and advocacy events at the national and provincial level. As of Q18, the Consortium is on track or slightly ahead of related indicator targets, including 6.1 (Number of meetings at National level with WASH actors within the CNAEHA in which the Consortium participates (expansion of VEA Cellule S&E meetings)) and 6.2 (Number of coordination meetings at Provincial level convened or facilitated by the Consortium members with WASH actors within the CPAEHA). On the other hand, the Consortium was slightly behind on 6.3 (Number of monitoring visits by provincial representatives of the CPAEHA and by national representatives of the CNAEHA to project areas) falling short of the target of 26 visits by two. Finally, as of Q18, the Consortium did not have final data for 6.4 (Number of *Zones de Sante* where the Consortium intervenes which input the village data into national database of *Ecole et Village Assainis*). However, in Q20, PNEVA, UNICEF, and the Consortium agreed on a process for inclusion of certified villages in the VEA database. This led to the Consortium submitting data for 129 certified villages across 10 *Zones de Santé* to PNEVA for inclusion in the PNEVA database in July 2018. Data for further villages will be submitted before the project conclusion<sup>76</sup> (see **Annex F: Indicator Target Analysis**).

At the macro level, the initial DRC WASH Consortium proposal envisioned CNAEHA as the primary forum for “increased coordination, participation and planning, under the Ministry of Planning (MPI)”<sup>77</sup>, while also providing a crucial link to the meso and micro levels i.e. to “facilitate the engagement of Provincial level Ministries operating under the CPAEHA in Monitoring and Evaluation of programme implementation at community level. This will create and enhance linkages between the Provincial level and local government authorities and service providers

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<sup>73</sup> Jones, Stephen, S. Longueville “*Lessons Learned from a Consortium Model for Rural WASH: Experiences of the DRC WASH Consortium*” Briefing Paper 2387, 39<sup>th</sup> WEDC International Conference, Kumasi, Ghana, 2016

<sup>74</sup> “*Business Case and Intervention Summary 203445 - Increasing sustainable access to Water, Sanitation & Hygiene in the DRC*” UK aid, DFID, September 2013

<sup>75</sup> Ibid

<sup>76</sup> “*DRC WASH Consortium: Interim Progress Report 10 (end Year 5) January to 30 June 2018*” DRC WASH Consortium for DFID (unpublished)

<sup>77</sup> “*DRC WASH Consortium Programme Proposal submitted to the Department for International Development (DFID) - 1 July 2013 – 30 June 2017*” DRC WASH Consortium, October 2013

in their provision of services to communities”<sup>78</sup>. Also, “the role of the SNHR in technical oversight and in capacity building will be emphasized given that this service does not have strong and consistent presence at the local level”<sup>79</sup>. However, the proposal also notes that the CNAEHA is “under resourced and has not been in a position to assume its responsibilities and provide the leadership required to coordinate the sector.”<sup>80</sup> In KIIs, senior DRC WASH Consortium staff described the input of the CNAEHA into government structures at the meso and micro level as virtually non-existent, stating that they “have never heard of any communication between them (CNAEHA) and the government (BCZs and ETDs) at the local level”.<sup>81</sup>

UNICEF has also acknowledged the weakness of this forum i.e. “WASH service delivery is often *ad hoc* and disjointed with responsibility shared across many line ministries and government agencies under the umbrella of CNAEHA. According to UNEP, the CNAEHA has ‘limited resources...and has functioned largely in a spontaneous and ad hoc manner and has not been able to effectively coordinate the sector.’”<sup>82</sup> Likewise, in an interview, senior UNICEF WASH staff recognized the weaknesses in the sector in terms of coordination and policy i.e. “overall, while the DRC today has lagged far enough in achieving the MDGs, it is more because of the political context that still needs to be developed at national level. That is to say that today, the sector relies mainly on external partners, both for financing and progress in terms of a legislative and normative framework”<sup>83</sup>.

At the micro level, a wider framework for coordination and planning of the PNEVA under the CNAEHA and the CPAEHAs would ideally maintain linkages between the Ministry of Public Health and the ReCo and IT networks at the community level through BCZs in the Health Zones, while also developing linkages for quality control and technical assistance between Ministry of the Interior and community-level WMCs through the territory administrations.<sup>84</sup> However, multiple KII respondents described fundamental logistics and resource challenges, such as lack of gasoline and spare parts for vehicles, as rendering unviable the implementation of micro-level coordination and planning that takes place at the macro and meso levels.<sup>85</sup>

In KIIs, BCZ staff stated that, while there was “consultation”, they only undertake site visits when they have “resources” i.e. gas and per diems from the NGOs,<sup>86</sup> while the territory administration staff stated their participation was limited to meetings and “coordination” in the territory capital, and they “did not visit villages to implement activities”.<sup>87</sup> As a result, KII respondents stated that

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<sup>78</sup> Ibid

<sup>79</sup> Ibid

<sup>80</sup> “DRC WASH Consortium Programme Proposal submitted to the Department for International Development (DFID) - 1 July 2013 – 30 June 2017” DRC WASH Consortium, October 2013

<sup>81</sup> KII, DRC WASH Consortium Staff, Manono, August 15, 2018

<sup>82</sup> “DRC Multicluseter Indicator Survey” Ministry of Planning and UNICEF, May 2011

<sup>83</sup> Tunda, Christelle “Assainissement et Eau pour tous: défis en RDC” Interview with Franck Abellie, Head of WASH Section, UNICEF DRC, June 7, 2016

<sup>84</sup> KIIs, Institutional Stakeholders, Manono, August 8, 2018 and DRC WASH Consortium Staff, Skype, August 15, 2018

<sup>85</sup> Ibid

<sup>86</sup> KII, Institutional Stakeholders, Manono, August 8, 2018

<sup>87</sup> Ibid

communities still view DRC WASH Consortium activities as led by NGOs, especially because, “the only time BCZ visit communities, they are with the NGO staff”.<sup>88</sup> Participants in FGDs confirmed this perception, stating that visits by BCZ staff were facilitated by the NGOs, and that there was no territory administration engagement with WASH activities.<sup>89</sup>

With regard to implementation of planning and coordination between the Consortium and UNICEF, the 2018 UK aid Annual Review notes several cases in which, despite the adoption of a “joint framework”, approaches to common indicators mask important differences in project results.<sup>90</sup> In KIs, planning and coordination with UNICEF was described as “a challenge”<sup>91</sup>, especially during the first two-to-three years of the project. However, Consortium and PNEVA collaboration on several initiatives (i.e. ETRs, Plan Quinquennial, PNEVA ATLAS 2017) and PNEVA acknowledgement and adoption of some elements of the Consortium’s life-cycle costing approach indicate increased coordination and alignment. (see **Cross-Cutting Themes, Improved Evidence for WASH Projects**).

### **Output 7: Evidence for Sustainable, Community- Based Solutions to WASH Needs**

OUTPUT 7: The Consortium produces and disseminates evidence for sustainable, community- based solutions to WASH needs in the DRC.
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A key reason cited by UK aid for creation of the DRC WASH Consortium was “to promote innovation and learning”<sup>92</sup>. According the project TOC, the DRC WASH Consortium pursued production and dissemination of evidence for sustainable, community- based solutions to WASH needs in the DRC (Output 7) through Activity 7. Organisation of internal and external learning and advocacy events at the national and provincial level. As of December 2017 (Q18), the DRC WASH Consortium was on track to reach most targets for Output 7 Indicators.<sup>93</sup> These include 7.1 (Number of maps of Zones de Santé showing Consortium's key achievements at end-line stage), 7.2 (Number of learning or advocacy events convened by or facilitated by the Consortium on WASH sector issues), 7.3 (Number of Technical Review Meetings/Workshops convened by the Consortium Coordination Unit with Consortium member agencies to assess programme progress), and 7.5 (Number of Consortium research projects or case studies which are presented as evidence during learning events) (see **Annex F: Indicator Target Analysis**).

DRC WASH Consortium project documents describe six type of actions through which the Consortium produced and disseminated evidence for learning around sustainable community-based solutions to WASH needs: 1) special learning and advocacy events; 2) External Technical Review meetings; 3) research and innovation initiatives (including publication of research papers and special reports); 4) participation in regional and international WASH conferences; 5) strategic

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<sup>88</sup> KII, DRC WASH Consortium Staff, Manono, August 15, 2018

<sup>89</sup> FGDs, WASH Management Committees, various location, August 2-August 15, 2018

<sup>90</sup> “Annual Review – 2018” DFID, 2018

<sup>91</sup> KIIs, DRC WASH Consortium Staff, various locations, August 10 and August 15, 2018

<sup>92</sup> “Business Case and Intervention Summary 203445 – Increasing sustainable access to Water, Sanitation & Hygiene in the DRC” UK aid, DFID, September 2013

<sup>93</sup> “DRC WASH Consortium: Interim Progress Report 9 (up to end of Year 4.5) – 1<sup>st</sup> July – 31<sup>st</sup> December 2017” DRC WASH Consortium for DFID, February 27, 2018

communications, and 6); establishment of a knowledge management and learning network (in partnership with UNICEF).

**Special Events** – As of December 2017, the Consortium reported conducting 13 learning or advocacy events to disseminate evidence on WASH sector issues to stakeholders in the DRC.<sup>94</sup> Examples of reported learning/advocacy events included a roundtable discussion on improving access to drinking water in the DRC coinciding with the 2014 World Water Day,<sup>95</sup> a restitution event to share conclusions and recommendations on strengthening spare parts supply chains in 2015,<sup>96</sup> an advocacy event to discuss opportunities and challenges related to implementation of the updated National Water Law passed in 2016,<sup>97</sup> and a workshop on effective Consortium management at the Rural Water Supply Network Forum in Abidjan in December 2016.<sup>98</sup>

**External Technical Review Meetings** – As planned in the initial 2013 proposal submitted to UK aid, the DRC WASH Consortium held biannual External Technical Review Meetings (ETRs) with Consortium members and external stakeholders to “share achievements, questions, best practices and to put under challenge the Consortium approach to external stakeholders.”<sup>99</sup> Also, per the original proposal, an additional objective of the ETRs is to “disseminate and discuss lessons learned with partners and external stakeholders”<sup>100</sup>. External stakeholders have included, for example, government representatives (local, provincial and national), IRC WASH (life-cycle costing advisory), International Rescue Committee (IRC), the World Bank Water and Sanitation Programme, Oxfam GB, UNICEF and the National Committee for Action in Water, Hygiene, and Sanitation (CNAEHA).<sup>101</sup>

Table 4: External Technical Review Meeting Topics – 2014 to 2017

ETR	Topic	Date
ETR #1	<i>The DRC WASH Consortium Six Months After Launch</i>	Feb. 2014
ETR #2	<i>Community Mobilization for Water, Hygiene and Sanitation for Rural Populations in the DR Congo</i>	Dec. 2014
ETR #3	<i>How to make sustainable investments in the Water, Sanitation and Hygiene sector in rural DRC?</i>	July 2015
ETR #4	<i>The Water Law: Challenges, Opportunities and Prospects for the Water, Hygiene and Sanitation Sector in Rural RDC</i>	Jan. 2016
ETR #5	<i>Mutual Learning for the Sustainability of Water, Hygiene and Sanitation in Rural RDC</i>	Oct. 2016

<sup>94</sup> Ibid.

<sup>95</sup> “DRC WASH Consortium: Interim Progress Report 2 (end Year 1) -1 January to 30 June 2014” DRC WASH Consortium for DFID, August 11, 2014

<sup>96</sup> “DRC WASH Consortium: Interim Progress Report 4 (up to end of Year 2) -1 Jan – 30 June 2015” DRC WASH Consortium for DFID, September 11, 2015

<sup>97</sup> “DRC WASH Consortium: Interim Progress Report 5 (up to end of Year 2.5) - 1 Jul – 31 Dec 2015” DRC WASH Consortium for DFID, March 7, 2016

<sup>98</sup> “DRC WASH Consortium: Interim Progress Report 7 (up to end of Year 3.5) -1 July – 31 December 2016” DRC WASH Consortium for DFID, March 2, 2017

<sup>99</sup> “DRC WASH Consortium Programme Proposal submitted to the Department for International Development (DFID) - 1 July 2013 – 30 June 2017” DRC WASH Consortium, October 2013

<sup>100</sup> Ibid

<sup>101</sup> “Rapport Revue Technique - Février 2014” DRC WASH Consortium, February 2014

ETR #6	<i>Community Mobilization in the WASH sector: how to ensure everyone's participation?</i>	April 2017
ETR #7	<i>Community Water Services: Perspectives on Sustainability</i>	March 2018
ETR #8	<i>WASH Interventions in Rural and Semi-urban DRC: many approaches, one goal</i>	June 2018

Stakeholder input during ETR meetings informed adaptive programming and several research papers. Examples of adaptive programming stemming from ETR stakeholder feedback included detailed development of the economic approach and a revised village selection process (February 2015).<sup>102</sup> Research publications using ETR input included, for example, *“Lessons from using the life-cycle costs approach for rural water supply in DRC through the DRC WASH Consortium”*,<sup>103</sup> and *“Making WASH Monitoring and Evaluation Work for Everyone: The Experience of the DRC WASH Consortium”*.<sup>104</sup>

**Research and Innovation** – As planned in its 2013 proposal to UK aid, the DRC WASH Consortium facilitated several operational research projects on sustainable WASH services and innovation.<sup>105</sup> Examples of key research and innovation initiatives included:<sup>106</sup>

- Development of a Methodology of Behaviour Change Communication inspired by COMBI and/or Social Community Based Marketing (ACF);
- Sustainability of Hand Pump Operated Rural Water Supplies: Research into Hand Pump and Spare parts Supply and Service Chain in rural DRC (Concern Worldwide);
- Operational research on improving access to drinking water through “Small Important Doable Actions” (CCU);
- Operational research on training and support for WASH Committees (CCU); and
- Enhanced adoption of improved hygiene practices and increased demand for water and sanitation services through integration with Savings and Internal Lending Communities (SILC) (CRS).<sup>107</sup>

**Participation in Regional and International WASH Conferences** – According to project documents, the DRC WASH Consortium has actively participated in regional and international conferences to disseminate evidence for sustainable WASH services. Examples include annual research paper

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<sup>102</sup> *“DRC WASH Consortium: Interim Progress Report 2 (end Year 1) -1 January to 30 June 2014”* DRC WASH Consortium for DFID, August 11, 2014

<sup>103</sup> Jones, Stephen, Gian Melloni *“Lessons from using the life-cycle costs approach for rural water supply in DRC through the DRC WASH Consortium”* 7<sup>th</sup> RWSN Forum “Water for Everyone”, 29 November-02 December 2016, Abidjan, Côte d’Ivoire, November 2016

<sup>104</sup> Melloni, Gian, S. Jones *“Making WASH Monitoring and Evaluation Work for Everyone: The Experience of the DRC WASH Consortium”* Paper 2607, 40<sup>th</sup> WEDC International Conference, Loughborough University, U.K., 2017

<sup>105</sup> *“DRC WASH Consortium Programme Proposal submitted to the Department for International Development (DFID) - 1 July 2013 – 30 June 2017”* DRC WASH Consortium, October 2013

<sup>106</sup> Excluding innovation initiatives implemented as programme pilots (see **Section 2.4** for pilot projects).

<sup>107</sup> *DRC WASH Consortium: Interim Progress Reports 2, 5, 7, and 9.*

presentations at WEDC conferences (2015, 2016, 2017, 2018) and Rural Water Supply Network forums, RWSN (2016).<sup>108</sup>

**Strategic Communications** – The DRC WASH Consortium also facilitated the dissemination of knowledge, evidence, and learning through its website, social media (Facebook and Twitter), radio broadcasts, internal newsletters communication meetings and external newsletters.<sup>109</sup> A 2017 review of the use of Consortium’s online communication tools revealed the Consortium’s website was reached by 10,070 unique visitors from 143 countries since its launch in 2014, with a strong prevalence of DRC, while the Consortium’s Facebook page reached 756 followers as of December 2017, including inhabitants of the rural areas where the Consortium is active.<sup>110</sup> The CCU also published a bi-monthly internal newsletter that provided a general overview of main activities, events, updates to tools and documents available and field stories. The purpose of the internal newsletter was to improve the flow of information from the CCU to field staff. In addition, the CCU organised communication meetings during field visits to address specific issues such as visibility compliance that were at times misunderstood at field level, and to better understand and resolve key internal and external communication challenges faced by field teams.<sup>111</sup> Finally, the Consortium external newsletter produced and disseminated in July and December 2017 reached over 700 recipients in the DRC WASH sector. Based on the positive reception of the newsletter, the Consortium subsequently decided to issue the newsletter on a monthly basis starting from January 2018, to strengthen sector knowledge exchange.<sup>112</sup>

**Knowledge Management and Learning Platform** – Research and learning is cited as key reason for the establishment of the DRC WASH Consortium. In this regard, as noted in research papers published by senior Consortium staff evaluating lessons learned from the Consortium model, key strengths of the Consortium approach have included increased scale of WASH programme delivery and the ability to implement an “innovative joint strategy on key sustainability issues”<sup>113</sup>. Based upon stakeholder feedback during the 5<sup>th</sup> External Technical Review, the Consortium and UNICEF launched an initiative in October 2016 to set up a knowledge management platform (*plateforme de gestion des connaissances*) for WASH in the DRC.<sup>114</sup> According to project documents, after preliminary discussions, the on-boarding of other partners (primarily in April 2017), and coordination with the National Committee for Action on Water, Hygiene, and Sanitation (CNAEHA), the inaugural meeting of the platform took place on September 14, 2017 in Kinshasa, under the umbrella of CNAEHA. As of January 2018, the Consortium was slated to be co-facilitator

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<sup>108</sup> *DRC WASH Consortium: Interim Progress Reports 2, 4, 5, & 7.*

<sup>109</sup> *Ibid.*

<sup>110</sup> *“DRC WASH Consortium: Interim Progress Report 9 (up to end of Year 4.5) - 1<sup>st</sup> July – 31<sup>st</sup> December 2017”* DRC WASH Consortium for DFID, February 27, 2018

<sup>111</sup> *“DRC WASH Consortium: Interim Progress Report 2 (end Year 1) -1 January to 30 June 2014”* DRC WASH Consortium for DFID, August 11, 2014

<sup>112</sup> *“DRC WASH Consortium: Interim Progress Report 9 (up to end of Year 4.5) - 1<sup>st</sup> July – 31<sup>st</sup> December 2017”* DRC WASH Consortium for DFID, February 27, 2018

<sup>113</sup> Jones, Stephen, S. Longueville *“Lessons Learned from a Consortium Model for Rural WASH: Experiences of the DRC WASH Consortium”* Briefing Paper 2387, 39<sup>th</sup> WEDC International Conference, Kumasi, Ghana, 2016

<sup>114</sup> DRC WASH Consortium Interim Progress Report 8 (January 1 to June 30, 2017), submitted to DFID on September 1, 2017



(with UNICEF) of the platform.<sup>115</sup> One KII respondent noted that one implementation challenge for the platform has been the lack of a clear mandate of the CNAEHA.<sup>116</sup>

### **Outcome: Sustainable and Integrated Household Health and Sanitation**

OUTCOME: Sustainable and integrated environmental and household health and sanitation, which is adopted and managed by communities and integrated with local governance and service provision institutions.

The DRC WASH Consortium was successful in achieving targets for most of its Outcome Indicators laid out in the project LogFrame as of Q18, including:

- Outcome Indicator 1: Proportion (%) of GBWM collecting water from an improved water source within a 30-minute round trip (going to and returning home from the water point), exceeding the target of 60% of GBWM to achieve 69%;
- Outcome Indicator 2: Proportion (%) of Consortium supported villages maintaining VEA certification norms 6 months after certification achieved, achieving this in 52% of villages against the target of 50%;
- Outcome Indicator 2.1: Proportion (%) of GBWM residing in Consortium supported villages maintaining VEA certification norms 6 months after certification achieved, achieving 52% of GBWM maintaining the norms against the target of 50%;
- Outcome Indicator 6: Proportion (%) of WMCs judged by WMC members themselves with capacity to manage their roles and responsibilities efficiently), exceeding the target of 70% to achieve 84% of WMC members;
- Outcome Indicator 7 (Proportion (%) of WMCs that perceive that they receive useful support from local authorities), exceeding the target of 60% to achieve 75% of WMCs; and
- Outcome Indicator 8: Number of female and male Relais Communautaires undertaking regular mobilization activities (monthly house visits, mass sensitizations) in communities 6 months after the 18 months cycle implementation, exceeding the target of 60% of ReCos to achieve 82%.

On the other hand, the Consortium fell short of targets for one outcome indicator:

- Outcome Indicator 9: Proportion (%) of WMCs that have adequate funds for maintenance and operation of the water points, falling short of the target of 80% to achieve a rate of 65% of WMCs with adequate funds.

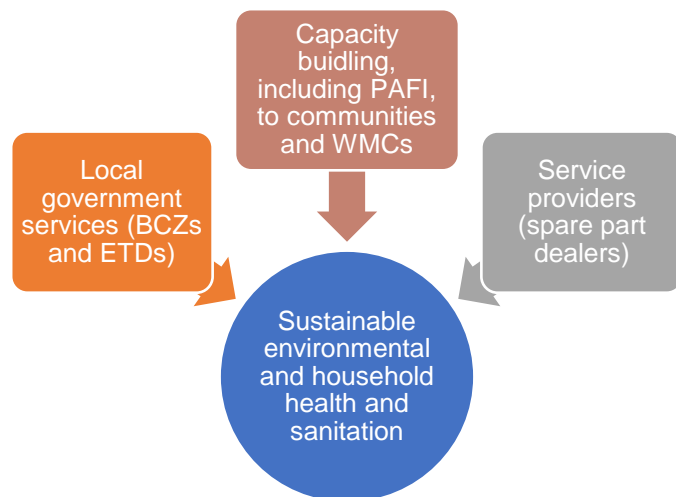
Finally, data is not yet available for a key indicator related to the sustainability of project outputs i.e. Outcome Indicator 3 (*Proportion (%) of water points in use two years after installation i.e. operational and functioning*) (see **Annex F: Indicator Target Analysis**).

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<sup>115</sup> DRC WASH Consortium Interim Progress Report 9 (July 1 to June 30, 2017), submitted to DFID on February 27, 2018

<sup>116</sup> KII DRC WASH Consortium staff, Kinshasa, July 27, 2018

Figure 3: Outcome Elements (AO graphic)



The programme Outcome Statement encompasses three distinct elements: sustainable and integrated environmental and household health and sanitation managed by communities; integration with local government; and integration with service provision institutions. To realize this outcome, the Consortium worked through three distinct channels of support to generate and ensure sustainability of household health and sanitation: capacity building, including through PAFI, to communities and WMCs; linkages to official sources of support, including BCZs and ETDs; and linkage to private sector service providers and supply chains to ensure economically viable access to spare parts.

**Capacity building, including PAFI, to communities and WMCs** – As noted (see **Output 1**), participants in FGDs with community members consistently described significant experiential linkage between reduction of water-borne diseases and Consortium-promoted behavior change and activities. Key WASH behavior change initiatives included PAFI implemented with the community’s own resources, including: hand washing at critical times; consuming clean water; improved water storage (e.g. covered buckets); use of hygienic latrines, proper disposal of feces and reduction of open defecation; and “Baby WASH” activities.<sup>117</sup> This result was confirmed by BCZ officials, who unanimously expressed satisfaction with Consortium activities while citing specific outcomes such as reduced disease prevalence and increased adoption of good sanitation and hygiene practices. One BCZ official, for example, stated, “community sensitization by the Consortium has led to widespread adoption of good hygiene practices and reduction of disease, especially rates of diarrhea.”<sup>118</sup>

Similarly, interviews with sector and village chiefs indicate the positive results of Consortium activities. According to one Sector Chief respondent, “before the Consortium, there were frequent disease outbreaks in the villages and people spent a lot of time collecting water from distant water sources.”<sup>119</sup> This respondent went on to say, “the only problem with the Consortium is that they are in too few villages. They only cover 8% of villages in the sector.”<sup>120</sup> Finally, participants in FGDs with WMC staff articulated their responsibility to represent community interests, and expressed knowledge of the importance of charging for water for long-term sustainability, and demonstrated

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<sup>117</sup> FGDs, WASH Management Committees and Water Service Users, various locations, August 1 to 15, 2018  
<sup>118</sup> KII, Institutional Stakeholders, Manono Centre, August 8, 2018  
<sup>119</sup> KII, Community Leaders, Kyofwe, August 9, 2019  
<sup>120</sup> Ibid

knowledge and ability to conduct operations and maintenance.<sup>121</sup> Furthermore, nearly all WMCs expressed the desire for continued training and technical support “so we learn more”.<sup>122</sup>

**Integration with Local Government** – KIIs with institutional stakeholders (BCZs and ETDs) and with DRC WASH Consortium staff suggest that the sustainability of this integration with local government entities element is precarious. On one hand, the Consortium has met several Output Indicator targets related to functioning governance institutions and development of local government capacity (BCZs) (see **Output 2**), and likewise exceeded the indicator target for Outcome Indicator 7 (*Proportion (%) of WMCs that perceive that they receive useful support from local authorities*). In addition, field observations and interviews with BCZ staff indicate there was “collaboration and coordination”. For example, one KII respondent at a BCZ stated, “there was a lot of collaboration between the BCZ and the Consortium. We coordinated the planning of activities, integrated PNEVA and Consortium activities, developed weekly activity plans and chronograms to divide the work, and our staff usually accompanied Consortium staff to the field.”<sup>123</sup>

On the other hand, KII input and ET site visits and observations suggest that post-project BCZ support of health and sanitation initiatives in villages targeted by the Consortium may be difficult due to fundamental logistics and resource constraints (see **Output 2** and **Output 6**). Specifically, public funding shortfalls, insufficient staffing levels, and the heavy reliance on NGO resources (including the Consortium), e.g. transportation, to conduct field visits, indicate limited capacity of BCZ staff to autonomously and consistently continue health and sanitation support services after the close of the project (see **Output 2** and **Output 4**). However, most WMCs ranked community sensitization activities by ReCos to be among the most useful Consortium activities, and described these resources as “extremely knowledgeable” (see **Output 1**), which may account for the high level of WMC perception that they “receive useful support from local authorities” (Outcome Indicator 7).<sup>124</sup>

**Integration with Service Providers** – Although the Consortium facilitated research and sector knowledge exchange on the sustainable development of private service providers, KII and FGD input indicate that the development of WMC integration with service providers, including private spare parts companies, fell short of stated project objectives. For example, most WMCs interviewed in FGDs could not name a source for spare parts or named the Consortium implementer as the sole source of spare parts (see **Output Indicator 2.2**)<sup>125</sup>. Likewise, in site visits, the ET found an absence of service providers accessible to Consortium-supported WMCs. Rather, the sole private service provider active in the Health Zones in Kasai Central and Tanganyika Provinces was URSS, a motorcycle parts dealer, in Manono Centre, which only began hand pump spare parts supply operations in July 2018, albeit with project-provided subsidies for initial stocks. In Tshimbulu, Kasai Central a sister at the *Communauté des Sœurs du cœur Immaculé de Marie* (CIM) convent was selling spare parts, albeit on a humanitarian as opposed to commercial, basis (see **Section 2.3 Cross-cutting Themes: Economic Approach**).

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<sup>121</sup> FGDs, WASH Management Committees and Water Service Users, various locations, August 1 to 15, 2018

<sup>122</sup> Ibid

<sup>123</sup> KII, Institutional Stakeholders, Manono Centre, August 8, 2018

<sup>124</sup> FGDs, WASH Management Committees and Water Service Users, various locations, August 1 to 15, 2018

<sup>125</sup> Ibid

## Project Results – Conclusions

**Relevance** – The DRC WASH Consortium project design and activities continue to be relevant to the DRC WASH context as expressed in the UK aid Business Case and based on supporting analyses. Analyses cited in the Business Case found that “the (PNEVA) programme can be considered an effective approach on which the government of DRC should build to accelerate achievement of the MDGs”.<sup>126</sup> The DRC continues to underperform on MDGs (and now the Sustainable Development Goals [SDGs]) related to access to safe water and sanitation services.<sup>127</sup> In light of the persistent weakness of DRC state entities, objectives related to promotion of community-led solutions to WASH challenges, with limited dependency on state entities, remain valid. Activities, such as building on experiential community knowledge of linkages between improved hygiene behaviors with decreased illness (through PAFI) in order to build demand for (market) WASH services in rural areas is consistent with the overall goal and the attainment of project objectives. Likewise, the activities and outputs at the community and local level, including support to capacity building of community health services and volunteers (ReCos), WMCs and households, are consistent with the intended impact and effects related to improved health and productivity. On the other hand, weak capacity of CNAEHA and CPAEHAs, coupled with fundamental logistics and resource challenges at the micro level, mean that outputs at the provincial and national level often do not translate to community-level impacts, and therefore have been less relevant.

**Effectiveness** – The DRC WASH Consortium was effective in achieving targets for a number of key outputs related to behavior change and demand for WASH services (see **Output 1**), as well as WMC WASH service delivery (see **Outcome**). In addition, although KII and FGD findings suggest challenges in delivery of government services, communities consider the ReCo networks as a valuable resource (see **Output 2** and **Output 6**). On the other hand, the Consortium was less effective in linking WMCs to service providers, especially supply chains for spare parts, due to the limited number of service providers in rural areas, challenging business enabling environments, and the pilot-nature of Consortium supply chain development activities (see **Output 3**, **Outcome** and **Section 2.3 Cross-cutting Themes: Economic Approach**). At the national level, the Consortium was effective in organising coordination and planning events, and learning and advocacy events (see **Output 6** and **Output 7**).

**Efficiency** – The V4M analysis below analyzes the Efficiency of the DRC WASH Consortium in detail. Based upon comparative analyses of similar national and regional WASH programmes, the analysis found the Consortium to be reasonably efficient both in input procurement and the translation of inputs into the achievement of intended outputs (see **Section 2.2 Value for Money Analysis**).

**Impact** – As of December 2017, the Consortium was slightly behind on targets for Impact Indicator 1 (*Proportion (%) of male and female respondents and children under 5s who were sick with diarrheal illness during the last two weeks*) reducing rates males and females to 12%, and rates for

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<sup>126</sup> “Business Case and Intervention Summary 203445 - Increasing sustainable access to Water, Sanitation & Hygiene in the DRC” UK aid, DFID, September 2013

<sup>127</sup> “WASH Poor in a Water-Rich Country: A Diagnostic of Water, Sanitation, Hygiene, and Poverty in the Democratic Republic of Congo” World Bank, Washington DC, 2017

under 5s to 17% against targets of 7% for males and females and 12% for under 5s.<sup>128</sup> On the other hand, the Consortium exceeded the target of 60% for Outcome Indicator 1 (*Proportion (%) of GBWM collecting water from an improved water source within a 30 minute round trip (going to and returning home from the water point)*) achieving 69%. As a result, as of Q20 of the project, 563,474 residents of villages where the Consortium was present can now collect water from an improved water source.<sup>129</sup>

**Sustainability** – While data for Outcome Indicator 3 (*Proportion (%) of water points in use two years after installation i.e. operational and functioning*) is not yet available, the Consortium is on track to achieve several indicator targets related to sustainability, including: Outcome Indicator 2 (*Proportion (%) of Consortium supported villages maintaining VEA certification norms 6 months after certification achieved*), achieving maintenance of certification norms in 52% of villages against the target of 50%; and Outcome Indicator 2.1 (*Proportion (%) of GBWM residing in Consortium supported villages maintaining VEA certification norms 6 months after certification achieved*), achieving 52% of GBWM maintaining the norms against the target of 50%. On the other hand, Outcome Indicator 9 (*Proportion (%) of WMCs that have adequate funds for maintenance and operation of the water points*), is falling short of the target of 80% to achieve a rate of 65% of WMCs with adequate funds.

## VALUE FOR MONEY ANALYSIS

This section presents the V4M evaluation implemented by the ET based upon guidance on how to conduct V4M analyses for UK aid-funded WASH programmes (see **Annex G: Value for Money Methodology**).<sup>130</sup>

### Summary of V4M Quantitative Indicators

Consistent with 2015 guidance<sup>131</sup> on conducting V4M analyses, the ET selected quantitative indicators related to each V4M analysis category (Economy, Efficiency, Effectiveness, and Cost-effectiveness) that best allowed for comparisons with other UK aid-funded WASH programmes in the DRC and in Sub-Saharan Africa (see **Annex I: Programme Analogs for V4M Comparative Analyses**).<sup>132</sup> The ET conducted a full assessment of Consortium performance on output and outcome indicators; hence indicators under the Efficiency and Effectiveness headings should not be construed as the full analysis of Consortium project performance, but rather as a means for comparative analysis across different programmes (see **Annex J: Consortium V4M Indicators Comparison**). Specific indicators are referenced as appropriate in relevant sub-sections of the V4M analysis below.

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<sup>128</sup> “DRC WASH Consortium: Interim Progress Report 9 (up to end of Year 4.5) - 1<sup>st</sup> July – 31<sup>st</sup> December 2017” DRC WASH Consortium for DFID, February 27, 2018

<sup>129</sup> “DRC WASH Consortium LogFrame Q20 - Results” DRC WASH Consortium for DFID (forthcoming)

<sup>130</sup> Prat, Marie-Alix, Sophie Trémolet, Ian Ross “How to do Value for Money Analysis for Water, Sanitation and Hygiene (WASH) Programmes - Guidance Note” DFID, August 2015

<sup>131</sup> Ibid.

<sup>132</sup> Programme analogs are derived from “Annual Review – 2018” DFID, 2018 and Sophie Trémolet, Marie-Alix Prat, Lucrezia Tincani, Ian Ross, Ana Mujica, Peter Burr, Barbara Evans

## PROGRAMME ECONOMY

As noted by UK aid, assessing the economy of WASH projects is especially important given that “delivery of WASH services often requires higher expenditure on materials and transportation (hardware, software, etc.)”.<sup>133</sup> For example, the total cost of DRC WASH Consortium project over the 2013– 2017 period was initially £23,944,411 with an initial cost per beneficiary of £43.21 (US\$64.55). Major cost drivers were projected to be materials, transport and the purchase of drilling equipment, totaling 54.7% of the total budget. As with the PNEVA, national and provincial coordination was also a substantial cost driver comprising 32.6% of overall cost. The annual maintenance cost was also estimated to be US\$1.11 per capita.<sup>134</sup>

Initially the ET reviewed a 2017 external audit by KPMG to understand potential weaknesses in Consortium (including Consortium member agencies) financial management systems, policies, procedures and execution.<sup>135</sup> Per V4M methodology and the KPMG recommendation that “third parties should not rely wholly upon our report but obtain their own independent advice and carry out their own procedures”<sup>136</sup>, the ET also conducted additional analyses including: 1) review of randomly selected procurement transactions; 2) review of randomly selected local service provider contracts and selection procedures; and 3) a high-level comparison of unit costs (e.g., water-point improvement/construction) with analogous national and regional UK aid-funded WASH programmes.

Table 5: V4M Economy Assessment Scoring Matrix

Financial Management Category <sup>137</sup>	SCORE
	1 = Very Poor 5 = Very Good
Finance Policy Manual/Procurement Procedures	5
Completeness of Documentation (Actual)	4
Bid/Tender Processes (Actual)	3.5
Award/Selection Procedures (Actual)	5
Material Receipt Reconciliation (Actual)	5

To simplify presentation, the ET created a scoring matrix ranking Consortium efforts to optimize programme economy and achieve “lowest-price, best value” procurements. Performance scoring (e.g., 1 = Very Poor; 5 = Very Good) of financial management criteria was determined through a combination of KPMG findings,

key informant interviews with Consortium staff, and review of financial documents.

**Finance Manual/Procurement Procedures (Score: 5)** – The ET reviewed a sample of Consortium’s agencies’ Field Financial Procedures Manuals and found finance policies and procedures to be

<sup>133</sup> “Sophie Trémolet, Marie-Alix Prat, Lucrezia Tincani, Ian Ross, Ana Mujica, Peter Burr, Barbara Evans *“Value for Money Analysis of DFID-Funded WASH Programmes in Six Countries - Synthesis Report”* DFID, August 2015

<sup>134</sup> *“Business Case and Intervention Summary 203445 - Increasing sustainable access to Water, Sanitation & Hygiene in the DRC”* UK aid, DFID, September 2013

<sup>135</sup> *“Concern/CCU DRC Expenditure Verification of a DFID-Financed Grant Contract (1 July 2016 to 30 June 2017) - Management Letter”* KPMG RDC SA, November 2017

<sup>136</sup> Ibid

<sup>137</sup> The ET determined these financial management categories.

consistent with financial management best practices for donor grant contract management. Specific policies assessed include:

- Clear roles and responsibilities of finance staff positions;
- Clear and reasonable Schedule of Authority establishing signature authority for different transaction values;
- Bid-announcement and selection procedures;
- Material receipt reconciliation (e.g., Goods Received Note);
- Stock management procedures;
- Asset accounting management.

The ET also conducted key informant interviews with project management and finance staff to assess the economy of Consortium activities.

**Completeness of Documentation (Score: 4)** – Based upon the review of randomly selected procurement transaction files (seventeen materials and labor procurement transactions, three local service provider contracts) the ET found that all procurement files to be compliant with the assessed DRC Field Finance Procedures Manual.

In its 2017 Expenditure Verification (audit), KPMG identified four weaknesses in Consortium agencies' documentation, including:

1. Lack of signed bank reconciliations as evidence of review
2. Incurrence of travel expenses without travel authorization forms;
3. Expenditures lacking invoices; and
4. Training disbursements to unidentified participants.

**Bid/Tender Processes (Score: 3.5)** – An ET review of a random sample of procurement transactions found procurement tenders were mostly executed in accordance with the procedure manuals.

**Award/Selection Procedures (Score: 5)** – Based upon the review of procurement transaction files (described above), the ET found award and selection procedures as outlined in the DRC Field Finance Procedures Manual were correctly followed. KPMG found no exceptions in this regard.

**Material Receipt Reconciliation (Score: 5)** – The ET reviewed five Reception Notes and found them to adequately mitigate risk of programme funds being used for goods and services not received or damaged. Reception Notes list the quantity, type, and specification of goods or services to be delivered, accounts for quantity and condition of goods received, and require the signature of both the vendor and the Stock Manager As per agency policy, vendors are paid according to verified quantities per properly executed Reception Notes. KPMG found no exceptions in this regard.

**Asset Management Procedures (Score: 3.5)** – KPMG found two instances of inadequate asset and equipment physical verification procedures. KPMG found examples where two Consortium agencies were late in performing asset and equipment verifications.

However, with reference to all the six aspects analysed above, the KPMG audit reviewed by the ET only covered one year (July 2016 – July 2017) and cannot be used to draw conclusions regarding the entire Consortium period of performance. It should also be noted that Concern Worldwide and

Consortium members effectively responded to KPMG findings and have addressed KPMG recommendations.

**Unit Cost Analysis** – Lastly, per V4M analysis guidance, the ET compared unit costs of water-point and sanitation facility improvement or construction. Consortium unit cost of water-point improvement/construction to date is £4,830 (US\$7,042). Water-point unit costs were calculated by dividing cumulative expenditure as of March 2018 (Q19) on budget category Output 4 (*Communities have sustained and improved access to and availability of potable water*) (£3,641,929)<sup>138</sup> by the number of water-points improved or constructed through Q19 (754).<sup>139</sup> The Consortium unit cost of improving or constructing sanitation facilities to date is £791 (US\$1,154). Similarly, the unit cost of sanitation facilities was calculated by dividing cumulative expenditure as of March 2018 (Q19) of budget category Output 5 (*Communities have sustained and improved access to sanitation facilities*) (£1,109,536) by the number of sanitation facilities improved or constructed through Q19 (the sanitation costs include demonstration toilets=1,145; school toilets=205; health center toilets=52, for a total of 1,402 toilets).

Table 15 (Summary of National and Regional Programme Analogs for V4M Comparative Analyses) compares Consortium unit cost figures to other relevant projects. For example, the unit cost per water point in the Mozambique PROSANAR CF programme was US\$23,755, and US\$7,989 for the Nigeria SHAWN I project (see **Annex I: Programme Analogs for V4M Comparative Analyses**). As noted in the 2015 Value for Money Synthesis report, unit costs vary widely depending on the type and scale of infrastructure projects.<sup>140</sup> This report also notes that the high material costs and high inflation rates also contributed to the high unit cost of water points in Mozambique. The DRC WASH Consortium water point unit cost of US\$7,042 is close to water point unit cost in the Nigeria SHAWN I (US\$7,989). Both figures include only direct programme costs such as materials, labor, and transportation (hard-costs) and hydrological studies, engineering services, etc. (soft-costs). Neither figure includes staff time or other programme support costs.

Table 15 also lists a Consortium sanitation facility unit cost of US\$1,154 (methodology described above). No comparable unit costs were found within the UK aid-funded analogs in Sub-Saharan Africa. However, a 2017 study reports unit costs of US\$1,053 for a single communal toilet (Ethiopia), US\$272 for reinforced pit latrines (Tanzania), and US\$8,965 per four-cabin school latrines (similar to those constructed by DRC WASH Consortium member CRS in Kasai Central).<sup>141</sup>

## PROGRAMME EFFICIENCY

According to the DFID V4M Approach, “programme efficiency measures how well implementing partners convert inputs into outputs”<sup>142</sup>. In order to evaluate this, the ET assessed DRC WASH

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<sup>138</sup> Master Consolidated WASH DFID Q19–Forecast Q20, DRC WASH Consortium Budget Forecast, June 2018

<sup>139</sup> Q19 Activity Tracker Consolidated, DRC WASH Consortium, June 2018

<sup>140</sup> “Sophie Trémolet, Marie-Alix Prat, Lucrezia Tincani, Ian Ross, Ana Mujica, Peter Burr, Barbara Evans “*Value for Money Analysis of DFID-Funded WASH Programmes in Six Countries - Synthesis Report*” DFID, August 2015

<sup>141</sup> McGinnis, Shannon M. et al. “*A Systematic Review: Costing and Financing of Water, Sanitation, and Hygiene (WASH) in Schools*” Farrukh Ahmad (editor), International Journal of Environmental Research and Public Health 14.4: 442. PMC, 2017

<sup>142</sup> “*DFID’s Approach to Value for Money (V4M)*” UK aid, July 2011



Consortium progress towards planned outputs (actual outputs versus target outputs) based upon the Q18 Consortium LogFrame (which presents cumulative results from Q1 (July 2013) through Q18 (December 2017)). Section 2.1 Project Results analyzes actual versus target outputs in detail. These analyses are not repeated in this section. However, at a high-level the Consortium is meeting or exceeding output targets for 18 of 28 Output indicators (64.2%). Of the ten Output Indicators where the DRC WASH Consortium is “under-performing”, the Consortium is only slightly behind on four (see **Value for Money – Conclusions**).

### **PROGRAMME EFFECTIVENESS (INCLUDING COST-EFFECTIVENESS)**

As per the UK aid V4M Approach, “programme effectiveness measures how well partner interventions (outputs) achieve desired programme outcomes”<sup>143</sup>. To evaluate this, the ET analyzed DRC WASH Consortium progress towards Outcome Indicators. Per UK aid’s V4M Approach “outcomes reflect high-level, long-term impact that are beyond the direct control of the implementer or their agents,” and as such, are more difficult to achieve.<sup>144</sup> As of March 2018 (Q19), the Consortium had met or exceeded targets for six of seven Outcome Indicators. One targets not yet met is:

- Outcome Indicator 9 (*Proportion (%) of WMCs that have adequate funds for maintenance and operation of the water points*) 65% achieved; 80% target).

Two of the met indicators are related to maintaining “Healthy Village” certification norms, which the Consortium measures six-months after initial certification.<sup>145</sup> As the UK aid Annual Review 2018 states, “Consortium methodology (for measuring VEA certification) is more rigorous, which likely contributes to lower performance numbers”. However, the Consortium is on-track to meet six of seven outcome indicators, suggesting progress towards sustainability despite the prevailing challenging conditions for sustainable WASH services in DRC.

**Cost-Effectiveness** – Cost-effectiveness measures the cost of achieving desired outcomes, typically measured by overall cost per beneficiary, and cost per capita of achieving a desired outcome such as increased access to potable water or increased access to sanitation facilities. According to ET calculations based upon DRC WASH Consortium financial reports,<sup>146</sup> as well as monitoring and evaluation information,<sup>147</sup> the Consortium cost per beneficiary stands at £44.90 as of March 2018 (see **Annex J: Consortium V4M Indicators Comparison**). This is higher than projected cost per beneficiary numbers of the PNEVA, which are £30.33 and the Mercy Corps Urban Water Supply Project £23.82, which is implemented in urban areas of South Kivu Province. Consortium per beneficiary cost figures are higher than Mercy Corps costs due to economies of scale of urban water systems and higher than UNICEF numbers because of Consortium investment in community capacity development including extensive training of WMCs and focus on improved WASH behaviors at the household and community levels, which includes a rigorous 12-step training and self-evaluation approach to community WASH standards. Additionally, the *actual* cost per

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<sup>143</sup> Ibid

<sup>144</sup> Ibid

<sup>145</sup> Ibid

<sup>146</sup> Master Consolidated WASH DFID Q19–Forecast Q20, DRC WASH Consortium Budget Forecast, June 2018

<sup>147</sup> Q19 Activity Tracker Consolidated, DRC WASH Consortium, June 2018

beneficiary of the Consortium is being compared to the *planned* cost per beneficiary of UNICEF and Mercy Corps as per 2013 business case.

## PROGRAMME EQUITY

A 2017 review of the impact on gender equity of DRC WASH Consortium activities and initiatives found that the project has achieved its gender equity targets and had an overall positive impact on gender relations and women's empowerment in target communities.<sup>148</sup> For example, women comprised 30% of WMC positions, and 36% of key positions (i.e., President, Vice-President, Treasurer, and Secretary).<sup>149</sup> Citing focus group discussions with community members, the 2017 report also indicated that women and girls benefitted from reduced time spent collecting water and that the incidence of violence against women was lower in communities where the Consortium was active.<sup>150</sup> According to preliminary Q19 performance indicator data, the percentage of women in WMC leadership positions had slipped to 31% (2% below the indicator target), but the actual number of women in leadership positions exceeded planned targets (551 women versus 435 as of December 2017).<sup>151</sup> Anecdotally, FGDs with WMCs indicated that women often hold the position of Treasurer within WMCs because of perceptions that women "more responsibly manage money" (see **2.3 Cross-Cutting Themes – Gender**)<sup>152</sup>

## VALUE FOR MONEY ANALYSIS – CONCLUSIONS

**Economy** – Based upon Programme Economy findings, the ET concludes that Consortium efforts to responsibly steward UK aid financial resources and achieve "lowest cost/best value" of materials and services was adequate and reasonable. The Consortium water point unit cost of US\$7,042<sup>153</sup> is very similar to water point unit cost in the Nigeria SHAWN I (US\$7,989), and much less expensive than the UK aid-funded WASH analog in Mozambique (PROSONAR), which had an average unit cost per water point of US\$23,755. The DRC WASH Consortium unit cost for sanitation facilities (US\$1,154)<sup>154</sup> also was reasonable when compared to other WASH projects in the region. A 2017 study reports unit costs of US\$1,053 for a single communal toilet (Ethiopia), US\$272 for reinforced pit latrines (Tanzania), and US\$8,965 per four-cabin school latrines (similar to those constructed by the Consortium member in Kasai Central).<sup>155</sup>

Review of procurement procedures for materials, local service providers and international consultancies found Consortium procurement policies and procedures to adequately ensure cost and quality reasonableness.

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<sup>148</sup> Kilanga, Jean Baptiste "Rapport de L'Évaluation de la Prise en Compte de l'Égalité du Genre dans le programme Consortium WASH RDC" May 2017

<sup>149</sup> Ibid.

<sup>150</sup> Ibid.

<sup>151</sup> "Q19 Consortium LogFrame" DRC WASH Consortium (unpublished)

<sup>152</sup> FGD, WASH Management Committees, Lubondaie Health Zone, Kananga, August 1, 2018

<sup>153</sup> See page 41 for calculation methodology. Figures reported in USD to allow for cross-project comparison.

<sup>154</sup> Ibid.

<sup>155</sup> McGinnis, Shannon M. et al. "A Systematic Review: Costing and Financing of Water, Sanitation, and Hygiene (WASH) in Schools" Farrukh Ahmad (editor), International Journal of Environmental Research and Public Health 14.4: 442. PMC, 2017

**Efficiency** –While, as of Q18, the DRC WASH Consortium was behind on some Output Indicators, overall project efficiency is reasonable. For many indicators, the Consortium has exceeded planned numerical targets, including several Output Indicators reported as unmet in terms of proportion (%). This is due to the fact that the majority of Consortium Output Indicator targets are expressed as percentages of target populations (people, WMCs, schools, etc.). Thus, while the Consortium remains behind on some output indicators, overall programme efficiency is reasonable.

**Effectiveness** - The DRC WASH Consortium has been successful in achieving targets for a number of key Outcome Indicators laid out in the project Logical Framework, including:

- Outcome Indicator 1: Proportion (%) of GBWM collecting water from an improved water source within a 30-minute round trip
- Outcome Indicator 2: Proportion (%) of Consortium supported villages maintaining VEA certification norms 6 months after certification achieved
- Outcome Indicator 2.1: Proportion (%) of GBWM residing in Consortium supported villages maintaining VEA certification norms 6 months after certification achieved
- Outcome Indicator 6: Proportion (%) of WMCs judged by WMC members themselves with capacity to manage their roles and responsibilities efficiently
- Outcome Indicator 7: Proportion (%) of WMCs that perceive that they receive useful support from local authorities
- Outcome Indicator 8: Number of female and male *Relais Communautaires* undertaking regular mobilization activities in communities 6 months after the 18 months cycle implementation

On the other hand, the Consortium fell short of targets for one Outcome Indicator:

- Outcome Indicator 9 (*Proportion (%) of WMCs that have adequate funds for maintenance and operation of the water points*).

Data is not yet available for one indicator related to the sustainability of project outputs, Outcome Indicator 3 (*Proportion (%) of water points in use two years after installation i.e. operational and functioning*) (see Annex F: Indicator Target Analysis).

**Cost-Effectiveness** - As of March 2018 the Consortium cost per beneficiary stands at £44.90. This is higher than projected cost per beneficiary numbers of the PNEVA (£30.33) and Mercy Corps Urban Water Supply Project (£23.82). However, as noted in UK aid's Annual Review 2018, the Mercy Corps project likely achieves lower cost per beneficiary numbers due to the economies of scale of urban water systems. Likewise, PNEVA lower cost per beneficiary numbers may be due to the Consortium emphasis on developing community and local government capacity to sustainably manage rural WASH services.<sup>156</sup> Also, Consortium figures are actual figures versus planned cost per beneficiaries for UNICEF and Mercy Corps programmes. Furthermore, DRC WASH Consortium cost per beneficiary numbers (US\$65.46) compare favorably to regional analogs such as Ethiopia WSSP (US\$81.58 per beneficiary) and Mozambique PROSANAR CF (US\$95.31 per beneficiary).

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<sup>156</sup> KII, DRC WASH Consortium staff, Kinshasa, July 27, 2018

**Equity** – The DRC WASH Consortium project is adequately addressing equity issues. Although slightly behind on its primary indicator for this (% of WMC leadership positions held by women), the actual number of women holding WMC leadership positions exceeds planned numerical targets. Additionally, as expressed in FGDs with WMCs, the Consortium project has been successful in reducing the time burden of collecting water by women.<sup>157</sup>

## **CROSCUTTING THEMES**

This section presents the findings and conclusions of the ET related to the success of the project in addressing the cross-cutting themes included in the DRC WASH Consortium project outline.

## **CONSORTIUM “ECONOMIC APPROACH”**

The “economic approach” of the Consortium, i.e. the simplified version of the Life-Cycle Costs Approach that the Consortium has developed and mainstreamed across all of its intervention areas and that is at the core of the Consortium.

A pillar of sustainability in the DRC WASH Consortium project design is integration of an “economic approach” to WASH service delivery in rural areas.<sup>158</sup> Per project documents, the Consortium economic approach is derived from the Life-Cycle Costs Approach developed by Netherlands-based IRC WASH, which emphasizes the importance of for-fee WASH services to ensure the financial sustainability of WASH infrastructure investments.<sup>159</sup> The Consortium adjusted this approach slightly to develop three-levels of sustainability, or “equilibres”<sup>160</sup>, related to recurring costs to be financed through WMC revenues, including user fees and IGAs<sup>161</sup>:

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<sup>157</sup> FGDs, WASH Management Committees, various location, August 1–August 15, 2018

<sup>158</sup> “DRC WASH Consortium – Full proposal to DFID for Additional Funding 2016–18” DRC WASH Consortium for DFID, April 15, 2016

<sup>159</sup> Fonseca, Catarina et al “Life-Cycle Costs Approach – Glossary and Cost Components” IRC International Water and Sanitation Centre, April 2010

<sup>160</sup> “DRC WASH Consortium: Interim Progress Report 1 – 1<sup>st</sup> July to 3<sup>rd</sup> December 2013” DRC WASH Consortium for DFID, February 7, 2014

<sup>161</sup> Melloni et al, *Tracing a path to sustainable rural water services in the Democratic Republic of the Congo*, RWSN. August 2018.

Figure 4: Consortium adaptation of Life-Cycle Costs description.

LIFE-CYCLE COSTS TERMINOLOGY	LIFE-CYCLE COSTS DESCRIPTION	ADAPTED INTO THE APPROACH OF THE DRC WASH CONSORTIUM
Operating and minor maintenance expenditure (OpEx)	Expenditure on labour and materials needed for routine maintenance which is needed to keep systems running, but does not include major repairs.	Level 1 costs
Capital maintenance expenditure (CapManEx)	Renewal, replacement, and rehabilitation costs which go beyond routine maintenance	Level 2 costs
		Level 3 costs
Expenditure on direct support (ExpDS)	Costs of ongoing support to users and local stakeholders, for example on local government or district support staff.	These costs are not included in estimates for what communities need to pay.
Capital expenditure (CapEx)	Expenditure on physical infrastructure construction or extension and on accompanying 'software' such as capacity building	These costs are covered by project funds as an initial investment in safe water services in rural communities: mostly in the form of wells or boreholes with handpumps and protected springs.

The Consortium's first External Technical Review outlined its strategy to operationalize the economic approach into WASH capacity and service development.<sup>162</sup> Key activities to develop WMC knowledge and capacity to sustainably manage water services according to the economic approach included:

- Analyse all components of long-term costs during planning and decision making of water service investments;
- Establish and promote best practices for implementing and sustaining the economic approach;
- Support communities to determine long-term costs of proposed water system investments;
- Develop WMC capacity in financial management and sustainability;
- Train WMCs on cost-benefit analyses, including:
  - Water fee establishment;
  - Recurring cost estimation;
  - Break-even and capital reserve requirements; and
  - Benefits of improved water services (time savings, reduced water-borne diseases, etc.);
- Facilitate sustainable price setting with communities (to cover at least Level 1);
- Train WMCs in financial management and safeguarding of funds; and

<sup>162</sup> "Rapport Revue Technique - Février 2014" DRC WASH Consortium, February 2014

- Facilitate recordkeeping and data collection to inform knowledge and learning efforts related to the economic approach.

Subsequently, in early 2014 the DRC WASH Consortium further refined its economic approach operationalization strategy by: 1) stipulating that investment decisions will be joint decisions between target communities, BCZs, and Consortium member agencies; 2) facilitating community preparation of water point investment Business Plans; 3) requiring villages to commit to cash collection sufficient to at least cover regular operation and maintenance costs of the water point (i.e. to cover Level 1 costs); and 4) targeting 20% more villages for capacity development training (Steps 3 to 8 of the Consortium 12 Steps) to permit a genuine selection process (e.g., participating villages are not guaranteed a water point).<sup>163</sup>

According to project documents, an earlier adaptation of the Global Water Initiative (GWI) life-cycle costing spreadsheet model proved too complex for both WMCs and Consortium field staff to understand, and hence development of WMC Business Plans addressed the need for a simplified set of economic feasibility and financial management tools.<sup>164</sup> Next, core Business Plan principles and tools were incorporated into specific modules of the Consortium’s WASH Management Committee Capacity Development Manual. These adaptations to the economic approach were mainstreamed into Consortium activities, with over 670 communities / WMCs engaged in the Business Plan process as of March 2018.<sup>165</sup>

### Results of the Economic Approach

A 2018 research publication summarized WMC financial sustainability performance, evaluating to what extent community management of water points in rural DRC is possible.<sup>166</sup>

Table 6: Summary of results of the economic approach

WMC Revenue Generation Type	Not able to cover operation & minor maintenance costs	Level 1: Able to cover operation & minor maintenance	Level 2: Also able to cover major repairs	Level 3: Also able to cover full rehabilitation
Both household collections & commercial activity proceeds (n=202)	16%	65%	16%	2%
Only household collections (n=130)	40%	42%	9%	9%

<sup>163</sup> “DRC WASH Consortium: Interim Progress Report 2 (end Year 1) -1 January to 30 June 2014” DRC WASH Consortium for DFID, August 11, 2014

<sup>164</sup> Jones, Stephen “Adapting the Life-Cycle Costs Approach for Rural Water Supply in DRC through the DRC WASH Consortium” Briefing Paper 2209, 38<sup>th</sup> WEDC International Conference, Loughborough University, United Kingdom, 2015

<sup>165</sup> “Q19 Consortium Activity Tracker – Consolidated” DRC WASH Consortium (unpublished)

<sup>166</sup> Nilsson, K. M.L. De Rubeis, G. Melloni “Community Management of Water Points in the Democratic Republic of the Congo: Identifying Success Factors” 40<sup>th</sup> WEDC International Conference, Egerton University, Nakuru, Kenya, 2018

Only commercial activity proceeds (n=10)	20%	60%	20%	0%
End-line Survey Average (n=237)	33%	50%	14%	3%
Post-End-line Survey Average (n=140)	28%	56%	10%	6%

Source: Nilsson et al (2018)

As of January 2018, 28% WMCs completing Post-End-line Surveys were not capable of covering basic operations and maintenance costs, 56% were capable of covering operations and maintenance costs (Level 1), 10% were also able to cover major water system repairs, and 6% were capable of cover the costs of full system replacement. The result of 72% of WMCs being able to cover at least operation and maintenance costs of water points is slightly behind the target of 80% stated in Outcome Indicator 9. However, given the difficult context of WASH service delivery in rural DRC, achieving 72% self-sufficiency of WMCs is encouraging.<sup>167</sup>

Table 7: Key Success Factors and Lessons Learned from the Economic Approach

<ul style="list-style-type: none"> <li>• Encouraging the combination of different revenue streams for community committees (payment per volume, fixed rate payment and proceeds from commercial activities) contributes to financial self-sufficiency. 84% of WMCs with mixed revenue streams achieved some level of self-sufficiency, compared to 60% self-sufficiency for WMCs only collecting water fees from households.</li> <li>• The practice of exempting the most vulnerable from water payment does not jeopardize a committee's financial performance. For example, 77% of WMCs offering vulnerability exemptions achieved some level of self-sufficiency, compared to 66% that did not. However, causality is not clear, as better performing WMCs may more easily "afford" exemptions.</li> <li>• Committees having a form of remuneration for some of their members tend to meet more regularly and to achieve better performance compared to committees based exclusively on volunteering (82% self-sufficiency versus 66%).</li> <li>• Higher rates of financial turnover are associated with higher spending and use of hand pump spare parts, which suggests WMCs are spending community resources as intended. 92% of WMCs accessing spare parts achieved self-sufficiency versus 65% for WMCs not spending on spare parts. However, causality is not clear, and more self-sufficient WMCs may be in a better position to buy spare parts.</li> <li>• Committees receiving visits from local government authorities tend to perform better (81% for WMCs receiving visits versus 51% for WMCs with no visits). However, causality is difficult to determine as more frequent visits from local authorities may be due to proximity to population centers, which may also contribute to better WMC performance.</li> </ul> <p>Source: Nilsson, K. M.L. De Rubeis, G. Melloni <i>"Community Management of Water Points in the Democratic Republic of the Congo: Identifying Success Factors"</i> 40<sup>th</sup> WEDC International Conference, Egerton University, Kenya, 2018</p>
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These findings suggest that the Consortium's economic approach resulted in more self-sufficient WMCs capable of operating, maintaining, and repairing water points. Findings from FGDs with WMCs confirm that WMCs understand the importance of generating revenue (either from water user fees, other revenue generating activities, or both) in order to pay for water point repairs.<sup>168</sup> However, an additional question revolves around long-term financial sustainability of WMCs. More

<sup>167</sup> Nilsson, K. M.L. De Rubeis, G. Melloni *"Community Management of Water Points in the Democratic Republic of the Congo: Identifying Success Factors"* 40<sup>th</sup> WEDC International Conference, Egerton University, Nakuru, Kenya, 2018

<sup>168</sup> FGDs, WASH Management Committees and Water Service Users, various locations, August 1 to 15, 2018

research is needed to understand whether WMC adoption of the economic approach will be maintained over time, and whether promising results are sustainable in the long-run.

## IMPROVED EVIDENCE FOR WASH PROJECTS

The improved evidence base for WASH projects at the DRC level the Consortium has provided, particularly regarding the relations with and influence on the “National Programme Healthy Schools and Villages” and the contributions to sectoral sharing and learning.

As described above, the Consortium improved the evidence base for WASH projects at the DRC level through multiple activities (see **2.1. Project Results, Output 7**). According to project documents, specific examples of how the Consortium used an improved evidence base to engage and influence the PNEVA include PNEVA participation in ETR meetings (see **2.1. Project Results, Output 7**),<sup>169</sup> cooperation on the *Plan Quinquennal* (five-year plan 2018 – 2022),<sup>170</sup> convening of an ETR entitled “Mutual Learning for Sustainability” in September 2016,<sup>171</sup> presentation of a short paper to PNEVA outlining how the Consortium can best contribute to sector learning at the national level,<sup>172</sup> Consortium participation in the PNEVA ATLAS 2017 initiative, and most recently, the joint development of a knowledge management and learning network with UNICEF and CNAEHA (first convened in September 2017).<sup>173</sup>

According to project documents and key informant interviews, initial efforts (pre-2016) to influence PNEVA activities based upon Consortium learnings was challenging. For example, one Consortium research paper also explicitly lists “communicating the Consortium approach both internally and externally and at local and national levels” as a key challenge, and that the Consortium was “seeking to better clarify its relationship with the national rural WASH programme (PNEVA) to emphasize that it is complementary and seeks to promote joint learning rather than act as a competitor.”<sup>174</sup> Additionally, an active Consortium staff member who participated in the 2015 Joint Monitoring Visit with UNICEF also confirmed Consortium difficulty influencing the PNEVA: “they (UNICEF staff) didn’t really see the value addition of the Consortium approach and were overall fairly dismissive of our approach.”<sup>175</sup> In a KII with PNEVA staff, one respondent stated “there were no changes to the way UNICEF implemented the national programme (PNEVA) that came from them (the Consortium) project. They both have their own ways of implementation”.<sup>176</sup> However,

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<sup>169</sup> “Rapport Revue Technique - Février 2014” DRC WASH Consortium, February, 2014

<sup>170</sup> “DRC WASH Consortium: Interim Progress Report 9 (up to end of Year 4.5) - 1<sup>st</sup> July - 31<sup>st</sup> December 2017” DRC WASH Consortium for DFID, February 27, 2018

<sup>171</sup> “Rapport de la Revue Technique - Octobre 2016 - L'apprentissage mutuel pour la pérennité des services Eau, Hygiène et Assainissement en milieu rural en RDC” DRC WASH Consortium, October 2016

<sup>172</sup> “DRC WASH Consortium: Interim Progress Report 5 (up to end of Year 2.5) -1 July - 31 December 2015” DRC WASH Consortium for DFID, March 7, 2016

<sup>173</sup> “DRC WASH Consortium: Interim Progress Report 9 (up to end of Year 4.5) - 1<sup>st</sup> July - 31<sup>st</sup> December 2017” DRC WASH Consortium for DFID, February 27, 2018 and “Rapport de la Revue Technique - Octobre 2016 - L'apprentissage mutuel pour la pérennité des services Eau, Hygiène et Assainissement en milieu rural en RDC” DRC WASH Consortium, October 2016

<sup>174</sup> Jones, Stephen, S. Longueville “Lessons Learned from a Consortium Model for Rural WASH: Experiences of the DRC WASH Consortium” Briefing Paper 2387, 39<sup>th</sup> WEDC International Conference, Kumasi, Ghana, 2016

<sup>175</sup> KII, DRC WASH Consortium Staff, Skype Conversation, August 8, 2018

<sup>176</sup> KII, Institutional Stakeholder, Kinshasa, August 21, 2018



Consortium and PNEVA collaboration on several activities listed at the top of this section indicate good relations and effective information sharing. Additionally, according to KIIs, PNEVA has introduced elements of the life-cycle costing approach promoted by the Consortium, including the promotion of water user fees to pay for operation and maintenance costs.

Lastly, the Consortium has utilized several approaches to improve sectoral learning and sharing. See Section 2.1 Output 7 for evidence and analysis,

## OTHER THEMES

Other themes are: consistent and effective monitoring and evaluation framework; considerations of gender and equity to inform project implementation; work towards an exit strategy to foster sustainability of results, and; accountability to all types of project participants.

**Monitoring and Evaluation Framework** – The ET reviewed several M&E data gathering tools, Bi-annual Interim Progress Reports, Technical Working Group meeting minutes, and reporting on progress towards performance indicators included in the programme Logframe. Despite the difficulty of M&E data collection inherent in large consortiums, the DRC WASH Consortium has consistently delivered M&E reports and data in a timely and meaningful manner.<sup>177</sup> Additionally, the DRC WASH Consortium appears to have reported implementation challenges in a transparent and self-reflective manner uncommon among large development programmes. M&E data collection systems on programme outputs and outcomes clearly helped the CCU identify and address implementation issues and to adapt programme activities to overcome challenges and pursue newly identified opportunities.<sup>178</sup>

**Gender and Equity** – As noted in the original proposal to UK aid “Women are guaranteed fundamental rights by the 2006 constitution. However, the lack of implementing laws and the dominance of custom in many areas of life has allowed deep-rooted discrimination to persist”<sup>179</sup>. Although men and women both have access to available water, related tasks fall mostly to women, as noted in a World Bank assessment of the DRC water sector i.e. “by 2012 there is virtually no gender difference in terms of access to water and sanitation by female-headed households, even when considering poverty and wealth distribution... On the other hand, a marked gender difference is seen when it comes to water-fetching responsibilities, with women and girls primarily carrying the load, reflecting social norms.”<sup>180</sup> Finally, the prevalence of gender-based violence (GBV) in DRC means that many water and sanitation-related activities, such as fetching water and using communal latrines and showers, increase the vulnerability of women.

Recognizing these challenges, the DRC WASH Consortium initially took into consideration gendered division of tasks within households and communities and the different needs of women, men, girls and boys in water provision, sanitation and hygiene, and planned to “engage with

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<sup>177</sup> “DRC WASH Consortium: Interim Progress Reports 2014 to 2018” DRC WASH Consortium for DFID

<sup>178</sup> DRC WASH Consortium TWG and Board Meeting Minutes, 2014 to 2018.

<sup>179</sup> “DRC WASH Consortium Programme Proposal submitted to the Department for International Development (DFID) - 1 July 2013 – 30 June 2017” DRC WASH Consortium, October 2013

<sup>180</sup> “WASH Poor in a Water-Rich Country: A Diagnostic of Water, Sanitation, Hygiene, and Poverty in the Democratic Republic of Congo” World Bank, Washington DC, 2017

children, men and women during the programme to identify these gender inequalities and ensure that activities are targeted to address these". Likewise, the Consortium committed to addressing "gender inequality through challenging norms and behaviors in society, which help to perpetuate these inequalities" and encouraging "an equal representation of women and men in the committees and in trainings so that all users have an equal mastery of facilities... and ensuring that women are meaningfully involved in decision-making processes"<sup>181</sup>. Taking into account the prevalence of GBV, as well as the propensity of women to rarely speak up during meetings and to be "blocked by men when they do", the Consortium members held separate women only meetings to determine issues related to safety, such as the placement of WASH infrastructure and promoted education for girls by constructing separate and safe latrines in schools.<sup>182</sup>

A UK aid gender review of its WASH project portfolio in DRC found that its three projects "have a strong commitment to gender issues but not all address the underlying factors in gender inequality effectively"<sup>183</sup>. Related to this finding, an external gender review of the Consortium project cited prevailing "conflict", prevailing "culture" and low women's literacy rates to be the most significant limiting factors on women's participation in project activities (the UK aid gender review also cited low women's literacy as a significant barrier to participation in WASH-related decision making).<sup>184</sup> Despite this, the review noted a 30% participation rate for women in WMCs and 36% for defined "key positions" in these committees.<sup>185</sup> Likewise, as of Q18, the Consortium reported being on track to reach its target for Output Indicator 3.6 (Proportion (%) of WMC official positions that are occupied by women), achieving a rate of 32% against the target of "33% of the presidents, vice presidents, treasurers and secretaries of the WMCs established by the Consortium".

Likewise, the ET found between two and three women represented in all WMCs selected for FGDs, which translates to participation of between 20-37.5% in an eight-person committee. While none of these committees had women as presidents, in many cases women occupied the position of secretary, and in all cases women occupied the role of treasurer, a situation that members explained as "women are better with money."<sup>186</sup> In the Internal Gender Review, *Solidarités International* described this as a "sign of confidence towards women and also note that "women take the lead in IGAs"<sup>187</sup>. When asked about the dearth of women as presidents, one respondent described WMC rivalry with village chiefs as requiring strong leadership that is best provided by men (several KII respondents described competition between chiefs and WMCs for control of resources and revenues related to the Consortium project).<sup>188</sup> This suggests the persistence of traditional perceptions of gender roles, especially related to "leadership" and dealing with money. Interestingly, analysis of Consortium data suggested "no clear advantage of mixed gender representation on committees: most committees have between 20% and 50% women members,

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<sup>181</sup> "DRC WASH Consortium Programme Proposal submitted to the Department for International Development (DFID) - 1 July 2013 - 30 June 2017" DRC WASH Consortium, October 2013

<sup>182</sup> "Internal Gender Review" DRS WASH Consortium, December 2016

<sup>183</sup> "WASH Programme - Gender Review - June 2018" DFID, July 2018

<sup>184</sup> Kilanga, Jean Baptiste "External Gender Review of the DRC WASH Consortium" May 2017

<sup>185</sup> Ibid

<sup>186</sup> FGDs, WASH management committees, various locations, July 30-August 15, 2018

<sup>187</sup> "Internal Gender Review" DRS WASH Consortium, December 2016

<sup>188</sup> KII, Institutional stakeholder, Manono, August 8, 2018

and all seem to reach the different levels of financial self-sufficiency at about the same ratios”<sup>189</sup>, although “higher representation of women among the four executive positions established in the committees shows signs of possibly matching with a slight improvement in financial self-sufficiency”<sup>190</sup>.

In conclusion, the Consortium took several measures, such as women-only planning meetings, through which women’s perspectives were taken into account with regard to WASH-related safety. As a result of these measures, the project was able to successfully take safety into account with regard to issues such as siting of latrines and showers. Likewise, the project took proactive steps that successfully increased women’s participation in decision-making and leadership, and achieved significant representation of women in leadership positions in WMCs (reported as 32% as of Q18). However, the Consortium was less successful in *changing* gender-related “norms and perception in society”, and women’s roles largely continued to be based on existing perceptions, such as their role with regard to stewardship of money.

**Exit Strategy** – The initial project proposal proposed an exit strategy “focusing on communities, linking them with their local and national government structures and service providers and working with all of these elements to build knowledge and resilience and ensure sustainability” with the post-project period focused on the WMC business plans as “an accurate tool to monitor financial capacity of the villages to reach the sustainability for infrastructure”<sup>191</sup>. As such, the exit strategy is predicated on residual capacity and relationships between communities and government entities (BCZs and territory administrations), as well as with service providers (spare parts dealers)<sup>192</sup>.

Amongst these elements, the foundation of the exit strategy rests on the capacity of the communities, and especially the WMCs, i.e.

*“The key element of the Consortium exit strategy derives from the approach adopted which focuses on demand that is from the outset owned and driven by the communities themselves. The demand for programming deriving from initial contact and promotion is the basis for engaging in each community. Any resource provision is based on communities demonstrating an understanding of sustainable management of such resources and an ability to mobilize community resources for this purpose.”<sup>193</sup>*

The Consortium’s success in building individual’s knowledge, especially through experientially linking improved sanitation and water with improved health outcomes (decreased illnesses) via the PAFI approach (see 2.1. **Project Results, Output 1**), coupled with success in establishing

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<sup>189</sup> Nilsson, K. M.L. De Rubeis, G. Melloni “Community Management of Water Points in the Democratic Republic of the Congo: Identifying Success Factors” 40<sup>th</sup> WEDC International Conference, Egerton University, Nakuru, Kenya, 2018

<sup>190</sup> Ibid

<sup>191</sup> “DRC WASH Consortium Programme Proposal submitted to the Department for International Development (DFID) - 1 July 2013 – 30 June 2017” DRC WASH Consortium, October 2013

<sup>192</sup> “Stratégie de sortie du Consortium WASH RDC” DRC WASH Consortium, 2018

<sup>193</sup> Ibid

accountable and responsive Community Committees (see **2.1. Project Results, Output 3**), suggests that this element of the exit strategy is sound (although in several FGDs with WMCs, respondents indicated that they would like additional training).

In contrast, the Consortium experienced significant challenges in developing the capacity of government structures, both due to persistent logistics and resource challenges at the local level (especially BCZs and territory authorities), as well as weaknesses in the leadership capacity of the CNAEHA and CPAEHAs at the national and provincial levels (see **2.1. Project Results, Output 2, Output 3 and Output 6**). This calls into question the likelihood of communities and WMCs continuing to receive support from official sources. Likewise, in many cases, the WMCs are not yet able to cite sources for hand pump parts and technical service (see **Output 2**), which indicates private sector service provision remains limited. These weaknesses present fundamental challenges to the ability of the committees to maintain their water infrastructure, even in the cases where they have achieved levels of financial viability in line with the life-cycle approach.

**Accountability** – The Consortium’s 2013 proposal to UK aid articulated accountability as a “core value” for the project, based upon three principles: 1) accepting responsibility for doing what the Consortium says it will do; 2) being open and transparent about what the Consortium does, including why and how the Consortium does what it does, and 3); ownership of activities as a key to sustainability.<sup>194</sup>

The original conceptualization of accountability was heavily focused on accountability to beneficiaries but was later expanded to include accountability to all stakeholders and participants in the Consortium project (i.e. national government agencies, local government authorities, the broader WASH community, and private sector service providers). The Consortium operationalized and monitored this broader definition of accountability through adoption of an “accountability triangle” between government authorities, water users, and water service providers (e.g. WMCs).<sup>195</sup> Per project documents, the Consortium used several approaches and tools to maximize programme accountability to stakeholders, including: development and facilitation of a community self-evaluation tool; implementation of local Complaint Response Mechanisms; improved knowledge management and documentation (including with local partners and beneficiaries); and creating forums for external feedback and improved “learning and sharing”.

Table 8: Example of Valid Complaint-Response Input

An example of a valid complaint that was acted upon was a letter written by Nkonde village in the Kiyambi Health Zone complaining about the long distance between their village and the location of the Kitu borehole proposed after geophysical siting. Based on analysis of the complaint and the lower than average cost of drilling and completing Kitu borehole, the programme team reached a decision to drill an additional borehole for Kitu, Nkonde.
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<sup>194</sup> “DRC WASH Consortium Programme Proposal submitted to the Department for International Development (DFID) - 1 July 2013 – 30 June 2017” DRC WASH Consortium, October 2013

<sup>195</sup> “DRC WASH Consortium: Interim Progress Report 5 (up to end of Year 2.5) - 1 Jul – 31 Dec 2015” DRC WASH Consortium for DFID, March 7, 2016

Source: "DRC WASH Consortium: Interim Progress Report 3 (up to end of month 18) - 1 July to 31 Dec 2014" DRC WASH Consortium for UK aid March 2, 2015

In KII with DRC WASH Consortium staff, respondents described how the community self-evaluation tool

demonstrated its utility as a means of community-level accountability (as well as accountability between the community and the implementing Consortium NGOs) early in the project.<sup>196</sup> Likewise, project documents describe how the process of self-evaluation encourages community discussion and feedback between local leaders, WMCs, and community members.<sup>197</sup> Subsequently, the Consortium presented its approach to establishing and maintaining Complaints Response Mechanisms during the May 2014 Programme TWG meeting, highlighting the importance of drawing on traditional community communication mechanisms where possible and of providing a variety of means for communities to express their views (such as confidential complaints boxes, via village chiefs, telephone hotlines, and leaving a Dictaphone in participating villages once per month).<sup>198</sup> By the 6<sup>th</sup> Quarter of the programme, all Consortium agencies had Complaint Response Mechanisms in place.<sup>199</sup> Finally, based in part on accountability findings during the DRC WSH Consortium mid-term evaluation, the Consortium redoubled its efforts to share programme documentation and learnings more effectively, especially to Consortium agencies and stakeholders at the local-level. Additionally, the project dedicated an External Technical Review to the topic of inclusive targeting and programme accountability leading to the publication of a research paper.<sup>200</sup>

Since the 2016 project "scale-up", the Consortium has focused accountability efforts on support to the different actors and relations in the "accountability triangle" (government; service providers; users) with the intention of "adopting the accountability triangle to help structure the link between direct WASH interventions, transversal activities and pilot projects".<sup>201</sup> KIIs with institutional stakeholders suggest this has been an evolutionary process. Although feedback from local authorities indicates a high-degree of project responsiveness (and thus accountability)<sup>202</sup> (see 2.1. **Project Results, Output 2 and Output 3**), KIIs with national-level actors suggest that effective feedback and response mechanisms with government agencies in Kinshasa were initially lacking, especially during project inception. For example, one national-level government stakeholder stated, "when they (the Consortium) started, we had no input. They came in with their own ideas and didn't build upon what the government was already doing. We tried to resolve this, but the early leadership was not very open to suggestions."<sup>203</sup> However, the same respondent went on to say, "In

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<sup>196</sup> KII, DRC WASH Consortium Staff, Kinshasa, August 21, 2018

<sup>197</sup> "DRC WASH Consortium: Interim Progress Report 2 (end Year 1) -1 January to 30 June 2014" DRC WASH Consortium for DFID, August 11, 2014

<sup>198</sup> "Réunion trimestrielle TWG Programmes WASH - Consortium WASH RDC 13 et 14 Mai 2014" TWG Meeting Minutes, DRC WASH Consortium, May 2014

<sup>199</sup> "DRC WASH Consortium: Interim Progress Report 3 (up to end of month 18) - 1 July to 31 Dec 2014" DRC WASH Consortium for DFID, March 2, 2015

<sup>200</sup> Melloni, Gian, S. Jones "Making WASH Monitoring and Evaluation Work for Everyone: The Experience of the DRC WASH Consortium" Paper 2607, 40<sup>th</sup> WEDC International Conference, Loughborough University, U. K., 2017

<sup>201</sup> "DRC WASH Consortium: Interim Progress Report 6 (up to end of Year 3) -1 January - 30 June 2016" DRC WASH Consortium for DFID, September 5, 2016

<sup>202</sup> KII, Institutional Stakeholders, Ankorok Centre, August 10, 2018

<sup>203</sup> KII, Institutional Stakeholders, Kinshasa, August 21, 2018

the last two years, they (the Consortium) has taken our input more seriously and has made a genuine effort to coordinate its activities at the national-level.”<sup>204</sup>

In conclusion, the review of project documents (such as the initial programme proposal, bi-annual progress reports, TWG minutes, and External Technical review reports) and KILs with stakeholders at the local and national level, demonstrate that Consortium efforts towards accountability were largely successful, despite initial challenges. The Consortium was also successful in creating innovative ways to increase accountability such as community self-evaluation tools, robust Complaint Response Mechanisms that combine traditional forms of communication with modern technology, and the implementation of accountability triangles.

## PILOT PROJECTS

The following section presents the findings and conclusions of the ET related to the success of the small-scale pilot projects (or “transversal projects”) carried out as part of the overall DRC WASH Consortium project.

### EMERGENCY PREPAREDNESS AND RESPONSE TO CHOLERA

Integrated emergency preparedness and response to cholera.

In 2014, the DRC WASH Consortium developed a plan for the Emergency Preparedness and Cholera Response pilot project as a disaster risk reduction (DRR) strategy in response to demand from public officials and also to protect development results in Consortium intervention areas. *Solidarités International* took the lead on this project, implementing it in two phases: 1) Preparation, which included capacity building with Consortium member and BCZs and establishment of contingency and buffer stocks in project target areas; and 2) Rapid Response, to prevent the spread of the disease in Consortium intervention areas<sup>205</sup>. As such, *Solidarités International* developed two internal indicators for this pilot project:

- Objective 1: “Enable members of the WASH Consortium and their local partners to quickly and autonomously provide adequate responses to a cholera outbreak and prevent the spread of the disease in their area”. Target: 80% of trained BCZs intervene quickly and autonomously when the critical intervention threshold is exceeded.
- Objective 2: “Control as quickly as possible the declared epidemic in the intervention zones (targeted health zones and areas) in order to prevent the spread of the disease and not to have an impact on activities and development results”. Target: “60% of the epidemics on which there is a “rapid response” intervention of the Wash Consortium are contained within two weeks after the intervention.”<sup>206</sup>

Project implementation primarily entailed deployment of a *Solidarités International* Cholera Response Team to affected areas for a period initially intended to last for approximately two weeks.

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<sup>204</sup> Ibid

<sup>205</sup> “Projet innovant de réduction des risques et des catastrophes lié à la maladie choléra du Consortium WASH RDC mené par Solidarités International” Solidarités International for DRC WASH Consortium, March 1, 2014

<sup>206</sup> Ibid

This team was activated four times in 2014, in the Health Zones of Kabalo and Moba, and twice in the Health Zone of Kongolo. The response team was deployed for 20 responses, with an average duration of just under 18 days. On one occasion, a deployment in November–December 2016 to Kabalo stretched to 35 days, as local BCZ staff struggled to meet demand for staff and resources. Additional deployments included the Health Zones of Ankoro, Kalemie and Manono. By Q19, initial data showed that, as part of these responses, the team had distributed chlorination products to 10,412 households and 358,581 people had received training in cholera prevention.<sup>207</sup>

The pilot project was successful in supporting Health Zone staff to contain flare-ups in their areas of operation (though logistics and resource constraints that limit staff ability to respond will persist). In KII with institutional stakeholders at Health Zones, respondents expressed very high regard for the Emergency Preparedness and Cholera Response pilot project, noting that in its absence, they would not have had resources or staff to contain outbreaks.<sup>208</sup>

*“The project was a saviour (projet sauveur) because of the cholera situation (in the rural areas). The interventions resulted in a rapid, notable decrease in cholera cases.”* – KII, Institutional Stakeholder, Manono Centre, 2018

## KNOWLEDGE MANAGEMENT AND LEARNING NETWORK

Development of a knowledge management and learning network at the provincial level

The Consortium launched this pilot in September 2014, which involved the creation geographic information system (GIS) through participatory mapping exercises. The pilot, led by ACTED, had three internal objectives

- General Objective: To provide stakeholders involved in the Water, Sanitation and Sanitation sector with reliable, consistent and comprehensive information to improve the coordination and complementarity of action in this sector in Tanganyika.
- Specific objective 1: Establish a functional and operational geographic information system to facilitate the decisions of state and non-state actors on the basis of mutually beneficial sharing;
- Specific objective 2: To strengthen the capacity of public actors in the collection, analysis and dissemination of geographic information, including in cartographic form.<sup>209</sup>

The primary internal outputs of the pilot were planned as follows:

1. Village reference map (location) – A map for Tanganyika;
2. Reference map (location and population) – Two maps, one for each of the two targeted Pilot Health Zones selected at the beginning of the project: Mbulula and Nyemba;

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<sup>207</sup> “Q19 Consortium projets pilotes” Solidarités International for DRC WASH Consortium May 28, 2018

<sup>208</sup> KII, Institutional Stakeholders, Manono Centre, August 8, 2018

<sup>209</sup> “Volet gestion de l’information et cartographie – Projet Pilote”, DRC WASH Consortium, October 2, 2017.

3. Map of water points (location of water points and localities) - Two maps, one for each of the two targeted Pilot Health Zones: Mbulula and Nyemba;
4. Map of Health Areas - A map for Tanganyika. The administrative boundaries of the health areas are not validated by the government, however, a field survey will draw them;
5. Health Zone Reference Map (locality and basic infrastructure) - Two maps, one for each of the two targeted Health Zones;
6. BCZS Supervisory Axis Access Cards - Two cards, one for each of the two targeted ZOs; 7. Drug Storage Site Map - Two maps, one for each of the two targeted SLAs;
8. Health Facility Procurement Map - Two maps, one for each of the two targeted SLAs;
9. Map of access to drinking water (crossing population data with location of drinking water points) - Two maps, one for each of the two targeted SLAs;
10. Map (s) of waterborne diseases (crossing the epidemiological monitoring data with the location of drinking water points / no drinking water) - Number of maps to be defined, minimum two maps one for each of the two targeted ZOs;
11. Map of current activities - A map for Tanganyika.<sup>210</sup>

As of August 2018, results of this pilot were not yet available and could not be evaluated.

## CAPACITY OF LOCAL DECENTRALISED AUTHORITIES

Development of capacity of local decentralised authorities to plan and manage WASH investments
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The promulgation of the DRC National Water Law in January 2016 created an opportunity for especially relevant engagement with local authorities, as the National Water Law stipulated that ETDs would now be responsible for the management of water and sanitation service delivery in rural areas. The Consortium facilitated stakeholder analysis and interpretation of the new water law through the 4<sup>th</sup> External Technical Review meeting in January 2016. One participating stakeholder applauded Consortium efforts to increase awareness and understanding of the law stating, “the Consortium involves all stakeholders in the analysis of the situation in order to better make the diagnosis but also to better carry out their work. This collaborative approach is very positive”.<sup>211</sup>

Table 9: 2016 DRC National Water Law

“Article 72: The provincial government and the executive college of the local decentralised authorities assume oversight responsibilities. The oversight entity is responsible for the development, rehabilitation and extension of facilities and services. It ensures that all
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<sup>210</sup> Ibid.

<sup>211</sup> Dominique Sowa, National Deputy and CEO of ADIR NGO, “Rapport de la Revue Technique - Janvier 2016 - La Loi sur l’Eau: Défis, Opportunités et Perspectives pour le secteur Eau, Hygiène et Assainissement rural en RDC” DRC WASH Consortium, January 2016



necessary measures for their protection, proper functioning and maintenance are implemented.”

-2016 DRC National Water Law

The Consortium subsequently drafted a new TOR to strengthen local decentralised authorities capacity in light of the new water law, which outlined a three-step approach for

local government capacity building: 1) support a local diagnostic of the capacity of state and non-state actors; 2) support up to six ETDs to gain awareness of their roles for WASH in the long term and 3); Support one or two ETDs (identified as having the most potential) to plan and budget their water management activities as per the Water Law.<sup>212</sup> The diagnostic report was finalized in February 2018, with other phases to be concluded by September 2018.

Findings from the Diagnostic Report highlight capacity challenges identified during KIIs,<sup>213</sup> namely: 1) staffing and financial resource constraints; 2) lack of WASH technical capacity of ETD staff; and 3) lack of budgeting and planning processes and tools. For example, the Diagnostic Report found all six of the ETDs analysed to have “virtually no experience planning and budgeting for infrastructure projects”, and “no experience planning, budgeting and contracting for WASH service infrastructure and delivery”.<sup>214</sup>

Although it is too early to assess the outcome and impact of this pilot, its initiation by the Consortium is highly relevant given newly decentralised responsibilities to ETDs and the low capacity of ETDs to manage water and sanitation service delivery.

#### **APPROACHES TO SUPPORT USER VOICE AND ACCOUNTABILITY WITH SERVICE PROVIDERS**

Development of approaches to support user voice and accountability with service providers

In June 2017, Consortium member CRS launched a pilot to test an alternative form of community water service management through creation of water user associations. The principal objective of the pilot was “to assess how water user associations might give greater voice to and accountability to community members” by using a participatory approach for the election of association leadership, including a more robust complaint response mechanism between water users and their association responsible for the management of water systems<sup>215</sup>. The pilot had three internal sub-objectives, including:

- Sub-objective 1: Develop and launch a water user model that brings together delegates of various beneficiaries at the village level;
- Sub-objective 2: Facilitate village-level forums to address any concerns or complaints; and

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<sup>212</sup> “DRC WASH Consortium: Interim Progress Report 9 (up to end of Year 4.5) - 1<sup>st</sup> July – 31<sup>st</sup> December 2017” DRC WASH Consortium for DFID, February 27, 2018

<sup>213</sup> KIIs, Institutional Stakeholders, Ankoro, Manono, and Kiyambi Health Zones, August 8 to 16, 2018

<sup>214</sup> Lazzarini, Aude, Emmanuelle Guillou, Adrien Tutu Sumaili, Josué Aruna Sefu “Projet pilote de renforcement de capacité des ETD à planifier et appuyer des investissements dans des services durables en Eau, Hygiène et Assainissement en milieu rural en RDC” HYDROCONSEIL for DRC WASH Consortium, February 2018

<sup>215</sup> “Activités pilotes ou transversales - scale-up” CRS for DRC WASH Consortium

- Sub-objective 3: Test to what degree the water user association model ensures good operation of the water service in the village by ensuring good cost recovery and maintenance of water systems.<sup>216</sup>

The water user association model differs from the Consortium WMC approach by establishing village neighbourhoods through a participatory approach. Each neighbourhood then elects delegates to represent their needs and interests in the village-level association. The number of neighbourhood delegates is based upon the population within each village district. Water user associations are then trained in water management best practices according to Consortium guidelines.<sup>217</sup>

Through the random selection of village site visits, the ET conducted one FGD with a newly formed (December 2017) user association in Mfumba Center in the Dibaya Health Zone of Kasai Central.<sup>218</sup> Previously, the community had formed a WMC in 2005 and was re-constituted under Consortium guidance in 2015. The water user association leadership explained that their structure represents an “association of all households”, with 154 delegates (65 female and 89 male) representing over 1,600 households. The association reported “regular” meetings of delegates, but the exact frequency of delegate meetings was unclear. One member of the association stated, “we hold delegate meetings when there is a need”.<sup>219</sup> Beyond the selection of user delegates, the water user association appeared to be structured and operating in a similar manner to other Consortium WMCs: 1) a six-member management committee with a President (male), Secretary (male), Treasurer (female), Information Officer (male), Hygiene Officer (female), and Technician (male); 2) adherence to the Consortium 12 steps (as posted in the water user association office) and 3); policies and procedures similar to other Consortium-supported WMCs (also as posted in their office).

Results of the water user association pilot were not available at the time of writing. However, based upon the FGD conversation and ET observations, the water user model appears to differ only slightly from the “standard” Consortium model. However, the establishment of water user neighbourhoods within villages, and election of neighbourhood delegates to represent interests, appears to increase user voice. Nonetheless, it is not clear how the water user association leaders interact with delegates in practice. Additionally, the process of delegate election of association leadership did not appear to result in new participants, as the majority of water user association leaders (e.g. President, Secretary, etc.) previously held similar positions in the WMC. The innovation of the water user association model is the delegate-style representation of village sections and replaces large general assemblies with all households. Additionally, the delegate approach appears to strengthen complaint response mechanisms between water users and water point management officers (water association leadership). However, this observation is based solely upon evaluation of the design of the approach, as information is not yet available to confirm that the delegate approach actually increased water point management responsiveness or representation of water user interests.

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<sup>216</sup> Ibid

<sup>217</sup> Ibid

<sup>218</sup> FGD, WASH Management Committees, Mfumba Village, July 31, 2018

<sup>219</sup> Ibid

## DEVELOPMENT OF LOCAL PRIVATE SECTOR

Support to development of local private sector (supply chains of hand pump spare parts)

Building upon several sector-level forums in Manono facilitated in 2015 and the establishment of a Lobbying Committee for spare parts supply chain improvement (also in 2015), the Consortium launched a pilot project implemented by Concern Worldwide to strengthen private sector provision of hand pump spare parts in three health zones (Ankoro, Kiyambi, and Manono Health Zones) in Q16 (April – June 2017).<sup>220</sup> The internal objectives of the pilot are:

- General Objective: Improved sustainability in Rural WASH Activities
- Specific Objective 1: Improved availability of hand pump spare parts in Manono
- Specific Objective 2: Increased knowledge and capacity for repair and maintenance of hand pumps commonly used in Tanganyika Province
- Specific Objective 3: Increased linkage between WASH Water Management Committees, suppliers in Manono and larger suppliers in Lubumbashi

Concern facilitated several activities in Manono to accomplish these objectives, including: 1) creation of a short spare parts catalogue for WMCs; 2) marketing of the spare parts supply chain in villages, including the introduction of a local supplier to WMCs; 3) preparation and agreement for the Lobby Committee roles and responsibilities supporting the spare parts supply chain; 4) training a Lobby Committee on water policy and effective support to the spare parts supply chain; 5) identification and training of a local supplier in Manono; 6) training stakeholders on operations, maintenance and repair of hand pumps and 7); facilitation of monitoring and learning from the pilot.<sup>221</sup>

The local supplier in Manono selected as the private sector partner was a dealer in motorcycle spare parts named *Etablissement URSS* (URSS). In a KII, the owner/operator of URSS explained that the Consortium trained him on supply chain management, sales and marketing, and linked him to a wholesale hand pump and spare parts dealer in Lubumbashi (Africa Business).<sup>222</sup> Per project documents, the Consortium provided \$10,000 to URSS for its initial spare parts stock.<sup>223</sup> During the KII, the owner also stated they began supplying spare parts in July 2018, and were optimistic about the new business line.<sup>224</sup> URSS appeared to understand their business model, which in part requires using the sales proceeds from its initial stock for re-stocking of spare parts. In the first two weeks of operations, URSS had only sold CDF 50,000 (about US\$30) of spare parts, but the principals stated that they anticipated more sales as WMCs learn about URSS products. The primary URSS principal stated, “we are marketing spare parts on the radio, through signs, marketing events (e.g., the grand opening event), and Concern Worldwide is introducing us to water

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<sup>220</sup> “*Activités pilotes ou transversales - scale-up*” Concern Worldwide for DRC WASH Consortium, February 2018

<sup>221</sup> Ibid

<sup>222</sup> KII, Private Service Providers, Ma1021.05 Concern.DRC.DisbursementSchedule.v3.180510.AR updated for travelnono, August 8, 2018

<sup>223</sup> “*Activités pilotes ou transversales - scale-up*” Concern Worldwide for DRC WASH Consortium, February 2018

<sup>224</sup> KII, Private Service Providers, Manono, August 8, 2018

management committees. There are many hand pumps in the area, so our business should grow.”<sup>225</sup>

Figure 5: Spare Parts Dealer in Manono



The Consortium chose to subsidize the start-up of URSS spare parts supply business because “local suppliers were reluctant to enter a new business line. They also lacked working capital and could not access finance due to the absence of financial service providers in Manono”.<sup>226</sup> Despite the heavy level of subsidy and support, the pilot is an important initiative to provide proof of concept that local suppliers can profitably and sustainably supply spare parts to rural WMCs. Although URSS has not been engaged in spare parts sales long enough to draw conclusions, the pilot potentially offers a wealth of learning on the opportunities and challenges for sustainable spare parts supply in rural DRC.

## NUTRITION-SENSITIVE PROGRAMMING INTO RURAL WASH INTERVENTIONS

### Integration of nutrition-sensitive programming into rural WASH Interventions

In July 2016, Maximizing the Quality of Scaling Up Nutrition Programme (MQSUN) implemented a review of nutrition work in the DRC for UK aid to identify “what should be scaled up, scaled down, and improved”<sup>227</sup>. Review of the DRC WASH Consortium project found that “behavior change interventions promoting improved infant and young child feeding (IYCF), maternal nutrition, and hygiene fit well together and therefore are prime for joint implementation”. The report also noted that “given the importance but relative lack of attention of fecal contamination from young children and transmission of contamination through food, the MQSUN team endorses the proposal for adding Baby WASH and Food Hygiene interventions into the portfolio of the WASH Consortium as additional nutrition-sensitive efforts”. Baby WASH was chosen because “fecal contamination of play spaces and feeding of children is a constant and cumulative health risk during the critical

<sup>225</sup> Ibid

<sup>226</sup> “DRC WASH Consortium: Interim Progress Report 8 (up to end of Year 4) - 1<sup>st</sup> January - 30<sup>th</sup> June 2017” DRC WASH Consortium for DFID, September 1, 2017

<sup>227</sup> “Review of Nutrition Work in DRC WASH Programme” PATH, Maximizing the Quality of Scaling Up Nutrition Programme (MQSUN) for DFID, July 2016

period of growth and development of a child”, while Food Hygiene was selected because “most food-borne diseases can be avoided by properly handling food”.<sup>228</sup>

In response, in November 2016, as the project scaled up following approval of the expanded 2016 budget revision, the Consortium developed a plan to integrate “nutrition-sensitive” activities into rural Consortium WASH activities. This plan outlined an internal “general objective” and two internal specific “objectives”:<sup>229</sup>

- General Objective: Consortium impact on the nutritional status of small children is strengthened
- Specific objective 1: The knowledge and practice of “Baby WASH” is reinforced
- Specific objective 2: Knowledge and practice of Food Hygiene are strengthened

The methodology for integrating “nutrition-sensitive” activities focused on dissemination of key nutrition messages, designed by the CCU, to all households with children ≤ 5 years of age, primarily through the ReCos. The pilot project was planned for 18 months and covering 82 villages, nearly 30,000 people and 7,500 children under 5.<sup>230</sup> Subsequently, Consortium staff developed nine key messages (four messages related to Baby WASH and five related to Food Hygiene) and provided guidance on delivery to Consortium members, and also suggested reporting indicators for measuring impact.<sup>231</sup>

Although quantitative data for measuring impact was incomplete at the time of writing, anecdotal findings derived from fieldwork suggest that communities have retained nutrition messages disseminated as intended (though, as noted by one senior Consortium staff member, this may be partly due to the recentness of the activities or due to the fact that the nine key messages are simple, practical and relatable by local communities)<sup>232</sup>. For example, in multiple FGDs with community members, participants cited Baby WASH as amongst the “most important” messages provided by the Consortium.<sup>233</sup> Likewise, in KIIs with villages in both Kasai Central and Tanganyika, respondents described Baby WASH as amongst the important topics promoted by the project.<sup>234</sup>

## CONSORTIUM GOVERNANCE

This section provides findings and conclusions based on analysis of the appropriateness and success of Consortium governance structure. As described in the initial project proposal, a Consortium Governance Board, comprised of the Country Directors of the five Consortium member organisations, was designated to facilitate Consortium governance.<sup>235</sup> The proposal also designated a CCU to coordinate technical aspects of the project, based in Kinshasa and staffed by

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<sup>228</sup> Ibid

<sup>229</sup> “*Activités pilotes ou transversales - scale-up*” CRS for DRC WASH Consortium, November 29, 2016

<sup>230</sup> Preliminary WASH&Nut M&E data, DRC WASH Consortium.

<sup>231</sup> Nilsson, Kristina “*Intégration d’activités « sensibles à la nutrition » dans la WASH rurale*” DRC WASH Consortium, December 22, 2017

<sup>232</sup> KII, DRC WASH Consortium Staff, Kinshasa, August 21, 2018

<sup>233</sup> FGDs, Community Members, various locations, July 30–August 15, 2018

<sup>234</sup> KIIs, Community Leaders, various locations, July 30–August 15, 2018

<sup>235</sup> “*DRC WASH Consortium Programme Proposal submitted to the Department for International Development (DFID) - 1 July 2013 – 30 June 2017*” DRC WASH Consortium, October 2013

Concern Worldwide as the lead agency. CCU staff includes the Consortium Director, the M&E Manager, the Communication, Advocacy and Learning Manager, and the Finance and Compliance Manager.<sup>236</sup>

The Governance Board was originally conceived of as the key strategic body of the project. However, assessment of lessons learned related to the Consortium approach produced by DRC WASH Consortium senior staff describe that, “while the board members approve CCU recommendations at their quarterly meetings”, in practice “it is the CCU that has the overall perspective on the programme and the capacity to recommend strategic decisions”<sup>237</sup>. In addition, there is a programmes Technical Working Group (TWG) responsible for monitoring and improving the project. This TWG is comprised of the WASH Programme Managers at each Consortium member organisation, and met every three months “to review progress and determine any changes that need to be made”<sup>238</sup>. Every six months, the Consortium also organised an external technical review workshop, which included representatives of all stakeholders groups and provided an opportunity to share and debate experiences. Finally, Finance and Systems Technical Working Groups, comprised of relevant staff drawn from the five member organisations (later merged into a single group), provided oversight of these respective functions.

### **Consortium Governance – Appropriateness**

During a workshop in July 2018 with the CCU and DRC WASH Consortium members, Consortium member agency Country Representatives agreed that, “the CCU was a more adequate mechanism than the board of directors to ensure sustained leadership and the follow up of the strategy” and also stated that the Consortium “fit everyone’s strategy”.<sup>239</sup> Likewise, in KIIs with DRC WASH Consortium staff, respondents stated the “evolved” Consortium governance structure (with the CCU providing technical oversight and guidance and the Governance Board approving recommendations) was an appropriate structure for integrating administrative leadership and technical teams at the member organisations.

*“The relationship between the (governance) board and the CCU worked well. It was a good way for the administrative and technical staff to work together.” – KII, DRC WASH Consortium staff, Skype interview*

Likewise, in KIIs with Consortium staff, respondents agreed that the evolved governance structure, including the TWGs, facilitated the integration of technical staff with project management teams in various areas of operations to effectively disseminate strategies and create a cohesive implementation approach. For example, one Consortium staff member respondent stated, “we understood what other (Consortium) agencies were doing in other parts of the country,

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<sup>236</sup> “DRC Wash Consortium – Governance Agreement” DRC WASH Consortium, December 15, 2017

<sup>237</sup> Jones, Stephen, S. Longueville “Lessons Learned from a Consortium Model for Rural WASH: Experiences of the DRC WASH Consortium” Briefing Paper 2387, 39<sup>th</sup> WEDC International Conference, Kumasi, Ghana, 2016

<sup>238</sup> Jones, Stephen “Adapting the Life-Cycle Costs Approach for Rural Water Supply in DRC through the DRC WASH Consortium” Briefing Paper 2209, 38<sup>th</sup> WEDC International Conference, Loughborough University, United Kingdom, 2015

<sup>239</sup> Email correspondence, DRC WASH Consortium Staff, August 24, 2018

and we learned from their experiences”.<sup>240</sup> Another respondent described communication between the TWG and implementation teams as “very good” and “effective”.<sup>241</sup>

### **Consortium Governance – Success**

During the July workshop, Consortium member agency Country Representatives stated “the Consortium has demonstrated that you can run development programmes in DRC with good results”, however, “the context of the country is unstable, and one must factor in that emergencies will arise. Strategies must be found, also with the donor, to respond to these emergencies so that long-term results are not jeopardised”<sup>242</sup>. The Country Representatives also agreed “the Consortium has built a good reputation, (although) it is known only in a restricted circle in DRC”. As described by Consortium staff respondents in KIIs, member agency staff felt the Consortium structure was successful in generating a cohesive approach while maintaining strategic flexibility and effectively sharing lesson learned internally.<sup>243</sup>

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<sup>240</sup> KII, DRC WASH Consortium Staff, Manono, August 15, 2018

<sup>241</sup> KII, DRC WASH Consortium Staff, Kananga, August 8, 2018

<sup>242</sup> Ibid

<sup>243</sup> KIIS, KII, DRC WASH Consortium Staff, various locations, August 08-24, 2018

### 3. LESSONS LEARNED AND RECOMMENDATIONS

The following section presents lessons and recommendation for future WASH programming in the DRC and in similar contexts, as identified by the ET.

#### PROJECT RESULTS

**Demand creation activities** – An initial assumption posited by UK aid was “improving knowledge and skills relating to the delivery of WASH services through training leads to better accountability between stakeholders and empowers users to seek better quality in the delivery of that service”.<sup>244</sup> The Consortium approached this assumption through initially focusing on building experiential linkages between hygiene behavior change “knowledge and skills” and improved health outcomes through PAFI, using communities’ own resources. This approach was highly effective in creating user demand for WASH services, fostering community ownership, and likely prepared water users for the financial demands of paying for improved water services. On the other hand, many WMCs expressed the option that 18 months of sensitization and training was “too short”, and expressed the desire for an extended training period to facilitate exposure to additional practices (see 2. Findings and Conclusions, Section 2.2 Project Results, Output 1).

**Recommendation:** Implementing agencies in the WASH sector (as well as in other analogous sectors, such as agriculture and livelihoods) should consider an extended initial implementation of demand creation activities in advance of investments in community infrastructure. The period for implementing demand creation activities should be 18 months or more.

**Implementing WASH in Fragile States** – The DRC WASH Consortium project was implemented in the context of a “fragile” state. Working with government entities in weak states implies limitations on a broad range of expectations, including poor efficacy of information dissemination and leadership due to weaknesses of national entities (CNAEHA and the CPAEHAs), and the delivery of community services, due to fundamental logistics and resource constraints. As such, this context had far-reaching implications for multiple activities, outputs, and the project outcome, including community support from government entities to communities and WMCs at the micro level (BCZs, ETDs, territory administrations), coordination and planning, and knowledge management and sharing, at the meso and macro levels, and well as the project exit strategy. In this case, it is unlikely that government activities encouraged by the Consortium will continue beyond the end of the project given public resource constraints and limited technical capacity.

**Recommendation:** Implementing agencies in the WASH sector in weak states should carefully evaluate the capacity of government entities to implement activities autonomously, taking into consideration the key governance metrics of competence to disseminate information between national and local levels, and capacity to effectively implement resource transfers (funding) between agencies. While ‘coordination’ and some level of ‘capacity building’ are reasonable, where these governance competencies are absent, implementers should focus more on community-led activities and plan for termination of government activities once project funding ends, rather than depend on continued government service provision to sustain outputs and outcomes.

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<sup>244</sup> “Business Case and Intervention Summary 203445 - Increasing sustainable access to Water, Sanitation & Hygiene in the DRC” UK aid, DFID, September 2013



**Taking a Supply and Demand Approach** - The DRC WASH Consortium project was successful in creating demand for improved WASH services, especially through PAFI over the “18-months sensitization” period. On the other hand, corollary supply-side activities, especially linkage to viable service providers such as private sector spare parts dealers and supply chains, were delayed and limited in scope. In turn, this results in limitations on the sustainability of WASH and water infrastructure as communities seek to maintain their infrastructure.

**Recommendation:** In addition to demand creation activities, implementing agencies in the WASH sector should place significant emphasis on corollary supply-side activities in order to ensure viable access to spare parts and technical assistance following the end of projects.

### VALUE FOR MONEY ANALYSIS

**Lowest cost is not necessarily best value** - Although Consortium unit costs of water points and sanitation facilities were closely aligned with regional UK aid-funded WASH programme analogs (see **Section 2. Value for Money Analysis**), the overall DRC WASH Consortium initial planned cost per beneficiary number is higher than that of DRC counterpart projects (i.e., £43.21/beneficiary for the Consortium; approximately £30.33/beneficiary for UNICEF PNEVA support and; £23.82/beneficiary for the urban water supply project implemented by Mercy Corps). However, higher Consortium costs per beneficiary are driven by several factors including: 1) Consortium costs figures are actual while UNICEF and Mercy Corps figures are anticipated costs from original programme budgets; 2) Mercy Corps’ project has greater economies of scale due to its focus on urban water systems; 3) the UNICEF project did not involve the same intensity of WMC and community capacity development as the Consortium.

Data related to maintenance of Healthy Village certification, for example, indicates that the Consortium 12-step approach to achieve and maintain the seven norms resulted in enhanced sustainability compared to lower-cost UNICEF interventions. The most recent data available, for example, shows that 52% of Consortium-supported villages have maintained certification six months after initial certification is achieved.<sup>245</sup> This compares favorably with the UK aid 2018 Annual Report finding that PNEVA “villages lost status very quickly due to nonconformity with a range of Healthy Village WASH norms. In 2017, for example, only 32% of the villages where follow-up occurred had maintained or regained their status” after 24 months.<sup>246</sup> The two programmes differ significantly in the amount of time training and sensitizing villages before construction of a water point. The Consortium 12-step approach (focusing on water service “software”) is unquestionably more expensive than its PNEVA counterpart, but the degrees of backsliding suggest that UK aid investment in water service “software” may actually be more cost-effective in the long-term.

**Recommendation:** UK aid and WASH sector stakeholders should assess programme performance based upon long-term “best value” (cost of sustainable results), in addition to unit cost analyses during or shortly after implementation. Although this is stated in the UK aid V4M Approach, the difficulty of measuring long-term impact may discourage the best value approach in practice.

<sup>245</sup> “DRC WASH Consortium LogFrame Q20 - Results” DRC WASH Consortium for DFID (forthcoming)

<sup>246</sup> “Annual Review – 2018” DFID, 2018

## CROSSCUTTING THEMES

### Economic Approach

**Simplified Life-Cycle Approach** – Results related to the Consortium’s economic approach demonstrate that rural WMCs are capable of understanding and adopting at least some level of the life-cycle costing approach. Recent evidence suggests that 72% of Consortium-supported villages have achieved some level of financial self-sufficiency, with 56% able to cover basic operations and maintenance, 10% able to cover major system repairs, and 6% able to afford full water system replacement. However, formal life-cycle costing tools (i.e., spreadsheets, cost-benefit analyses, etc.) are less effective than practical tools such as ledgers and spare parts cost catalogs. Lastly, given the complexity implicit in life-cycle costing approaches (or even charging community members water user fees in DRC), adequate time and multiple trainings are necessary for sustainable financial self-sufficiency.

**Recommendation:** The life-cycle costing approach is feasible, even for WMCs in under-served rural areas. However, implementing agencies in the WASH sector should develop and deliver complicated economic concepts in easy-to-digest training modules, relying upon practical tools and training approaches to facilitate adoption of economic approaches such as life-cycle costing.

### Improved Evidence for WASH Projects

**Knowledge sharing limitations** – Implementers should not assume that sector knowledge sharing strategies result in information flow to local levels, or from local levels to national levels, through government entities. This especially true in crisis/post-crisis environments where government communication channels may not function well.

**Recommendation:** Implementing agencies in the WASH sector should establish mechanisms to transfer knowledge and learning to local levels, such as field-level learning events, newsletters and factsheets, for dissemination to local government partners.

### Gender Equity

**Gender Accommodating versus Gender Transformative** – As noted, the Consortium took several measures, such as women-only planning meetings, through which women’s perspectives were taken into account with regard to WASH-related safety. As a result, the project was able to successfully take safety into account with regard to issues such as siting of latrines and showers. Likewise, the project took proactive steps that successfully increased women’s participation in decision-making and leadership, and achieved significant representation of women in leadership positions in WMCs (32% as of Q18) (see Section 2. Findings and Conclusions, Section 2.3 Cross-Cutting Themes, Gender and Equity). However, setting indicator targets (e.g., % of WMC leaders who are female) is insufficient to achieve gender transformative results, and gendered roles and constraints remained prevalent in the project target areas.

**Recommendation:** In order to change existing social norms and power dynamics impacting gender equity, implementing agencies in the WASH sector should establish gender equity as an integrated project component. Timely completion of gender analyses highlighting constraints on women’s

participation, adequate training of staff, and project activities that address the constraints identified should also be included. Projects should decide early on the level of engagement and desired outcomes, and whether such activities are viable as components of WASH projects, or should be addressed by corollary programmes.

### **Exit Strategy**

**Identifying Realistic Post-Project Support Sources** – The DRC WASH Consortium exit strategy is predicated upon three pillars: 1) community-managed WASH service delivery; 2) ability of local government actors to support WASH services and; 3) a functional service provider eco-system, primarily driven by private sector service providers (see section 2. Findings and Conclusions, Section 2.3 Cross-Cutting Themes, Exit Strategy). However, implementing partners and donors need make a realistic assessment of the capacity of government agencies to support, and eventually assume, support for WASH service delivery. This includes realistic assessments of fiscal resources at the local level to carry out technical service and monitoring activities (e.g., funding for fuel, motorcycles, telecommunications, etc.). Likewise, an accurate (and early) assessment of service provider capability and interest in serving the rural WASH sector is essential to inform activities designed to catalyze third-party service provision. In addition, strengthening of local stakeholders, whether government, private sector, or civil society organisations, needs to be pursued in parallel with sanitation and hygiene promotion and WMC development activities, and with adequate scale and project budget.

**Recommendation:** Implementing agencies should undertake a realistic evaluation of government agency capacity to determine where their support is viable. If these entities are included in an exit strategy, local government and service provider capacity strengthening activities should start early and be accompanied by dedicated output and outcome targets, qualified staff, and sufficient budgets.

### **PILOT PROJECTS**

**Resourcing for Pilot Projects** – Key lessons from DRC WASH Consortium “proof of concept” pilots include: 1) inadequate pilot scale and scope constrain the efficacy of proving or dis-proving the underlying hypotheses of the pilot; 2) pilots occurring late in a project are not likely to inform implementation or adjustments to project approaches and activities; 3) more complex and relevant themes (e.g., supply chain development) should be part of core programme activities and; 4) pressure to achieve principal output targets and comply with reporting requirements lower the priority of developing and implementing pilots. Although pilots by definition are small scale, pilot size and duration should be adequate to robustly test concepts being piloted. An example of lesson 2 is the Private Service Provider pilot. While the need and objective of the Private Service Provider pilot is sound, the private spare parts supplier tasked with stocking spare parts only began this line of business in July 2018, nine months before programme closure. The ETD-capacity building pilot was similarly implemented late in the Consortium project, with capacity diagnostics having been completed only in February 2018.

**Recommendations:** Implementers should design “proof of concept” pilots with adequate scale and scope to ensure robust testing of underlying assumptions and hypotheses. Implementers should also launch pilots early in project implementation to allow changes in approaches and activities

stemming from pilot learnings. Lastly, implementers and donors need to account for adequate staffing levels and budgets to truly test pilot concepts.

### **CONSORTIUM GOVERNANCE**

**Coordinating administrative and technical oversight in a WASH Consortium** – Consortium member staff agreed that the “evolved” structure of the DRC WASH Consortium, with the CCU providing technical oversight and guidance and the Governance Board, comprised of Country representatives, approving recommendations, was an appropriate structure for integrating administrative leadership and technical teams at the member agencies (see **Section 2.5. Consortium Governance**).

**Recommendation:** Future WASH consortia should consider the “evolved” DRC WASH Consortium model for coordinating an administrative governance oversight structure and a strong technical project oversight unit led by a technical coordinating committee in order to facilitate effective project implementation.

# ANNEX A: TERMS OF REFERENCE



## Call for Proposals:

### **Consultancy for the final evaluation of the DRC WASH Consortium's project for sustainable water, hygiene and sanitation services in rural areas in the Democratic Republic of the Congo (DRC)**

#### Background

Concern Worldwide in the Democratic Republic of Congo (DRC), as the agency responsible for leading the DRC WASH Consortium, is seeking a Consultant or consultancy firm to conduct the final evaluation of the Consortium project. The evaluation should serve the purposes of learning for the Consortium, UK aid, and the WASH sector more broadly, and accountability to external stakeholders.

The DRC WASH Consortium was established in July 2013, with the objective of providing sustainable access to water, hygiene and sanitation in over 600 villages in rural DRC. Funded by UK aid, the Consortium is comprised of five international NGOs: Concern Worldwide as lead agency, ACF, ACTED, CRS and Solidarités International. The Consortium project interventions, now in their final year, are currently implemented in two provinces, Central Kasai and Tanganyika. More information is available at: [www.consortiumwashrdc.net](http://www.consortiumwashrdc.net).

#### Overview of the evaluation

The overall purpose of the assignment is to evaluate the success of the project in delivering on the terms outlined in the project logical framework, in the broader framework of UK aid WASH business case in DRC 203445.<sup>247</sup>

A Value for Money analysis will provide insight into the quantity and quality of the project results, comparing with appropriate reference benchmarks. As a project mandated with a particular additional focus on learning for the sector, the process should also evaluate the success of small-scale pilot projects undertaken as part of the larger project. Additional evaluation of cross-cutting project themes and of the governance of the Consortium will provide a complementary broader assessment of the design, execution, and management of the project.

Overall, the evaluation should emphasize the valued added -if any- by the Consortium to the WASH landscape in DRC and beyond, and any key lessons WASH sector actors may draw from the Consortium experience in rural WASH in DRC.

#### Detailed assignment

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<sup>247</sup> <https://devtracker.dfid.gov.uk/projects/GB-1-203445/documents>

## Evaluation of project results (approx. 35% of workload)

Based on the OECD-DAC criteria of relevance, effectiveness, efficiency, impact, and sustainability<sup>248</sup>, the Consultant will evaluate progress against the outcomes and outputs of the Consortium as outlined in the project's logframe:

- IMPACT: Improved health and productivity through reduced morbidity and mortality resulting from water-related diseases in rural communities in the DRC.
- OUTCOME: Sustainable and integrated environmental and household health and sanitation which is adopted and managed by communities and integrated with local governance and service provision institutions
- OUTPUT 1: Individuals demonstrate knowledge of the economic, social, health and environmental advantages of improved water, sanitation and hygiene for their communities at community and household level
- OUTPUT 2: Functioning governance institutions and service providers with increased capacity engage in WASH provision at the micro level
- OUTPUT 3: Representative, accountable and responsive Community Committees are established by community members
- OUTPUT 4: Communities have sustained and improved access to and availability of potable water
- OUTPUT 5: Communities have improved and sustained access to sanitation facilities
- OUTPUT 6: Increased coordination, participation and planning at the macro, meso and micro levels between Consortium members and governance structures, service providers and other stakeholders in the WASH sector
- OUTPUT 7: The Consortium produces and disseminates evidence for sustainable, community based solutions to WASH needs in the DRC

Within the OECD-DAC framework, the Consultant will put special emphasis on the questions: “Are the results sustainable? (Will the outputs and outcomes lead to benefits beyond the life of the existing project?)”; and “How might we do things better in the future? (Which findings may have relevance for future programming or for other similar initiatives elsewhere?).”

## Value for Money analysis (25%)

Based on UK aid's Value for Money Framework (VfM)<sup>249</sup> of economy, efficiency, effectiveness, and cost-effectiveness, the Consultant will carry out a fine-tuned analysis of the Consortium financial and operational performance and will assess the full extent to which the project represents good VfM in relation to the quality and quantity of the expected and achieved results. The Consultant will focus particularly on Efficiency and Effectiveness. The Consultant will use similar projects in DRC and in other countries as VfM benchmarks, or other internationally recognized benchmarks, as appropriate.

## Evaluation of cross-cutting themes (20%)

The Consultant will evaluate the success of the project also according to the following cross-cutting aspects included in the project outline:

- The “economic approach” of the Consortium, i.e. the simplified version of the Life-Cycle Costs Approach that the Consortium has developed and mainstreamed across all of its intervention areas and that is at the core of the Consortium;<sup>250</sup>

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<sup>248</sup> <http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

<sup>249</sup> <https://www.gov.uk/government/publications/UK-Aids-approach-to-value-for-money-vfm>

<sup>250</sup> <https://consortiumwashrdc.net/wp-content/uploads/2014/09/note-de-synthese-lapproche-economique-du-consortium-wash-rdc.pdf>

- The improved evidence base for WASH projects at the DRC level the Consortium has provided, particularly regarding the relations with and influence on the “National Programme Healthy Schools and Villages” and the contributions to sectoral sharing and learning;
- Other themes are: consistent and effective monitoring and evaluation framework; considerations of gender and equity to inform project implementation; work towards an exit strategy to foster sustainability of results; and accountability to all types of project participants.

## Evaluation of pilot projects (10%)

Based on the OECD-DAC criteria as indicated above, the Consultant will evaluate the success of small-scale pilot projects carried out as part of the Consortium overall project:

- Integrated emergency preparedness and response to cholera;
- Development of a knowledge management and learning network at provincial level;
- Development of capacity of local governments to plan and manage WASH investments;
- Development of approaches to support user voice and accountability with service providers;
- Support to development of local private sector (supply chains of hand pump spare parts);
- Integration of nutrition-sensitive programming into rural WASH interventions.

By the time the assignment takes place, those pilot projects will be mostly completed and key data about their scope and results will be available to the Consultant.

## Evaluation of Consortium governance (10%)

Concern leads the Consortium through management and governance mechanisms such as the Coordination Unit, the Governance Board and Technical Working Groups. A Governance Agreement stipulates the roles and responsibilities of all Consortium agencies and governance bodies, and Sub-grant Agreements stipulate the financial relations between each agency and the lead agency. The Consultant will analyze this governance structure and evaluate its appropriateness and success.

## Methodology

The evaluation will be completed no later than the third quarter of 2018. The preferred indicative start date is 1<sup>st</sup> June 2018.

The detailed methodology for the evaluation will be developed by the Consultant and approved by Concern Worldwide as part of the assignment deliverables. The methodology must uphold UK aid’s ethical principles for research and evaluation<sup>251</sup>.

At a minimum, the evaluation should draw on:

- Existing data available, including quantitative data collected by the Consortium itself as part of baseline, endline, and post-endline M&E surveys; financial information to support the VfM analysis; and qualitative information included in reports, studies and publications by the Consortium;
- Interviews, workshops, focus group discussions with key stakeholders in Kinshasa (predominantly qualitative);
- Interviews, workshops, focus group discussions with key stakeholders, potentially in our two provinces of intervention (Tanganyika and Kasai Central). These should include the views of direct project participants (men and women). It is anticipated that this part of the evaluation will be predominantly qualitative; however,

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<sup>251</sup> <https://www.gov.uk/government/publications/dfid-ethics-principles-for-research-and-evaluation>

the Consultant may propose to collect additional quantitative data if necessary in addition to the data already available.

## Deliverables

The expected deliverables of the assignment include:

- Inception report, including detailed methodology and schedule of the evaluation (5-10 pages excluding annexes);
- Intermediate report, including provisional findings and proposed outline of final report (10-15 pages excluding annexes);
- Final report as per approved outline (20-40 pages excluding annexes);
- Oral presentation of the evaluation findings and recommendations to the Board of the Consortium and/or to UK aid, in DRC (in English);
- Presentation of the evaluation findings and recommendations through one or two 1-hour webinars (one in English, one potentially in French) co-hosted by Concern Worldwide and addressed to Concern Worldwide DRC and/or Head Office personnel.

**Note:** All reports should be written in English, with their executive summaries in English and French. However, evaluation work will mostly be undertaken in French. The dissemination of the recommendations of the final report will be the responsibility of Concern Worldwide.

## Selection requirements

Individual Consultants as well as consultancy firms are invited to apply.

Essential:

- Competence in a broad range of qualitative and quantitative research methods;
- Sound experience in Value for Money analysis;
- Experience in evaluating WASH development projects in Sub-Saharan Africa;
- Experience in evaluating UK aid-funded projects or projects;
- Excellent written English and ease with French as working language;
- Ability to carry out fieldwork in remote locations of DRC;
- Adaptability in dealing with practical constraints that may affect established workplans;
- A highest degree of work ethics, cultural sensitivity and respect for all parties involved in the evaluation.

Desirable:

- Experience in writing reports in French;
- Familiarity with OECD/DAC evaluation framework;
- Experience in DRC.

## Instructions to bidders

Please submit your offer by 12<sup>th</sup> March 2018 to [emily.bradley@concern.net](mailto:emily.bradley@concern.net).

The proposal should contain a technical offer and a financial offer:

- Technical offer, 20 pages max:
  - Company profile if applicable (history of the organisation, list of assignments recently completed in the domain; any other information as appropriate);



- Up to date CV at least of the lead Consultant, explaining how they meet the required profile;
- Technical proposition detailing proposed methodology, schedule including period of availability and resources (approximately 11-13 calendar weeks of work are anticipated from start to end of the assignment, inclusive of fieldwork in DRC and remote work);
- At least one example report from similar work, which demonstrates evidence of the skills and experience required.
- Financial offer, 3 pages max:
  - Detailed list of all expenses expected to be incurred by the Consultant, including all cost-items and daily rates;
  - The detailed list of all expenses will specify cost item descriptions, number of units, unit costs and total costs, and will as much as possible avoid lump sums;
  - The financial offer will be submitted in Euro by using the template below.

Activity	Quantity	Unit	Duration	Unit	Unit price (€)	Total price (€)
Lead consultant fees in DRC (incl. all costs)						
Lead Consultant fees, remote work						
Junior consultant fees in DRC (incl. all costs)						
Junior consultant fees, remote work						
International flights						
Domestic flights in DRC						
Transport by road in DRC						
Visa costs						
<b>TOTAL GENERAL (€)</b>						
<p><u>Note 1:</u> The bidder can introduce changes, deletions or additions to this budget template, in line with the proposed methodology and implementation schedule.</p> <p><u>Note 2:</u> “Consultant fees in DRC” refer to the days spent in DRC and shall be inclusive of <u>all</u> costs, such as living, accommodation, insurance, etc. “Consultant fees, remote” refer to the days of remote work if applicable, e.g. for completion of final report. Concern Worldwide may be able to provide accommodation in own premises in DRC, except in Kinshasa, however this can’t be guaranteed in advance in all cases.</p> <p><u>Note 3:</u> Due to geographical distances, most project sites are reached by plane and not by road. Field visits to project sites typically require at the very least a week per site including travel time (e.g. 2-4 days travel plus 3-5 days at or near the project site). There is a considerable risk of delays or cancellations of flights due to the limited flight options available. <u>Airline tickets for domestic flights in DRC (and if applicable, international) will be provided directly by Concern Worldwide. Therefore air transport should be detailed in the financial offer but should not be priced.</u></p>						

For all queries, please contact [emily.bradley@concern.net](mailto:emily.bradley@concern.net) no later than 7<sup>th</sup> March 2018.

## ANNEX B: EVALUATION TEAM

**David Rinck – Team Leader:** Mr. Rinck is an Agricultural Economist with over 20 years of leadership experience in development programming and M&E, with technical specializations in agriculture and agro-enterprise development, value chain assessment, market systems, economic policy analysis, food security, and advocacy. He has led over 15 evaluations for the United States Department for International AID (USAID), including: the Final Evaluation of the USAID AquaFish Innovation Lab funded by the USAID Bureau for Food Security, for Mendez England and Associates (ME&A); the Performance Evaluation of the Solutions for African Food Enterprises (SAFE) programme; the Final Evaluation of the Supporting Opportunities for Livelihoods Development Activity (SOLID) in Sri Lanka; etc.

Mr. Rinck's experience includes five years at the USAID East Africa Regional Mission, where he was responsible for providing technical support to U.S. Government-funded agricultural development and assistance programmes across Eastern and Southern Africa. In this role he also developed and managed new initiatives, including the Alliance for Commodity Trade in Eastern and Southern Africa (ACTESA), a specialized agency for agricultural market systems development under the Common Market for Eastern and Southern Africa (COMESA) regional trade zone, and the Market Linkages Initiative (MLI) to improve systems for staple crops in Central and Southern Africa.

Between 2001-6, he served as Regional Technical Adviser for Agro-Enterprise Development in Eastern and Southern Africa for Catholic Relief Services (CRS), where he represented the agency in an Agro-Enterprise Learning Alliance with the *Centro Internacional de Agricultura Tropical* (CIAT) to develop smallholder market systems. He was also the Market Systems Recovery Expert at the Business Development (BDS) Seminars implemented by the International Labour Organisation (ILO) between 2003 and 2008. His publications include *“Implementing Sustainable Private Sector Development: Relief to Development in Crisis-Affected Economies”* ILO BDS Reader, September 2006 and *“Market Development in Crisis-Affected Environments: Emerging Lessons for Achieving Pro-Poor Economic Reconstruction”* Small Enterprise Education and Promotion Network (SEEP), 2007. David holds a Master's Degree in Social Sciences from the University of Chicago, and a degree in Agricultural Economics from the University of California at Davis. He has also studied economics, languages and sociology at many locations worldwide, including Beijing University, as well as in the Middle East at Damascus, Beirut, and Sana'a. He speaks English, French, Portuguese and Spanish.

**Bryan Rhodes – Sustainable WASH Services Technical Expert:** Mr. Rhodes is a development economist with over 15 years of experience designing and evaluating the implementation of market solutions to development challenges. His technical specializations include sustainable WASH service delivery, including promotion and training on Life-Cycle Costing approaches for rural water management committees. Bryan was the lead analyst on a four-country (El Salvador, Guatemala, Honduras, Nicaragua) market and financial feasibility study for sustainable rural water services. This study presented evidence that rural communities are not only willing to pay for quality water services but have the financial wherewithal to do so. Based upon the findings from this service, Bryan designed a US\$10 million water finance and technical assistance facility – Azure, funded by the Inter-American Development Bank with operations beginning in 2017. Azure is a US\$10 million blended finance facility that combines a water service investment fund with a for-profit technical services company in El Salvador. The Inter-American Development Bank, CRS and

social impact investors fund Azure and Azure Technical Services Company is owned and managed by Absolute Options principals and local partners (see: <http://www.azure-h2o.com/en>). Bryan has also designed and evaluated WASH projects in over a dozen countries including Haiti, Bangladesh, DRC, Tanzania, Uganda, Ethiopia, and Timor Leste.

Bryan uses analytical tools and methodologies developed during a ten-year career advising Fortune 500 companies and investment groups such as Bank of America, Deutsche Bank, Disney Co., the Howard Hughes Company, MGM/Mirage, the Pritzker Group (Hyatt Hotels) and the Carlyle Group. After graduating from the University of California in Los Angeles (UCLA) with a Master's Degree in Political Economy, Bryan spent five years in Afghanistan leading USAID-funded agribusiness and small and medium enterprise development projects. His publications include: S. Jones, C. Barasa, and B. Rhodes *"Analyzing and Supporting Spare Parts and Maintenance Supply chains for Handpumps in Rural DRC"* 38th WEDC International Conference, Loughborough University, February 2015 and B. Rhodes, D. Rinck, and P. Hicks *"Financing Water Service Improvement"* WASH 2014, March 2014. He graduated with high honors from UC Santa Barbara with a Bachelor's Degree in Economics and Political Science. His development experience includes South and Central Asia, Latin America, North Africa and Sub-Saharan Africa. He is fluent in English and Spanish and speaks basic French.

**Antoine Mushagalusha Ciza - Local Project Evaluation Expert:** Antoine Ciza is a researcher at Research Initiatives for Social Development, (RISD) based in Bukavu, DRC. His specialization is the use of research as a tool for building peace and fostering sustainable development. Since 2013, he has been an expert on political and economic issues related to regional coffee, soybean, bean, and minerals supply chains. He is also expert in gender analysis, good governance related to natural resources, and monitoring and evaluation of development projects. Drawing from his peace-building experience and monitoring and evaluation skills, Antoine has developed expertise in the evaluation of community organization good governance.

Additionally, Antoine is a Legal Monitor at the Judicial Monitoring Center within the Research Center for Conflict Management in the Great Lakes Region (CEGEC). He has also served as an expert advisor in peace building and conflict prevention for the Faculty of Law of the Catholic University of Bukavu (UCB) and he has worked for the Eastern Congo Initiatives (ECI), the Hague Institute for Global Justice, and Adam Smith International. Previously, he served as an advisor to the Protection and Security of Human Rights Defenders. Antoine holds a degree (Master 1 or BAC + 5) in Law from UCB and is a lawyer at the Bar of Bukavu in DRC, where he works to defend local communities and farmer cooperatives. He speaks French, English, Swahili, Mashi, Kihavu, Fuliru, and Italian.

## ANNEX C: CITATIONS AND REFERENCES

### DRC WASH Consortium Documents and Publications

*“Accountable Grant Arrangement between the Government of Great Britain and Northern Ireland through the Department for International Development (“DIFID”) and Concern Worldwide (UK) – “The Partner” together called “the Participants”* DFID, October 2017

*“Accountable Grant Arrangements for the Support to the Water, Sanitation and Hygiene (WASH) Consortium of International Non-Governmental Organisations in the Democratic Republic of Congo (DRC), Component Code [203445-104], Purchase Order [40071322]”* DFID, July 1, 2013

*“Activités pilotes ou transversales - scale-up”* Concern Worldwide for DRC WASH Consortium, February 2018

*“Activités pilotes ou transversales - scale-up”* CRS for DRC WASH Consortium, November 29, 2016

*“Annual Review – 2018”* DFID, 2018

*“Atelier de formation et planification pour préparer les interventions 2015-17 dans le Kasai Central (Kananga-Dibaya, le 8-15 octobre 2015)”* DRC WASH Consortium, 2015

*“Atelier/formation système de gestion des données M&E - Kinshasa, 6 et 7 avril 2017”* DRC WASH Consortium, October 4, 2017

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# ANNEX D: EVALUATION TOOLS

**KEY INFORMANT INTERVIEW GUIDE**  
**Stakeholder Group 1: Institutional Stakeholders**  
**Final Evaluation**  
**DRC WASH Consortium**  
**Concern Worldwide**  
**June–August 2018**

## **BACKGROUND**

1. Name and position:
2. Agency or institution:
3. What is role of your office, agency or institution?
4. Describe your interaction with the DRC WASH Consortium (types of activities, trainings, events, partnership, etc.).

## **IMPACT**

5. What elements of the programme had the greatest impact on improved WASH outcomes? Why?
6. What elements of the programme had the least impact on improved WASH outcomes? Why?
7. To what degree was the programme successful in achieving its target outcome of “Sustainable and integrated environmental and household health and sanitation adopted and managed by communities and integrated with local governance and service provision institutions”.
8. Describe any capacity building initiatives for your agency conducted by the programme. Were these initiatives successful? Why or why not? What specific capacities were developed?

## **GENERAL/CROSS-CUTTING**

9. Describe DRC WASH Consortium efforts to coordinate with your agency. Were programme activities and initiatives effectively coordinated with your agency or institution? How could coordination have been improved?
10. Describe your agencies participation in learning events facilitated by the programme (round table discussions, sector meetings, research presentations, etc.). Which did you find most useful? Least useful? How would you rate the programme’s efforts to share information, lessons learned, etc.?
11. To what degree was the programme successful in reaching and impacting women and girls? What could have been improved?

12. Which elements of the programme are mostly likely to continue without DRC WASH Consortium support (WMCs, service providers, improved WASH behaviors, etc.)?
13. Which elements of the programme are least likely to continue without DRC WASH Consortium support?
14. Are you familiar with any of the following small-scale pilots facilitated by the DRC WASH Consortium?
  - a. Integrated emergency preparedness and response to cholera;
  - b. Development of a knowledge management and learning network at the provincial level;
  - c. Development of capacity of local governments to plan and manage WASH investments;
  - d. Development of approaches to support user voice and accountability with service providers;
  - e. Development of a local private sector for spare parts and repairs;
  - f. Integration of nutrition-sensitive programming into rural WASH interventions.

For the pilots you are familiar with, describe the strengths and weakness of each.

**KEY INFORMANT INTERVIEW GUIDE**  
**Stakeholder Group 2: Private Service Providers**  
**Final Evaluation**  
**DRC WASH Consortium**  
**Concern Worldwide**  
**June–August 2018**

**BACKGROUND**

1. Name of company/organisation:
2. Location/geographic coverage:
3. Date established:
4. Annual revenue or number of employees:

**BUSINESS MODEL**

5. What services or goods do you provide?
6. Who are your primary clients (Water Management Committees (WMCs), NGOs, local government, etc.)?
7. Describe how you are paid for your services (pricing, terms).
8. How do you reach remote communities and villages?
9. How do you ensure quality of goods/services provided?
10. Have you provided services to WMCs?
11. Describe any challenges in doing business with WMCs,

**DRC WASH CONSORTIUM PROGRAMME INTERACTION**

12. How have you engaged with the DRC WASH Consortium (training, service contracts, etc.)
13. Describe any trainings or capacity building activities provided by the programme.
14. Which (if any) were most useful? Least useful?
15. What additional support could have been provided by the programme to improve your business and quality of service delivery?

**SUSTAINABILITY**

16. What is your overall outlook for business going forward?
17. Will you likely to provide services in current locations without the support of DRC WASH Consortium?
18. What is the likelihood that your clients will continue to use your services, including their ability to pay for your services in the future?
19. What is the biggest risk to your business/continued provision of services?





**FOCUS GROUP DISCUSSION GUIDE**  
**Stakeholder Group 1: WASH Management Committees**  
**Final Evaluation**  
**DRC WASH Consortium**  
**Concern Worldwide**  
**June–August 2018**

**BACKGROUND**

1. Community Name/Province:
2. Estimated number of households in community:
3. Date committee founded:
4. Number of committee members (male/female):
5. Number of households served by committee:
6. Describe your participation with the DRC WASH Consortium programme (projects, activities, etc.).

**IMPACT**

7. Describe the WASH situation in your village before participation in the DRC WASH Consortium programme.
8. Describe the WASH situation in your village after participation in the DRC WASH Consortium programme.
9. Has the prevalence of water-related illness declined since engaging with the programme? Why or why not.

**OUTCOME**

10. To what extent have households adopted WASH behaviors promoted by the programme?
11. Why have some households not adopted improved WASH practices (constraints, barriers, access, etc.)?

**OUTPUT 1**

12. What are the benefits of improved WASH infrastructure and practices (economic, social, health, and environmental)?

**OUTPUT 2**

13. Which local government entity do you coordinate with most frequently?
14. Describe the quality of support of the government entity and if the quality of services has changed since programme activities/initiatives began?
15. Are private service providers (maintenance, repairs, spare parts providers, etc.) available to you?
16. Describe the type and quality of service from private service providers.

### **OUTPUT 3**

17. Explain how your committee is organised (positions, length of terms, frequency of meetings).
18. Does your committee have a constitution or other type of governance document? Describe.
19. Is your committee formally registered?
20. How are committee members selected? How frequently?
21. How often do you meet formally with community members?
22. How do community members voice concerns related to WASH services provided by your committee?

### **OUTPUT 4/OUTPUT 5**

23. Describe potable water and sanitation services managed by your committee, including challenges.
24. Do you charge community members for water usage and/or access to sanitation facilities? How are fees established and what is the mechanism for collecting user fees?
25. Do user fees cover the cost of maintenance, operations, and repairs? System replacement?
26. How does your committee manage fees collected (where and how money is stored, policies for procurement/disbursement, etc.)
27. Do you have a budget? How is it managed?

### **OUTPUT 6**

28. What other agencies, government offices, and NGOs besides DRC WASH Consortium are involved in improving/managing WASH services? How do these agencies work together (how are activities coordinated)?

### **OUTPUT 7**

29. Describe the type of information you received from the DRC WASH Consortium programme?

### **GENERAL/CROSS-CUTTING**

30. How do you ensure equitable representation in the committee (especially participation of women)?
31. What was the most useful element of your interaction with the programme? Least useful?
32. What could be improved in future initiatives to improve WASH services in your community?



**FOCUS GROUP DISCUSSION GUIDE**  
**Stakeholder Group 2: Community Members/Service Users**  
**Final Evaluation**  
**DRC WASH Consortium**  
**Concern Worldwide**  
**June–August 2018**

**BACKGROUND**

1. Name of community/village:
2. How many households are in your village?
3. Describe the WASH services in your community/village.
4. Who provides these services?

**IMPACT**

5. Describe water, sanitation, and hygiene conditions at the community-level prior to the start of DRC WASH Consortium activities?
6. Have these conditions changed? How?
7. Has the prevalence of water-related illnesses declined since your interaction with the DRC WASH Consortium programme?
8. Describe your interaction with the DRC WASH Consortium programme?
9. What did you learn from interacting with the DRC WASH Consortium programme?
10. What changed (if anything) within your household (hand washing, water collection, latrine installation and use, etc.)?

**GENERAL/CROSS-CUTTING**

11. Describe the quality of WASH services in your community?
12. How has the quality of services changed since DRC WASH Consortium programme activities began?
13. Do you pay for using these services? At what price? How are fees for WASH services collected (frequency, payment method)?
14. Describe the effectiveness of your WASH Management Committee.
15. Do you feel that your WMC listens to your concerns/input?
16. How do community members hold the WMC accountable for the provision and management of WASH?
17. What element or activity by the programme was most useful? Least useful?
18. How could have DRC WASH Consortium activities and initiatives been improved/more effective?

## ANNEX E: CONTACT LIST

Table 10: Key Informant Interviews

Date	Name	Organisation	Title
<b>DRC WASH Consortium Staff</b>			
July 27	Gian Melloni	Concern Worldwide	Director, DRC WASH Consortium
July 27	Kristina Nilsson	Concern Worldwide	M&E Manager, DRC WASH Consortium
July 27	Maria Livia De Rubeis	Concern Worldwide	Communication, Advocacy, Learning Manager, DRC WASH Consortium
July 27	Fabarka Soro	Concern Worldwide	Finance and Compliance Manager, DRC WASH Consortium
Aug. 1	Aime Chimani Uka	CRS	Expert (Water Analysis)
Aug. 2	Gatero Mishombieng	CRS	Supervisor (Regional)
Aug. 2	Leon Bakua-Odia	CRS	Supervisor (WASH)
Aug. 3	Thierry Tshibusu	CRS	Project Manager (MEAL)
Aug. 3	Damas Biango	CRS	WASH Technician
Aug. 8	Christian Katambwa	Concern Worldwide	Supervisor (WASH)
Aug. 10	Oliver Hughes	CRS	Head of Programmes - Eastern Congo
Aug. 15	Isidore Ndala Kiyana	Concern Worldwide	Hygiene Promoter
Aug. 15	Donpepe Mbamba	Concern Worldwide	WASH Project Manager
Aug. 15	Julien Lescop	Concern Worldwide	Base Manager (Manono)
Aug. 24	Katherine Overcamp	CRS	Head of Programming
Aug. 24	Lydia Bantange	CRS	Grants/Compliance Officer
<b>Institutional Stakeholders and Community Leaders</b>			
July 31	Mfuamba Matanda	Mfuamba Centre	Village chief
Aug. 1	Kabundula Ilunga	Bele	Village chief
July 31	Fortunat Mukeba Ilunga	Health Zone	Animator (WASH)
Aug. 2	Léon Bakua-Odia	Health Zone	Animator (WASH)
Aug. 8	Justin Batangagi Useni	Territory Admin.	Territory Administrator (Manono)
Aug. 8	Dr. Albert Kij	BCZ	Chief Medical Officer
Aug. 10	John Umba Tchikala	Territory Admin.	Sector Administrator (Kyofwe)
Aug. 10	Aaron Banza Wa Mukalay	Sector Admin.	Sector Chief
Aug. 10	Lisabwe Ngerea	Sector Admin.	Sector Chief
Aug. 10	Mikerinos Nkumwimba	Civil Society	President
Aug. 10	Mukalay Linende	Kisiko	Village chief
Aug. 10	Raymond Ilunga	Kisiko	<i>Chef de terre (Kisiko)</i>
Aug. 10	Brigitte Ngoy Nkulu	Kisiko	ReCo
Aug. 10	Honoré Nkulu	Kimungu	Village chief
Aug. 11	Kizabi Wa Kabila	Panda Njia	Village chief
Aug. 13	Kasongo Mwanabute Yali	Sector Admin.	Sector Chief
Aug. 13	Jean-Claude Kalundu	Health Zone	Supervisor
Aug. 13	Dr. Alain Kayembe	Health Zone	Chief Medical Officer
Aug. 14	Christophe Kisimba	Muyela	<i>Chef de Groupement (Muyela)</i>
Aug. 21	Dr. Berthe Banzua	Ministry of Health	Director PNEVA
Aug. 21	Jean Jacques Deyabanza	Comm. Focal Pt.	PNEVA
Aug. 22	Peter Howson	Livelihoods Advisor	UK aid / DFID

Date	Name	Organisation	Title
Aug. 22	Maguy Makusudi	Deputy PM-WASH	UK aid / DFID
Aug. 23	Nick Rice Chudeau	UNICEF	WASH Programme Manager
Aug. 23	Paulin Kalonji	UNICEF	WASH Specialist
<b>Private Service Providers</b>			
Aug. 2	Mado Mudimwenga	CIM	Catholic sister
Aug. 8	Jean-Jacques Nkomedja	<i>Etablissement URRS</i>	Owner operator
Aug. 8	Joseph Konde Ilunga	<i>Etablissement URRS</i>	Owner operator

Table 11: Focus Group Discussions

Date	Province	Health Zone	Site	Respondents
July 31	Kasai Central	Dibaya	Mfuamba Centre	WASH Management Committee
July 31	Kasai Central	Dibaya	Mpoyi Mesu	WASH Management Committee
July 31	Kasai Central	Dibaya	Mpoyi Mesu	Community members/service users
July 31	Kasai Central	Dibaya	Tshimbulu	CRS field staff
Aug. 1	Kasai Central	Lubondaie	Bushila	WASH Management Committee
Aug. 1	Kasai Central	Lubondaie	Nkashama	WASH Management Committee
Aug. 1	Kasai Central	Lubondaie	Nkashama	Community members/service users
Aug. 1	Kasai Central	Lubondaie	Bele	WASH Management Committee
Aug. 1	Kasai Central	Lubondaie	Bele	Community members/service users
Aug. 1	Kasai Central	Lubondaie	Bulanda	WASH Management Committee
Aug. 1	Kasai Central	Lubondaie	Tshinkunku	WASH Management Committee
Aug. 1	Kasai Central	Lubondaie	Nkuluanda	WASH Management Committee
Aug. 1	Kasai Central	Lubondaie	Nkuluanda	Community members/service users
Aug. 2	Kasai Central	Dibaya	Lubala	WASH Management Committee
Aug. 2	Kasai Central	Dibaya	Lubala	Community members/service users
Aug. 2	Kasai Central	Dibaya	Tshiabala	WASH Management Committee
Aug. 2	Kasai Central	Dibaya	Tshiabala	Community members/service users
Aug. 8	Tanganyika	Manono	Manono	<i>Amides de Paysans</i> staff
Aug. 10	Tanganyika	Ankoro	Kisiko	WASH Management Committee
Aug. 10	Tanganyika	Ankoro	Kisiko	Community members/service users
Aug. 10	Tanganyika	Ankoro	Kimungu	WASH Management Committee
Aug. 10	Tanganyika	Ankoro	Kimungu	Community members/service users
Aug. 10	Tanganyika	Ankoro	Panda Njia	WASH Management Committee
Aug. 13	Tanganyika	Kiyambi	Mwika Mpweto	WASH Management Committee
Aug. 13	Tanganyika	Kiyambi	Mwika Mpweto	Community members/service users
Aug. 14	Tanganyika	Kiyambi	Bikangu	WASH Management Committee
Aug. 14	Tanganyika	Kiyambi	Bikangu	Community members/service users
Aug. 15	Tanganyika	Manono	Manono	Concern Worldwide field staff
Aug. 15	Tanganyika	Manono	Katolo	WASH Management Committee
Aug. 15	Tanganyika	Manono	Katolo	Community members/service users
Aug. 15	Tanganyika	Manono	Katenta	WASH Management Committee
Aug. 15	Tanganyika	Manono	Katenta	Community members/service users
Aug. 15	Tanganyika	Manono	Kamenshi	WASH Management Committee
Aug. 15	Tanganyika	Manono	Kamenshi	Community members/service users





## ANNEX F: INDICATOR TARGET ANALYSIS

Table 12: Comprehensive Indicator Target Analyses

Impact Ind. 1	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	As of Dec-17
		<b>Planned (Target)</b>					
		Male	7%	7%	7%	7%	
		Female	7%	7%	7%	7%	
		Children < 5:	12%	12%	12%	12%	
		<b>Achieved</b>					
		Male	10%	11%	10%	12%	-5%
		Female	10%	11%	11%	12%	-5%
		Children < 5:	14%	16%	16%	17%	-5%

Outcome Ind. 1	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	As of Dec-17
		<b>Planned (Target)</b>					
		Residents	112,393	142,698	181,662	229,284	
		%	60%	60%	60%	60%	
		Of Total	187,322	237,831	302,770	382,140	
		<b>Achieved</b>					
		Residents	205,627	237,189	277,655	364,435	135,151
		%	71%	69%	69%	69%	9%
		Of Total	289,615	343,752	402,398	528,166	146,026

Outcome Ind. 2	Target		Q14	Q16	Q18	Q20	Difference
			Dec-16	Jun-17	Dec-17	Jun-18	
		<b>Planned (Target)</b>					<b>Planned (Target)</b>
		Villages	52	90	138	189	
		%	50%	50%	50%	50%	
		Of Total	103	181	275	378	
		<b>Achieved</b>					<b>Achieved</b>
		Villages	n/a	56	96	167	n/a
		%	n/a	24%	23%	52%	+2%
		Of Total	n/a	233	417	323	n/a

Outcome Ind. 2.1	Target		Q14	Q16	Q18	Q20	Difference
			Dec-16	Jun-17	Dec-17	Jun-18	
		<b>Planned (Target)</b>					
		Persons	58,417	102,230	155,779	214,197	
		%	50%	50%	50%	50%	
		Of Total	116,835	204,461	311,559	428,394	
		<b>Achieved</b>					
		Persons	n/a	64,445	101,919	200,713	n/a
		%	n/a	25%	24%	52%	+2%
		Of Total	n/a	257,780	424,663	388,009	n/a

Outcome Ind. 3	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
		%	80%	80%	80%	80%	
		<b>Achieved</b>					
			n/a	n/a	n/a	n/a	n/a

Outcome Ind. 6	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
		WMCs	82	118	163	219	
		%	70%	70%	70%	70%	
		Of Total	118	168	234	313	
		<b>Achieved</b>					
		WMCs	95	118	245	346	127
		%	65%	53%	80%	84%	14%
		Of Total	146	221	306	411	98

Outcome Ind. 7	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
		WMCs	92	120	155	199	
		%	60%	60%	60%	60%	
		Of Total	153	199	259	331	

		Achieved				
	WMCs	85	146	197	307	108
	%	58%	65%	64%	75%	15%
	Of Total	147	224	308	409	78

Outcome Ind. 8	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		Planned (Target)					
		ReCo	1,163	1,526	1,994	2,565	
		%	60%	60%	60%	60%	
		Of Total	1,938	2,544	3,323	4,276	
		Achieved					
		ReCo	2,154	2,477	2,553	2,585	20
		%	81%	82%	81%	82%	22%
		Of Total	2,659	3,020	3,151	3,152	(1,124)

Outcome Ind. 9	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		Planned (Target)					
		WMCs	91	132	185	249	
		%	80%	80%	80%	80%	
		Of Total	114	165	231	311	
		Achieved					
		WMCs	87	134	198	267	18
		%	60%	60%	64%	65%	-15%
		Of Total	145	223	309	411	99

Output Ind. 1.0	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		Planned (Target)					
		Total Population	207,514	262,765	333,801	420,622	
		Achieved					
		Total Population	289,280	341,568	405,136	542,509	121,887

Output Ind. 1.1	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		Planned (Target)					
		Persons	176,510	211,208	255,820	310,345	
		%	70%	70%	70%	70%	

		Of Total	252,157	301,726	365,456	443,350	
		<b>Achieved</b>					
		Persons	269,093	323,132	369,518	453,684	143,339
		%	93%	95%	95%	91%	21%
		Of Total	289,347	340,139	388,966	498,554	55,204

Output Ind. 1.2	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
		Persons	174,841	209,751	254,636	309,495	
		%	70%	70%	70%	70%	
		Of Total	249,773	299,645	363,766	442,136	
		<b>Achieved</b>					
		Persons	234,305	283,501	331,991	432,203	122,708
		%	81%	83%	84%	88%	18%
		Of Total	289,265	341,567	395,227	491,140	49,004

Output Ind.1.3	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
		Persons	126,690	159,563	201,827	253,484	
		%	60%	60%	60%	60%	
		Of Total	211,151	265,938	336,379	422,473	
		<b>Achieved</b>					
		Persons	170,436	211,772	260,850	329,064	75,580
		%	59%	62%	66%	67%	7%
		Of Total	288,875	341,568	395,227	491,140	68,667

Output Ind. 2.1	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
		Zones de Sante	3	3	4	5	
		%	50%	50%	50%	50%	
		Of Total	5	6	8	10	
		<b>Achieved</b>					

		<i>Zones de Sante</i>	3	3	4	4	-1
		%	100%	100%	100%	100%	50%
		Of Total	3	3	4	4	-6

Output Ind. 2.2	Target		Q12	Q14	Q16	Q18	Difference	
			Jun-16	Dec-16	Jun-17	Dec-17		
		<b>Planned (Target)</b>						
		WMCs	34	83	144	220		
		%	80%	80%	80%	80%		
		Of Total	43	103	181	275		
		<b>Achieved</b>						
		WMCs	35	58	115	156	-64	
		%	24%	26%	37%	38%	-42%	
		Of Total	146	223	311	411	135	

Output Ind. 2.3	Target		Q12	Q14	Q16	Q18	Difference	
			Jun-16	Dec-16	Jun-17	Dec-17		
		<b>Planned (Target)</b>						
		ReCo	1,742	1,947	2,210	2,531		
		%	50%	50%	50%	50%		
		Of Total	3,484	3,894	4,420	5,063		
		<b>Achieved</b>						
		ReCo	1,564	1,892	2,701	2,225	-306	
		%	59%	62%	67%	73%	23%	
		Of Total	2,651	3,052	4,031	3,048	-2,015	

Output Ind. 2.4	Target		Q12	Q14	Q16	Q18	Difference	
			Jun-16	Dec-16	Jun-17	Dec-17		
		<b>Planned (Target)</b>						
		<i>Areas de Sante</i>	48	57	69	83		
		%	100%	100%	100%	100%		

		Of Total	48	57	69	83	
		<b>Achieved</b>					
		<i>Areas de Sante</i>	51	51	69	93	10
		%	100%	100%	100%	100%	0%
		Of Total	51	51	69	93	10

Output Ind. 2.5	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
		<i>Zones de Sante</i>	1	1	1	1	
		%	100%	100%	100%	100%	
		Of Total	1	1	1	1	
		<b>Achieved</b>					
		<i>Zones de Sante</i>	7	10	14	18	17
		%	100%	100%	100%	100%	0%
		Of Total	7	10	14	18	17

Output Ind. 3.2	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
		WMC Members	1,192	1,460	1,806	2,228	
		%	80%	80%	80%	80%	
		Of Total	1,490	1,826	2,257	2,785	
		<b>Achieved</b>					
		WMC Members	1,223	1,747	2,450	3,151	923
		%	94%	93%	93%	92%	12%
		Of Total	1,301	1,878	2,634	3,425	640

Output Ind. 3.3	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
		Persons	154,479	194,298	245,493	308,065	
		%	80%	80%	80%	80%	

committee performance	Of Total	193,099	242,872	306,866	385,081	
	<b>Achieved</b>					
	Persons	228,906	276,812	328,047	418,836	110,771
	%	79%	81%	84%	87%	7%
	Of Total	289,754	341,743	390,532	481,421	96,340

Output Ind. 3.4	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
<b>Planned (Target)</b>							
WMCs		99	139	190	253		
%		80%	80%	80%	80%		
Of Total		123	173	237	316		
<b>Achieved</b>							
WMCs		104	136	205	302	49	
%		71%	61%	67%	73%	-7%	
Of Total		146	223	306	414	98	

Output Ind. 3.6	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
<b>Planned (Target)</b>							
Women in WMC OP		198	259	338	435		
%		33%	33%	33%	33%		
Of Total		600	786	1,026	1,319		
<b>Achieved</b>							
Women in WMC OP		221	322	438	551	116	
%		32%	33%	33%	32%	-1%	
Of Total		691	976	1,327	1,722	403	

Output Ind. 3.7	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
<b>Planned (Target)</b>							

are managed by a water management committee after 2 years of certification.	by the Consortium by June 2016	Water Points	n/a	n/a	n/a	n/a		
		%	n/a	n/a	n/a	n/a		
		Of Total	n/a	n/a	n/a	n/a		
		<b>Achieved</b>						
		Water Points	n/a	n/a	n/a	n/a	n/a	
		%	n/a	n/a	n/a	n/a	n/a	
		Of Total	n/a	n/a	n/a	n/a	n/a	

Output Ind. 4.1	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
		Persons	155,671	195,338	246,338	308,672	
		%	80%	80%	80%	80%	
		Of Total	194,589	244,173	307,923	385,839	
		<b>Achieved</b>					
		Persons	231,560	195,338	322,467	408,213	99,541
		%	80%	81%	82%	85%	5%
		Of Total	289,450	241,158	393,252	480,251	94,411

Output Ind. 4.2	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
		Water Points	127	214	325	461	
		%	100%	100%	100%	100%	
		Of Total	127	214	325	461	
		<b>Achieved</b>					
		Water Points	118	187	119	347	-114
		%	100%	97%	86%	90%	-10%
		Of Total	118	193	138	386	-76

Output Ind. 4.3	Target		Q12	Q14	Q16	Q18	Difference
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Number of households who collect ≥ 15 liters per person per day of water from safe water sources	33% of HHs in the villages where the Consortium has installed water points		<b>Jun-16</b>	<b>Dec-16</b>	<b>Jun-17</b>	<b>Dec-17</b>		
		<b>Planned (Target)</b>						
		HHs	5,026	7,658	11,041	15,177		
		%	<b>33%</b>	<b>33%</b>	<b>33%</b>	<b>33%</b>		
		Of Total	15,230	23,205	33,458	45,990		
		<b>Achieved</b>						
		HHs	7,196	9,134	11,751	18,853	3,676	
		%	<b>19%</b>	<b>21%</b>	<b>23%</b>	<b>29%</b>	<b>-4%</b>	
		Of Total	37,874	43,495	51,091	65,010	19,020	

<b>Output Ind. 4.4</b>	<b>Target</b>		<b>Q12</b>	<b>Q14</b>	<b>Q16</b>	<b>Q18</b>	<b>Difference</b>
			<b>Jun-16</b>	<b>Dec-16</b>	<b>Jun-17</b>	<b>Dec-17</b>	
		<b>Planned (Target)</b>					
		HHs	15,267	21,254	28,953	38,362	
		%	<b>80%</b>	<b>80%</b>	<b>80%</b>	<b>80%</b>	
		Of Total	19,084	26,568	36,191	47,952	
		<b>Achieved</b>					
		HHs	22,220	27,102	34,065	42,576	4,214
		%	<b>60%</b>	<b>62%</b>	<b>66%</b>	<b>66%</b>	<b>-14%</b>
		Of Total	37,033	43,713	51,614	64,509	16,557

<b>Output Ind. 5.1</b>	<b>Target</b>		<b>Q12</b>	<b>Q14</b>	<b>Q16</b>	<b>Q18</b>	<b>Difference</b>
			<b>Jun-16</b>	<b>Dec-16</b>	<b>Jun-17</b>	<b>Dec-17</b>	
		<b>Planned (Target)</b>					
		Persons	89,998	143,872	213,140	297,800	
		%	<b>80%</b>	<b>80%</b>	<b>80%</b>	<b>80%</b>	
		Of Total	112,497	179,841	266,425	372,250	
		<b>Achieved</b>					
		Persons	195,009	233,074	280,167	359,613	61,813
		%	<b>67%</b>	<b>68%</b>	<b>71%</b>	<b>73%</b>	<b>-7%</b>
		Of Total	291,058	342,756	394,601	492,621	120,371

Output Ind. 5.2	Target		Q12	Q14	Q16	Q18	Difference	
			Jun-16	Dec-16	Jun-17	Dec-17		
		<b>Planned (Target)</b>						
		HHs	15,373	22,127	30,811	41,424		
		%	80%	80%	80%	80%		
		Of Total	19,217	27,659	38,513	51,780		
		<b>Achieved</b>						
		HHs	21,777	24,086	28,812	36,444	-4,980	
		%	59%	55%	56%	55%	-25%	
		Of Total	36,910	43,793	51,450	66,262	14,482	

Output Ind. 5.3	Target		Q12	Q14	Q16	Q18	Difference	
			Jun-16	Dec-16	Jun-17	Dec-17		
		<b>Planned (Target)</b>						
		HHs	20,017	26,180	34,104	43,788		
		%	80%	80%	80%	80%		
		Of Total	25,021	32,725	42,630	54,735		
		<b>Achieved</b>						
		HHs	28,128	34,677	41,099	51,040	7,252	
		%	79%	79%	79%	78%	-2%	
		Of Total	35,605	43,895	52,024	65,436	10,701	

Output Ind. 5.4	Target		Q12	Q14	Q16	Q18	Difference	
			Jun-16	Dec-16	Jun-17	Dec-17		
		<b>Planned (Target)</b>						
		Schools	35	50	68	91		
		%	100%	100%	100%	100%		
		Of Total	35	50	68	91		
		<b>Achieved</b>						
		Schools	45	52	58	72	-19	
		%	90%	80%	78%	81%	-19%	
		Of Total	50	65	74	89	-2	

Output Ind. 6.1	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
		Meetings	42	48	54	60	
		<b>Achieved</b>					
		Meetings	42	46	53	59	-1

Output Ind. 6.2	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
			46	48	50	52	
		<b>Achieved</b>					
			47	51	58	64	12

Output Ind. 6.3	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
			17	20	23	26	
		<b>Achieved</b>					
			16	18	23	24	-2

Output Ind. 6.4	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
		Zones de Sante	1	3	6	9	
		%	100%	100%	100%	100%	
		Of Total	1	3	6	9	
		<b>Achieved</b>					
		Zones de Sante	-	-	-	-	-9
		%	0%	0%	0%	0%	-100%
		Of Total					

Output Ind. 7.1	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
		Maps	3	6	11	17	
		<b>Achieved</b>					
		Maps	3	3	15	15	-2

Output Ind. 7.2	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
		Events	9	11	12	14	
		<b>Achieved</b>					
		Events	9	11	12	13	-1

Output Ind. 7.3	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
		Tech. Reviews	10	11	12	13	
		<b>Achieved</b>					
		Tech. Reviews	11	12	15	16	3

Output Ind. 7.5	Target		Q12	Q14	Q16	Q18	Difference
			Jun-16	Dec-16	Jun-17	Dec-17	
		<b>Planned (Target)</b>					
		Research Projects	6	7	8	9	
		<b>Achieved</b>					
		Research Projects	5	7	7	9	0

## ANNEX G: VALUE FOR MONEY METHODOLOGY

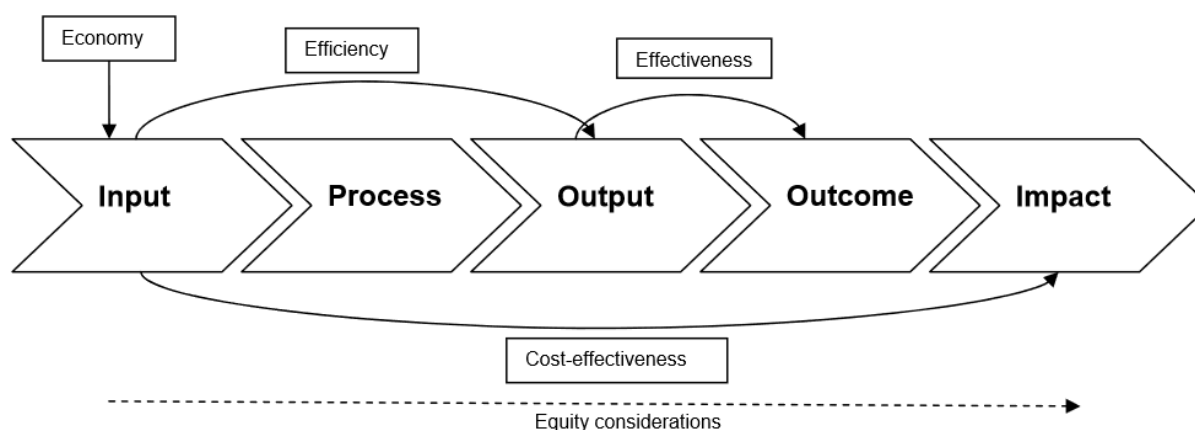
### OVERVIEW

UK aid's Value for Money approach requires projects to design, implement, measure, and evaluate development programmes according to three core principles (the "Three Es"), plus Equity:<sup>252</sup>

- **Economy:** Are we, or our agents buying inputs of the appropriate quality at the right price? Examples of inputs are things such as staff, consultants, raw materials and capital that are used to produce outputs.
- **Efficiency:** How well do we, or our agents convert inputs into outputs? Outputs are results delivered by implementers or their agents to an external party. Both quantity and quality of outputs must be considered.
- **Effectiveness:** How well are the outputs from an intervention achieving the desired outcome on poverty reduction? Outcomes reflect high-level, long-term impacts that are beyond the direct control of the implementer or their agents.
  - **Cost-Effectiveness:** How much impact on poverty reduction does an intervention achieve relative to the inputs that implementers or their agents invest in it?

In addition to the Three Es, implementers must consider the impact on equity of UK aid-funded development programmes. This includes evaluating how development results have targeted the poorest and included sufficient targeting of women and girls. V4M also requires that evaluations assess the strengthening of linkages in a programme "chain".

Figure 6: The Three "E"s and the UK aid Programme Chain



Source: "DFID's Approach to Value for Money (V4M)", UK aid, July 2011

### V4M DATA REQUIREMENTS, SPECIFIC ANALYSES, AND EVALUATION METRICS

This section summarizes specific data, analytical tasks, and evaluation metrics for each of the Three E's of the V4M approach (plus Equity), with an emphasis on Efficiency and Effectiveness as per the Final Evaluation Terms of Reference (see **Annex A: Terms of Reference**).

<sup>252</sup> <https://www.gov.uk/government/publications/UK-Aids-approach-to-value-for-money-vfm>

**Economy** - The ET will randomly sample nine procurement files to evaluate the quality and price of Consortium inputs. Procurement files will include bid announcements, terms of reference, advertising of procurement opportunities, bid submission formats, bid evaluation policies and procedures, award decisions, and final accounting (actual goods and services received, timeliness of procurement completion, and final cost).

#### *Data Requirements*

The ET will review procurement files in two areas: 1) materials procurement and; 2) procurement of local services.

Materials Procurement:	Three (3) procurement files
Local Service Provider Contracts:	Three (3) procurement files

#### *Specific Analyses/Evaluation Questions*

- What policies and procedures were used by the Consortium to ensure cost-competitiveness?
- To what degree were these policies and procedures followed by the CCU and programme agencies?
- How effective were these measures?
- What lessons regarding financial management and operational cost control in the DRC can be learned from the Consortium experience?

#### *Metrics*

The ET will establish a simple ranking system to evaluate the economics of Consortium procurement (including materials, capital costs, staff costs, operation costs, consultancy costs, etc.). Using a scoring system (e.g. 1=poor to 5=very good), the ET will assess the following:

- Quality of procurement announcements/Terms of Reference
- Solicitation of multiple bids and/or sole source justifications
- Transparency/fairness of award decisions (e.g. bid committee, award decision rules, etc.)
- Cost management procedures
- Delivery verification methods
- Final liquidation procedures and reporting
- Problem mitigation measures

**Efficiency** - The definition of “efficiency” in UK aid’s V4M approach is how well a programme converts inputs (e.g. activities) into outputs (e.g., results).

#### *Data Requirements*

To evaluate the efficiency of DRC WASH Consortium activities and initiatives, the ET will review programme monitoring and evaluation reports, UK aid Annual Reviews, and other external evaluations. Also, final evaluation key Informant Interviews (KIIs) and focus group discussions (FGDs) will address:

- Programme inputs deployed;
- Expected outputs; and
- Actual outputs.

KIIs and FGDs will also help the ET determine the variance and verity of actual outputs in sample populations.

### *Specific Analyses/Evaluation Questions*

- To what degree did the Consortium meet input targets (e.g., number of trainings, etc.)?
- To what degree did these inputs achieve expected outputs?
- If expected outputs were not achieved, what factors contributed to under-performance?
- What lessons can be learned from Consortium experience?

### *Metrics*

From the Consortium LogFrame: the ET will assess indicators tracked by the Consortium Online System (per CCU guidance), resulting in gaps in Output Indicator numbering below:

- **Output Indicator 1.0:** Number of GBWM with access to improved hygiene through hygiene promotion;
- **Output Indicator 1.1:** Proportion (%) of GBWM who have knowledge of at least two critical moments for hand washing;
- **Output Indicator 1.2:** Proportion (%) of GBWM with knowledge of at least 1 stated transmission and 1 prevention methods of water borne disease;
- **Output Indicator 1.3:** Number of GBWM who demonstrate correct hand washing behavior with soap/ash;
- **Output Indicator 2.2:** Proportion (%) of WMCs established by the Consortium who are able to mention at least one source of spare parts or materials they have access to for water point maintenance;
- **Output Indicator 2.3:** Proportion (%) of *Relais Communautaires* with adequate WASH knowledge, capacity and level of activity;
- **Output Indicator 3.2:** Proportion (%) of Water Management Committee members trained;
- **Output Indicator 3.3:** Proportion (%) of GBWM satisfied with water management committee performance;
- **Output Indicator 3.4:** Proportion (%) of Water Management Committees that meet at least once every 2 months and take minutes of the meeting
- **Output Indicator 3.6:** Proportion (%) of WMC official positions that are occupied by women
- **Output Indicator 4.1:** Proportion (%) of GBWM that use an improved drinking water source all year round;
- **Output Indicator 4.3:** Number of households who collect  $\geq 15$  liters per person per day of water from safe water sources;
- **Output Indicator 4.4:** Proportion (%) of households who transport and stock water in hygienic manner;
- **Output Indicator 5.1:** Number of GBWM with access to an improved sanitation facility at the household level;
- **Output Indicator 5.2:** Number of GBWM in households with soap or ash and water at a hand washing station near the latrine;

- **Output Indicator 5.3:** Proportion (%) of households who dispose of their solid waste properly;
- **Output Indicator 5.4:** Proportion (%) of schools that have improved toilets;

**Effectiveness** – The 2011 DFID (UK aid) approach to V4M, defines effectiveness, as “how well are the outputs from an intervention achieving the desired outcome on poverty reduction?” UK aid notes that in contrast to outputs, agents do not exercise direct control over outcomes. The ET will adapt this definition according to Consortium LogFrame Impact and Outcome Indicators (see metrics below).

### *Data Requirements*

The ET will review DRC WASH Consortium budgets, financial reports, and Monitoring and Evaluation Reports (for beneficiary numbers) to evaluate the Consortium’s effectiveness, in addition to addressing this topic in KIIs and FGDs.

### *Specific Analyses/Evaluation Questions*

Specific analyses will assess how improved WASH conditions have impacted quality of life, lost work or school time caused by water-borne illnesses, increased incomes through PAFI (small important doable actions), and other indicators of poverty reduction and quality of life of targeted communities.

### *Metrics*

From the DRC WASH Consortium LogFrame:

- Impact Indicator 1: Proportion (%) of male and female respondents and children under 5s who were sick with diarrheal illness during the last two weeks;
- Outcome Indicator 6: Proportion (%) of WMCs judged by WMC members themselves with capacity to manage their roles and responsibilities efficiently;
- Outcome Indicator 7: Proportion (%) of WMCs that perceive that they receive useful support from local authorities;
- Outcome Indicator 8: Number of female and male *Relais Communautaires* undertaking regular mobilization activities (monthly house visits, mass sensitizations) in communities 6 months after the 18 months cycle implementation;
- Outcome Indicator 9: Proportion (%) of WMCs that have adequate funds for maintenance and operation of the water points.

Other metrics:

- Increased beneficiary incomes from revenue generating activities funded by surplus WASH committee funds;
- Increased beneficiary incomes from pilot activities, such as revenue generating activities related to PAFI (small important doable actions);
- Time savings and cost savings in procuring water (cross-cutting with the cost-effectiveness analysis).



## ***Cost-effectiveness***

### ***Data Requirements***

The ET will review Consortium operation and administration costs and beneficiary reports (for beneficiary numbers) to evaluate the Consortium's effectiveness cost/beneficiary ratios for major programme components. The ET will also assess monitoring and evaluation data related to time saving (collecting drinking water), reduced days lost to sickness and morbidity, and cost savings for procuring water.

### ***Specific Analysis/Evaluation Questions***

To ensure the accurate calculation of cost/beneficiary ratios, the ET will classify beneficiaries per programme component. For example, targets related to improved governance should not be included in estimations of Consortium cost per capita of delivering WASH services. This is important as the ET will compare these numbers with similar projects in the DRC and in the region (if data is available), such as UK aid-funded WASH activities implemented by UNICEF and Mercy Corps, and with World Bank estimates for the cost of delivering WASH services in the DRC.<sup>253</sup> It should be noted that Consortium costs are actual while Mercy Corps' and UNICEF cost figures are initial planning figures. Actual cost figures for Mercy Corps and UNICEF were not available. Finally, actual Consortium cost/beneficiary ratios will be compared against the initial UK-aid Business Case for the programme.

### ***Likely Metrics***

- Overall Consortium cost per beneficiary;
- Comparison of Overall Cost per Beneficiary with other relevant WASH programmes nationally and regionally;
- Cost per capita of delivering WASH services (sub-set of overall programme cost per beneficiary), compared with other WASH programmes and JMP indicators (as appropriate);
- Time savings for procuring water due to DRC WASH Consortium activities (all beneficiaries);
- Disability-adjusted life year (DALY) savings (reduced sick days and mortality) (per UK aid Annual Review 2018 guidance) (all beneficiaries);<sup>254</sup>
- Cost savings in procuring water.

## ***Equity***

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<sup>253</sup> Hutton, Guy, Mili Varughese *"The Costs of Meeting the 2030 Sustainable Development Goal Targets on Drinking Water, Sanitation, and Hygiene Summary Report"* World Bank, 2016

<sup>254</sup> *"UK aid Annual Review 2018: Increasing Sustainable Access to Water, Sanitation and Hygiene (WASH) in the Democratic Republic of Congo (DRC)"* UK aid, 2018

### *Data Requirements*

The ET will review beneficiary data at input, output and outcome levels to assess the degree of inclusiveness (equity) of Consortium initiatives.

### *Specific Analyses/Evaluation Questions*

- To what degree was the Consortium successful in reaching women and girls in programme activities?
- What was the impact in terms of time saving and cost savings of procuring water by women and girls?
- How did the Consortium engage other vulnerable groups (disabled, poorest households)?
- What is the level of meaningful involvement of women in WASH Management Committees and WMC leadership positions?

### *Metrics*

Examples include:

- The number and percentage of women beneficiaries in programme trainings;
- The number and percentage of women participating in WASH Management Committees, including leadership positions (i.e., President, Vice-President, Treasurer);
- Beneficiary break-down by poverty level (if available);
- Time saving of procuring water by women and girls.

## ANNEX H: “HEALTHY VILLAGE” NORMS

Table 13: Seven norms required for “Healthy Village” Certification

1. Village has an active committee for water, sanitation and hygiene
2. At least 80% of the population has access to clean water
3. At least 80% of households use a hygienic latrine
4. At least 80% of households dispose of their waste hygienically
5. At least 60% of the population washes their hands before meals and after latrine use
6. At least 70% of the population understands the fecal-oral route of disease and ways of preventing transmission
7. The village is cleaned at least once a month

## ANNEX I: PROGRAMME ANALOGS FOR V4M COMPARATIVE ANALYSES

Table 14: Summary of National and Regional Programme Analogs for V4M Comparative Analyses

CATEGORY	DFID/DR Congo						DFID REGIONAL ANALOGS			
	DRC WASH Consortium				Healthy Schools and Villages (PNVEA) Mercy Corps		Mozambique PROSANAR CF Nigeria SHAWN I Zambia ZSHP			
	2013 -2019 DFID Business Case	2015 Amendment I/	2016 Scale-Up	Scenario A 2017 and 2018 Budget Revision						
Lead Organization	Concern VVW				UNICEF	Mercy Corps	GoE	GoM	UNICEF	UNICEF
Period of Performance	2013-2019				2013 - 2019	2013 - 2019	2008 -2013	2010 - 2015	2012 -2013	2011 - 2016
<b>Planned</b>										
Budget (£) 2/	£23,944,441	£23,944,441	£30,000,000	£29,800,000	£102,511,035	£36,925,000	n/a	n/a	n/a	n/a
Exchange Rate (USD/£) 3/	1.49	1.46	1.46	1.46	1.46	1.46	n/a	n/a	n/a	n/a
Budget (USD)	\$35,767,009	\$34,907,511	\$43,735,635	\$43,444,064	\$149,446,173	\$53,831,277	\$198,000,000	\$65,000,000	\$55,300,000	\$32,000,000
Total Beneficiaries (Planned)	554,122	608,905	767,444	640,000	3,380,091	1,550,000	2,426,964	682,000	23,000,000	3,000,000
Cost/Beneficiary (£)	£43.21	£39.32	£39.09	£46.56	£30.33	£23.82	n/a	n/a	n/a	n/a
Cost/Beneficiary (USD)	\$64.55	\$57.33	\$56.99	\$67.88	\$44.21	\$34.73	\$81.58	\$95.31	\$2.40	\$10.67
<b>Actuals</b>										
Actual Spend (£)	n/a	n/a	n/a	£27,405,927	£71,288,397	£12,542,374	n/a	n/a	n/a	n/a
Actual Spend (USD)	n/a	n/a	n/a	\$39,953,854	\$103,928,110	\$18,284,956	n/a	n/a	n/a	n/a
As of:	n/a	n/a	n/a	Mar-18	Mar-18	Mar-18	n/a	n/a	n/a	n/a
Total Beneficiaries (Actual) 4/	n/a	n/a	n/a	610,362	n/a	n/a	n/a	n/a	n/a	n/a
As of:	n/a	n/a	n/a	Mar-18	n/a	n/a	n/a	n/a	n/a	n/a
<b>Cost/Beneficiary (£)</b>	<b>n/a</b>	<b>n/a</b>	<b>n/a</b>	<b>£44.90</b>	<b>n/a</b>	<b>n/a</b>	<b>n/a</b>	<b>n/a</b>	<b>n/a</b>	<b>n/a</b>
<b>Cost/Beneficiary (USD)</b>	<b>n/a</b>	<b>n/a</b>	<b>n/a</b>	<b>\$65.46</b>	<b>n/a</b>	<b>n/a</b>	<b>n/a</b>	<b>n/a</b>	<b>n/a</b>	<b>n/a</b>

Notes:

1/ The budget figure under the "2015 Amendment" column is the same as the original contract award. The 2015 amendment focused on the number and type of beneficiaries.

2/ In some cases, budget figures reflect pooled funding with contributions from donors other than DFID. However, as results could not be attributed to specific donors, combined budget numbers were used. In all cases, DFID was the majority funder of programs used for regional comparison.

3/ Exchange rates are the average of actual rates from 2013-present.

4/ Actual DRC WASH beneficiaries per the CCU Q19 Activity Tracker.

## ANNEX J: CONSORTIUM V4M INDICATORS COMPARISON

Table 15: Consortium V4M Indicators Compared to National and Regional Analogs

CATEGORY	DFID/DR Congo			DFID REGIONAL ANALOGS			
	DRC WASH Current 1/	Healthy Schools and Villages (PNEVA)	Mercy Corps	Mozambique			
		Ethiopia WSSP		PROSANAR CF	Nigeria SHAWN I	Zambia ZSHP	
<b>Economy</b>							
Cost/Water Point Improved or Constructed (£)	£4,830	n/a	n/a	n/a	n/a	n/a	n/a
Cost/Water Point Improved or Constructed (USD)	\$7,042	n/a	n/a	n/a	\$23,755	\$7,989	n/a
Cost/Sanitation Facility Improved or Constructed (£)	£791	n/a	n/a	n/a	n/a	n/a	n/a
Cost/Sanitation Facility Improved or Constructed (USD)	\$1,154	n/a	n/a	n/a	n/a	n/a	n/a
<b>Efficiency - % of Primary Output Targets Achieved</b>							
Population accessing improved water points (% of target) 2/	107.5%	n/a	133.3%	n/a	n/a	n/a	n/a
% of WMCs Collecting Fees 3/	78.8%	88.4%	n/a	n/a	n/a	n/a	n/a
% of water point improvement/construction target	93.1%	n/a	n/a	99.7%	81.0%	100.0%	n/a
% of sanitation facility improvement/construction target	78.9%	n/a	n/a	n/a	175.0%	n/a	n/a
% of target population reached through hygiene promotion	95.1%	n/a	n/a	n/a	n/a	n/a	135.0%
<b>Effectiveness - Planned versus Actual Outcomes and Impact</b>							
% of target reduction in sickness from diarrhoea	85.0%	166.7%	97.8%	n/a	n/a	n/a	n/a
<b>Cost-Effectiveness</b>							
Cost per beneficiary (USD)	\$65.46	\$44.21	\$34.73	\$81.58	\$95.31	\$2.40	\$10.67
Cost per capita accessing water point (USD)	\$9.39	n/a	n/a	\$27	\$79	\$31	n/a
Cost per capita accessing improved latrines (USD)	\$2.65	n/a	n/a	n/a	\$14	\$10.60	\$3.40

Notes:

1/ Scenario A 2017 and 2018 Budget Revision

2/ Although access is typically an Outcome indicator, both the Consortium and Mercy Corps report this indicator as an Output indicator (and thus its inclusion as an Efficiency indicator)

3/ As noted by DFID in the 2018 Annual Review, the Consortium methodology is "more rigorous" than the UNICEF methodology for this indicator, resulting in lower values.

Note to Annexes I and J: while DRC WASH Consortium figures are actuals, PNEVA and Mercy Corps figures are planning figures.